e-Domec

Introduction to Document & Records Management

Update : 5/12/2021

ces humaines
té

developpement personnel

General introduction

Intended for staff of the Commission:

» Newcomers

» Global overview of the document management policy

» To facilitate communication and collaboration among colleagues

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Ensure quality of service

Well kept official files

Well trained and informed agents

Well mastered information tools

Efficient work organisation

➤ **Guaranteed access to information**

➤ **Independence & coherence**

➤ **Facilitating "Telework"**

➤ **Obligations are fullfilled**

Program

1. **Basic notions to understand the work environment**
   1.1. Organisation based on business continuity
   1.2. Definitions : Chef de file, Case, File, Document, …

2. **Legal rules and tools to work well at EC**
   2.1. Legal basis
   2.2. HAN : IT tools

3. **In practice: work done within a unit**
   3.1. Creation of an official file
   3.2. Capture and filing of documents
   3.3. Closure of files
   3.4. Afterwards … : intermediate and historical records

4. **More information**
   4.1. Stakeholders
   4.2. Complementary courses

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Teaching goals

General:

- General vision on the practice of records and files management within the Commission

Specific:

- Knowing the rules and the tools

- Making collaboration between staff and units easier

- Understanding one's responsibilities in the management of documents and files

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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?

- 1 -
e-Domec :
Basic concepts to understand your work environment

For the Commission

Needs and obligations

Facilitate exchange and sharing of information	**Provide evidence of the actions and decisions taken**	**Fullfill legal and regulatory obligations**	**Preserve the memory of the Commission**
Acces to documents and files	**Protect information**	**Accountability (internal and external audit)**	**Preserve information**

e-Domec !
RECORDS MANAGEMENT SYSTEM

For staff

Producer

User of information

Daily tasks and activities

Retrieve useful information in a swift manner

Ensure the trustworthiness of information

Share information and ensure a good quality of service and business continuity

Manage documents and files

Be able to organise work independently and be able to « Telework »

Know whom to turn to for help

e-Domec

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
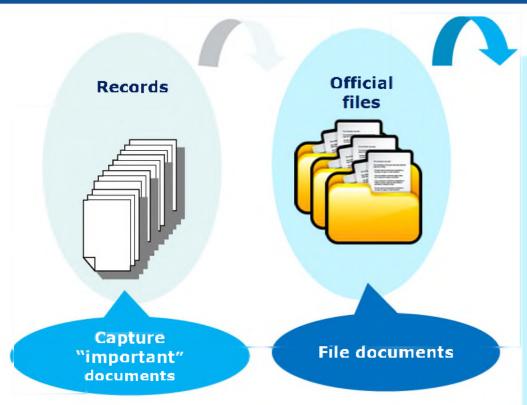- Normative framework
- Obligations
- Common procedures

Practice
- Working methods
- Contact persons

Tools
- Documentary tools
- IT-tools
- Digital environment

Basic document management

Records

Official files

Filing plan :
01. Institution – Commission
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 per DG
10. Administration
12. External action – Common Foreign and Security Policy
15. Activities of the Delegations and Offices of the European Union in Third Countries and to International Organisations

Capture "important" documents

File documents

Organisation of files

➢ **SHARE - RETRIEVE - USE – PRESERVE**

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A record at the Commission

All content received or formally drawn up

Concerning a matter related to the Commissions policies, activities and decisions made within the boundaries of its official duties

Irrespective of form and medium (paper, digital, sound recording, visual, audiovisual)
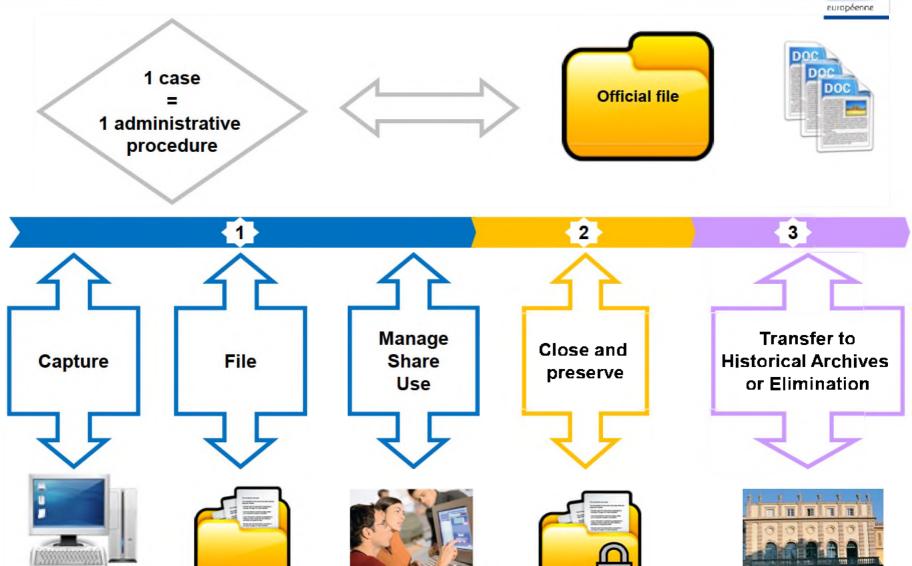
- Commission decision of 6.7.2020 on records management and archives

Fundamental operations

1 case
=
1 administrative
procedure

Official file

| 1 | 2 | 3 |

Capture

File

Manage
Share
Use

Close and
preserve

Transfer to
Historical Archives
or Elimination

Case: definition

CASE

- A set of administrative actions
- taken within the boundaries of a specific procedure
- with a clear **start** and **end**

1 case = 1 official file

Aim to have a complete overview and to follow the progress in a case

« Chef de file » Lead department

Unit responsible for follow-up of a case
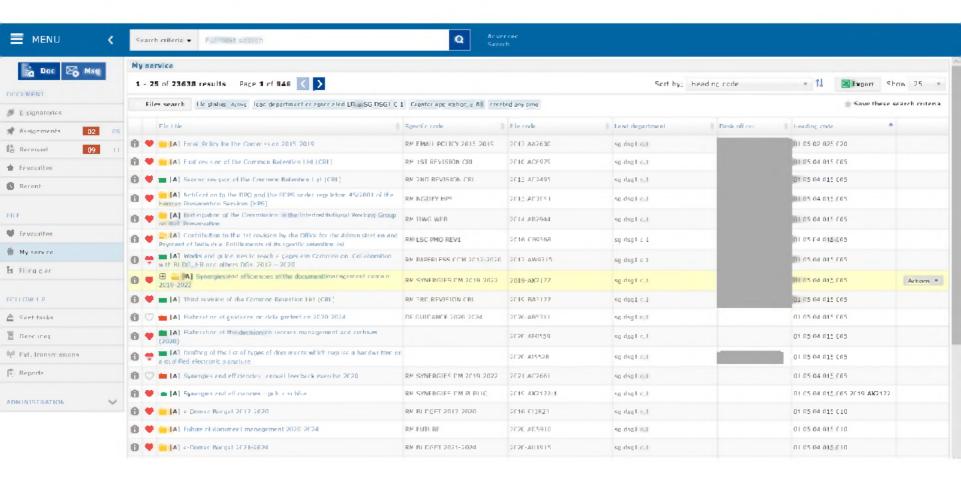
1 case =
1 official digital file

Accountability

Ensure business continuity and transfer of knowledge

Ares : Files list

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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
  - [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
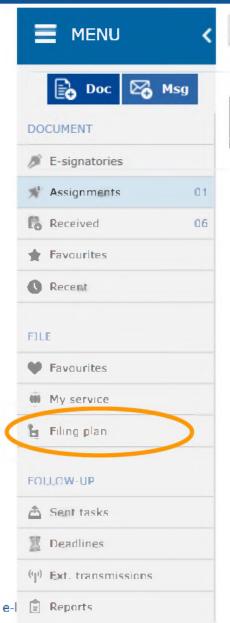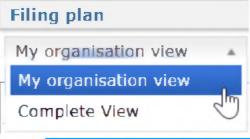and a numeric code

Multi-level
from general to specific

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

Ares : Access to Filing Plan

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
- 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**

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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

- 2 -
Rules and tools to work better together

e-Domec : legal and regulatory rules

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

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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 coporate 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 reeived 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.

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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

Hermes Repository Services (HRS)

Integration of all applications at EC and local levels into HERMES-system

HERMES : storage of registered documents in a central repository to all DGs.

Commission applications

Hermes Repository Services

Local applications

HERMES

Dépôt électronique commun

ARES

NOMCOM

NOMCOM
Nomenclature Commune

Tool for managing the filing plan and the list of files of the EC, the EA, and the EEAS

ARES
Advanced Records System

Registration of documents and e-mail

Registration tools

General register	Specific registers	Applications equivalent to a register	Integration Hermes
• **Ares**	⑩**Decide** : Consultation, e-Greffe • **ABAC** Contracts • **THEMIS** : CHAP, EU PILOT, NIF • **Basil3**	⑩**Sysper 2** • **Mips** • **Poetry** • **EU Learn** • **Webdor** • **Presto** • …	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**

➤ **List of applications integrated with Hermes:**
http://www.cc.cec/wikis/pages/viewpage.action?spaceKey=HRS&title=5.+Client+applications

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)
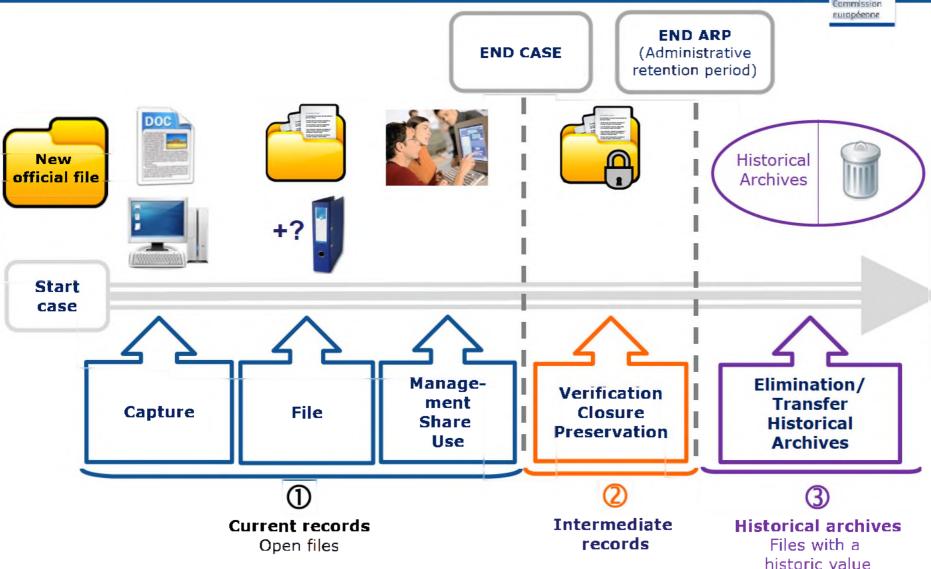- ⑩ Management of access rights (documents EU RESTREINT / sensitive non-classified)

- 3 -
The daily work in your unit

Administrative lifecycle of files

END CASE

END ARP
(Administrative
retention period)

New official file

Start case

Historical Archives

Capture

File

Manage-ment Share Use

Verification Closure Preservation

Elimination/ Transfer Historical Archives

① **Current records**
Open files

② **Intermediate records**

③ **Historical archives**
Files with a historic value

Shared competences and responsibilities

Administrative responsibility	**Technical responsibility**

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

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

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

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

Collaboration

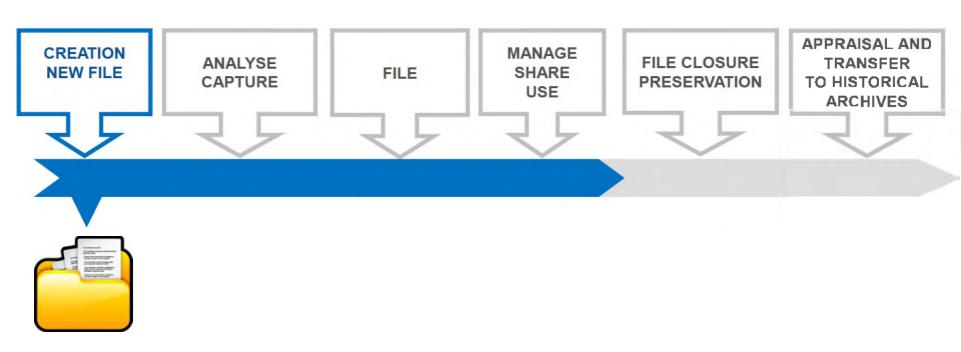# Questions you need to ask in your unit

- How is a new official file created?
- Why capture documents?
- What documents have to be registered?
- Who registers / saves?
- Which registration tools are used?
- Why file documents
- Who files documents?
- What are the files of which we are « chef de file » (lead departement)?
- Are the files complete?
- How can I find the necessary information in a swift manner?
- How long do we need to preserve documents / files?
- Do we need to keep the paper documents?
- What are our obligations and responsabilities?
- Who can I talk to when I have a question?
- … ???

Administrative lifecycle

| CREATION NEW FILE | ANALYSE CAPTURE | FILE | MANAGE SHARE USE | FILE CLOSURE PRESERVATION | APPRAISAL AND TRANSFER TO HISTORICAL ARCHIVES |

When to open a new file ?

➢ When a new case starts:
based on the needs of the file manager

➢ At the end of the year for cases with a repetitive nature (serial files)

or

➢ When a record can't be filed in an already existing file

Typology of files

Official file	Working 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
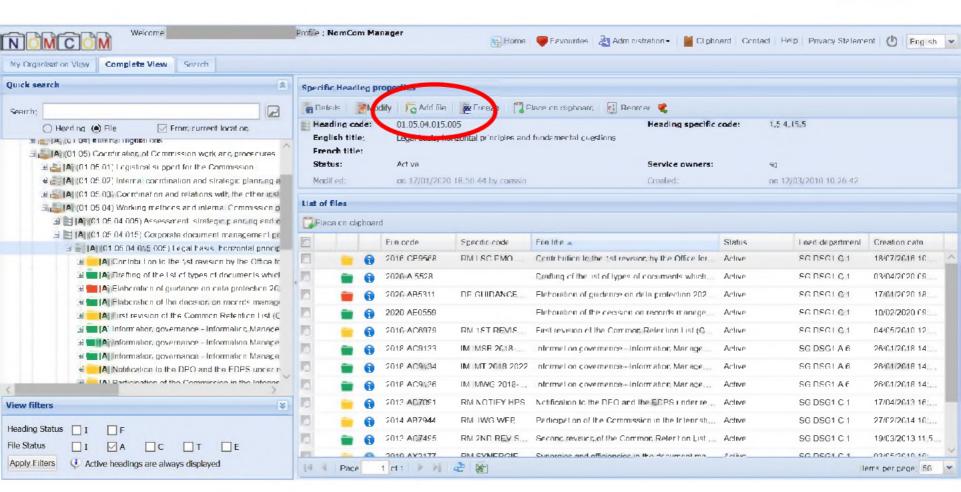- Eventually transferred to the historical archives

- 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
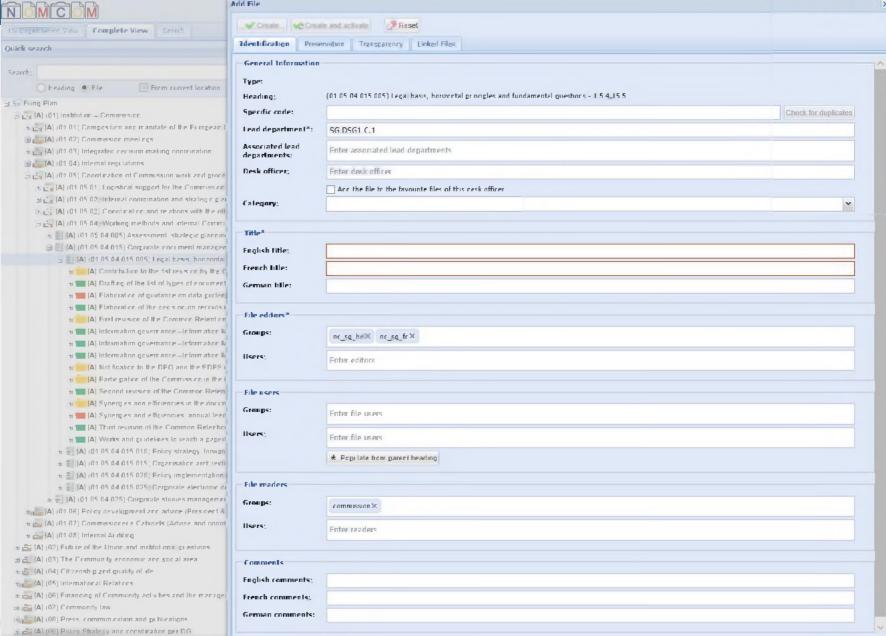- No transfer to the intermediate records nor the historical archives

Creation of a file in NomCom (1)

Creation of a file in NomCom (2)

A well chosen title

Fundamental element

Allows the identification of the file during its lifecycle, included when it is transferred to the Historical Archives Service

Essential characteristics:

➢ **Informative**: gives information on the case handled without the need to review the files documents in the file

➢ **Clear**: can be read without looking at the item in the filing plan it is attached to

➢ **Unambiguous**: does not contain abbreviations, acronyms or jargon

➢ **Accessible**: the title needs to be in English and French

Action file / Serial file

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 calender year or a budget cycle
- Always progresses according to the same procedure

⬇

Title contains:
Subject + Covered period

- Example:
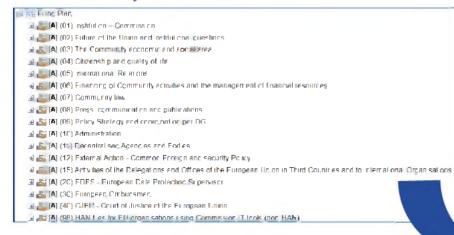Relations with the Council (2020)
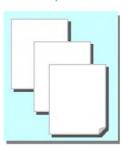
Choose the heading of the filing plan

Headings of the filing plan:
tasks undertaken by the Directorates general or related units

File: group of records concerning one **action** (case) as part of the Commission's activities

Captured documents

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] (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
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- [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
- [A] (20) EDPS - European Data Protection Supervisor
- [A] (30) European Ombudsman
- [A] (40) CJEU - Court of Justice of the European Union
- [A] (98) HAN files for EU organisations using Commission IT tools (non HAN)

Consultation of the list of files

Daily working tool

- ➤To have the list of official files
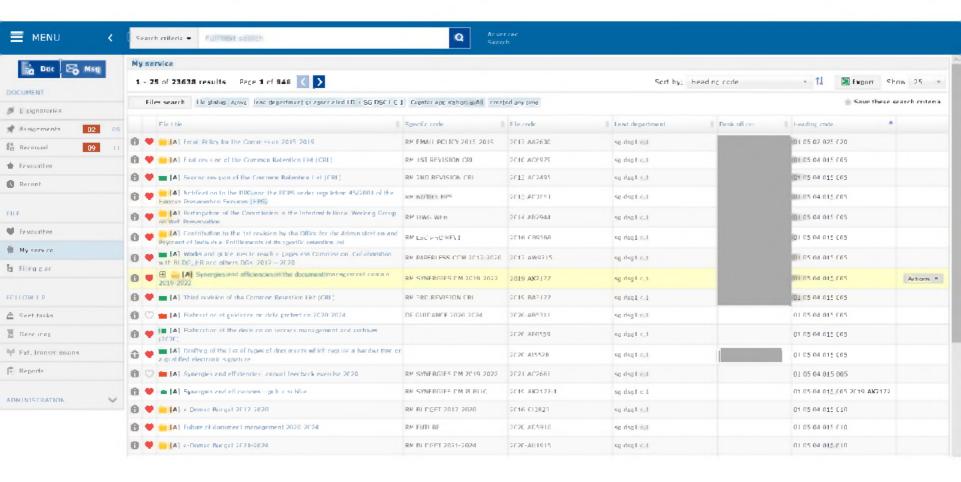
- To know who is « Chef de file » (Lead department)

- File documents in the matching file

- Facilitates search and access to files and documents

Ares : Files list (1)

Ares : Files list (2)
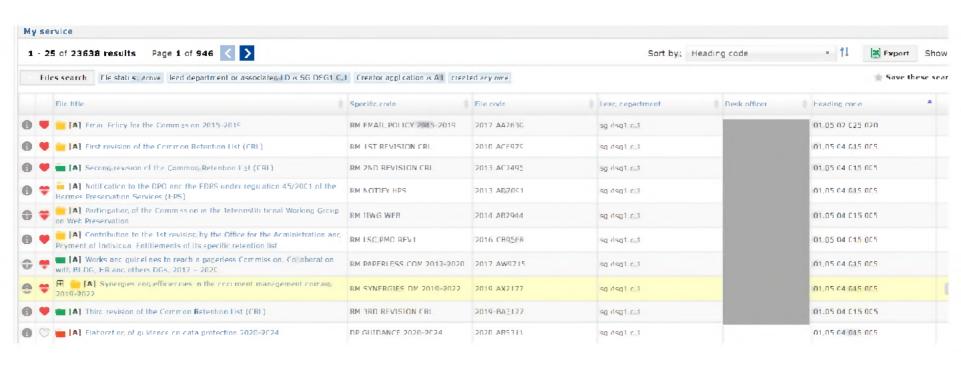
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Visibility of files
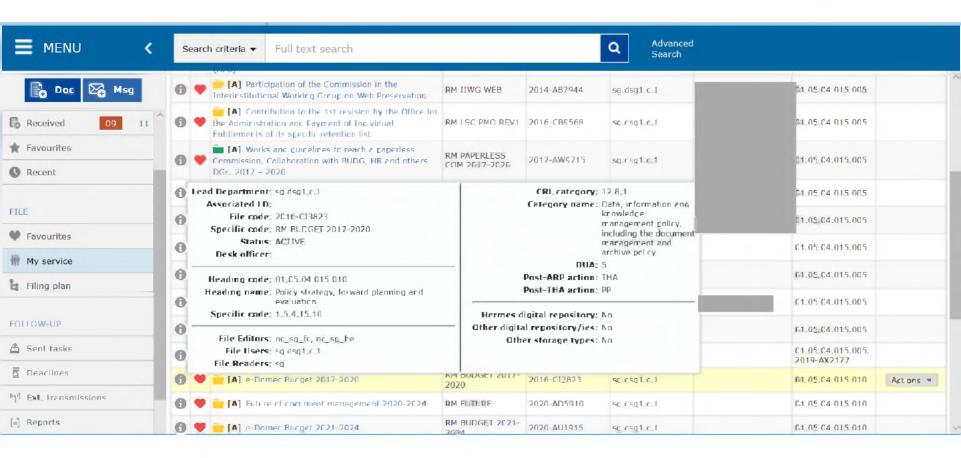
Icon	Type of file	File readers/ File users	Label
	All	Hermes_group	File with visibility open to all HAN users
	Institution	Commission or an institution (ex: OMBU...)	File with visibility Institution
	DG/ Service	At least one DG/service/agency (ex: TAXUD, ERCEA...)	File with visibility DG/ Service[1]
	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)

Ares : File properties

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Ares : Favorite files
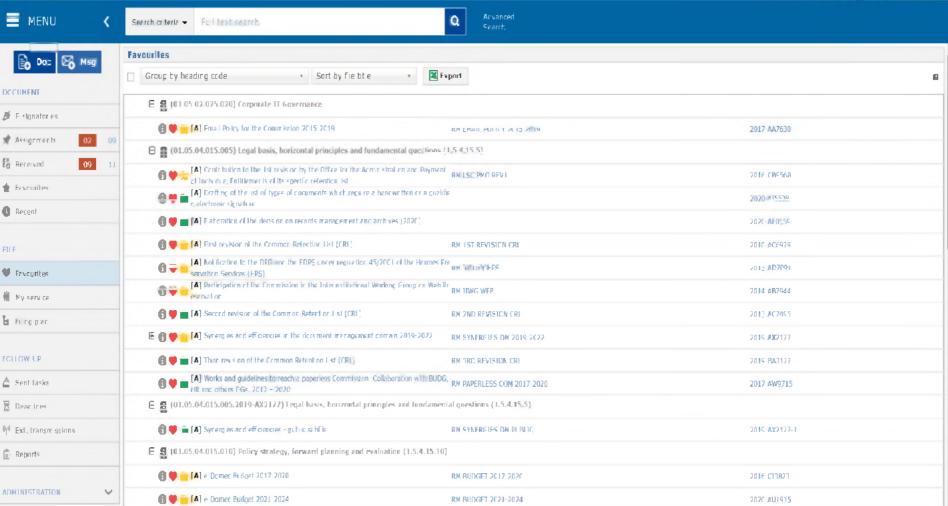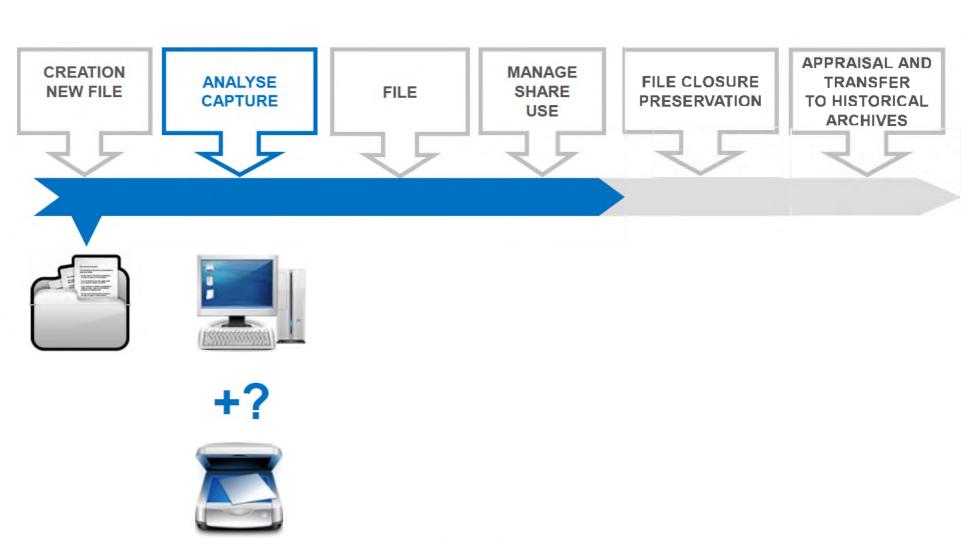
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Role of the desk officer

An essential role:

➢ Asks the unit's DMO correspondent to **create** a new official file when a new case is started

➢ Indicates wether the file is an **action file** or a **serial file**

➢ Suggests a **title** for the file

➢ Chooses the **heading of the filing plan** to which the file will be attached

➢ Adds the file to his/her list of **Favorite files**

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Administrative cycle

| CREATION NEW FILE | ANALYSE CAPTURE | FILE | MANAGE SHARE USE | FILE CLOSURE PRESERVATION | APPRAISAL AND TRANSFER TO HISTORICAL ARCHIVES |

+?

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Documents to capture

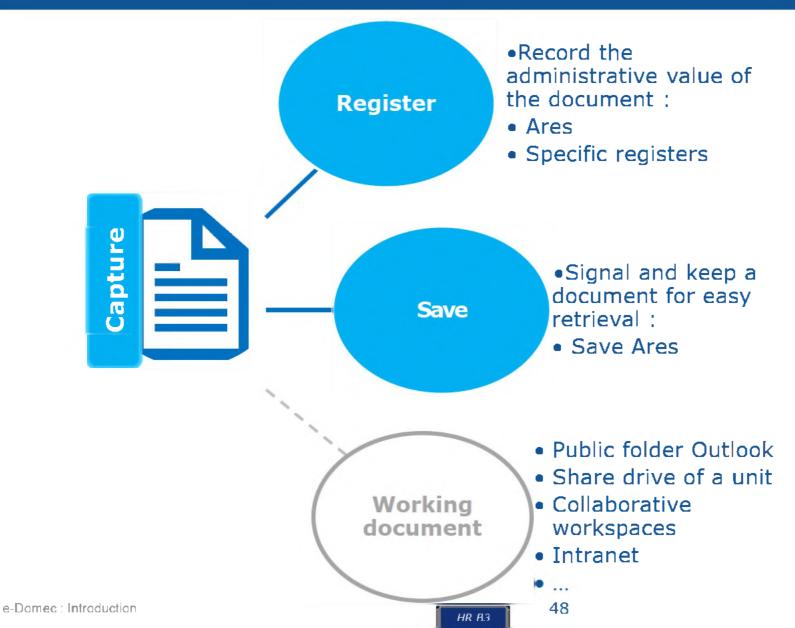Information useful for understanding a case or interesting for other colleagues / services

As evidence

Capture
Enter a document in a records management system to keep and share it

Compliance with regulatory framework

Capture = Register / Save

Capture

Register

- Record the administrative value of the document :
  - Ares
  - Specific registers

Save

- Signal and keep a document for easy retrieval :
  - Save Ares

Working document

- Public folder Outlook
- Share drive of a unit
- Collaborative workspaces
- Intranet
- ...

Identify the document

Track the document to retrieve it

Register = Certifying the administrative value of the document

Certify the transmission and the reception

Manage effectively

Document to be registered

Documents with evidential value

Documents that are binding for the Institution

- Documents responding to a legal or financial obligation
- Documents sent to external partners
- Documents received requiring formal action of the Institution
- Internal documents (decisions, minutes) that are the basis for an action done in name of the Institution

- Registration needed -

Working documents

Documents useful for the task but not indispensable for the understanding of the case

- External documentation
- Non validated working documents
- Preparatory documents (non validated versions)
- Copies

- No registration needed -

Documents to capture

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**

Registration of e-mails : Areslook

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
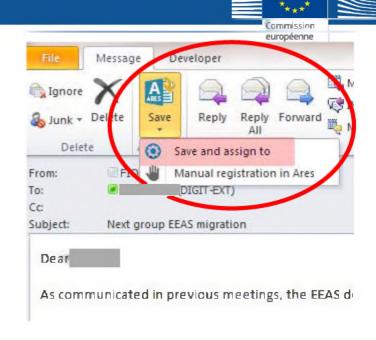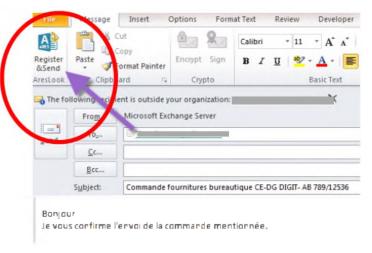
➢ Respects the e-Domec rules

Use of Areslook (1)

➢ **Received E-mails :**

- Registration can be by all users
- 2 options :
  - o "Save and Assign to" : capture the e-mail in Ares and assign the registration task to someone else
  - o "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 adressed tot external recipients :
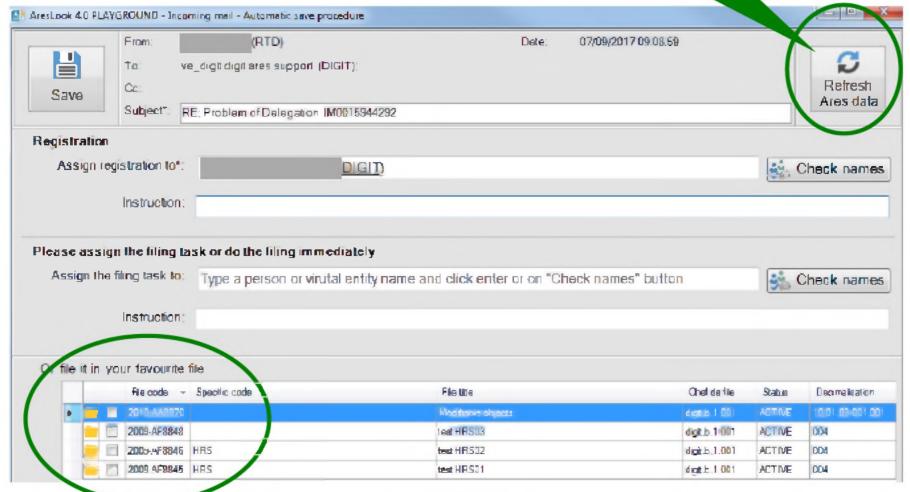 - ➢ Possibility to use the « External transmission" function in Ares

Areslook : Save and assign to

Import favorite files

Use of Areslook (2)

Register With Areslook

⑩**Important e-mails exchanged with the exterior**

MSG function in Ares

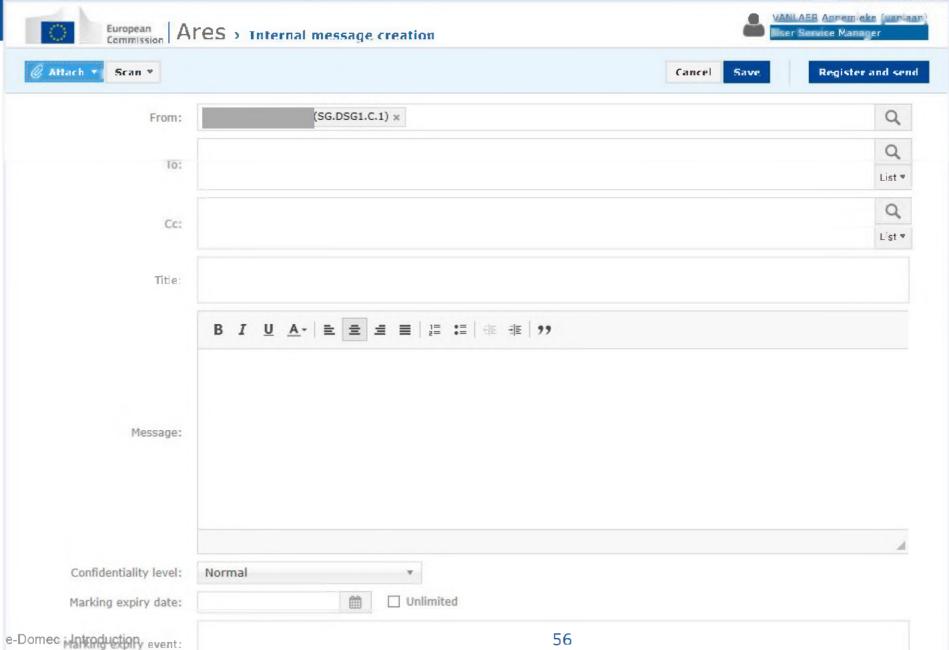⑩**Internal e-mail with specific content**

⑩Used to send a registered document (transmission via Ares

⑩Possible to add a marking to sensitive e-mail

⑩No double notification Ares + Outlook

MSG : Internal message

European Commission | Ares › Internal message creation

VANLAER Annemieke (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>U</u> A▾ | ≡ ≡ ≡ ≡ | ⅰ≡ ≔ | ≔ ≔ | "

Confidentiality level: Normal ▾

Marking expiry date: [   ] 📅 ☐ Unlimited

Learn to write clear emails

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

Registration : do not forget

➢ **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

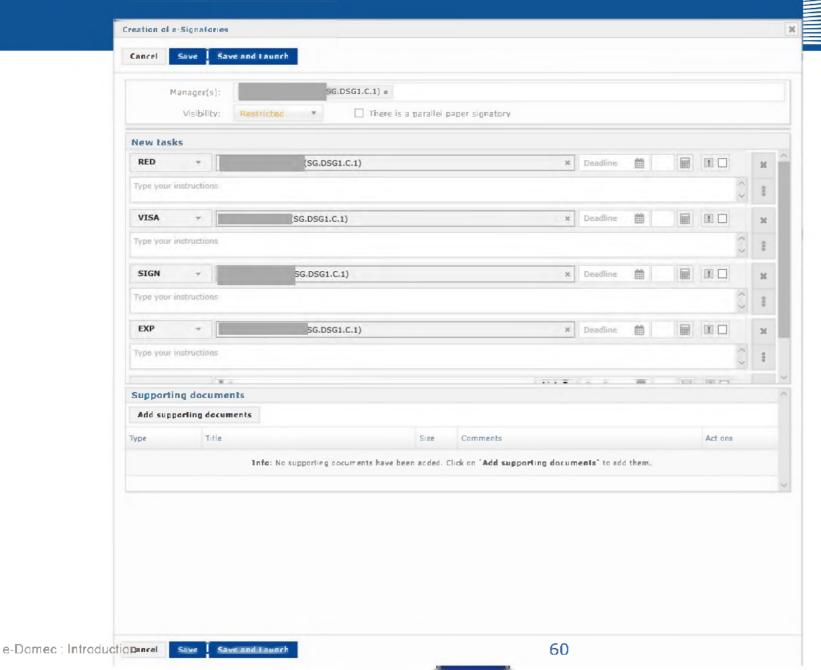Minutes of informal contacts (Note for the file)

➢ **Hand over** *(Ares)*

➢ **Mission reports** *(Ares)*

➢ **Briefings** *(Basis)*

Ares : registration

European Commission | Ares › **Document creation**

VANLAER Annemieke (vanlaan)
User Service Manager

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 : e-Signataire

Ares : follow-up of tasks
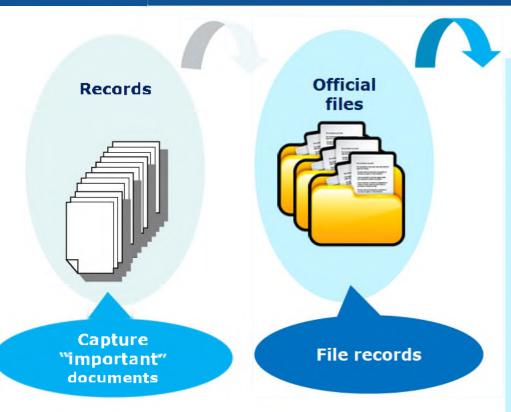
Administrative cycle

| CREATION NEW FILE | ANALYSE CAPTURE | FILE | MANAGE SHARE USE | FILE CLOSURE PRESERVATION | APPRAISAL AND TRANSFER TO HISTORICAL ARCHIVES |

+?

Filing

Records

Capture "important" documents

Official files

File records

Filing plan:
01. Institution – Commission
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 per DG
10. Administration
12. External action – Common Foreign and Security Policy
15. Activities of the Delegations and Offices of the European Union in Third Countries and to International Organisations

Organisation of files

➢ SHARE - RETRIEVE - USE – PRESERVE

Why file ?

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

Filing documents

DOC

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

How to make filing easier

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

Digital preservation and / or paper?

Implemenation 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

Copy of a docu-
ment

**Official
electronic file**

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

STORING

**Additional official
paper file**

Use of the unit's shared drive / Collaborative workspaces
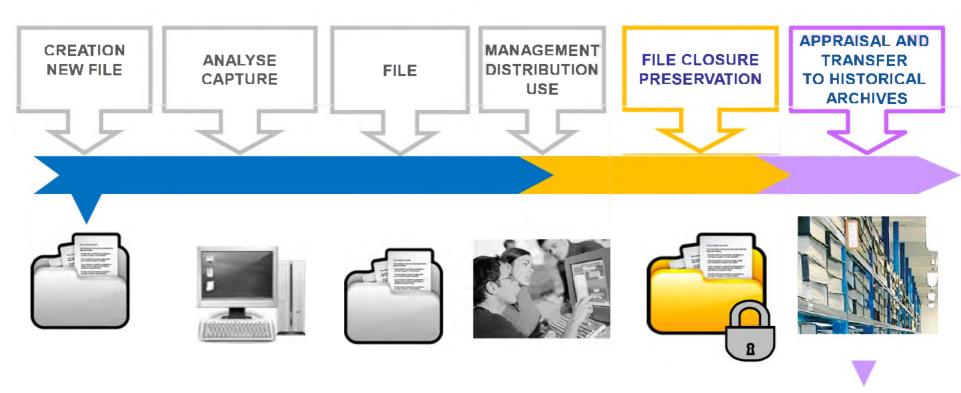
Only a working environment

Allows storage and sharing of electronic information that has no legal value

Suggestion : organise according to a (simplified) filing plan

Administrative cycle

| CREATION NEW FILE | ANALYSE CAPTURE | FILE | MANAGEMENT DISTRIBUTION USE | FILE CLOSURE PRESERVATION | APPRAISAL AND TRANSFER TO HISTORICAL ARCHIVES |

Obligation : file closure

End of the case

Close the official file

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

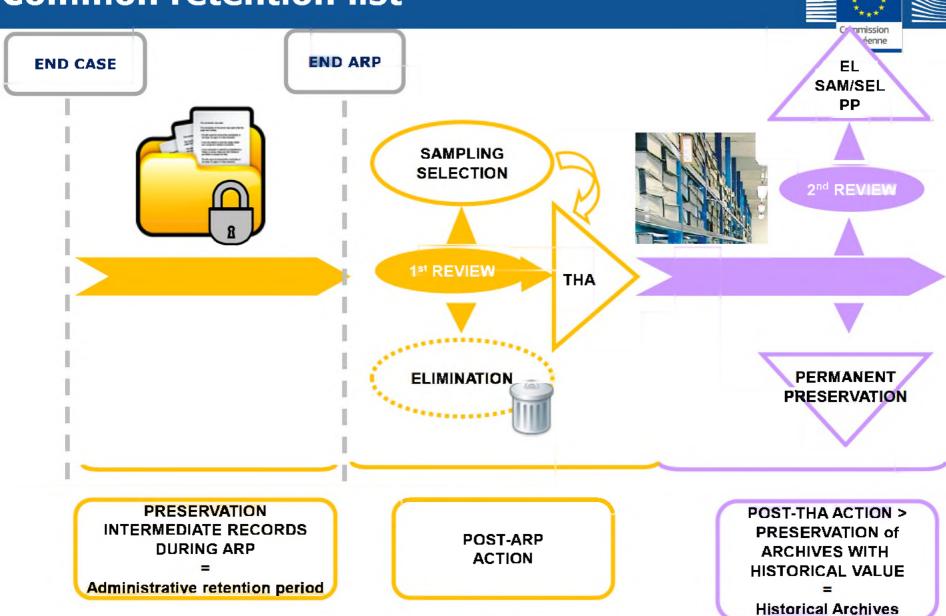**How ?**
Closure implies a check of the file content

Consequences of the closure ?
A closed file can no longer be modified

Applying the CRL : Common retention list

END CASE

END ARP

EL SAM/SEL PP

SAMPLING SELECTION

2nd REVIEW

1st REVIEW

THA

ELIMINATION

PERMANENT PRESERVATION

PRESERVATION INTERMEDIATE RECORDS DURING ARP
=
Administrative retention period

POST-ARP ACTION

POST-THA ACTION > PRESERVATION of ARCHIVES WITH HISTORICAL VALUE
=
Historical Archives

e-Domec

Summary and conclusion

Who does what within the unit ?

Desk officer

MONITORING OF THE FILE :
- Asks the DMO correspondent to **create** new files
- Suggests a **title** and chooses the **heading in the filing plan**
- Demands the **closure** of the file when the case is finished

CAPTURE :
- **Transmits** or signals all document to be registered / saved (including important e-mails)
- **Verifies** regularly that the official file is complete

FILING :
- **Ensures** all registered documents are filed in the correct file
- **Places or indicates** the personin charge of arrangement in which file a document must be placed

DMO correspondent

ORGANISATION :
- **Adapts** the implementation to the specificities of the unit
- **Educates / informs**
- **Verifies** conformity to the rules
- **Alerts** head of unit in case of problems

FILE MANAGEMENT :
- Creates the new official electronic files
- Establishes the **storage plan**: rules of preservation of physical official files
- **Closes files** : sends a list of potentially closable files once a year
- Organises the management of the **Intermediate records and files**

COORDINATION :
- **Participates** in meetings of the DMO correspondents

Secretariat

CAPTURE :
- **Registers / saves** documents in the correct records management system
- Organise the **administrative follow-up** (e-signatory)
- **Links** documents

FILING :
- **FILES** the registered documents in the appropriate official file

SEARCH :
- **Searches for documents and files** in the correct systems

ORGANISATION :
- **Instructs / alerts** the DMO correspondent and the head of unit in case of problems
- **Educational mission** : informs the desk officer on unit's practical way of working

Chef de file ?

Head of unit

Person responsible for a given decision

- Service or unit responsible for a case's follow-up

A record ?

Information on paper

A set of information

- A collection of organised information

Capture information as a record?

Digitize a document

Duplicate a document

- **Enter a document in a records management system in order to preserve and share it**

Registration ?

Enables document storage

Enables swift and easy document retrieval

Provides evidence of the administrative value of a document drawn up or received by a service during its activities

A record to register?

- Can be on any medium (paper, electronic, …)

- Has a link with the Commission's policies, activities and decisions

- Contains important information = useful for the activity

HR B.3

An official file ?

Content in a folder on the shared drive

Content of a binder

- Collection of documents about the same case that is organised in a coherent manner
  = **official electronic file (NomCom / Ares)**
  + Additional official paper file (?)

HR B.3

Filing?

Store documents in an orderly fashion in a binder

Organise all documents when the case has ended

Add all documents related to the same case to an official electronic file

HR B.3

Closure ?

- Check that the file is complete

- Preserve the file in the Intermediate records

Transfer the file to the Historical Archives

If you want or need to know more …

In your unit/service

- **DMO correspondent** : reference person :
  - Manages the file list of the unit
  - Information and advice concerning *e*-Domec
  - Link between the unit and the DMO

At central level in your DG :

- **DMO** (Document Management Officer)
  - Adapts and implements the system of document and files management within the DG
  - Educates, informs, assists staff
  - Implements tools for control and follow-up

Intranet site of your DG

Intranet site : *e*-Domec

Additional courses

Specific e-Domec courses:

➢ **e-Domec SECR**: secretaries

➢ **e-Domec DMO-CAD-CDMO**:
- **DMO** (Document management Officer)
- **DMO Team**
- **DMO correspondents** in the units

➢ **e-Domec CTT**: Preservation – Appraisal – Transfer

➢ **e-Domec Chef de file**: Heads of unit and Desk officers

e-Domec : Introduction

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Thank you
for participating!