Ref. Ares(2022)3859679 - 23/05/2022

GLOSSARY ON ADMINISTRATIVE DOCUMENT MANAGEMENT

Archives schedule

The Archives Schedule is an important archiving tool which indicates the list of all official files within a DG. Each file is identified and important information such as *chef de file*, CRL category, file code, file title, ARP, post-ARP, expiration of ARP, location for the file, etc., is provided.

- DGT's Archives Schedule

ARP – Administration Administrative Retention Period

Period for which a file is to be kept in the intermediate archives after its closure. The Common Retention List (CRL) specifies the ARP for each type of file depending on its administrative usefulness, its potential historical value, its statutory and legal obligations.

Chef de file (Lead Service)

The *chef de file* is the unit which is responsible for the case even if another unit is dealing with the execution of certain actions which are related to the case. For each case there is only one official file and only one *chef de file*. The *chef de file* unit is responsible for the integrity of the official files and takes the decision to open or to close a file after consultation with the DMO. If the file is hybrid (paper format and electronic format) the *chef de file* unit is responsible to reconstitute the whole file before closure of the file

Common Retention List (CRL)

A list of implementing rules that set out the conditions and periods for retaining the different types of Commission files. Each different type of file receives a different CRL category.

- Commission's Common Retention List (CRL)

EL - Elimination

The file will be destroyed once the administrative retention period (ARP) expires. DGT's central archives will be responsible for the elimination of the files which are indicated in the Archives Schedule for "EL". All eliminated files will be listed and this list will be kept in an official file for which the DMO will be the *chef de file*. This file will be transferred to the Historical Archives for "permanent preservation".

FILES – various types of

Closed files

An official file should be closed when your file is complete, you do not longer need to file any documents in it and you are not likely to need the information again. For instance, when you notice that your unit has not consulted a specific file for the last six months. This will depend of course on the mission of your unit and the type of file. You can close the paper file and electronic file both at the same time. Don't forget to inform your DMO which files you are about to close. Before closing, it is essential to check your files and see if they are complete (paper file and electronic files). Also check if your official paper files do not contain any non-essential working documents, such as Official Journals, course manuals, etc..., so that we do not send unnecessary material to the Historical Archive Service. However if you consider that these non-registered documents are essential to explain the complexity of the case, you can leave them in the official file. For **serial files**, the time for closing is when you know that no further documents will arrive for the period of time covered by the file. In order to comply with Regulation (EC) No 1049/2001, Commission departments have the legal obligation to close their files in due time.

Non e-Domec files

Files which are created before the implementation of e-Domec rules on Document Management in the European Commission. For DGT, non e-Domec files are files which were created before 2006 and for which no electronic file exists in Adonis.

Official file

An official file is a file for which your unit is *chef de file*. An official file contains documents that have been registered because they have been received or formally drawn up by a Commission department in the course of its activities and are likely to require action, follow-up or a reply from the Commission or involve the responsibility of the Commission or one or more of its departments. Furthermore, it contains information that is important and not short-lived. To distinguish between an official file and a working file, ask yourself whether the loss of the file involves a risk for the institution, or whether there are registered documents in it. If the answer is yes, that file is an official file.

Serial file

Each year we produce and exchange documents concerning the same issues. This type of file is a serial file in which the case "never ends". A good example for this is the AMP file - each year there is an Annual Management Plan. Serial files exist mainly for administrative tasks such as planning or evaluation but they can also be used for some core business activities that we repeat each year. It is important not to forget to close the files for the previous year and open a new one for the coming year.

Working file

A working file is any other file containing only working information. Examples of such working files are copies of files for which your unit is not *chef de file*. Be careful, though, as you might have official files for which your unit is not *chef de file* now but has been in the past.

Other examples of working files are collections of legislation, copies of official files, or information about a country, a subject, etc. There is no obligation to preserve such files.

Post-ARP actions

Actions which need to be undertaken once the administrative retention period (ARP) has expired. The Common Retention List (CRL) determines the ARP and the correspondent post-ARP for each type of file. Post-ARP actions can be "**EL**", "**THA**" or "**SAM/SEL**".

SAM/SEL - Sampling and/or Selection

- The *chef de file* unit will need to undertake this action right **before** transferring the files, marked as "ECH/SEL" in DGT's Archives Schedule to DGT's central archives. The action consists in choosing which files need to be transferred to the Historical Archives once their ARP expires. The files which were not chosen will be eliminated at the end of their administrative retention period (ARP). This choice will be made based on the technique of "sampling" and/or "selection".

Sampling means that a large group of files, which are similar in format and content, will be sorted according to the instructions given by the SG and only a representative % of these files will be chosen to be transferred to the Historical Archives. This technique is mostly used for a large amount of serial files.

Selection means that the *chef de file* unit decides which files should be sent to the Historical Archives based on their potential historical value or other subjective criteria. When using the "Selection" technique, there is no legal obligation to choose a certain amount of files. The choice made based on "sampling" or "selection" needs to be properly documented in an **official report** which includes:

- the justification of the choice made
- a clear description of the technique applied
- the list of files chosen for conservation
- the list of files chosen for elimination