



EUROPEAN COMMISSION
DIRECTORATE-GENERAL
JOINT RESEARCH CENTRE
Directorate B Resources
Organisational development

Work Instruction

RULES FOR THE MODIFICATION OF REGISTERED DOCUMENTS IN ARES (FOR DMO AND CAD)

IMS-JRC-M4.1-WIN-0013

| | |
|-------------------------|---------------------------------|
| Document owner (entity) | JRC.B.1 |
| Main IMS process | M4.1 |
| Other IMS processes | |
| Keywords | Document and records management |

| Version | | Function | Name | |
|---------|---|----------------------------------|------|---|
| 2.0 | Extension the scope of the work instruction to distinguish concept of correction, obsolescence and "virtual" deletion of a registered document. Revision of the applicable conditions for modification in ARES accordingly. This version also complies with IMS requirements. | AUTHOR | | This document is signed electronically by the lead author, reviewer(s) and approver using an electronic workflow. |
| | | REVIEWER(S) (Content) | | |
| | | REVIEWER (Form) | | |
| | | APPROVER | | |

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|-----------------------------------|---------------------------------------|--------------|------------------|-------------------------|
| Template used to prepare document | Title: IMS procedure/work instruction | | | |
| | ID: IMS-JRC-M1.2-TMP-0002 | Version: 2.0 | Date: 29/10/2015 | Owner (entity): JRC.B.1 |

| DOCUMENT METADATA (complete here to auto-populate other parts of the document) | | | |
|--|--|-----------------------------------|--------------------|
| Parameter | Value | | MS Word quick-part |
| Document title | Rules for the modification of registered documents in ARES (for DMO and CAD) | | Title |
| Document type | Work Instruction | "Procedure" or "Work instruction" | Category |
| Document unique ID | IMS-JRC-M4.1-WIN-0013 | <i>IMS naming convention</i> | Keywords |
| Version | 2.0 | <i>Number with one decimal</i> | Status |

| REVISION HISTORY | | | |
|------------------|---|--------|----------|
| Version | | Author | Approver |
| 1.0 | Ares(2014)2222412 Work Instruction for "Modify Special" in ARES | | |
| 2.0 | This document | | |

TABLE OF CONTENTS

| | | |
|-----|--|----|
| 1 | INTRODUCTION | 4 |
| 1.1 | Purpose | 4 |
| 1.2 | Definition and scope | 4 |
| 2 | EXECUTION | 5 |
| 2.1 | Prior conditions to proceed with the modification of a registered document | 5 |
| 2.2 | Request for the modification of a registered document | 5 |
| 2.3 | Assessment of a request for modification of a registered document | 6 |
| 2.4 | Correction of a registered document..... | 6 |
| 2.5 | Obsolescence of a registered document | 6 |
| 2.6 | "Virtual" deletion of a registered document | 7 |
| 2.7 | History trail of modifications | 7 |
| 2.8 | Exception..... | 8 |
| 2.9 | Monitoring | 8 |
| 3 | LINKS TO OTHER DOCUMENTS | 8 |
| 3.1 | Reference documents | 8 |
| 3.2 | Associated documents | 8 |
| 4 | DOCUMENTED INFORMATION MANAGEMENT | 8 |
| 4.1 | Control of this document | 8 |
| 4.2 | Records management | 8 |
| | ANNEX A: Definitions | 10 |
| | ANNEX B: List of DMO and CAD functional mailboxes and virtual entities | 11 |
| | ANNEX C: Model attachment for "virtually" deleted documents..... | 12 |

1 INTRODUCTION

1.1 Purpose

- 1.1.1.1 This work instruction rules the modification of registered documents in ARES.
- 1.1.1.2 It is addressed to all ARES users, whereas only DMO and CAD can execute modification of registered documents in ARES.
- 1.1.1.3 It annuls and replaces document [Ares\(2014\)2222412](#) "Work Instruction for 'Modify Special' in ARES".

1.2 Definition and scope

- 1.2.1.1 Once a document has been registered in ARES, it is no longer possible to change any metadata and/or imported attachments.
- 1.2.1.2 The "Modify Special" functionality gives the possibility to change metadata and attachments of an already registered document in one's own DG/Service. This functionality is available only to users having the profiles of DMO or CAD in ARES.
- 1.2.1.3 The "Classification and marking" functionality allows the modification of the handling restriction and marking set on a registered document. For EURA and EU RESTRICTED documents it allows declassification only. This functionality is available only to users having the profile of DMO in ARES.
- 1.2.1.4 The modification of a registered document may pursue:
 - **Corrections** of the record, namely:
 - Correction of metadata (document dates, document title, sender(s), recipient(s), comment);
 - Addition, substitution and/or deletion of imported attachment(s);
 - Correction of the marking ;
 - **Obsolescence** of the record;
 - "Virtual" **deletion**¹ of the record, only in case of
 - Duplicate registration;
 - E-signatory has been omitted and a new saved document is circulating;
 - Exceptions ruled in accordance with §2.8.
- 1.2.1.5 The modification of a registered document as provided by the present work instruction does not encompass changes in:
 - Filing of document, except in the case of "virtual" deletion;
 - Tasks assignment on a document;
 - Modification to e-Signatory launched for a document.
- 1.2.1.6 The modification of a registered document is an irreversible operation.

¹ Technically, records cannot be deleted in ARES. By "virtual" deletion, it is meant the cleaning of metadata and attachment(s) and refiling of the document. The record itself remains in ARES and accounts in the statistics of the service having created it.

2 EXECUTION

2.1 Prior conditions to proceed with the modification of a registered document

2.1.1.1 Only registered documents can be subject to a request for correction, obsolescence or "virtual" deletion.

2.1.1.2 Documents that have already been subject to obsolescence or "virtual" deletion shall not be further modified.

2.1.1.3 The modification of a registered document is subject to the following cumulative prior conditions depending on the scope of the modification requested (X meaning that the modification is strictly denied if the criterion is met).

| Criteria: the document... → | | has been registered more than 3 working days ago ² | is created with AresLook Send ³ | is an IMS or similar QM controlled document | has been processed with an e-signatory | has been sent to external stakeholder or repository |
|--|----------------------|---|--|---|--|---|
| Scope of modification ↓ | | | | | | |
| Correction (§2.4) | Mail type | X | X | (allowed) | (allowed) | "Outgoing" |
| | Title | X | X | (allowed) | (allowed) | X |
| | Dates | X | X | (allowed) | (allowed) | X |
| | Sender | X | X | (allowed) | e-signer | X |
| | Recipient | X | X | Add internal only | Add internal only | X |
| | Comment | X | (allowed) | (allowed) | (allowed) | (allowed) |
| | Attachment | X | X | X | X | X |
| | marking ⁴ | X | (allowed) | (allowed) | (allowed) | (allowed) |
| Obsolescence (§2.5) | | (allowed) | (allowed) | (allowed) | (allowed) | (allowed) |
| "Virtual" deletion (§1.2.1.4 and §2.6) | | X | X | X | X | X |

2.1.1.4 The request for modification of the registered document must be submitted in accordance with §2.2.

2.2 Request for the modification of a registered document

2.2.1.1 The request for modification of an already registered document must be submitted by the Lead Department⁵ or by the creator of the document concerned with the Lead Department, and where applicable the e-signer(s), in Copy.

2.2.1.2 The request is submitted by means of INFO assignments:

- To the virtual entity of the JRC DMO or local CAD (see Annex B), **and**
- To the Lead Department of the document concerned, **and**
- To the e-signers, if any.

² To be counted from the day after the registration date.

³ Documents created with AresLook Incoming ("Manual registration" or "Save and Assign to") are treated like any document created in ARES.

⁴ Security Notice 01 applies, i.e. corresponding marking must be placed on the first page of attachment [6].

⁵ The document's Lead Department is defined by the Ares saved number of the said document.

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|---|--------------------------------------|-------------|-----------|
| Title: Rules for the modification of registered documents in ARES (for DMO and CAD) | Document ID IMS-JRC-M4.1-WIN-0013 | Version 2.0 | |
| | | | Page 6/13 |

- 2.2.1.3 The request to JRC DMO or local CAD provides sufficient information and justification in the instructions of the INFO assignment in ARES, as to the identification of the document to be modified, the scope of the modification and the motives thereto.
- 2.2.1.4 Requests submitted by any other person, being stakeholder of the document at stake or not, or missing sufficient information and justification, shall be rejected in accordance with §2.3.1.2.
- 2.2.1.5 Where applicable, attachments to be added or replaced are sent by email to the JRC DMO or local CAD entrusted the INFO assignment referred to in §2.2.1.2.

2.3 Assessment of a request for modification of a registered document

- 2.3.1.1 Upon receipt of a request for the modification of a registered document, the JRC DMO or CAD assesses its full scope⁶ and its fulfilment with the prior conditions set out in §2.1.
- 2.3.1.2 Where one of the prior conditions is not fulfilled, the JRC DMO or CAD rejects the request by informing the requestor and the Lead Department by finishing the INFO assignments, detailing the motives of this decision.
- 2.3.1.3 Where all prior conditions are fulfilled, the JRC DMO or CAD proceeds with the requested modification in accordance with §2.4 (correction) or §2.5 (obsolescence) or §2.6 ("virtual" deletion).

2.4 Correction of a registered document

- 2.4.1.1 Where all prior conditions are fulfilled, metadata are corrected and/or attachments are added/replaced/deleted as requested.
- 2.4.1.2 JRC DMO or CAD completes the "Justification (obligation to justify the modifications made on the recording)" field in ARES with "[CORRECTION] <list of corrected items>".
Example: "[CORRECTION] document title amended and cover note replaced"
- 2.4.1.3 Tick box "Notify the recipients of the modifications" is always enabled as to ensure further notification to the document internal recipients.
- 2.4.1.4 After execution of the corrections, JRC DMO or CAD informs the requestor and the Lead Department, and where applicable the e-signer(s), by finishing the INFO assignments in ARES.
- 2.4.1.5 The Lead Department is responsible for:
- conveying the corrections brought to the document to ALL parties having been assigned a task in ARES in the meantime;
 - ensuring appropriate awareness⁷ as concerns the correction of the document.

2.5 Obsolescence of a registered document

- 2.5.1.1 Where all prior conditions are fulfilled, at the **beginning** of the **document title** is inserted "[document obsolete]" or "[document superseded by <new ares registration number>]".

⁶ For example, substitution of an attachment may imply a modification of recipient/sender not necessarily explicitly requested.

⁷ Awareness may entail removing/updating publication on the web or other places, informing stakeholders of the process, or any communication action based on need-to-know principle.

| | | | |
|---|--------------------------------------|-------------|-----------|
| Title: Rules for the modification of registered documents in ARES (for DMO and CAD) | Document ID IMS-JRC-M4.1-WIN-0013 | Version 2.0 | |
| | | | Page 7/13 |

2.5.1.2 **No other metadata are modified. None of the attachments are either substituted or deleted.**

2.5.1.3 JRC DMO or CAD completes the "Justification (obligation to justify the modifications made on the recording)" field in ARES with "[OBSOLETE] Not replaced/Replaced by <new ares registration number>".

Example: "[OBSOLETE] Replaced by Ares(2016)123456"

2.5.1.4 Tick box "Notify the recipients of the modifications" is **always** enabled for registered documents made obsolete (or superseded by a newer version).

2.5.1.5 After execution of the title amendment, JRC DMO or CAD informs the requestor and the Lead Department by finishing the INFO assignments in ARES.

2.5.1.6 The Lead Department is responsible for:

- Ensuring newer document includes a reference to registered document that became obsolete;
- Establishing the link between superseded and superseding documents in ARES;
- Ensuring appropriate awareness⁸ as concerned the obsolescence or supersession of the document.

2.6 "Virtual" deletion of a registered document

2.6.1.1 Where all prior conditions are fulfilled, the following metadata of the registered document to be "virtually" deleted are cleaned:

- **mail type** is changed to "Note for the file";
- all **attachments** are removed and replaced by one empty pdf attachment as provided in Annex C;
- **document title** is replaced by "Deleted" ;
- **sender** is replaced by the virtual entity of JRC DMO or CAD performing the "virtual" deletion;
- all **recipients** are deleted.

2.6.1.2 JRC DMO or CAD completes the "Justification (obligation to justify the modifications made on the recording)" field in ARES with "[DELETED] <reason>".

Example: "[DELETED] duplicate registration with Ares(2016)123456"

2.6.1.3 Tick box "Notify the recipients of the modifications" is **never** enabled for "virtually" deleted documents.

2.6.1.4 JRC DMO or CAD files the document in the serial file dedicated to deleted documents, as defined in §4.2.

2.6.1.5 JRC DMO or CAD informs the requestor and the Lead Department by finishing the INFO assignments in ARES.

2.6.1.6 The Lead Department is responsible for:

- its unfiled from the original file(s);
- ensuring appropriate awareness⁸ as concerned the deletion of the document.

2.7 History trail of modifications

2.7.1.1 The functionality "History" (visible to all persons who have access to the document) is displayed when there have been modifications on registered documents.

⁸ Awareness may entail removing/updating publication on the web or other places, informing stakeholders of the process, or any communication action based on need-to-know principle.

| | | | |
|---|--------------------------------------|-------------|-----------|
| Title: Rules for the modification of registered documents in ARES (for DMO and CAD) | Document ID IMS-JRC-M4.1-WIN-0013 | Version 2.0 | |
| | | | Page 8/13 |

2.8 Exception

- 2.8.1.1 Any exception to the application of the present work instruction shall be left at the appreciation of JRC DMO.

2.9 Monitoring

- 2.9.1.1 JRC DMO monitors the application of the present work instruction in accordance with the Document Management Performance Metrics defined in procedure IMS-JRC-M4.1-PRO-0010 [4].

3 LINKS TO OTHER DOCUMENTS

3.1 Reference documents

- [1] SG's Guidelines for using the "Modify Special" function in Ares, dated 18/09/2009 [[Ares\(2009\)243407](#)]
- [2] ARES Administration Manual [[Link to ARES Wiki](#)]
- [3] DRAFT JRC Document Management Correspondents Network - Terms of Reference [[IMS-JRC-M4.1-PRO-0008](#)]⁹
- [4] DRAFT Performance Metrics in JRC Document and Records Management [[IMS-JRC-M4.1-PRO-0010](#)]¹⁰
- [5] JRC Documents & Records Management Glossary of Acronyms and Terms [[JRC-DRMP-ACTE](#)]
- [6] Security notice 01 [[The use and application of markings](#)]

3.2 Associated documents

- 3.2.1.1 There are no associated documents.

4 DOCUMENTED INFORMATION MANAGEMENT

4.1 Control of this document

- 4.1.1.1 This document is a controlled IMS document, and the organisational entity identified on the cover page as document owner is responsible for ensuring its maintenance. This includes keeping the document up-to-date, making the latest version available to users, and informing users of new updates as necessary.
- 4.1.1.2 Any user of this document or of the associated documents who identifies an inaccuracy, error, ambiguity or potential improvement need is requested to contact the document owner

4.2 Records management

- 4.2.1.1 The records created in the application of this document are systematically managed as defined below¹¹.

⁹ With reservation of approval.

¹⁰ With reservation of approval.

¹¹ How to define the Content of Files (COF)", IMS-JRC-M4.1-WIN-0003 (previously JRC-IMS-M4.1-WI003).

| | |
|-----------------------------------|---|
| Standard file type: | Deleted documents – serial file |
| File title: | Deleted documents - <year> |
| File identifier: | B01.<year>/DOMA.CURREC.DELETED |
| Common Nomenclature: | 10.02.05.53.015.010.010 Management of Current Records - JRC General Coordination |
| CRL category: | 12.8.1 (Document management policy and archive policy) |
| Lead Department: | (Generally the organisational entity of the principal staff implementing this document) |
| Access - filing: | DMO, CAD |
| - read: | none |
| Registration repositories: | ARES |
| Comment: | |

| List of records | | | | | | |
|------------------------------|---------------------|------------|--------------------------|-----------------|---------------------|-------|
| Name | Mandatory /Optional | Repository | Identifier | Approval Method | Preservation Medium | Other |
| "virtually" deleted document | Mandatory | ARES | Ares registration number | Not applicable | Electronic only | |

ANNEX A: Definitions

1.1 Acronyms

ARES Advanced Records System

AresLook Outlook plugins providing with automatic registration of emails in ARES

CAD Document Management Centre ("Centre d'Administration des Documents")

DDMO Deputy Document Management Officer

DMO Document Management Officer

DMCO Document Management Correspondent appointed in accordance with procedure IMS-JRC-M4.1-PRO-0008 [3]

IMS Integrated Management System (of JRC)

JRC Joint Research Centre (of the European Commission)

JRC DMO Team composed of the DMO and DDMO

QM Quality Management

1.2 Terms

The definitions of terms used in this work instruction description are given below (in alphabetical order).

| Term | Definition |
|---------------------|--|
| Assignment | Task assigned on a document to a user in ARES. |
| Attachment | Any piece of information uploaded into an ARES record. |
| Filing | Operation consisting in linking a document or a record to a specific file in ARES. |
| Deleted document | Registered document which metadata and attachment have been completely cleaned, and filed in dedicated file, to avoid confusion and redundancy with already existing equal registration. |
| Document creator | User having initiated the creation of a record in ARES. |
| e-Signatory | ARES functionality providing with electronic workflow of validation of a document before its registration. |
| Lead Department | Organisational entity responsible for the file opening, closure and preservation, as well as for the definition of the content of the file and the filing of documents accordingly. In practical terms the Lead Department is represented by the hierarchical responsible of entity, i.e. Head of Unit, Head of Service, Director or Director General. |
| Metadata | Any descriptive information of an ARES record. |
| Obsolete document | Registered document which substance is not applicable anymore. |
| Registered document | Document which registration process has been fully completed in ARES. |
| Superseded document | Obsolete document replaced by a newer registration in ARES. |
| Marking | Metadata providing for limited visibility of the document in ARES |
| Task assignee | User being assigned a task in ARES. |
| Virtual deletion | Technical operation by which a document is identified as deleted, although not physically removed from the repository. |

ANNEX B: List of DMO and CAD functional mailboxes and virtual entities

| Functional mailbox | Virtual entities |
|--------------------|------------------|
| JRC DMO | ve_jrc.dmo |
| JRC CAD BRUSSELS | ve_jrc.cad_bru |
| JRC CAD GEEL | ve_jrc.cad_gee |
| JRC CAD ISPRA | ve_jrc.cad_ipr |
| JRC CAD KARLSRUHE | ve_jrc.cad_kru |
| JRC CAD PETTEN | ve_jrc.cad_ptt |
| JRC CAD SEVILLE | ve_jrc.cad_sev |

| | | | |
|---|--------------------------------------|-------------|------------|
| Title: Rules for the modification of registered documents in ARES (for DMO and CAD) | Document ID IMS-JRC-M4.1-WIN-0013 | Version 2.0 | |
| | | Annex C | Page 12/13 |

ANNEX C: Model attachment for "virtually" deleted documents

Use the next page as attachment replacement for "virtual" deletion of a registered document

**DOCUMENT DELETED
IN ACCORDANCE WITH
WORK INSTRUCTION
IMS-JRC-M4.1-WIN-0013**