

Document management Training for the RADs

Key concepts and principles

14/06/2016



| GIDOC | Interdepartmental group on document management



AGENDA

1. Key concepts

1. Document management & records management
2. ERMS
3. Document / Record
4. File

2. Document management steps

1. Document life cycle
2. Registration
3. Filing
4. Retention
5. Disposal



Key concepts

Document management & records management

- The principles for document management defined by the Bureau decision of 2 July 2012 are based upon the records management concepts
 - Records management is defined by **international standard ISO 15489**
 - Records management is a **methodology** that provides for accurate and systematic control of the creation, receipt, retention, use and final destination of documents produced and received by an organisation as part of its activities, regardless of medium or format.

- Records management covers a subset of information within an organisation:
 - Information necessary to ensure the smooth running of the institution and to protect its activities, the retention of which must be guaranteed over time.



Key concepts

Records management operations

- ensure the **creation** of the right records, containing the right information, in the right format;
- **organize** the records and analyze their content and significance to facilitate their availability;
- **make them available** promptly to those who have a right and a requirement to see them;
- systematically **dispose** of records that are no longer required; and
- **protect and preserve** the information for as long as it may be needed



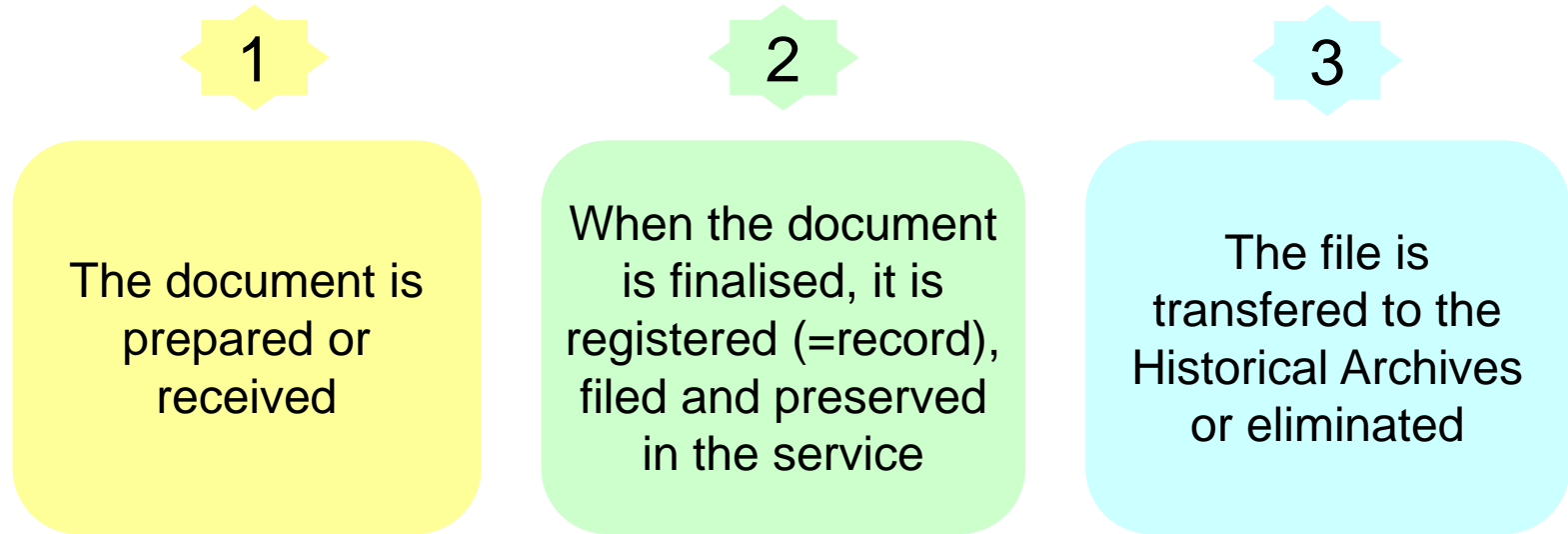
Key concepts

Scope

Document management	Records management
Allows documents to be modified	Deals with records that cannot be modified
Allows documents to exist in several versions	Allows a single final version of a record to exist
May allow documents to be deleted by their owners	Prevents records from being deleted except in certain strictly controlled circumstances
May include some retention controls	Must include rigorous retention controls
May include a document storage structure, which may be under the control of users	Must include a rigorous record arrangement structure (filing plan)
Is intended primarily to support day-to-day use of documents for ongoing business	May support day-to-day working, but is primarily intended to provide a secure repository for business records



Key concepts



IT

Document management

Records management

Archives management

Main responsibility

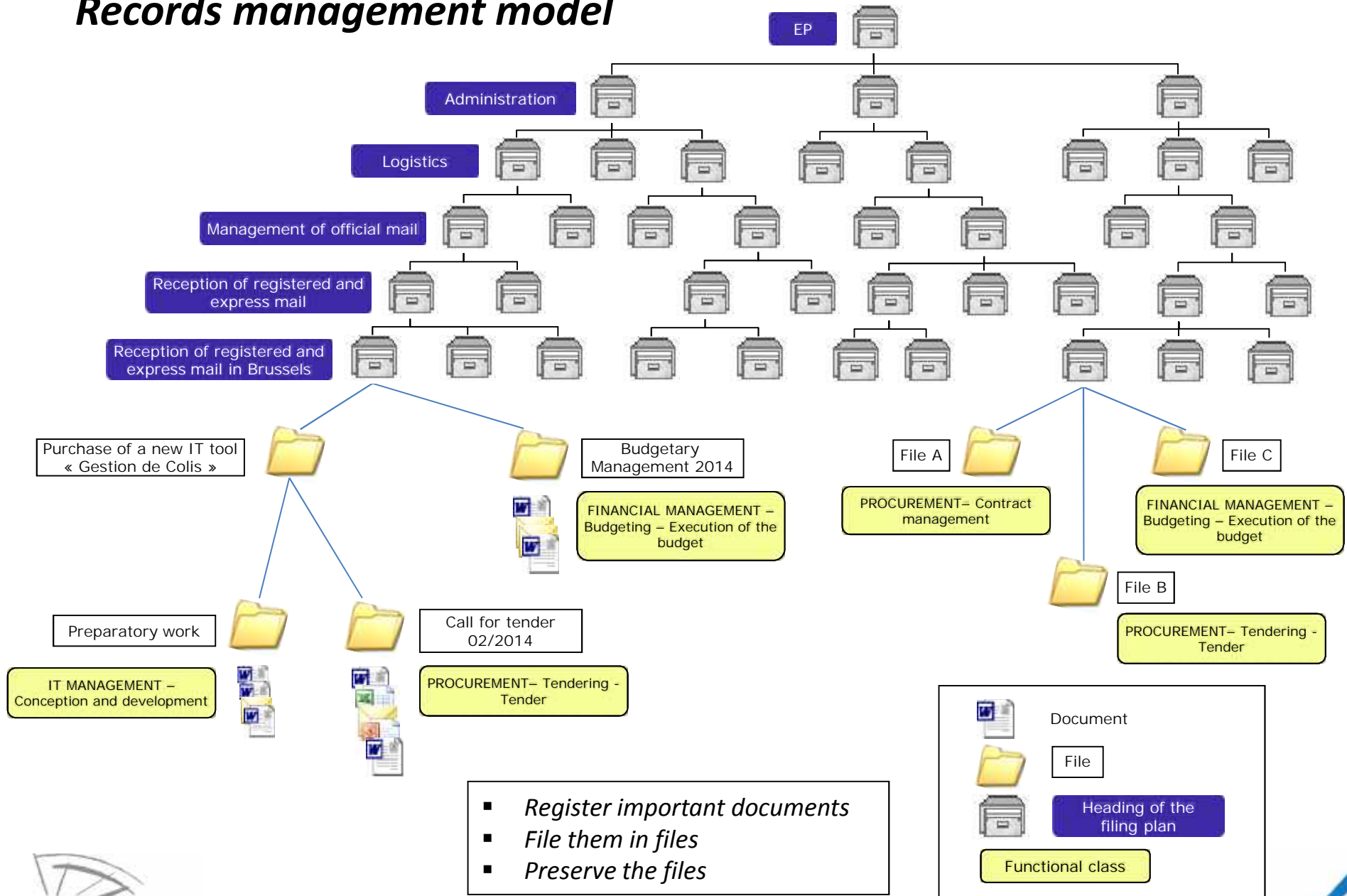
Author or Recipient

RAD

Historical Archives



Records management model



Key concepts

ERMS – Electronic records management system - Standards

- **DoD 5015.2** or the "**Electronic records management software applications design criteria standard**" is a set of requirements for the management of records within the US Department of Defence, which was endorsed by The National Archives and Records Administration (NARA) and has become the accepted standard in the US.
- **Moreq**: Moreq is a set of requirements specification for a generic electronic records management system, conceived by the DLM forum (Document Lifecycle Management) and funded by the European Commission.



Key concepts

Document

— Definition of a document in the Bureau decision

- Art.2 « **any content** written **on paper** or stored **in electronic form** or as a **sound, visual or audiovisual recording** that is **drawn up or received by the European Parliament**, by one of its representatives or by a member of its staff in the performance of his or her duties and that concerns the activities of the European Parliament »



Key concepts

Document

Document = 1 unit of information

=

Linguistic representations



+

Physical representations



paper

digital:



.pdf
.doc

Versions representations



V0.1



V2.0



Key concepts

Document -> Record

- Art.3 on registration precises which subset of documents should be covered by the document management rules:
 - « A document must be registered if:
 - (a) it **contains important information** that is not short-lived, and
 - (b) it **binds the European Parliament** or may **require action or follow-up** by the EuropeanParliament. »



Key concepts

Record

Any content on any support and of any format, **drawn up or received** by the European Parliament

That contains **important**, not short-lived information

It is likely to involve an **action, follow-up or response** from the European Parliament



Key concepts

Record

— Characteristics

- **Authenticity:** it is possible to identify without ambiguity the author, principal addressee, date of creation/issue/receipt/processing of information
- **Reliability:** the content may be considered as a complete and accurate representation of the operations, activities or facts attested and may serve as a reference
- **Integrity:** the information contained in the document are complete and correct
- **Exploitability:** location of the document and legibility over time



Key concepts

File

- Definition of a file in the Bureau decision :
 - Art.2 “the core around which the documents are **organised** in line with the European Parliament’s activities »
 - Art.4 « Each file must contain at least all documents registered that relate to an activity or a specific matter, in such a way that all the documents **relating to the activity** or matter in question can be easily identified.”
- The file is thus a set of documents relating to a particular case and organised consistently.



Key concepts

File

- Decision of the Secretary-General, art. 14
 - « 1. A file shall be **opened for each matter** when work starts on it, **and closed** once the matter has been dealt with.
 - 2. **Departments** shall open a file on each matter they are required to deal with under their specific remit. Once the matter has been dealt with, it shall close the file”



Key concepts

File

— Action file

- › Arises from one-off or unique cases, the duration of which is not known in advance but for which the procedural action that will make it possible to close the case is clearly determined
- › Example: Call for tender procedure X

— Serial file

- › Arises from work of a repetitive nature, the duration of which is generally linked to a calendar or budget year and which always proceeds in the same way
- › Example: Budgetary management 2014



Key concepts

File

- Every document registered must be put in a file
- Complete and reliable files guarantee:
 - That all documents can be easily and quickly retrieved by putting them into context.
 - Business continuity in the event of staff mobility
 - Keeping track of work and rationalising the tasks to be carried out by the various departments



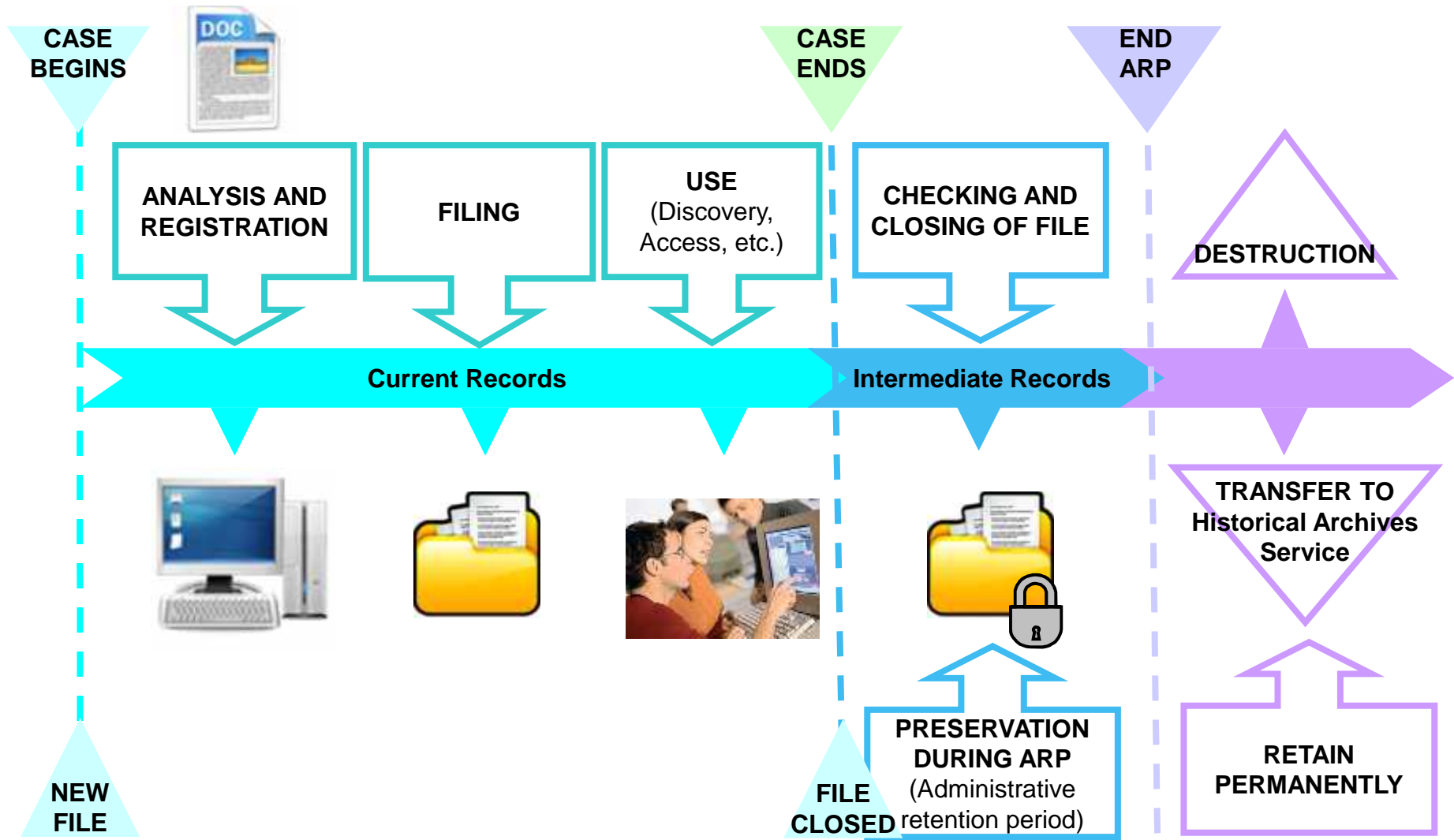
Document management steps

Document life cycle

- Ensure the creation of the right records, containing the right information, in the right format;
- Organize the records and analyze their content and significance to facilitate their availability;
- Make them available promptly to those who have a right and a requirement to see them;
- Systematically dispose of records that are no longer required; and
- Protect and preserve the information for as long as it may be needed (if necessary, forever).



Document management steps



Document management steps

Registration

- Registration is a process that attests to the administrative value of the document.

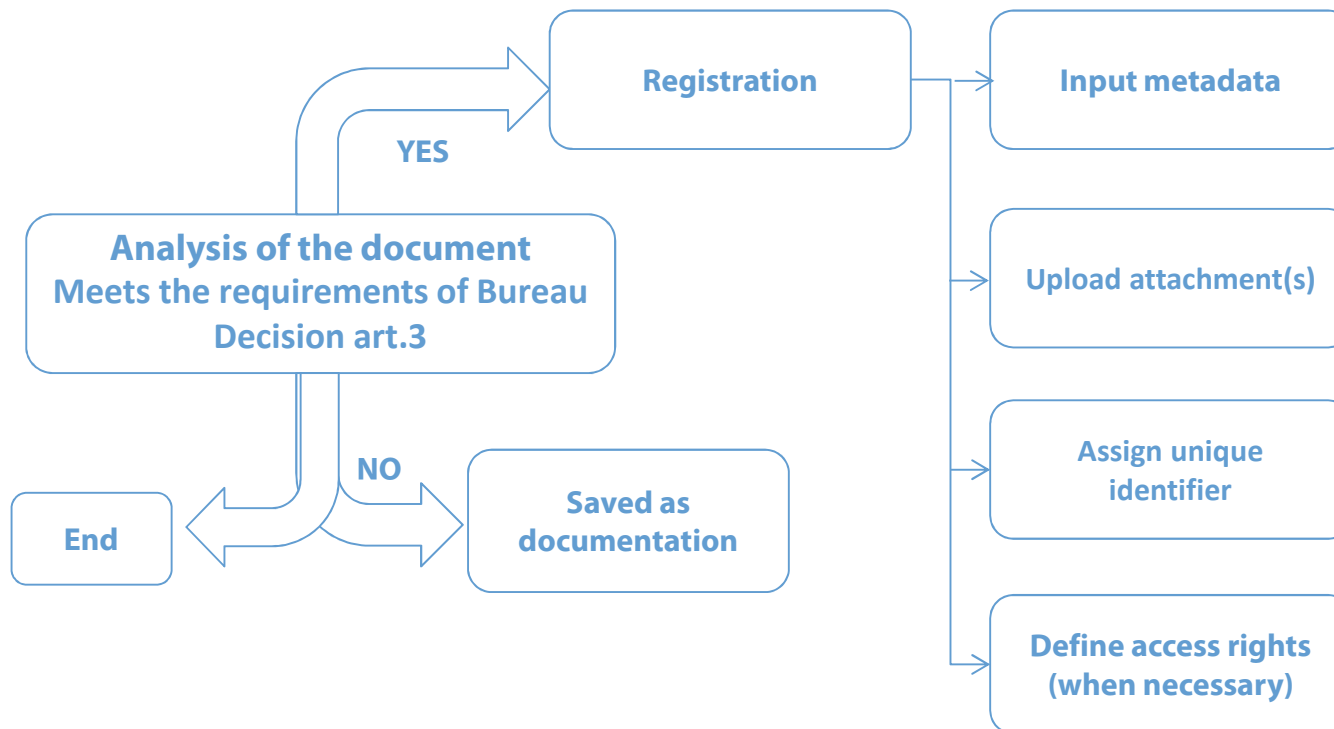
- It allows:
 - The document to be **identified**
 - The issue (transmission) or receipt of the document to be **recorded**
 - Effective **management** of the document (including assigning the document to staff for follow-up)
 - Automatic **tracking** of the document and its metadata **for later retrieval**



Document management steps

Registration

— Procedure (Decision of the Secretary General art.4)



Document management steps

Registration

- Metadata: the minimum document registration metadata shall be:
 - (a) the document date;
 - (b) the registration date;
 - (c) the unique reference created at registration;
 - (d) the document's author and, where appropriate, the department responsible;
 - (e) the document recipient and, where appropriate, the department responsible;
 - (f) the title and subject matter of the document;
 - (g) the distribution code;
 - (h) the title of the file or files containing the document and, where appropriate, the references for the procedure under which it comes;
 - (i) the number of attachments and a brief description of those attachments.



Document management steps

Registration

— Registers

- A register is an administrative instrument and **repository** that contains registered documents (records) and their essential metadata

- Future ERMS: general register
 - › Will replace GEDA
 - › Larger scope (all documents not already registered in specific applications)

- Applications with similar functionalities



Document management steps

Filing

— The filing process aims to:

- **Organise** files in the best possible way to ensure **retrieval and access**
- **Characterise** files by associating them to semantics from the definition of their kind (general function or activity the file belongs to)
- To **ensure consistency** of filing systems within the European Parliament



Document management steps

Retention

- Retention intends to guarantee:
 - The due protection of files over time by determining their **retention period**
 - The **physical protection** of files: management and storage of files (paper or digital)
 - The clear definition of **roles and responsibilities**



Document management steps

Disposal

- Files must be disposed of once their retention period has expired.
- Disposal means:
 - > either **destruction**
 - > or **transfer** to the historical archives.



Document management steps

Disposal

— Aims:

- › Smooth and regular disposal of documents / files at the end of their retention period
- › Documented procedures for disposal:
 - › For destruction of documents (paper or electronic):
 - › Adequate means of destruction
 - › Secure destruction
 - › Traceability of the process
 - › For transferring documents to the Historical archives

