USING ARES IN JRC
Using ARES in JRC

• The basis of document management in the EC
• Getting started
• Working together: User Delegation vs Virtual Entity
• Managing files
• Managing documents
• Circulating documents: Tasks and e-Signatories
• AresLook and External Transmission
• Securing documents
Objectives of the day

• Develop ARES skills
• Learning by doing...
• Enjoy document management...
• Questions and Answers
• ...keeping the focus...
The Basis – E-Domec and HAN

- E-Domec: What it is? Why?
- Internal Control Standard (ICS) 11
- HAN....
  - ARES: *the electronic register of documents*
  - NomCom: *the electronic filing plan*
  - HERMES: *The central repository of the documents*
The JRC Documents and Files Lifecycle in 3 Stages

The Basis

Create & Capture

Manage & Organize

Distribute & Access

Work Flow & Approval

Retain

Dispose or Transfer to Historical Archives

Current Records

Intermediate Records

Historical Records
Like good wine...

documents have a lifecycle
At DG DECISION, in the Referendum Unit, they know how to persuade their users...
Getting started...

- Get to know your (connected) neighbours
- J:\Public\Training\ARES
- http://www.cc.cec/Ares
- The ARES menu
- Setting my preferences
  - Language
  - Start page
  - File options
ARES - Advanced Records System

ARES is a web application used by all the Commission's Services, the Cabinets, the Executive Agencies, the European External Action Service and EU Delegations to register, file and store their documents in the common repository for electronic documents (HERMES).

It provides security, electronic workflows and full text search.

E-SIGNATORY

NO TASKS

ASSIGNMENT

NO NEW TASKS 04 TOTAL

RECEIVED DOCUMENTS

NO NEW DOCUMENT 01 TOTAL
Getting started... NOTIS

NOTIS Alert Options

- Summary Report
- Task Notification
- Document Notification
- Deadline Report

You can define other preferences directly in Notis.

Notis Preferences

INBOX

Select NOTIS & Mail

Customize...
Working together

- **User Delegation**
  
  *Temporary delegation of one's responsibility and role in the organisation*

- **Virtual entities**
  
  *Working in team*
Working together: User Delegation

- Allow or forbid cascade delegation
- Allow or forbid access to documents with Markings
- Allow or forbid access to documents Restreint UE

Access to sensitive data:
- May have access to documents with a level of sensitivity "Handling restriction"
- May have access to documents with a level of sensitivity "RESTREINT UE"
- May have access to documents received as "Person Concerned"

Time limitation:
- May only have access to documents with creation dates superior or equal to [date]

Insert a date limit for access to the documents (up to 3 months before the date of assignment to your current job)
**Working together: Virtual Entities**

- Gathers several users under a common entity (equivalent to functional mailbox in Outlook).
- Virtual Entities are created by CAD or DMO upon request from VE leader.
- Assigning tasks to a Virtual Entity avoids blocks in the workflow because several people can complete the tasks (business continuity!).
- If a user delegates his tasks to a Virtual Entity all users who are part of the Virtual Entity can access and complete them.
- It doesn’t make any sense to use a VE to sign (SIGN) or validate (VISA) a document.

To see or finish a task assigned to a virtual entity, users **MUST CHANGE ROLE** and work as the virtual entity.
Working together

Exercise 1

• Edit your preferences
• Delegate your role to your neighbour
• Look at the roles delegated to you
• Change role
• Remove delegation to your neighbour
• Watch out...
  • User delegation allows you to see documents received up to three months in the past
Working together

Questions on User Delegation and/or Virtual Entities ?
Managing my files

Searching my files...

- Through the filing plan
- Through the file search
- Through your favourite files

...and check access rights, i.e. the visibility of the files content!
Managing my files

Exercise 2

• Search for a file....
• Search for today's training file
• Tag it as a favourite....

[File Specific code: JRC.year/DOMA.TRAI.xxx.ddmmyyyy
[File Title: My ARES training file – [Place] – [Date]
Managing my files

Questions on managing file?
Managing my documents

Exercise 3

- "Create" a new incoming document from your new favourite file [J:\Public\Training\ARES\REQUEST_FROM_LUXDON.docx]

- Watch out...
  - Mail type (internal, incoming, outgoing, note for the file)
  - Imported document(s)
  - Document date versus sent date
  - Title
  - Sender(s)
  - Recipient(s): Internal versus External Entities!!

- "Register and Send" it!
Managing my documents

Saved documents:
- Working documents (drafts)
- Not approved
- Can be modified by the creator
- Only the title/subject is compulsory
- Saved NOT filed document will be automatically REMOVED after 6 months

Registered documents:
- Documents approved and finalized
- Cannot be modified
- Official Commission registration number
- Compulsory minimum data
- Must be filed in at least one file

ALL saved documents should be REGISTERED and FILED.
Managing my documents: External Entity

First search for the entity with different criteria in the list and if not available create it or use the one with the highest validation level.

PERSON
- Last name, First name, email, city, country
- Last name and city recommended in CAPITAL case
- Link to Organisation (where relevant!)

ORGANISATION
- Name, email, city, country
- Name and city recommended in CAPITAL case
Managing my documents: External Entity

- Private person **not linked** with the organisation (**with private email**)

- Private person **linked** with the organisation (**with organisation email**)
Managing my documents

Exercise 4

• Retrieve the registered "Incoming" document
• Watch out...
  • "Recent" documents
Managing my documents

Exercise 5

• Create an "answer" document
• Watch out...
  • Metadata are automatically populated
  • Filing of the answer document is automatic
  • BUT attachment is not automatically imported
• Add in cc the internal recipient
• So... import the reply document in Word format
  [J:\Public\Training\ARES\REPLY_TO_LUXDON.docx]
• "Save" the answer document!
Managing my documents

Exercise 6

• Check it **OUT** to edit it
• Watch out...
  • "Docs locked by me" documents
• Save the document (in Word) and close it
• Check it **IN** and version it
• Watch out...
  • Minor vs major version
  • Version label and description
  • See current and previous version
To sum up with files and documents...

• What are the differences between:
  • Documents, Files, Records....
  • Incoming, Outgoing, Internal, Note to the file
  • Saved document versus registered document
  • Internal recipient and External Entity
• Is a saved document already sent to the recipient?
• Can I modify a registered document?
• ...
Managing my documents

Questions on managing documents?
Circulating my documents

Assignements Tasks

- CF - Chef de File / Lead Department
- ASOC - Associated Services
- INFO - Info
- CLASS - Filing

E-Signatories Tasks

- RED - Writer of the doc
- CONTRIB - For contribution to the doc
- VISA - Approval of the doc
- SIGN - Signature of the doc
- EXP - For "Register and Send"

Non Sequential

Sequential
Circulating my documents

**Assignements Tasks**

- **Saved**
  - Creator
  - Assignment actors

- **Registered**
  - Creator
  - Assignment actors
  - Sender(s)
  - Recipient(s)
  - Assignment actors

**E-Signatories Tasks**

- **Saved**
  - Creator
  - E-signatory workflow actors

- **Registered**
  - Creator
  - E-signatory workflow actors
  - Current actor in e-signatory

Who can SEE the task

- Creator
- Assignment actors

Who can ADD the task

- Creator and Assignment actors can add assignments
- All stakeholders can add assignments
- e-signatory managers
- Current actor in e-signatory
Circulating my documents: Assignments

- It is possible to withdraw an assignment clicking on the cross on the right.

<table>
<thead>
<tr>
<th>Code</th>
<th>Assigned to</th>
<th>Deadline</th>
<th>Assigned by</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>CLASS</td>
<td>JANKOWSKA Małgorzata (JRC.C.3)</td>
<td></td>
<td>JANKOWSKA Małgorzata</td>
<td>In progress since 25/08/2014</td>
</tr>
<tr>
<td>INFO</td>
<td>VALLI Angela (JRC.C.3)</td>
<td></td>
<td>JANKOWSKA Małgorzata</td>
<td>Launched since 25/08/2014</td>
</tr>
</tbody>
</table>

- Once withdrawn the assignment will appear strike through.

Only the person who assign the task (not more than 5 days) and the DMO can withdraw an Assignment!
Circulating my documents: Assignments

Exercise 7

• Retrieve your Answer document
• Create an INFO assignment to your neighbour
• Save and launch it
• Check your own assignments
• "Finish" them!
Circulating my documents: My Lists

- Distribution lists (recipients)

- Workflow lists (tasks assignments / e-signatory)
Circulating my documents: My Lists

Exercise 8

- Create a "personal" e-signatory workflow list

  With

  - Template name: "TEMPLATE" + your name
  - Template type: "PERSONAL"
  - RED : you
  - CONTRIB : empty
  - VISA : empty
  - SIGN : empty
  - EXP : your neighbour
Circulating my documents: E-Signatory

- Highly recommended for circulation and approval of internal documents (e-Commission)

- Check-out/in the document
- Delegate an e-signatory task
- Decline an e-signatory task
- Edit e-signatory, add actors - when justified
- Finish always your task

E-Signatory Actors

- First and last task cannot be bypassed
- Bypassing does not mean removing from the e-signatory workflow
- Only the e-signatory manager(s) and SIGN actor can bypass

E-Signatory Manager

Document Stakeholders
- Creator
- Sender(s)
- Recipient(s)
- Assignee(s)
Circulating my documents: E-Signatory

Exercise 9

• Retrieve your "Answer" document
• Prepare an e-signatory using your personal workflow list

With the following adjustments

• RED : you
• CONTRIB : your neighbour
• VISA : [delete]
• SIGN : the trainer
• SIGN : you ("insert" a new signature)
• EXP : you

• Save and launch your e-signatory!
Circulating my documents: Summary

- All tasks must be "finished" (or sent back or delegated)!
- You may retrieve documents on the basis of assignments...
- You may keep your favourite searches for future use...
e-Signatories references

- **Quick Reference Card (JRC)**
- **Commission On the Go (COG)**

https://webgate.ec.europa.eu/cotg
External Transmission from ARES

Exercise 10

• Retrieve your Answer document
• **What is its status ?** (not registered, e-signatory opened...)
• Open the External Transmission tab
• Click on "Send to External"
• Watch out...
  • You may change (or insert) the recipient's email
  • Your email is "queued"
  • The email is sent by "EC ARES NOREPLY" with standard notification message (not modifiable)
ARESLOOK

• ARESLOOK is a plug-in in OUTLOOK
• Allows ARES registration of Incoming and Outgoing emails
• Conversion to PDF of Email body and Attachments.

If an external contact does not exist in ARES for Incoming email: a warning is displayed but the field in ARES is empty. For Outgoing email, the contact is automatically created.

Use AresLook for internal emails **ONLY** if your email itself is the document to be registered and NOT if the email is just a transmission tool for another document which should have been registered in Ares.
ARESLOOK

Incoming

- Save and Assign, when you want to give the filing/registration task to someone else.
- Manual Registration when you want to register the document.

Outgoing

- Registration of the mail
  Ares will send a confirmation with registration’s number.

Two options:

• Manual Registration when you want to register the document.
ARESLOOK: Send and register an email

Exercise 11

• Prepare a simple email to an external entity with attachment [Jefferson@luxdon.org]
• Send the email using the AresLook Send plugin
• Make sure you file it in one of your favourite files (today's training file!)
• Retrieve the sent email in Ares (Follow-up)
• Watch out...
  • Outbox in Ares
  • How your email and attachment are converted
  • Status in "External Transmission" tab
ARESLOOK: Send and register an email

Dear Sir,

Please find enclosed a formal invitation to our training course. We kindly ask you to acknowledge receipt of this email in advance for your collaboration.

Kind regards,

Luc Dejaiffe
Document Management Officer

Sent by DEJAIFFE Luc (JRC-ISPRA) <Luc.DEJAIFFE@ec.europa.eu>. All responses have to be sent to this email address.

Emvoyé par DEJAIFFE Luc (JRC-ISPRA) <Luc.DEJAIFFE@ec.europa.eu>. Toutes les réponses doivent être effectuées à cette adresse électronique.

Dear Sir,

Please find enclosed a formal invitation to our training course.

We kindly ask you to acknowledge receipt of this email by replying to Luc.DEJAIFFE@ec.europa.eu.

Thanks in advance for your collaboration.

Kind regards,

Luc Dejaiffe
Document Management Officer
ARESLOOK: Send and register an email

- ARESLOOK automatically sends an email to the external recipient/s.
- Sent email status can be checked in “External Transmission” tab

If your email was addressed to a non existent or incorrect external entity, you will find this information in the 'external transmission' tab.
ARESLOOK: Incoming Email Registration

Exercise 12

• Open Outlook...
• Register one of your incoming email with AresLook (manual)
• Watch out:
  • All metadata and imported docs can be modified
  • Filing is not automatic
ARESLOOK and Virtual Entities and Functional Mailbox

- Your Functional Mailbox must be linked to the virtual entity in ARES.

- You must be a member of this virtual entity.

- If you send an email on behalf of a colleague, you must have his/her profile delegation in ARES.
ARESLOOK and External Transmission

Questions?
Securing my documents

- Who can see my documents?
- How I can limit the access to a document?
- What’s happened to the visibility of a document once is filed in a file?
Securing my documents

Access rights on documents

Case 1
- Saved and **not filed** document
  - Creator
  - Workflow actors

Case 2
- Saved and **filed** document
  - Creator
  - Workflow actors

Case 3
- Registered and **not filed** document
  - Creator
  - Workflow actors
  - Sender(s)
  - Recipient(s)

Case 4
- Registered and **filed** document
  - Creator
  - Workflow actors
  - Sender(s)
  - Recipient(s)

Access rights on documents:

File
- File Readers and File Users
  - File Readers and File Users
Securing my documents: Markings

Visibility
There is a difference between markings that restrict the visibility and those that don't restrict the visibility of a document.

Markings are defined in the Security Notice 01
Securing my documents: Markings

Registered document without a marking

Registered document with a marking

STAKEHOLDERS
Creator
Workflow actors
Sender
Recipients

FILE
File readers

Marking group: READ
Securing my documents

Questions on markings and/or accesses to files?
Questions and Answers

...more questions and more answers...

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

E-Domec website

e-Domec Toolkit

Common Retention List of the European Commission

Internal Control Standard on Document Management
Training & documentation resources

"ARES – Step by Step – All you need to know"

"ARES - E-signatory Workflow and Managing E-mails with AresLook"

ARES Wiki

Ares Newsletter
Thank you for your attention!