

REGISTRATION

Registration of a document consists of two operations to be carried out in the presence of the original:

- saving the metadata (descriptive information).
- Permanently linking the document to its metadata.

Registration means to enter a document in a document management system, where it is identified with a unique registration number. **Ares** is the main tool used for **registration** of Commission's documents. The Registration number is a unique official reference of a document of the Commission that, after registration, is stamped onto the PDF derived from the conversion of the attached electronic native file.

Its format is as follows: Ares(2010)12345678.

Registered documents can no longer be modified by the stakeholders. This protection ensures the integrity of the information over time.

Why to register

1) **Certify transmission:**

- Certify that a document has been sent at a given date from an author to a recipient, or received at a given date by a recipient.
- Certify that a document fulfils certain conditions concerning form and has been presented for registration according to established procedures.
- Ensure that a document received or formally drawn up is integrated in the Commission's document management system.

2) Fulfil internal needs for **efficient document management:**

- Identify with certainty a document formally drawn up or received by the Commission.
- Guarantee that a document can be traced throughout its life cycle, that is to say from the moment it was received or formally drawn up, through its time of active use and intermediate storage until it is either eliminated or permanently stored.
- Attribute a document for action, follow-up, information or storage. This links registration of a document to its workflow processing.

3) **Legal reasons:** the Commission has a legal obligation to make citizens' rights under regulation 1049/2001 effective by providing **public access** to a register of documents.

All professional and important work-related documents must be registered in an e-Domec valid registration tool, provided they match the registration criteria. ARES (Advanced Records System) is the main tool to register and file official documents and its use is compulsory for all EC staff. Other tools integrated with Hermes through the Hermes Repository Services (HRS) are also used: CIS-Net, e-Greffe, Poetry...

Please remind that **WAVE** and **WFS** are **neither valid registration tools nor valid electronic preservation repositories**. The same applies to shared drives, Outlook inboxes, etc.

WHAT TO REGISTER?

Every important document for the Commission requires registration (**e-mails included**).

To decide if a document should be register, analyse it and look for the following criteria:

- The document must have been **formally drawn up or received** in the course of Commission activities.

A document is considered **formally drawn up** when it has been *approved as ready* by the *author* and is ready for *formal transmission*.

A document is considered **received** when it is *available* to the service(s) for which it is intended.

AND

- The document is important for the Commission: requires **action, follow-up or a reply**, or involves the responsibility of the Commission.

AND

- The document contains important information that is **not short-lived**.
- The document is drawn up as **effective administrative or legal evidence** of decisions, situations, intentions, or events linked to the activities of the Commission.

Please remember

E-mails are documents. Therefore, any e-mail containing important information, which is not short-lived and which is likely to require action, follow-up or a reply from the Commission must be registered.

If you wish to enlarge this information, please read this [Practical registration criteria](#)

FILING

Filing in DG REGIO

Filing means placing and organizing documents in files.

Filing covers encoding operations (code assignment to documents and files) and storage of documents following a rational pattern:

- Paper: physically in binders, folders.
- Electronic: web servers or data bases).

Each document received from outside the Commission in DG REGIO or created by DG REGIO must be filed at least in one official file by the responsible unit.

- If you don't know where to file, please contact REGIO DMO. Avoid filing a document if you are not sure its correct place: the document could get lost forever.
- When **one document** refers to different actions (this is, different OPs, different contract, different events...), it should be filed in **ALL** relating files.
- Sometimes, a unit creates a document but another unit is leading the action (is chef de file) and should do the filing. If this happens, please assign a CLASS task to the responsible unit. The classical example is Human Resources documents, which should always be filed by A.2.

It is highly recommended to use the filing plan for the organisation of shared unit drives; but please remember that network drives are only working spaces and **official filing in electronic format must be done in Ares**.

Why to file?

The systematic filing of all registered document in its official file allows us to be confident about finding ALL documents relating to a specific case and **ONLY** the documents relating to that case. When the Commission defends its interests in court or before an inspection body, it defends with a complete file, and not with a series of documents. Also, filing is one of the obligations described in EC rules.

Annual files

There are actions (and their files) that need to be created annually, as they don't have a proper beginning and end.

Annual files are serial files:

- Cases are repetitive
- Duration is linked to calendar or financial year
- Procedure is always identical
- Title = subject + period covered

Typical examples: Access to documents, requests for information.

These files are not automatically created, so please check here how to ask for its creation

- [REDACTED]
- [REDACTED]
- [REDACTED]
 - [REDACTED]
 - [REDACTED] out of the scope of the request
 - [REDACTED]
 - [REDACTED]
- [REDACTED]
 - [REDACTED]
 - [REDACTED]
 - [REDACTED]
 - [REDACTED]

How to file?

- First thing is to analyse the content of the documents. Desk officers should participate in this process.
- Actions containing financial information (contracts, OPs, MPs) receive always a CCI number. This number is used also for the file and it is always the Specific Code. Using this number in the search is the easiest way to find these files.

- OP files are divided into different sub-files, where different units file their part of the job, even if they are not CF for the OP. See file type.
- It could be that you receive a «Request for access to documents». These documents should be filed under the unit annual file «Requests to Access to Documents» (if it doesn't exist, please request a new one).
Please avoid filing these documents under the OP file, as they are not linked to its management.

Documents that not need to be filed

Documents received from other DGs should be analysed in order to decide if they are linked to DG REGIO official activities; if they are not, please click on «not to be filed».

Typical examples of «not to be filed» documents are DG HR&PMO issues addressed directly to you or Inter-service group communications.

CREATION OF FILES

1) When to create a file?

Files can be requested at any time of the year, once it is needed.

Nevertheless, for yearly files, it is strongly advisable to do it at the beginning of the year. Yearly files represent actions that happen annually, so files need to be created annually too. Typical examples of this: Access to documents, Request for Information, Annual Management Report...

2) Who creates files?

In DG REGIO, all files are created by the **DMO team** (REGIO-DMO@ec.europa.eu) following a request for creation made by units through the DMO correspondent.

3) How to request the creation of a file?

Depending on the kind of file, there are two possibilities:

- Files associated with a CCI number: REGIO DMO must be in copy when REGIO DECISION PROCEDURES confirms the allocation of the CCI. After getting that information, the file is created if all necessary data are available. Otherwise, DMO team contacts the concerned unit to get more information or agree modifications on titles or other data.

The CCI number allocated will always be the *Specific Code* for the created file.

- Files not associated with a CCI number: whenever a file is needed, the DMO correspondent should send an e-mail to the DMO team asking for the creation of the file. The compulsory data that should be provided are:

- **Heading code** (decimalisation): where the files should be placed in the Filing Plan.
- **Title** of the file. To be accepted, the title should fulfil some requirements:
 - o Be clear, meaningful and concise, avoiding the use of acronyms.
 - o Give clear indication of the content of the file without need of read their documents.
 - o Indicate when the file needs to be closed (it is compulsory to close official files at some stage): by means of dates or by stating the end of the action.
- **Paper component** of the file. If it is known that some part of the file will be in paper (for legal requirements), it is advisable to communicate it at that stage.

CLOSURE OF FILES

When to close a file?

A file should be closed once all the actions reflected by the file are over and when no more documents in the file need to be added or amended. It is compulsory to close all official files at some stage.

It is not advisable to close a file immediately upon completion of a case, as some documents related to it can still arrive.

Twice a year, the DMO correspondent of each unit should analyse the file list and review which files may be closed.

Closed **paper files** (or those hybrids: some part electronic + some part in paper) should be marked and transferred to intermediate archives storage, that is, a suitable archiving location; they remain there until the end of the ARP (= Administrative Retention Period, as prescribed by the Common Retention List CRL), when they will be either transferred to the Historical Archives or eliminated.

For Yearly Files, the close date will be predictable often relating to end of calendar or financial year. For Action Files there is often a final action after which the file may be closed.

Who close the files?

Files are closed by the DMO team upon request made by the DMO correspondents of each unit.

How to request the closure of a file?

Only reliable and complete files can be closed, and suitable check with A3 should be done (for the financial part of some files); other units might be consulted also.

Once the files for closure have been identified, there are three situations:

- **Paper files** (files that are neither in Adonis nor in ARES): non-official documents must be thrown away by the unit before the closure of the file.

The Unit has the obligation to clean the file from any working copy or document that should not be included in the official paper file. A list of content should be done, closed files should be stores separately and their physical location should be written down.

- **Hybrid files** (files with paper component +electronic component): check the guidelines

CLOSURE OF HYBRID FILES

HYBRID FILES = files with a paper part and electronic (Ares/NomCom) part.

This can be because they were created before the migration of DG REGIO to ARES (Oct. 2010) and/or because a paper part is compulsory (financial...)

1) Unit **chef de file** prepares the files, both paper and electronic part, for closure.

2) **Paper part:**

2.1 - Non-official documents must be thrown away by the concerned unit before the closure of the file; the Unit has the obligation to **clean the file** from any working copy or document that should not be included in the official paper file.

2.2 - All documents should be well arranged in the relevant archiving box / binder and metal staples and plastic folders must be removed, as they might affect the integrity of the paper documents during the duration of the ARP (Administrative Retention Period). This is valid only for those files having an ARP > 5 years.

2.3 - At this moment, units have to decide if they want to reconstitute the file or do it at the moment of transfer/elimination (after the ARP). It is **advisable to do it at the moment of closure**: if so, units **should ask A3** to send the financial part of the files appraised (it might be also necessary consult other units as Evaluation or Audit). An ARES document should be created containing the list of requested file.

- The DMO should be in VISA.

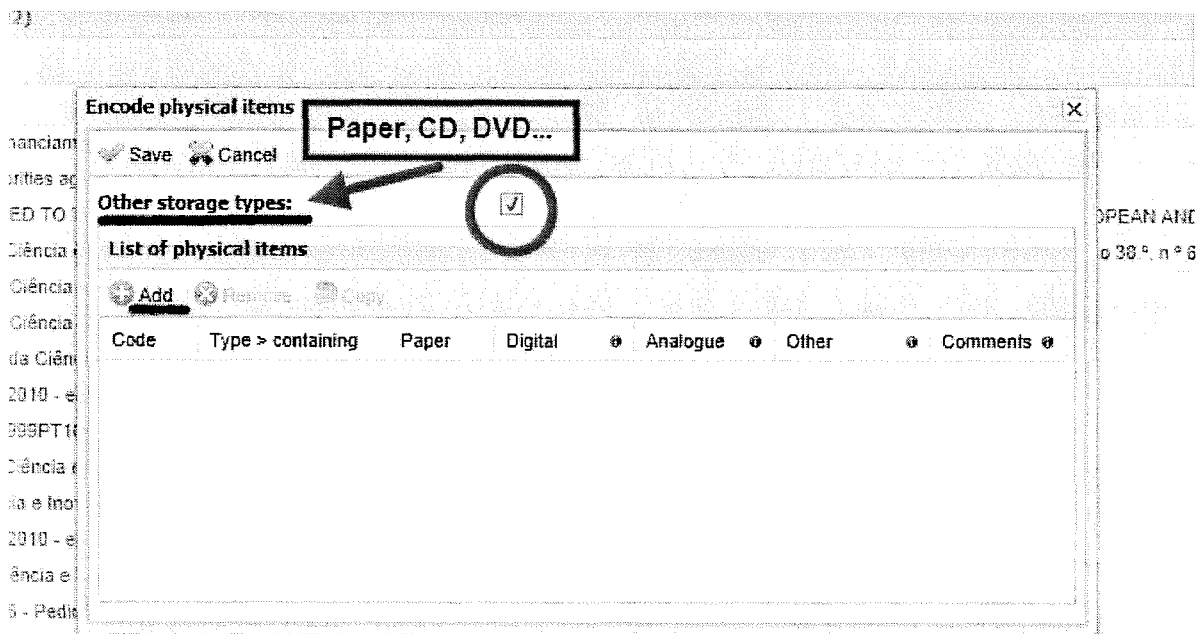
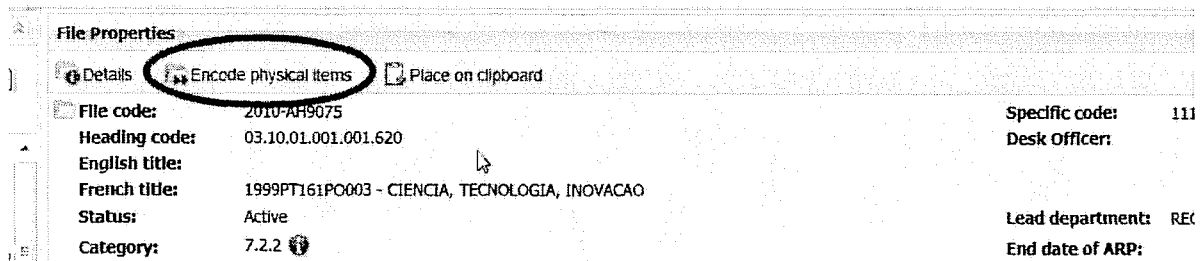
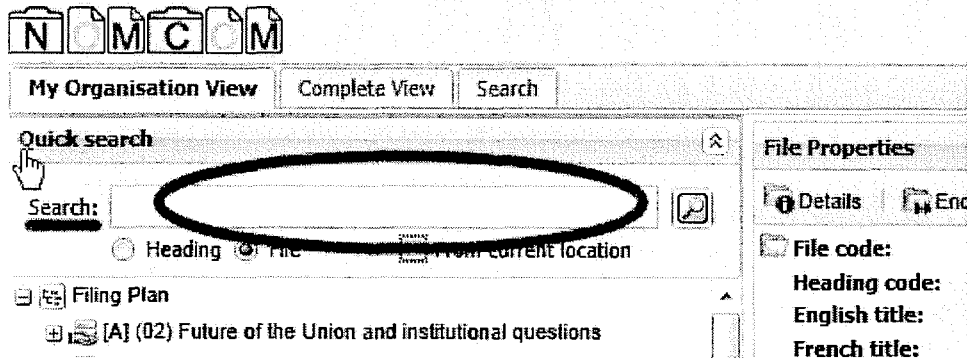
- **CLASS task** to ve_regio.DMO

3) Check if the file exists in **Adonis**.

4) **Electronic part:**

- Ensure all e-signatory and all assignments are finished.

- Go to NomCom, search for the file(s) and add data about the paper part.



1999PT161PO003 Assunto: Aceitação do Relatório Final e da Declaração de Encerramento – vertente FSE
 do âmbito (FEDER e FSE) Portugal. Período de programação FEDER e FSE 2000-2006. Auditoria n.º 2006/DIT/REGIO/12/1701 e n.º 2006/DIT/

code physical items

Save

Other:

List of

Ad

Code

its

Add new item [X]

Type > containing: [v]

Number: []

Paper: []

Digital: []

Analogue: []

Other: []

Comments: []

Archive box

Binder (large)

Binder (small)

Folder

Envelope

Package

Other unit

Save Save and Add New Cancel

- Once all modifications have been included and files are complete, cleaned and appraised, the **units will send a list** to DMO team with the files to be closed.
- DMO team, after checking, will close the files both in ADONIS and NomCom.
- Paper part of closed files will be **correctly storage** in unit archival room. Files will be clearly marked as closed and post-ARP action will also be indicated in the boxes or binders.

APPRAISAL AND TRANSFER OF FILES

Official files are managed on a **lifecycle** basis: at the beginning of their life, they are used often and therefore the paper part is stored by units, in or near the offices.

Once closed, files have to be transferred to the unit archives, where they will stay during the ARP (Administrative Retention Period).

The archival rooms should keep closed files in a safe environment and available to the unit chef de file or other internal or external bodies for consultation, upon request.

When the files reach the end of the ARP (from 2 to 10 years depending on the category assigned to the file), units will transfer them to the Historical Archives of the Commission, or will eliminate them, depending on their long-term value.

A second review, latest after 25 years, is done by Historical Archives in cooperation with units if necessary under terms of common Commission-level retention list, in order to determine the ultimate stage for files: their permanent preservation and making them available for public or their elimination.

Sampling and selection of files are applicable during the first as well as during the second review; they allow preserving a certain percentage of the files that is representative of the whole.

https://myintracomm.ec.europa.eu/sq/dm/basics/Documents/faq_conservation_EN-FR.pdf

GUIDELINES FOR THE TRANSFER OF PAPER FILES TO THE HISTORICAL ARCHIVES

- 1) The transfer of files by the units/DG to the Historical Archives Service involves transferring the physical storage and the responsibility for those files. Each unit should prepare their transfers with the support of the DMO
- 2) Appraisal of files for transfer:
 - a. Files must be **closed**

It is important to make the difference between the closure of an action (project, programme, contract...) and the closure of the corresponding file. Ideally, the two things happen at the same time, but it is **not automatically done**: when an action is finished, the file can be closed, but, for this to happen, the **DMO team has to be informed** (as only DMO team can close files).

- b. Check that the Administrative Retention Period (ARP)¹ is over and contact the DMO to check if a transfer is possible even before the end of the ARP (this might be possible for only paper files – no ARES documents in it – **closed** before 2010)
 - c. **Keep each file together**: when there are files which consist of several physical units – folders, binders or others - they must be transferred as a whole, keeping the order in which the documents were filed.

If not done at the moment of closure, units **have to ask A3 and audit units** to send the financial part of the files treated, so completeness of the file is ensured (it might be necessary to contact other units too as Evaluation).

An ARES document needs to be created for this internal transfer, with DMO in VISA of the e-Signatory.

¹ ARP: period after closure when the files must be kept at the DG. The number of years is set by the Common Retention List of the Commission. If the file is in NomCom, it can be checked in the File details; otherwise, please contact the DMO

3) Once the files have been appraised, preparation for the transfer consists of two stages:

- a. Preparation of a "complete inventory" of the files to be sent (this list might have been prepared at the moment of closure), with appropriate forms to be found in the EDomec web site:

<https://myintracomm.ec.europa.eu/sg/dm/basics/Pages/preservation.aspx>

It is very important to take the forms from the above page, as there are the only ones accepted:

- i. Basic file list (BFL / Liste de Base – LIB – en français): list of files with all necessary data to identify, manage and consult them. Title should be as complete as possible. **Avoid codes, abbreviations or acronyms in the titles.** See instructions to fill it.

https://myintracomm.ec.europa.eu/sg/dm/basics/Documents/lib_en.xls

- ii. Transmission form (TF / Bordereau de transmission – BdT – en français): this document is the evidence that the transfer has been made (and thus the record of the handing over of responsibility for and material storage of the files by the producing unit to the Historical Archive). This form **must be signed** by the DMO and by the Historical Archives, via ARES (Instructions to prepare the ARES document for a transfer to the Historical Archives).

- b. Numbering **each physical unit** individually and packing files into archive boxes as shown on the basic file list.

4) When the Historical Archives sign the transmission form accepting the transfer, a transfer number is provided by them. This number should be written down on each box to ensure the identification.

5) At the same time, the Historical Archives give a date for the collection of the boxes.

- 6) After the document has been signed and the boxes numbered, please contact the Historical Archives (by e-mail to [REDACTED] – Historical Archives) and inform them about the number and location of the boxes (building, floor, room) so they can collect them.
- 7) After the collection of the boxes, the transfer is finished.
- 8) For questions, help:
 - Contact your DMO/Deputy DMO.
 - Guidelines for the transfer of paper files to the Historical Archives:
http://www.cc.cec/historical_archives/documents/transfer/Guidedetransfert_EN.pdf
 - EDomec web site:
<https://myintracomm.ec.europa.eu/sg/dm/basics/Pages/preservation.aspx>
 - Contact the GBI (REGIO GBI FMB) if you need help to move boxes or files

ELIMINATION OF FILES AND DOCUMENTS - Not sensible

The elimination of records **in accordance with e-Domec rules** involves completely destroying files or certain documents contained within (paper and/or electronic) files in line with regulated procedures of which a permanent record is kept.

The elimination of files involves completely destroying files or certain documents contained on paper and/or electronically. As regards ARES or Adonis, the document metadata remain intact and only attachments are destroyed.

Official files and documents cannot be destroyed without a trace. All procedures for the destruction of files must be correctly documented.

Guidelines:

http://www.cc.cec/historical_archives/documents/transfer/manuel_conservation_FINAL_EN.pdf
EN version - page 17

http://www.cc.cec/historical_archives/documents/transfer/manuel_conservation_FINAL_FR.pdf
FR version - page 17

ARES document

An ARES document should be prepared in order to have all the process documented and keep a trace for the future

- Sent by: Head of Unit of responsible unit for the elimination.
- Sent to:
 - [REDACTED]
 - [REDACTED]
 - [REDACTED]
 - whoever you consider (if any)
- Attachment: Elimination note ([sample for documents](#) –Annex 7 / [sample for files](#)- Annex 6) + [file list](#)

- Minimum **compulsory** workflow in Ares:

RED: person preparing it

VISA: [REDACTED]

SIGN: Head of Unit

EXP: CAD

- Assignment:

CLASS task to ve_regio.dmo

Preparation of documents and files

A secure container will be provided and documents should be thrown there.

Container: contact le chef d'immeuble to get it.

Documents should be thrown **without** boxes, binders, folders, etc.

If there are CDs, DVDs, etc., please place them in a separate bag

If needed, please ask for help to REGIO GBI

Collection of container

Once all the procedure in Ares has been followed, units have to contact the "chef d'immeuble" to organize the collection of the container.

In order to do so, please send an email with the destruction form attached

To: [REDACTED]

CC: REGIO DMO

Please also state clearly **where** the container is placed (building/office).