

e-Domec

Responsabilities of Heads of Unit and desk officers on files management

Updated: 14/10/2021

les humaines Ité

développement personnel

Current day administration











- Objectives
- > Ideas and exchanges
- Actions
- Networking
- > Information flows
- Documents received and drawn up
- Fundamental objectives:



- Find useful information
- To not waste time
- Handle efficiently
- Be organised



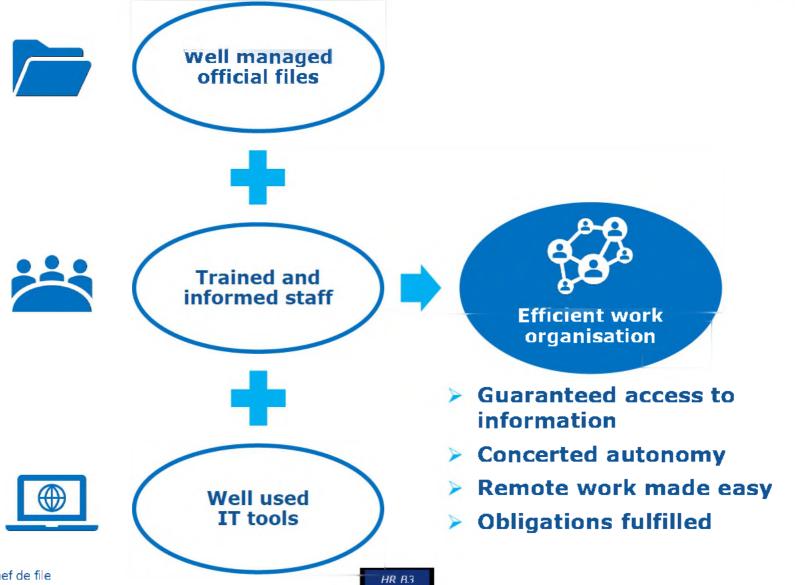






Garantuee quality of service





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Program



1. What you need to know about the e-Domec policy

- 1.1. Context and objectives
- 1.2. Legal basis and obligations
- 1.3. Roles and actors

2. Within the service: implementation modalities

- 2.1. Creation of an official file
- 2.2. Capture of records
- 2.3. Filing and management of files
- 2.4. Closing files and preservation

3. Organise wotk within the service

- 3.1. Self-assessment
- 3.2. Organise and train
- 3.3. Need to know more...

Learning objectives



General objective

 Have a general overview of the objectives and issues of document and file management at the Commission

Specific objectives

- Knowing how to facilitate the efficient organization of one's service
- Know your responsibilities
- Anticipate the risks of dysfunction





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: policy for documents and files management

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

For the Commission



Needs and obligations

Facilitate exchange and sharing of information

Acces to documents and files

Provide evidence of the actions and decisions taken

Protect information

Fullfill legal and regulatory obligations

Accountability (internal and external audit)

Preserve the memory of the Commission

Preserve information

e-Domec!
SYSTEM for RECORDS MANAGEMENT

For the agents



Head of Unit,
Desk officer
(administrator or
assistant managing
a file)

NEEDS

OBJECTIVES

Retrieve useful information in a swift manner

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

Have a complete file in case of an audit

Organise transfer of tasks

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

To know ones responsabilities

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

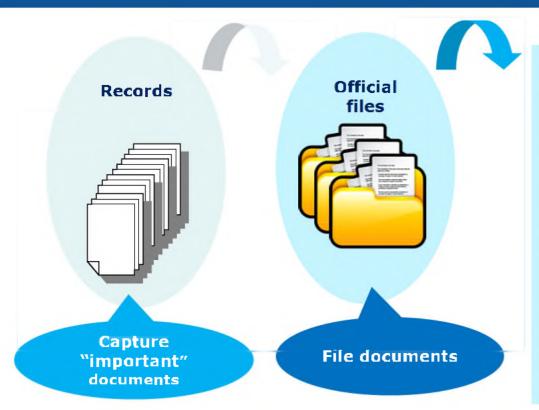
- Working methods
- Contact persons

Tools

- Documentary tools
- IT-tools
- Digital environment

Basic document management





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

Complete official files



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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 electronic file

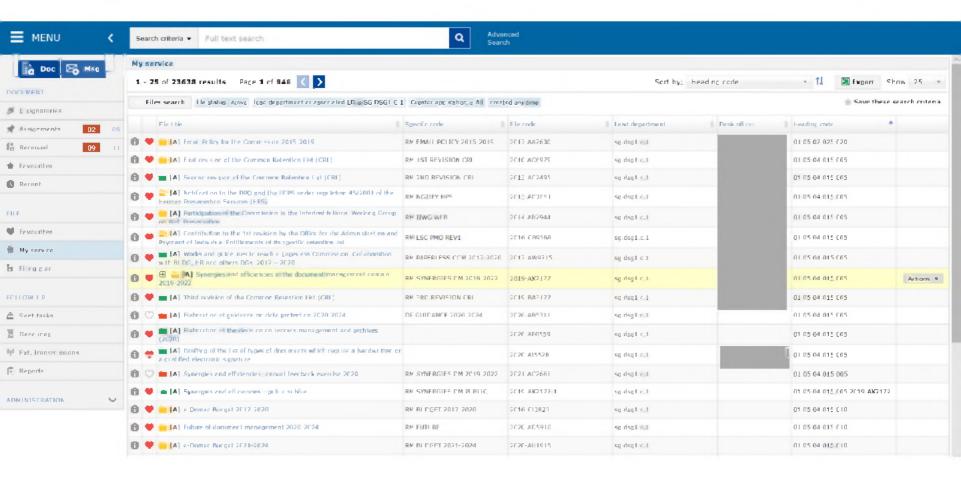


Accountability

Ensure business continuity and transfer of knowledge

Ares: Files list





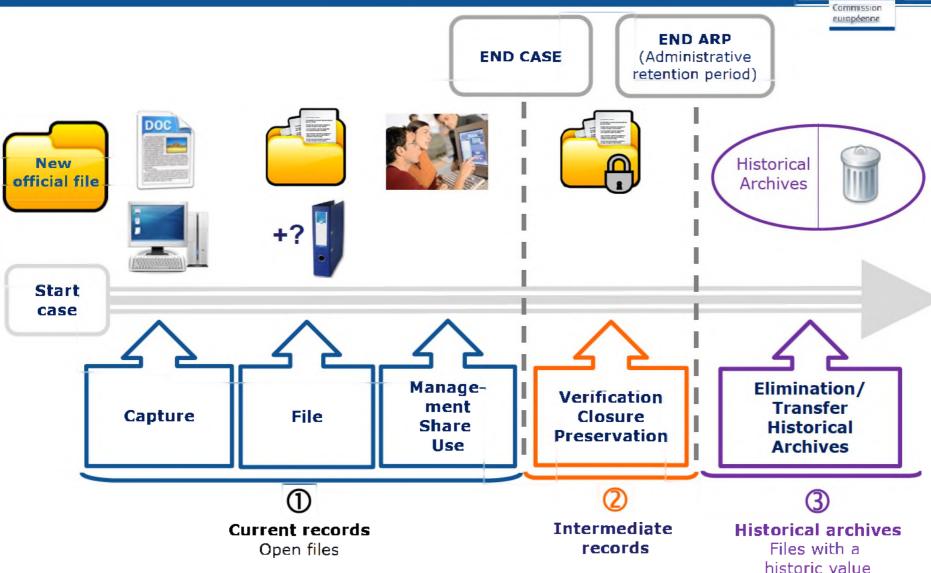
Visibility of files



con	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)

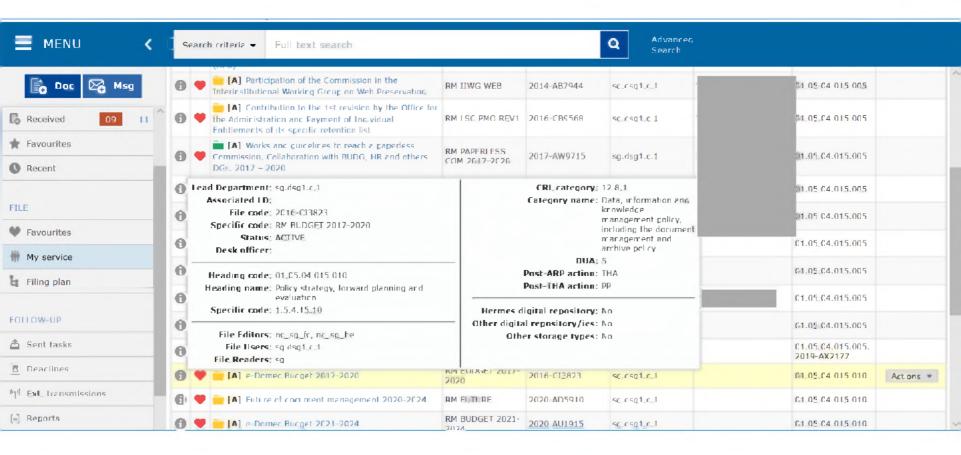
Administrative lifecycle of files





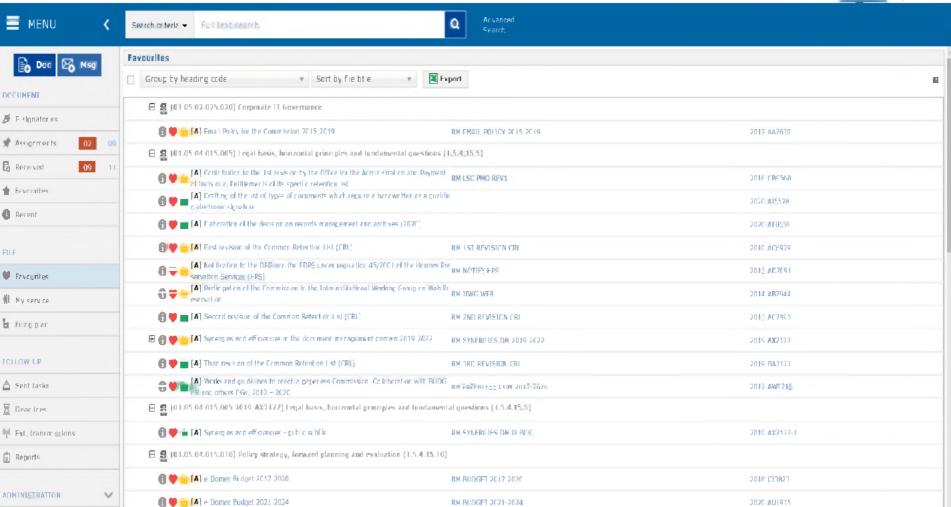
Ares: File properties





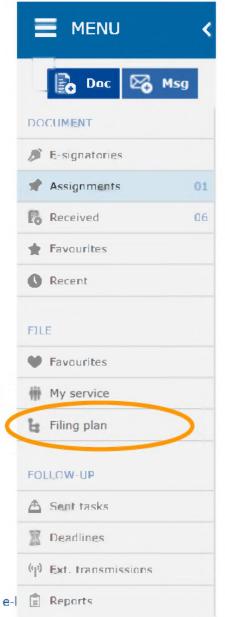
Ares: Favorite files

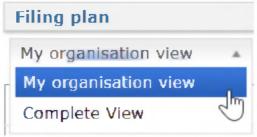




Ares: Access to Filing Plan







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
- O6. 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

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

Internal control principles at Commission



BudgWeb

Management

Internal Control

Internal Control Principles

Internal Control

IV Information and Communication (Principles 13-15)

I Control Environment (Principles 1-5)

II Risk Assessment (Principles 6-9)

III Control Activities (Principles 10-12)

V Monitoring Activities (Principles 16-17)

Information and Communication component

Information is necessary for the organisation to carry out internal control and to support the achievement of objectives. There is external and internal communication. External communication provides the public and stakeholders with information on the Commission's policy objectives and actions. Internal communication provides staff with the information it needs to achieve its objectives and to carry out day-to-day controls.

Internal Control Principles and characteristics of this component

Principle 13. The Commission obtains or generates and uses relevant quality information to support the functioning of internal control.



Characteristics:

• **Information and document management**. Directorates-General identity the information required to support the functioning of the internal control system and the achievement of Commission's objectives. Information systems process relevant data, captured from both internal and external sources, to obtain the required and expected quality information, in compliance with applicable security, document management and data protection rules. This information is produced in a timely manner, and is reliable, current, accurate, complete, accessible, protected, verifiable, filed and preserved. It is shared within the organisation in line with prevailing quidelines.

Principle 14. The Commission internally communicates information, including objectives and responsibilities for internal control, necessary to support the functioning of internal control.



<u>Principle 15. The Commission communicates with external parties about matters affecting the functioning of internal control.</u>

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.

Various 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

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

Role of the Lead Department



Creation	© Creation of official file at the start of a new case
Management and sharing	Management of the file and information sharing while respecting security and sensitivity issues
Protection	• Information protection: limited access to documents / files, protection of personal data, level of security
≻Preservation	Preservation of documents and official files (guaranteed electronic preservation by the system)
>Closure	Closure of the official file at the end of the case and preservation during the ARP (Administrative retention period)
>1 st review	© Collaboration with the DMO for the transfer to the Historical Archives Service

Shared competences and responsibilities (in the Unit)



Administrative responsibility



Chef de file (Lead Department) = Head of unit / Desk officer



- 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 /
Desk officer



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

Collaboration

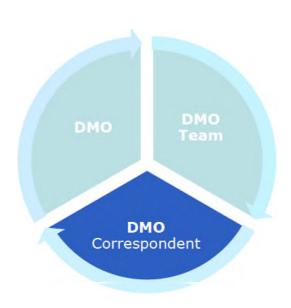
e-Damec Chef de file HR B3



DMO correspondent (role in your Unit)



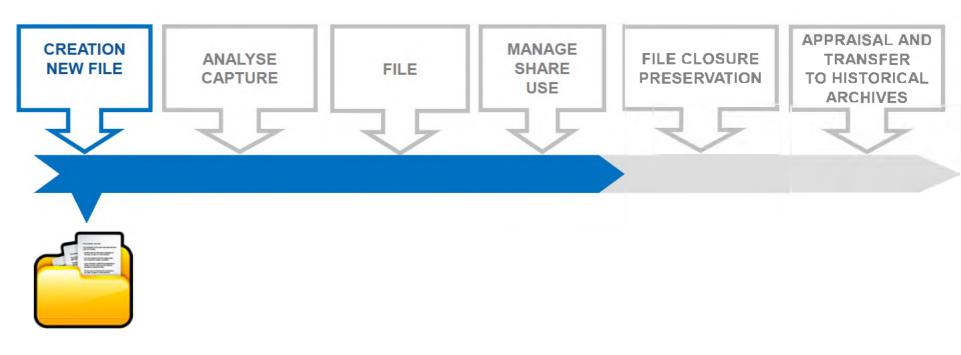




- Adaptation of DG-specific rules to the particularities of the service on instruction of and with the agreement of the head of unit
- > Training, information, advice:
 - Welcoming new staff arriving in the unit
 - e-Domec topic in unit meetings
 - Support when staff leaves
- Records management:
 - Managing the list of official files of the service in collaboration with the desk officers
 - Managing the storage plan: organizing the material conservation of paper official files and the collaborative spaces
- Alerts:
 - Alerting the head of unit and / or the DMO in the event of a malfunction in compliance with e-Domec rules

Administrative lifecycle







- 2 - Creation of an official file

- When to create an official file
- Types of files
- Files and filing plan

When to open a new file?





- When a new case starts: based on the needs of the desk officer
- 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

Types of files



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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

Create an official file = identify





- Title
- Specific code: internal management code
- Heading of the filing plan
- Lead departement
- Associated Lead Department
- Desk officer
- Security: roles (Editors, Users, Readers)
- Preservation: application of the CRL/SRL
- Comments

Title of the file





Fundamental element:

- Allows the identification of the file during its lifecycle
- Included when it is transferred to the Historical Archives Service
- Needs to be clear, significant and synthetic:
 - 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
 - Concise

Exercise





Good or bad titles?





	Examples of title requests		
1	Budget		
2	Contracts		
3	Missions		
4	Preservation list		
5	Meetings		
6	File « John »		
7	AAR		
8	Document Management Training		

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 (Annual files or less, period of 3-4 years maximum)
- Always progresses according to the same procedure



Title contains: **Subject + Covered period**

 Example: Relations with the Council (2020)

Well chosen title: allows you to know when the file

can be closed (end of the procedure or of the period)

Good or bad titles?









	Examples of title requests	Good titles
1	Budget	Budget execution 2021
3	Contracts Missions	Contract XX – Title of the contract Missions 2021 or Mission+subject+date+place
4	Preservation list	Common Retention List - Adoption
5	Meetings	Unit meetings 2020-2021
6	File « John »	Recruitment of an archival specialist
7	AAR	AAR (Annual Activity Report) – 2021
8	Document management training	Organisation of document management training 2020-2021

Filing plan and files



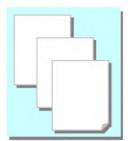
Headings of the filing plan: tasks undertaken by the Directorates general or related units

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

Captured documents

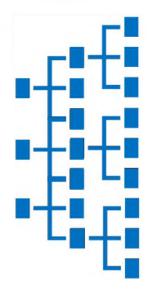
- En Filing Plan,
- ☑ [A] (01) Institution—Commission
- ☑ [A] (02) Future of the Union and Institutional questions
- → (A) (03) The Community economic and social area.
- A [A] (04) Citizenship and quality of ife
- A [A] (05) memaiona Relations
- → S [A] (06) Financing of Community activities and the management of financial resources.
- 🚣 🔤 🔼 (07) Communny lav
- 🔏 🚰 [A] (08) Press, roommunication and publications.
- → ➡ [A] (09) Policy Shalegy and contents on per DG.
- 🔟 🚈 [A] (10) Administration
- → □ (A) (12) External Action Common Foreign and security Policy.
- 📲 🚜 [A] (15) Acts has of the Delegations and Offices of the European III on in Third Countries and to internal onal Organisations
- 🖪 🚰 [A] (30) Europeer, Ombudsmer,
- (4C) CJEB Court of Justice of the Fungean Louis
- J ≥ [A] (98) HAN Les for Ettlergan sations using Commission IT leok (nor, HAN)





Filing plan





First level of the Filing plan:

- 01. Institution Commission
- 02. Future of the Union and inst
- 03. The Community economic and s
- 04. Citizenship and quality of life
- 05. International Relations
- 06. Financing of Community activiting financial resources
- 07. Community law
- 08. Press, communication and publications
- 09. Policy Strategy and coordination per 5
- 10. Administration
- 12. External action Common Fo.
- 15. Activities of the Delegations and

Union in Third Countries and to International Organisations

Thematic tree view (competences / duties)

Headings identified by a title and a numeric code

from general to specific

Multi-level

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

Standard file and sub-files: example



Heading of the Filing plan

File

Sub-files

3. Community economic and social area

03.08 : Research and technology

3.08.01 Framework programmes

03.08.01.025 Horizon 2020 Framework Programmes (2013-2020)

03.08.01.030 Horizon Europe Framework Programme (2021-2027)





Ethics Management



Financial Management



Legal Management



Other correspondence



Scientific Management and Reviews



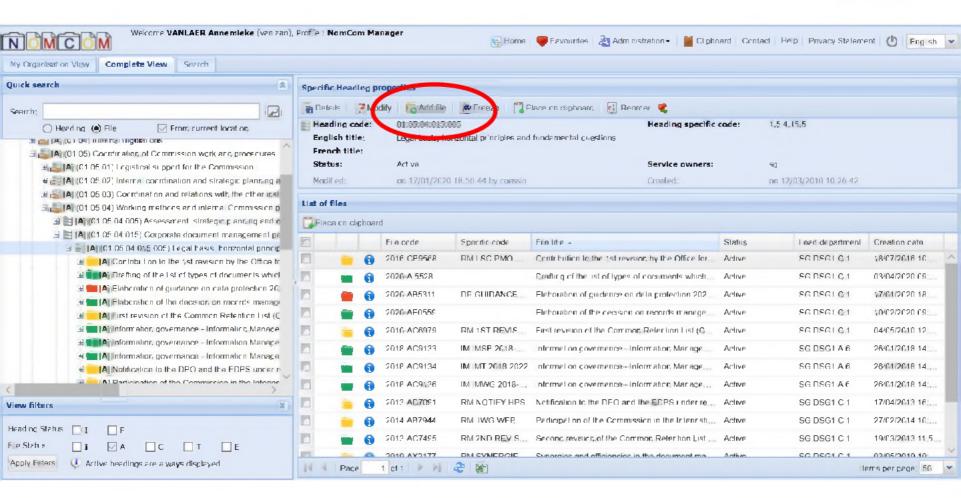
Submitted proposal and Evaluations results

To facilitate follow-up:

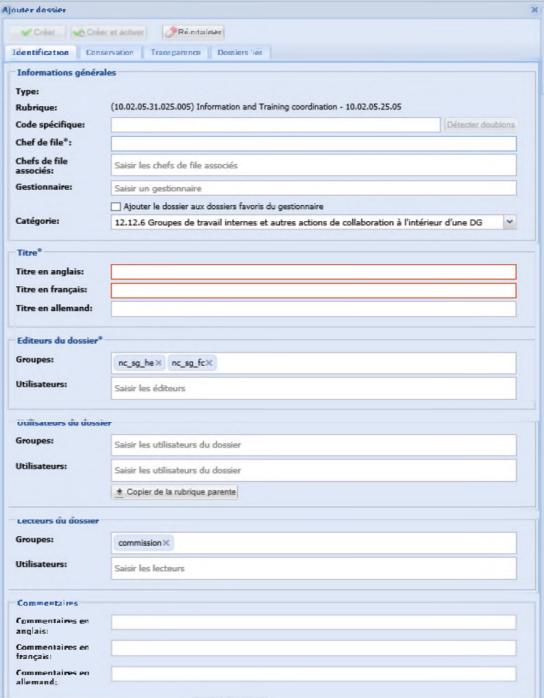
- Creation of "standard" file: common presentation structure for all similar files
- Create sub-files to organize documents in the folder

Creation of a file in NomCom (1)





Creation of a





e-Domec Chef de file



Consultation of the files list



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Daily working tool

>Have the list of official files

Know who is lead department

File documents in the corresponding file

Facilitates search and acces to files and documents

Facilitates the closure of documents

Determines the preservation period for files

Facilitates the transfer to the Historical Archives



Role of the desk officer





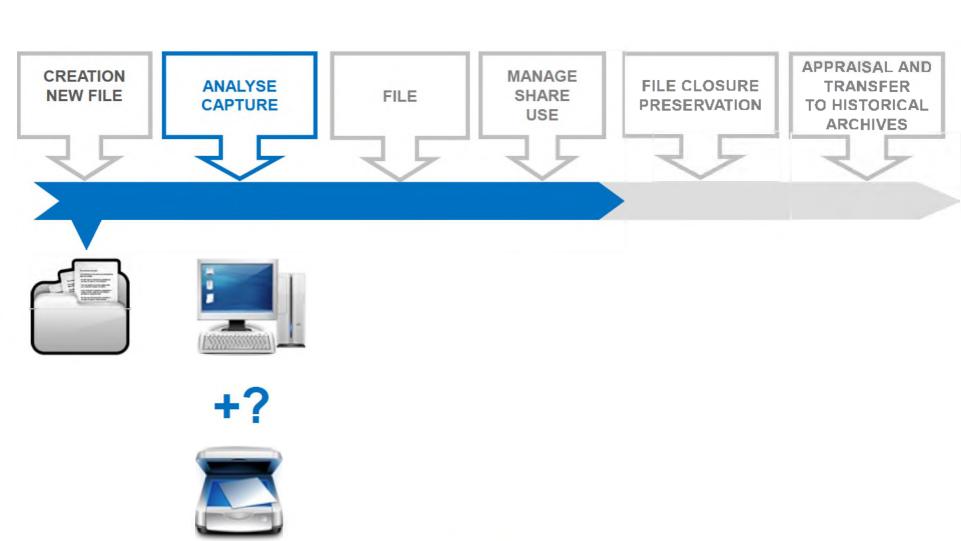


- Choose:
 - Title of the file
 - Specific code (optional)
 - Heading of the filing plan
 - Lead department
 - Shared responsibility
 - Roles for the file
 - Sub-files to distinguish the stages of a case
- Put in list of favorite files



Administrative cycle







- 3 - Capture of documents

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

Documents to capture



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



As evidence

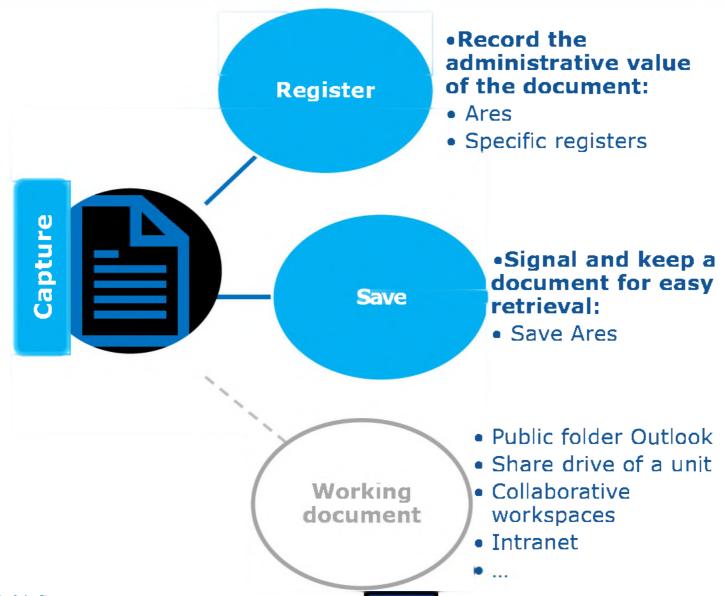
Capture

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

Compliance with regulatory framework

Capture = Register / Save





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



- Register the document
- File the document

No

• Useful to keep?

Yes

NO

Save and file

End

= keeps the document in an official repository

Records management vs Shared drive/Collaborative spaces



RECORDS

S MANAGEMEN

1. Authentification:

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:

Registered document can't be modified or deleted

= Preservation

1. Simple document storage : no metadata or descriptive information

- 2. No e-signatory
- 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!

ORKING SPAC

W

Dont't forget important e-mails





- Important e-mails have to be captured
- > 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
 - No personal name in the subject (protection of personal data)
 - Absolutely forbidden to send a sensitive e-mail using Outlook
 - 7. List of attached files in the body of the message (name of the file and title of the concerned documents)
 - 8. Indication if any original paper documents will be sent afterwards
- Use of Areslook

Registration of e-mails: Areslook



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- > 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

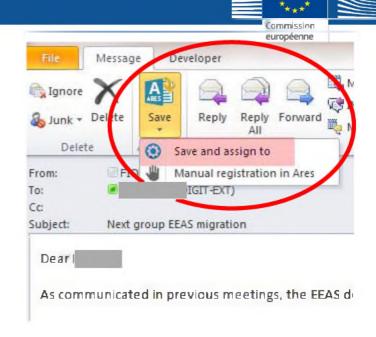
Use of Areslook (1)

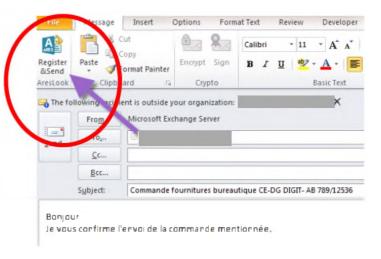
Received E-mails:

- Registration can be done 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 adressed tot external recipients:
 - Possibility to use the « External transmission" function in Ares

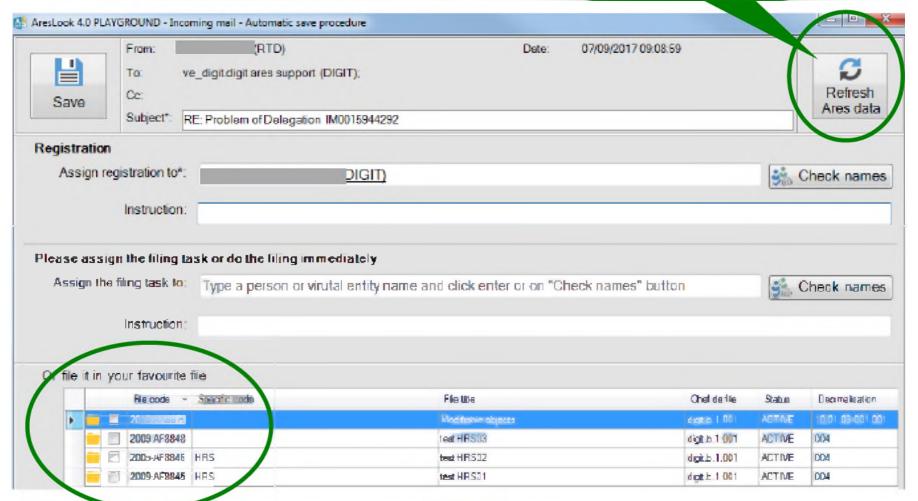




Areslook: Save and assign to



Import of favorite files



Use of Areslook (2)





Important e-mails exchanged with the exterior

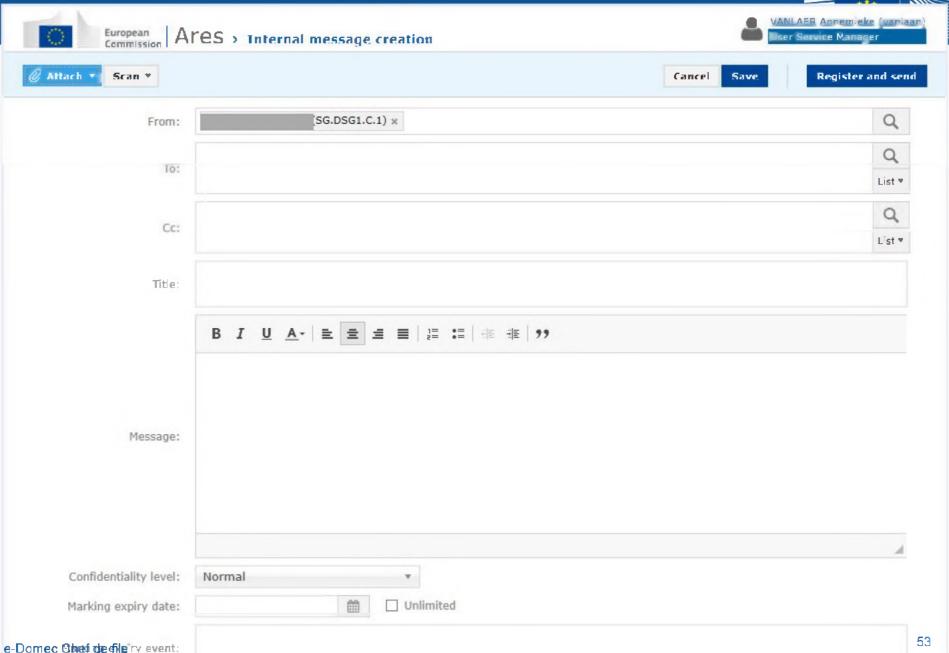


MSG function in Ares

- Internal e-mail with specific content
- OUsed to send a registered document (transmission via Ares
- Possible to add a marking to sensitive e-mail
- No double notification Ares +
 Outlook

MSG: Internal message





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)

Managing classified documents





Classified documents: unauthorized disclosure would harm the interests of the EU, or those of one or more of its Member States



Documents EU top secret

- Documents EU secret
- Documents EU confidential



Documents EU restricted

Registration in special registers

Registration in Ares without attaching the electronic document

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

Sensitive information



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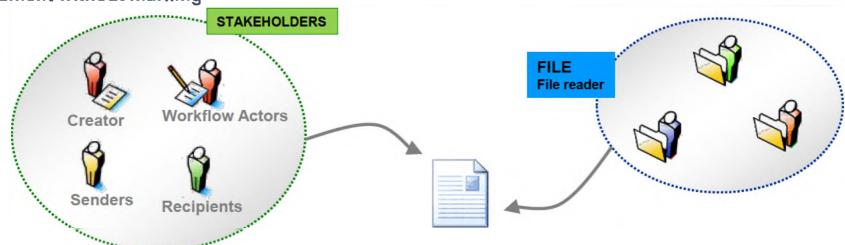


- Information that, because of legal or contractual oblogations, needs to be protected = sensitive non classified
- Non authorised disclosure will not impair or damage the interests of the EU of those of one or more Member states
- Loss or disclosure could damage:
 - Individual interests (personal information,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

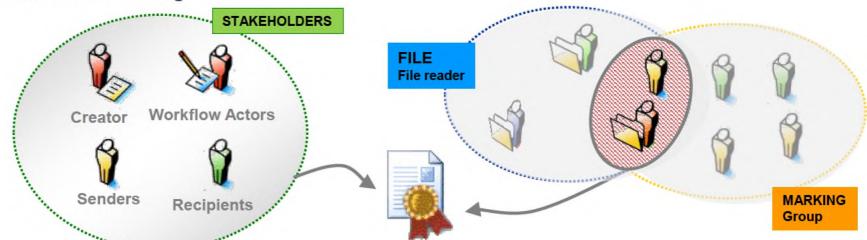
Visibility of a document with/without a marking







Document with marking



Protection of personal data







Priority requirement for:

- Correspondence from citizens
- Staff working for the Commission



- 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 public 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)
 - Financial data (e.g. bank account, VAT number)
 - 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.
 - 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)





> Visibility of the flag in the document





Votre documer	nt contient des 'Donné	es personnelles sen	ı sibles'. Pl us de détails à	propos des restrictions de traite	ment ICI	
	ace du contrat de garde: digit.b.2.007(202	•	ancaire			
G ÉNÉRA L	CLASSEMENT ATTRIBUTION E-SIGNATAIRE LIEN					
A: Cc:	DIGIT.A)	T.A.2.002)				
O Fichiers Cacher les informa	ations supplémentaires					
INFORMATION				SÉCURITÉ ET TIMBRE		
Type Interne				Niveau de confidential té	Noma	
late du document		Timbre				
Date de création 11/04/2021			Date d'expiration du timbre			
late d'envoi		Évènement d'expiration du timbre				
Créateur [DIGIT.B.2.007]			Personne concernée			
uteur de l'enregistre	ement	CLASSIFICATION / DÉCLASSIFICATION				
locument crypté						
late d'expration ce	l'encrypt on	Date d'expiration de la classification				
Dannées persannelles seasibles Qui				Évènement d'expiration de la		



Role of the desk officer







An essential role

- Register or transmit / report to the service / person all documents to be registered
- Don't forget to register important emails
- Check regularly that the official file is complete

Tip

Check that all the documents useful in the event of an audit, litigation, transmission, access request have been recorded

IT-Tools: HAN: Hermes - Ares - NomCom













- > 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

Commission **Applications** Local applications **HERMES** Shared **ARES** digital repository **NOMCOM**

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

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

Ares

Specific registers

@Decide:

Consultation, e-Greffe

- ABAC Contracts
- •THEMIS : CHAP, EU PILOT, NIF
- Basil3

Applications equivalent to a register

©Sysper 2

- MiPS
- Poetry
- EU Learn
- Webdor
- Presto
- ...

Integration Hermes

@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 connected to Hermes:
 http://www.cc.cec/wikis/pages/viewpage.action?spaceKey=HRS&title=5.+Clien
 t+applications

Ares: tracking tool for official files





Work in « paperless » mode

- e-Signatory : document management cycle (workflow) and hierarchical validation

Preserve

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

Retrieve

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

•Guarante

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

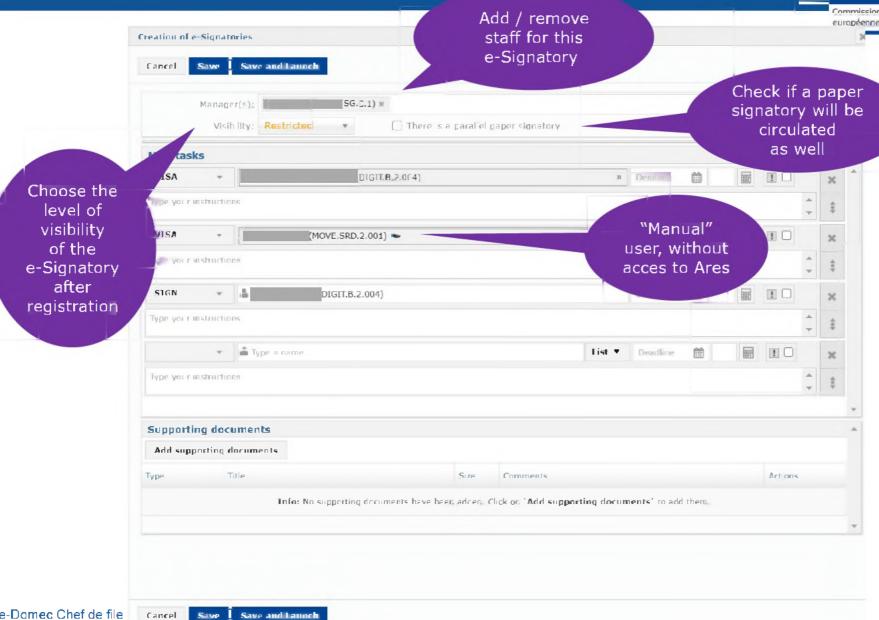
Ares: capture



Attach T Scan T				Cancel Save	Register and se
aran v				Camer	Register with se
From:					Q
Ta:					Q
Cc:					Q Listiv
Document date:		#			
Title:					
Confidentiality level:	Normal	¥			
Marking expiry date:		# Unlim	ted		
Marking expiry event:					
	¥ Show additional informa	tion			,
File immediately:	File document				
Assign the filing task to:	Kame		Instructions		

Ares: e-Signatory





Principles of the electronic signature





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

3 levels of signature:

- 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

















RED

Person who draws up and writes the text of the document (assistant, secretary, financial agent, project manager, head of unit, etc.)

CONTRIB

Different actors that modify the content

VISA

Technical approval (e.g. language proofreading) or hierarchical validation by the hierarchy or a manager from another department















EXP

person / team in charge of quality control, who registers and sends the document (last e-Signatory task) Expedition (only if the recipient is external)

SIGN or Q-SIGN

document signed by the person who has the necessary authority to validate and approve (head of unit, director). No more modification possible

Q-SIGN: qualified signature for documents requiring a handwritten signature

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QES = Qualified electronic signature

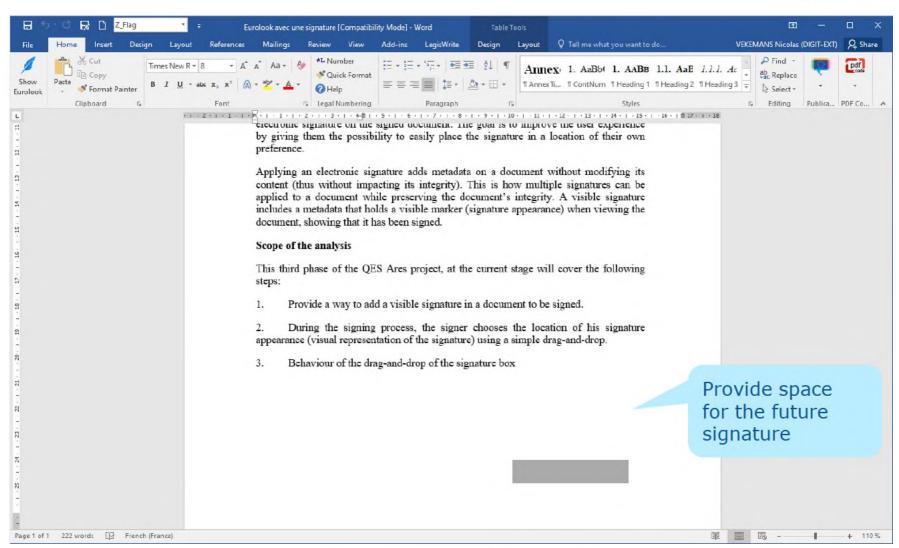




- Principle of use: Use only for documents requiring a signature at the highest level available
- QES: highest level signature by default (handwritten signature used only for exceptional cases)
 - Authorized only for users with a qualified electronic signature certificate (2,500 to 3,000 agents)
 - Possibility for the signer to add a visible signature during the process of signing a document in Ares (from March 29)
 - No « bypass » authorised
 - Task Q-SIGN-EXT: for qualified electronic signature by an external partner

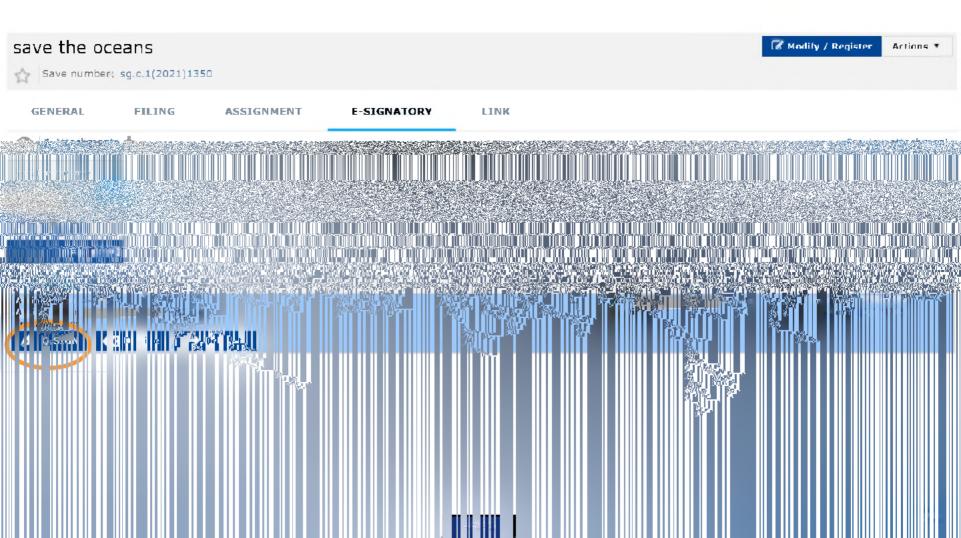
Q-SIGN: prepare the document for signing





Q-SIGN: Qualified electronic signature (1)





Q-SIGN: Qualified electronic signature (2)



Navigation within the document



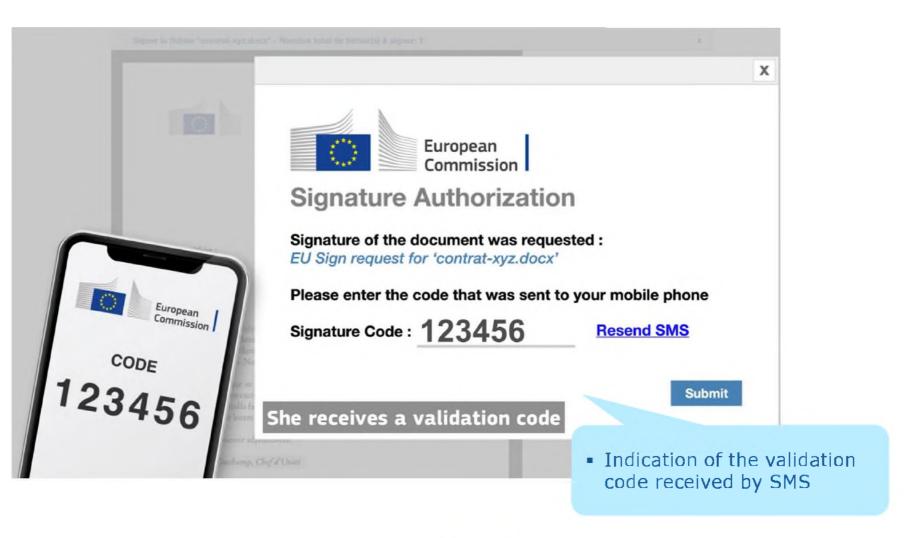


Sign

Cancel

Q-SIGN: Qualified electronic signature (3)

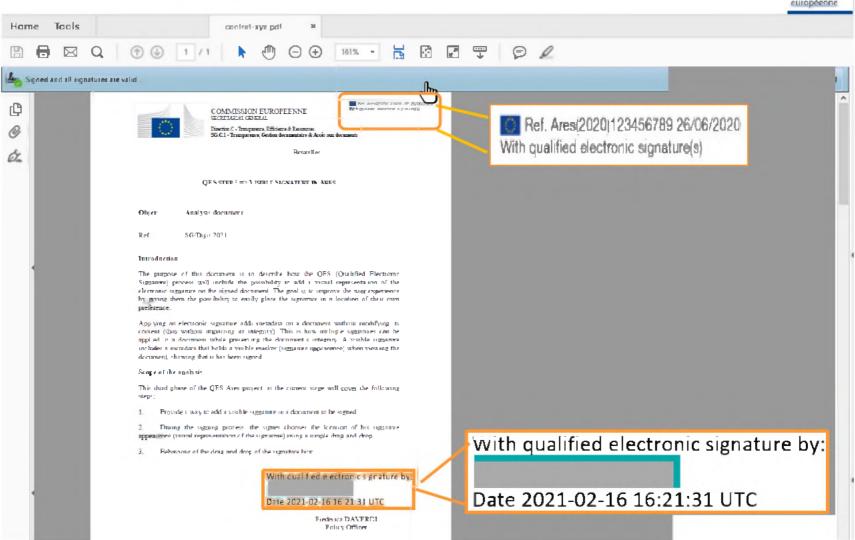




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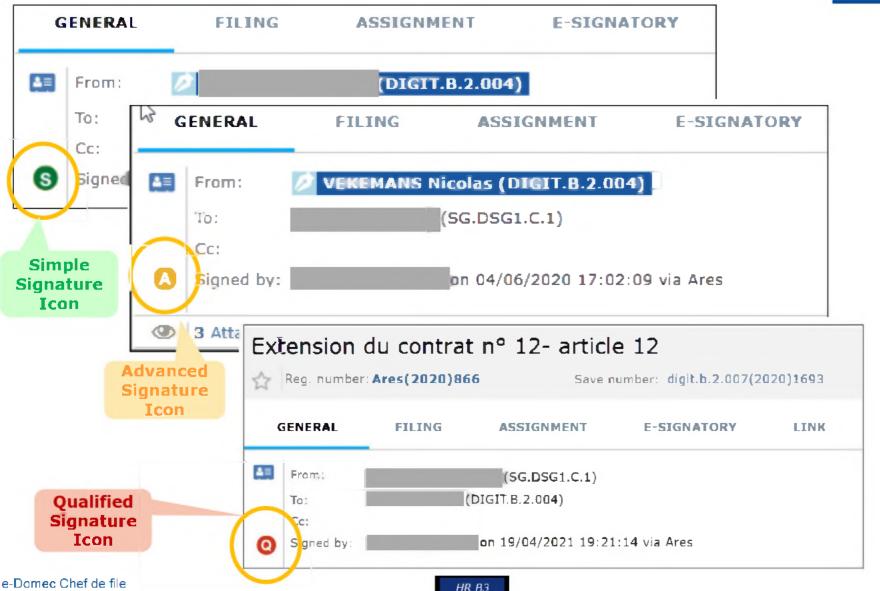
Q-SIGN: Qualified electronic signature (4)





Q-SIGN: Qualified electronic signature (5)

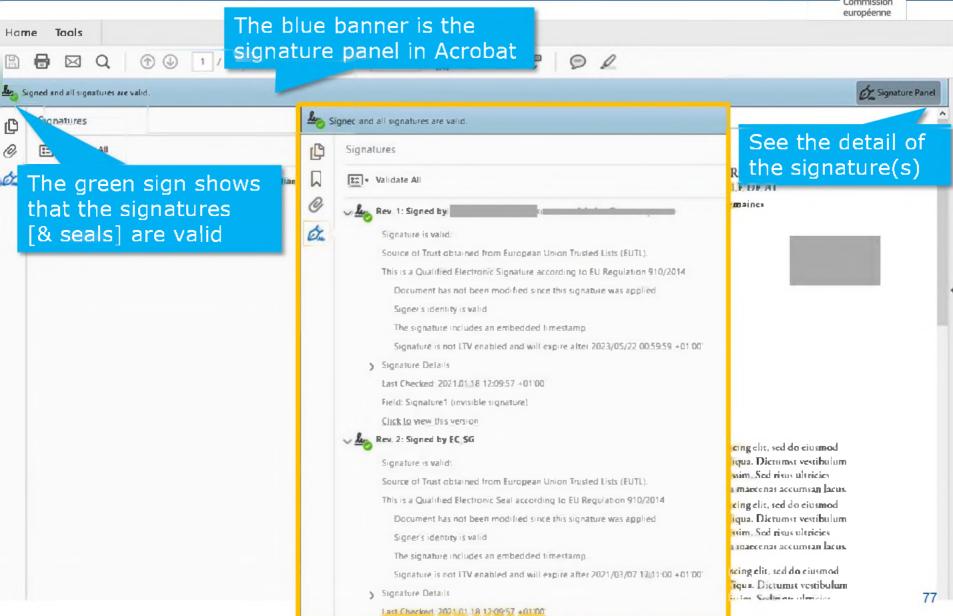




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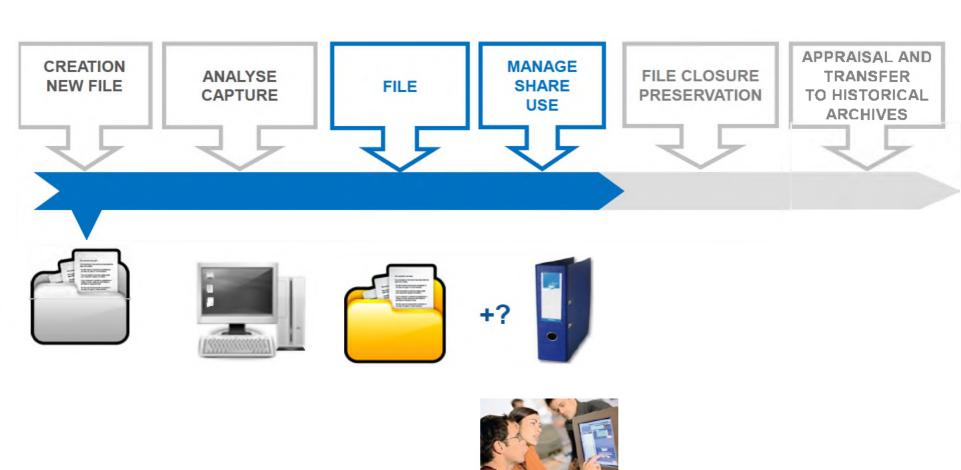
Q-SIGN: Qualified electronic signature (6)





Administrative cycle







- 4 Filing and management of the Current Records

- Filing of documents
- Electronic and / or paper preservation
- Medium and places of preservation



FILING



SEARCH

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





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

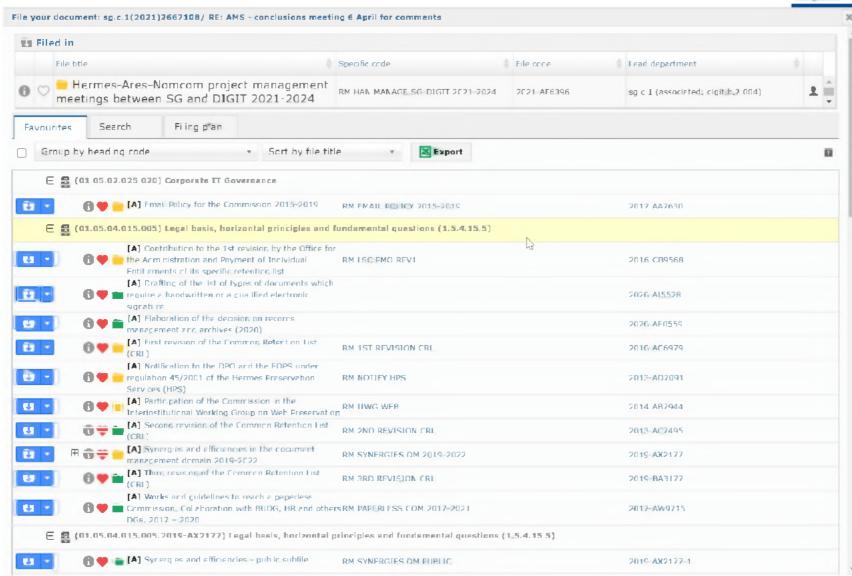
•File the document in one or more files

Store?

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

Filing in Ares: Favorites





e-Domec Chef de file HR B3

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



How to make filing easier







- Quality of the file title
- Meaning of the document title
- Usage of the specific code
- 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

Use of the unit's shared drive / Collaborative workspaces



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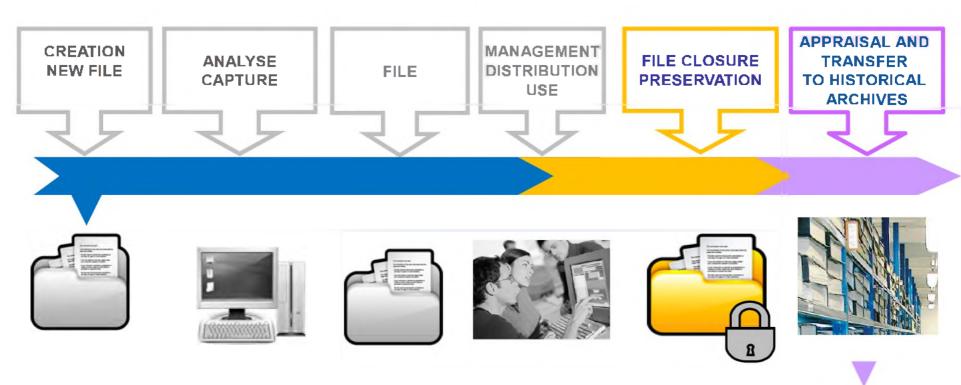




- Only a working environment
- Allows storage and sharing of electronic information that has no legal value
- Suggestion: organise according to a (simplified) filing plan

Administrative cycle







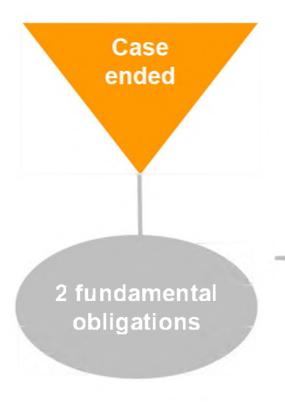
- 5 - Closing Files and management of the Intermediate Records

- Closing files
- Preservation procedures : CRL/SRL

Why close files



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1.Accountability

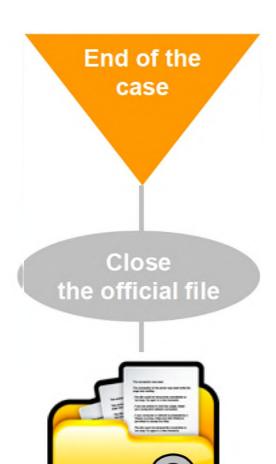
- Record that the case dealt with was carried out according to the rules
- Compliant procedure
- Deadlines respected
- Checks made
- Traceability guaranteed
- Personal data protection guaranteed
- Complete and reliable file

2. Preservation

- Transfer to intermediate archives
- Possible transfer to the historical archives service

Obligation: file closure





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

How to close



- 1 -Verify

- Ocheck if e-signatories in progress

-- 2 --Clean up

Remove / unfile information and working documents that have become unnecessary

•- 3 -Consolidate

© Unify the different parts of the same file handled by different units

- 4 -Complete

- Ocheck / complete the file metadata
- © Check / Indicate CRL category
- © Check the storage medium (s), the location

- 5 – Secure

- © Check documents with markings: sensitive data, personal data protection
- © Check the classified documents and proceed if possible to their declassification (files to be attached)

Common Retention List



Document with regulatory value defining the retention period of official files

12 categories:

- 1. Institutional and governance issues
- 2. Strategy and coordination
- 3. Commission decision-making
- 4. EU financial system and the budget
- 5. Policy development
- 6. Implementation of policies and legislation
- 7. Programmes, projects and grants
- 8. International activities and enlargement
- 9. Information, communication and relations with citizens
- 10. Monitoring the application of EU law
- 11. Legal proceedings
- 12. Administration

Applying the CRL: Common retention list Commission **END ARP END CASE** EL SAM/SEL PP SAMPLING SELECTION 2nd REVIEW 1st REVIEW THA **PERMANENT ELIMINATION** PRESERVATION **PRESERVATION POST-THA ACTION > INTERMEDIATE RECORDS** PRESERVATION of **POST-ARP DURING ARP ARCHIVES WITH ACTION HISTORICAL VALUE** Administrative retention period **Historical Archives** e-Domec Chef de file HR B3



- 6 - Organise and verify if the rules are respected

- Self assessment
- Summary

Assessment and avenues for improvement



A questionnaire to help you assess the work in the units

Understand the issues and objectives

Have appropriate procedures and tools

Have a methodical approach and the right skills

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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

e-Domec Chef de file

HR B3

Manage the list of official files







- To delegate and to work in collaboration with him/her
- Designate those responsible for registration / filing
- To identify files for which the unit is the lead department:
 - Create the file at the start of the case



- Capture records
- Register important documents, e-mails included
- File documents
- Use the e-Signatory
- Preserve the physical originals if necessary
- Verify and close the file at the end of the case

Guarantee :

- Complete and reliable official files
- Be accountable



Train / Inform





- Provide training for officers responsible for capturing and filing documents
- Provide minimal information to other agents
- Ares: minimum to know for desk officers



Follow-up tool for official files

- Consulting the list of files + Properties
- Favorite files
- Capture: register / save / filing
- Areslook

Administrative follow-up

- Track tasks and deadlines
- Workflow / e-signatories (e-signatory types)

Who does what

- Division of tasks
- Delegations and virtual entities: secretariat + colleagues
- Functional mailboxes

Organise



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- Train the "new ones" upon their arrival in the unit
- e-Domec topic during unit meetings
- Support departures:
 - Check Shared disk and collaborative spaces
 - Check Outlook folders
 - Mandatory hand-over note
 - Anticipate the closure of files

Guarantee:

- To ensure traceability
- To fullfill the obligations

To know more ...



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- In your Unit / Service
 - DMO Correspondent : reference person :
 - Management of the list of files of the Service
 - Information and advise on e-Domec
 - Link between service and DMO
- At the central level of the Department
 - DMO (Document Management Officer)
 - Adaptation and implementation of document and file management system in the DG
 - Trainings, information, assistance to personnel
 - Implementation of control and monitoring tools
- Intranet page of your department

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Thank you for participating!