European Commission

JRC Integrated Management System

JRC Documents & Records Management Policy

Document Management for Lead Department in 30 minutes…

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….in 30 minutes

- Legal basis
- Documents and files lifecycle in 3 stages
- Fitting into IMS and BPI
- The "Lead Department"
- Our challenges
- Questions and answers
- Acronyms and terms

Legal basis of document management in the EC

Core texts:

- **Commission Decision 2002/47**: Provisions on document management
- **Commission Decision 2004/563**: Provisions on electronic and digitised documents (DOCELEC)
- **Implementing Rules SEC(2009)1643** for 2002/47 and 2004/563
- **C**ommon **N**omenclature
- **C**ommon **R**etention **L**ist (CRL) **SEC(2012)713** replacing SEC(2007)970

Interaction with other regulations:

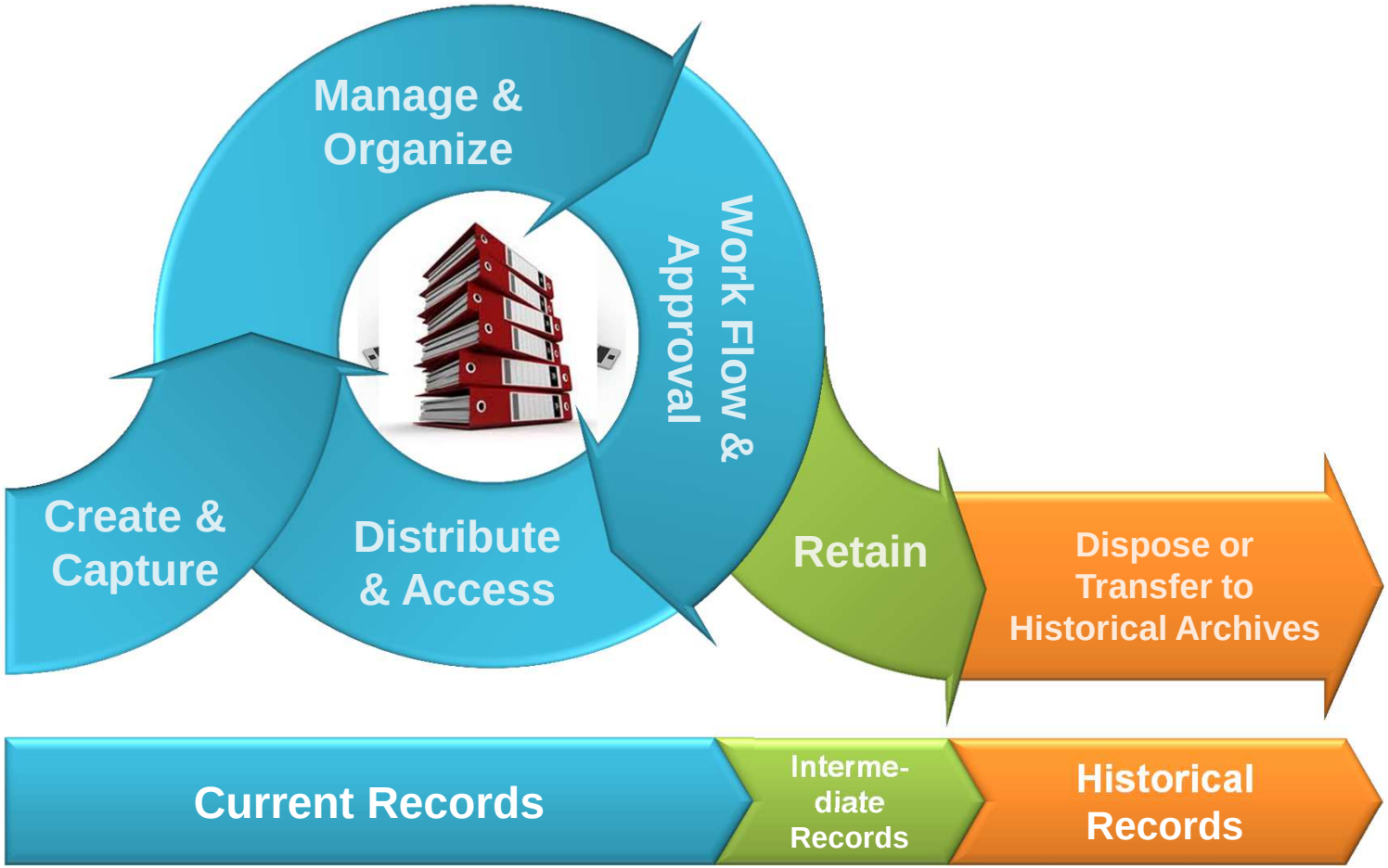
- Internal control standards
- Code of good conduct
- Public access to documents
- Personal data protection
- Financial Regulation

Legal basis of document management in the EC

Internal Control Standard Nr 11

[…] every document that fulfils the conditions laid down in the implementing rules needs to be **registered**, **filed** in at least one official file (each file being attached to a heading of the Filing Plan), and **preserved** during the period established by the document management rules. To do so, the DG uses systems which respect the above rules, mainly HERMES-ARES-NOMCOM.

The Documents and Files Lifecycle in 3 Stages



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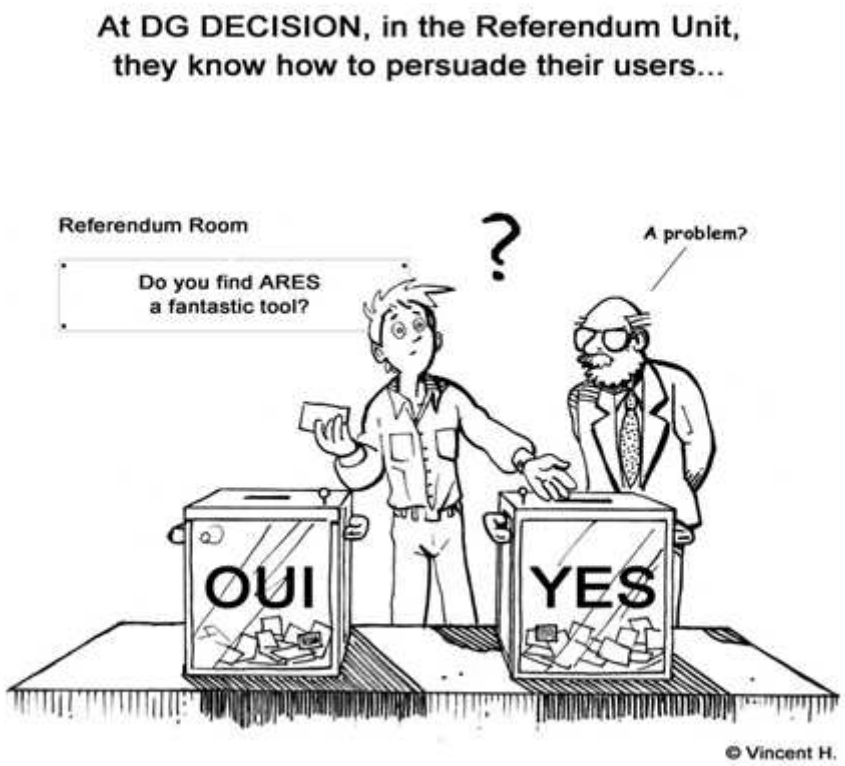
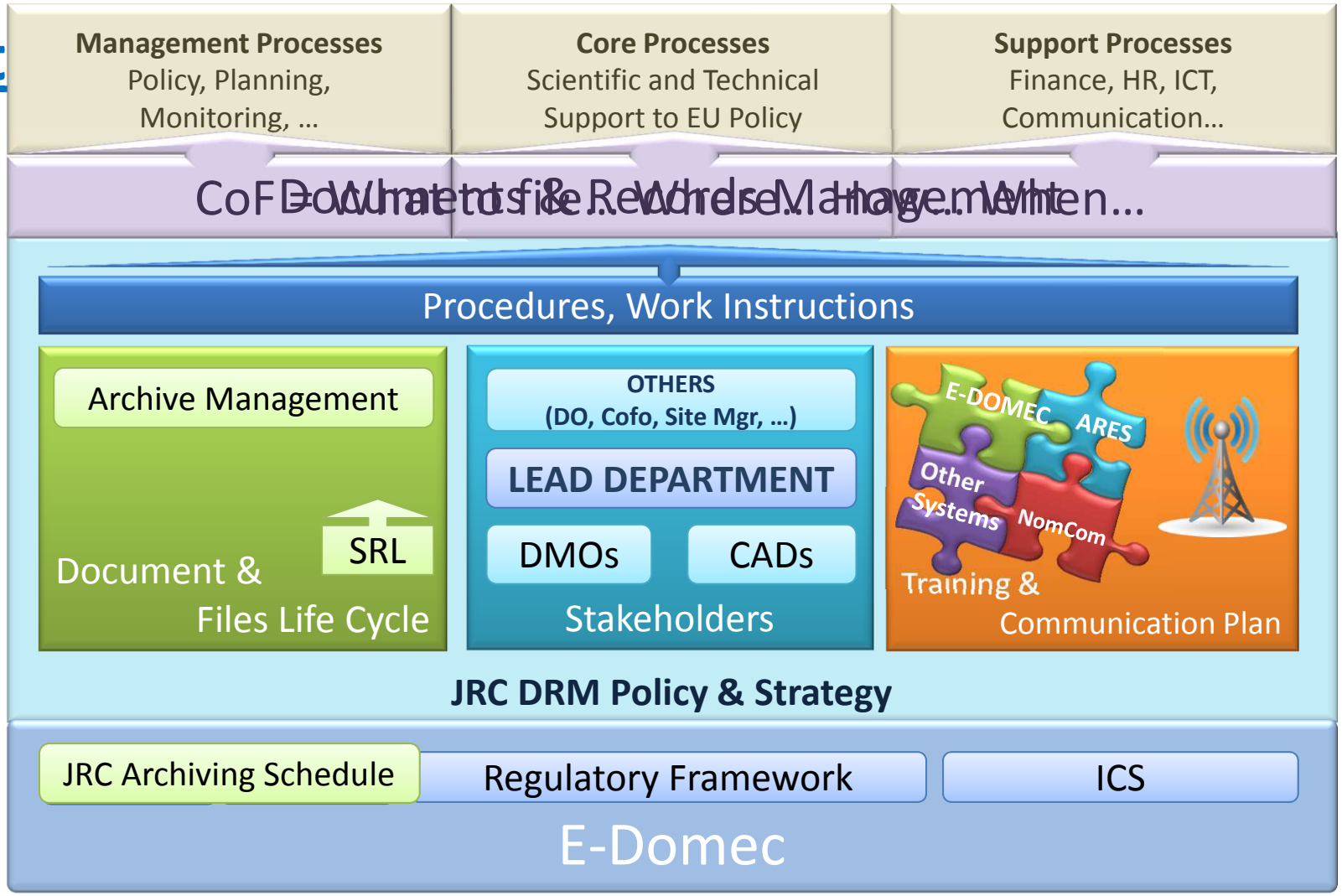


- Comprehensive lifecycle
- Unique documents & files repository
- Unique protocol number for each document
- Moving to e-Commission
- Everybody is concerned

Fitt


Management Processes
Policy, Planning, Monitoring, …
Core Processes
Scientific and Technical Support to EU Policy
Support Processes
Finance, HR, ICT, Communication…
Procedures, Work Instructions
Archive Management
SRL
Document & Files Life Cycle
OTHERS (DO, Cofo, Site Mgr, …)
LEAD DEPARTMENT
DMOs
CADs
Stakeholders
E-DOMEC
ARES
Other Systems
NomCom
Training & Communication Plan
JRC DRM Policy & Strategy
JRC Archiving Schedule
Regulatory Framework
ICS
E-Domec

The "Lead Department" 1/2

(Source: e-domec)

Your responsibilities

- monitor all the files for which your Unit is Lead Department ("chef de file")
- be able to retrieve required documents and files quickly and easily
- understand the procedures for transfer of responsibility of files
- back up the Unit's position in the event of an audit or dispute
- know who to contact in case you need advice or guidance

Your obligations

- improve the efficiency, quality and performance of your service
- ensure continuity of public service
- keep evidence of activities in order to demonstrate accountability
- comply with internal control standards
- make a useful contribution to implementation of the "e-Commission"

The "Lead Department" 2/2

Is responsible for…

- **Opening** of files
- Definition of the **content** of his files
- Responsible for documents **filing**
- **Closure** of files
- **Preservation** and decision to transfer to Historical Archives or elimination
- Ensure and promotes **training** of his staff

Our challenges

- **Integration** of Corporate and JRC Information and Documents Management Systems
- **Unfiled** documents
- "Dormant" files (not used over past 12 months) and **files closure**
- **Paper** archives management
- Moving to E-Commission (use of **e-workflows**)
- **emails registration** (AresLook)
- Clarify roles and responsibilities

Questions and Answers

…more questions and more answers…

….to your local CAD or to JRC-DMO@ec.europa.eu !

Acronyms and terms

ARES	Advanced Record System
BPI	Business Process Improvement (of the JRC)
CAD	Centre d'Administration des Documents (Document Management Centre)
CoF	Content of Files
COFO	Coordinateur de Formation (Training manager)
COG	Commission On the Go
CRL	Common Retention List (of the European Commission)
DMO	Document Management Officer
DO	Desk Officer
DRM	Documents and Records Management
E-Domec	Electronic archiving and document management policy of the European Commission
ICS	Internal Control Standard
IMS	Integrated Management System (of the JRC)
NomCom	"Nommenclature Commune", activity based filing plan of the European Commission
SRL	Specific Retention List (of a DG)

Thank you for your attention!