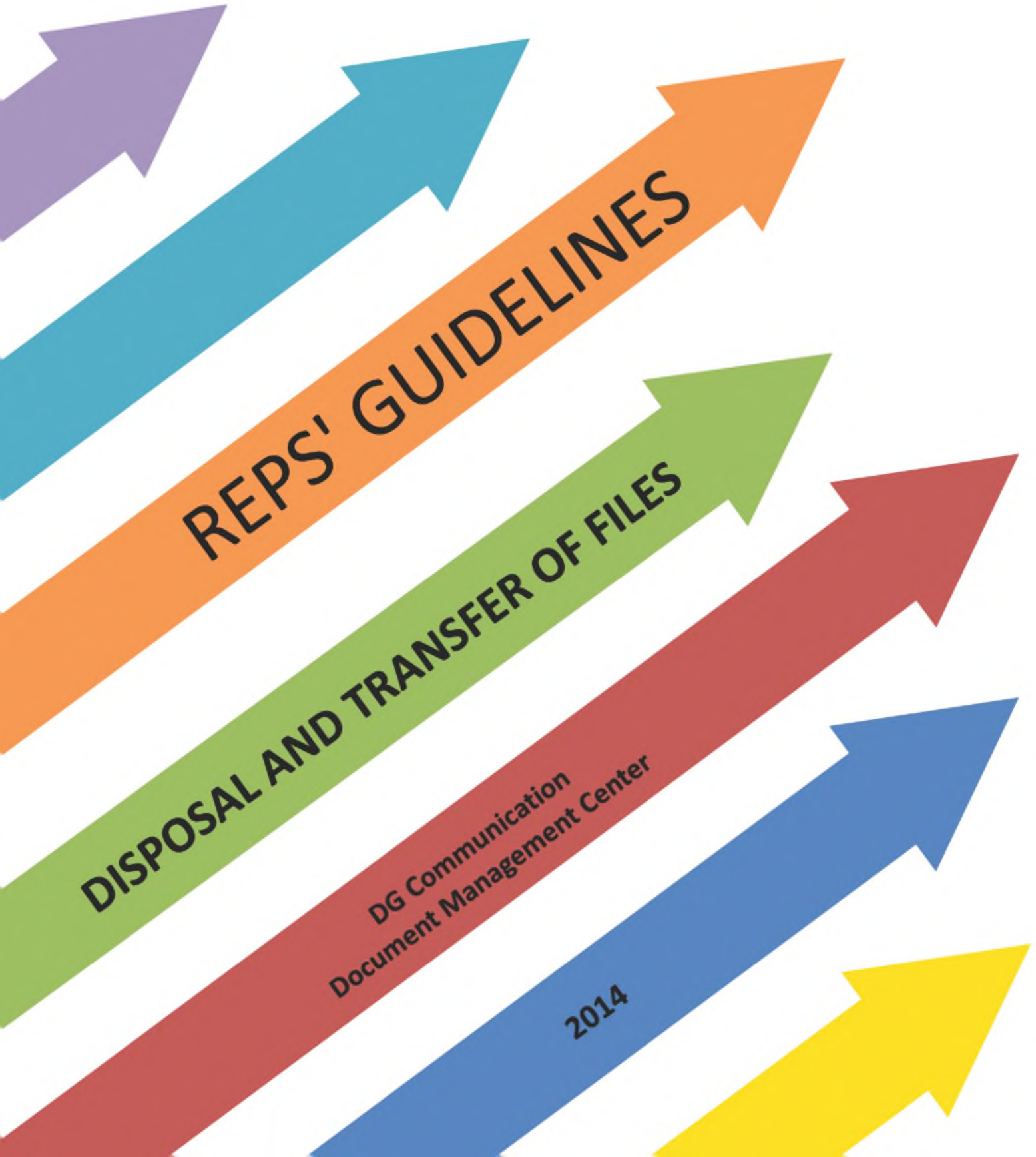




European
Commission



REPS' GUIDELINES

DISPOSAL AND TRANSFER OF FILES

DG Communication
Document Management Center

2014

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ABBREVIATIONS AND DEFINITIONS

CAD	Centre d'Administration des Documents (Document Management Center)
CRL	Common Commission-Level Retention List for European Commission Files
DMO	Document Management Officer
HAS	Historical Archives Service
ARP	<u>Administrative Retention Period; the minimum period during which a Directorate-General or a department has to preserve a file</u> , in compliance with the administrative usefulness of the file and legal or statutory obligations. Each file belongs to a broader category, for which the Administrative Retention Period is between two and five years, as defined in the Common Commission-Level Retention List for European Commission Files (CRL; see 'Websites'). In general, the Administrative Retention Period starts at 1 January of the year following the closure of the file.
Document	<u>Any content drawn up or received by the Commission</u> ; for example matters related to EU-policies, activities and decisions falling within the institution's competence and in the framework of its official tasks. In addition, a document <u>can have any 'physical' form</u> , going from paper or electronically based to visual or audio-visual.
e-Domec	Electronic Archiving and Document Management Policy of the European Commission; this <u>policy ensures a consistent document management</u> within the European Commission, thus enabling the institution to provide information on matters for which it is accountable (see 'Websites').
File	<u>The core around which documents are organised</u> in line with the institution's activities, for reasons of proof, justification, information, or in order to increase the work efficiency. Each action or case handled by your Representation has its own file.

IMMEDIATE TREATMENT OF DOCUMENTS AND FILES

Disposal of documents and files

Short-lived documents

→ Documents which do not involve actions or follow-up by the European Commission

EXAMPLE Informal internal e-mails; booklets, brochures and leaflets not produced by your Representation

Serial publications

→ Succession of separate issues, not created by your Representation

EXAMPLE The series of the 'Official Journal of the European Union', agendas and minutes of Commission meetings, and studies commissioned by other Commission services from external experts

Files for which your Representation is not the lead department

→ Files for which your Representation is not in charge of a procedure/dossier/case

→ Files for which your Representation doesn't have to insure their 'logical unity', nor preserve their 'master file'

→ Working files and copies of official files can be eliminated once all main documents are in the possession of the lead department and are registered in ARES (including their attachments)

EXAMPLE Personal files of officials, contractual and temporary staff members of the European Commission can be eliminated after their closure, as DG HR is responsible for these files

Transfer of documents and files

Chronological indexes ('Chronos')

→ Copies of letters and notes should be transferred to the CAD

Personal files

→ Files of local agents should be transferred to the CAD after their closure in the Representation

→ The remaining personal files of Commission staff fall under the responsibility of DG HR

Disposal of documents and files

Investigations to protect EU financial interests

→ CRL, 4.7.3: Files created by a Directorate-General on their cooperation with the European Anti-Fraud Office (OLAF): ARP of 5 years, followed by the disposal of the files

Citizens' requests for information

→ CRL, 9.6.2: ARP of 2 years, followed by the disposal of the files

Unsolicited applications

→ CRL, 12.3.5: Annual file on all replies to unsolicited applications received by a department: ARP of 2 years, followed by the disposal of the files

Day-to-day management of human resources

→ CRL, 12.3.14: ARP of 4 years, followed by the disposal of the files

EXAMPLE Files on staff management, allocations of vacant posts, special leave, absences and compensation requests

Day-to-day management of logistical issues

→ CRL, 12.5.6: ARP of 5 years, followed by the disposal of the files

EXAMPLE Files on internal requests for moving furniture or installing computers

Procurement procedures: unsuccessful bids

→ CRL, 12.6.1.B.T₂: ARP of 5 years, followed by the disposal of the files

Procedures for award of grants: non-selected projects

→ CRL, 12.6.1.D.T₁: ARP of 3 years, followed by the disposal of the files

Lifecycle of IT equipment

→ CRL, 12.7.5: Follow-up by DG DIGIT, from acquisition to decommissioning: ARP of 5 years, followed by the disposal of the files

EXAMPLE Files on the lifecycle of personal computers, laptops, printers, photocopiers and telephones

→ Each year has its own file

Transfer of documents and files

Official visits to the Commission by high-ranking officials

→ CRL, 2.7.5: Files created in relation to the coordination and organisation of practical aspects and protocol of official visits to the Commission by high-ranking personalities from the Member States: ARP of 5 years, followed by the transfer of the files to the CAD

EXAMPLE Files on visits of members of the European Commission, heads of state, heads of government and ministers of Foreign Affairs

→ Each visit has its own file

Organisation of events

→ CRL, 9.3.1: Organisation of events in order to publicise Community policies and actions: ARP of 5 years, followed by the transfer of the files to the CAD

EXAMPLE Files on conferences, seminars, workshops, campaigns, exhibitions and fairs

→ Each event has its own file

Citizens' requests for access to documents

→ CRL, 9.6.1.A: Files of a Directorate-General on the initial processing of applications for access to documents: ARP of 5 years, followed by the transfer of the files to the CAD

→ Each year has its own file

DISPOSAL OF FILES – WORKING METHOD

- 1.) Prepare a 'Basic file list' (see 'Websites') of the files ready for disposal, adding for each file:

- a filing code
- a file title
- an opening year
- a closing year
- a CRL category
- a description and the indication 'hybrid file' in case the file contains both paper and electronically based documents, or 'confidential', in case the file contains classified documents

- 2.) Prepare a 'Disposal of files' form (see 'Websites')

- 3.) Submit both documents via ARES to your DMO for approval

Subject in ARES: 'Request for disposal' and the subject mentioned on the 'Disposal of files' form

Workflow in the E-Signatory: RED: contact person of your Representation
SIGN: your Head of Representation
SIGN: your DMO
EXP: contact person of your Representation

- 4.) Send both documents to the Historical Archives Service (HAS) for permanent preservation

Disposal of sensitive and non-sensitive non-classified files

→ Responsibility of the Representations

- 1.) Small/medium quantities of files: Shred the files
- 2.) Large quantities of files: Contact an external company as well as the CAD to discuss the tender specifications

Value of service ≤ € 500: payment by invoice

Value of service ≤ € 5000: awarded on the basis of a tender

Disposal of 'EU restricted' files

⇒ Applicable to information and material, of which the unauthorised disposal would be disadvantageous to the interests of the European Union or of one or more Member States

1. Shred the files and throw away the remaining fractions



TRANSFER TO THE DOCUMENT MANAGEMENT CENTER (CAD) – WORKING METHOD

1. Prepare a 'Basic file list' (see 'Websites') of the files ready for transferral, adding for each file:

- a file title
- an opening year
- a closing year
- a description and the indication 'hybrid file' in case the file contains both paper and electronically based documents, or 'confidential', in case the file contains classified documents

2. Prepare a 'Transmission' form (see 'Websites')

3. Submit both documents via ARES to your DMO for approval

Subject in ARES: 'Request for transfer' and the subject mentioned on the 'Transmission' form

Workflow in the E-Signatory: RED: contact person of your Representation
SIGN: your Head of Representation
SIGN: your DMO
EXP: contact person of your Representation

→ Transfer Representations – CAD

Only after CAD agreement on the date of transfer

Small quantity of files (maximum of 10 A4 sized folders): transfer via diplomatic bag

Large quantity of files: Contact an external company as well as the CAD to discuss the tender specifications

Value of service ≤ € 500: payment by invoice

Value of service ≤ € 5000: awarded on the basis of a tender

DOCUMENT MANAGEMENT CENTER (CAD) – CONTACT DETAILS

Document Management Officer (DMO) of the Directorate-General Communication

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

WEBSITES

Archiving policy of the European Commission

http://ec.europa.eu/archival-policy/index_en.htm

Contains an introduction on the archiving policy of the European Commission in general, as well as introductions on e-Domec (including its legal basis, like the CRL), the Historical Archives Service, the Historical Archives Group of the European Commission, the DLM Forum and Moreq.

Document Management in DG COMM

http://www.cc.cec/dgintranet/comm/back_office/document_management/document_management_policy/index_en.htm

Contains an introduction on document management and its key principles, as well as practical working tools for the implementation of document management within DG COMM, like the DG's filing plan, the 'Basic file list' form, the 'Disposal of files' form and the 'Transmission' form.

Historical Archives Service of the European Commission

http://www.cc.cec/historical_archives/index.htm

Contains an introduction on the Historical Archives Service of the European Commission and its services.