



# Filing and Matrix in DG Env/DG Clima

# Plan



- ☐ *Why Filing?*
- ☐ *Legal Framework*
- ☐ *Responsibilities*
- ☐ *What is a File? Life cycle of a File*
- ☐ *What is Matrix? DG Env and DG Clima Matrix*
- ☐ *Electronic or paper files?*
- ☐ *Official / Working file?*
- ☐ *How to create a Perfect file. Examples.*
- ☐ *Standard Files, Contract files.*
- ☐ *Search Files in Ares- different approaches. Practice.*
- ☐ *Q&A*





**WHY DO WE NEED FILING?**

**WHY IS IT IMPORTANT  
TO CREATE FILES AND TO FILE?**



*If you do not file, other colleagues will not have access to the document you received.*

*Reorganisation*

Everyone in the Unit who needs to use documents should know where to find and get them.



# Efficiency



**Filed documents  
= less stress!**



# Accountability and Transparency



respond to:

- audits, EP questions, Ombudsman...
- information and access to documents request by public (Regulation (EC) No 1049/2001)
- access of archives to the public



# Legal Framework



## Core texts:

- **Commission Decision 2002/47:** *Provisions on document management*
- **Commission Decision 2004/563:** *Provisions on electronic and digitised documents (DOCELEC)*

## Implementing rules:

- **EC (2009)1643:** *Implementing rules concerning the management of documents and electronic and digitised documents:*
- **Common Retention List (CRL)** - *an official administrative document defining the preservation period of official files*  
*SEC(2007)969-970; revised in SEC(2012)713*



# Internal Control Standards





# Responsibilities



**Desk Officers** inform e-DMC of any new files to be created, files to be closed and any other relevant change. They also ensure that their files are complete.

**Heads of Unit** ensure that their list of files gives a good overview of the work of the unit and that e-DMC is informed by colleagues of all required updates.

## **The Lead Unit** of the file

- **guarantees** the preservation of documents and official files
- **preserves** files during the ARP (Administrative Retention Period)
- **collaborates** with the DMO for the first appraisal of the files and their transfer to the HA or their destruction



# Responsibilities



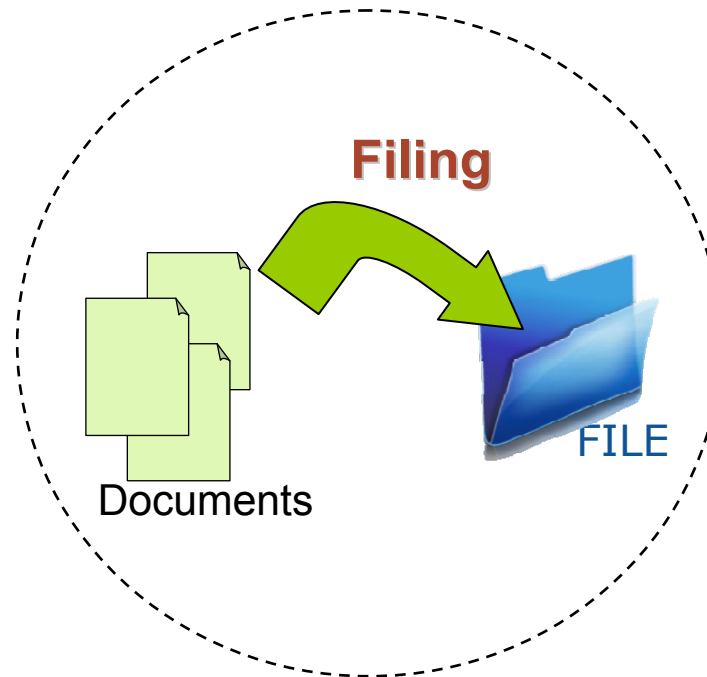
**E-domec Correspondents (e-DMC)** **request** the closure of files in ARES to the DMOs (Document Management Officer). They do so following instructions from their HoU and/or colleagues.



# What is a File?



Files are groups of documents related to the same action or matter



# Electronic or paper?



## Electronic

All files from **2010** are considered e-Domec compliant:

- Official file exist in ARES
- preferred format is completely electronic (ARES fully operational)
- paper files are not transferred, unless fall under exceptions

Official files are transferred to the Historical Archives Service in line with the CRL.

## Paper

Documents:

- where a handwritten signature on the original is still required for the legal value of it (e.g. contracts, international agreements)
- that cannot be attached to ARES, eg:
  - difficult to be scanned (voluminous, bulky, CDs, USBs)
  - Use a marking or classification (EU RESTRICTED)
- and are not part of another e-domec compliant system (eg. Decide, BASIL, e-greffe)

**Make the link from paper to your Ares file (put labels on binder).**  
**If there are sensitive and/or classified documents, the files should be kept in a locked cupboard.)**

# Official or Working File?

European  
Commission

## Official file



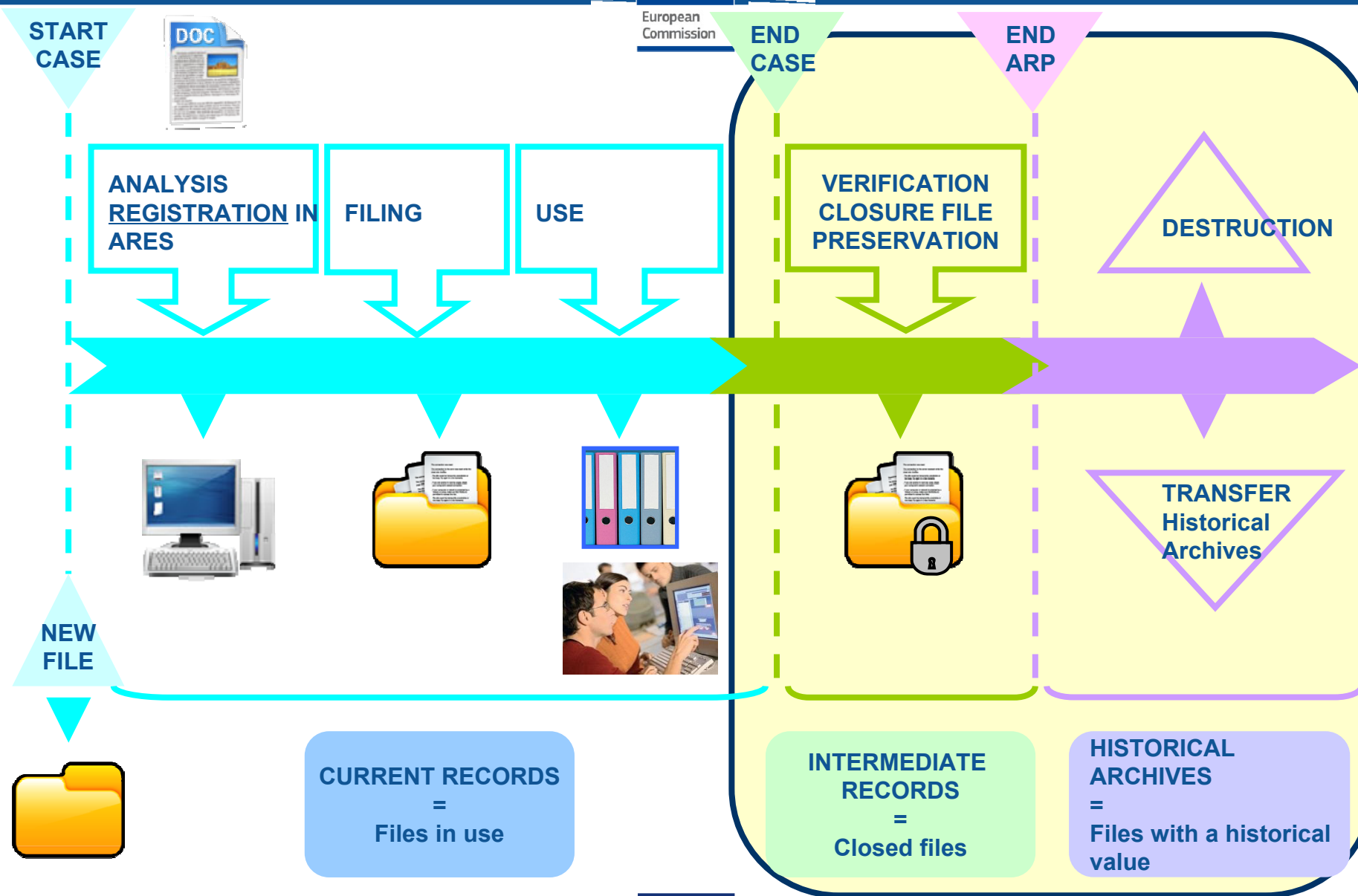
- Your Unit is the Lead Department
- Has legal value and needs to be preserved;
- Can be used in the context of a control or audit.
- Complete and accurate
- Checked before closure and preserved in Intermediate Archives
- Potentially transferred to the HA

## Working file



- No legal value
- Managed by an individual
- May be destroyed at any time
- Destroyed at the closure of the official file
- Never transferred to the Historical Archives

# Life cycle



# Matrix



European  
Commission

**POLICIES** represent environmental instruments and  
'belong' to DG CLIMA

<b>23. Emissions Trading System</b>
<b>23.01</b> Generalities
<b>23.02</b> ETS Directive 2003/87/EC
<b>23.03</b> Monitoring, Reporting, Verification,
<b>23.04</b> Registries
<b>23.05</b> ETS Revised by Directive 2009/29
<b>23.06</b> Benchmarking and carbon leakage
<b>23.07</b> Aviation

**ACTIVITIES** represent Commission functions and file  
types

<b>3. Policy Development</b>
<b>3.1</b> Initial policy analysis and knowledge
<b>3.2</b> Strategies and action plans
<b>3.3</b> Legislative proposals
<b>4. Implementation</b>
<b>4.1</b> Implementin legislation
<b>4.2</b> Implementation tools
<b>4.3</b> Implementation of non-legislative instr.
<b>4.4</b> Legal control
<b>4.5</b> Elaboratin of Commission reports
<b>5. Financial programme management</b>
<b>6. International activities</b>

# Creation of Files



## Example Policy Dev (3)

Policy codes indicate the legal base

### DG CLIMA

<b>23.</b> Emissions Trading System
<b>23.01</b> Generalities
<b>23.02</b> ETS Directive 2003/87/EC
<b>23.03</b> Monitoring, Reporting, Verification,
<b>23.04</b> Registries
<b>23.05</b> ETS Revised by Directive 2009/29
<b>23.06</b> Benchmarking and carbon leakage
Etc

Activity codes indicate the file type

<b>3.</b> Policy Development
<b>3.1</b> Initial policy analysis and knowledge <ul style="list-style-type: none"><li>- Expert groups shared by the unit</li><li>- Public consultations</li><li>- Impact assessment of proposals</li><li>- Commission policy communications</li><li>- Green and white papers</li></ul>
<b>3.2</b> Strategies and action plans
<b>3.3.</b> Development of Community Legislation

Title: Preparing the review of the Emission Trading Scheme under 2030 Climate & Energy framework

**23.05-3.3 POST 2020**

**Standard Formula of the File: « Policy-Activity KEYWORD FULL TITLE »**



# Creation of Files Implement (4)



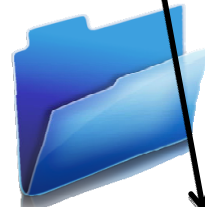
## Example

Policy codes indicate the legal base

<b>23.</b> Emissions Trading System
<b>23.01</b> Generalities
<b>23.02</b> ETS Directive 2003/87/EC
<b>23.03</b> Monitoring, Reporting, Verification,
<b>23.04</b> Registries
<b>23.05</b> ETS Revised by Directive 2009/29
<b>23.06</b> Benchmarking and carbon leakage
Etc

Activity codes indicate the file type

<b>4.</b> Implementation
<b>4.1</b> Implementin legislation
<b>4.2</b> Implementation tools
<b>4.3</b> Implementation of non-legislative instr.
<b>4.4</b> Legal control
<b>4.5</b> Elaboratin of Commission reports
<b>5.</b> Financial programme management
<b>6.</b> International activities



**23.01-4.1 2015 WGIII**

**Title: ETS's WORKING GROUP III Meetings 2015**



*Ares files well represent the current activities of the Unit.*

***Ares file = one Action, one Procedure.***

*A good Ares file needs to be:*

- clear
- precise
- a good Title indicates what will be filed in order to avoid mistakes and misfiling
- does not contain more than 200 documents (in order to find documents easily, also for technical reasons).

# Category from Common Retention List



***The Category tells what happens in future with the file after its closure:***

- 1) it will be destructed and when***
- 2) it will be sent to the Historical Archives for Permanent Preservation***
- 3) it will be sampled, and only samples will be sent to the Historical Archives***

**It is very important that the File Category is correct!!!**

# Perfect Files



## 22.22-4.1 CONSULTATION FORUM

**Title: CONSULTATION FORUM in compliance with ART 23 OF REG (EU) 517/2014 – (2015-20xx)**



**DG CLIMA Matrix**



22.22 Fluorinated Gases Regulation

### **REGULATION (EU) No 517/2014 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL**

**Article 23**

#### **Consultation Forum**

*In implementing this Regulation, the Commission shall ensure a balanced participation of Member States' representatives and representatives of civil society, including environmental organisations, representatives of manufacturers, operators and certified persons. To that end, it shall establish a Consultation Forum for those parties to meet and provide advice and expertise to the Commission in relation to the implementation of this Regulation, in particular with regard to the availability of alternatives to fluorinated greenhouse gases, including the environmental, technical, economic and safety aspects of their use. The rules of procedure of the Consultation Forum shall be established by the Commission and shall be published.*

# Perfect Files



20.09-4.1 NOTIF MS ART 20(5)

Title: MS Derogation Notifications Art 20(5) of REG 2015/757 - MRV SHIPPING (2015-20xx)



**DG CLIMA Matrix**



20.09 Maritime GHG emissions

## **REGULATION (EU) 2015/757 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 29 April 2015**

### *Article 20*

#### **Penalties, information exchange and expulsion order**

5. Any Member State without maritime ports in its territory and which has closed its national ship register or has no ships flying its flag that fall within the scope of this Regulation, and as long as no such ships are flying its flag, may derogate from the provisions of this Article. Any **Member State** that intends to avail itself of that derogation shall notify the Commission at the latest on 1 July 2015. Any subsequent change shall also be communicated to the Commission.



# Standard Files



# each Unit has

## **1.7.1 C4 ADMIN 2015-20xx**

*UNIT C4 GENERAL ADMINISTRATIVE SUPPORT AND MANAGEMENT  
2015-20xx*

## **35.01-2 COORD 2015**

*MARINE ENVIRONMENT - INTERNAL AND INTER-INSTITUTIONAL  
COORDINATION 2015 (Briefings, Cabinet mail, EP questions and petitions,  
replies to CIS, etc)*

## **10.01-7.5 F1 ADO 2015-20XX**

*ACCESS TO DOCUMENTS REQUESTS UNIT F1 2015-20XX*



# Contract Files



***Policy code-1.3.5 ABBR TITLE***

***SI2.XXXXXX CONTRACT TITLE AS COMPLETE AS POSSIBLE***

- ➡ Operation Unit is reasonable for requesting the creation of contract file***
- ➡ Finance Unit SRD2 and Technical Unit share the contract file***
- ➡ Contract file title always starts with SI2.nr***
- ➡ Activity code 1.3.5 is used for finance***



# Examples: what needs to be Registered (list non exhaustive)



Yes

- **formal notes/communications**  
(both received and sent)
- **financial documents** (as per BUDG guidelines)
- **minutes of meetings**, especially with other institutions or external stakeholders, and, for **important meetings**, **briefings/speaking/defensive** etc.
- information received/sent from/to other institutions or external stakeholders
- contributions to interservice consultations or pre-consultations
- **documents**, even informal (e-mails or notes to the file) that **attest situations** or events, justify decisions made or otherwise explain the development of official actions
- instructions notes, guidelines

No

- **drafts** (i.e documents not yet validated by the person who will sign them or take responsibility for them)
- e-mails and other texts circulated within an **informal exchange** of views between colleagues.
- exchanges on **short lived** matters (such as invitations)
- information on one's **personal situation**