



e-Domec Document and files management for secretaries

Update : 5/12/2021

ressources humaines
et
formation

développement personnel

Some questions ?



Capture ?
Yes...
but what ?

Register / Save ?
Yes...
but what to
choose?



File ?
Yes...
but where ?



Organise ?
Yes...
but how ?

1. e-Domec : policy for document and files management

- 1.1. Records management within the Commission
- 1.2. Administrative cycle of files
- 1.3. Roles and functions

2. Capture of documents

- 2.1. Documents to capture
- 2.2. Register and save
- 2.3. Tools for registration / HAN-platform

3. Filing : Files and filing plan

- 3.1. Official file and working file
- 3.2. Filing of documents
- 3.3. Acces to documents and files

4. Closure of files and retention procedure

- 4.1. A fundamental action : closure of files
- 4.2. Retention procedures : ARP et Archive schedule

5. Summary

General objective :

- Know and apply the procedures for capturing, classifying and preserving documents

Specific objectives :

- Implement the administrative life cycle of files
- Acquire a working method to capture and classify the documents for which your department is responsible
- Master management tools (list of files, filing plan, storage plan, etc.)
- Use exact terminology



Now it is your turn!

Let's get to know each other!



When did you join the Commission?

DG / Unit?

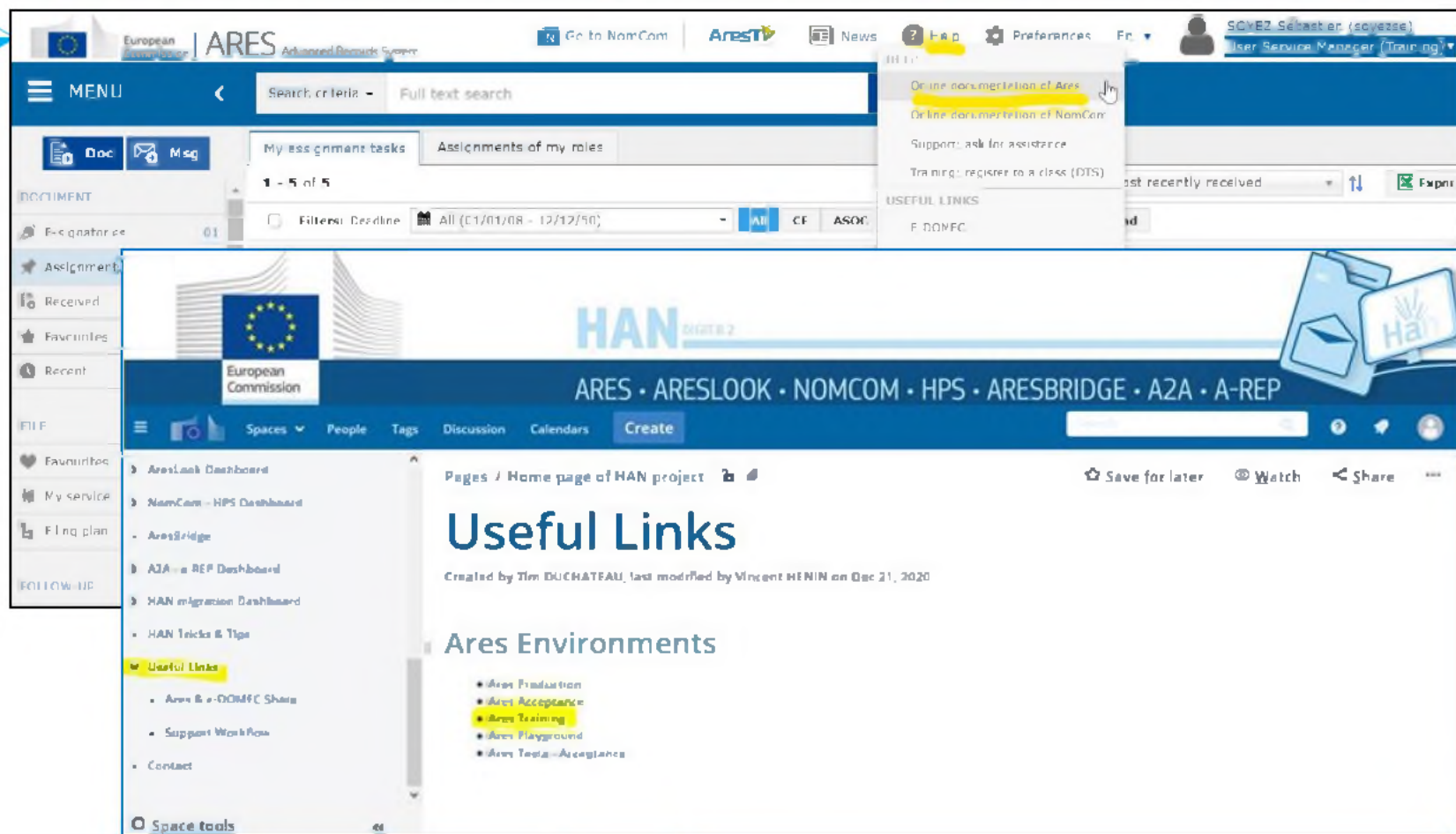
Function?



What is your motivation to follow this course?

How to use Ares for training purposes

- **Link Ares training :**
<https://webgate.training.ec.testa.eu/Ares/>



The screenshot displays the Ares web application interface. At the top, there is a navigation bar with the European Commission logo, the text 'ARES Advanced Request System', and links for 'Go to NomCom', 'AresTV', 'News', 'Help', 'Preferences', and a user profile for 'SCVEZ Sébastien (scvzse)'. Below this is a 'MENU' section with a search bar and tabs for 'My assignment tasks' and 'Assignments of my roles'. A sidebar on the left contains icons for 'Doc', 'Msg', 'Assignment', 'Received', 'Favourites', 'Recent', 'FILE', 'Favourite', 'My service', and 'Following'. The main content area shows a 'Useful Links' section with a list of links: 'Ares Production', 'Ares Acceptance', 'Ares Training' (highlighted), 'Ares Playground', and 'Ares Test Acceptance'. Below this is an 'Ares Environments' section with a list of links: 'Ares & e-DMFC Share', 'Support Wiki & Post', and 'Contact'. The interface also includes a 'DOCUMENT' section with a list of documents and a 'HAN' section with a list of links.

- 1 -

e-Domec : policy for documents and files management

- **Context and goals**
- **Legal basis et obligations**
- **Administrative cycle**
- **Actors**

e-Domec :

Archivage électronique et
administration
des documents à la
Commission européenne

***Electronic Archiving
and Document
Management in the
European Commission***

**Adopted in 2002
Revised in 2020**

Policy

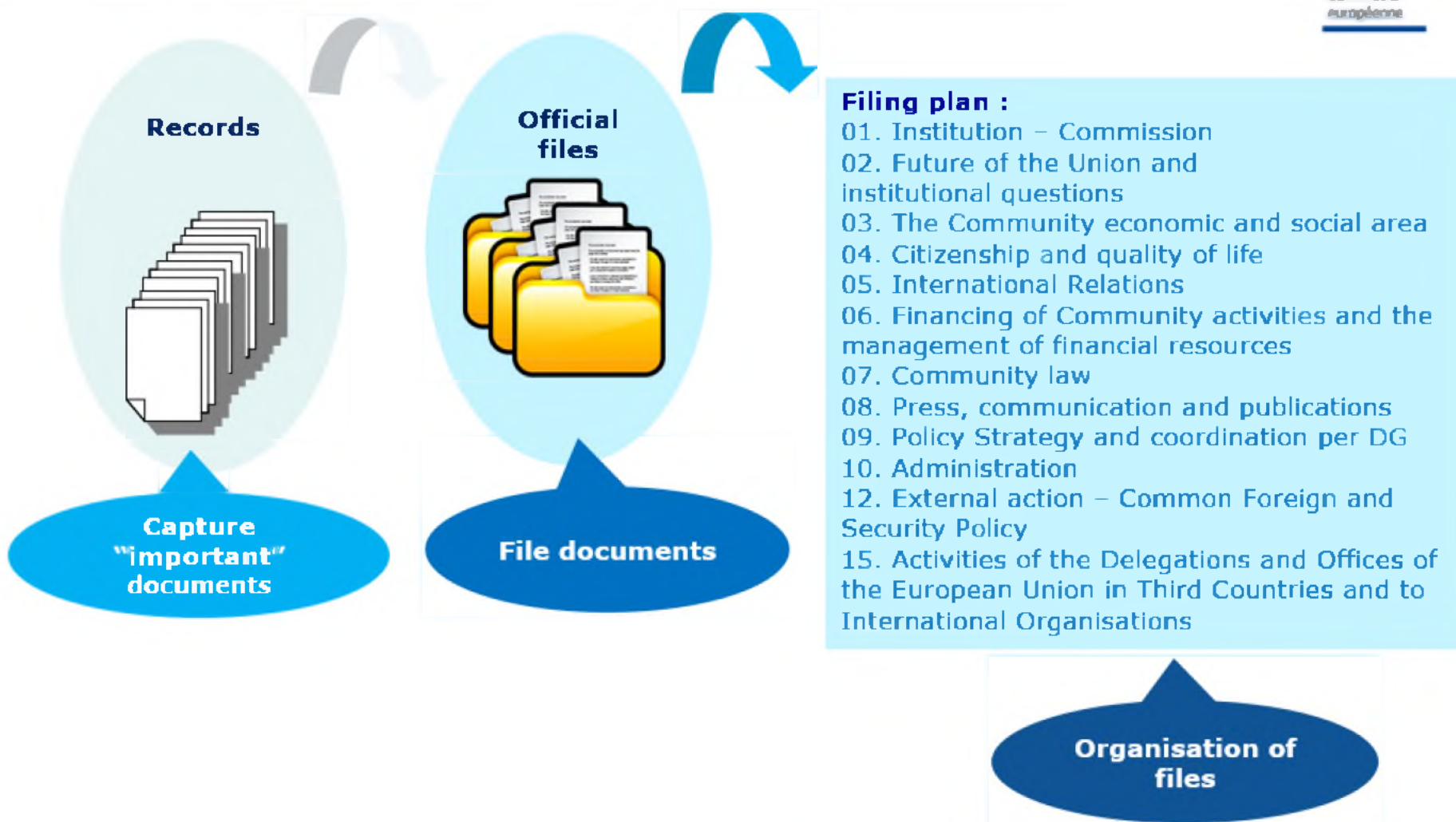
- Normative framework
- Obligations
- Common procedures

Practice

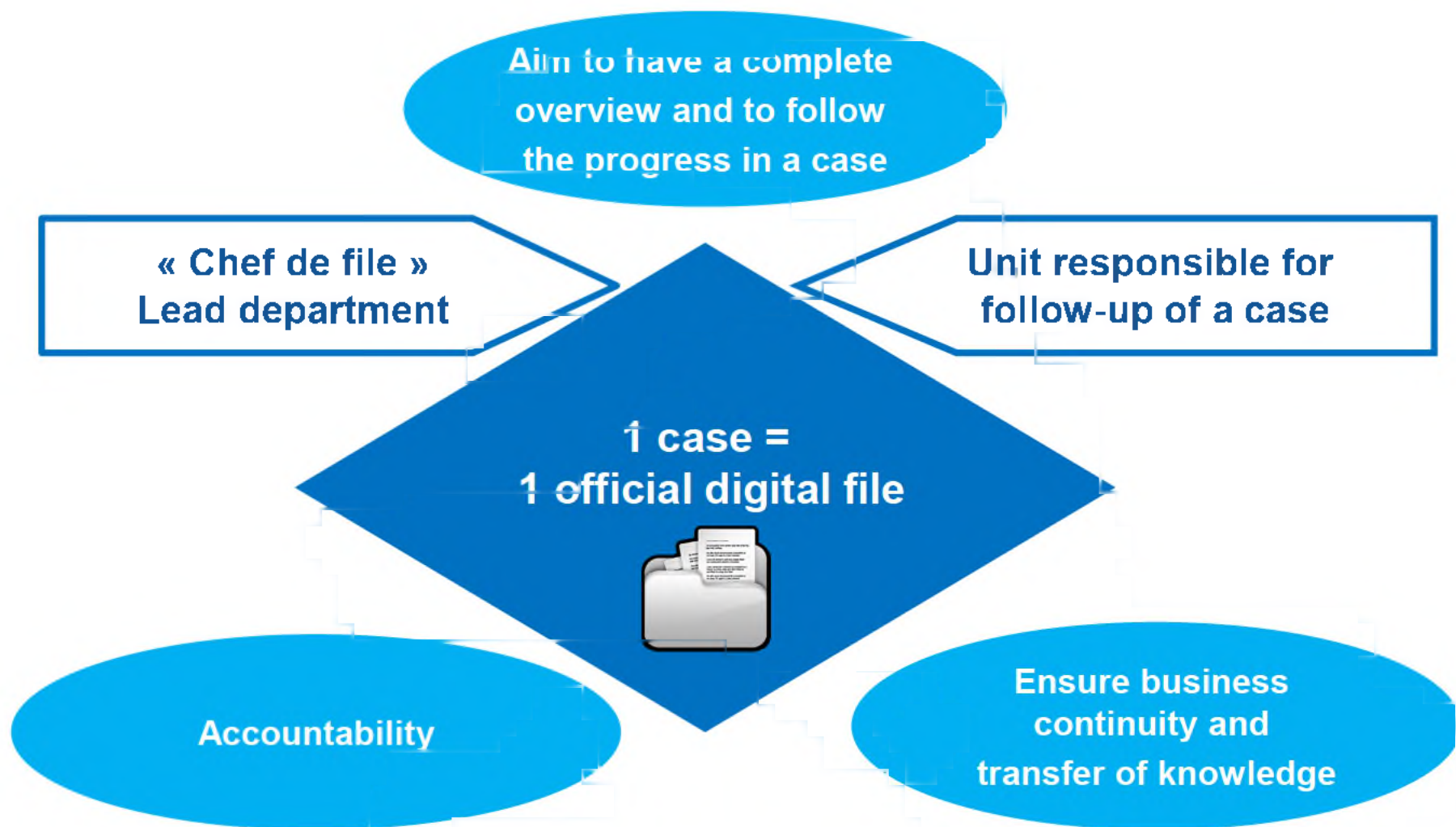
- Working methods
- Contact persons

Tools

- Documentary tools
- IT-tools
- Digital environment



➤ **SHARE - RETRIEVE - USE – PRESERVE**



Ares : Files list (1)



MENU

Search criteria

Full-text search

Q

Advanced Search

Doc

Msg

DOCUMENT

E-signatories

Assignments 02 09

Received 09 11

Favourites

Recent

FILE

Favourites

My service

Filing plan

FOLLOW UP

Cart tracks

Deliveries

Ext. transmissions

Reports

ADMINISTRATION

My service

1 - 25 of 23638 results Page 1 of 946

Sort by: heading code

Export Show 25

Save these search criteria

File search

file status: Active

lead department or organized ID: SG DSC I C I

Greater application: All

created any time

	File title	Specific code	File code	Lead department	Desk officer	Heading code	
	[A] Final Policy for the Commission 2015-2019	RM FMAII POLICY 2015-2019	2017 AA2630	sg dsqf c.i		01 05 02 025 C20	
	[A] First revision of the Common Retention List (CRL)	RM 1ST REVISION CRL	2010 AC0470	sg dsqf c.i		01 05 04 015 C05	
	[A] Second revision of the Common Retention List (CRL)	RM 2ND REVISION CRL	2012 AC2495	sg dsqf c.i		01 05 04 015 C05	
	[A] Authorization to the DGs on the FIPS under regulation 45/2001 of the European Commission (FIPS)	RM DGTIES FIPS	2012 AF2051	sg dsqf c.i		01 05 04 015 C05	
	[A] Participation of the Commission in the Interim Work Group on Web Preservation	RM IIWG Web	2014 AB7944	sg dsqf c.i		01 05 04 015 C05	
	[A] Contribution to the 1st revision by the Office for the Administration and Payment of Indemnity Entitlements of its specific retention list	RM LSC INDENF	2016 CB956R	sg dsqf c.i		01 05 04 015 C05	
	[A] Work and guidelines to reach a paperless Commission Collaboration with RIG, DG, ER and others DGs 2017 - 2020	RM RAPERLESS COM 2017-2020	2017 AW9715	sg dsqf c.i		01 05 04 015 C05	
	[A] Synergies and efficiencies in the document management domain 2019-2022	RM SYNERGIES PM 2019-2022	2019 AX2177	sg dsqf c.i		01 05 04 015 C05	Actions
	[A] Third revision of the Common Retention List (CRL)	RM 3RD REVISION CRL	2010 BA2177	sg dsqf c.i		01 05 04 015 C05	
	[A] Elaboration of guidance on data protection 2020-2024	DE GUIDANCE 2020-2024	2020 AR5311	sg dsqf c.i		01 05 04 015 C05	
	[A] Elaboration of the decision on records management and archives (DRC)		2020 AF0559	sg dsqf c.i		01 05 04 015 C05	
	[A] Drafting of the list of types of documents which require a hard copy or a qualified electronic signature		2020 A1552R	sg dsqf c.i		01 05 04 015 C05	
	[A] Synergies and efficiencies: annual feedback exercise 2020	RM SYNERGIES PM 2019-2022	2021 AC2661	sg dsqf c.i		01 05 04 015 C05	
	[A] Synergies and efficiencies: public advice	RM SYNERGIES PM PUBLIC	2010 AX2173-1	sg dsqf c.i		01 05 04 015 C05 2019 AX2173	
	[A] e-Domestic Budget 2017-2020	RM RI ECFT 2017-2020	2016 C13821	sg dsqf c.i		01 05 04 015 C10	
	[A] Future of document management 2020-2024	RM FUTURF	2020 AE5910	sg dsqf c.i		01 05 04 015 C10	
	[A] e-Domestic Budget 2021-2024	RM RI ECFT 2021-2024	2020 A11915	sg dsqf c.i		01 05 04 015 C10	

Ares : Files list (2)
































My service

1 - 25 of 23638 results Page 1 of 946






Sort by: Heading code   Export Show

Files search File status: Active Lead department or associated ID is SG.DSGL.C.1 Creator application is All created any time

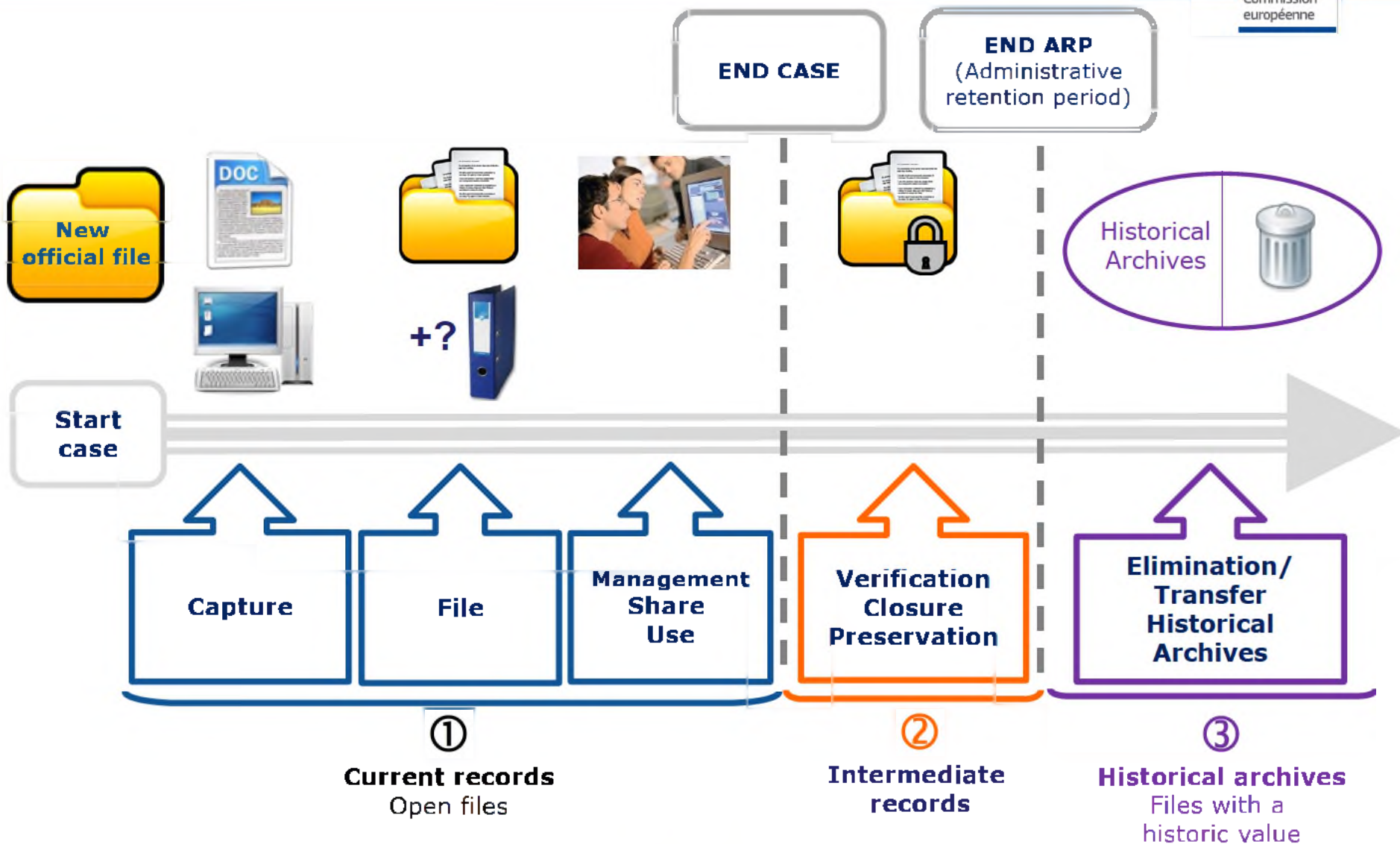
★ Save these search

	File title	Specific code	File code	Lead department	Desk officer	Heading code
	  [A] Email Policy for the Commission 2015-2019	RM EMAIL POLICY 2015-2019	2017-AA7630	sg.dsgl.c.1		01.05.02.025.020
	  [A] First revision of the Common Retention List (CRL)	RM 1ST REVISION CRL	2016-AC6979	sg.dsgl.c.1		01.05.04.015.005
	  [A] Second revision of the Common Retention List (CRL)	RM 2ND REVISION CRL	2013-AC7495	sg.dsgl.c.1		01.05.04.015.005
	  [A] Notification to the DES and the EDPS under regulation 45/2001 of the Hermes Preservation Services (HPS)	RM NOTIFY HPS	2013-AD7051	sg.dsgl.c.1		01.05.04.015.005
	  [A] Participation of the Commission in the Internet Interpol Working Group on Web Preservation	RM IIWG WEB	2014-AR7944	sg.dsgl.c.1		01.05.04.015.005
	  [A] Contribution to the 1st revision, by the Office for the Administration and Payment of Individual Entitlements of its specific retention list	RM ISC.PMO REV1	2016-CB9568	sg.dsgl.c.1		01.05.04.015.005
	  [A] Works and guidelines to reach a paperless Commission. Collaboration with PUDG, HR and others DGE. 2017 - 2020	RM PAPERLESS COM 2017-2020	2017-AW9715	sg.dsgl.c.1		01.05.04.015.005
	  [A] Synergies and efficiencies in the document management domain 2019-2022	RM SYNERGIES DM 2019-2022	2019-AX7177	sg.dsgl.c.1		01.05.04.015.005
	  [A] Third revision of the Common Retention List (CRL)	RM 3RD REVISION CRL	2016-BA3177	sg.dsgl.c.1		01.05.04.015.005
	  [A] Elaboration of guidance on data protection 2020-2024	DP GUIDANCE 2020-2024	2020-AR5311	sg.dsgl.c.1		01.05.04.015.005

Visibility of files

Icon	Type of file	File readers/ File users	Label
	All	Hermes_group	File with visibility open to all HAN users
	Institution	Commission or an institution (ex: OMBU...)	File with visibility Institution
	DG/ Service	At least one DG/service/agency (ex: TAXUD, ERCEA...)	File with visibility DG/ Service ^[1]
	Limited	Administrative entity below the DG/service (ex: TAXUD.R.3; ERCEA.A.2...) ^[2]	File with limited visibility
	PMO (beneficiary) file	This icon colour does not reflect the file security but refers to the specific type chosen when creating the file.	Specific file (PMO only)

Administrative lifecycle of files





e-Domec : Introduction

Ares : Favorite files



MENU

Search criteria

Full text search

Q

Advanced Search

Doc

Msg

DOCUMENT

Signatures

Assignments 02 09

Received 09 11

Favorites

Recent

FILE

Favorites

My service

Filing per

FLOW IP

Sent tasks

Deadlines

Ext. transmissions

Reports

ADMINISTRATION

Favourites

Group by heading code

Sort by file title

Export



<div> <div></div> <div></div> </div> <div>(01.05.02.035.020) Corporate IT Governance</div>					
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Email Policy for the Commission 2015-2019</div>				RM EMAIL POLICY 2015-2019	2012 AA7610
<div> <div></div> <div></div> </div> <div>(01.05.04.015.005) Legal basis, horizontal principles and fundamental questions (1.5.4.15.5)</div>					
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Contribution to the 1st revision by the Office for the Administration and Payment of Inheritance. Establishment of its specific retention list</div>				RM ISC DMO REV1	2016 CB6568
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Drafting of the list of types of documents which require a handwritten or a qualified electronic signature</div>					2020 A15628
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Fabrication of the decision on records management and archives (2020)</div>					2020 AF0556
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] First revision of the Common Retention List (CRL)</div>				RM 1ST REVISION CRL	2016 AC6929
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Addition to the DPC and the FDPS under regulation 45/2001 of the Herres Preservation Services (HPS)</div>				RM NOTIFY HPS	2015 AP7091
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Participation of the Commission in the Interinstitutional Working Group on Web Preservation</div>				RM IWG WEP	2014 AP7644
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Second revision of the Common Retention List (CRL)</div>				RM 2ND REVISION CRL	2015 AC7405
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Synergies and efficiencies in the document management domain 2019-2022</div>				RM SYNERGIES DM 2019-2022	2016 AX2172
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Third revision of the Common Retention List (CRL)</div>				RM 3RD REVISION CRL	2016 PA1122
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Works and guidelines to reach a paperless Commission. Collaboration with BUDG, HR and others DGs 2017-2020</div>				RM PAPERLESS COM 2017-2020	2017 AWP715
<div> <div></div> <div></div> </div> <div>(01.05.04.015.005 2019 AX2172) Legal basis, horizontal principles and fundamental questions (1.5.4.15.5)</div>					
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] Synergies and efficiencies - public table</div>				RM SYNERGIES DM PUBLIC	2016 AX2172-1
<div> <div></div> <div></div> </div> <div>(01.05.04.015.010) Policy strategy, forward planning and evaluation (1.5.4.15.10)</div>					
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] e-Domestic Budget 2017-2020</div>				RM BUDGET 2017-2020	2016 C13821
<div> <div></div> <div></div> </div> <div> <div></div> <div></div> </div> <div>[A] e-Domestic Budget 2021-2024</div>				RM BUDGET 2021-2024	2020 BU1915

e-Domestic : Introduction


HR A3


16


MENU <


 **Doc**  **Msg**


DOCUMENT

 E-signatories


 **Assignments** 01


 Received 06


 Favourites

 Recent


FILE


 Favourites


 My service


 **Filing plan**

FOLLOW-UP

 Sent tasks

 Deadlines

 Ext. transmissions

e-l  Reports

Filing plan

My organisation view

My organisation view

Complete View

First level of Filing Plan

- 01. Institution – Commission, Composition & mandate of EC...**
- 02. Future of the Union and institutional questions**
- 03. The Community economic and social area**
- 04. Citizenship and quality of life**
- 05. International Relations**
- 06. Financing of Community activities and the management of financial resources**
- 07. Community law**
- 08. Press, communication and publications**
- 09. Policy Strategy and coordination**
- 10. Administration**
- 12. External action – Common Foreign and Security Policy**
- 15. Activities of the Delegations and Offices of the European Union**

Filing plan

Filing Plan

- [-] [A] (01) Institution – Commission
- [-] [A] (02) Future of the Union and institutional questions
- [-] [A] (03) The Community economic and social area
- [-] [A] (04) Citizenship and quality of life
 - [-] [A] (04.02) Environment
 - [-] [A] (04.03) Education and culture
 - [-] [A] (04.04) Health and Consumer protection
 - [-] [A] (04.04.01) Consumer Policy
 - [-] [A] (04.04.02) Public Health
 - [-] [A] (04.04.03) Food safety, animal health, animal welfare and plant health
 - [-] [A] (04.04.04) Opinions and advice to the Commission of the European C
 - [-] [A] (04.10) Area of freedom, security and justice 2010-
 - [-] [A] (04.20) Climate Action
- [-] [A] (05) International Relations
- [-] [A] (06) Financing of Community activities and the management of financial resources
- [-] [A] (07) Community law
- [-] [A] (08) Press, communication and publications
- [-] [A] (09) Policy Strategy and coordination per DG
- [-] [A] (10) Administration
- [-] [A] (11) Decentralised Agencies and Bodies
- [-] [A] (12) External Action - Common Foreign and security Policy
- [-] [A] (15) Activities of the Delegations and Offices of the European Union in Third Countries and to International Organisations

Thematic tree view
(competences / duties)

Headings identified by a title
and a numeric code

Multi-level
from general to specific

Objective: intellectual
arrangement of files
in function of the different
competence domains /
duties

Fundamental texts:

- **Commission Decision 2002/47/CE, CECA, Euratom:**
Provisions on document management
- **Commission Decision 2004/563/CE:**
Provisions on electronic and digitized documents (DOCELEC)
- **Revision in 2020: Commission Decision of 06/07/2020** on records management and archives (C(2020) 4482 final)

Implementing rules:

- **Reference text:** Implementing rules on Decision C(2020)4482 on records management and archives - SEC(2020)800
 - Capture and registration
 - Filing and records management
 - Validity of digitised content and digital procedures
 - Information security
 - Preservation, transfer and destruction
- **Common retention list (CRL):** SEC (2019) 900/2
 - Definition of the retention period and conditions for files

Fundamental obligations



Protection of personal data:

Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the **Union institutions, bodies, offices and agencies** and on the free movement of such data

Financial regulation:

Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union (budget & financial management, accounting, public procurement and grant allocation, responsibilities of authorising officer, accounting officer, internal auditor, external audit and discharge procedure)

Security dispositions:

Commission Decisions (EU, Euratom) 2015/443 et 2015/444 : Implementation of a corporate security system in the areas of activity of the Commission that require a certain level of confidentiality and establishment of the conditions for exchanging EU classified information

Public access to documents:

Regulation (EC) No 1049/2001 regarding public access to European Parliament, Council and Commission documents and Decision C(2001) 3714: regulation laying down the general principles and limits governing the right of access to documents held by the Commission (drawn up or received by it and in its possession)

Regulation on the opening of archives after 30 years:

Council Regulation (EEC, Euratom) No 354/83 of 1 February 1983 concerning the opening to the public of the historical archives of the European Economic Community and the European Atomic Energy Community

Code of good administrative behaviour:

Annex to the Commission's Rules of Procedure (C(2000) 3614): Principles that form the basis for the relations between the Commission and the public : administrative conduct based on lawfulness, non-discrimination, proportionality of measures taken with the aim pursued, and consistency.

Different actors at the Commission



Commission Level

Information Management Steering Board

General policy

E-Domec team (SG)

Corporate policy implementation

DIGIT
IT-tools

Historical Archives Service (OIB)
Archives management

In every DG's / Units

DMO Document Management Officer

Responsible for document management in the DG

Team of the DMO

Organisation of document management in each DG

DMO correspondent

Organisation of document management in the **unit**

Every staff member

Head of Unit
Administrator
Assistant
Secretary

DPC

Data Protection Coordinator

LSO: Local Security Officer

LISO: Local Informatics Security Officer

RCO: Registry Control Officers

IRM

Informatics correspondent in each DG

DPO: Data protection Officer (Commission)
EDPS: European Data Protection Service (inter-institutional)

HR DS: Security Directorate

Shared competences and responsibilities



Administrative responsibility



Chef de file (Lead Department) =
Head of unit / File manager



- New case
- What needs to be captured
- Where to file documents
- Closed case
- Verify appraisal operations and transfer of files

Technical responsibility



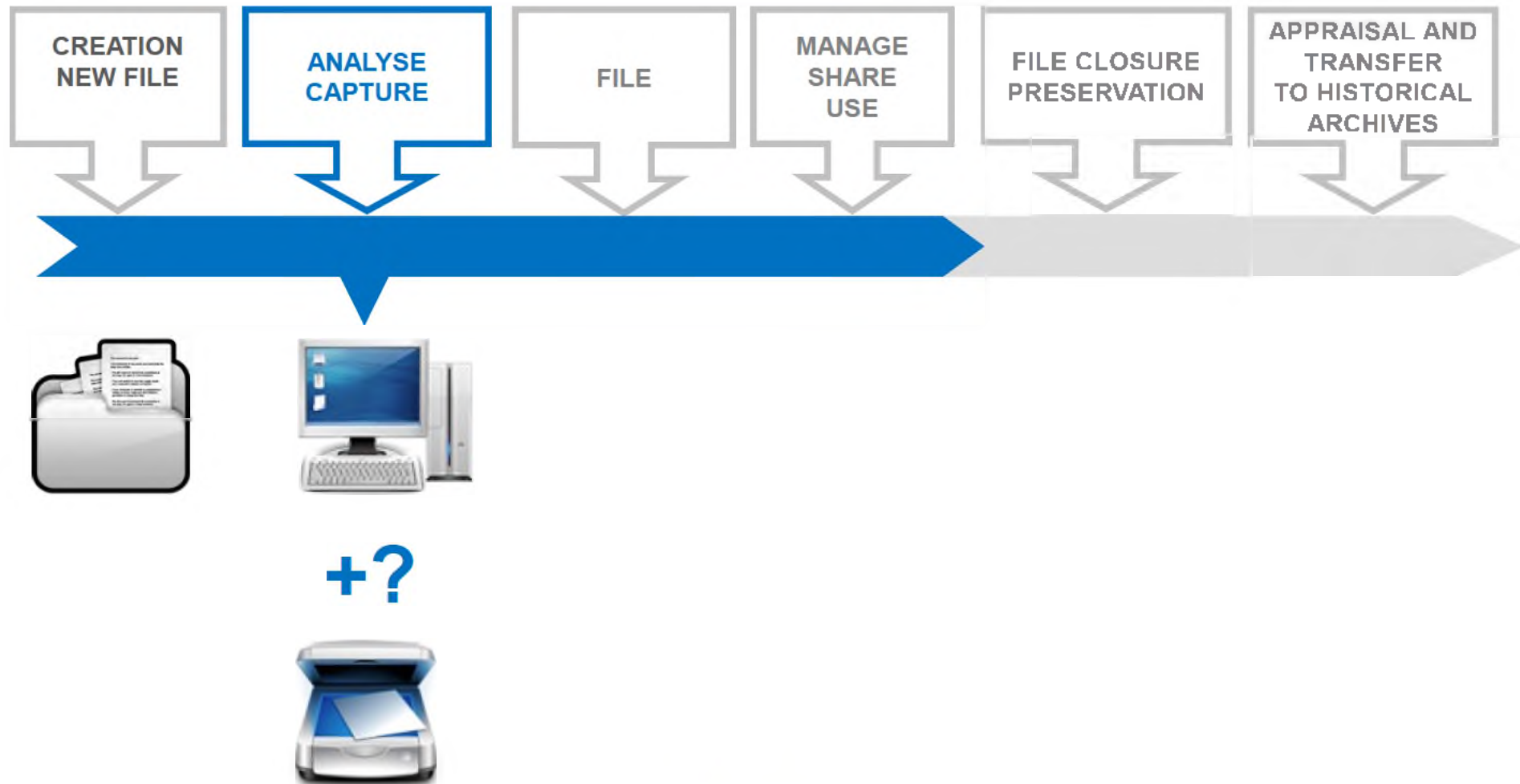
Secretariat / DMO Correspondent /
DMO Team /
Archives service /
File manager



- Create a new file
- How to capture
- How to file
- Close a file in Nomcom
- Preparing files for transfer or elimination



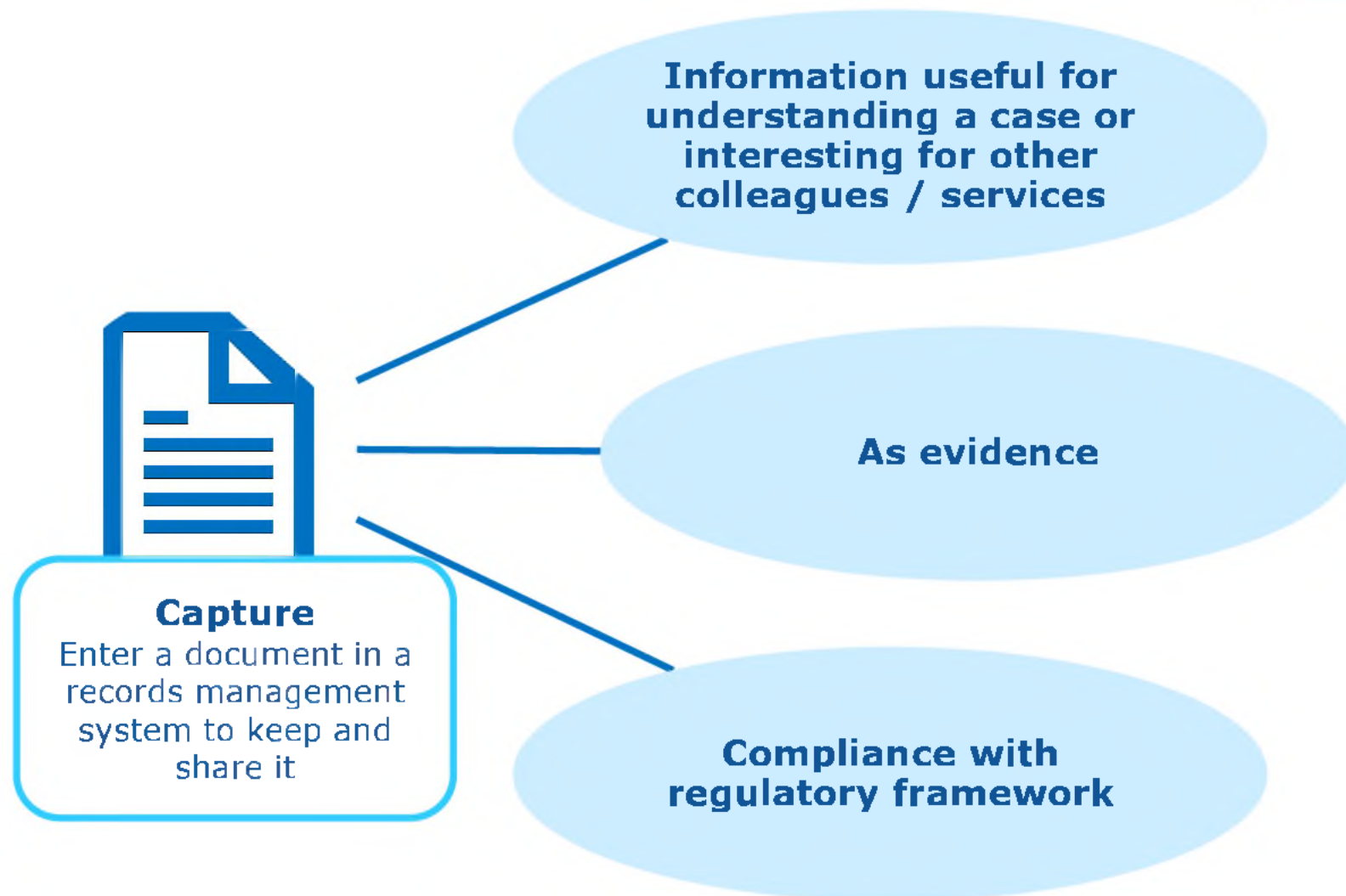
Collaboration



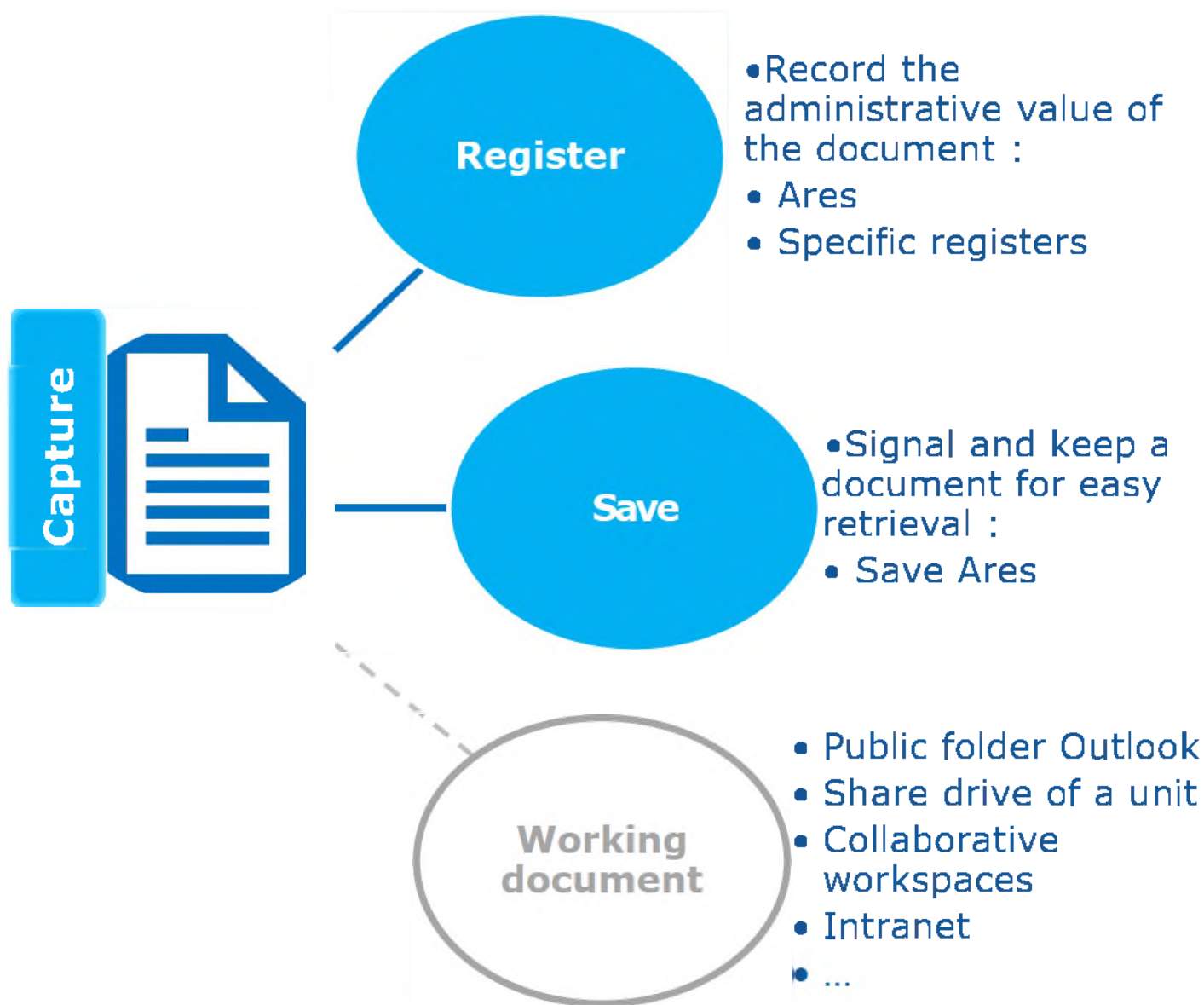
- 2 -

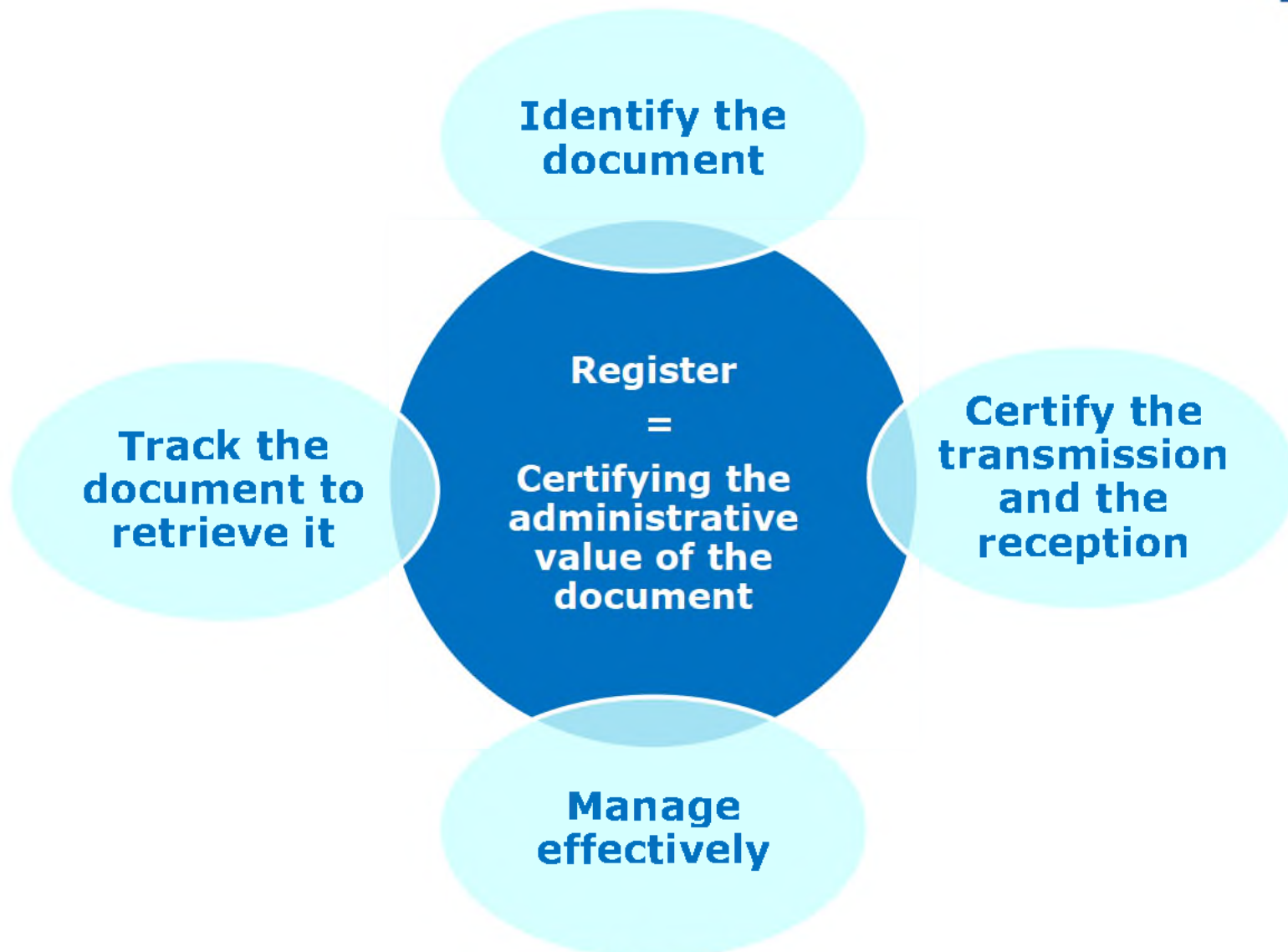
Capture of documents

- **Why capture**
- **Documents to capture**
- **How to capture : register / save**
- **Tools for registration**



Capture = Register / Save





Don't forget

Records management vs Shared drive/Collaborative spaces



R
E
C
O
R
D
S

M
A
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A
G
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M
E
N
T

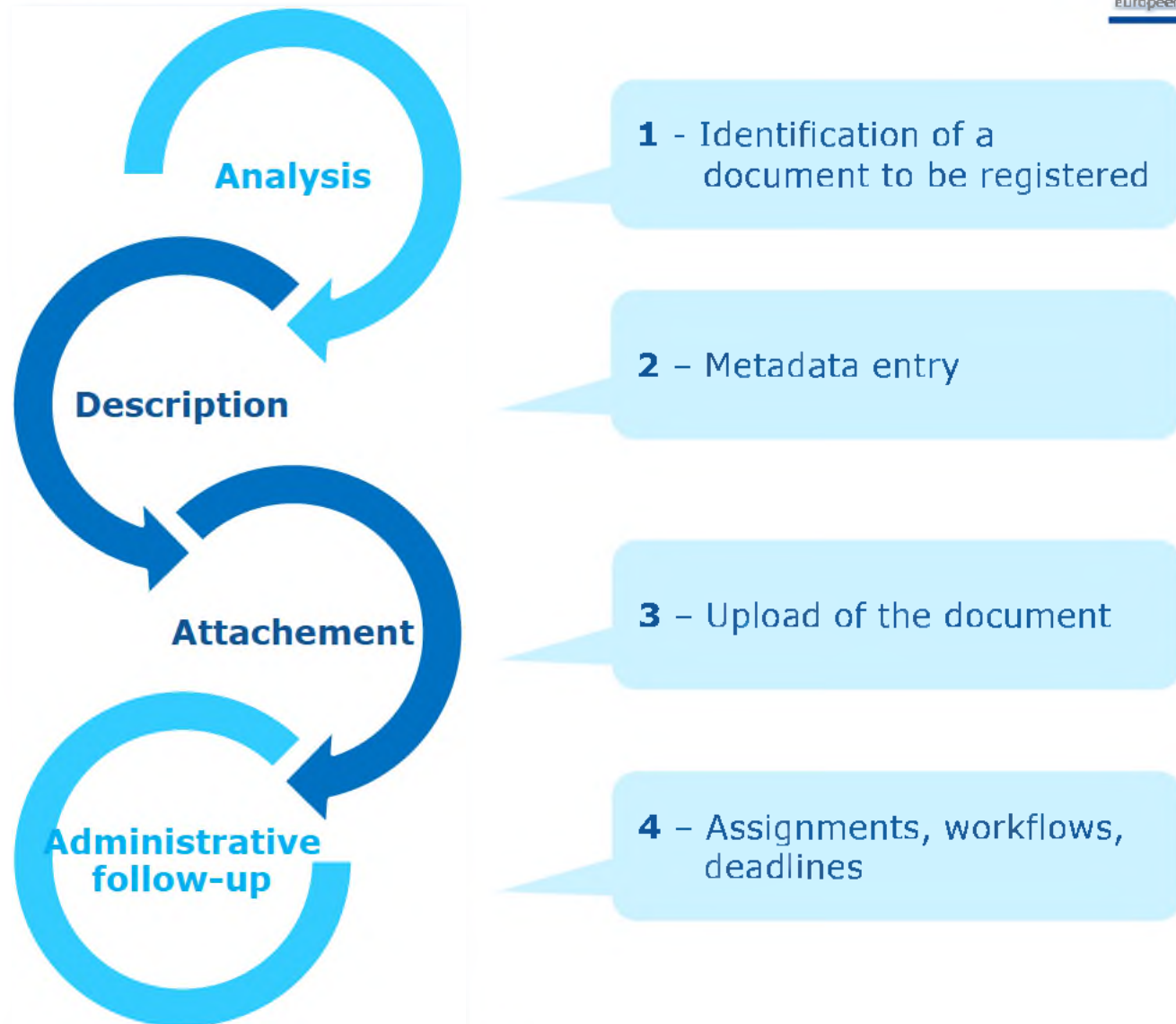
1. **Authentication** : Metadata are captured
= **Registration**
2. **Reliability** : administrative follow-up
= **e-Signatory**
3. **Uniqueness** : Possibility to file the same document in multiple files without duplicating it
= **Filing**
4. **Integrity** : Register document can't be modified or deleted
= **Preservation**

1. Simple document storage : no metadata or descriptive information
2. No e-signatory
3. No means to file a document in multiple files without duplicating it
4. Documents can be modified and deleted at any time, even by mistake !

W
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R
K
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G

S
P
A
C
E

4 stages of registration





Formally drawn up or received

+

- Likely to require an **action, a follow-up or a reply** by a service

+

- Contains information that is **substantial, not short-lived**

- **Effective testimony** of the activity performed



Tip = Document useful for :

- **Audit**
- **Legal disputes**
- **Transmission**
- **Access requests**

Yes

- **Register the document**
- **File the document**

No

- **Useful to keep ?**

Yes

Save and file

= keeps the document in an official repository

No

End

Register

➤ Documents that engage the Institution

- Documents répondant à une exigence légale ou financière
- Formal notes / Communications received or sent
- Minutes of meetings, in particular with other institutions or external partners
- Exchanges with other institutions or external partners
- Briefings, communications, documents explaining or justifying the decisions or actions taken, ...
- Contributions to inter-service consultations or pre-consultations
- Internal documents, even informal (e-mails or note to file) attesting situations or events and serving as a basis for an action carried out on behalf of the Institution
- Instructions, Vademecum (Guidelines)

Do not register / Capture

➤ Documents usefull for the task but not needed to understand the procedures and actions

- Documents distributed in multiple copies (COM, SEC, ...)
- Documents which are handled by a formal procedure in a specific business application (MIPS, SYSPER, ...)
- Preparatory documents (non validated versions)
- Documents exchanged between services without any formal context (e-mails or other documents)
- Information with limited value in time (invitations, ...)
- Information of a personal nature (CV, ...)



- **Important e-mails have to be registered**
- Areslook : simple and effective tool to register e-mails from Outlook
- Systematically installed on all work stations
- Possibility to capture received and sent e-mails
- Converts the email and its attachments to PDF
- Transmission to external correspondents
- Respects the e-Domec rules

Use of Areslook (1)

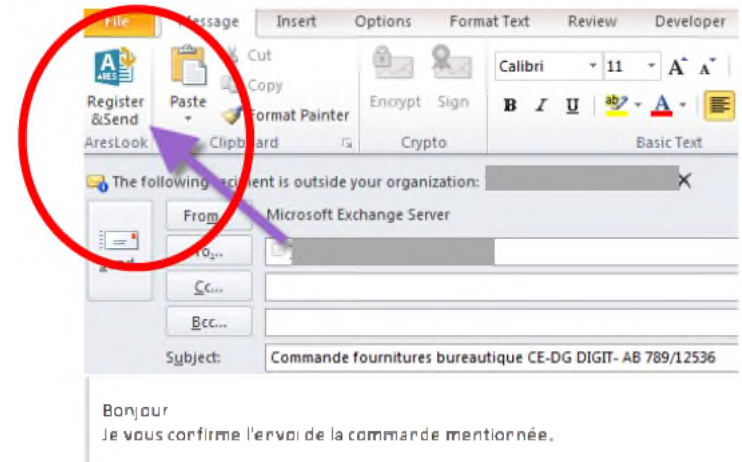
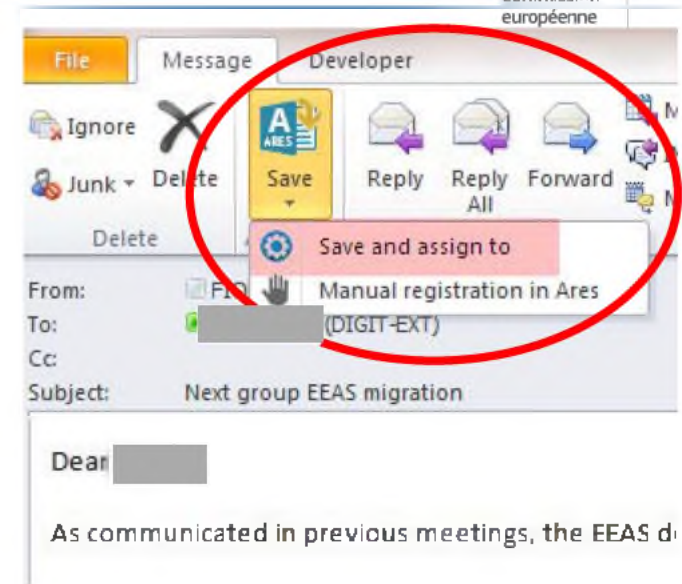


➤ Received E-mails :

- Registration can be by all users
- 2 options :
 - "Save and Assign to" : capture the e-mail in Ares and assign the registration task to someone else
 - "Manuel registration in Ares" : capture in Ares and complete the registration yourself

➤ Outgoing e-mails :

- Registration is only possible for "Advanced profile" in Ares
- Outgoing e-mails addressed tot external recipients :
 - Possibility to use the « External transmission" function in Ares



Areslook : Save and assign to

Import of
favorite files

AresLook 4.0 PLAYGROUND - Incoming mail - Automatic save procedure

Save

From: [redacted] (RTD) Date: 07/09/2017 09:08:59
To: ve_digi@digit.ares.support (DIGIT)
Cc:
Subject: RE: Problem of Delegation IM0015944292

Registration

Assign registration to*: [redacted] (DIGIT) **Check names**

Instruction:

Please assign the filing task or do the filing immediately

Assign the filing task to: **Check names**

Instruction:

Or file it in your favourite file

File code	Specific code	File title	Chief de file	Status	Dissemination
2009-AF8844		Modification objects	digit.b.1.001	ACTIVE	10.01.03-001.001
2009-AF8848		test HRS03	digit.b.1.001	ACTIVE	004
2009-AF8846	HRS	test HRS02	digit.b.1.001	ACTIVE	004
2009-AF8845	HRS	test HRS01	digit.b.1.001	ACTIVE	004

Areslook : Register and send

Areslook 4.2 ACCEPTANCE - Outgoing mail - Automatic registration and send procedure

Send From: FIORE Giovanni (DIGIT) Date: 04-03-2019 11:35:17

To: thiry_laurent@yahoo.com

Cc:

Subject: Commande fournitures bureau/CE DG DIGIT - AB20019-02

Refresh Ares data

Please assign the filing task or do the filing immediately (if not, you will receive a filing task)

Assign the filing task to: **Check names**

Instruction:

Or file it in your favourite files:

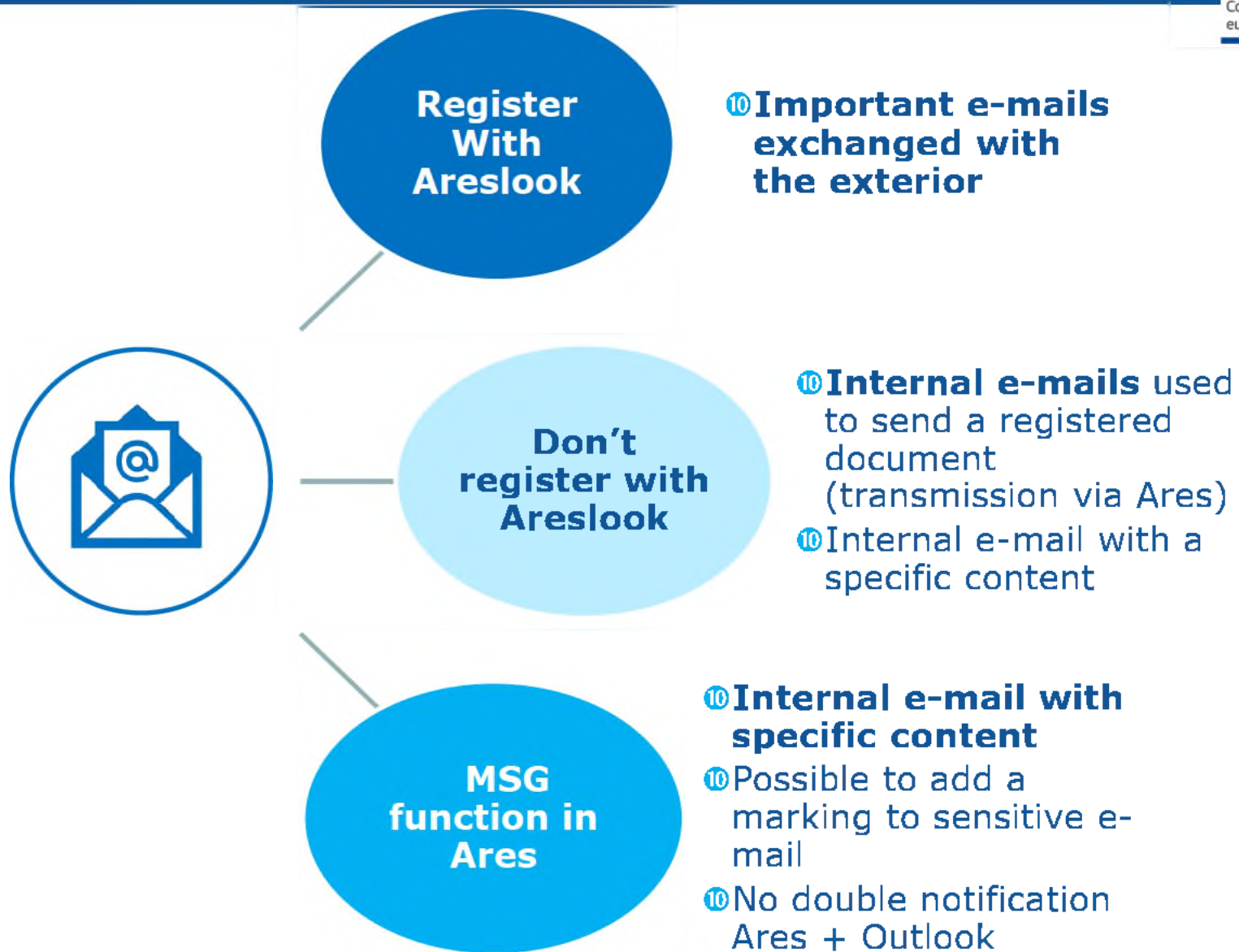
	File code	Specific code	File title	Status	Decimalization
	2008-AA3283	AG/MAN/UNITDIRMEET B1 0002	Réunion de la Direction B 2008	ACTIVE	10.02.06.50.001
	2013-AA0018		Gis File	CLOSED	10.01.01.001.980
	2013-AA0019		Giovanni bed	ACTIVE	10.01.01.001.980
	2014-AA0054	12885	State aid for Angola 2015-2016	ACTIVE	10.01.01.001.050
	2016-AA4589		Ombudsman	ACTIVE	10.01.03.001.001
	2017-AA1449		Go1	ACTIVE	10.01.03.001.001
	2017-AA1450		Go2	ACTIVE	10.01.03.001.001

Info - Areslook 4.2 ACCEPTANCE


Your mail will be registered and sent

OK

Use of Areslook (2)






MSG : Internal message



European Commission

Ares > Internal message creation


 VANLAER Aremieke (vanlaan)
User Service Manager

Attach  Scan 



Cancel Save Register and send

From:



SG.DSG1.C.1) ✕



To:
























 List 


Cc:

 List 


Title:

Message:

B *I* U A                       

Confidentiality level: Normal 

Marking expiry date:



☐ Unlimited

e-Domec : Introduction Marking expiry event:

37

Don't forget !



➤ **Do not forget : E-mails need to be well drafted!**

1. Clear identification of the signing author
2. Clear identification of the main recipient
3. One, and only one, subject is treated
4. A single clearly described subject
5. Absolutely forbidden to send a sensitive e-mail using Outlook
6. List of attached files in the body of the message (name of the file and title of the concerned documents)
7. Indication if any original paper documents will be sent afterwards



➤ **Note for the file** (*Ares*)

- Decisions taken are not present in other documents

➤ **Register**

- Simple summary of documents already registered and filed or Progress note

➤ **Save and file**



➤ **Meeting minutes/ mission reports** (*Ares*)

- Written to trace important information
- Minutes of meetings with lobbyists
- Minutes of informal contacts (Note for the file)

➤ **Hand over** (*Ares*)

➤ **Mission reports** (*Ares*)

➤ **Briefings** (*Basis*)

Exceptions : Requests for information



- General requests for information are not considered as important and are considered ephemeral content
- Reply merely contains (a link to) existing texts and documentation
- **Code of good conduct** : obligation to reply to each individual who addresses a question to the EC within 15 working days
- **No obligation to register** in the general register
- **Retention of requests for information and replies** are kept in a file «Replies to information requests» destroyed after 2 years (Save)



Exercise 1 :

➤ Registration of documents



Formally drawn up or received

+

- Likely to require an **action, a follow-up or a reply** by a service

+

- Contains information that is **substantial, not short-lived**

- **Effective testimony** of the activity performed



Tip = Document useful for :

- **Audit**
- **Legal disputes**
- **Transmission**
- **Access requests**

Yes

- **Register the document**
- **File the document**

No

- **Useful to keep ?**

Yes

Save and file

= keeps the document in an official repository

No

End



Register

Attests the administrative value of a document

- Ares
- Specific registers

Save

Signal / Retain a document for easy retrieval

- Save to Ares
- Lien avec le document
- Filing
- Retention with the option to delete it from the file until the closure of the file



- **Top secret EU** documents
- **Secret EU** documents
- **Confidential EU** documents



- **Restreints EU** documents



Register in specific registers

Register in Ares without attaching the electronic version of the document

➤ Contact your **LSO** : Local Security Officer

➤ **Registration :**

- Register in Ares
- Do not attach and upload the digital version of the document
- File the document
- Retain the document (responsibility of the « Chef de file » / Lead department)

➤ **Redaction :**

- **Object :** if necessary, modify the title of the document to ensure that it does not disclose any classified or sensitive information

➤ **Communication :**

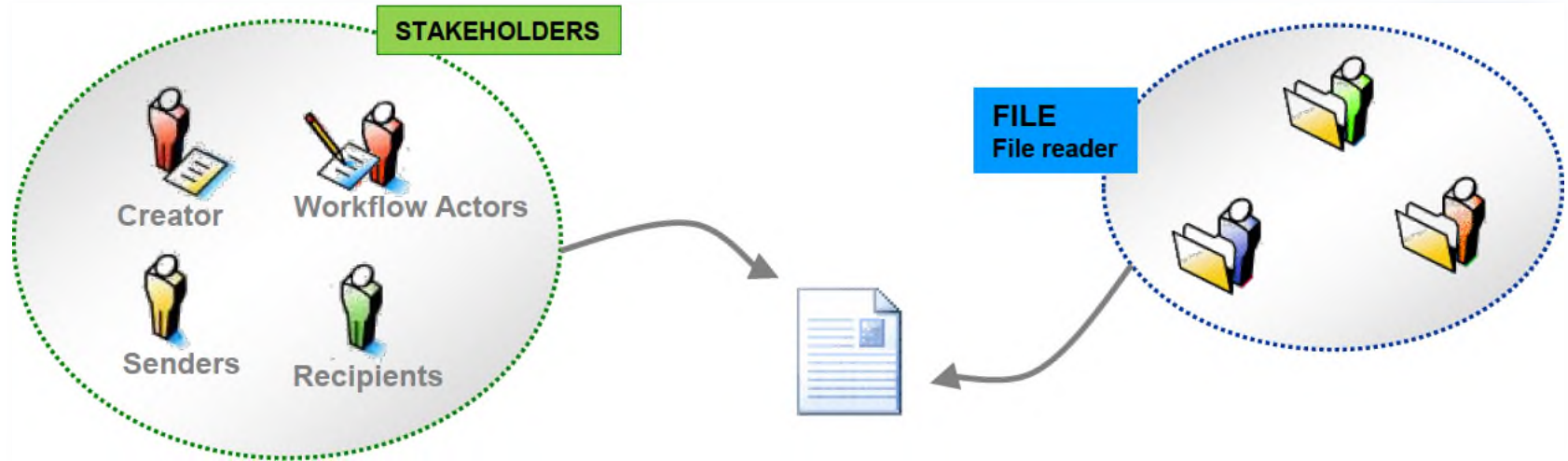
- Do not send via Outlook (not even with SECEM)
- Use RUE (RESTREINT UE) : creation, preservation and distribution of documents under the category "RESTREINT UE/EU RESTRICTED"



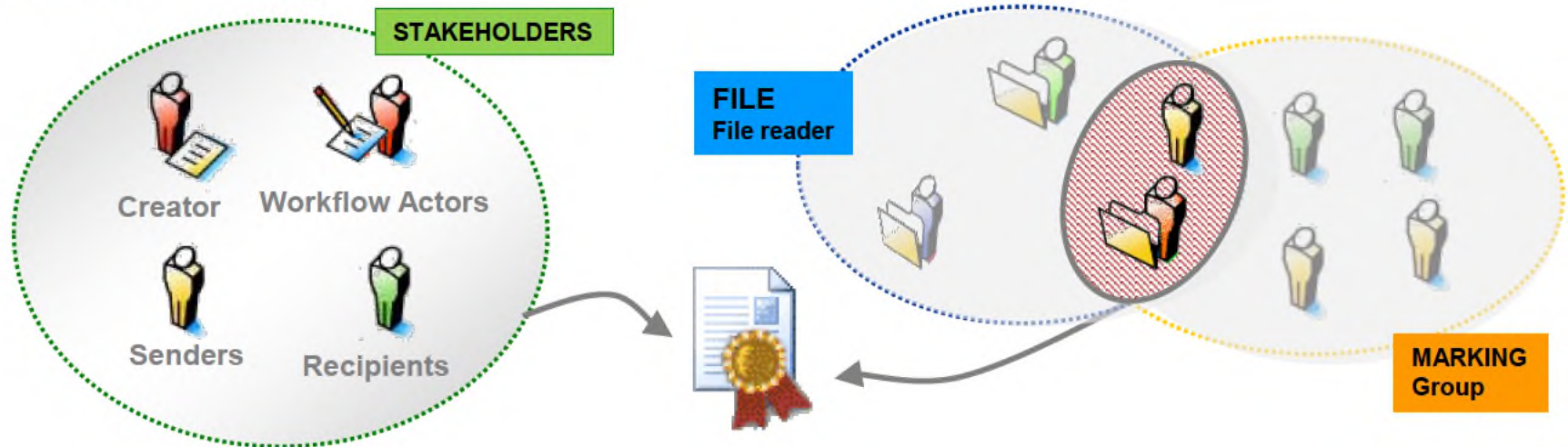
- Information that, because of legal or contractual obligations, needs to be protected = **sensitive non classified**
- **Non authorised disclosure** will not impair or damage the interests of the EU or those of one or more Member states
- **Loss or disclosure could damage :**
 - Individual interests (personal information, medical information, information covered by medical secrecy, disciplinary matters, ...)
 - Commercial interests (trading, ...)
 - Court proceedings, ...
- Attribution of a **marking**

Visibility of a document with a marking

Document without marking



Document with marking



List of markings in Ares



Ares > Document creation

SCYEZ Sébastien (scoyze)
Advanced User

Attach Scan

Cancel Save Register and send

From: [text box] [search icon]

To: [text box] [search icon]
[list icon]

Cc: [text box] [search icon]
[list icon]

Document date: [calendar icon]

Title: [text box]

Confidentiality level: Sensitive Non Classified

Security marking: SENSITIVE [x] [info icon]

Distribution marking: Staff matter [x] [info icon]

Service(s): [text box]

Working group: [text box]

Marking expiry date: [calendar icon] ☐ Unlimited

Marking expiry event: [text box]

Show additional information

« Sensitive non classified » documents with marking



- Not a classification
- Limits the visibility of a document
- List of existing markings established by HR Security directorate team (Security note 01)
- Definition of persons or groups with acces to the document = **marking groups**
- **Management of documents with markings :**
 - Registration in Ares
 - Attachment of the digital version of the document (mind the exceptions)
 - Choice of the appropriate marking
 - Depending on the chosen marking, obligation to indicate an expiry date



- **Information allowing to identify a specific individual**
- **Priority requirement for :**
 - Correspondence from citizens
 - Staff working for the Commission
- **Exceptions :**
 - with the agreement of the concerned person
 - in the interest of the concerned person
 - if there is a legal obligation in the context of a common interest
 - if the information stems from a public register

Flag « Sensitive personal data » (1)

New



- **Goal** : indicate that a document contains sensitive personal data while guaranteeing a sufficient level of protection
- **Principle** : assess on a case-by-case basis depending on the context
- **Examples of uses (*)**



1. Behavioral data (e.g. performance evaluation, evaluation reports)
2. Financial data (e.g. bank account, VAT number)
3. Data on origin, political opinions, religious or philosophical beliefs or trade union membership, genetic data, biometric data, data on health or sex life
4. Data on criminal convictions and offenses
5. Information specific to children, people with special needs, people belonging to minorities, etc.
6. Personal data processed by Union bodies or agencies in the context of activities in the fields of judicial cooperation in criminal matters or police cooperation within the area of freedom, security or justice

(*) all cases can be found under the tooltip

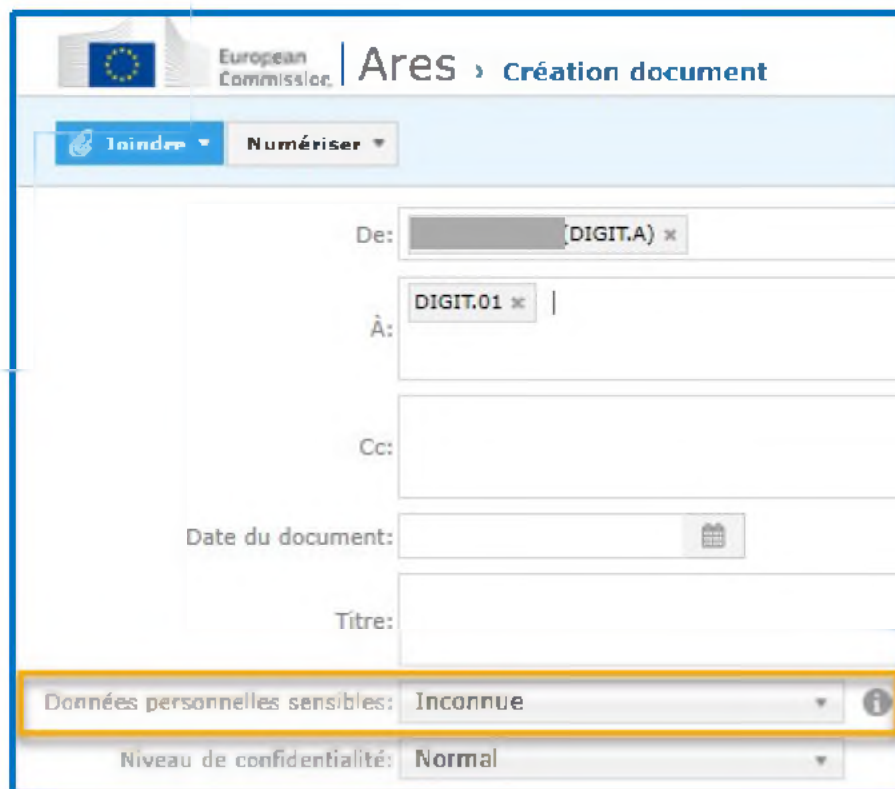
(Ares – Creation of a document)



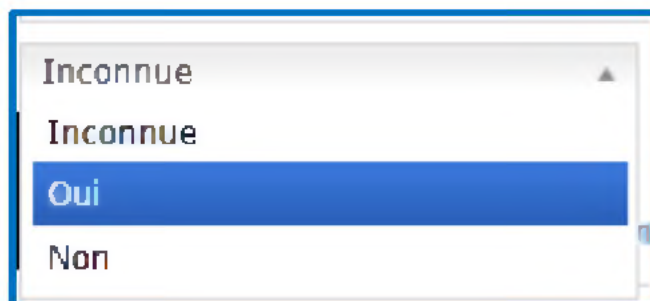
Flag « Sensitive personal data » (2)

New

➤ Implementation in Ares :



The screenshot shows the 'Ares > Création document' form. It includes fields for 'De:', 'À:', 'Cc:', 'Date du document:', and 'Titre:'. At the bottom, there is a dropdown menu for 'Données personnelles sensibles:' which is currently set to 'Inconnue'. This dropdown is highlighted with an orange border. Below it is a 'Niveau de confidentialité:' dropdown set to 'Normal'. An information icon (i) is visible next to the 'Données personnelles sensibles:' dropdown.



The dropdown menu for 'Données personnelles sensibles:' is shown, with the following options: 'Inconnue', 'Inconnue', 'Oui' (highlighted in blue), and 'Non'.


Flag « Sensitive personal data » (3)

New


- **Filing** (principe « need to know »):

- **If Flag = yes** : filing authorized only in files with reduced visibility (red file)



 European Commission


Ares > Modification du document digit.b.2.007(2019)6722

 Représentant Avancé

Vous indiquez que le document contient des 'Données personnelles sensibles'. Les documents contenant des 'Données personnelles sensibles' ne peuvent être classés que dans des dossiers de couleur rouge ('Limité'), sauf s'ils contiennent un timbre. Vous pouvez ajouter un timbre ou déclasser votre document des dossiers dont la visibilité est élevée: '[2018-AA0164]'

- To file in a file with wider visibility (DG or Institution), obligation to put a **Marking**

Classez votre document: digit.b.2.007(2021)5548/ dgdg

 Votre document contient des 'Données personnelles sensibles' et pas de timbre. Il ne peut être classé que dans un dossier de couleur rouge ('Limité').

Favoris

Recherche

Plan de classement

Flag « Sensitive personal data » (4)

New

➤ Visibility of the flag in the document:



❗ Votre document contient des 'Données personnelles sensibles'. Plus de détails à propos des restrictions de traitement ICI

Mise en place du contrat 45-. compte bancaire

☆ N° de sauvegarde: digit.b.2.007(2021)5549

GÉNÉRAL

CLASSFEMENT

ATTRIBUTION

E-SIGNATAIRE

LITEN

De: [REDACTED] (DIGIT.A)
À: [REDACTED] (DIGIT.A.2.002)
Cc:

0 Fichiers

★ Cacher les informations supplémentaires

INFORMATION

Type	Interne
Date du document	
Date de création	11/04/2021
Date d'envoi	
Créateur	[REDACTED] (DIGIT.B.2.007)
Auteur de l'enregistrement	
Document crypté	
Date d'expiration de l'encryption	
Données personnelles sensibles	Oui

SÉCURITÉ ET TIMBRE

Niveau de confidentialité	Normal
Timbre	
Date d'expiration du timbre	
Évènement d'expiration du timbre	
Personne concernée	

CLASSIFICATION / DÉCLASSIFICATION

Date d'expiration de la classification	
Évènement d'expiration de la classification	

CV and spontaneous applications



- Web portal « EU CV on line » is used for the management of these spontaneous applications



- Contact HR of your DG to be fully aware of the procedures in place in your DG

CV and spontaneous applications

Access : Relations with the public > Code of good administrative behaviour > Standard-form letters



The screenshot displays the 'Staff Matters' website interface. The top navigation bar includes links for Commission, News, My DC, Internal transit, Work Resources, Staff Matters, Top Tools, and Who's who. The user is logged in as SOYEZ Sébastien in EN. The main content area is titled 'Welcome to Staff Matters and Staff Contact' and provides instructions on how to find pages and contact services. A sidebar on the left lists various categories: Health, Talent management, fit@work, Working conditions, Ethics and staff conduct, Buildings and mobility, and Relations with the public. The 'Relations with the public' section is highlighted, showing a list of sub-topics: Code of good administrative behaviour, Serving the citizen, Protection of personal data, Interest groups (lobbies), Press and media relations, and Rights of interested parties. A dropdown menu is open for 'Code of good administrative behaviour', showing options: To whom does the Code apply?, Dealing with media, Standard-form letters, and Complaints (from citizens).

Commission News My DC Internal transit Work Resources Staff Matters Top Tools Who's who

SOYEZ Sébastien EN

Staff Matters

AI FRT LEVEL Get your ELWARR app

You are here > My staff room > Staff Matters

My Questions Staff Contact

Staff Contact To contact us, please navigate to a sub-section

CORONAVIRUS - COVID-19 CHECK THE NEWS

Commission News My DC Internal transit Work Resources Staff Matters Top Tools Who's who

SOYEZ Sébastien EN

Staff Matters

You are here > My staff room > Staff Matters > Ethics and staff conduct > Relations with the public

Related information Legislation

Staff Contact To contact us, please navigate to a sub-section

Relations with the public

Relations with the public form an essential part of the Commission's mission, to serve the public interest.

To whom does the Code apply?

Dealing with media

Standard-form letters

Complaints (from citizens)

Public, staff members should be guided by the principles of openness and honesty, the phiness and efficiency.

It is aware that all staff members can have an impact on how the Commission is seen - through their professional activities, as well as in their life outside work. The image people form of the Commission and its staff. In this respect, they are an ambassador for the Commission and the EU institutions.

CV and spontaneous applications

<https://myintracomm.ec.europa.eu/staff/EN/staff-conduct/reactions-with-public/code/Pages/standard-letters.aspx>



Commission News My CG Local Intranets Work Resources Staff Matters Top Tools Who is who

SOYEZ Sébastien EN



Staff Matters

ALERT LEVEL
Get your EUWARN app

You are here > My intracomm > Staff Matters > Ethics and staff conduct > Relations with the public > Code of good administrative behaviour > Standard-form letters

Staff Matters

Ethics and staff conduct

Relations with the public

Code of good administrative behaviour

Standard-form letters

To whom does the Code apply?

Dealing with mail

Complaints (from citizens)

Standard-form letters

Use the standard-form letters below to deal with your correspondence with the public, in accordance with the Code of Good Administrative Behaviour.

Holding letter

If the reply cannot be sent within the 15 working days deadline:

bg - cs - da - de - el - en - es - et - fr - hu - it - lt - lv - mt - nl - pl - pt - ro - fi - sk - sl - sv

Internal memo of transmission to another service

Internal memo reassigning the incoming mail to another department:

ce - en - fr

Reassignment letter

Letter informing the recipient about the reassignment of his/her mail:

bg - cs - da - de - el - en - es - et - fr - hu - it - lt - lv - mt - nl - pl - pt - ro - fi - sk - sl - sv

Suspension of correspondence

Some examples of letters on suspension of correspondence, sent by Commission departments:

ce - en - fr

Spontaneous applications

Reply to a request for recruitment at the Commission:

bg - cs - da - de - el - en - es - et - fr - hu - it - lt - lv - mt - nl - pl - pt - ro - fi - sk - sl - sv

Staff Contact

FR MAIL E2



1 Fundamental rule

- DG HR, PMO and EPSO are the only instances who may manage and preserve the official files of staff working for the Commission
- HR service of a specific DG might manage files which complement the official file with information regarding specific HR related information of a DG



Consequences :

- Units should avoid to create personal files for staff members



But, in case there is an authorisation by the DG to do so :

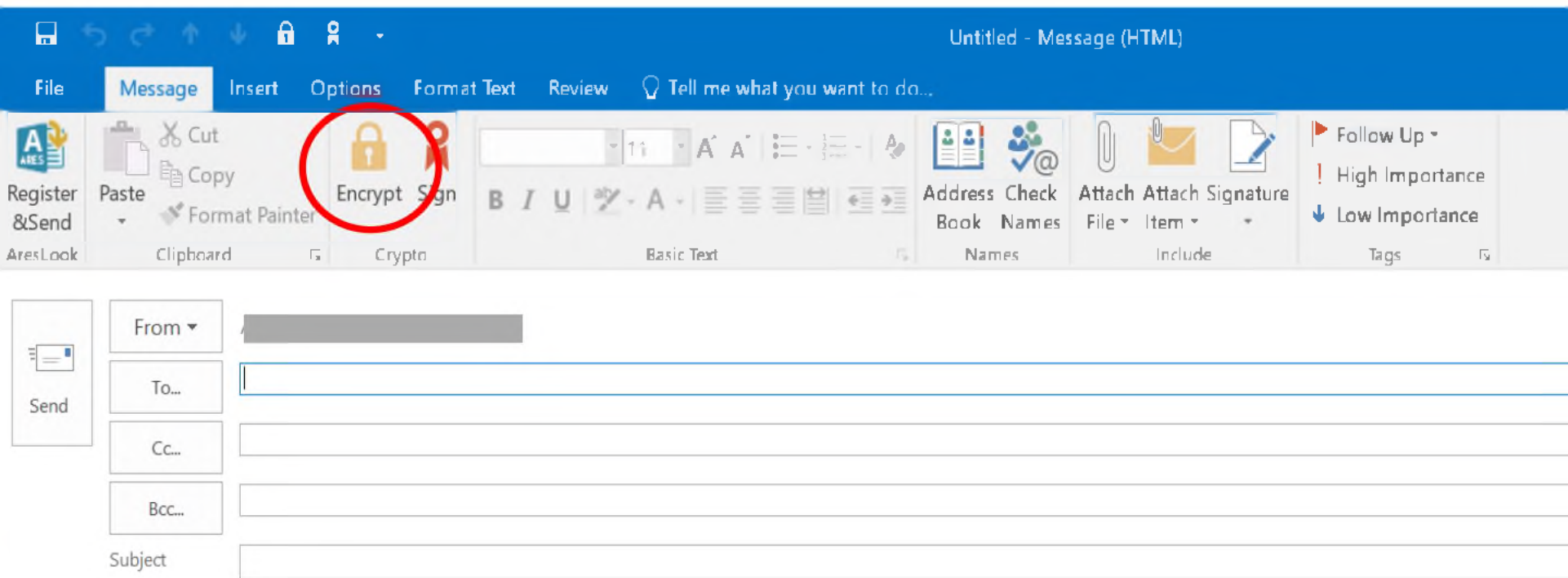
- Ensure a safe preservation environment
- Destruction of the file 4 years after closure
- Please refer to your DMO to be aware of the exact procedures to be respected



- Do not create official files for staff members (except HR service)
- Do not use the name of individuals or any personal information in the metadata of documents
 - *if personal data protection principle applies*
- Use markings to restrict access to the document
- In case of doubt, contact the **DPC** (Data Protection Coordinator) of your DG

SECEM : Secure electronic mail

- Permits users to send and receive encrypted e-mails



- Protects the sensitive communication between colleagues within the Commission or with third parties



Use SECEM

- ⑩ Messages sent to third parties (that also use SECEM) and falling under a level of sensitivity
- ⑩ Internal messages registered in registers other than Ares that do not use the Marking function.

Do not use SECEM

- ⑩ Internal messages with marking = use the MSG function of Ares
- ⑩ Messages containing EU classified information = send by paper mail



- **General register** : tool for the registration of correspondence and general documents : **Ares**



- **Specific registers** : Tools designed for the registration of documents linked to specific procedures and workflows



- **Technical platform**



- **Integrated system** for documents and files management



- **Harmonisation** of records management applications across the Commission



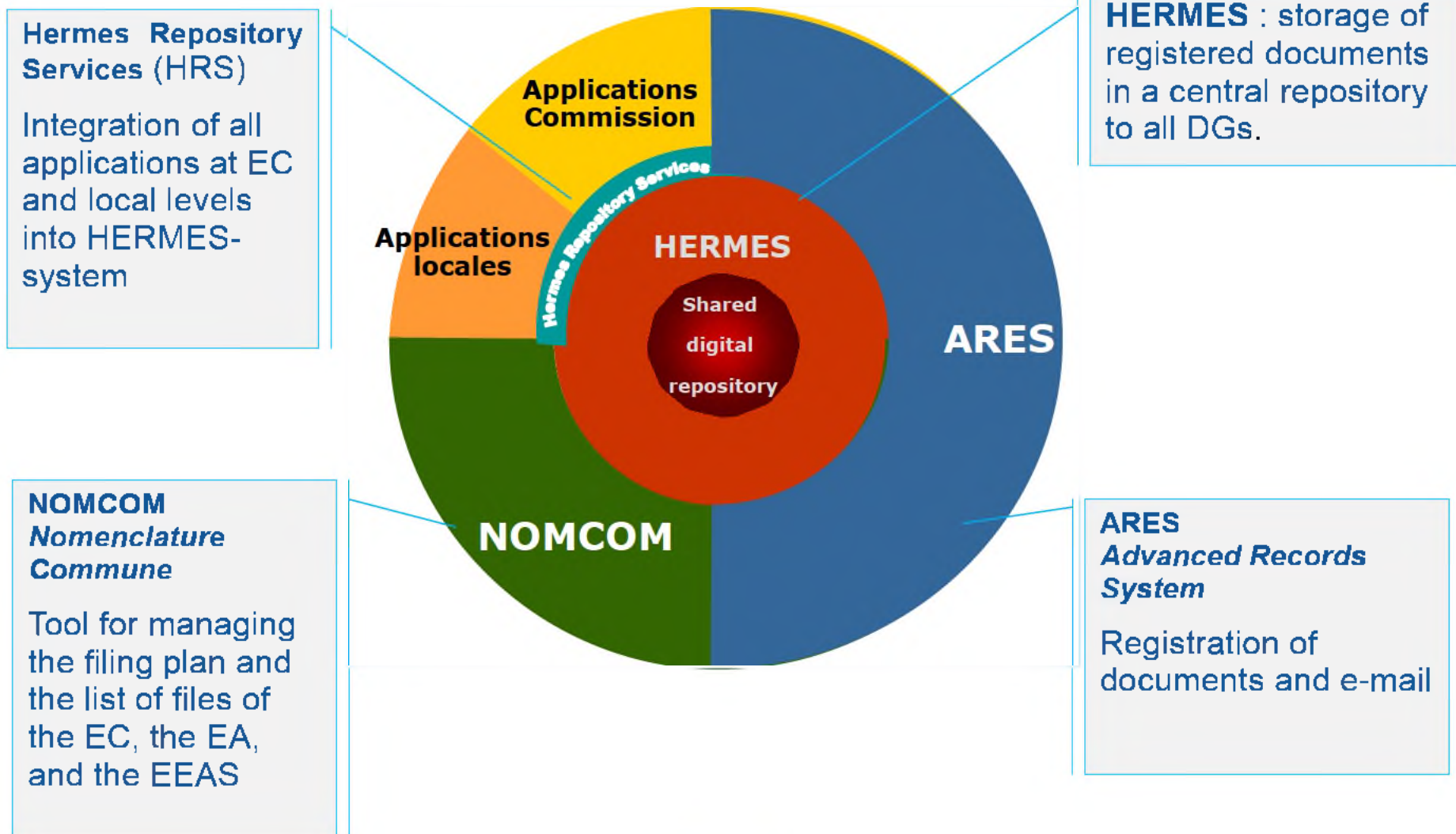
- **Simplification** of working practices within the DGs through the automation of certain tasks



- Storage of **records** in a shared database (**central repository** or shared repository).

- Strict **security and access management**

HAN : organisation



General register

- **Ares**

Specific registers

- ⑩ **Decide** :
Consultation,
e-Greffe
- **ABAC** Contracts
- **THEMIS** : CHAP,
EU PILOT, NIF
- **Basil3**

Applications equivalent to a register

- ⑩ **Sysper 2**
- **MIPS**
- **Poetry**
- **EU Learn**
- **Webdor**
- **Presto**
- ...

Integration Hermes

- ⑩ **Gestdem**
- **Basis** (if
integrated with
Hermes)
- **CRIS**
- **CASE@EC**
- **eGrants**
- **eSubmission**
- **eExperts**
- **PPMT**
- **ASSMAL2**
- ...

**A document must only be registered once,
in the appropriate register**

Ares: tracking tool for official files

Organise

- ⑩ Work in « paperless » mode
 - e-Signataire : document management cycle (workflow) and hierarchical validation
- ⑩ Automatic tracking of tasks

Preserve

- ⑩ Unique registration of every record
- ⑩ Storage of records on a shared Commission server
 - Respect of preservation obligations

Retrieve

- ⑩ File every record in an official file
- ⑩ Search by using the metadata of documents / files + « Full-text »

Guarantee

- ⑩ Management of profiles and delegations (continuity of service)
- ⑩ Management of access rights (documents EU RESTREINT / sensitive non-classified)

Ares : Capture



Ares » Document creation



Advanced User

Attach ▾ **Scan** ▾

Cancel

Save

Register and send

From:



To:



List ▾

Cc:



List ▾

Document date:



Title:

Confidentiality level:

Normal ▾

Marking expiry date:



☐ Unlimited

Marking expiry event:

Show additional information

File immediately:

File document

Assign the filing task to:

Name

Instructions

Cancel

Save

Register and send

Ares : Attachement of the document



European
Commission

Ares > Document creation



Advanced User

Attach

Scan

Cancel

Save

Register and send

C

Cover note

M

Main document

A

Annex

From:



To:



List

Cc:



List

Document date:



Title:

Confidentiality level:

Normal



Marking expiry date:



☐ Unlimited

Marking expiry events:

Show additional information

File immediately:



File document

Assign the filing task to:

Name

Instructions

Cancel

Save

Register and send

Ares: e-Signatory



Creation of e-Signatories

Cancel

Save

Save and launch

Manager(s):

SG.C.1

*

Visibility:

Restricted

☐

There is a parallel paper signatory

Tasks

VISA

DIGIT.B.2.004

Deadline

Type your instructions

VISA

MOVE.SRD.2.001

Type your instructions

SIGN

DIGIT.B.2.004

Type your instructions

Type a name

List

Deadline

Type your instructions

Supporting documents

Add supporting documents

Type	Title	Size	Comments	Actions
Info: No supporting documents have been added. Click on 'Add supporting documents' to add them.				

Cancel

Save

Save and launch

Add / remove staff for this e-Signatory

Check if a paper signatory will be circulated as well

Choose the level of visibility of the e-Signatory after registration

"Manual" user, without access to Ares



- **e-signatory = only valid signatory**
- **Electronic document** = reference document except if a written signature is obligated (*Union law or law of the Member State or third country concerned*)

3 levels of signature :

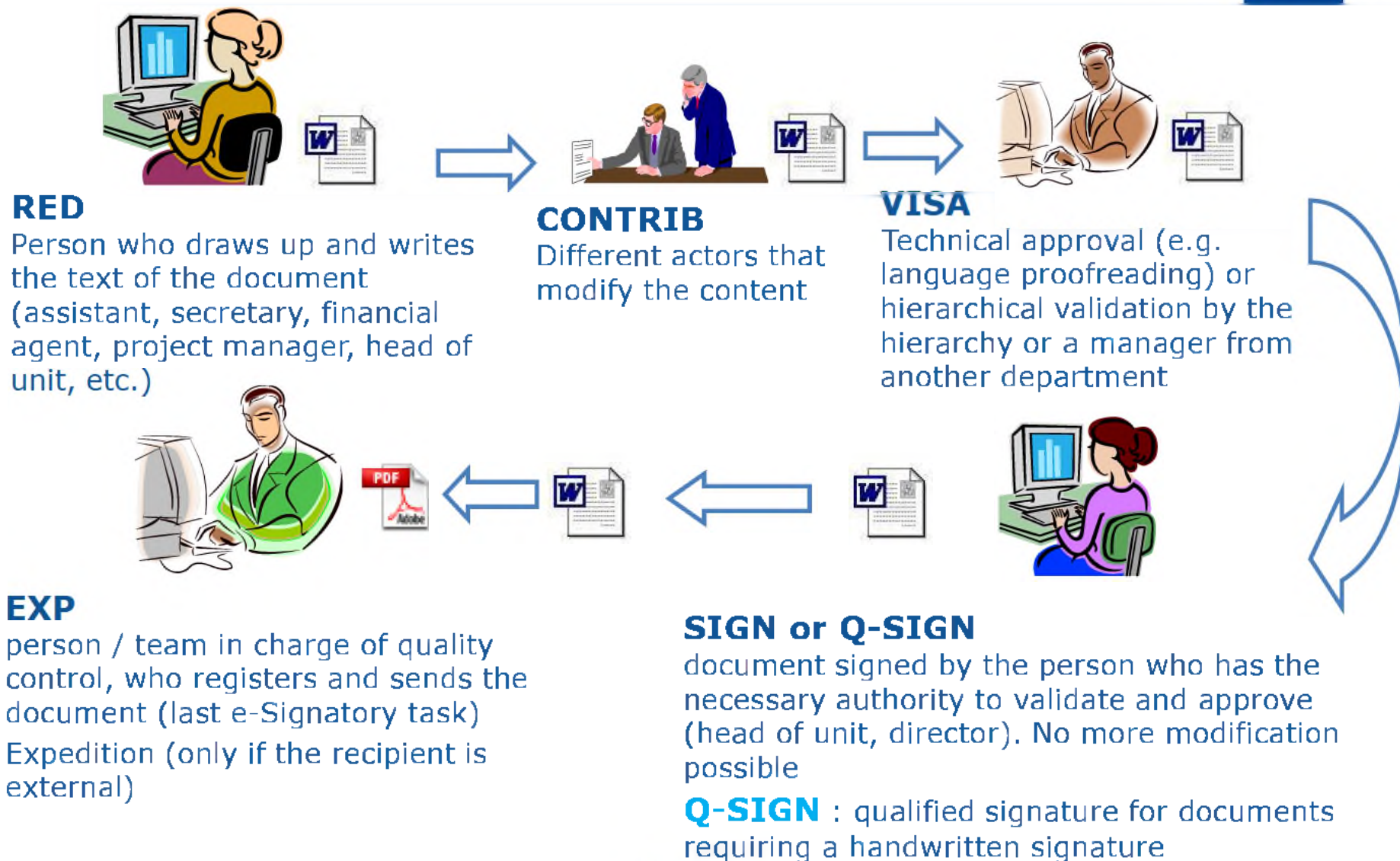
1. **Simple** : task **SIGN**

Certifies the validity of the electronic signature affixed to all documents signed in Ares with **e-stamp**

2. **Advanced (AdES)** : task **SIGN** ended with « **Sign and lock** » by the profile of the person signing (no profile delegation). Certifies with a high level of confidence the validity of the electronic signature affixed to all documents signed in Ares with **e-stamp**

3. **Qualified (QES)** : task **Q-SIGN** : Qualified electronic signature with legal effect equivalent to a handwritten signature

e-Signatory : procedure

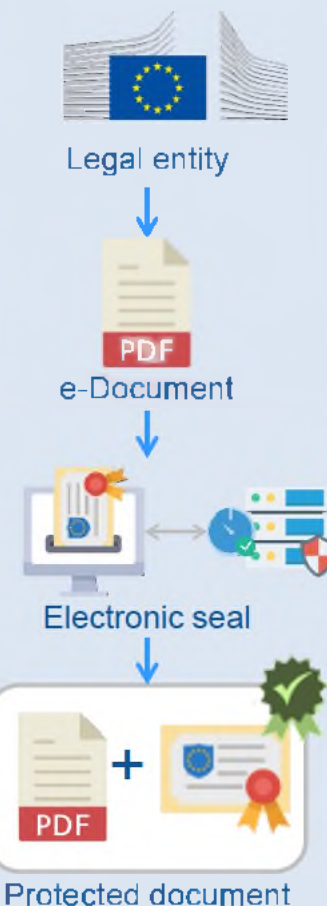


Electronic signature



- **Electronic signature (e-signature)** : certifies that the document has been electronically signed in the system by a **natural person** in application of the internal rules of the Commission
- **Electronic seal (e-Seal)** :
- guarantees the integrity of the content and the accuracy of the origin of the documents (**legal entity**)

Electronic seal

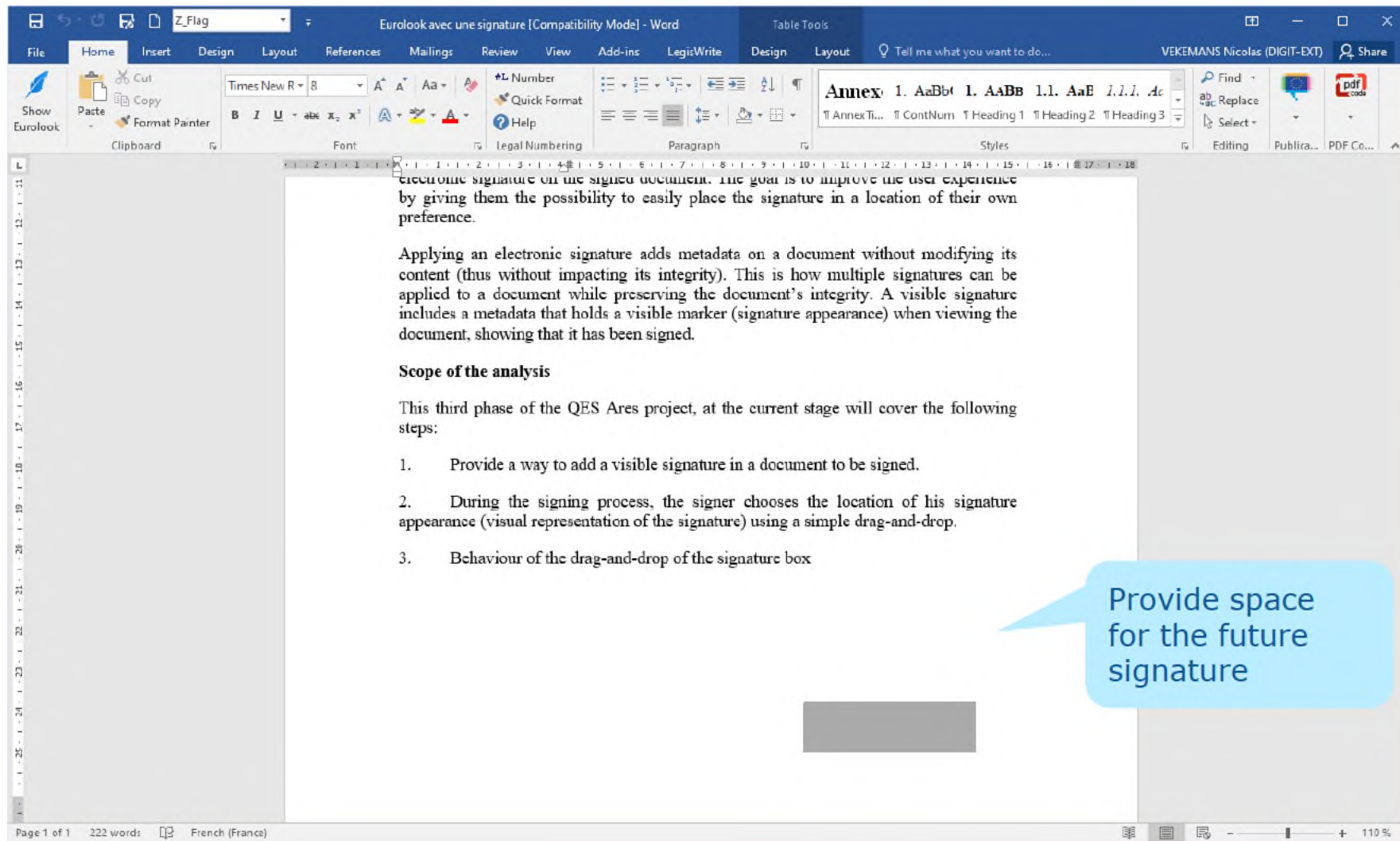




Principle of use:

- Use only for documents requiring a signature at the highest level available
- **EU Level** : 2 options for documents requiring a signature at the highest level: handwritten signature or qualified electronic signature (depending on the medium)
- **Commission Level** :
 - Any document created at the Commission is electronic by default (with some exceptions)
 - **QES** : highest level signature by default (handwritten signature used only for exceptional cases)
 - Authorized only for users with a qualified electronic signature certificate (2,500 to 3,000 agents at the end of Q1 2021)
 - Attribution by the IRM

Q-SIGN: prepare the document for signing



Annex 1. AaBb 1. AaBb 1.1. AaE 1.1.1. AaE

1. AnnexTi... 1. ContNum 1. Heading 1 1. Heading 2 1. Heading 3

electronic signature on the signed document. The goal is to improve the user experience by giving them the possibility to easily place the signature in a location of their own preference.

Applying an electronic signature adds metadata on a document without modifying its content (thus without impacting its integrity). This is how multiple signatures can be applied to a document while preserving the document's integrity. A visible signature includes a metadata that holds a visible marker (signature appearance) when viewing the document, showing that it has been signed.

Scope of the analysis

This third phase of the QES Ares project, at the current stage will cover the following steps:

1. Provide a way to add a visible signature in a document to be signed.
2. During the signing process, the signer chooses the location of his signature appearance (visual representation of the signature) using a simple drag-and-drop.
3. Behaviour of the drag-and-drop of the signature box

Provide space for the future signature

Page 1 of 1 222 words French (France) 110 %

Q-SIGN : Qualified electronic signature (1)



Test 2020.11.19 II

[Modify / Register](#) [Actions](#)

☆ Save number: sg.dsg1.c.1(2020)5449

GENERAL

FILING

ASSIGNMENT

E-SIGNATORY

LINK

2 Attachments

[Preview attachments](#)

APC doc

ESTONIAN

Mein

Personne à signer
liée par la CE - ...

SLCVAK

Annex

My in-rt task

Action code: Q-SIGN

Assigned by: SG.DSG1.C.1)

Instructions:

To : SG.DSG1.C.1)

Critical: No

Deadline:

Read on: 19/11/2020

[Q-SIGN](#) [Decline](#) [Delegate](#)

Q-SIGN: Qualified electronic signature (2)

Navigation
within the
document

< First < Previous Next > Last > Page 1 of 1

 COMMISSION EUROPÉENNE
SECÉTARIAT GÉNÉRAL
Direction Générale des Transports, de l'Énergie et des Infrastructures
SG C3 - Transports, Gestion des Infrastructures & Accès aux documents

Bruxelles

QES APP 3 - YOUR SIGNATURE AREA

Objet: Analyse document

Ref: SG Dpt 1001

Introduction

The purpose of this document is to describe how the QES (Qualified Electronic Signature) process will include the possibility to add a visual representation of the electronic signature on the signed document. The goal is to improve the user experience by giving them the possibility to easily place the signature in a location of their own preference.

Applying an electronic signature adds metadata on a document without modifying its content (this without impacting its integrity). This is how multiple signatures can be applied to a document while preserving the document's integrity. A visible signature includes a metadata that holds a visible marker (signature appearance) when viewing the document, showing that it has been signed.

Scope of the analysis

This third phase of the QES Axes project at the current stage will cover the following steps:

1. Provide a way to add a visible signature in a document to be signed.
2. During the signing process, the signer chooses the location of his signature appearance (visual representation of the signature) using a simple drag-and-drop.
3. Behaviour of the drag and drop of the signature box:

Signature box:
(Move the box to the desired location)

Sign attachment

You will sign electronically the attachment flagged for signature. After finishing this task, your attachment will be protected against any further modification, addition or elimination.

Please note that this action is irreversible.

Comments

Checkbox to get a signature box, so anyone can add a visible signature (box checked by default)

Attachment 1 of 1

☒ Insert visible signature


Click on the document preview to put the signature box that can be moved.

Sign

Cancel

Q-SIGN: Qualified electronic signature (3)

Signer la fiche "contrat-xyz.docx" - Nombre total de destinataire(s) à signer: 1



European
Commission

Signature Authorization


Signature of the document was requested :
EU Sign request for 'contrat-xyz.docx'

Please enter the code that was sent to your mobile phone

Signature Code : 123456 [Resend SMS](#)

[Submit](#)

She receives a validation code



- Indication of the validation code received by SMS

Q-SIGN: Qualified electronic signature (4)

Home Tools control-xyz.pdf

Signed and all signatures are valid.

COMMISSION EUROPEENNE
SECRETARIAT GÉNÉRAL
Direction C - Transparence, Efficacité & Ressources
SG.C.1 - Transparence, Gestion documentaire & Accès aux documents

Ref: Ares(2020)123456789 26/06/2020
With qualified electronic signature(s)

Return/Recevoir

QES STEP 1 => 1. SIGNATURE IN ARES

Objet: Analyse document

Ref: SG/Digit 2021

Introduction

The purpose of this document is to describe how the QES (Qualified Electronic Signature) process will include the possibility to add a visual representation of the electronic signature on the signed document. The goal is to improve the user experience by giving them the possibility to easily place the signature in a location of their own preference.

Applying an electronic signature adds metadata on a document without modifying its content (this without impacting its integrity). This is how making a signature can be applied on a document while preserving the document's integrity. A visible signature includes a metadata that holds a visible marker (signature appearance) when viewing the document, showing that it has been signed.

Scope of the analysis

This third phase of the QES Ares project, at the current stage will cover the following steps:



1. Provide a way to add a visible signature on a document to be signed
2. During the signing process, the signer chooses the location of his signature appearance (visual representation of the signature) using a simple drag and drop
3. Behaviour of the drag and drop of the signature here:

With qualified electronic signature by:
Date 2021-02-16 16:21:31 UTC



Fredrick DAVFRD1
Policy Officer

With qualified electronic signature by:
Date 2021-02-16 16:21:31 UTC

Q-SIGN: Qualified electronic signature (5)

GENERAL	FILING	ASSIGNMENT	E-SIGNATORY
<p>From:  (DIGIT.B.2.004)</p> <p>To:</p> <p>Cc:</p> <p>Signed by:  (DIGIT.B.2.004)</p>			


Simple Signature Icon

GENERAL	FILING	ASSIGNMENT	E-SIGNATORY
<p>From:  (DIGIT.B.2.004)</p> <p>To: (SG.DSG1.C.1)</p> <p>Cc:</p> <p>Signed by:  on 04/06/2020 17:02:09 via Ares</p>			

Advanced Signature Icon

Extension du contrat n° 12- article 12

☆ Reg. number: **Ares(2020)866** Save number: digit.b.2.007(2020)1693

GENERAL	FILING	ASSIGNMENT	E-SIGNATORY	LINK
<p>From: (SG.DSG1.C.1)</p> <p>To: (DIGIT.B.2.004)</p> <p>Cc:</p> <p>Signed by:  on 19/04/2021 19:21:14 via Ares</p>				

Qualified Signature Icon

Q-SIGN : Qualified electronic signature (6)

The blue banner is the
signature panel in Acrobat

The green sign shows
that the signatures
[& seals] are valid

See the detail of
the signature(s)

Signed and all signatures are valid.

Signatures

Validate All

Rev 1: Signed by [redacted]

Signature is valid:
Source of Trust obtained from European Union Trusted Lists (EUTL).
This is a Qualified Electronic Signature according to EU Regulation 910/2014
Document has not been modified since this signature was applied
Signer's identity is valid
The signature includes an embedded timestamp
Signature is not LTV enabled and will expire after 2023/05/22 00:59:59 +01'00'

Signature Details
Last Checked: 2021/01/18 12:09:57 +01'00'
Field: Signature1 (invisible signature)
[Click to view this version](#)

Rev 2: Signed by EC_SG

Signature is valid:
Source of Trust obtained from European Union Trusted Lists (EUTL).
This is a Qualified Electronic Seal according to EU Regulation 910/2014
Document has not been modified since this signature was applied
Signer's identity is valid
The signature includes an embedded timestamp
Signature is not LTV enabled and will expire after 2021/03/07 12:01:00 +01'00'

Signature Details
Last Checked: 2021/01/18 12:09:57 +01'00'

Ares : Follow-up of tasks

My e-signatory tasks

E-signatory of my roles

1 - 18 of 18

Sort by: Most recently received

Export Show 50

☐ Filters: Deadline

All (01/01/08 - 12/12/50)

All

RED

CONTRIB

VISA

Q-SIGN

QES-IN

QES-OUT

SIGN

EXP

FWUP

Unread

☆

check QES

2

Q-SIGN

Assigned by [redacted] (SG.C.1)

Save number **sg.c.1(2021)4476** Created on 08/03/2021

Q-SIGN

Decline

Delegate

Modify

Preview actors

Preview attachment(s)

☆

VE and final round

3

QES-OUT

Assigned by **ve_sg.edomec** (SG.DSG1.C.1)

Instructions **it's your time**

Warning: The next person in the e-Signatory is not a user of Ares. Please submit the document for signature by other appropriate means.

Finish

Decline

Delegate

Modify

Preview actors

Preview attachment(s)

☆

qffe

1

CONTRIB

Assigned by [redacted] (SG.DSG1.C.1)

Instructions **please change to SIGN**

Finish

Decline

Delegate

Modify

Preview actors

Preview attachment(s)

☆

double délégation

1

VISA

Assigned by [redacted] (SG.DSG1.C.1)

Instructions **test**

Finish

Decline

Delegate

Modify

Preview actors

Preview attachment(s)

☆

phrlhhd

2

VISA

Assigned by [redacted] (SG.DSG1.C.1)

Save number **sg.dsg1.c.1(2020)6446** Created on 02/12/2020

Finish

Decline

Delegate

Modify

Preview actors

Preview attachment(s)

Ares : Follow-up of tasks



My assignment tasks

Assignments of my roles

1 - 5 of 5

Sort by: Most recently received

Export

Filters: Deadline

All (01/01/08 - 12/12/50)

All

CF

ASOC

INFO

CLASS

ANNUL

Unread

Meeting Minutes & Follow-up (OIB-SG) - 22/10/2020

1

CLASS

Assigned by [redacted] (SG.DSG1.C.1)

Instructions: A classer dans répertoire ad-hoc

File

Back to sender

Delegate

Assign task

Preview attachment(s)

Save number

sg.dsg1.c.1(2020)7086281

Created on: 26/11/2020

A-REP HAS for CLAF

1

INFO

Assigned by [redacted] (OIB.OS.1.002)

Finish

Back to sender

Delegate

Assign task

Preview attachment(s)

Registration number

Ares(2019)1353560

Registered on: 22/05/2019

Save number

claf.c_1 dir(2019)8762044

Framework Partnership Agreement for the management of the EU Historical Archives by the European University Institute

1

INFO

Assigned by [redacted] (OIB.OS.1.002)

Finish

Back to sender

Delegate

Assign task

Preview attachment(s)

Registration number

Ares(2019)1767067

Registered on: 18/03/2019

Save number

sg.dsg1.c.1(2019)2072856

Business case for the new Archives Management System – for information and comments

6

INFO

Assigned by [redacted] (OIB.OS.1.002)

Finish

Back to sender

Delegate

Assign task

Preview attachment(s)

Registration number

Ares(2020)507301

Registered on: 27/01/2020

Save number

sg.dsg1.c.1(2020)885829

RE: Visit of archives students from the University of Amsterdam

7

INFO

Assigned by [redacted] (OIB.OS.1.002)

Finish

Back to sender

Delegate

Assign task

Preview attachment(s)

Registration number

Ares(2018)3109105

Registered on: 13/06/2018

Save number

oib.os.1.002(2018)8474645

Annulation of validity of a registered document (1)



Basic document management rule within the Commission:

- No elimination of registered documents in Ares except when elimination is legally scheduled

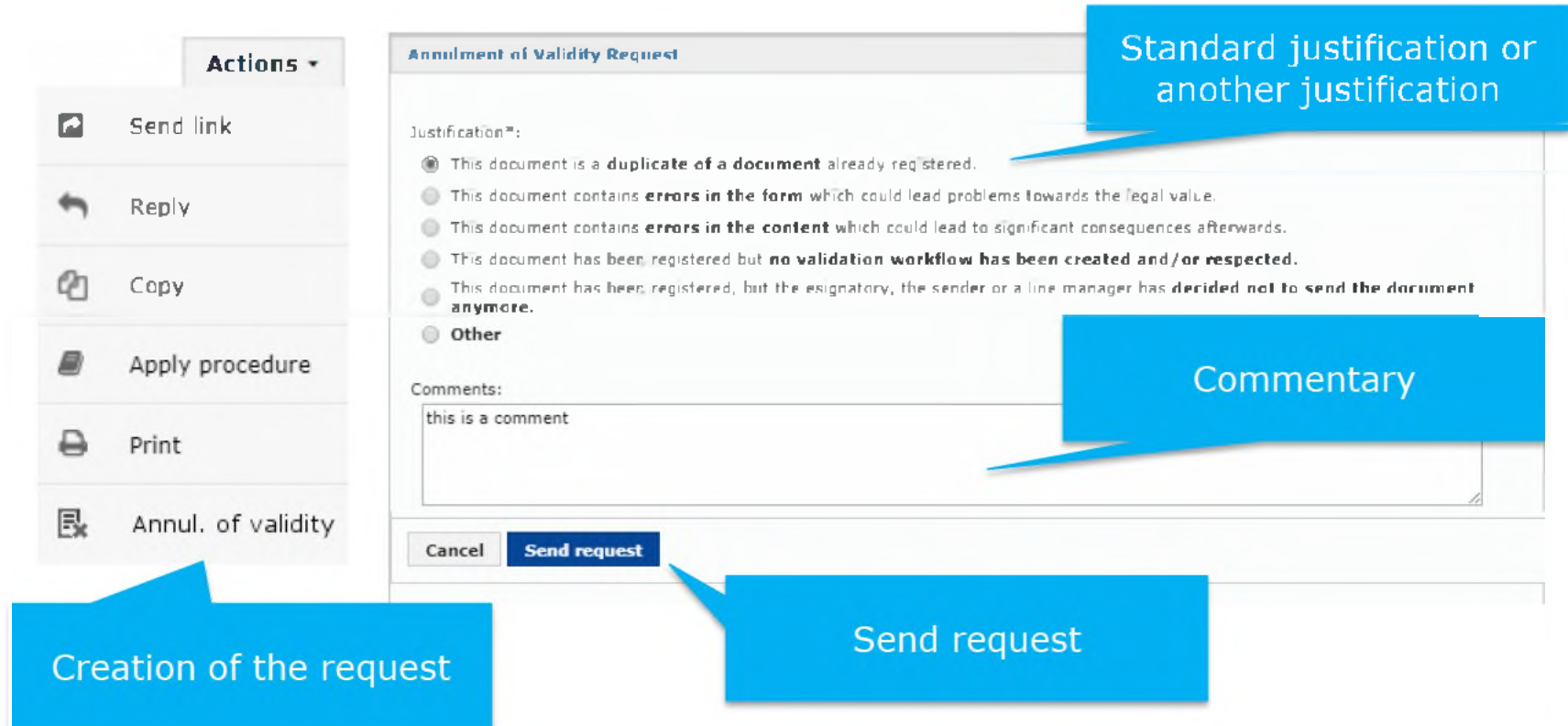
But documents can be registered by mistake (doubles, errors, change of opinion, ...)

Request for annulation is possible except:

- Document is already transmitted via "External transmissions"
- Document is already transmitted via Areslook « Register & Send » to external recipients
- Document made available via the external repository services of HAN
- Document made available to the public (ex.: procedure for public access to documents)
- document registered for more than 30 days

Annulation of validity of a registered document (2)

Annulment of Validity request by a user:



The screenshot shows a web interface for submitting an 'Annulment of Validity Request'. On the left, an 'Actions' dropdown menu is open, showing options: 'Send link', 'Reply', 'Copy', 'Apply procedure', 'Print', and 'Annul. of validity'. The main form is titled 'Annulment of Validity Request' and contains a 'Justification' section with five radio button options: 'This document is a duplicate of a document already registered.', 'This document contains errors in the form which could lead problems towards the legal value.', 'This document contains errors in the content which could lead to significant consequences afterwards.', 'This document has been registered but no validation workflow has been created and/or respected.', and 'This document has been registered, but the signatory, the sender or a line manager has decided not to send the document anymore.'. Below this is a 'Comments' text area with the placeholder text 'this is a comment'. At the bottom of the form are 'Cancel' and 'Send request' buttons. Four blue callout boxes provide additional context: 'Standard justification or another justification' points to the justification options; 'Commentary' points to the comments text area; 'Send request' points to the 'Send request' button; and 'Creation of the request' points to the 'Annul. of validity' option in the actions menu.

Actions

- Send link
- Reply
- Copy
- Apply procedure
- Print
- Annul. of validity

Annulment of Validity Request

Justification*:

- ☒ This document is a **duplicate of a document** already registered.
- ☐ This document contains **errors in the form** which could lead problems towards the legal value.
- ☐ This document contains **errors in the content** which could lead to significant consequences afterwards.
- ☐ This document has been registered but **no validation workflow has been created and/or respected**.
- ☐ This document has been registered, but the signatory, the sender or a line manager has **decided not to send the document anymore**.
- ☐ **Other**

Comments:

this is a comment

Cancel Send request

Standard justification or another justification

Commentary

Send request

Creation of the request

Annulment of validity of a registered document (3)

Annulment of validity management by the DMO/CAD:

Annulment of Validity

Requested by : [Name of the agent doing the request] [DIGIT.8.2.004]

Justification:

- ☐ This document is a **Duplicate of a document** already registered.
- ☒ This document contains **errors in the form** which could lead to legal problems towards the legal value.
- ☐ This document contains **errors in the content** which could lead to significant consequences afterwards.
- ☐ This document has been registered but **no validation workflow has been created and/or respected**.
- ☐ This document has been registered, but the signatory, the sender or a line manager has **decided not to send the document anymore**.
- ☐ **Other**

Comments:
[Lorem ipsum dolor sit amet, ...]

Notify the stakeholders ☐

Cancel Reject request Confirm annulment

Confirm validity annulment

Pre-filled form with information provided by the agent doing the request

Possibility to notify the stakeholders

Possibility to reject or accept the request for annulation

Annulation of validity of a registered document (4)

After the annulment of validity



Document with an annulled validity

The validity of this document has been annulled.

As a consequence, the document has been eliminated and you can no longer retrieve it.

You can contact your DMO for the preserved metadata.

If a user tries to access the document (through search...)

Access to saved metadata possible by Ares support

Document details			
Title:	Innem : gain		
Size number:	4 a 1 P 2120 09137726		
Creation date:	26/02/2018		
Status:	Validity annulled		
Registration number:	Annel201610663		
Registration date:	26/02/2018		
Level of confidentiality:	Norm 2		
Working name:			

Annulment of validity			
Senders		Recipients	
Annulment of validity date	Justification	Comment	Requester
07/07/2018	Innem : gain	Innem : gain	

Annulled by	
DIGIT.B.2.004	DIGIT.B.2.004

Application for the management of contracts with financial implications allowing to :

- Document the following metadata for the creation of a new contract : object, typology, price, payment method
- Register key dates related to the contract
- Define deliverables and corresponding key dates
- Associate contractors to the contract, with their bank information
- Define the responsables for the contract within the Commission
- Define financial engagement in SI2
- Create and print the text of the contract
- Consult the list of amendments and payment reports (SI2)
- Consult the list of specific contracts linked to a framework contract
- Export the result of examinations to an Excel document

Specific register : ABAC

Shipping Tool

File Edit Tools Help

New Mode Delay [Icons]

vanisze | VANLAAR @ ABAC_BLDG_01 P-WKFLG_PRDW8gp4 | 18/09/2020 18:00:00

Expense Flow

Third Parties Budgetary Commitments Legal Commitments Guarantees Involved Payments

ABAC Internal Messaging

Welcome Message(s)

Phone Archive Draft Sent

1 to 2 of 2 record(s)

	subject	Transaction	Importance	Sent at
<input type="checkbox"/>	UNAVAILABILITY OF ABAC WORKFLOW ON TUESDAY 29/09/2020 (12:30 → +/- 13:00 BRUSSELS TIME)		High priority	08/09/2020 15:37:50
<input type="checkbox"/>	UNAVAILABILITY OF ABAC WORKFLOW TODAY 17/07/2020 FROM 15:00 TO 16:00 (BRUSSELS TIME)		Normal priority	17/07/2020 14:34:32

Decide (1)

Management of written and oral decision-making procedures of the Commission

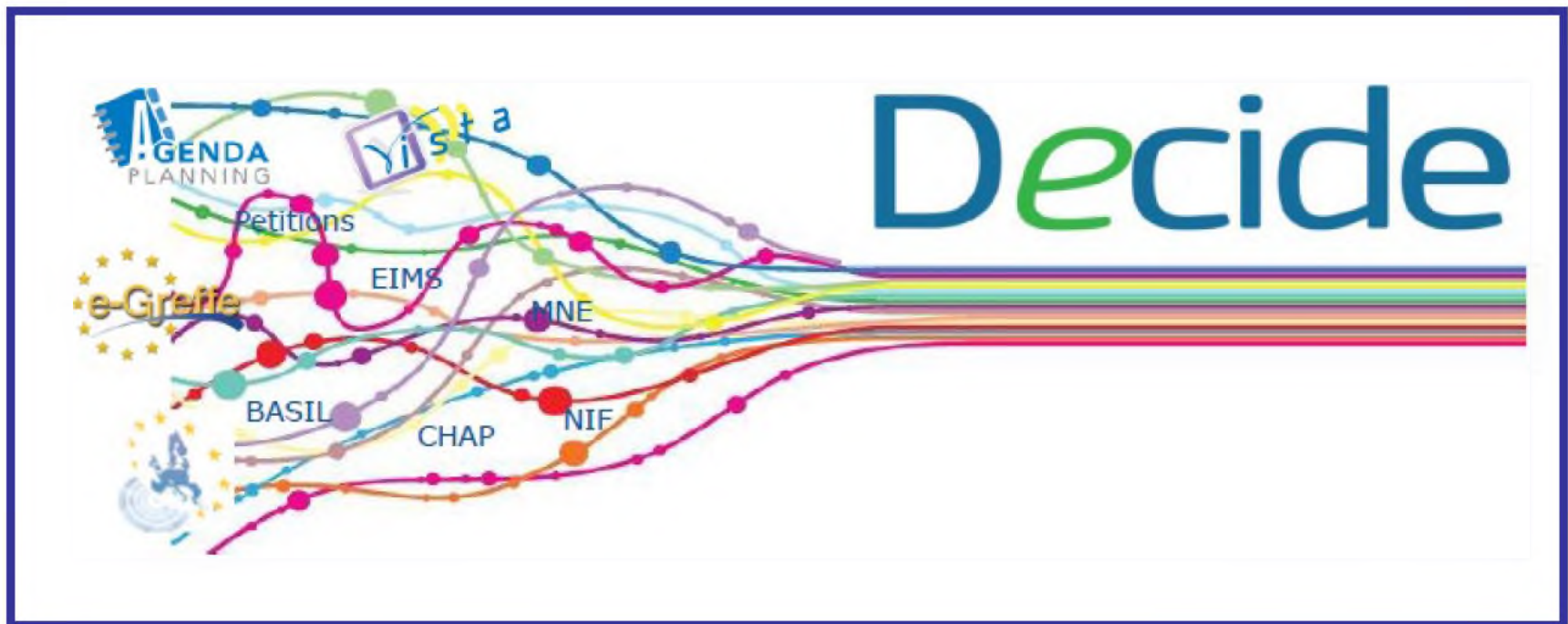
Past



Present



The next step : gradual integration



Follow-up of briefings



BASIS [1.22.1]

Contributor]

[Home](#) [My Requests](#) [Search](#) [Indicators](#) [Roles](#)
 [Q](#) [C](#) [Settings](#) [Help](#) [Logout](#)

My pending tasks

There is no pending task for you

News

Link for Basis 2



Dear Basis Users,
If you have the Encoder Role,
feel free to create requests in the new **Basis 2**.

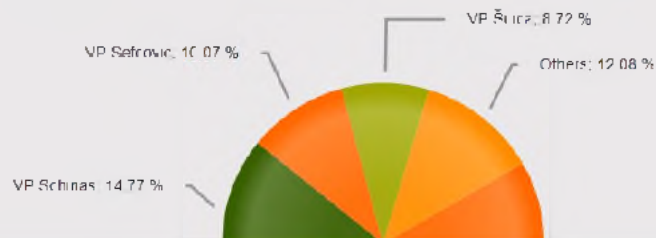
Other role's actions should continue be performed in the current Basis,
since **Basis 2** is still under development.
[Read more](#)

Published by: [Contributor] on 03/09/2020

Indicators

Number of pending requests per recipient

— FVP Vestager — FVP Pombrovskis — EVP Timmermans — VP Jourová — Secretary General
 — VP Schinas — VP Šefčovič — VP Šuica — Others



Calendar of events

☒ President Von Der Leyen

[Export to PDF](#)

Today



September, 2020

Month

Week

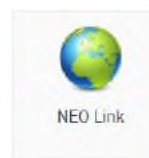
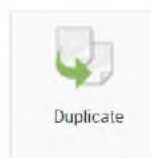
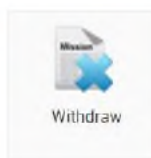
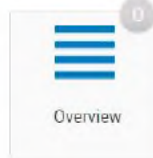
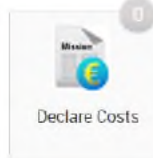
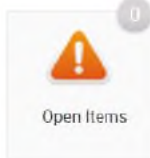
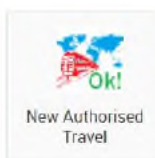
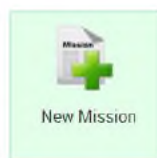
Day

Agenda

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
31	01	02	03	04	05	06
07	08	09	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	01	02	03	04

Home Page

My Dashboard



Important Messages

Information

- PMO MOBILE
- MIPS GO GREEN for Commission staff
- Do I need a security travel advice?

PMO news

Credit cards: complementary information
02/02/2021

Guidelines for essential missions: going on missions and returning from missions
26/01/2021

Mission advances
26/01/2021

Airplus
07/01/2021

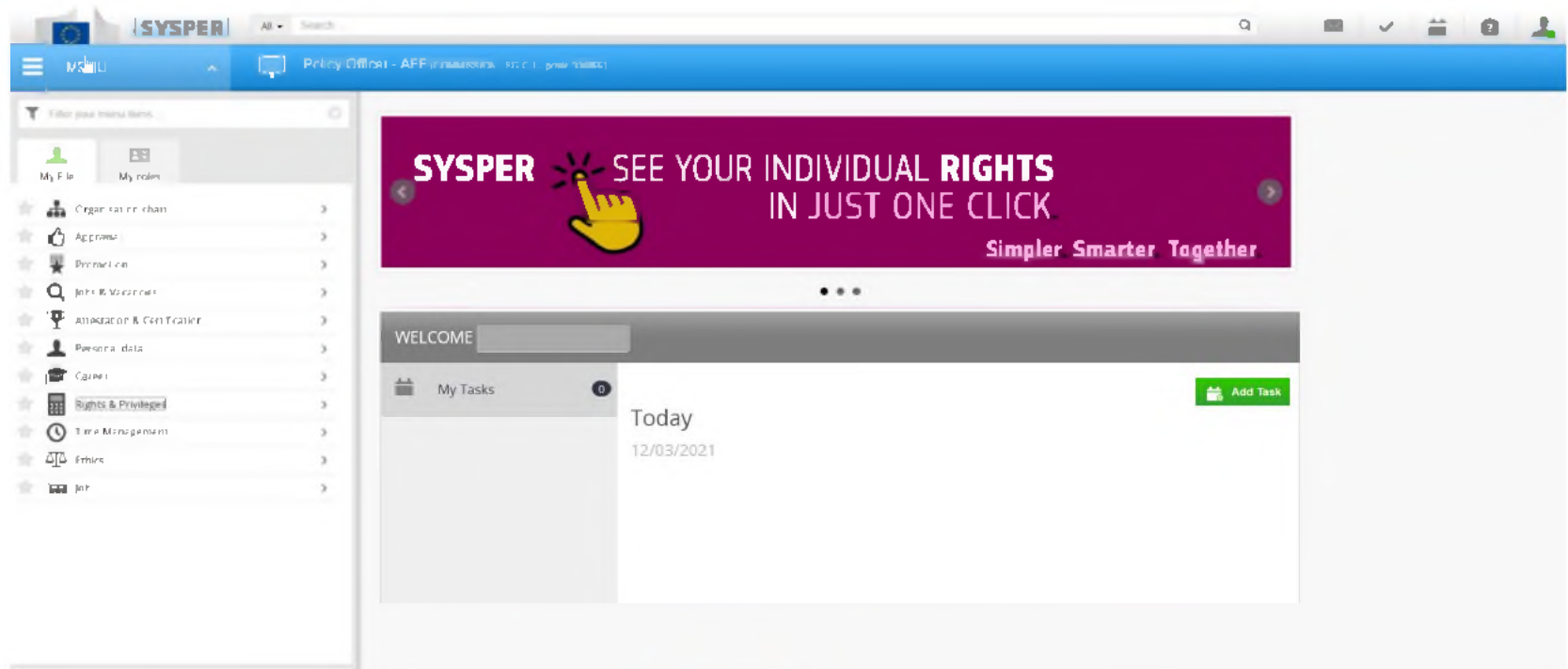
Help and tutorials

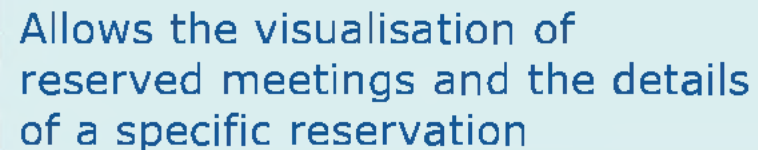
Filter: **All** VIDEO HELP SHEET

- INTRODUCE AN AUTHORISED TRAVEL**
19 May 2020
- INTRODUCE A STATEMENT OF EXPENSES**
12 May 2020
- Mission workflow**
01 Nov 2013
- Create a simple mission order**
07 May 2013
- Printing in MiPS**
13 Feb 2013
- Mission with late approval**
15 Mar 2012

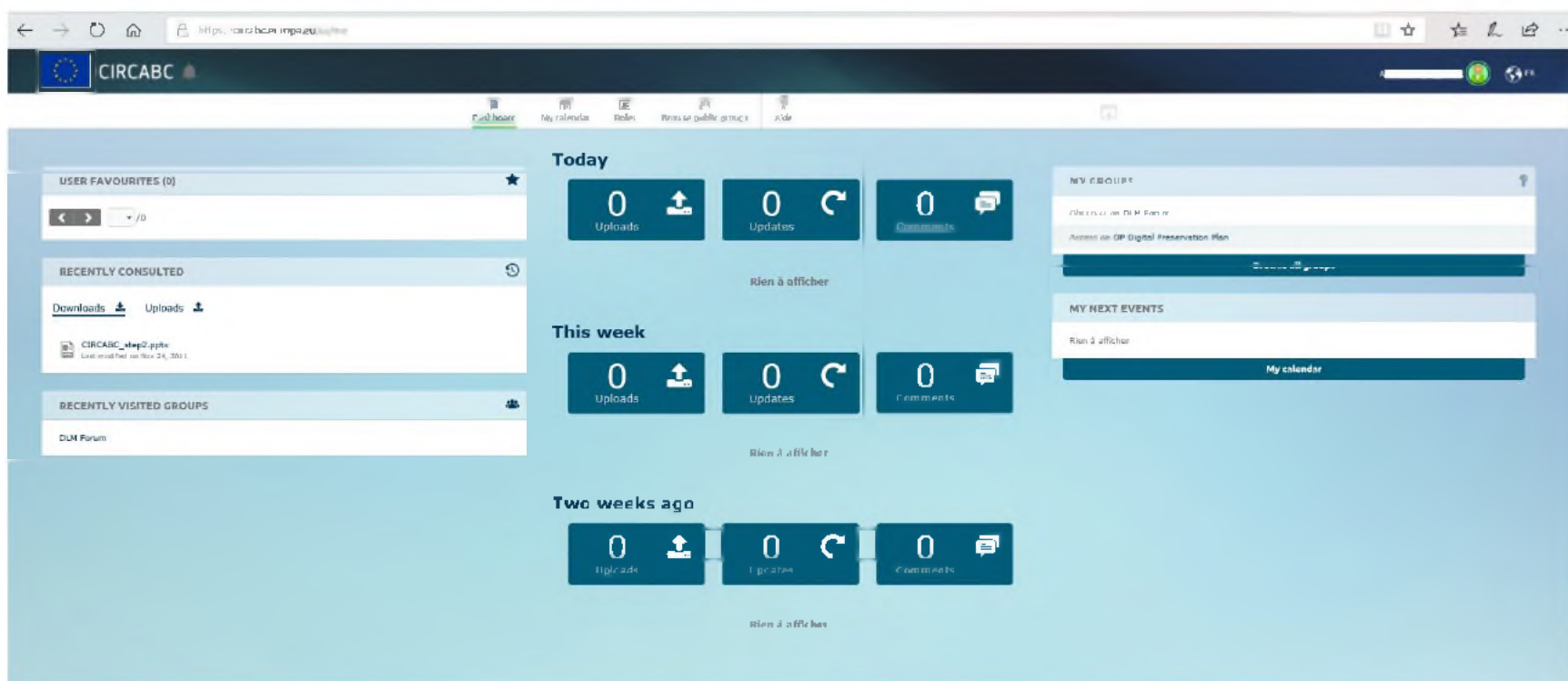
- INTRODUCE A MISSION ORDER**
19 May 2020
- Withdraw a mission - an authorised travel**
08 Feb 2019
- Upload of documents**
14 Oct 2013
- Schedule insertion**
07 May 2013
- Mission paid by organizers**
15 Apr 2012
- Duplicate a mission**
01 Mar 2012

- HR management at the Commission
- Contains all elements in relation to the career evolution of EC agents
- Filing takes place on the level of files for individual agents
- File code = staff code





- Application to create collaborative websites with restricted acces for communication with people within and outside the Commission
- Functionalities : calender, chat, document publication and access rights management



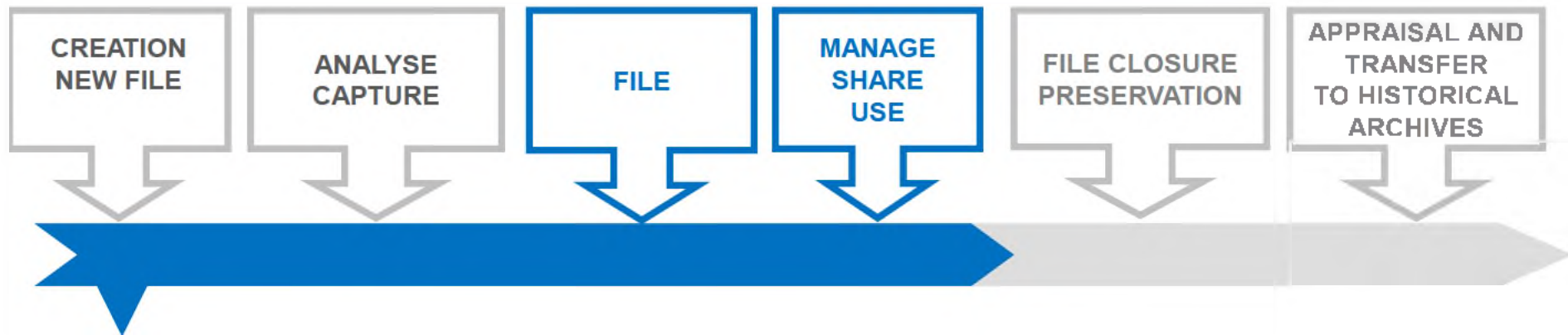


An essential role :

- Register or transfer/indicate all documents to be registered
- Don't forget to register certifying e-mails
- Check on a regular basis whether the official file is complete

Tip :

- Verify whether all documents useful in the context of an **audit, litigation, transfer, public access demand** have been registered and filed



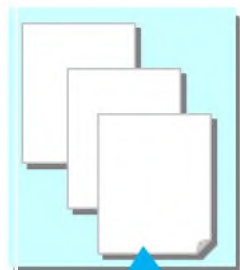
+?



- 3 - Filing : files and filing plan

- Why file
- Official file and working file
- Filing of documents

FILING



Registered/
saved
documents



Official file

Filing plan

- Filing Plan
- [A] (01) Institution – Commission
 - [A] (02) Future of the Union and institutional questions
 - [A] (03) The Community economic and social area
 - [A] (04) Citizenship and quality of life
 - [A] (04 02) Environment
 - [A] (04 03) Education and culture
 - [A] (04 04) Health and Consumer protection
 - [A] (04 04 01) Consumer Policy
 - [A] (04 04 02) Public Health
 - [A] (04 04 03) Food safety, animal health, animal welfare and plant health
 - [A] (04 04 04) Opinions and advice to the Commission of the European Group on ethics in science and NT
 - [A] (04 10) Area of freedom, security and justice 2010-
 - [A] (04 20) Climate Action
 - [A] (05) International Relations
 - [A] (06) Financing of Community activities and the management of financial resources
 - [A] (07) Community law
 - [A] (08) Press, communication and publications
 - [A] (09) Policy Strategy and coordination per EC
 - [A] (10) Administration
 - [A] (11) Decentralised Agencies and Bodies
 - [A] (12) External Action – Common Foreign and security Policy
 - [A] (15) Activities of the Delegations and Offices of the European Union in Third Countries and to International Organisations

SEARCH



Complete and reliable files permit :

- quick and easy retrieval of useful information
- easier collaboration
- accountability
- easier mobility

- **Each registered document needs to be filed in an official file**
- **The official file is the real working instrument**



Registered /
saved
document



Define

- Choose one or more themes/subjects the document could be filed under

Search

- Search in the list of official files for the file or files it should be filed in

File

- File the document in one or more files

Store ?

- If necessary, indicate the file code on the paper original to be preserved and place it in the paper file

1 case = 1 electronic official file



- **Collection of documents**
 - Concerning the same case,
 - organised in a coherent manner for evidentiary, supporting or informative purposes,
 - to guarantee the quality of the work.

- Follows the handling of the case :
 - **Start** of the case = **creation** of the file
 - **End** of the case = **closure** of the file

Official file



- Created in NomCom
- Available in Ares
- Managed by the service « Chef de file » (Lead department)
- Needs to be complete and trustworthy
- Can be controlled and audited
- Verified before closure and preserved within the intermediate records
- Eventually transferred to the historical archives

Working file



- Shared drives, collaboration spaces, folders in Outlook, ...
- Created freely
- No legal value
- Can be destroyed at any time
- Generally destroyed at the closure of the official file
- No transfer to the intermediate records nor the historical archives

Creation of a file in NomCom (1)



Welcome Profile : NomCom Manager Home Favourites Administration Clipboard Contact Help Privacy Statement English

NOMCOM

My Organisation View **Complete View** Search

Quick search

Search:

☐ Heading ☒ File ☒ From current location

Specific Heading properties

Heading code: 00:00:04:000:000 **Heading specific code:** 1,5,4,15,5

English title: Legal basis, horizontal principles and fundamental questions

French title:

Status: Active **Service owners:** sg

Modified: on 17/01/2020 18:50:44 by coassin **Created:** on 12/03/2010 10:26:42

List of files

Place on clipboard

	File code	Specific code	File title	Status	Lead department	Creation date
	2016 CP9568	RM ISC PMO	Contribution to the 1st revision by the Office for	Active	SG DSG1 C 1	18/07/2016 10:...
	2020-A 5528		Drafting of the list of types of documents which...	Active	SG DSG1 C 1	03/04/2020 09:...
	2020-AR5311	DP GUIDANCE	Elaboration of guidance on data protection 202	Active	SG DSG1 C 1	17/04/2020 18:...
	2020 AE0559		Elaboration of the decision on records manage...	Active	SG DSG1 C 1	10/02/2020 09:...
	2016 AC6979	RM 1ST REVIS	First revision of the Common Retention List (C...	Active	SG DSG1 C 1	04/05/2016 12:...
	2018 AC9133	IM MSP 2018	Information governance - Information Manage...	Active	SG DSG1 A 6	26/01/2018 14:...
	2018 AC9134	IM MIT 2018 2022	Information governance - Information Manage...	Active	SG DSG1 A 6	26/01/2018 14:...
	2018 AC9126	IM MWG 2018	Information governance - Information Manage...	Active	SG DSG1 A 6	26/01/2018 14:...
	2012 AD7091	RM NOTIFY HPS	Notification to the DPO and the EDPS under re...	Active	SG DSG1 C 1	17/04/2013 16:...
	2014 AR7944	RM IWG WEB	Participation of the Commission in the Internsh...	Active	SG DSG1 C 1	27/02/2014 10:...
	2012 AD7495	RM 2ND REV S...	Second revision of the Common Retention List ...	Active	SG DSG1 C 1	19/03/2013 11:5...
	2010 AX2477	RM SYNERGIE	Synergies and efficiencies in the document ma...	Active	SG DSG1 C 1	03/05/2010 10:...

Page 1 of 1 Items per page: 50

View filters

Heading Status ☐ I ☐ F

File Status ☐ I ☒ A ☐ C ☐ T ☐ E

Apply Filters ☒ Active headings are always displayed

Creation of a file in NomCom (2)

The screenshot displays the NomCom software interface. On the left, a file tree shows a hierarchy of folders and files, including 'Filing Plan', 'Institution - Commission', and various sub-folders like '(A) (01 01) Competition and mandate of the European Commission'. The main window is the 'Add File' dialog box, which is divided into several sections:

- Identification** (selected tab):
 - General Information**:
 - Type: (empty)
 - Heading: (01 05 04 015 005) Legal basis, horizontal principles and fundamental questions - 1 5 4_15 5
 - Specific code: (empty) [Check for duplicates]
 - Lead department*: SG DSG1 C.1
 - Associated lead departments: Enter associated lead departments
 - Desk officer: Enter desk officer
 - ☐ Add the file to the favourite files of this desk officer
 - Category: (empty)
 - Title***:
 - English title: (empty)
 - French title: (empty)
 - German title: (empty)
 - File editors***:
 - Groups: nc_sq_helX, nc_sq_frX
 - Users: Enter editors
 - File users**:
 - Groups: Enter file users
 - Users: Enter file users
 - ☐ Replicate from parent heading
 - File readers**:
 - Groups: commissionX
 - Users: Enter readers
 - Comments**:
 - English comments: (empty)
 - French comments: (empty)
 - German comments: (empty)

Ares : Files list



MENU

Search criteria

Full text search

Q

Advanced Search

Doc

Msg

DOCUMENT

E-signatories

Assignments 02 09

Received 09 11

Favourites

Recent

FILE

Favourites

My service

Filing plan

FOLLOW UP

Cart tracks

Documents

Ext. transactions

Reports

ADMINISTRATION

My service

1 - 25 of 23638 results

Page 1 of 946

Sort by: heading code

Export

Show 25

File search

file status: Active

lead department or specialized LOLE SG DSG1 C 1

Greater application: All

created any time

Save these search criteria

	File title	Specific code	File code	Lead department	Desk officer	Heading code	
	[A] Final Policy for the Commissions on 2015-2019	RM FMA11 POLICY 2015-2019	2017 AA2630	sg dsq1 c1		01 05 04 025 C20	
	[A] First revision of the Common Retention List (CRL)	RM 1ST REVISION CRL	2010 AC0470	sg dsq1 c1		01 05 04 015 C05	
	[A] Second revision of the Common Retention List (CRL)	RM 2ND REVISION CRL	2012 AC2495	sg dsq1 c1		01 05 04 015 C05	
	[A] Authorization to the RPD and the RPS under regulation 45/2001 of the Common Documentation Services (CDS)	RM ACCTIFY RPS	2012 AC2701	sg dsq1 c1		01 05 04 015 C05	
	[A] Interim report of the Commission on the Interinstitutional Working Group on Web Preservation	RM ITWG WEB	2014 AB7944	sg dsq1 c1		01 05 04 015 C05	
	[A] Contribution to the 1st revision by the Office for the Administration and Payment of Indemnity Entitlements of its specific retention list	RM LSC PMO REV1	2016 CB956R	sg dsq1 c1		01 05 04 015 C05	
	[A] Works and guidelines to reach a paperless Commission Collaboration with RPD, RPS and others DGS 2017 - 2020	RM RPDREPRESS COM 2017-2020	2017 AW9715	sg dsq1 c1		01 05 04 015 C05	
	[A] Synergies and efficiencies in the document management domain 2019-2022	RM SYNERGIES PM 2019-2022	2019 AX2177	sg dsq1 c1		01 05 04 015 C05	Actions
	[A] Third revision of the Common Retention List (CRL)	RM 3RD REVISION CRL	2010 BA2177	sg dsq1 c1		01 05 04 015 C05	
	[A] Elaboration of guidelines on data protection 2020-2024	DE GUIDANCE 2020-2024	2020 AR5311	sg dsq1 c1		01 05 04 015 C05	
	[A] Elaboration of the desk on records management and archives (2020)		2020 AF0559	sg dsq1 c1		01 05 04 015 C05	
	[A] Drafting of the list of types of documents which require a handwritten or a qualified electronic signature		2020 A1552R	sg dsq1 c1		01 05 04 015 C05	
	[A] Synergies and efficiencies: annual feedback exercise 2020	RM SYNERGIES PM 2019-2022	2021 AC2661	sg dsq1 c1		01 05 04 015 C05	
	[A] Synergies and efficiencies: public service	RM SYNERGIES PM PUBLIC	2010 AX2173-1	sg dsq1 c1		01 05 04 015 C05 2019 AX2173	
	[A] e-Domestic Budget 2017-2020	RM RI ECFT 2017-2020	2016 C13821	sg dsq1 c1		01 05 04 015 C10	
	[A] Future of document management 2020-2024	RM FUTU RE	2020 AC25910	sg dsq1 c1		01 05 04 015 C10	
	[A] e-Domestic Budget 2021-2024	RM RI ECFT 2021-2024	2020 A11015	sg dsq1 c1		01 05 04 015 C10	

e-Domec : Introduction

HR A3

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Exercise 2 :

➤ Filing of documents



Action file



- Unique case
- Duration *a priori* unknown
- Procedure for closure needs to be clearly determined



Title contains:
Subject + Action

- Example:
10th European Development Fund
– African Peace Facility

Serial file



- Repetitive case
- Duration is linked to a calendar year or a budget cycle
- Always progresses according to the same procedure



Title contains:
Subject + Covered period

- Example:
Relations with the Council (2020)



Filing a document in a file automatically inherits all the rules applicable to the file :

- Administrative Retention period
- Acces and consultation rules
- Appraisal rules



HR B.3

Filing in Ares : Favorites



File your document: sq.ds.q1.c.1 (2020)7986281/ Meeting Minutes & Follow-up (DTR-SG) - 22/10/2020

Favourites

Search

Filing plan



Group by heading code



Sort by file title



Export



E (01.05.02.025.020) Corporate II Governance



[A] Email Policy for the Commission 2015-2019

RM EMAIL POLICY 2015-2019

2017-AA7630

E (01.05.04.015.005) Legal basis, horizontal principles and fundamental questions (1.5.4.15.5)



[A] Contribution to the 1st revision, by the Office for the Administration and Payment of Individual Entitlements of its specific retention list

RM 1SC PMO REV1

2016-CB9568



[A] Drafting of the list of types of documents which require a handwritten or a qualified electronic signature

2020-A15528



[A] Elaboration of the decision on records management and archives (2020)

2020-AEC559



[A] First revision of the Common Retention List (CRL)

RM 1ST REVISION CRL

2010-AC6979



[A] Notification to the DPO and the EDPS under regulation 45/2001 of the Hermes Preservation Services (HPS)

RM NOTIFY HPS

2013-AD7091



[A] Participation of the Commission in the Interinstitutional Working Group on Web Preservation

RM IIWG WEB

2014-AB7944



[A] Second revision of the Common Retention List (CRL)

RM 2ND REVISION CRL

2013-AC7495



[A] Synergies and efficiencies in the document management domain 2019-2022

RM SYNERGIES DM 2019-2022

2019-AX2177



[A] Third revision of the Common Retention List (CRL)

RM 3RD REVISION CRL

2019-BA3177



[A] Works and guidelines to reach a paperless Commission. Collaboration with BUDG, HR and others DGs, 2017 - 2020

RM PAPERLESS COM 2017-2020

2017-AW9715

E (01.05.04.015.005.2019-AX2177) Legal basis, horizontal principles and fundamental questions (1.5.4.15.5)



[A] Synergies and efficiencies - public subfile

RM SYNERGIES DM PUBLIC

2019-AX2177-1

E (01.05.04.015.010) Policy strategy, forward planning and evaluation (1.5.4.15.10)



[A] e-Domec Budget 2017-2020

RM BUDGET 2017-2020

2016-CJ3823



- **Quality of the file title**
- **Meaning of the document title**
- **Crucial role of the desk officer :**
 - **Asks** the DMO correspondent to **create** a file
 - **Knows** what files the unit manages
 - **Ensures** that every captured documents is filed in the right file
 - **Indicates** to the person responsible for filing in which file the document needs to be filed (or files the document directly in the right file)
 - Accesses his / her documents using the **favorite files** option
- **A document needs to be filed immediately (or at least within 8 days)**

- Implementation of e-Commission where electronic is the default (*C(2020) 4482 , art. 4*)
- First set of document types that must only be preserved in their electronic form
(*SEC (2020) 800, chapitre V.2*)

In certain cases :

- Obligation to preserve the paper originals or documents that can't be digitized
- Store these documents in a paper file that is an addition to the electronic file

Filing and storing

REGISTRATION

FILING



Copy of a document

- Originals with legal value
- « Classified » documents
- Documents that can't be digitized



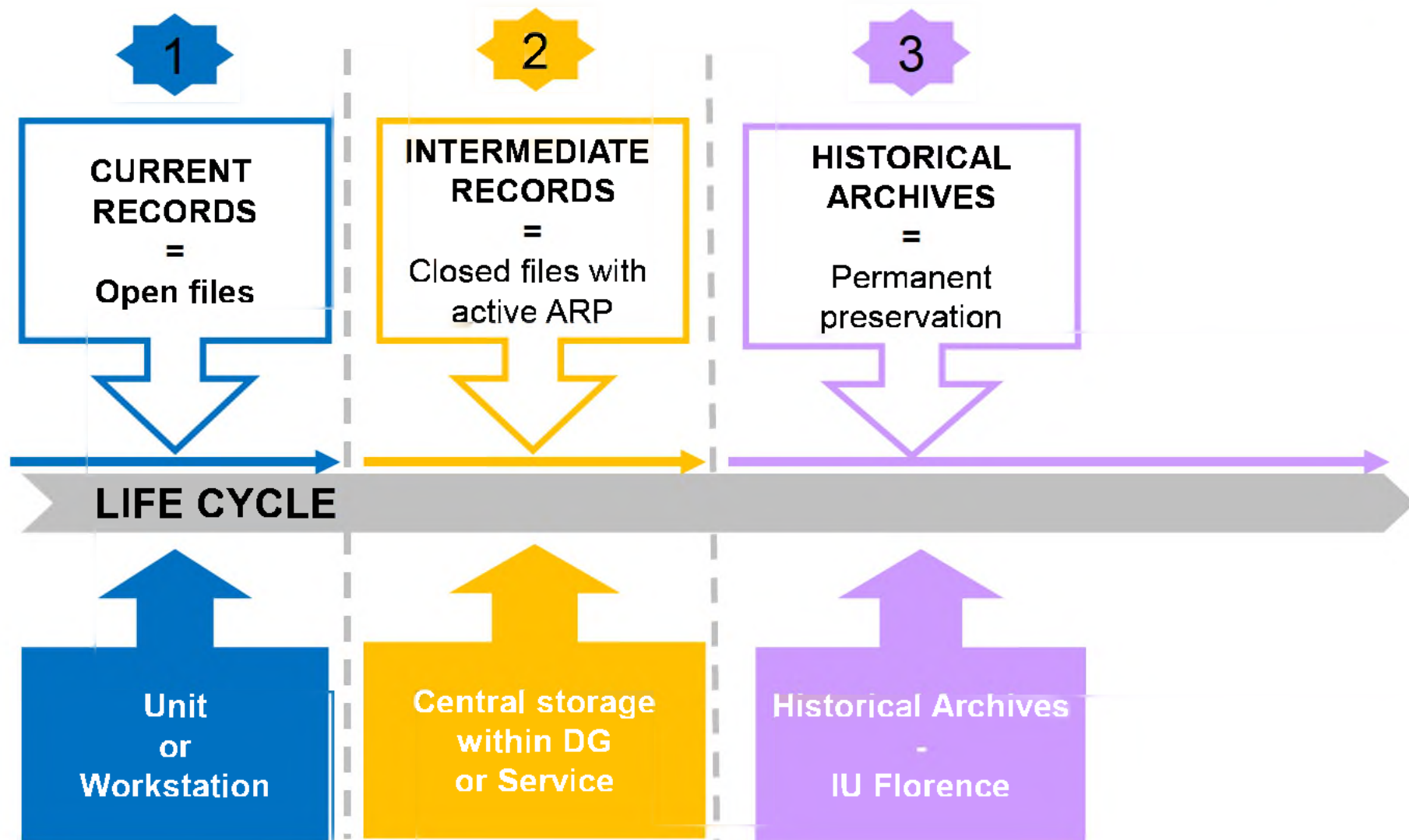
Official electronic file



Additional official paper file

STORING

Storage of paper files





Objective: Guarantee secure conditions for the preservation of official paper files





- Preserve physical files in a centralised manner
- **Storage plan** common for the whole unit:
 - Preservation Tab in the metadata of the file: mention existence of official paper files and where and how they are stored
 - Labels for physical files: NomCom supports printing of labels
 - Methods of consultation







Printing labels



 2017-AC6502 sg.dsg1.c.1 Code spécifique AP EUI GRANT 2018	 2017-AC6502 sg.dsg1.c.1 Code spécifique AP EUI GRANT 2018
CAT.: 12.6.1.E DUA 10 ans ECH+SEL - 2ème Fin DUA :	CAT.: 12.6.1.E DUA 10 ans ECH+SEL - 2ème Fin DUA :
1ère utilis. : Date clôture : Statut : Actif	1ère utilis. : Date clôture : Statut : Actif
Titre du dossier Management of the work programme, budget and grant agreement with the EUI in 2018	Titre du dossier Management of the work programme, budget and grant agreement with the EUI in 2018
Nom de la rubrique 02.02.06.015 Deposit of the historical archives in Florence	Nom de la rubrique 02.02.06.015 Deposit of the historical archives in Florence
Boîte d'archives 1 282099 	Classeur (large) 1 282100 



Divider to separate files in a box

DOSSIER	CODE 2017-AC6502	CODE SPECIFIQUE AP EUI GRANT 2018	STATUT Actif	 Dossier 1 282102 
	CHEF DE FILE sg.dsg1.c.1	DATE DE 1 ^{ère} UTILISATION	DATE DE CLÔTURE	
	TITRE Management of the work programme, budget and grant agreement with the EUI in 2018			
	CATÉGORIE 12.6.1.E	DUA 10 ans	ADMINISTRATIVE ÉLIMINATION	
RUBRIQUE	FIN DUA	POST-TAF ACTION ECH+SEL	POST-TAF ACTION 2 ^{ème} TRI	
	CODE 02.02.06.015		CODE SPECIFIQUE 02.02.06.015	
	NOM DE LA RUBRIQUE Deposit of the historical archives in Florence			

Small label to stick on an archive box containing several files

2017-AC6502

Boîte d'archives 1
282099



Consultation and loan of official physical files



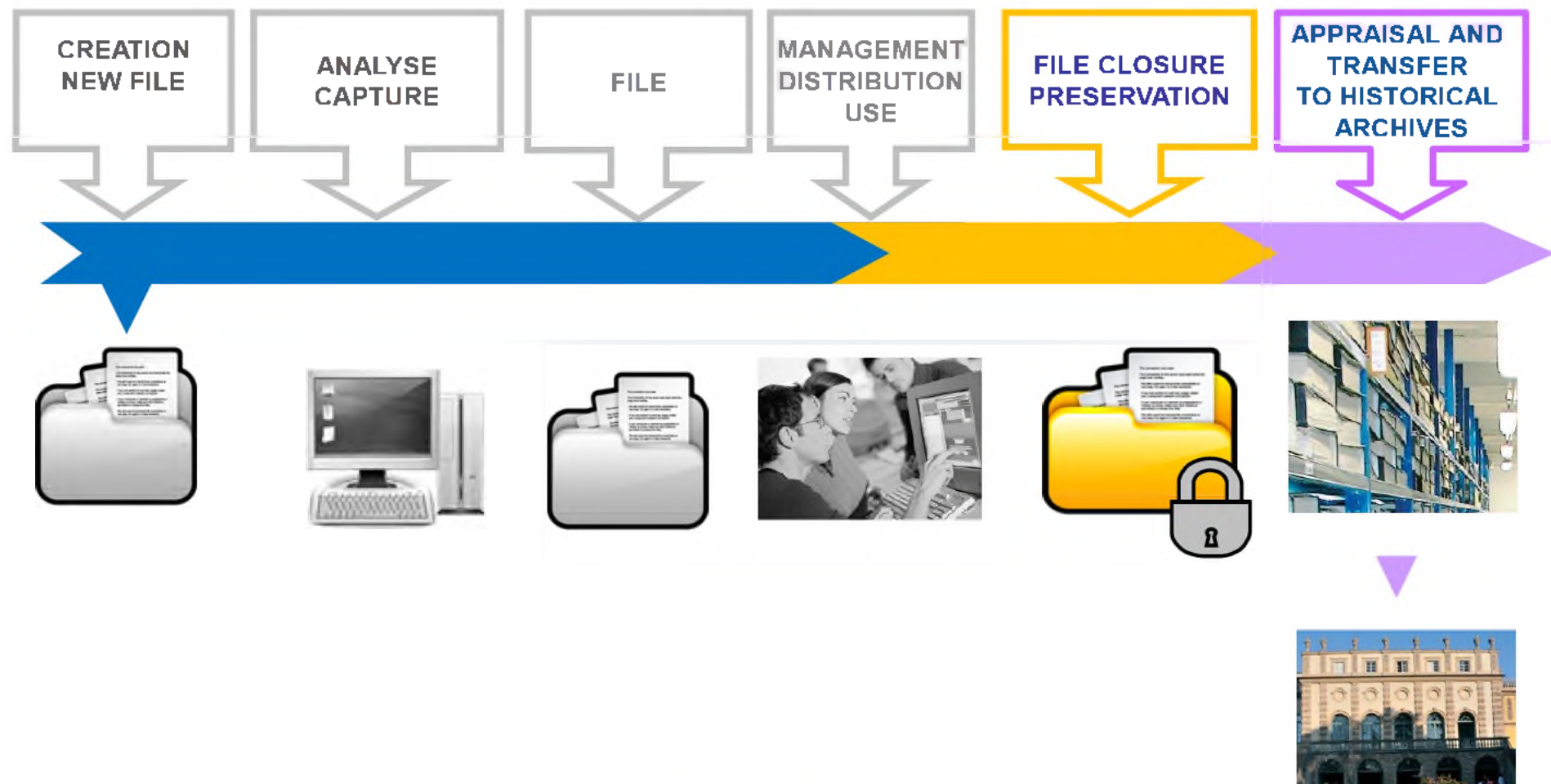
- Electronic file = reference file
- Define clear and specific rules
- Verify who requests the file
- Verify in what state files are returned
- Register and trace the loan procedure:
 - File code
 - Name of the person requesting the file, function, service, telephone number, etc
 - Date of consultation or lending
 - Period of loan or date of return

Use of the unit's shared drive / Collaborative workspaces



- **Only a working environment**
- Allows storage and sharing of electronic information that has no legal value
- **Suggestion** : organise according to a (simplified) filing plan

Administrative cycle



- 5 - Closure of files and conservation procedures

- **Closure of files**
- **Common retention list**



Files to close ?

Every official file has to be closed at some point

When ?

All the actions triggered by the case are finished and no further documents to be created or added to the file

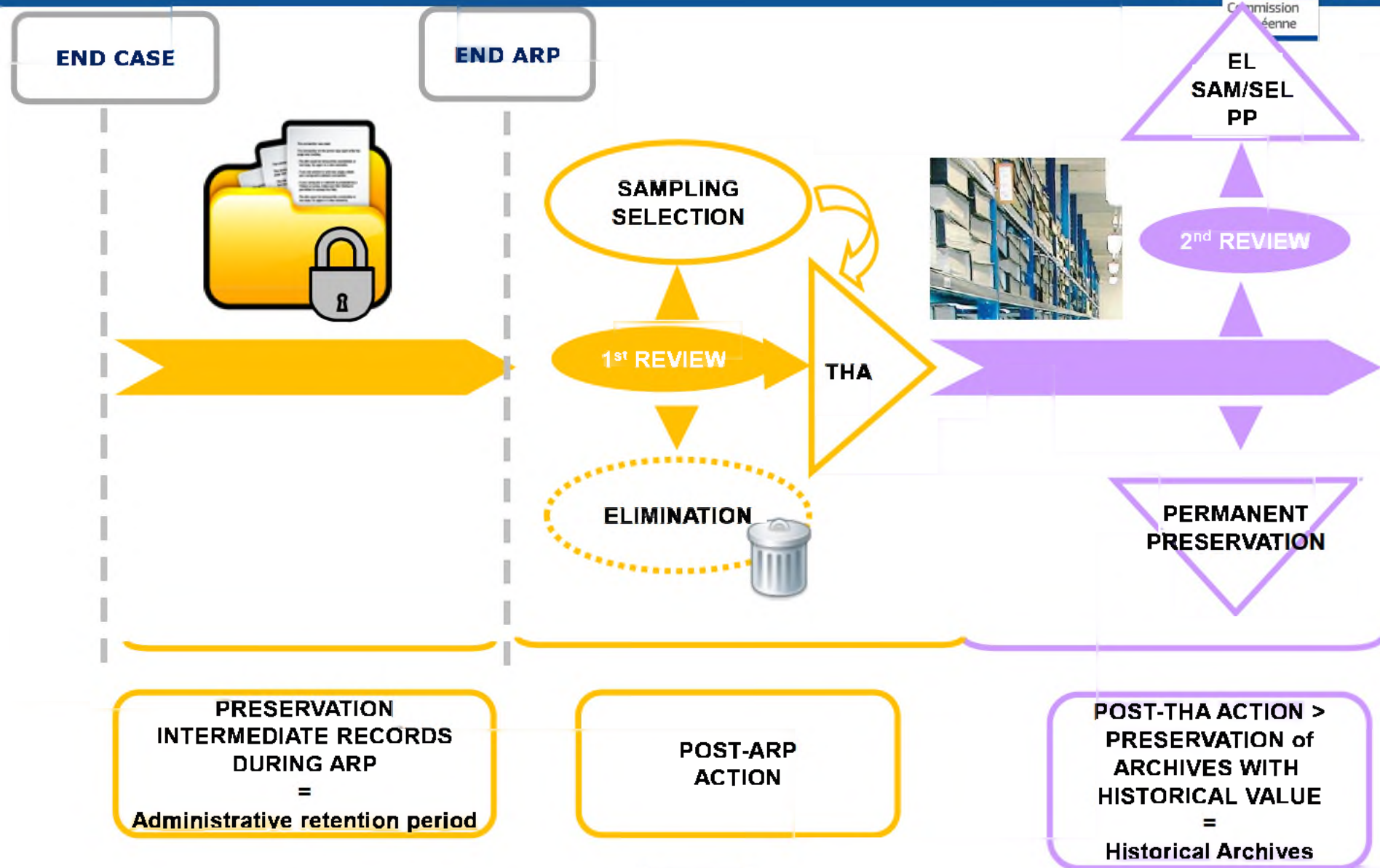
How ?

Closure implies a check of the file content

Consequences of the closure ?

A closed file can no longer be modified

Applying the CRL : Common retention list



- General description of categories of files
- Administrative retention period (**ARP=DUA**) : number of years during which the DG / service must keep the file category
- Action post-ARP (**1st review=Premier tri**)
 - Transfer to Historical Archives Service (**THA=TAH**)
 - Sampling/Selection (**SAM/SEL=ECH/SEL**)
 - Elimination (**EL=EL**)
- Post-transfer action (for files transferred to the Historical Archives Service):
 - Permanent preservation (**PP=CP**)
 - Second review (**2nd REVIEW=2ème tri**)
- Custodian
- Observations

- 6 - Summary

- Discussion
- How can you convince your colleagues to register and file in accordance with e-Domec practices ?

Fundamental objectives for the unit



- Enhance the efficiency of the unit
- Be able to retrieve any useful document or file at any time
- Share information and assure continuity of service
- Be autonomous in work and be able to work remotely
- Reinforce the position of the unit in the context of an audit or a litigation



➤ **Learn about the DG :**

- Areas of competence of the DG / units
- Who does what in the DG
- Role of the DMO Team
- Central Archives Service

➤ **Learn about the unit :**

- DMO Correspondent
- Hand-over / Procedure manual
- Areas of competence: sections of the filing plan
- List of official files with responsible desk officers



➤ **Who does what in the unit ?**

- Registration
- Filing
- Preservation



➤ **Know the working methods:**

- Internal procedures for mail handling
- Delegations and virtual entities
- How document assignment works
- Use of Ares by desk officers
- Modalities for signatories
- Rules on the use of markings
- Documents to keep in the official paper file





- Distinguish between official files and working files

- Verify that important documents are registered

- Verify that important e-mails are registered



- Regularly verify Shared drives, Collaborative spaces and Outlook folders

- File the captured documents in the appropriate official file



- Arrange the paper documents in the official paper files, if necessary



- Raise awareness / train unit agents in e-Domec rules



If you want or need to know more



- Refer to your DMO for all the rules specific to your DG
- Consult the Intranet site of your DG
- Consult the news and documentation on Ares



- Consult the e-Domec website
- **Access to training aids :**
 - **e-Domec :**
<https://myintracomm.ec.europa.eu/sg/edomec/training-and-support/training>
 - **Digit :**
<https://webgate.ec.europa.eu/fpfis/wikis/display/HANproject/Ares+Training>
- Other e-Domec trainings :
 - **CAD-DMO-CDMO** : for DMO Correspondents
 - **CTT** : Preservation (Conservation) – Appraisal (Tri) – Transfer (Transfert)

**Thank you
for participating!**