European Commission

DIGIT

ARES

Administration Manual

Version 5

Ares 2.5

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# TABLE OF CONTENTS

1. **INTRODUCTION** ....................................................................................................... 4

2. **MODIFYING A REGISTERED DOCUMENT** ........................................................... 4

3. **COMMISSION, EEAS, EA AND ALL LEVEL DISTRIBUTION LISTS** ............... 7

4. **"GROUP MANAGEMENT" MENU** ........................................................................ 7

   4.1. **Profiles** ........................................................................................................... 8
   
   4.1.1. Adding a user/group in a profile ................................................................. 10
   4.1.2. Deleting a user/group from a profile ......................................................... 12

   4.2. **Marking groups** .............................................................................................. 13

   4.3. **Virtual Entities** ............................................................................................... 15

   4.4. **Externalisation group (External Repository Services)** .................................. 16

      4.4.1. What is ERS .............................................................................................. 16
      4.4.2. Detailed use of ERS .................................................................................. 17
      4.4.3. Giving access to the functionality ................................................................ 18

5. **"USER MANAGEMENT"** ......................................................................................... 20

   5.1. **User details** .................................................................................................... 20
   5.2. **User changes** .................................................................................................. 22

6. **MARKING OPERATIONS** ..................................................................................... 24

7. **"TASK MANAGER" MENU** .................................................................................... 26

8. **EXTERNAL ENTITIES** ............................................................................................. 28

   8.1. **Définition** ....................................................................................................... 28
   8.2. **Creating a new external entity** ...................................................................... 28
   8.3. **Searching for an external entity** .................................................................. 29
   8.4. **Deleting an external entity** .......................................................................... 31
   8.5. **Modifying an entity** ..................................................................................... 32
   8.6. **Validating an external entity** ...................................................................... 32

9. **REPORTING** ........................................................................................................ 34

   9.1. **Launching a report** ........................................................................................ 35
   9.2. **Reports in details** .......................................................................................... 39
9.2.1. "Administration" reports .......................................................... 39
9.2.2. "Document" reports ................................................................... 41
9.2.3. "Filing" reports .......................................................................... 45
9.2.4. Specific report for PMO .............................................................. 48
9.2.5. CDP reports .............................................................................. 48
9.2.6. CAB reports ............................................................................. 50

10. ANNEXES .......................................................................................... 53
    10.1. List of action codes ....................................................................... 53
    10.2. Description of markings ............................................................. 54
Typographic conventions

Typographical conventions used

<OK>, <Modify>  Names of pushbuttons, radiobuttons, checkboxes or icons

Favourites/Add to favourites  Names of menus, options in drop-down lists

Sheet, Assignment  Names of fields, headings, tab pages, windows or options

The ⚠ symbol indicates a piece of information which is important.

Vocabulary

Click on: pushbutton or icon

Activate: radiobutton

Tick: box

Select: menu option

Press: key

Enter: type on your keyboard
1. **Introduction**

This Administration manual details all the operations that can be performed by users with a DMO and/or CAD profile: groups and users management (modifying a profile, adding users in a marking group, consulting the details of a particular user...), documents management (ex: adding or closing a task in a document...) and reporting.

Please note that options "NomCom Admin" and "NomCom custom (under "Administration" menu) redirect you to NomCom application. Please consult NomCom user guide for detailed explanations.

2. **Modifying a registered document**

DMO and CAD profiles may modify registered documents: they may modify the metadata of the document (title, sender, recipient, comments, etc.) and the attachments.

Each modification will be kept by the system: it is mandatory to write the justification of the modification, time and date of the change. The login of the user that did the modify special appears on the document. You can also decide to notify the recipients of the document when a registered document is modified (ex: title, attachments…) through "modify special".

**Method**

1. Open the details of the document you would like to modify.

2. Click on the button "modify special"

⚠️ The button is only available if the person who registered the document belongs to your DG.

3. Type the justification of the modification (you may type up to 180 caracters in that field):
(4) If you want to warn the recipient(s) of the document that a change has been done on the document, tick <Notify the recipients of the modifications>.

(5) Perform the necessary modifications.

(6) Click on <Confirm modifications>.

(7) If you have decided to warn the recipient(s), choose the persons to inform (they are all checked by default but you can untick one or several names)

(8) Modifications are registered. The justification may be seen in the comments' field.
A new notification is sent to the concerned persons (in their "Received documents" inbox) The title of the document is preceded by "Modified Document":

**Note au dossier**

**Modified document! Nouvelle procédure de gestion administrative**
3. **COMMISSION, EEAS, EA AND ALL LEVEL DISTRIBUTION LISTS**

It is now possible to create distribution lists shared by all services. Several visibility levels are available: "Commission", "EEAS", "Executive Agencies (EA)" and "All" (list visible to hermes_group i.e. Commission, EEAS and EA).

Users with DMO¹ and CAD profiles can create distribution lists for their service and for "all". (For example EEAS DMO is able to create a distribution list with "EEAS" or "All" level).

They can also modify and delete distribution lists created by their own service.

**Notes**

- The lists have to be created and updated by the DMO / CAD of the service responsible for the same list in OUTLOOK. The DMO has to establish an internal system for receiving information on the update of the list.

- This new feature must not be used for the creation of lists shared only by certain DGs / services or lists destined for mass distribution. USM will delete such lists upon detection. (detailed business rules can be found in document Ares(2011)1049124).

4. **GROUP MANAGEMENT** menu

The following roles have been defined for central administration in Hermes. Operations with role-based authorisations are defined in the Administration module by one or more users who themselves have the role "supermanager". (This role also allows them to manage "DMO" profiles in the DGs).

It will be possible to allocate more than one role to a user².

---

¹ USM profile can also create/delete/modify "Commission/EEAS/EA/ALL" distribution lists.

<table>
<thead>
<tr>
<th>Role</th>
<th>Function/Task</th>
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</thead>
<tbody>
<tr>
<td>Hs_supermanager</td>
<td>Manages roles at central level and allocates &quot;DMO&quot; roles to persons designated in each DG by their Director-General</td>
</tr>
<tr>
<td>Nomcommanager</td>
<td>Manages headings in the filing plan</td>
</tr>
</tbody>
</table>

Each DG defines roles for local administration in Hermes. Users with a "DMO" (or a "CAD") profile manage these roles in his/her DG (the user with this role is authorised to add or delete users with various roles):

4.1. Profiles

Given that Ares proposes a large number of functionalities, you are advised to work with profiles.

A profile is a collection of users and/or groups.
A profile groups together one or more roles: by allocating a profile to a user (or to a group) you give that user authorisation to perform certain actions and operations in Ares.

Every user can be a member of one of the profiles.
Profiles are managed locally (at DG level) by the person with the role "DMO" (or "CAD"). This person adds and deletes users/groups in the various profiles.

⚠️ If a user connect to a virtual entity, the profile of the virtual entity may be different from his own profile.

At DG level, it will not be possible to personalise the authorisations (roles) allocated to the profiles. Only the central administration team will be allowed to modify the contents of profiles (such as adding or deleting roles). Changes like these will be made when users require them.

Please find below a summary of all profiles:
The DMO manages all profiles above, i.e., he assigns the profiles to the users.

The System Administrator manages the DMO profile.

**Note:**

⚠️ The security of Ares is not linked to the profiles, only to the roles defined in the document and the files. That is, the profiles define what operations a user can do on the documents to which he has the access that the security (Nomcom roles) establishes.

EXAMPLE: The "correspondent DMO" normally has the profile "Advanced Secretary" and is defined, by default, as "file creator" (nc_dg_fc) for all the headings of his service and "File Editor" of the files under those headings.
4.1.1. Adding a user/group in a profile

**Context**
You can allocate a profile role to a user or to a group/virtual entity. Of course, you must have the appropriate profile for performing these actions ("DMO" or "CAD"). This is done from the menu "Administration", "profiles":

![Profile Allocation Menu](image)

If you select a profile on the left, its properties are displayed on the right (for visualization, modification).

![Profile Properties](image)

1. Click on "Profiles management" under "Administration/User management" module.
(2) Available profiles are displayed.

(3) Click the profile you would like to assign.

(4) Members of this profile are displayed on the right.

(5) Click <Add member>

You may may add a user or a group. Select it from the drop-down list then type the first letters of the entity you are looking for.

(6) Select the name from the autocomplete:

(7) If you want to add other people/groups, re do the operation. If not, click <ok> to confirm.
(8) The user is automatically added to the corresponding profile.

4.1.2. Deleting a user/group from a profile

(1) Click on "Profiles management".

(2) Select the profile you would like to modify.

(3) Tick the person(s)/group(s) to delete from the profile:

(4) Click <Delete member>.

(5) Confirm.

Notes

• You may directly search for a member: type the first letters (or the complete name) and click <Search>:  

![Add members - Windows Internet Explorer](image)

![Message from webpage](image)
• You may sort the names of members and profiles by alphabetical order:

You may export elements in Excel.

4.2. Marking groups

Context
DMO and USM profiles can now consult and manage (i.e. add and/or delete) members from marking groups ("to read" and "to apply" marking groups). Users with a DMO profile can manage members from their own service. Please note that the markings themselves cannot be managed. In other words, it is not possible to create, update or delete markings.

(1) Under "Administration" menu, click on "Group management"/"Marking groups":

(2) Choose the type of marking group you would like to consult/modify:
– click on "Apply" if you want to see/modify the persons who have the right to apply this marking on a document;

– click on "Read" if you want to see/modify the persons who have the right to read documents with this marking.

(3) To add a member, press <Add members> and search for his/her name. To delete a user, tick the check box next to the concerned name and press <Delete members>3.

3 Multiple selection is possible.
You may filter by service and navigate through the pages. You may also export the members of a particular marking in an Excel file:

These operations are traced in the Audit Trail.

4.3. Virtual Entities

A virtual entity is a fictional entity that brings together users and/or groups under an identical name. Virtual entities are the equivalent of the Outlook functional mailboxes (e.g. SG-Domec) and Commission departments (e.g. DIGIT-B-4). These entities are considered to be internal entities.

In Ares, only the term 'virtual entity' will be used.

⚠️ You create virtual entities manually in the application.

A virtual entity may contain several named persons (users) or groups. A 'profile' is assigned to a virtual entity (same behaviour as for a user). Users in the same virtual entity can belong to the same structure (e.g. the same Unit) or to different structures (e.g. a virtual entity for DMOs). The same person can belong to more than one virtual entity.

⚠️ Virtual entities in Ares automatically appear in the form 've_DG_name' (e.g. 've_markt.cad').

Virtual entities have several uses. First of all, they enable you to manage a function (e.g. 'DMO EEAS') or to group together the various 'hats' that a person wears at work (e.g. a person 'acting' in a position such as Head of Unit).

You can use a virtual entity as an actor in a workflow (Assignment or e-Signatory).

For example, you can create a virtual entity called 've_markt. cad' for a DG and assign it a task.

This virtual entity will be managed in exactly the same way as other internal entities.

You can also adopt the role of a virtual entity to perform tasks such as creating documents, creating assignments and consulting the Tasks menu to process tasks.

⚠️ When you perform tasks as a virtual entity, you are logged on with your own user name and password. Consequently, you keep your own identity even if you are acting...
as a virtual entity. But the profile of the virtual entity (and the actions you may perform) may be different from your own profile.

Notes

• Virtual entities management is done under Virtual entity under Administration menu.

• For further details about the virtual entities management, please read "Ares user guide".

4.4. Externalisation group (External Repository Services)

From this menu, users with a DMO profil can give access to externalisation functionality (copy to external) to the users of their DG.

4.4.1. What is ERS

The first ERS release sets up an external repository and a set of services to make Hermes documents available outside the Commission (ex: to the public, to restricted audiences…) via portals.

A new screen allows managing the copy to external of the (accessible to restricted users and to users with a DMO profile):

If you want more information on how to apply the externalisation on a document, please consult Ares user guide.
Ares "Document" and "search" screens have been updated accordingly to show the new information about the copy to the external ("externalisation"):

The search and consultation of these documents will be available soon through some client applications like Sygma, DocsRoom, Carol…

4.4.2. Detailed use of ERS

- **What is the document copy to the external (externalisation)?**

For each document, a set of metadata and attachment(s) are copied to the external ("externalised"). The copy to external of a Hermes document attachment(s) includes the last version of the native content, the associated translations and the PDF rendering\(^5\) (if the native format is supported for the rendering).

- **⚠️ Constraints for the copy to external**

A document may be copied to external only when it is filed AND saved or registered in Hermes. Documents with a marking and/or encrypted documents cannot be copied to external. Only the last version of an attachment can be copied.

- **How can you copy to external a document through Ares?**

Only authorized users and users with a DMO profile have access to the externalisation buttons.

You can choose to copy to external all document attachments or just some of them. Each content of an attachment has its own "externalisation" status (Y/N) to help you determine which content is copied or which was added after the copy.

---

\(^5\) The PDF rendering is an asynchronous process. The system will automatically add the PDF content as soon as the rendering is completed.
After the copy, the documents in the External Repository are not directly available to the outside. It is up to the client application, accessible to the external users, to disclose (or not) these documents and their associated metadata to the outside.

As described below, few Ares tabs and screens (ex: "Document" and "Search") have been modified to allow and display this copy to external:

4.4.3. Giving access to the functionality

(1) Go to "Administration" menu, "Group management/Externalisation Ggoup"

![Administration menu screenshot]

(2) The list of users from your DG that can copy to external is displayed:

![Externalisation group management screenshot]

(3) Click <Add members> to add one or several users:

![Add members screenshot]

– Choose "user" ou "group" (an administrative entity)
– Type the name
– Confirm clicking <OK>

**Notes**

To delete one or several users, tick them then click <Delete members>:

![Image](image_url)

icon : export the list of users in Excel.
5. "USER MANAGEMENT"

5.1. User details

Context
This tool shows you all the details attached to a specific user in your DG: his service, unit…but also if he belongs to an Ares distribution list or if his service has changed. That could be useful if a user is on holiday or works for a different service.

Method
(1) Click on User details in Administration menu.

(2) First you need to select the user you need the details from:
(3) Type the first letters of the name through auto-complete.

(4) Select the name from the list. The system will automatically validate the name (a green arrow appears next to the name) and will fill the login of the person below:

![Information concerning the user](image)

(5) Tick or untick the cases you don't need:

- "User Information": gives you the full name of the user, his first name, his service, login, email, DG, direction and unit
- "Groups": gives you all the groups whom the user belongs to (nomcom groups, DG groups and son on)
- "Distribution lists": gives you all the distribution lists to which the user belongs to. You have several information: the name of the list, its creation date, the name of the owner of the list and the type of list.
- "Workflow templates": lists all the workflow templates to which the user belongs to. You can see the name of the list, its creation date, its owner and its template.
- "Tasks": lists all the tasks opened (not finished) of that user. You can see the type of task (assignment or e-signatory), the action code, the status (active, launched), the person who sent the task, the reception date of the task, the title of the document, the save and/or registered number of the document.
- "Files where the user is an editor, a reader or a user": you see the file code and the specific code, the title of the file in english and/or french
- "Headings where the user is either an editor, a reader or a file creator": you see the heading code, the service owner, and the title of the heading in english and/or french.

(4) Click on <Search>.
Notes

- It is possible to export the results in Excel clicking on its icon.
- The two last criteria may need a few minutes to update.

5.2. User changes

Context
That tool enables you to see all the changes in your DG: for example, the arrivals and departures inside your DG, the changes of service or unit, etc.

Method
(1) Click on User changes, in the Administration menu.

(2) You can specify a period in the field "from" and "to": either you type manually the dates or you use the calendar.

![User changes within your DG](image)
(3) Click on <Search> to validate. You then obtain the list of all the changes in your DG:

![List of changes](image)

**Remarques**

- It is possible to export the results in Excel with the icon: ![Excel icon]

- You can navigate among the different pages, either using the arrows ![Page navigation arrows], or clicking directly on the desired page: ![Page number selection]. You can also choose the number of elements to see per page: you can either type directly the chosen number (by default it is 15) or click on vous pouvez taper directement le numéro désiré (par défaut cela sera 15) ou cliquer sur "show all".

- You can sort the columns clicking on ![Sort icon].
6. **MARKING OPERATIONS**

**Context**
DMO may modify in batch documents where the services should be changed for "Limited group" marking. This is useful after a re-organisation for example when services have been renamed.

**Method**

1. Under "**Administration**" menu, click "**Marking operations**":

2. Under "old value" field, type the previous name of the service.

3. Click on <Search> to know the number of impacted documents.

4. Type under "New value" the new service term:

5. Click on <Replace>.
(6) The results are confirmed. You can export them in Excel clicking on <Report>: 

![Image of document operations interface with metadata to be modified set to "Marking - Limited Group", old value as "DIGIT.B", search result showing 1 document(s) found, new value as "DIGIT.C", and replace action indicating 1 document(s) replaced]
7. "TASK MANAGER" MENU

Context
That tool gives you the possibility to add or close automatically a task in a document. You can also modify the e-signatory manager. That can be useful when for example a user has left the DG and a document is blocked; or when an e-signatory manager is gone.

That tool is available for the persons with the profile "DMO".

Method
(1) Click on Task manager on the menu Administration.

(2) Then you must type the complete save number of the document. For example: digit.b.1(2010)45692.
(3) Then type the login of the user that is concerned by those actions. For example, the login of the person that should receive the assignment task, or the login of the person for whom all tasks on this document should be closed, or the login of the person that will become the new e-signatory manager on the document.

(4) Choose the option you are interested in:
   (a) "Add an attribution task"
   (b) "Close all tasks for this user in this document"
   (c) "Change the manager for the esignatory workflow of this document"

(5) You may type comments or instructions.

(6) Click on <Confirm>

(7) An information message tells you if the operation succeeded or not.

**Note**

It is no longer possible to add a task on a document with a marking or a document with "RESTREINT UE" classification through "task manager" or to add a new e-signatory manager. (It is still possible to close all tasks on the document for a specific user).
8. **EXTERNAL ENTITIES**

8.1. **Définition**

Users with DMO or CAD profile may create, modify and/or delete external entities. External entities status should be **level 1 or level 2**. The latter must have been created by a user from the DMO/CAD DG.

**For further information about the creation of an external entity, please check Ares user guide.**

⚠️ Deletion and modification have an impact on the sole **current database**: i.e. the entities will no longer be available from the autocomplete but no documents will be modified.

Creating and searching for external entity (person and/or organisation) can be done when creating a new document ("Document/ add new") or from the menu "Administration/ external entities".

8.2. **Creating a new external entity**
Some non-essential fields such as "address", "telephone", "fax", "postal box" and "postal code" have been removed. A new field "comment" is available. The system now checks the email format in the corresponding field. A message is displayed if it is not correct.

If you need to create a new person that should be linked to a new organisation, please search for the organisation using the magnifying glass button. If it does not exist, you can create it through <Add a new organisation> button (see details below).

"SANS ORGANISME" label is no longer displayed. The field is now empty if the person is not linked to an organisation:

If you have CAD or DMO profile, you can directly validate the newly created entity, by pressing the <Save and validate> button.

8.3. Searching for an external entity

Entities can be searched via the "Documents/ add new" screen (same behaviour as the previous Ares release) or via the "Administration" menu.

To search for an entity, click on "Administration/ External entities/ Search, management and validation":

– Select the type of entity needed (<organisation> or <person>) and the level of validation. When choosing "persons", you can filter persons linked or not to an organisation.

6 Removed data have been copied automatically in the new "comment" field.
– Fill the criteria needed for your search (at least one) and press <Search>:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th>Organisation</th>
<th>Person</th>
<th>Validation</th>
<th>Not validated (level 1)</th>
<th>Validated DG (level 2)</th>
<th>Validated EC (level 3)</th>
<th>All</th>
</tr>
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<tbody>
<tr>
<td>Name</td>
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<tr>
<td>Limit search to my DG</td>
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Search criteria

– Corresponding results are displayed:

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</table>

– Click on the entity's name or on button to see its details.

**Notes**

- : validate the entity. : display its details, : delete the entity.

- You can see all the level 1 external entities (persons and organisations) created by any Ares user, even the entities created by a user from another DG. This should avoid the creation of duplicates. Results are limited by default to the entities created in your DG. If you want to see all entities, untick <Limit search to my DG>.

- A search for external entities is now case and diacritic signs insensitive: if you search for "u", the system will also look for "û" and "ü".

- You can export the search results by clicking on the icon.

- Under "Administration" menu, "Validated DG (level 2)" is ticked by default when launching a search for organisations or persons. You can however untick it if necessary.

- Auto-complete display ("starts with" field) has been revamped (creation DG, current validation level...):
8.4. Deleting an external entity

- First search for it (see search details above)
- tick it
- press <Delete selected organisation(s)> then <Confirm>.

You can then tick several entities at the same time to do a multiple deletion with <Delete selected organisation(s>). Alternative (for a single entity): click button next to the entity to delete:
8.5. Modifying an entity

- click on its name to display its details
- perform the necessary changes
- press <Save>. Alternative: click button on the search results screen:

![Organisation](image)

8.6. Validating an external entity

The authorised person (ie with the role "DMO" or "CAD" profile) will be able to validate and define display settings for the external entity you have just created.

- You can validate the entity by pressing the <Save and validate> button in the screen showed above (if you want to save AND validate in one action) to put the entity to the next upper level (1 to 2). If you are doing a search, you can also click button.

- You can also select several entities in the search results: select then and click <Validate selected organisation(s)>.

![Organisation search result](image)

Notes

- When modifying or validating an entity, the list of linked documents (i.e. documents where the concerned entity is involved) is displayed. Please note that, even if you have no authorized access to the documents, a few document metadata are now visible. These metadata are identical to the reports "Registered documents, created by my service/ addressed to my
• A message is displayed if the organisation you want to delete is linked to at least one person. You can either delete it anyway or modify the person's organisation:
9. REPORTING

Context
Reports are available to users with a DMO profile (exception: the report "Documents created by my service, not registered, not filed" that is available to all users.)

Some changes have been recently done on Ares (and NomCom) report. A particular effort was made on reports performance and data quality. They have all been reviewed and adapted (modification and removal of columns…). They all have also been harmonized across Ares and NomCom applications (matching labels and criteria, consistency…). It is now possible to compare reports results as the criteria displayed in each report are coherent throughout both applications (ex: the criteria "not filed in my DG" bears the same definition in all reports).

The titles of some reports were changed. They are now all asynchronous, under one single entry in the menu7 (reports are sorted by "type").

7 "Synthesis" report is no longer available
A short description of each report is offered below the corresponding criteria and in the Excel cover sheet:

For reports where a time interval is necessary, a period of 3 months is proposed by default. You may of course modify it. Be careful: the bigger the period is, the longest the generation of the report will be.

In all reports where you can choose a specific service, you can include the sub-services, ticking the corresponding (it is ticked by default). For example, if I choose "sg.r" and I tick it, I will get results including "sg.r" but also all its sub-sectors: "sg.r1, sg.r2, sg.r3, sg.r.1.001, etc."

You do not need to wait and work in the Reports window during the reports' processing. Feel free to navigate in Ares and click on Reports to display the report you need.

Reports propose data based on the previous day: i.e. if a document was created on Monday, if you want it in a report, you must launch a report from Tuesday at the earliest.

9.1. Launching a report

Method
(1) In Ares navigation menu, click **Reports**.
(2) Select the report you want from the list:

(3) Fill the necessary criteria. In all reports where a time interval is necessary, an interval of 3 months is selected by default by the system, ending with today's date. It is modifiable with the calendar if necessary:

(4) Click <Submit> button.

(5) The report will be displayed at the right of the screen. Several report statuses are available: "finished" (the report was generated properly, and is available in Excel format), "finished with limitation" (the report was generated but size/time limitations
prevent the report from being complete. An explicative warning is also displayed in the cover page) and "error" (impossible to generate the report)

(6) When the report is done, click icon to open the report. icon: the report is being generated, please wait. You can refresh the screen with <Refresh> button at the top of the page.

**Notes**

- The cover page of the report displays the ID of the report, request date, report name and chosen parameters.

- When an Excel output is empty (ex: because there is no data or when no corresponding document/entity is found...), a warning is displayed in the cover page of the Excel output "**No data found matching your criteria**":

- All reports are automatically deleted 6 months after their submission date. You can manually delete a report at any time clicking <Delete> button:

- Excel reports: hyperlinks directly pointing to the documents are available in the column showing a document's "save number". (If the report displays both "registration" and "save" numbers, the hyperlink is also on the save number).

- If the DMO does not have the right to access a document (ex: it bears a marking and the DMO does not belong to the authorised marking groups), a star * is displayed instead of the title of
The following reports take into account the special situation of shared DGs:

**Documents**: "registered documents addressed to my service", "documents created by my service", "tasks & deadlines assigned to my service".

**Filing**: "registered documents addressed to my service, not filed" and "documents registered by my service, not filed": in those two reports, if a document is already filed by one of the shared DGs, it will not be considered as "not filed" for the other DG.

### 9.2. Reports in details

#### 9.2.1. "Administration" reports

- **Documents registered by my service with PDF/OCR errors**

This report shows the list of documents created in your DG whose attachments have not been converted in PDF/OCR (the saved and frozen documents are also taken into account): the Excel report displays documents details, conversion date and a description of the error encountered. The column "Possible action" offers you advice in order to convert the attachment in PDF: removing the macros, modifying the file format to make it compatible with the rendition, and so on:

- **Failed external transmissions of my DG**

It lists all the documents created in your DG that have not been sent or that have not been received by an external recipient or by a user with a profile "no Ares access". The reasons may be multiple: the recipient's mailbox is full, the document attachments exceed the size supported by the quotas of the recipient e-mail provider, the external recipient e-mail address is not valid or does not exist or any other technical issue (network, server, router...) that occurred after the e-mail was sent by the outgoing server.
Please modify if necessary the time range, select a type of recipients and click <Submit>:

By default, the results are sorted by transmission date from the oldest (top) to the most recent (bottom).

- **List of external entities of my service**

This report gives the DMO the possibility to list external entities (persons and organisations) level 1 (entities created in your DG) and/or level 2 (entities validated in your DG), within a given date range. You can also identify those external entities not used in a document if you tick <Only external entities not linked to any document>.

Please tick the current validation level(s) of the entities you wish to extract. You may specify date range(s):

The report lists the external entities and their details (e-mail address, internet address...), the entity creator, and if applicable, the validator(s) and the person who may have modified the entity.

- **Members of marking groups used by my service**
It shows the configuration of all the markings of a given DG. The report displays the members (users/group) of the marking groups who can apply and/or who can see documents marked with those markings. Please note that inactive users are not taken into account in the report.

- **Users by profile**

Offers a view of all users of your DG for each profile or for all profiles (including "base" profile). Only active users are taken into account. You can also filter by service and/or sub-service. For example, if you choose "DIGIT.B" and tick <Include sub-services>, users from sub-sectors such as "DIGIT.B1, DIGIT.B.2..." are also displayed.

- **Users by virtual entity**

Lists all the virtual entities of your DG and their members (Only shows active users).

- **Virtual entities in my service**

Lists all the virtual entities of your DG.

9.2.2. "Document" reports

- **Documents created by my service**
Displays all documents whose save number corresponds to a service of your DG: document can be registered or only saved. Documents created through "manual registration" in Areslook are also in the report.

"DG/Service" filter: corresponds to the administrative entity of the creator of the documents. You can either choose a specific service or sub-service (ex. DIGIT.B.1) or the complete DG.

Note: only the last filing task ("class" code) will be displayed in this report when there is more than one filing task for a given document; documents marked as “not to be filed” are not considered in this report.

- **Documents created by my service, not registered not filed**

You can see the documents that shall be deleted in the coming days/months. As saved unfiled documents are automatically deleted approximately 6 months after their creation, you can anticipate the deletion (the system generates the actual deletion 4 times a year - 1 March, 1 June, 1 September and 1 December - so it could take slightly more than 6 months).

A new column has been added for this purpose: "Scheduled deletion date" specifying the exact date of deletion. This report is available to all users, but only the DMO has access to all the documents; all other profiles only see the documents from their service they have access to.

Please note that "Docs to be deleted" menu was eliminated as its data are now available in this report.

- **Documents created by my service via Areslook**

This report displays all documents which were created by the users of your service and registered by Areslook, during a selected period. It does not take into account the documents saved/registered by using the option "Manual registration" available for any e-mails when clicking on the AresLook button and any "e-mail" documents created through another application than AresLook.

You must specify a date range ("from"…"to"). (By default, the system will provide a period of three months ending at the current date).
You may restrict the selection to a specific service (sector) (choose the service concerned from the drop-down list) or see the whole DG:

- **Documents registered by my service with a marking due to expire**

- **Documents registered by my service with an encryption due to expire**
• **Registered documents addressed to my service**

The report lists the documents created by another DG, where at least one user of your DG (or a service of your DG) is among the recipients. Possibility to filter by sectors.

![Registered documents addressed to my service]

• **Tasks & deadlines assigned to my service**

It gives you the list of tasks (assignments and e-signatories) assigned to the users of your DG, with or without deadlines. Please choose the task(s) code(s) required and the task(s) status. You must change an "assigned date". "Deadline" field is optional. You can filter by
service (sector) in "Assigned to my DG/service" criteria:

9.2.3. "Filing" reports

- Documents in "not to be filed" folder of my service

Lists the number of documents where the button “not to be filed” has been selected by a user of the DG. The full name and service of the person who clicked "Not to be filed" are clearly
• Documents not registered, filed in my service

Shows the list of saved documents filed in a service, whose lead department is a service from your DG. Tick <created by my DG/Service> if you want to display only the documents created by a user of your DG (i.e. whose save number is a service of your DG).

• Documents registered by my service, not filed

Displays the documents registered by a user from your DG. Please note that only the last filing task (“class” code) will be displayed in this report when there is more than one filing task for a
Documents registered by my service, not filed

Table:

<table>
<thead>
<tr>
<th>Registration date</th>
</tr>
</thead>
<tbody>
<tr>
<td>between 02/07/2013 and 02/10/2013</td>
</tr>
</tbody>
</table>

Registered documents addressed to my service, not filed

The report lists the documents where at least one user of the DG is among the recipients. Tasks given on the corresponding documents are also displayed. They are ranked in this order: 1) CLASS, 2) CF, 3) OTHER, 4) NONE. "OTHER" code means a task with "INFO" or "CONTRIB" has been given (in your DG); "NONE" code means no assignment task has been given to a user of your DG.

The column "Y" (yes) is sorted based on recipients: "TO", then "CC".

Y/N columns: "Y" means the corresponding task is the main task in the document; "N" means it is not.
9.2.4. **Specific report for PMO**

- **Documents not filed into a beneficiary file (only for PMO)**

  The objective of this report is to identify documents regarding beneficiaries, filed in normal files (under "métiers" heading) AND not filed in the "beneficiary" file (under "bénéficiaires" heading). Documents concerned by this report are documents where the selected marking requires a "Person concerned".

  (In the report, if no beneficiary has been found for the document, the beneficiary name and its organisation will be replaced by the text: "UNDETERMINATE").

9.2.5. **CDP reports**

The SG's CDP team needs to assess the quality of the "Courrier du président" process throughout the DGs. Therefore, three reports are available (only available to Cdp team or DMO):

- **CdP statistics**
  - for DMO: provides the DMOs with the total of documents by each procedure type by service/sub-service (only for the DG of the DMO).
– for CdP team: a global report for each procedure type by service (one line per DG)

If you want a global report (i.e. not linked to a DG in particular), please tick <Globalize>.

- **CDP procedures statistics (ASOC)**

Identical to the statistics report, but reports only ASOC tasks in order to make an evaluation of work in associated DGs.

If you want a global report (i.e. not linked to a DG in particular), please tick <Globalize>.

- **CdP follow-up**

Displays all documents where a specific CdP procedure has been applied (please type the procedure in the corresponding field)- one line per procedure.
You must specify a registration time interval.

9.2.6. **CAB reports**

This procedure shows the specific workflow that should be followed between the cabinets and the DGs for a document. It is managed like the CdP procedure.

**List of available CAB procedures:**

<table>
<thead>
<tr>
<th>Procedure Value</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAB:Note 1 MCM</td>
<td>Project of response provided by the DG and signature by the Cabinet</td>
</tr>
<tr>
<td>CAB:Note 1 MCM Relex</td>
<td>Indicates the launch of an MCM query among ALL Commissioners</td>
</tr>
<tr>
<td>CAB:Note 2 MCM</td>
<td>Elements of responses provided by the DG and signature by the Cabinet</td>
</tr>
<tr>
<td>CAB:Note 2 MCM Relex</td>
<td>Indicates the launch of an MCM query among the RELEX group of Commissioners</td>
</tr>
<tr>
<td>CAB:Note 3 MCM</td>
<td>Appropriate follow-up by the DG</td>
</tr>
<tr>
<td>CAB:Note 3 MCM Relex</td>
<td>Indicates the launch of an MCM query among ALL Commissioners</td>
</tr>
<tr>
<td>CAB:Note 4 MCM</td>
<td>Signed by the DG responsible person</td>
</tr>
<tr>
<td>CAB:Note 4 MCM Relex</td>
<td>Indicates the launch of an MCM query among the RELEX group of Commissioners</td>
</tr>
<tr>
<td>CAB:Note 5 MCM</td>
<td>Note sent for information</td>
</tr>
<tr>
<td>CAB:Note 5 MCM Relex</td>
<td>Indicates the launch of an MCM query among ALL Commissioners</td>
</tr>
<tr>
<td>CAB:Note 6 MCM</td>
<td>Project of response and signature by the Cabinet</td>
</tr>
<tr>
<td>CAB:Note 6 MCM Relex</td>
<td>Indicates the launch of an MCM query among the RELEX group of Commissioners</td>
</tr>
<tr>
<td>CAB:Note 7 MCM</td>
<td>Letters of based on own initiative/spontaneous departures.</td>
</tr>
<tr>
<td>CAB:Note 7 MCM Relex</td>
<td>Indicates the launch of an MCM query among the RELEX group of Commissioners</td>
</tr>
<tr>
<td>CAB:PTR</td>
<td>Patronage</td>
</tr>
<tr>
<td>CAB:PTI</td>
<td>Petition</td>
</tr>
</tbody>
</table>
• **CAB procedures follow-up**

This report provides the list of all documents tagged with the CAB procedure. For each document, it gives a snapshot of the current status of the procedure (incoming document and linked reply). A few filters are available: each cabinet can follow the documents they have attributed to services/DGs and each service / DG the documents they were attributed:

![CAB procedures follow-up interface](image)

• **CAB procedures statistics**

This report provides the amount of notes by procedure type for your service (or for the whole DG if you have a DMO profile) for a specific period of time:

![CAB procedures statistics interface](image)
Tips: "Deadline date" is the date of the last CF task of the incoming document. In the Excel output, a note is "replied" when the response document is registered. A note is "Late replied" when the registration date of the response document is after the deadline date. A "Not replied Note" is when the response document is not registered. A note is "on time" when the registration date of the response document is before or equal to the deadline date.
10. ANNEXES

10.1. List of action codes

### ASSIGNMENT (assignment specific codes)

<table>
<thead>
<tr>
<th>CODE</th>
<th>Libellé</th>
</tr>
</thead>
<tbody>
<tr>
<td>CF</td>
<td>Chef de file / Lead department</td>
</tr>
<tr>
<td>ASOC</td>
<td>Service associé / Associated Service</td>
</tr>
<tr>
<td>INFO</td>
<td>Pour information / For information</td>
</tr>
<tr>
<td>CLASS</td>
<td>Pour classement / For filing</td>
</tr>
</tbody>
</table>

### E-SIGNATORY (E-signatory specific action codes)

<table>
<thead>
<tr>
<th>CODE</th>
<th>Libellé</th>
</tr>
</thead>
<tbody>
<tr>
<td>RED</td>
<td>Rédacteur du texte / Writer of the text</td>
</tr>
<tr>
<td>CONTRIB</td>
<td>Pour contribution au texte / For contribution to the text</td>
</tr>
<tr>
<td>VISA</td>
<td>Pour visa ou paraphe / For visa or initials</td>
</tr>
<tr>
<td>SIGN</td>
<td>Pour signature / For signature</td>
</tr>
<tr>
<td>EXP</td>
<td>Pour expédition et enregistrement / For dispatch and registration</td>
</tr>
</tbody>
</table>
10.2. Description of markings

The markings are those defined by the Security Directorate (Security Notice 01).³

<table>
<thead>
<tr>
<th><strong>Commission interne</strong></th>
<th>Information of a sensitive nature which is limited to use within the Commission (not to be sent to EEAS nor to the Executive Agencies)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Apply</strong></td>
<td><strong>Read</strong></td>
</tr>
<tr>
<td>Who can apply?</td>
<td>Must be managed by the DMO?</td>
</tr>
<tr>
<td>Commission</td>
<td>NO</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Limité</strong></th>
<th>Information which is sensitive and limited for use within the European Union institutions, other offices and agencies established by virtue or on the basis of the Treaties, EU Member States and public administrations. This marking doesn't restrict the visibility of the document.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Apply</strong></td>
<td><strong>Read</strong></td>
</tr>
<tr>
<td>Who can apply?</td>
<td></td>
</tr>
<tr>
<td>Commission, agencies, EEAS</td>
<td>NO</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Limited ETS Joint Procurement</strong></th>
<th>Marking to be applied to all documents handled in the context of the implementation of the auctioning of emission allowances under the Emission Trading System Directive in accordance with the Joint Procurement Agreements to procure Common Auction Platforms or to procure an Auction Monitor, whenever such documents contain information covered by the obligation of professional secrecy within the meaning of Article 339 of the Treaty on the Functioning of the European Union. Users must encrypt these documents; access to attachments from delegates and virtual entities is restricted.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Apply</strong></td>
<td><strong>Read</strong></td>
</tr>
<tr>
<td>Who can apply?</td>
<td>Must be managed by the DMO?</td>
</tr>
<tr>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
</tr>
</tbody>
</table>

*The virtual entities and delegates can access the document, but not the attachment. They can only see the attachment by assigning them a task (eg. INFO).

<table>
<thead>
<tr>
<th><strong>Limité Groupe</strong></th>
<th>Only for use within the nominated Service/Unit/Group (only the users of the nominated group may read documents with this marking).</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Apply</strong></td>
<td><strong>Read</strong></td>
</tr>
<tr>
<td>Who can apply?</td>
<td>Must be managed by the DMO?</td>
</tr>
<tr>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
</tr>
</tbody>
</table>

## Secret Medical Medical Secret

Only to be used by the Medical Services (HR), the joint sickness insurance service (PMO) and the EEAS to authorise producers, distribution and archiving.

<table>
<thead>
<tr>
<th>Apply</th>
<th>Read</th>
<th>Delegates/VE access restricted</th>
<th>Reply allowed</th>
<th>Attachments</th>
<th>Expiry date</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who can apply?</td>
<td>Manageable by the DMQ?</td>
<td>Who can read?</td>
<td>Manageable by the DMQ?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Only HR, PMO, agencies, EEAS</td>
<td>Yes</td>
<td>Only HR, PMO, agencies, EEAS</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

## Affaire du personnel Staff Matter

To be used only for documents related to staff matters and managed by staff of personnel departments (HR and resources unit of the DG in question) and management concerned.

<table>
<thead>
<tr>
<th>Apply</th>
<th>Read</th>
<th>Delegates/VE access restricted</th>
<th>Reply allowed</th>
<th>Attachments</th>
<th>Expiry date</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who can apply?</td>
<td>Manageable by the DMQ?</td>
<td>Who can read?</td>
<td>Manageable by the DMQ?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

## Données à caractère personnel Personal data

Shall be applied to documents containing personal data that shall only be communicated on a need to know basis pursuant to Regulation (EC) No 45/2001 and that do not fall under the scope of another approved marking (this marking doesn’t restrict the visibility of the document).

<table>
<thead>
<tr>
<th>Apply</th>
<th>Read</th>
<th>Delegates/VE access restricted</th>
<th>Reply allowed</th>
<th>Attachments</th>
<th>Expiry date</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who can apply?</td>
<td>Manageable by the DMQ?</td>
<td>Who can read?</td>
<td>Manageable by the DMQ?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commission, agencies, EEAS</td>
<td>NO</td>
<td>Commission, agencies, EEAS</td>
<td>NO</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>
### Strictement personnel

**Personal**  

Marking used to indicate that the document should only be opened by the addressee(s) (only the stakeholders of the document (creator, sender(s), recipient(s) and assignment and e-signatory actors) have read access).

<table>
<thead>
<tr>
<th>Apply</th>
<th>Read</th>
<th>Delegates/VE access restricted</th>
<th>Reply allowed</th>
<th>Attachments</th>
<th>Expiry date</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who can apply?</td>
<td>Manageable by the DMO?</td>
<td>Manageable by the DMO?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Commission, agencies, EEAS | NO | NO | No | Yes | Yes | Yes | Documents très sensibles pour lesquels il n’y a pas d’autre marking disponible et dont faciles doit être restreint aux seules parties prenantes pendant une période limitée.  
Timbre le plus restrictif.  
A utiliser avec une date d’expiration. |

### Embargo jusqu’à

**Embargo until**  

Marking used to indicate date/time before which a document may not be published. This marking doesn’t restrict the visibility of the document.

<table>
<thead>
<tr>
<th>Apply</th>
<th>Read</th>
<th>Delegates/VE access restricted</th>
<th>Reply allowed</th>
<th>Attachments</th>
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<th>Example</th>
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</thead>
<tbody>
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<td>Manageable by the DMO?</td>
<td>Manageable by the DMO?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
<td>NO</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

### Enquêtes et affaires disciplinaires

**Investigations and disciplinary matters**  

For data linked to the administrative investigations of IDOC and to related questions treated by the relevant services of the SG.

<table>
<thead>
<tr>
<th>Apply</th>
<th>Read</th>
<th>Delegates/VE access restricted</th>
<th>Reply allowed</th>
<th>Attachments</th>
<th>Expiry date</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who can apply?</td>
<td>Manageable by the DMO?</td>
<td>Manageable by the DMO?</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Commission, agencies, EEAS | NO | Yes | No | Yes | Yes | Yes | Demandes d'ouverture d'enquête, rapports audits, décisions de sanctions,...  
Note du SG aux autres DGs pour transmettre des informations liées aux enquêtes internes de l'OLAF, aux enquêtes administratives de l'DOC et aux procédures disciplinaires. |
### Mediation Service Matter

Marking for use by services who need to have an exchange of correspondence relating to personnel matters with a specific degree of confidentiality. To be initiated only by the Mediation Service, the Director and Heads of Unit of the PMO, the Director General, Director and Heads of Unit of DG HR, the Director General of the Legal Service and the Director of Human Resources in other DGs or services.

<table>
<thead>
<tr>
<th>Apply</th>
<th>Read</th>
<th>Delegates/VE access</th>
<th>Reply allowed</th>
<th>Attachments</th>
<th>Expiry date</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who can apply?</td>
<td>Manageable by the DMO?</td>
<td>Who can read?</td>
<td>Manageable by the DMO?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

### Avis du Service Juridique

Opinion of the Legal Service

Legal advice given by the Legal Service to be considered as an information, indication, advertisement or advice for the addressee(s) to treat the document as a document which should be known or kept by the addressee(s).

<table>
<thead>
<tr>
<th>Apply</th>
<th>Read</th>
<th>Delegates/VE access</th>
<th>Reply allowed</th>
<th>Attachments</th>
<th>Expiry date</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who can apply?</td>
<td>Manageable by the DMO?</td>
<td>Who can read?</td>
<td>Manageable by the DMO?</td>
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<td>Only SJ</td>
<td>Yes</td>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
<td>No</td>
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</tr>
</tbody>
</table>

### Documents de procédure juridictionnelle

Court procedural documents drawn up by the Commission’s Legal Service or other parties in the framework of litigation and court cases before the EU Courts, national or international Courts to be considered as an information, indication, advertisement or advice for the addressee(s) to treat the document as a document which should be known or kept by the addressee(s).

Access to attachments from delegates and virtual entities is restricted.

<table>
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<tr>
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*The virtual entities and delegates can access the document, but not the attachment. They can only see the attachment by assigning them a task (e.g. INFO).*

### OLAF Investigations

This marking should be applied to all OLAF operational information (only metadata may be registered and the subject of the document must be replaced by the standard phrase "Document under Decision 844/2011" with the OLAF File (OF) number where appropriate).

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<td>Yes</td>
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</tbody>
</table>
### OLA Investigations - Special Handling
This marking should be applied in exceptional circumstances to highly sensitive OLAF operational information (only metadata may be registered and the subject of the document must be replaced by the standard phrase "Document under Decision 844/2001" with the OLAF File (OF) number where appropriate).

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<td>No</td>
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### COMP Operations
Marking applied within the marking scheme for DG COMP Antitrust, Mergers, State Aid and other proceedings. Access to attachments from delegates and virtual entities is restricted.

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<td>Yes</td>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
<td>Yes*</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
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### COMP - Special handling
Upgraded marking for more sensitive documents applied within the marking scheme for DG COMP Antitrust, Mergers, State Aid and other proceedings (only metadata may be registered and the subject of the document must be edited so as not to reveal any of the sensitive information).

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<td>Yes</td>
<td>No</td>
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### EU Satellite Navigation Matters
Marking to be applied to sensitive documents in the context of the EU Satellite navigation project.

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58
### Question de sécurité

**Security Matter**  
Marking to be applied for sensitive security matters managed by HR DS (the use of the marking can only be initiated by HR DS; only metadata may be registered).

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<tr>
<td>Only HR</td>
<td>Commission, agencies, EEAS</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Yes Agenda des Commissaires lors des missions dans les Délegations</td>
</tr>
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### IAS Operations

**Marking to be applied to operational documents handled in the context of IAS audits, consulting engagements and risk assessments.**

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