

Presentation on Document/Records Management in DG ENV/CLIMA

Clear answers to following questions:



Why document/records management matters?

Who is involved?

Which documents have to be registered?

What is a file?

Why filing?

Why closing files?

Summary

Whom to contact?

- *A good DM system gives **evidence** of Commission's work, **maintain** its memory and **preserves** its knowledge.*
- *It **attests** situations or events that **justify** decisions made or otherwise **explain** the development of official actions (Audits, ADO requests.....).*

Besides compliance with law and rules

*Work smarter and
get more done*

*Increase our efficiency and reduces
valuable time we spent
in trying to find or re-create documents.*

- How many people in your office regularly make use of records/documents?
- Is your office clogged up with piles of paper?
- As a rule, can you find a document generated two months ago in less than five minutes?
- What about a document generated by a colleague?

- On average we spend
15 minutes locating a document

With ARES, all of your important documents are registered, indexed and stored (filed) in one central repository.

Consult your files and/or by using the search functions in ARES, you can locate and retrieve useful and reliable information in seconds.

ARES = In compliance with law and regulations.

- The average document is copied

19 times

- How many of those copies are filed in your paper binders or stored on your shared drive/outlook folders or simply binned?
- Which copy is the most up-to-date?

With ARES you have **ONE** electronic document which can be easily shared with colleagues (within Commission/EEA and EU Delegations).

- Documents **anytime, anywhere**

With ARES, you have immediate access to documents from your browser and mobile devices at anytime.

Store, retrieve and consult your documents anywhere in the world. Share information and collaborate with colleagues quickly and easily.

Move gradually from paper **towards digital records (e-Commission)**



- In the time it takes you to read this
20 million e-mails have been sent in the world
- How many e-mails are in your inbox?
- How can you manage your e-mails and the critical information they contain?

AresLook allows you to capture key information as it enters ARES.

Your e-mails are fully accessible to you and your colleagues, savely stored and retrievable in seconds.

-> Move away from "that's my e-mail" attitude

- We spend **30% of our time** searching for or re-creating a lost document

When looking for documents, we consult binders, shared drive, outlook folders, corporate network / server, send an email requesting to have it sent or simply call someone for help.

Your registered documents are digitised in ARES and the data contained is captured.

You can **search** for and **retrieve** documents in seconds, **free up** valuable office space taken up by filing cabinets, store documents **in line with** compliance **regulations** and be **audit ready**.

In the Commission:

- ***SG:** responsible for document management policy in the Commission (known as e-domec).*
- ***DIGIT:** develops the IT tools.*
- ***Historical Archives:** receives and manages transferred files.*

In the DG:

- *DMOs (ENV/CLIMA): Implement document management rules in the DG. Assisted by the CAD (Centre d'Administration des Documents).*

In the Unit:

- *E-domec Correspondents (e-DMC): Inform Unit about DM rules. Link between Unit and DMOs.*
- *Head of Unit: Responsible for correct document management within the Unit.*
- *Staff member: Contribute in good document management by taking part in it. Ensure that files are complete.*

Administrative responsibility



- Which documents need to be registered
- Where to file documents
- When to close files
- Checking file appraisal and transfer



Chef de file = Head of Unit /
Desk officer

Technical responsibility



- How to register documents
- Filing under Ares
- File closure under Ares
- Preparing files for transfer



Secretariat / e-DMCs / CAD /
DMO / Archives service

We register documents that:

- are **formally received or established**, i.e., addressed to you by (or sent by you to) an identifiable person or organisation, with a legitimate purpose related to the activities of the DG;
- **contain information that is not short-lived** and that require follow-up or set deadlines for action;
- may **commit the DG or the Commission from a legal, political or financial point of view**;
- **attest to situations or events** that justify decisions made or otherwise explain the development of official actions.

THIS INCLUDES YOUR E-MAILS!

Take time to analyse the
CONTENT and **CONTEXT**
(FUNCTION) of your
document/record and decide
what to do with them.

Prove it

If you have to substantiate a decision,
action, policy, financial transaction, etc...

What would you need to provide as
evidence?

-> In doubt? Register!

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- **File is**

the core around which documents are organised in line with the institution's activities, for reasons of proof, justification or information and to guarantee efficiency in the work. The group of documents making up the file is organised in such a way as to form a coherent and relevant unit in terms of the activities conducted by the Commission and/or its departments.

- **Filing**

means keeping documents in a safe place and being able to find them easily and quickly.

- **Accountability:** respond to audits, EP questions, Ombudsman...

- **Visibility of documents**

Filing in Ares ensures that a document is visible for all DG ENV staff (unless access is restricted at file or document level). A document that is not filed is visible only to the document's actors (creator, recipient, sender, participants in an assignment or an e-signatory Workflow).

- **Efficiency in the work:** reduces valuable time spent in trying to find or re-write your documents, decision making, handover of files...

- **Public rights:** respond to information and access requests to documents (Regulation (EC) No 1049/2001)

- **Preserve memory of Institution and our work.**

Life cycle OF A FILE:

European
Commission

END
CASE

END
ARP

START
CASE



ANALYSIS
REGISTRATION IN
ARES

FILING

USE

VERIFICATION
CLOSURE FILE
PRESERVATION

DESTRUCTION

TRANSFER
Historical
Archives

NEW
FILE

CURRENT RECORDS
=
Files in use

INTERMEDIATE
RECORDS
=
Closed files

HISTORICAL
ARCHIVES
=
Files with a historical
value



Policy codes indicate the legal base

50. Industry
50.01 Generalities
50.02 Ecolabel
50.03 EMAS
50.04 Standardisation
50.05 Green Procurement
Etc

Activity codes indicate the File type

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- ACTIVITIES
 - 1 Administration
 - 2 DG Strategy and Co-ordination
 - 3 Policy Development
 - 4 Implementation
 - 4.1 Guiding and monitoring the implementation of legislation
 - 4.2 Management of Community tools and mechanisms
 - 4.3 Implementation of non-legislative instruments
 - 4.4 Legal Control
 - 4.5 Elaboration of Commission Reports
 - 4.6 Transitional measures and accession
 - 5 Programme and Project Management
 - 6 International Activities and Relations
 - 7 Information, Communication and Civil Society

50.05-4.2 GPP Advisory Group

**Title: Green Public Procurement Expert and Advisory Groups
(2010-20xx)**

- To fulfil legal obligation
- Not to overload your Unit's list of files with open but inactive files. To have understandable, user-friendly, attractive Unit's list of files.
List with on-going files only
- Not to overload your desk and cupboards with old paper files (if such exist)
- Not to overload U drive

The ultimate test of a good records management is:

- *whether the records/documents are available to those who need them, when and where they are needed (**effectiveness**),*
- *the manner in which they are made available (**efficiency**), and*
- *at what cost (**economy**).*