

File & Document management

(AT)

 R-1
, R-1

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 (Natacha, CMS, ISIS, eDisco, ...)
- **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** 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 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

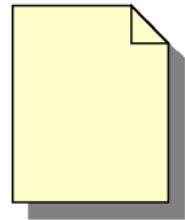


Team



! No physical delivery at reception

CMA
Checks & adds information



A Bundle is sent by a party

Email alert



Transmits with info

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

Registry

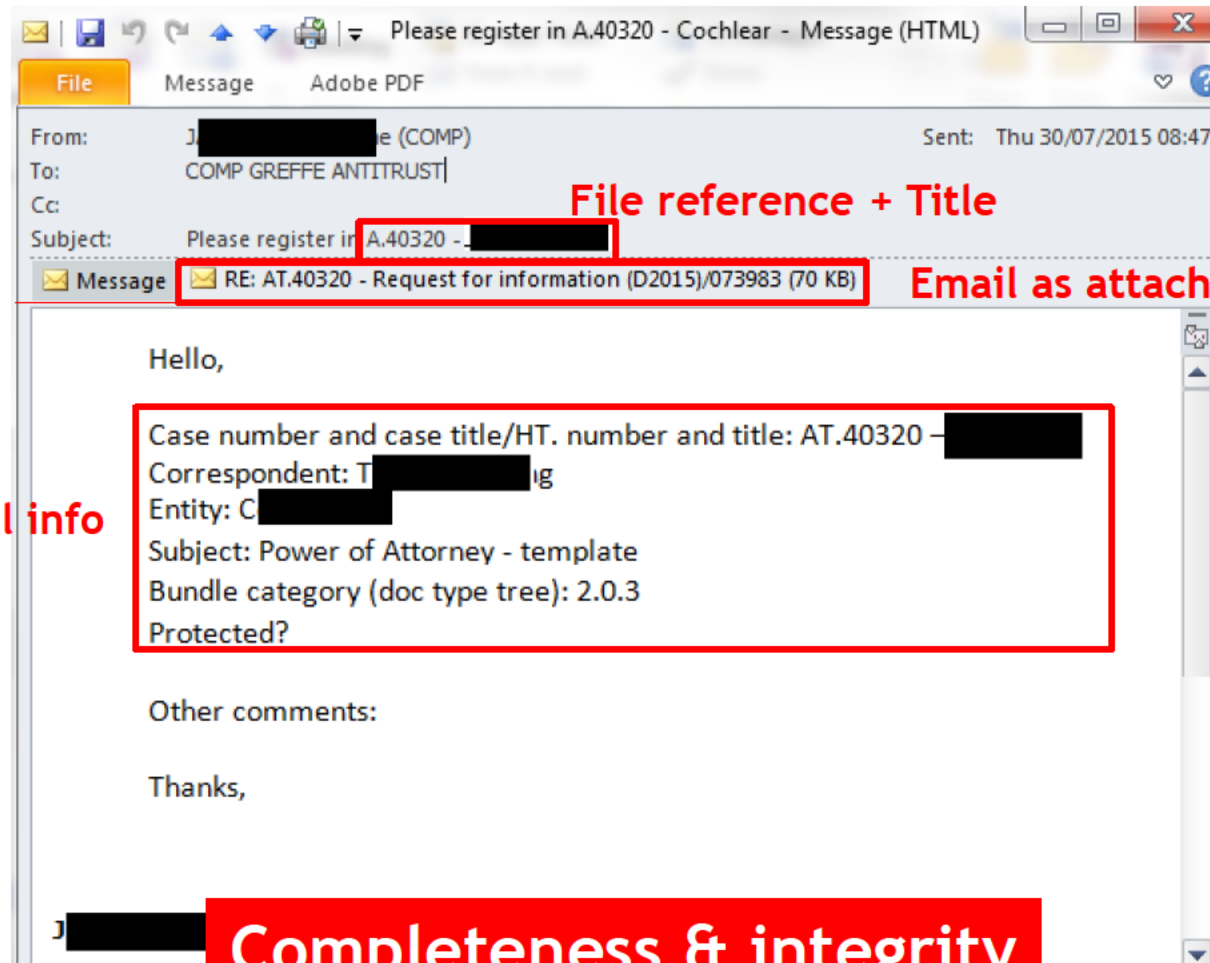


Competition

Acknowledgment of receipt



Send to Registry



Types of Files



■ **Cases** : Antitrust or Cartel investigation

Eg. AT.37792 - Microsoft

■ **Horizontal Task** : Non case related activity : WG, legislation, ...

Eg. HT.2314 – Screening for potential cases

Eg. HT.4765 – Review of the telecoms regulatory framework

Eg. HT.4289 – Training for Judges

Eg. HT.1234 – Procurement file for ...

Eg. HT.4313 – R-1 Unit Activities, Organisation & Procedures

■ **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
K drive

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**

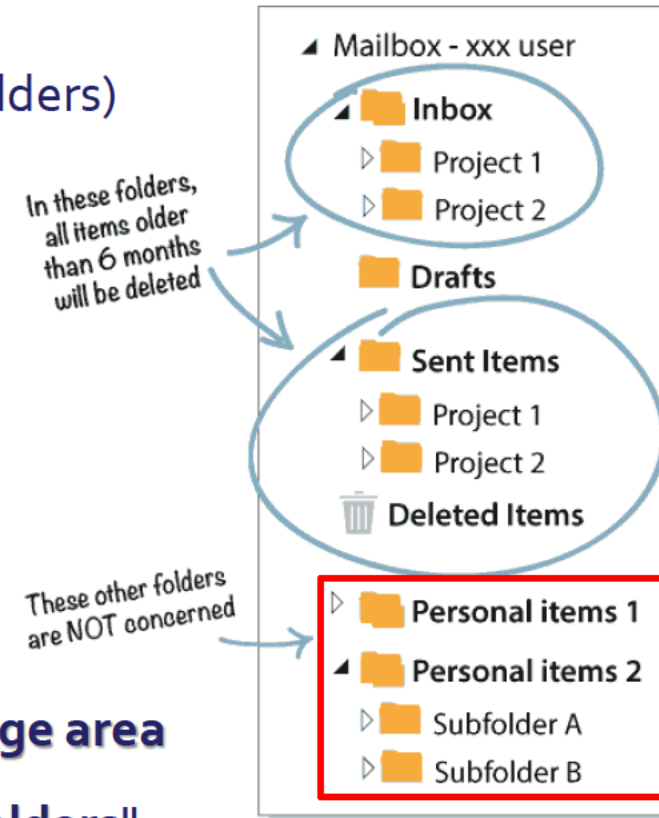
■ In **personal** and **functional** mailboxes

■ What to do ?

■ Important emails should be **registered**

■ Other emails to keep & share : **K drive, Exchange area**

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



cmaFX Docs & Bundles



AT.39353 - PUBLICATION

- 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

AT.39353 : Documents

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 κύκνει άσμα του Μ		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

Remedies follow up

File ref.	Title	Priority	Hidden	Team	Info
AT.39911	Axxxxxxxxe exxxxxxxxxt cxxxxxxxxs	Priority			Cartel
AT.39437	TV axd cxxxxxr mxxxxr books	Non-Priority			Cartel
AT.39353	PUBLICATIC	Non-Priority			

Can be
enlarged

▼ AT.39353 - PUBLICATION

Team (7)

Bundles

▼ Documents

My Cases 39353

Monitoring

Court Proceedings

Calendar

Court actions follow up

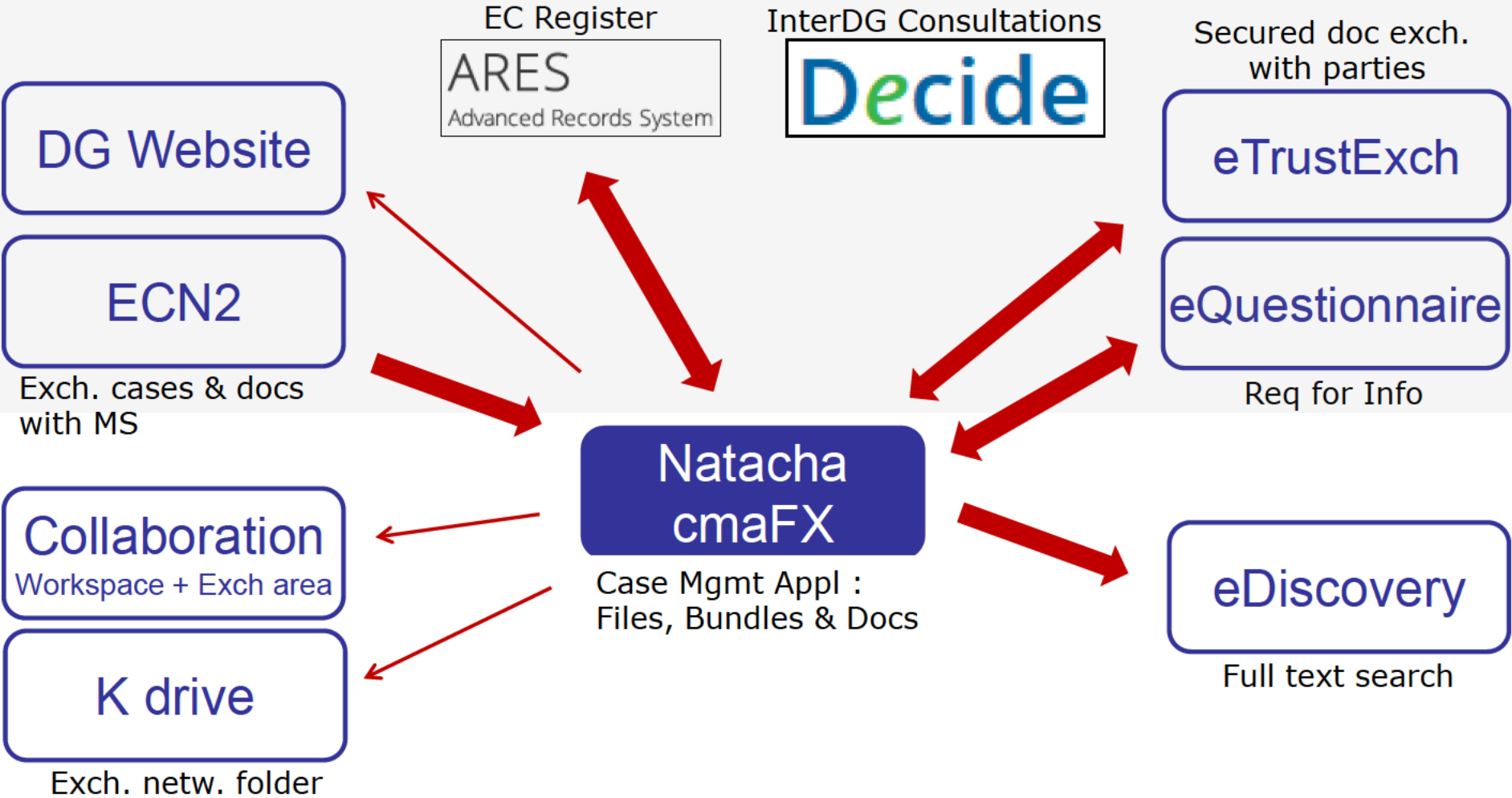
Team mgmt

- File information :
- Identification & responsibility
 - Description & scope
 - Status & next steps
 - Milestones

Applications



Outside COMP



Competition

Inside COMP

More information



■ Registry : "**COMP GREFFE ANTITRUST**" (93232)

New cases

Registration & Document filing

Archiving

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

New Horizontal Tasks

Special handling (huge submissions, inspections)

Update of milestones

Statistics

Support & Trainings on Document management procedures

Support & Trainings on Case Management Applications

■ Access to Documents : "**COMP ACCESS TO DOCUMENTS**" (55749)

Support

Follow-up

More information on Wiki



COMPWIKI



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.)

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

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, ...