



# Rules for the Creation of Files in NomCom

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# 1 INTRODUCTION

## 1.1 Purpose and scope

This document sets up the rules applicable for the creation of files and sub files in NomCom.

This Work Instruction applies to the DMOs, the CADs, and any end-users entitled to create files in NomCom. It fully applies to any JRC IT applications integrated with the HAN platform and intended to create files in NomCom.

## 1.2 Definitions

Glossary of Document and Records Management of Acronyms and Terms (JRC-DRMP-ACTE document available at <https://connected.cnect.cec.eu.int/docs/DOC-44852> ).

# 2 EXECUTION

## 2.1 The 4 principles for files creation in NOMCOM

### 2.1.1 Activity based

A file is created to cover the specific scope of a defined case or activity.

### 2.1.2 Time based

A file is created to cover a defined case for its complete duration.

Files may be created for recurrent activities for a minimum duration of 1 year and a maximum duration of 5 years. These files are referred to as "serial files".

### 2.1.3 Uniqueness

One and only one single file is created at JRC level for a defined case or for the scope of a defined recurrent activity.

### 2.1.4 Universality

A file covers the complete spectrum of documents within the scope of a defined case or activity.

## 2.2 JRC Archive Schedule Table (JRC AST)

The JRC AST is the reference tool supporting the file creation process.

The JRC AST provides standard rules as to how and where files are to be created in NomCom with regard to their corresponding activity and sub activity, that is to say:

- Applicable convention for file specific code;
- Applicable structure in terms of sub files;
- Applicable NomCom heading where files can be created;
- Applicable CRL category;
- Applicable access rights (file editors, file users, files readers).

## 2.3 Creating Files in NomCom

### 2.3.1 First step: REQUEST

Files are created upon expressed request from the Lead Department to the local CAD, the DMO or the entitled file creator.

Requests for files creation must provide sufficient information to ensure their quality creation:

- Contextual activity and sub activity, if any;
- Title of the file;
- Applicable period in case of serial file;
- Lead department;
- File users;

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- File readers, including justification in case of limitation of visibility of the content of file;
- Other digital repository;
- Paper file.

The "File creation request" forms referred to in §3.3 may be used by the Lead Departments to introduce their requests. The use of these forms is not mandatory as long as the necessary information are provided to enable the file creation.

File creator evaluates the information provided by the file requestor against the rules in §2.3.3 and amend where appropriate (e.g. file title, access rights...).

"File creation request" shall not apply where files are automatically created by JRC IT systems properly integrated with the HAN platform.

### 2.3.2 Second step: UNICITY

Before the creation of a requested file, files creators **MUST** check whether such file already exists or not.

Where a requested file already exists, the current Lead Department is invited to consent the extension of access rights (file users / file readers) of his file to the service who is requesting creation of similar file. Upon agreement, access rights are granted. Otherwise, the requesting service is advised to create/delegate filing task to the Lead Department.

Requests for the creation of an existing file are rejected.

### 2.3.3 Third step: FILE CREATION

A heading of the Common Nomenclature (NC) of the European Commission **MUST** be identified for each file to be created, in accordance with the rules set out in the JRC AST.

File metadata **MUST** be filled in in accordance with the following rules:

Tab	Metadata	Mandatory	Rules
Identification	Limited	No	May be enabled for files related to specific processes involving sensitive data (e.g. human resources,). Limited files imply that there are NO "File readers" ..
	Specific code	YES	<u>Strictly structured in accordance with convention set out in Annex A</u> and specific rules, if any, set out in the JRC AST for the corresponding activity and sub activity.
	Lead department	YES	Organisational entity responsible for the opening, management (filing of documents), closure, and preservation of the file.
	Desk officer	YES	Name of the person in charge of the related case or activity.
	Category	YES	All files <b>MUST</b> be linked to a category of the Common Retention List of the European Commission. This link <b>MUST</b> be defined at the moment of the file creation in accordance with the JRC AST.
	English title	YES	Case file = Action + Object Serial file = Object + Period The title must: <ul style="list-style-type: none"> <li>• Inform about the scope of the file without reading the heading or specific code or documents inside</li> <li>• Be understandable also after 30 years - no acronyms, jargon (add in brackets if it helps search)</li> <li>• Be in English</li> </ul>
	French title	No	Should be kept empty.
	German title	No	Should be kept empty.
	File editors – Groups	YES	<u>Always:</u> nc_jrc_he + nc_jrc_fc Other, in accordance with JRC AST, only if trained.
	File editors – Users	No	Nominative "file editors" must be avoided.
	File users – Groups	YES	Unit(s) or NomCom groups authorised to file documents, where the case arises in accordance with limitation justified by the Lead Department. In accordance with the JRC AST.
	File users – Users	No	Where the case arises, in accordance with limitation justified by the Lead Department. Nominative "file users" must be avoided.
	File reader – Groups	No	JRC or in accordance with the JRC AST. Any limitation must be justified by the Lead Department. Empty in case of "Limited file".
	File reader – Users	No	Empty.

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Tab	Metadata	Mandatory	Rules
			Where the case arises, in accordance with nominative limitation justified by the Lead Department.
	English comments	No	Where relevant for the understanding of the scope of the file (e.g. "Requested by [name] on [date]", ...).
	French comments	No	Should be kept empty.
	German comments	No	Should be kept empty.
Preservation	Other digital repository	No	Enabled where applicable, specifying the repositories.
	Other storage types	No	Enabled when there is also a paper file
	List of physical items	No	Add 1 physical item when there is also a paper file (allows end users to print standard labels).

#### 2.3.4 Additional rules applicable to "sub files"

Files may be created with 1 level of sub files in accordance with the needs and requests of the services. The use of sub files structure will comply with the following rules.

- Sub files must correspond to a specific topic within the case covered by the file.
- Sub files cannot be serial sub file.
- In case of sub file structure, the main file shall not have any file user, meaning that any document must be filed within the sub file structure, unless the sub file structure is created after documents have already been filed in the main file.
- Sub files's specific code shall be structured in accordance with conventions set out in Annex A and specific rules, if any, set out in the JRC AST for the corresponding activity and sub activity.

#### 2.3.5 Additional rules applicable to "serial files"

- Serial files may be created following an individual request as described above.
- In practice the majority of serial files are created as a yearly exercise following bulk requests in reply to the note from DMO "Document management - ARES Filing Plan – Serial Files YYYY" launched every November.
- Certain serial files are created massively by DIGIT at the request of DMO (NOT to be created manually) such as:
  - Deputising (BUDG.DEPUT)
  - Financial Actors Appointment (BUDG.FINACT)
  - Operational Actors Appointment (BUDG.OPERACT)
  - Small Purchase Orders (SPEN.SPO)
  - Reimbursement of Experts & Workshops (SPEN.EX&WS)

#### 2.3.6 Files activation

Files are "activated" immediately upon creation.

"inactive" files are not created.

### 3 **LINKS TO OTHER DOCUMENTS**

#### 3.1 **Reference documents**

JRC-DRMP-Policy	<a href="#">JRC Documents and Records Management Policy</a>
JRC-DRMP-Strategy	<a href="#">JRC Documents and Records Management Strategy</a>
JRC-DRMP-Governance	<a href="#">JRC Documents and Records Management Governance</a>
JRC-DRMP-ACTE	<a href="#">Glossary of Documents and Records Management Acronyms and Terms (<a href="https://connected.cnect.cec.eu.int/docs/DOC-44852">https://connected.cnect.cec.eu.int/docs/DOC-44852</a>)</a>
JRC-DRMP-WI-QRC-AST	<a href="#">Quick reference card for the use of the JRC AST tool (for CAD and DMO)</a>
JRC-IMS-M4.1-WI003	<a href="#">How to define the Content Of Files (COF)</a>

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### 3.2 Tools

HERMINE	HAN Easy Reporting and Monitoring tool (for CAD and DMO)
JRC AST	JRC Archive Schedule Table tool (for CAD and DMO)

### 3.3 Forms

IMS-JRC-M4.1-FRM.0007 [File creation request forms](#)

### 3.4 Annexes

Annex A	Files Specific Code convention
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## 4 DOCUMENT MANAGEMENT

### 4.1 Control of this document

This document is a controlled JRC Management System document, and the document owner identified on the cover page has the duty to maintain it. This includes keeping the document up-to-date, making the latest version available to the users, and informing the users on the updates as necessary.

Any user of this document who identifies an inaccuracy, error, ambiguity or potential improvement need is requested to contact the Document Owner.

### 4.2 Records management

The records created in application of the present work instruction shall be managed systematically in accordance with the following definition.

File name	File creation requests					
File identifier	B01.<year>/DOMA.CURREC.FILE.REQ					
Common Nomenclature	10.02.05.53.015.010.010 (Management of Current Records - JRC General Coordination)					
CRL category	12.8.1/CONTRIB (Document management policy and archive policy)					
Lead department	JRC.B.1					
Repositories	ARES or Outlook folders					
Comment						
List of Documents and Records						
Name	Mandatory /Optional	Repository	Record Identifier	Approval Method	Preservation Medium	Other
File creation requests	Mandatory	ARES	Ares Reg. Nr	n/a	Electronic	
		Outlook folders	n/a	n/a	Electronic	
Clarifications	Optional	Outlook folders	n/a	n/a	Electronic	
File creation confirmations	Mandatory	ARES	Ares Reg. Nr	n/a	Electronic	
		Outlook folders	n/a	n/a	Electronic	

The Lead Department shall be responsible for the opening, closure and preservation of the files in accordance with the rules and procedures made available by the JRC DMO.



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## ANNEX A – FILE SPECIFIC CODES CONVENTION



### Rules

- Part 1 and Part 2 are always separated by a slash
- Within each Part 1 and Part 2, concepts are separated by (and only by) a dot
- Part 1 is composed of:
  - The Lead Department (or "Chef de File") code consisting in
    - The letter(s) of the Directorate (e.g. JRC, ADV, DDG, A, B, C, ...J).
    - The number of the unit in minimum 2 digits, with leading zero if necessary (e.g. 01, 02, ...11), 00 for Director's office.

Nota bene: the letter of the Directorate and the number of the unit are not separated by any separator.
  - A dot separator, separating the "cdf" concept from the "year" concept.
  - The year of intended first use of the file in exactly 4 digits (e.g. 2014 ...).
- Part 2 is composed of:
  - The code of the activity. Files creators shall use activity codes defined by the JRC AST.
  - A dot separator, separating the "activity" concept from the "sub activity" concept
  - The code of the sub activity. Files creators shall use sub activity codes defined by the JRC AST.
  - A dot separator, separating the "sub activity" concept from the "additional information" concept.
  - Additional information identifying the case in a unique way within the related activity and sub activity. Each specific concept within this additional information shall be separated by a dot ".".
- The maximum length of the file specific code is 32 characters.

### Examples

OK ☺	NOT OK ☹
B05.2014/SPEN.CFT.001.OC.G03 B03.2014/RECR.125421.CA.FGII H01.2014/DM&FU.CHRONO.2014.H01 H02.2015/WPMGT.PJ.2021.PACAR	B5.2014/SPEN.CFT.001.OC.G03 B/03.2014/RECR-125421-CA-FGII H01-2014/DM&FU/CHRONO.2014.H01 H02.2015.WPMGT.PROJ.2021.PACAR