

File & Document management

(M)

Information & Doc Mgmt
is **strategic** to DG COMP

Therefore, DG COMP has
invested in...

- Case handling is based on factual evidence in documents
- Legal obligations (Access to file, web publication, access to document)
- Decisions under scrutiny of external stakeholders
- Informed Decision-making process



- **Structure** : dedicated Unit (Registries & Archives, Application support, Data Protection, Ombudsman, Access to Document)
- **Applications** : for Document & information management (CMS, cmaFX, eDisco, ...) ARES only for CABREQ & CDP
- **Procedures** : Centralisation, Governance

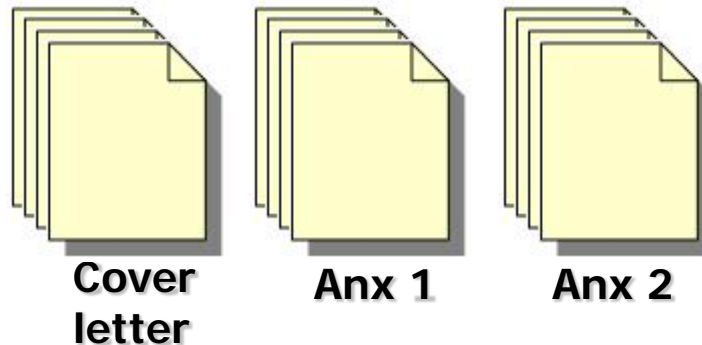
Document Management is core business in DG COMP

Document ? Bundle ?



« Bundle »

- "Registration unit"
- Group of documents received/sent together from/to a correspondent on a date
- Receives a Registration Number at creation
- Linked to 1 or more Files



« Document »

- "Information unit"
- Always part of a Bundle
- Filed in one/several File(s)
- Receives a Doc ID

Principles



■ Document ► Bundle ► File ► EC Filing Plan

■ The **E-File** in the Case Mgmt Application is the **Reference**

What is not in the E-File does not exist

■ The E-File should be **complete** & **up-to-date**

Incl. file information, Emails, Internal correspondence, Notes to the file

■ The **Registry** is your document management best friend

All documents and key information must pass through the Registry.

■ **Project** – based organisation

Team is key

■ Security follows the **Need to Know** principle

*Open policy : access to all Files & all documents,
except sensitive : Hidden files & Protected documents*

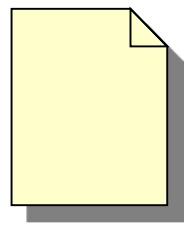
Documents added to File



Team



Checks & adds information



A Bundle is sent by a party

Transmits with info

Email alert



- Scans if paper
- Registers
- Files documents
 - in File if known
 - either, in Waiting Room
- Adds information (Bundle & Docs)
- Archives original



Competition



Acknowledgment of receipt

Send to Registry



From: [REDACTED] (COMP) Sent: Fri 01/04/2016 09:21
To: COMP MERGER REGISTRY
Cc:
Subject: M.7946 - P [REDACTED] ✓

Message RE: M.7946 - P [REDACTED] - QP1 (26 KB)

- Case number + title: Case M.7946 P [REDACTED] ✓
- Correspondent: LINKLATERS
- Common document name: Conf call arrangement
- Flow: Both IN and OUT
- Category: 2.17
- Registered? (If yes, registration number): N
- Paper distribution needed? N
- Protected bundle? N

[REDACTED]
Case assistant

Additional info

Completeness & integrity

Types of Files



- **Cases** : Investigation (M.) , Consultation (C.) , Court case (T-)
- **Horizontal Task** : Non case related activity : WG, legislation, ...
 - Eg. HT.4870 – Working Group of Decision drafting
 - Eg. HT.4401 – Legal Service Notes - Merger
 - Eg. HT.1234 – Procurement file for ...
- **Waiting Room** : Unit / Directorate temporary storage file
 - Eg. WR.R-1

How to handle ?



To
register

- Drawn up or received by COMP
- Related to EC responsibilities
- Information not short-lived
- Document decision-making

Case
Mgmt
Appl

To
keep

- Ongoing
- Draft
- Informal exchanges of view

Collab
(case lib)

Delete
or
Return

- Short term & non important
- Organisation emails of meetings
- LPP
- Not related

Email retention policy



■ Emails

- In **Inbox, Sent Items & Deleted Items** (+ subfolders)

- older than 6 months

will be **deleted**

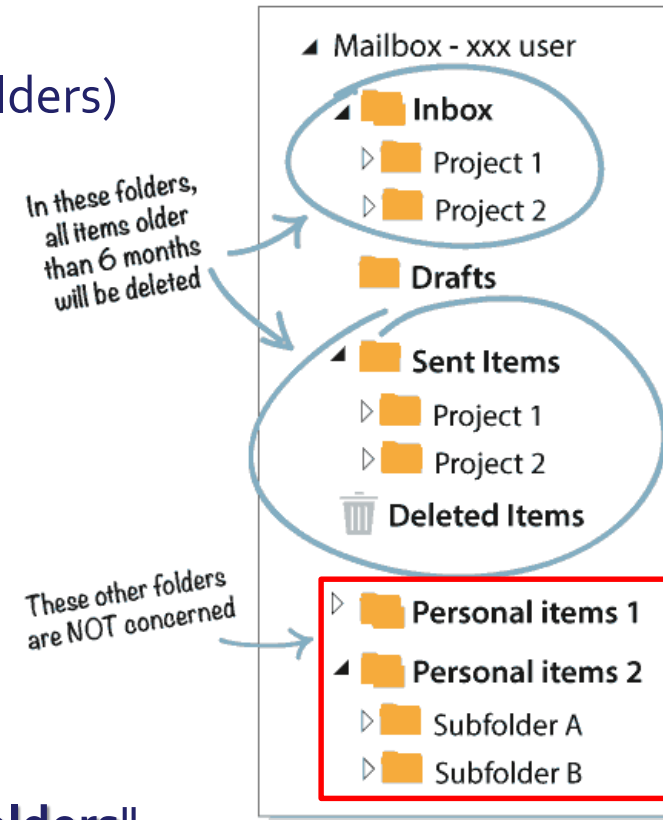
- In **personal** and **functional** mailboxes

- What to do ?

- Important emails should be **registered**

- Other emails to keep & share : **Exchange area**

- For personal items, you can create "**personal folders**"



cmaFX Docs & Bundles



Navigation sidebar:

- Team (7)
- Bundles**
- Documents
 - Recents (1)
 - All (469)
 - By category
 - By entity
 - By accessibility
 - By a2f checks
- HT.1663 - APPLICATION - Test {ts '20:
- HT.4024 - Chocolate project

Main interface: [Name] : Documents

Buttons: Add Bundle, Bulk Actions, Bulk Edit

Tabs: Document, Bundle

Criteria Results

Unsaved query GET SAVE DROP Rows: 1000 Total: 463

Doc Id	Content	Coll.	Entity	Reg.type	Category	Sending date	Reg.Ref.
680	cover_email		DG CxxP WxB SxxE	In	2.10.2.1 Art. 7 Prohibit...	01/04/2015	2015/001280
679	Portfolio		DG CxxP WxB SxxE	In	0.1 Unfiled document	31/03/2015	2015/001274
676	είναι το κύκνειο άσμα του Μέ		DG CxxP WxB SxxE	Out	0.1 Unfiled document	30/03/2...	2015/0012...
675	1Abbreviations MMMMM		DG Exxxx.	In	2.2.2.1 Leniency, Red...	30/03/2015	2015/001254
674	AT.39353ID00609 O-dumm		DG CxxP WxB SxxE	In	0.1 Unfiled document	30/03/2015	2015/001250
673	AT.40135ID00010-C40135I		DG CxxP WxB SxxE	Out	0.1 Unfiled document	30/03/2015	2015/001249
670	COMMISSION DECISION.pdf		DG CxxP WxB SxxE	In	2.4.1 Inspection Decisi...	02/03/2015	2015/001178
667	obi_prod		CxxxA Mxxxx, Jxxe...	Out	2.2.8 Leniency, Condit...	01/01/2015	2015/001031

Doc ID : document identifier
= unique reference within a File

Protected document
(sensitive) :
Only available to the team

cmaFX

File information



Hidden file
(sensitive) :
Only available to the team

File ref.	Title	Priority	Hidden	Team	Info	Procedure	Due date
M.7252	HOLCIM / LAFARGE	Priority			3*	U	
M.7243	AMVEST / NPM / HET GASTENHUIS	Non-Priority			4*	N/1	04/07/2014
M.7228	CENTRICA / BORD GAIS ENERGY	Priority				N/1	13/06/2014
M.7227	TEMASEK / OLAM INTERNATIONAL	Non-Priority			4*	N/1	15/05/2014

▼ M.5529 - ORACLE / SUN MICROSYSTEMS

▶ Team (3)

▼ Bundles

▼ Documents

Favourites (0)

Recents (0)

All (5780)

By category

By entity

By accessibility

By a2f checks

Can be
enlarged

CMS • Cases/Consult./Litigations > Main • M.5529

Cases/Consult./Litigations

Main • M.5529 Events Calendar File Management Companies Turnover

Main • M.5529

Modify Delete

139/2004 • M.5529 • AddP • ORACLE / SUN MICROSYSTEMS

Proceeding Art. 14 **Status** closed **WKWW** ☐ No **Hidden** ☐ No **Language** English
Concentration Purchase of shares **Binding agreement** ☐ No
Type of control Acquisition of sole control of the whole company

Team mgmt

Applications



Outside COMP

EC Register

ARES
Advanced Records System

InterDG Consultations

Decide

Secured doc exch.
with parties

eTrustExch

eQuestionnaire

Req for Info

DG Website

ECN2

Exch. cases & docs
with MS

Collaboration
Workspace + Exch area

CMS
cmaFX

Case Mgmt Appl :
Files, Bundles & Docs

eDiscovery

Full text search

Competition

Inside COMP

More information



■ Registry : "**COMP MERGER REGISTRY**" (69882)

New cases

Management of case data

Registration & Document filing

Statistics

Archiving

■ Applications' Team : "**COMP APPLICATIONS SUPPORT**" (60900)

New Horizontal Tasks

Special handling (huge submissions, inspections)

Support & Trainings on Document management procedures

Support & Trainings on Case Management Applications

■ Access to Documents : "**COMP ACCESS TO DOCUMENTS**"

Support

Follow-up

More information on Wiki



Home



Dashboard



Antitrust
& Cartels



Mergers



State Aid



Horizontal



Sectors



Help



Spaces ▾

Browse ▾

Create



2



Home Horizontal

- Management meetings >
- Communication >
- Strategic Delivery and Evaluation >
- CET - Chief Economist Team >
- International Relations >
- A/4 - European Competition Network and Private Enforcement >
- European Competition Network (ECN) >
- Relations with ... >
- Internal organisation & Procedures >
- Document management and Case Management Applications (CMA's) >
- HR matters >

(HO, Cab, EP, Council, EESC, CoR, SPP, Training of judges etc.)

> [Click here to expand...](#)

Document management and Case Management Applications (CMA's)

(Access to documents, CMAs, EDMA, Document lifecycle, Personal data protection etc)

> [Click here to expand...](#)

Library

(Research services, latest books and articles, both online and print, etc.)

Internal organisation & Procedures

(Access to file, COMP meetings, Translations, CIS-Net, Who signs what, Legislative coordinators, Business Continuity, COMP A-Z guide)

> [Click here to expand...](#)

Ethics, Security and Safety, Anti-fraud

- Ethics : code for staff, code for trainees, rights and obligations, authorisation requests, ...
- Security and Safety : comp markings, incident reporting, ...
- Anti-fraud Strategy



■ Access to file

How to use the tools

■ Exchange with CAB & other DGs

Cabinet Requests, Courrier du Président
Interservice Consultations
(ARES, Decide)

■ eDiscovery

Searches, Tags, Commenting, ...

■ Collaboration

Co-authoring, Exchange Areas, ...