Customer ESMA

Document Paperless 2.1: User Manual

About This document represents the user manual for Paperless Routing Slip 2.1 over Microsoft SharePoint Server 2013 server farm

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1 Introduction

This document represents the User Manual of Paperless Routing Slip 2.1 for a Microsoft SharePoint Server 2013 environment.

1.1 Purpose

The purpose of this document is to guide users in the use of the Paperless system.

1.2 Definitions, acronyms and abbreviations

This section provides the reader of the user manual with an overview of terms used throughout this document.

Actor	An actor is the user who completes a step of the paperless workflow. Among other actions, actors can initiate and launch a workflow or either sign or reject a step in the workflow.
Closed	"Closed" is one of the possible statuses that a workflow may have in the system. This status is assigned when all the steps in it have been signed and all the workflow information is moved to the archive.
Deleted	"Deleted" is one of the possible statuses that a workflow may have in the system. This status is assigned when the initiator clicks the option "Delete" meaning that the workflow is no longer valid or that it should not have been initiated in the first place.
Draft	"Draft" is one of the possible statuses that a workflow may have in the system. This status is assigned when the initiator has created a workflow but has not launched it yet.
In progress	"In progress" is one of the possible statuses that a workflow may have in the system. This status is assigned when the workflow initiator launches the workflow and while there is at least one step left to complete in the workflow.
Rejected	"Rejected" is one of the possible statuses that a workflow may have in the system. This status is assigned when the actor of the

	current step rejects another step previously signed by another actor. In this case, the workflow is returned to the rejected step.
Initiator	The initiator of a workflow is the actor who launches it.
Launch	This action is performed by the initiator of the workflow and it means to start its execution. It implies the assignation of the next step in the workflow to the corresponding actor and a change of the current workflow status to "In progress".

2 Paperless main menu

The information that concerns paperless workflows can be divided into four sets of information:

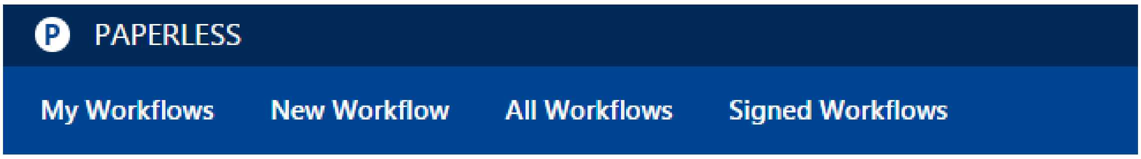


Figure 1 – Main menu

- **My Workflows**: This tab provides access to the list of "Workflows assigned to me" (more details in section 0) and the list "Workflows initiated by me" (more details in section 6).
- **New workflow:** This tab provides a list[1] of links to initiate different types of workflows (see section 4 for details on how to create a new workflow).
- **All workflows**: This tab provides access to all the workflows executed in the system by any user.
- **Signed workflows**: This tab displays the workflows in which the user has at least signed one of the steps. The signed workflows view will contain a column to indicate the date in which the workflow was last signed by the current user.

[1] You will have access to initiate only those workflow types associated to your role/profile

3 How the workflow information is organised in screen

After the user selects the workflow type to be initiated from the “New workflows” tab, the form in Figure 2 is displayed. All types of workflows have the same structure.

Sections of a workflow:

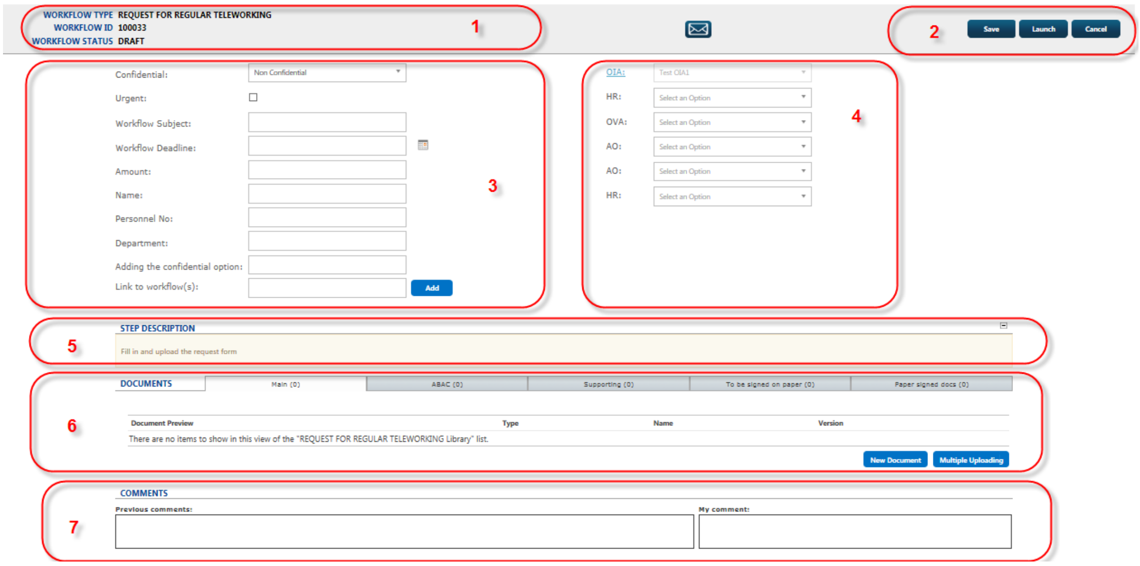


Figure 2 – Workflow sections

1. **Workflow basic information:** “Workflow type”, “Workflow ID” and “Workflow status” are automatically populated when a new workflow is created.
2. **Action buttons[2]:** Allow the user to save, launch, delete, cancel, sign or reject a workflow or a workflow step. The same sets of buttons appear at the top and bottom of the page.
3. **Workflow general fields[3]**: General fields need to be completed by workflow actors and provide relevant information of the workflow. For instance, “Urgent”, “Amount”, “Workflow Subject” and “Destination” fields are part of the general fields.
4. **Workflow steps/actors**: Provide information regarding the list of users (and their corresponding role) executing each step of the workflow. These fields will also be used to modify the assigned actor of a step. See section 7 for more details.

[2] The available action buttons will depend on the current status of the workflow (e.g. “Reject” button will not be available if the workflow has not been launched). See section 11 for more details on WF actions.
[3] The general fields depend on the workflow type selected. Some fields will only be available for specific workflow types.

5. **Step description**: This section provides a description of the current workflow step that is to be signed. It is an informative section to guide the user on how to proceed in order to sign the step. This section is collapsed by default. Users can expand this section using "+" button (to expand) "-"button (to collapse) located on the top right hand side of the section.
6. **Workflow documents:** This section provides the possibility to add/download/pre-view attached documents. See section 9 for more details.
7. **Workflow comments:** Allows the current actor of a step add new comments and review previous comments introduced by other actors. To add a comment the user can directly write it in "My comment" box. The history of comments for the workflow will be displayed in "Previous comments" field.
8. **Comments for closed WFs:** Allows any user add and review previous comments introduced by different actors only for WFs in "Close" status. To add a comment the user can directly write in "My comment" box. The history of comments for the work-flow will be displayed in "Previous comments" field.

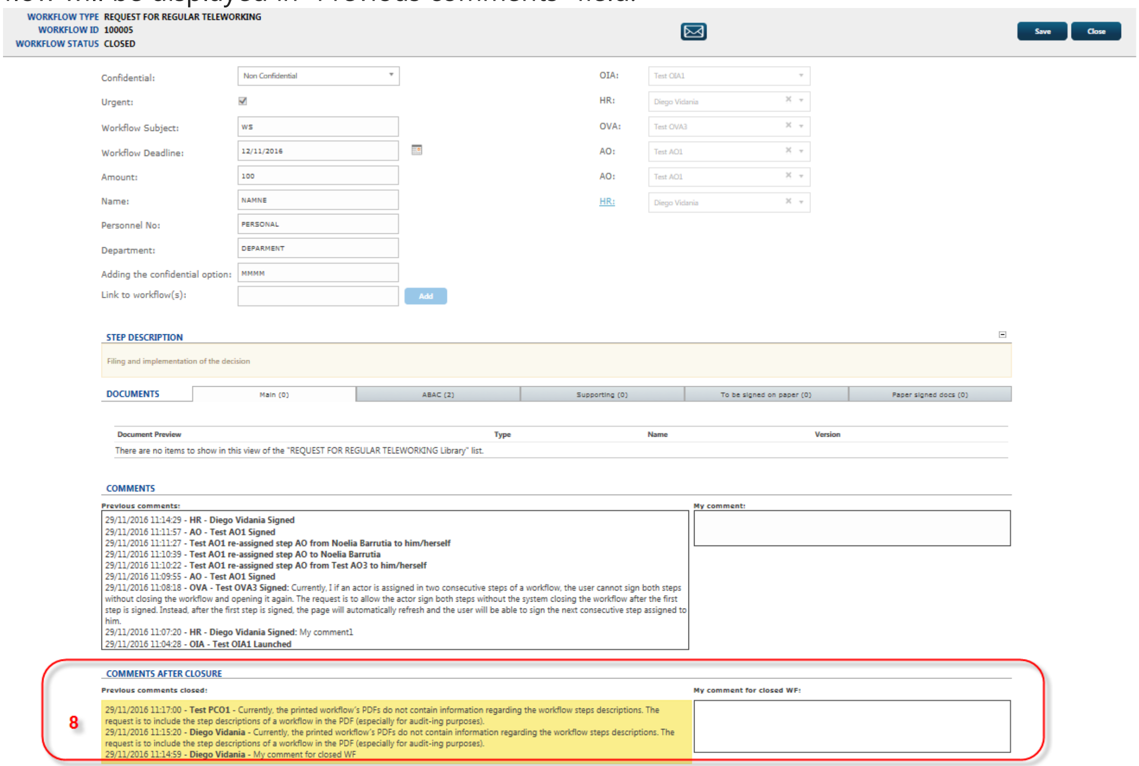


Figure 3 – Workflow comments section for closed workflows

4 How to create a new workflow

Workflows can be created from a set of links available under the tab “New workflow”:

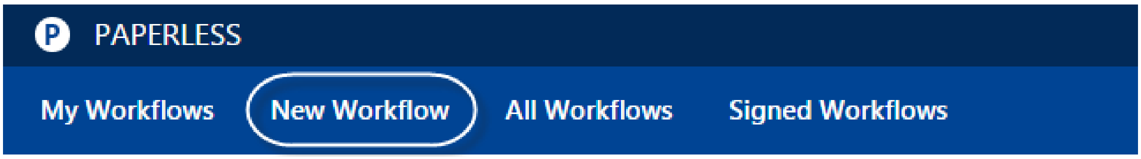


Figure 4 – New workflow tab

When clicking in this tab a list of links will be displayed grouped by categories/types:

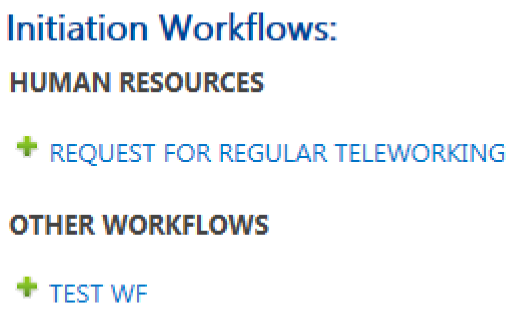


Figure 5 – List of links to initiate workflows

Each link will redirect user to the workflow creation form, where the name of the workflow will be already set depending on the link clicked.

The availability of this links depends on the group of users the actor belongs to. For instance, the type “Approval of internal documents” can only be initiated by ADs; therefore, if the user does not belong to this group he will not be able to start this type of workflow.

The system will automatically populate the following information in the form:

- **Workflow type (Name of the workflow):** This field corresponds to the name of the workflow type being executed. For instance “Approval of Internal Documents”, “Registration of Incoming Correspondence” or “Mission orders”. This name is provided by the system depending on the link clicked in the “New workflows” tab.
- **Workflow ID (WFID):** This number is automatically provided by the system and uniquely identifies a workflow in the system.
- **Workflow status:** Provides information of the current situation of the workflow: draft, in progress, rejected, deleted or closed. See section 10 for details of the status workflow.

The user will complete the following required[4] information:

- **General Fields**: These fields will be completed by workflow actors. The list of available general fields to complete will depend on the type of workflow being executed. One of the most important general fields is the "Confidential" field. This field can contain 3 possible values:
    - **Non confidential:** This is the default value. It indicates that the workflow is non-confidential and therefore any user would be able to find it through the search functionality and access to it.
    - **Confidential.** Indicates that the workflow is confidential and only allowed users will be able to open it. It can only be modified to non-confidential by the initiator of the workflow regardless of the status of the workflow (it is possible to modify it even if the workflow is in "work in progress" or "closed" status).
- **Actors/Steps**: Provides the list of steps a workflow is divided into and that need to be completed in order to consider a workflow as "Closed". The number of steps of each workflow type is defined by administrators. Each step contains a group of users[5] that are allowed to sign each step. The current actor of a step can change the actors assigned for the upcoming steps (except for confidential workflows).
- **Documents**: The user can attach, download, preview or remove[6] different types of documents to a workflow. Each type of document should be loaded in the corresponding section. The documents section is divided into four sections (tabs):
    - **Main** documents.
    - Documents **to be signed in ABAC.**
    - **Supporting** documents.
    - Documents **to be signed on paper**
    - **Paper** signed documents.
- **My comment:** This field allows the actor assigned to the step add comments. These comments will be saved and displayed in the "Previous comments" field.
- **Previous comments**: This field is not editable. It provides the history of comments introduced by previous actors in "My comments" field.

[4] No fields are mandatory in order to save or launch the workflow.
[5] The group of users that are allowed to sign each step of a workflow are defined by administrators.
[6] It is required to provide a reason for deleting a document.

5 What is the “Workflows assigned to me" list

Workflows assigned to an actor are listed in “My workflows” tab:

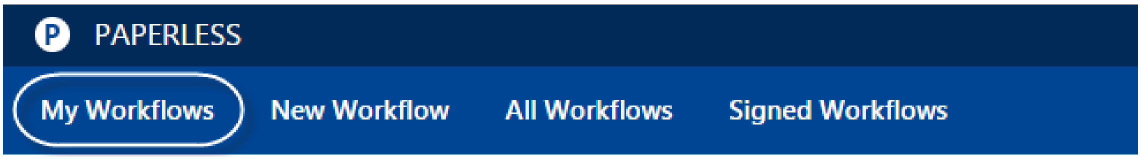


Figure 6 – My workflows tab

The top of the page, under “Workflows to be signed” displays a list of workflows (confidential and non-confidential) for which the user has a step assigned pending to be signed.

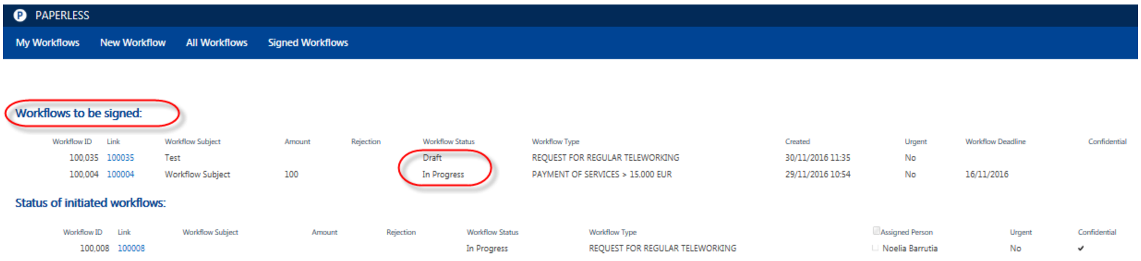


Figure 7 – Workflows to be signed list

The purpose of this list is to offer, from a single point, a direct access to:

- Workflows created by the user that are still in “Draft” status
- Workflow steps assigned to the user pending to be signed (“In Progress”)
- Workflow steps re-assigned back to the user because they have been set to “Rejected” status by another actor of the workflow. After the user signs the step, the status will automatically change to “In progress” status

This section can be described as a to-do list. Columns displayed already offer certain information about workflows that will help the user prioritize the work (for instance, the “urgent” or “deadline” columns). Columns displayed in the “Workflows assigned to me” section:

- **Workflow ID:** Number that uniquely identifies the workflow.
- **Link:** Allows the user open the corresponding workflow. The user will proceed to create the workflow (if it is in “Draft” status) or to sign/reject a step (if it is “in progress” status).
- **Workflow subject:** The value of the “Subject” field of each workflow. If the workflow type does not define a “Subject” field it will appear empty.
- **Amount:** The value of the “amount” field of each workflow. If this value was not set or if the workflow type does not define a field “amount” the value will appear empty.

- **Workflow status**[7]**:** The possible status in this section: "Draft", "In progress" or "Rejected". In case of "Rejected" status, the workflow will appear highlighted with a red icon.

Figure 8 – Rejected workflows are highlighted by a red icon

- **Workflow type:** Type of each workflow.
- **Created:** The date in which the workflow was created.
- **Urgent workflow:** This value can either be "Yes" or "No".
- **Workflow Deadline:** The value of the "deadline" field of each workflow. If this value was not set or if the workflow type does not define a field "deadline" the value will appear empty.
- **Confidential:** This column displays a "tick" when the corresponding workflow is classified as confidential.

[7] Workflows in "Closed" status are displayed in "All workflows" tab. Workflows in "Deleted" status are not displayed anywhere; they are removed from the system.

6 What is the “Workflows initiated by me” list

As an initiator of a workflow this list will help the user review the status of all the workflows (confidential or not) initiated by him/her. This list is available in the Paperless homepage, under the tab “My workflows” tab:

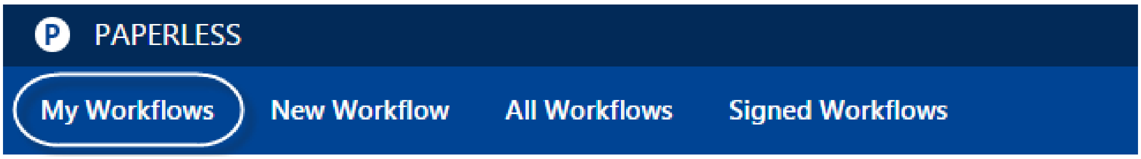


Figure 9 – My workflows tab

Below the “Workflows to be signed” list.

Status of initiated workflows:

Workflow ID	Link	Workflow Subject	Amount	Workflow Status	Workflow Type	Created	Assigned Person	Urgent	Workflow Deadline	Confidential
Count= 2										
2,106	2106	Testing Confidentiality 002 - CONF		In Progress	DECOMMITMENT	21/05/2013 09:26	Fernando Ramos	Yes		✔
24	24	Testing Confidentiality 001 - NON CONF		In Progress	PROVISIONAL COMMITMENT MODIFICATION	21/05/2013 09:23	Fernando Ramos	Yes		

Figure 10 – Status of initiated workflows list

The columns of the list offer information about:

- **Workflow ID:** Number that uniquely identifies the workflow.
- **Link:** The workflow ID displayed as a link will redirect the user to the form of the workflow.
- **Workflow subject:** The value of the “Subject” field of each workflow. If the workflow type does not define a “Subject” field it will appear empty.
- **Amount:** The value of the “amount” field of each workflow. If this value was not set or if the workflow type does not define a field “amount” the value will appear empty.
- **Workflow status[8]:** The possible status values in this section: “Draft”, “In progress” or “Rejected”. In case of “Rejected” status, the workflow will appear highlighted with a red icon.
- **Workflow type:** Type of each workflow (i.e. “Payment of grants”).
- **Created:** The date in which the workflow was created.
- **Assigned person:** Name of the user responsible of the current step of the workflow.

[8] Workflows in status “Closed” are displayed in “All workflows” tab. Workflows in status “Deleted” are not displayed anywhere; they are removed from the system

- **Urgent:** This value can either be “Yes” or “No”.
- **Workflow Deadline:** The value of the “deadline” field of each workflow. If this value was not set or if the workflow type does not define a field “deadline” the value will appear empty.
- **Confidential:** This column displays a “tick” when the corresponding workflow is classified as confidential.

7 How can a step of the workflow be completed

Those workflows in which the user has a pending step to be signed will be displayed in the “Workflows assigned to me” list (see section 5).

The workflow form is used by workflow initiators to create a workflow and by other actors of the workflow to complete a step of the workflow. This form contains all the information relevant to the execution of a workflow (specific fields, actors, documents, comments...).

By clicking on the workflow Link number, the system will open the workflow to sign or reject the step assigned to him/her. The user will be able to review and modify the following information:

- **Urgent**: It is possible to modify the value of this checkbox before signing/rejecting the step.
- **General information:** The value of these fields could have been completed by any other previous actor of the workflow, but the current user is also able to modify any of them (except the "Confidential”[9] field) before clicking “Sign” or “Reject” if needed.
- **Workflow actors**: The workflow is divided into a certain number of steps each of one executed by a group of users. If the workflow is confidential the user will be able to modify actors if he is the initiator of the workflow.
- **My comment**: This field provides the possibility of introducing a comment before signing or rejecting a step. Please note that just one comment can be added per step. The comment will be saved when clicking “Sign” or “Reject” buttons.
- **Previous comments**: This is an informative field which contains a list of actions taken by all previous actors of the workflow and any comment added by them. The comment the user may have introduced in “My comment” field will be displayed in this field.
- **Documents**: An actor can add/delete documents when the workflow is assigned to him/her regardless of the step number, except (for deleting), if additional versions of

[9] The “Confidential” field is only editable by the workflow initiator.

that document have been generated by other users. The initiator of the workflow is always able to delete documents, even documents not uploaded by him/her.

After modifying and/or reviewing the workflow information the user can either sign or reject a step.

8 How can a step of a workflow be re-assigned

Actors on a workflow are subject to be replaced by any other actor on the workflow for instance to avoid situations in which a workflow is on hold because the actor of the current step is on holidays.

The current actor of a step can modify the actors assigned to current and subsequent steps if the workflow is not confidential. For confidential workflows only the initiator is allowed to perform this action. However, cannot modify actors of previous steps already signed.

Once the actor of the current step has been replaced, the new actor will have the new pending step accessible from the list “Workflows assigned to me” and will have all the necessary controls available to sign/reject the step of the workflow. If, for instance, the new actor assigned is the logged user, once the actor has been changed and the page refreshed, the user will see all the controls active again so that he/she can add comments, upload documents etc.

It is also possible to **select a “blank” actor** in a workflow step. This means that the corresponding step shall not be executed and therefore it will be skipped.

9 How can a document be added to a workflow

Documents in a workflow are organized in four categories separated by tabs:

- Main.
- ABAC.
- Supporting.
- To be signed on Paper.
- Paper signed docs.

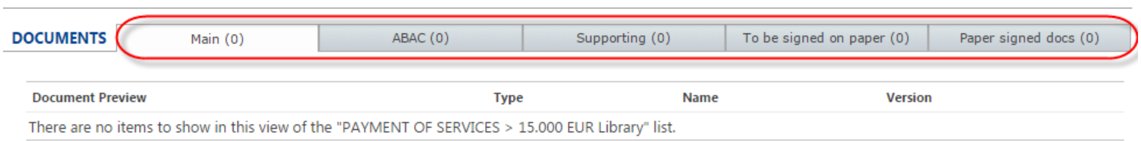


Figure 11 – Types of documents

Please note that, together with the type of document, there is a number between brackets. This number indicates the number of documents uploaded per type.

Workflow initiators or other actors will be able to:

- **Upload** new documents.
- **Upload new versions** of an attached document.
- **Download** any attached document.
- **Preview** any attached document.
- **Remove** documents uploaded by them only when the workflow is assigned to him/her regardless of the step number, **except**, if additional versions of that document have been generated by other users.

Documents added will appear in a table where each row will contain the name of the document attached and the document version number.

9.1 How to upload a document

To upload a new document, first click on the tab corresponding to the category where the document will be uploaded. Click on the "New Document" button:

Figure 12 – "New Document" button to upload a document to a workflow

In the popup window displayed, click on "Browse" button to select a file from the computer:

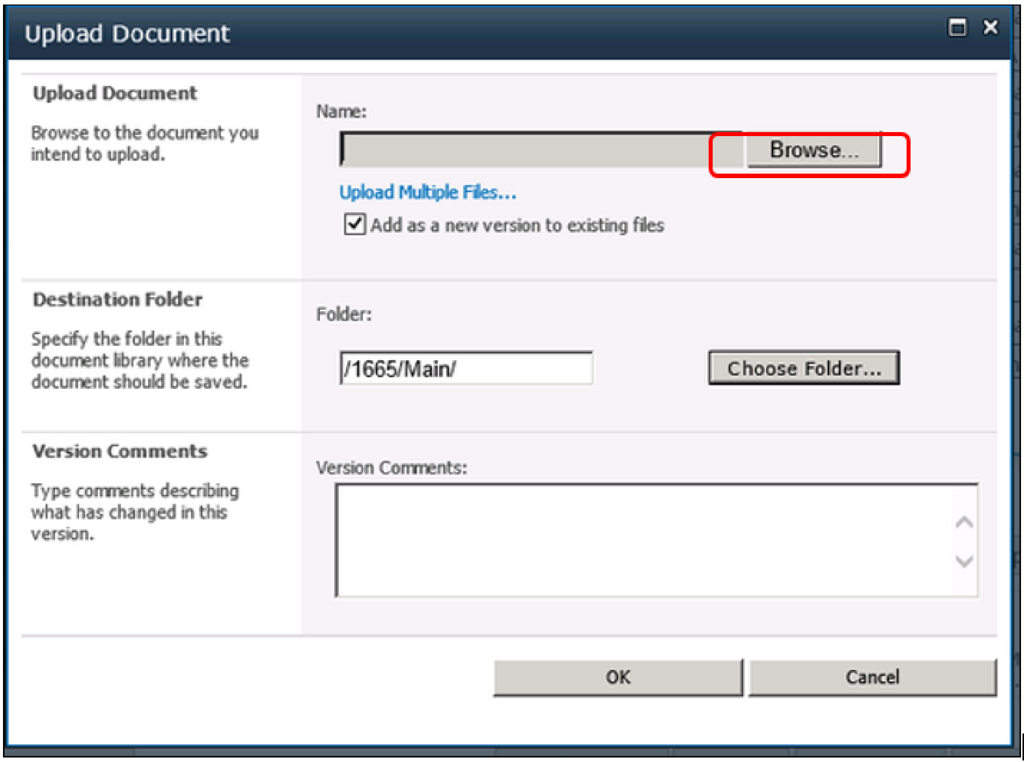


Figure 13 – Select a file to upload

Complete the rest of fields, if desired, and click OK. The document will be uploaded to the workflow.

The first time a document is uploaded to a workflow, it is saved as version 1.0. If a document with the same name is uploaded to the workflow and to the same category, the version is automatically incremented.

9.2 How to upload multiple documents

To upload new documents, first click on the tab corresponding to the category where the documents will be uploaded. Click on the “Multiple Uploading” button.

A popup window will appear where it is possible to drag and drop files from the computer to the area indicated with an arrow:

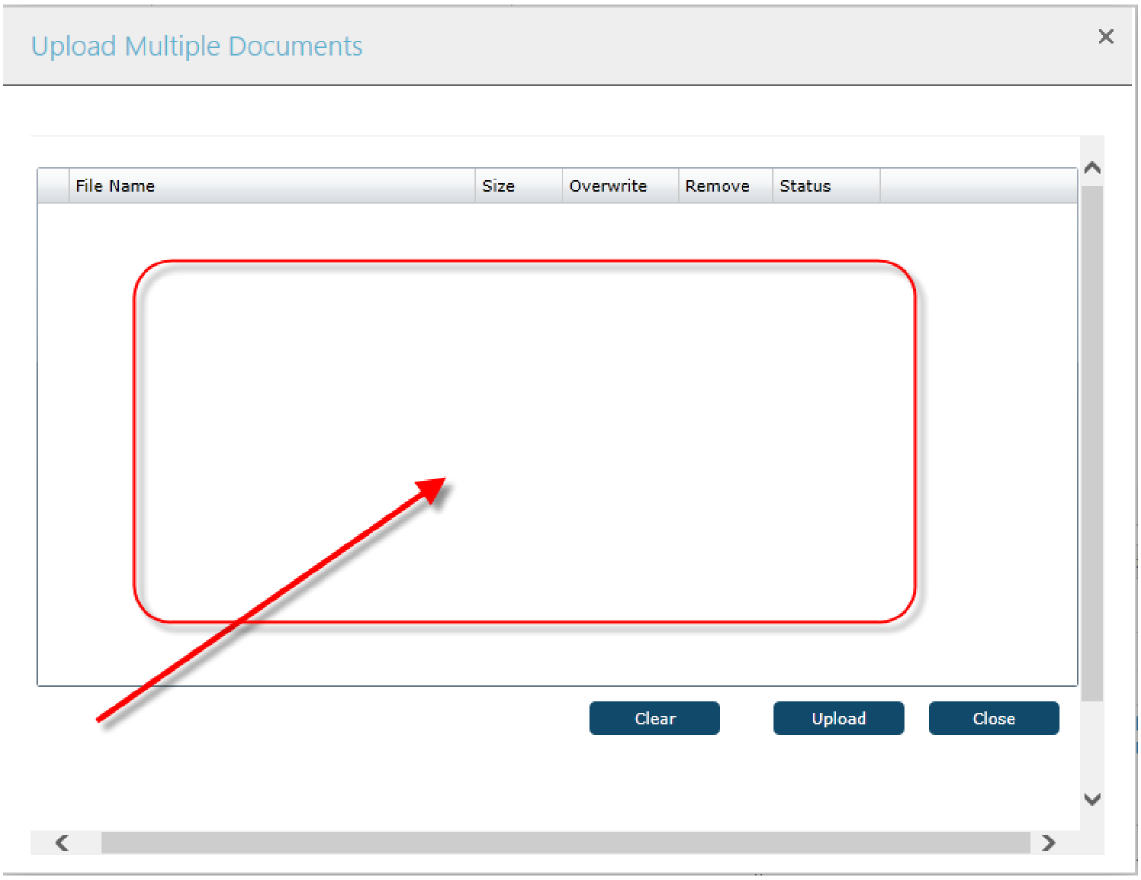


Figure 14 – Area to drag and drop files to be uploaded

Once the files have been dropped click “OK” button to add them to the list of documents attached to the workflow.

The first time a document is uploaded to a workflow, it is saved as version 1.0. If a document with the same name is uploaded to the workflow and to the same category, the version is automatically incremented.

This functionality (multiple upload) can also be used to attach files contained in other Share-Point libraries.

Limitations to upload multiple files:

- Documents should not exceed 2 GB.
- The maximum amount of documents to be uploaded at the same time cannot be larger than 100.
- Internet Explorer browser should be used.

9.3 How to remove an attached document

To remove a document, open the drop down list corresponding to the document, and select "Delete".

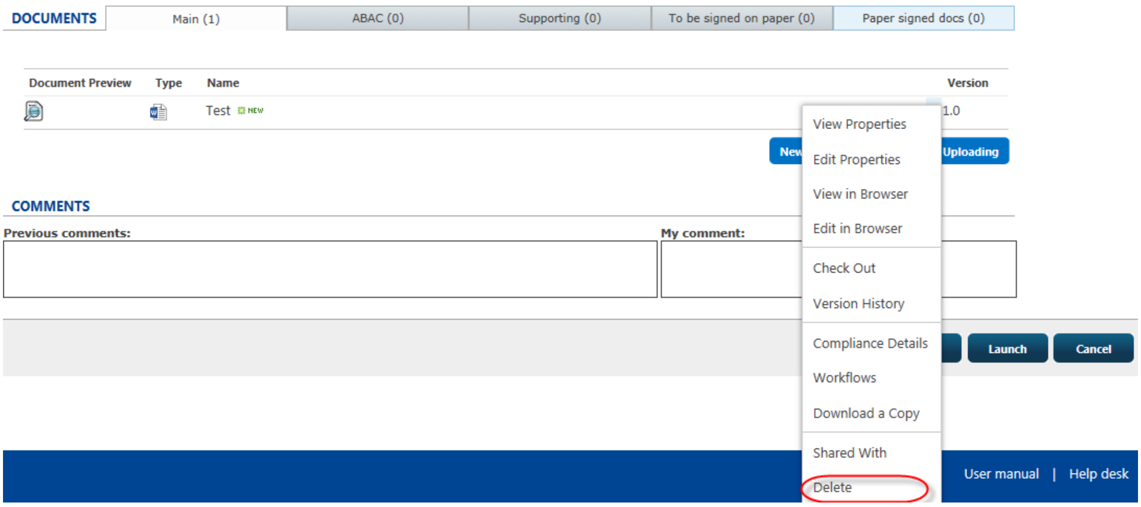


Figure 15 – Remove a document

Please note that this option can only be performed in the following situation:

- If the actor (initiator or not) of the workflow is the user who uploaded the document and the workflow is assigned to him/her regardless of the step number, **except**, if additional versions of that document have been generated by other users.

10 Possible status of a workflow

The status of a workflow describes a point in the execution of a workflow. The status a workflow is assigned by the system:

- **Draft:** This status is assigned when the initiator has created a workflow but has not launched it yet.
- **In progress:** This status is assigned when the workflow initiator launches the workflow and while there is at least one step left to complete in the workflow.
- **Deleted:** This status is assigned when the initiator clicks the option “Delete” meaning that the workflow is no longer valid.
- **Rejected:** This status is assigned when the actor of the current step rejects a previously signed step.
- **Closed:** This status is assigned when all the steps within a workflow have been completed.

Figure 16 illustrates how the status of the workflow can change in the system depending on the action performed by the user.

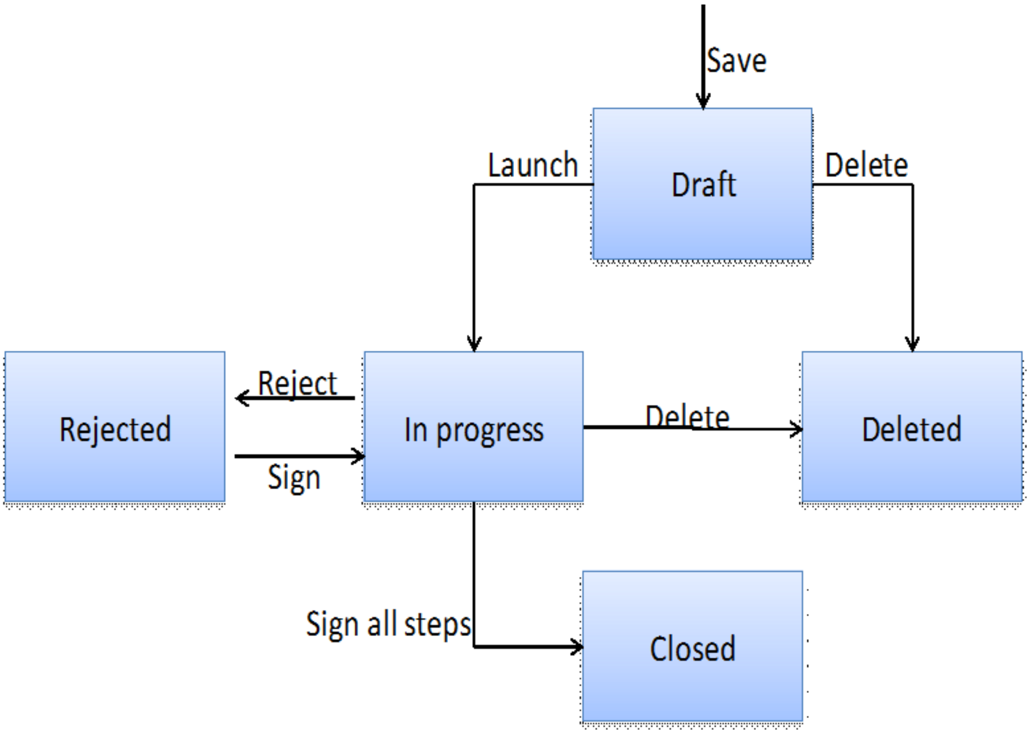


Figure 16 – Changes on the Paperless workflow status

11 Which actions are available on workflows

This section depicts which are the actions available from the workflows.

11.1 Saving a workflow

Saving a workflow allows initiators to save their work on a workflow without launching it. The button "Save" is only available to these users in the top right side of the workflow creation form.

By clicking this option the system will:

- Save any changes made to the general fields of the workflow
- Save any comment added
- Save any change made on workflow documents
- Save any change made on workflow actors
- Set the status of the workflow to "Draft"
- Add the workflow to the "Workflows to be signed" list

After clicking the button, the system will redirect the user to the Routing Slip homepage.

11.2 Launching a workflow

The button "Launch" is only available for workflow initiators from the top right side of the workflow creation form.

By clicking this button the system will:

- Save any changes made to the general fields of the workflow
- Save any comment added
- Save any change made on workflow documents
- Save any change made on workflow actors
- Set the status of the workflow to "In progress"
- Remove the workflow from the "Workflows to be signed" list
- Add the workflow to the "Status of initiated workflows" list

This means that the workflow will be assigned to the next actor of the workflow so he/she can sign the corresponding step.

After clicking the button, the system will redirect the user to the Routing Slip homepage.

11.3 Deleting a workflow

Deleting a workflow modifies its status to "Deleted" which means that it will no longer appear available to be signed or rejected by any user of the system. Use this option whenever a workflow should have not been initiated in the first place.

Please note that this button only appears available for workflow initiators so if you are any other workflow actor and you think the workflow should be deleted, add a comment explaining the situation and reject the current step re-assigning the workflow back to the initiator.

In case you are the initiator of a workflow, to delete a workflow click on the button "Delete" that appears on the top right side of the screen. This action will:

- Save any changes made to the general fields of the workflow
- Save any comment added
- Save any changes made on workflow documents
- Set the status of the workflow to "Deleted"
- Remove the workflow from the "Workflows to be signed" and from the "Status of initiated workflows" lists

After clicking the button, the system will redirect the user to the Paperless Routing Slip homepage.

11.4 E-mail a workflow

The envelope icon displayed in the middle of the workflow form will allow sharing the workflow with specific users my e-mail. The icon will be available for all workflow types in any status.

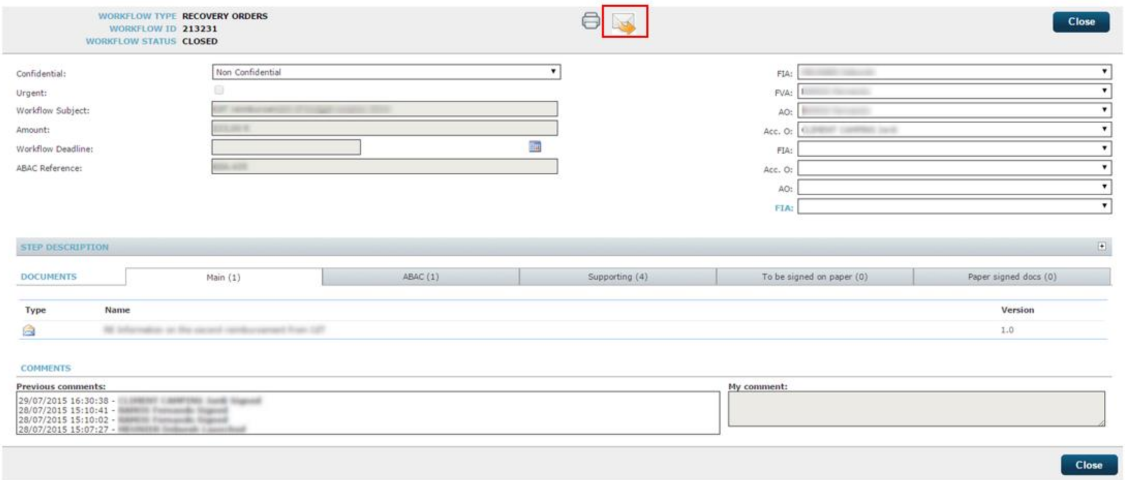


Figure 17 – Forward to recipient icon

When the user clicks on the icon, a new e-mail will be opened in Microsoft Outlook with some information already populated (Subject and e-mail text). The e-mail text will contain a link to the workflow ID being shared.

11.5 Link workflow(s)

All workflow types provide the possibility of linking a workflow to already existing workflow(s) through the "Link to workflow(s)" field located in the general fields (see Figure 18).

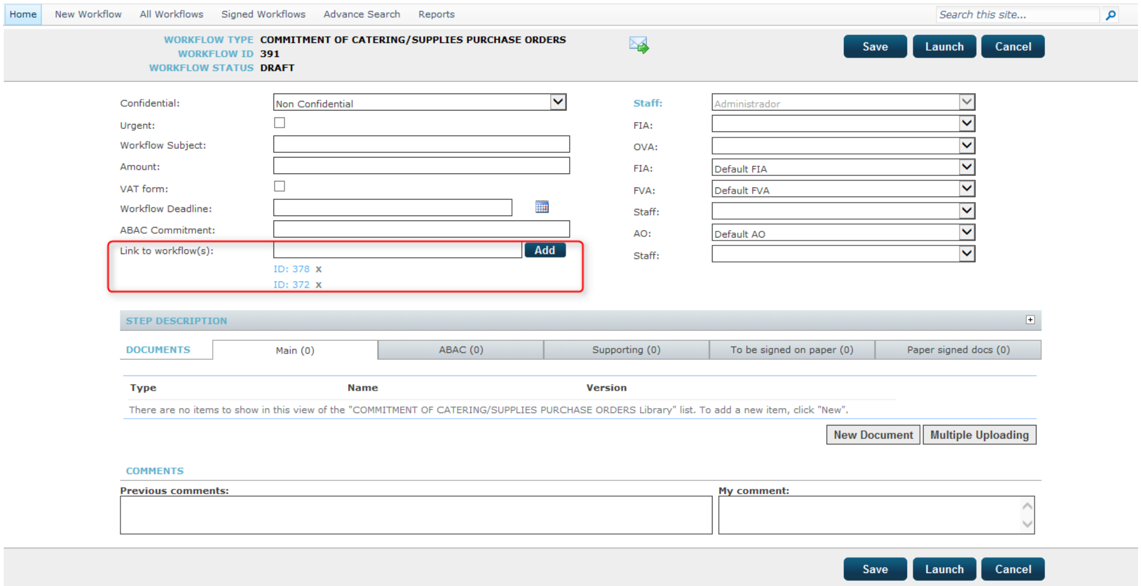


Figure 18 – Forward to recipient icon

When the user introduces the ID number of a WF in the current "Link to workflow" field, it will become a hyperlink to the related WF when the user clicks on the "Add" button.

It will be possible to introduce multiple related workflow IDs. After clicking on the "Add" button the system will validate if the ID number introduced corresponds to an existing workflow ID. If the ID is correct, it will be displayed below as a hyperlink. If the ID is not correct (does not correspond to an existing one), a message will be displayed to inform the user.

The system will also display an informative message when the actor introduces a confidential WF ID and does not have access to it at the time of clicking on the "Add" button. Users with no access to the linked confidential workflow will not be able to open the WF ID even if they have access to the parent workflow.

If a workflow is not confidential it will always be possible to open the linked workflows by clicking on the corresponding workflow ID. It will be possible to delete created ID hyperlinks by clicking on the grey cross located on the right of each link (see Figure 18).

The actor assigned to the current step will be able to add and delete linked workflow IDs. An actor that is not assigned one to the current step cannot add or delete linked workflow IDs.

11.6 Cancelling the creation of a workflow

The button "Cancel" that appears on the top right side of the workflow creation form will have different consequences on the system depending on previous actions.

If the user has never saved the workflow before (by clicking the button "Save") the cancel button will cancel the creation of the workflow. This means that all the information added or any document uploaded to it will be lost. Also, the workflow will not appear on the list of "Workflows assigned to me".

However, if the workflow has previously been saved, the "Cancel" button will cancel the creation of the workflow but it will not disappear from your "Workflows assigned to me" list as it is in "Draft" status. In this case, the "Cancel" button will discard any changes made on the general fields section, any comment added/modified, any change made to the workflow actors and any document uploaded.

After clicking the button, the system will redirect the user to the Paperless Routing Slip homepage.

11.7 Signing a workflow step

By clicking on an item from the list "Workflows assigned to me" the user will access the workflow form of the corresponding workflow ID where he/she will be able to review all its information, documents, comments and actors that have participated on it.

To sign a workflow step the user needs to be the actor of the current step of the workflow. Then, the user needs to click the button "Sign" that appears on the top right side of the screen.

This action saves:

- All the changes made to the general fields of the workflow
- Any comment added
- Any change made on documents
- Any change on workflow actors

After clicking "Sign" the user will be redirected[10] to the Paperless Routing Slip homepage where he/she can review that the step just signed has disappeared from the list "Workflows assigned to me".

[10] In case you are the actor assigned to two (or more) consecutive steps, you will be able to sign both steps without the system closing the workflow and redirecting you to the Homepage after the first step is signed. When the first step is signed, the page will automatically refresh and you will be able to sign the next consecutive step assigned to you.

11.8 Rejecting a workflow step

If the user selects a workflow from the "Workflows assigned to me" list he/she will access the workflow form, where he/she will be able to review all its information, documents, comments and actors that have participated on it.

To reject a workflow it is required to be the actor of the current step of the workflow. This is applicable to confidential and non-confidential workflows. The workflow is rejected by clicking on the "Reject" button displayed at the top right side of the screen.

By doing so, the workflow actor´s section will be replaced by the list of the previous actors of the workflow. To reject the step a previous actor needs to be selected (only one). To be able to assign a rejected WF to a previous actor it is mandatory that the user introduces a comment in "My comment" box justifying the reason for the step rejection. Once the user has provided this information, he can proceed on assigning the workflow by clicking on the "Assign" button.

This action will save:

- Any data added or modified from the general fields section
- Any comment added to the workflow
- Any change made on workflow documents
- Any change made on workflow actors

After the button "Assign" is clicked, the system will re-assign the workflow to the selected actor which implies the removal of the pending step from the user´s list of "Workflows assigned to me". The status of the workflow will change to "Rejected" and it will be highlighted with a red mark.

A particular case of rejection occurs when the user who signed the rejected step has been removed from the system:

- For non-confidential workflows, the rejected step will be automatically assigned to the default user of the group.
- For confidential workflows the rejected steps will be automatically assigned to username (deleted) where username corresponds to the deleted user. In this case, if you are the initiator of the workflow, it will be your responsibility to manually assign the step to another user.

When the user who signed the rejected step was removed from a group but added to another one (therefore, not deleted from the system):

- For non-confidential workflows the step will be automatically assigned to the default user of the group the user belonged to.
- For confidential workflows the step will be assigned to the initiator.

11.9 Cancelling a workflow step

Clicking on the button "Cancel" in a workflow step will redirect users to the home page of the Routing Slip and nothing, except any change made on documents or on workflow actors, will be saved in the workflow. This means that any change on the general fields of the workflow or any comment added will be lost.

The step, however, will remain in the list of "Workflows assigned to me" as it has neither been signed nor rejected.

11.10 Re-assignment of steps in a non-confidential workflow

In general, the actor the current step of a non-confidential workflow will be able to change the actor of the current step and/or any actors of the subsequent steps of the workflow. Actors of previous steps appear in disabled drop-down lists avoiding modifications on past actions.

Besides, there are a couple of special situations where actors of a workflow can also be re-assigned:

- A member of the group of the current step will be able to re-assign the actor of the current step. Imagine that the current step is performed by the OIA group to which the users A, B and C belong to. Even if the step is assigned to actor "A", either user "B" or "C" can access the workflow and change the actor of the current step.
- A member of the group FIA or the initiator of the workflow has the same rights to re-assign actors as a member of the groups of the current step (see previous point).

Please note that a user in this situation will only be allowed to change the current step of the workflow. The system avoids:

- Any changes on the general information section.
- Any changes on the document section.
- Any comments to be added.
- The signing/rejecting of the step.
- Any changes on the actors assign to a step different than the current one.

11.11 Re-assignment of steps in a confidential workflow

In confidential workflows only the initiator is allowed to change actors assigned to steps.

If, as initiator of a confidential workflow, you find in the "Status of initiated workflows" list that there are steps assigned to "username (deleted)", this means that the corresponding username (to whom the step was assigned) was removed from the system. It will be your responsibility, as initiator of the workflow, to manually assign the step to another user.

12 Which permission rules are applied on workflows

12.1 General rules

Paperless Routing Slip workflows offer a set of embedded rules in order to avoid any non-authorized access to workflow controls. That is, it is at any moment guaranteed that only actors of the workflow can sign or reject a step or that only the designated users can initiate certain types of workflows. These rights are controlled taking into consideration five aspects:

- Who the logged user is
- Which group(s) the logged user belongs to
- Who the initiator of the workflow is
- Who the actors of the workflow are
- Who the actor of the current step of the workflow is

Based on this information, the system applies the following rules to verify which actions are available for each user. Specifically the rules applied are:

- Users with rights to initiate workflows:
  - ✓ Have access to the links to initiate workflows
  - ✓ Before launching a workflow:
    - Edit workflow general information
    - Add a comment
    - Add/update/remove/download/preview documents
    - Change any actor of the workflow steps
    - Save/launch/cancel the workflow
  - ✓ Once the workflow has been started ("In progress"):
    - Have access to the workflow details once it has been launched
    - Delete the workflow if it has been re-assigned to the initiator to the first step
- The user who has the current step of the workflow assigned:
  - ✓ If you are the workflow initiator and the workflow has been returned to the first step, you will be able to:
    - Delete the workflow
  - ✓ If you are not the initiator of the workflow you will be able to:
    - Access the details of the workflow through the "Workflows assigned to me" list

- Edit workflow general information
- Add/review comments
- Add/update/download/preview documents
- Delete documents before the step is signed
- Change any actor of the current and next steps of the **workflow if the work-flow is not confidential. For confidential workflows only the initiator is allowed to perform this action**
- Sign/reject/cancel the step

12.2 Specific rules for non-confidential workflows

The following rules are applicable to non-confidential workflows

- Users belonging to the same group of users as the actor of the current step, members of groups FIA and FVA or the initiator will access workflow details in read-only mode:
  - ✓ General information will not be available to be changed
  - ✓ All buttons will be disabled except a "Cancel" button
  - ✓ Documents will not be available to download/preview
  - ✓ Controls to change actors in the workflow will be disabled **except** for the list to re-assign the actor of the current step
- Any other user of the system will be able to access the workflow details in read-only mode:
  - ✓ General information will not be available to be changed
  - ✓ All buttons will be disabled except a "Cancel" button
  - ✓ Documents will not be available to download/preview
  - ✓ Controls to change actors in the workflow will be disabled

12.3 Specific rules for confidential workflows

Only the following users will have access to confidential workflows, regardless the workflow status:

- The initiator of the confidential workflow
- Any actor of the workflow steps: Actors involved in a confidential workflow will have access to workflow information at any moment during the life of the workflow

Members of FIA, FVA or of the group owning the current step of the workflow will not have rights to see or access the workflow unless they are the initiator of the workflow, one of its actors or they belong to the specific group with permission for confidential workflows.

Documents attached to steps in confidential workflows will only be displayed by the initiator, the user responsible for the corresponding step and users included in the specific group with permission to see confidential workflows.

Specific rules for confidential workflows are also applicable to:

- Lists (All workflows, workflows pending to be signed and status of initiated workflows).
- Search results.
- Link workflow(s).

This means that the system will not list or offer as search results any workflow they are not allowed to see.

13 Searching for workflows

There are two functionalities that can be used to search for workflows and that can be found through following tabs of the Paperless Routing Slip homepage: “All workflows” and “Advanced search”.

13.1 All workflows

The tab to access this functionality can be found on the top of the page:

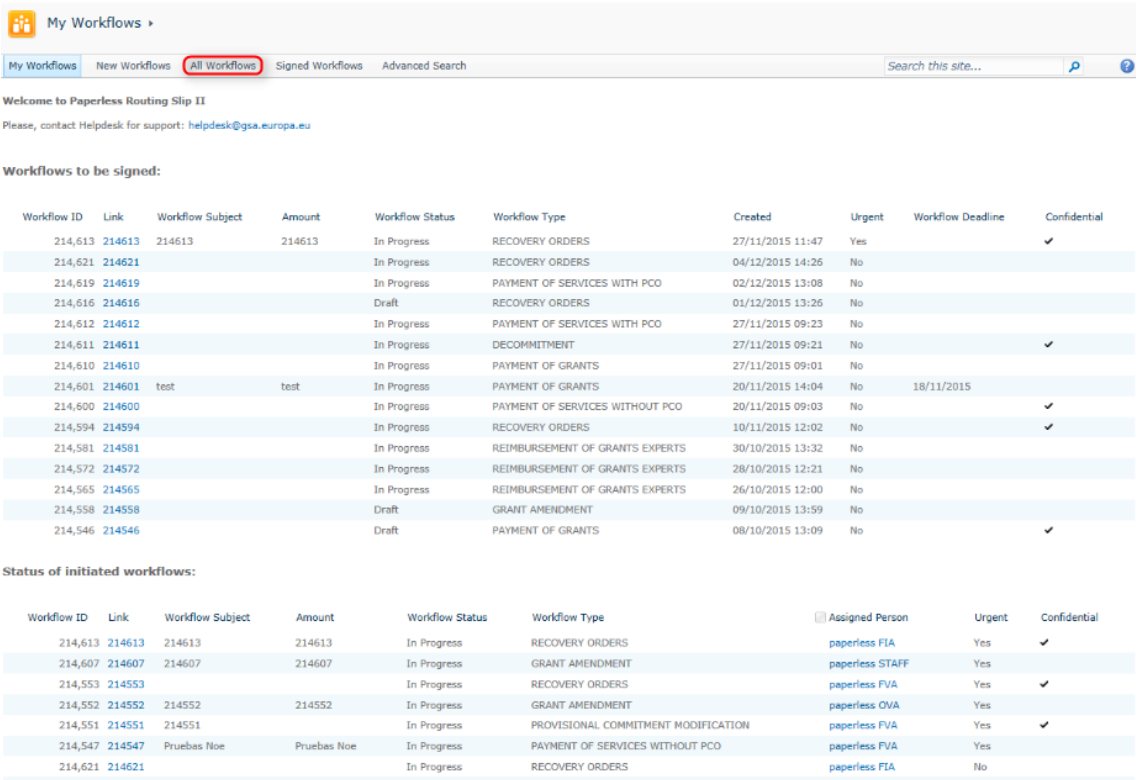
Figure 19 – All workflows tab

This tab shows[11] all non-confidential workflows that are in the system and those confidential workflows where the user is the initiator, an actor, regardless its status. Users included in the group with access to all Paperless Workflows will display all workflows (confidential or not). Specifically the information that will be shown in the list is:

- **Workflow ID**: Number that uniquely identifies the workflow.
- **Link**: Link to the workflow details.
- **Workflow subject**: The text added to the "subject" field of the workflow. If the workflow type does not have this field, it will appear empty.
- **Amount:** The text added to the "Amount" field of the workflow. If the workflow type does not have this field or if it does not contain a value, it will appear empty.
- **Workflow status**: "Draft", "In progress", "Closed" or "Deleted".
- **Workflow type**: Type of the workflow (i.e. "Payment of grants")
- **Assigned person:** The person responsible of the current step of each workflow. It will appear empty for those workflows "Closed" or "Deleted".
- **Urgent**: This field will have the values "Yes" or "No".
- **Created:** Date when the workflow was created.
- **Initiated by:** Name of the person who launched the workflow.
- **Signed by:** Displays the name of the logged user only in those workflows in which he has signed at least one of the steps.
- **Confidential:** This field will indicate if the workflow is confidential or not. For non-confidential workflows it will be empty and for the confidential a "tick" will be shown.

To narrow the search it is possible to use the filter and sorting capabilities available in the name of its column.

[11] Users with Staff-Ext role assigned will be able to see "All Workflows" tab content but they will not be able to access a specific workflow they have not been part of



My Workflows ▸

My Workflows | New Workflows | All Workflows | Signed Workflows | Advanced Search | Search this site...

Welcome to Paperless Routing Slip II

Please, contact Helpdesk for support: helpdesk@gsa.europa.eu

Workflows to be signed:

Workflow ID	Link	Workflow Subject	Amount	Workflow Status	Workflow Type	Created	Urgent	Workflow Deadline	Confidential
214,613	214613	214613	214613	In Progress	RECOVERY ORDERS	27/11/2015 11:47	Yes		✔
214,621	214621			In Progress	RECOVERY ORDERS	04/12/2015 14:26	No		
214,619	214619			In Progress	PAYMENT OF SERVICES WITH PCO	02/12/2015 13:08	No		
214,616	214616			Draft	RECOVERY ORDERS	01/12/2015 13:26	No		
214,612	214612			In Progress	PAYMENT OF SERVICES WITH PCO	27/11/2015 09:23	No		
214,611	214611			In Progress	DECOMMITMENT	27/11/2015 09:21	No		✔
214,610	214610			In Progress	PAYMENT OF GRANTS	27/11/2015 09:01	No		
214,601	214601	test	test	In Progress	PAYMENT OF GRANTS	20/11/2015 14:04	No	18/11/2015	
214,600	214600			In Progress	PAYMENT OF SERVICES WITHOUT PCO	20/11/2015 09:03	No		✔
214,594	214594			In Progress	RECOVERY ORDERS	10/11/2015 12:02	No		✔
214,581	214581			In Progress	REIMBURSEMENT OF GRANTS EXPERTS	30/10/2015 13:32	No		
214,572	214572			In Progress	REIMBURSEMENT OF GRANTS EXPERTS	28/10/2015 12:21	No		
214,565	214565			In Progress	REIMBURSEMENT OF GRANTS EXPERTS	26/10/2015 12:00	No		
214,558	214558			Draft	GRANT AMENDMENT	09/10/2015 13:59	No		
214,546	214546			Draft	PAYMENT OF GRANTS	08/10/2015 13:09	No		✔

Status of initiated workflows:

Workflow ID	Link	Workflow Subject	Amount	Workflow Status	Workflow Type	Assigned Person	Urgent	Confidential
214,613	214613	214613	214613	In Progress	RECOVERY ORDERS	paperless FIA	Yes	✔
214,607	214607	214607	214607	In Progress	GRANT AMENDMENT	paperless STAFF	Yes	
214,553	214553			In Progress	RECOVERY ORDERS	paperless FVA	Yes	✔
214,552	214552	214552	214552	In Progress	GRANT AMENDMENT	paperless OVA	Yes	
214,551	214551	214551		In Progress	PROVISIONAL COMMITMENT MODIFICATION	paperless FVA	Yes	✔
214,547	214547	Pruebas Noe	Pruebas Noe	In Progress	PAYMENT OF SERVICES WITHOUT PCO	paperless FVA	Yes	
214,621	214621			In Progress	RECOVERY ORDERS	paperless FIA	No	

Figure 20 – All workflows