COMMONWEALTH DEPARTMENT OF
VETERANS' AFFAIRS

Document Titling Protocol for

Policy & Administration Correspondence

NOTES

PURPOSE

The purpose of this document is to provide guidelines for the titling of electronic documents including email messages that will be stored in the Integrated Document Management System (IDMS).

INTRODUCTION

The use of clear and concise document titling facilitates the easy recognition and retrieval of information stored within the IDMS. The documents added into TRIM must be placed into a container (file), which is equivalent to the current paper file. The Records Management Section, using standardised terminology from the DVA's Keyword Thesaurus creates these containers/files. This provides the context for the electronic documents enclosed in the container.

As individual staff members will be registering documents into the IDMS, it is the responsibility of the individual to ensure that the titles allocated to those electronic documents are factual, meaningful and accurate.

The basic records management principles still apply to electronic documents and the concept of storing documents on a file has not changed, whether the document is paper or electronic. We are simply storing the document in the electronic format in which it was created

DATA ENTRY STANDARDS FOR DOCUMENT TITLING

Meaningful document titling is important for easy recognition and retrieval. The purpose of allocating a title to a document is to inform the reader about the content of the document without having to view the document itself. To this end a document title needs to be expressed in terms that can be understood by all departmental staff. Email is a type of electronic document and as such it is expected that the titling of email should also follow these guidelines.

The title of the document should include:

- Type of document (eg. Minutes, Reports, etc. See Attachment A for further suggestions.)
- Subject (eg. Veterans' Open Day)

- Additional identifying features (eg. Date, Correspondent)

The title of the document should not include:
- Uncommon abbreviations or acronyms.
- Misspelt words.
- Personal/meaningless information (eg. George, DVA1).

Punctuation
When TRIM creates a new record it indexes the words in the title. Some punctuation can affect the way the word is recorded in TRIM. Other punctuation such as / (slash) and the - (hyphen) will be treated by TRIM as part of the word if there are no spaces between them.

For example, if you use. SMITH-MINISTER in the title, it will be indexed as a string of words rather than two separate words, In this case, if you searched for the word MINISTER, it would not be retrieved. The correct format is SMITH – MINISTER.

Spelling
The purpose of giving the document a title is to facilitate its retrieval. Staff must ensure that words are not misspelt, or the document may not be found in a search process. All spelling should be the Australian preferred version.

Grammar
Titles should be grammatically correct to enable easy future retrieval of the record.

Abbreviations and Acronyms
The use of abbreviations and acronyms should be limited to those common to the department or the APS. Please refer to the *Glossary of Acronyms* in the back of the Annual Report. Others should be expanded in full.

When entering an abbreviation, please do not use full stops to separate letters, eg VVCS should not look like V.V.C.S. Because TRIM ignores some punctuation (see the list below) it will see V.V.C.S as actually being V V C S – i.e. four consecutive letters separated by spaces.
It is preferable that abbreviations alone are not used, but instead used with a fully expanded version of the word, eg *Vietnam Veterans Counselling Service (VVCS)*.

Proper Names

Where a person's name is recorded, the surname should be capitalised. If known, the Christian name should be used, not simply the initials.. Eg. SMITH, Fred R or Fred R SMITH

Dates

If it is necessary to record a date in the document title the date should be recorded in full. The preferred format is **DDMMCCYY** eg. 04072000.

Common Words

TRIM calls common words (eg. and, or, but) *Noise Words*. You can use these words in the title; however as TRIM doesn't index them, they cannot be used for searching.

Limitations

TRIM limits the size of the title field to 256 characters. If necessary, additional free text can be entered into the **Notes** field.

Default Information Recorded in IDMS

When documents are registered into the IDMS the system allocates some information as the default. This includes

- Date the document was created in the desktop application
- Date the document was registered in the IDMS

You do not need to duplicate these details in the record title.

Attachment A

This table provides a list of the more common types of correspondence.

Agenda	Invoice
Cablegram	Memo
Transcript	Newsletter
Email	Report
File	State Office File
Invitation	Note for File
Letter	Fax
Minute	Submission
Briefing	Departmental
Grants	Ministerial
Ministerial with Brief	Minute to Minister
Ombudsman	Question Representatives
Question Senate	Secretary
Incoming Letter	Draft Reply
Interim Reply	Rewrite Page
Signed Reply	State Report

Australian Government

Department of Veterans' Affairs

TRIM/CONTENT MANAGER 9 (CM9) DOCUMENT TITLING PRINCIPLES

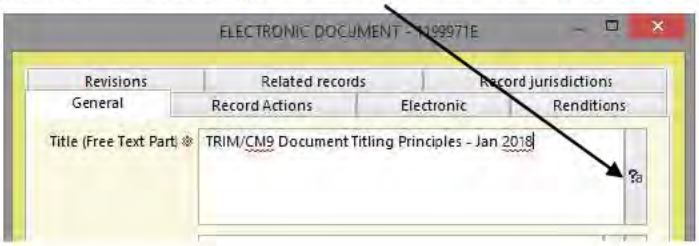
The use of clear and concise record titling helps with the easy recognition and retrieval of information stored in TRIM/CM9. The Records Management Section (RMS) team assist with the creation DVA's containers/ files using standardised terminology from the DVA's Keyword Thesaurus. However it is up to DVA staff members register their own electronic documents in TRIM/CM9. It is the responsibility of the individual to ensure that the titles allocated to these electronic documents are factual, meaningful, accurate and consistent. .

Document Titling Principles

Meaningful titling is important for easy recognition, retrieval, and disposal of records. The purpose of allocating a title to a document is to inform the reader about the content without them having to view the record. Therefore, document titles need to be expressed in terms that can be used and understood by all departmental staff.

TRY to include:

- Informative details on the content
- The type of document (e.g. Minutes, Reports, E-mail, Agenda, etc.)
- The subject (e.g. Veterans' Open Day)
- A date that's specifies the year, month or day, as necessary. Financial records can use the financial year, if that is appropriate.
- Additional identifying information (such as dates or details of the external correspondent / recipient. Where a person's name is used, the surname should be capitalised e.g. SMITH.)
- A spell check in the process – there is a spell checker at the end of the *record title* field (see below)



Avoid including:

- Generic terms like 'general', 'administration', 'correspondence' & 'miscellaneous' mixed together,
- Uncommon abbreviations or acronyms (unless they have further explanation)
- Personal/meaningless information (e.g. George, DVA1).

As an email is a type of electronic document, it is expected that titling of messages captured in TRIM/CM9, also follow these guidelines.

Punctuation – When TRIM/CM9 creates a new record it indexes the words in the title, but some punctuation marks affect the way that TRIM/CM9 indexes a term. For example, it treats marks such as the / (slash) and the - (hyphen) as part of the word if they do not have spaces around them. A comma (,) will be indexed as part of a word, if it isn't followed by a space. Sequential characters (without spaces) will be joined to the word, e.g. (SMITH)– JONES will be indexed as "SMITH)–" and "JONES".

If ‘SMITH-MINISTER’ was used in a title it would be indexed as one word rather than two words because there aren't any spaces around the dash. In this instance, a search for the word MINISTER would not find the record, but the search *would* find the record if the spaces had been added (i.e., SMITH – MINISTER).

The only exception to this rule is if the dash or slash is actually part of the term. For example, if a person's surname is hyphenated (SMITH–JONES) it should be entered without the spaces. A search would use the whole name including the hyphen.

Tip: It is important to include spaces around slashes so that TRIM/CM9 can index the words 'properly'. Put spaces around slashes, dashes, and any other punctuation marks if they are not actually part of the word.

Spelling – Staff must ensure that words are spelled correctly, using the preferred Australian version. A spell checker is available at the end of the *Title and Notes* data entry fields but it will not necessarily pick up things like "smith/minister" as errors. (See *Punctuation* for more info.)

Grammar – Titles should be grammatically correct.

Abbreviations and Acronyms – The use of abbreviations and acronyms should be limited to terms that are common to the Department or the APS (as outlined in the *Glossary of Acronyms* in the Annual Report). It is preferable that the fully expanded version of the term is included with the abbreviation, e.g. *Vietnam Veterans Counseling Service (VVCS)*.

Acronyms can be used as long as they are accompanied by the full wording (but please don't use full stops between the letters of the acronym). If there isn't enough room in the record title, include the full wording in the Notes field.

The key reason not to abbreviate words is because it affects people's ability to find records. If a record title had *assn* instead of *association*, people would not necessarily know to or think about using that term in their search. Therefore, someone searching using the proper word – or their own abbreviation for it (*Assoc* or *Ass* or *Asn* or *Asstn)* – they would not find the record. Always writing words in full will prevent this from being a problem.

Confidential – *Do not use the word ‘confidential’* unless your records and the way they are stored meet the conditions and requirements set out in the **Commonwealth Protective Security Manual** and **DVA's Protective Security Manual**. (See record number 0264484E for more information.)

Proper Names – Where a person’s name is used in a record, the surname should be capitalised. The person's given names, if known, should be included in full. E.g. SMITH, Fred or Fred SMITH

Common Words – TRIM/CM9 calls common words (e.g. and, or, but) *Noise Words* and does not index them. The words can be used in record titles and notes but they cannot be used as the search value in word based searches.

Limits – The record title field is limited to 256 characters. If necessary, additional text or references can be added to the **Notes** field.

Dates – When dates are included in record titles, they should be written in the preferred format **DD/MM/YYYY** e.g. 04/07/2000.

Default information captured in TRIM/CM9

When a document is registered in TRIMCM9 the system incorporates some of the information from the document into the new record. For example, the date that the document was created in the desktop application becomes the *date created* and the date that it was added to TRIM/CM9 becomes the *date registered*.

Also *Creator* is captured from the logon of the person who registers the document in TRIM/CM9, while *Author* can be edited to show who actually authored the document.

If you have any further questions about Document titling please contact the TRIM Administrator:
s 47E(d) [redacted]

Australian Government
Department of Veterans' Affairs

Digital Transition

Rehabilitation & Compensation

"How To's" for HP TRIM

Version no:	1.0
TRIM Reference:	15631150E
Date:	22 March 2016

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Contents

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Revisions and Amendments

Version	Date	Changed By	Change
0.1	17 November 2015	L s 47E(d)	Initial Draft
0.2	18 November 2015	L [redacted]	Second Draft
0.3	19 November 2015	L [redacted]	Layout changes & revision mgt
0.4	12 January 2016	L [redacted]	Minor cosmetic changes
0.5	28 January 2016	L [redacted]	Additions for training package
0.6	29 January 2016	L [redacted]	Amendment to “Do Not Use” terms
1.0	22 March 2016	L [redacted]	finalisation of booklet

Approvals

Version	Date Approved	By	TRIM File Reference
1.0	xx November 2015	R&C Board	

Compliance and Version Control

Once approved this document is maintained in electronic form at the TRIM reference shown on the front cover. Printed copies may not be the latest version.

Confidentiality and Disclosure

This document is owned by the Department of Veterans’ Affairs and is only to be distributed or disclosed to personnel, both internal and external to the Department, who have a need for this information

Purpose

This document was created to satisfy the basic needs of users within R&C in the daily use of HP TRIM. This is not an exhaustive document. More information about TRIM and its use can be gained for the following sources:

- The eRecords team (Mailto:s 47E(d) [redacted]),
- DVATrain – HP TRIM basic (or R&C tailored <TBC>) training modules,
- TRIM Help Sheets Intranet File container in TRIM (Ref: 092535), and
- Your supervisor or local TRIM Champion/Power user.

You should also be aware of our Secretary's mandate of DVA being on the digital journey and maybe the Digital Transformation Office's WoAG directive of "Digital by 2020" that is driving this.

You are now encouraged to take up the challenge to become a Power User of HP TRIM.

Opening HP TRIM at DVA and creating a new shortcut icon

(From DVA HP TRIM ® (Ver. 7.3.5) TRAINING MANUAL – Help sheet No. 01)
If you haven't opened HP TRIM before or if you have lost your HP TRIM shortcut icon, below is the method on how to action this.

How to:

1. At bottom left of your MS Windows desktop, click on the Start icon ,
2. Click on *All Programs*,
3. Then select *Departmental* and then select *Corporate Applications*,
4. Then select the *TRIM* menu and within that, the **HP TRIM** icon,
5. At this point, before you select the icon with a **Left mouse click** to open the app, you could select it with a **Right mouse click**,
6. This will allow you to select either *Pin to Taskbar* OR *Pin to Start Menu*, and
7. This will then add the HP TRIM icon to you Taskbar of Start Menu respectively

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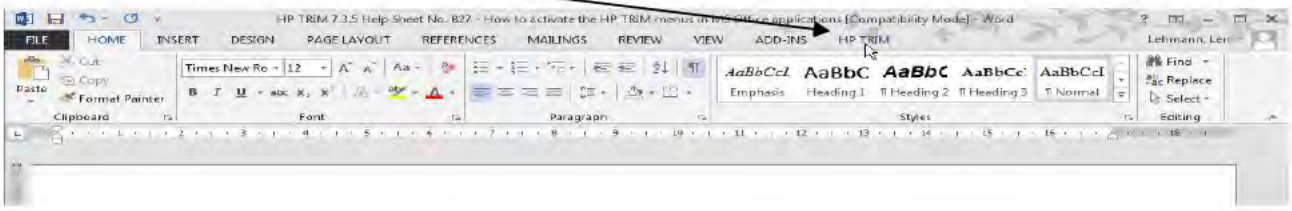
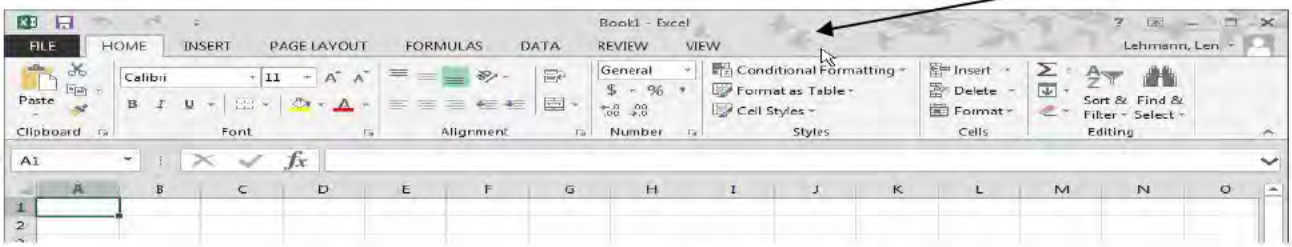
Activating the HP TRIM menus in MS Office applications

(From **DVA HP TRIM ® (Ver. 7.3.5) TRAINING MANUAL – Help sheet)**

As a default, all staff should have HP TRIM Menu in their MS Office applications (ie. Top Centre of your screen in MS Word, Excel or Outlook). However, for a number of reasons the HP TRIM integration may have been disabled. If the integration for your MS Office product is activated it will look like this:



If the HP TRIM integration is de-activated the HP TRIM menu will be missing like this:



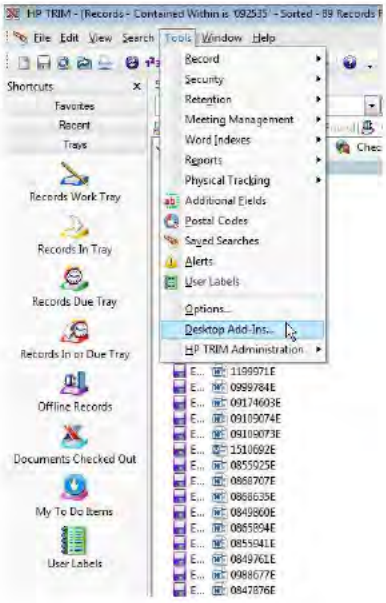
Users are able to re-activate this integration with the following process.

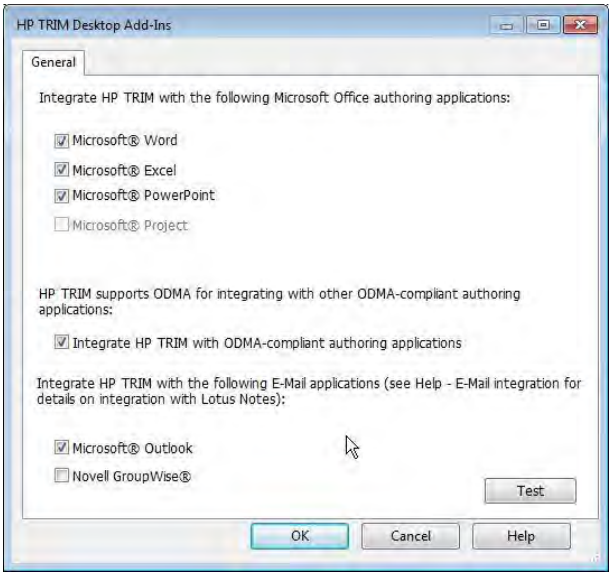
How to:

1. Open **HP TRIM,**

2. Click on the **Tools** menu (Top left of your screen),

3. Then select the *Desktop Add-Ins…* option, (shown right)





4. The *HP TRIM Desktop Add-Ins* window will open (shown left),

5. Ensure all boxes that are checked to the left here are also checked in your window,

6. Once those have been checked, click on **OK**,

7. Then you must close down HP TRIM,

8. Following that you **MUST** close down any MS Office products you had open at the time of checking those boxes,

9. Reopen HP TRIM first. This will start the re-activation of the TRIM integration, and

10. Then open the required MS Office product and look for the HP TRIM menu (Top centre of screen).

IMPORTANT: If the above process does not re-activate the HP TRIM menu in any of the required MS Office products, please contact the DVA TRIM Administrator via phone or email (Mailto: s 47E(d) [redacted]).

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Saving a document from an MS Office 2013 app directly into HP TRIM as a Client E-Doc.

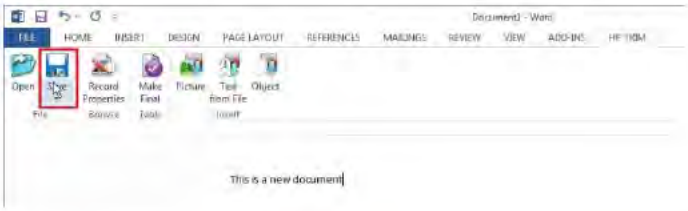
(From DVA HP TRIM ® (Ver. 7.3.5) TRAINING MANUAL – Help sheet No. 15)
Saving or registering in HP TRIM is important to capture all corporate records. Corporate records that are work in progress or only in draft form can also be put straight into HP TRIM and have restricted access applied. The integration between HP TRIM and MS Word/Excel/Outlook has changed its process in MS Office 2013 products. The new method is as follows:

How to:

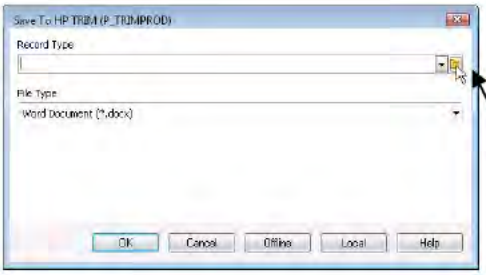
1. Create the new document in a MS Office 2013 application (e.g. MS Word)

2. Look for and click on the **HP TRIM** dropdown menu,

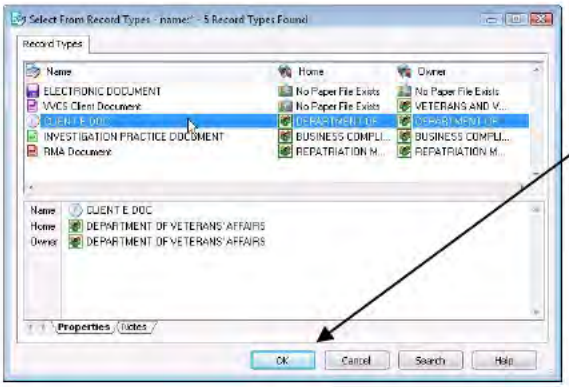
3. Then click on the **Save** (Diskette icon) and a *Save to HP TRIM* window will open (shown below)



4. This window will open.

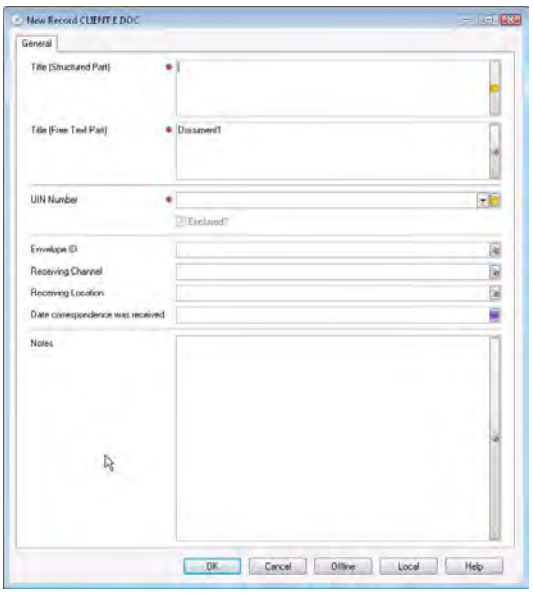


5. Select the Record Type of *Client E-Doc*, from the **KwikSelect folder** icon ( ), then **OK** button.



NOTE 1: Saving to server drives.
If you have a business reason to save the document to a server/network drive (i.e.: outside of HP TRIM), then click the Local button here. The menu for your local directories will then be displayed.

6. A *New Record CLIENT E DOC* window will open, (shown below)



7. Then enter in the following:
   - **Title (Structured Part):** (* = Mandatory field), Click in the yellow **KwikSelect** button ( ), and select from the relevant options in the *Select from Thesaurus Terms* window (shown below) - See **Using the Title – Structured Part thesaurus** heading on Page 9 for assistance with this.
   - **Title (Free Text Part)**: (* = Mandatory field), See Page 10 (Below) for assistance with this.
   - **Container** (* = Mandatory field), Enter or select an appropriate HP TRIM container number for the document to find the container number. The yellow **KwikSelect** button ( ) will start a search action to find your required container.
     Hint: If you often put documents in the same files/containers, click on the **Drop down Memory menu** button ( ), this store the last 10 options you have chosen in the particular field.
   - Enter any **Access Control** restrictions, if necessary.
     Hint: Read the document *TRIM Help Sheet - How to apply Access Controls to an existing record* (TRIM Ref: 0849887E) for assistance with this.
   - Add any additional relevant information in the **Notes** field
     Hint: Read the document *TRIM Help Sheet - How to use the Notes field* (TRIM Ref: 0847891E), for assistance with this.
8. Click **OK** to create the new record in HP TRIM.

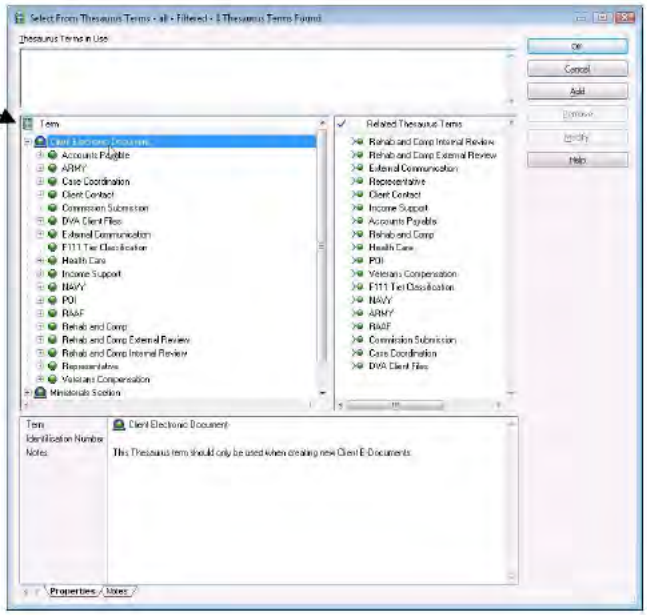
NOTE 2: Be aware when creating a new document.
It is important to be aware that a document is NOT completely saved into (or registered by) HP TRIM, **until it is fully closed down from its creation application**. Until you do this, it WILL NOT be found in any search criteria results. Ensure you close the new document before searching for it in TRIM.

Using the Title - Structured Text thesaurus

These are business unit defined and agreed terms for the users use to create meaningful titles. This will assist with the grouping like documents together, for easier searching and then retrieval of documents and information, going forward.

How to:

1. In the *Term* pane of the "**Select from Thesaurus terms – all …**" window, Select the *Client Electronic Document* option (select by Double Mouse Clicking only in this pane)
2. Then select the *Rehab and Comp* option (by Double Mouse Clicking again),
3. Then select the thesaurus term that best fits your business unit within R&C (by Double Mouse Clicking on it again),
4. Then select the next level thesaurus term that best fit the activity discussed in the document, and
5. Then click on **OK**.



This will then display the terms you have chosen in the Title (Structured Part) of the *New Record CLIENT E DOC* window, you started with.

Example: Rehab and Comp – Needs assessment – Election SRCA Section 45

In the top part of the *Select From Thesaurus Terms* window, you can see the thesaurus terms you have chosen in the *Thesaurus Term in Use* pane.

Errors:

If you have made an error or chosen the incorrect option, you can go back one step in the structured title by clicking on **Remove** button.

Preferred terms to USE

Use the thesaurus terms that relate to your relevant business unit, e.g.

- Incapacity
- Initial Liability
- Inability
- Permanent Impairment
- Rehabilitation,

DO NOT USE

These following terms:

- Claims ….., or
- Other

Free Text Titling Rules

It has been agreed that the following title entered into the Title (Free Text Part) field should be structured as follows.

<Condition> - <Surname> - <Date Received> - <Author> - <Subject>

Example: Left foot swelling – SMITH – 18 NOV 2015 – Dr Jones – evaluation and prognosis

Each part of the free text titling from above is explained below.

Condition

In the "Condition" part of the Title (Free Text Part), users should enter the medical condition that the document refers to. If there is more than one condition is stated or included in the document, then enter "Multiple" at the beginning of the Free Text title.

Surname

In the "Surname" part of the Title (Free Text Part), users should enter the Client's surname in CAPITALS. If the surname differs from because of marriage or other reason, then adopt the "Nee" principle in titling - E.g. *SMITH (NEE Jones)* – where "Jones" is the pre-married surname and the "SMITH" is the current surname.

Date Received

In the "Date Received" part of the Title (Free Text Part), users should enter the date the document was received by DVA. This is usually from the date stamp on the document.

Author

In the "Author" part of the Title (Free Text Part), users should enter the author of the document. If it is something like a report that has been authored by more than one person, enter the first author's name, then add "et al" – e.g.: … - *Dr. J SMITH et al* – …. If the author is you, the DVA delegate, then enter "DVA" as the author.

Subject

In the "Subject" part of the Title (Free Text Part), users should enter a short and concise phase that describes what the document discusses.

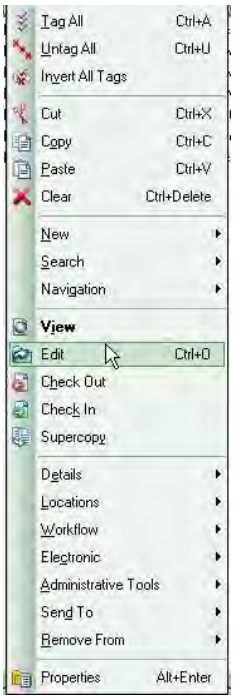
Modifying TRIM documents using the Edit button

(From DVA HP TRIM ® Ver. 7.3.5 TRAINING MANUAL – Help sheet No. 18)

The feature within HP TRIM to modify/amend electronic records called Edit. This allows a user to select an electronic document record, open it in its own application, modify the document, and then return a new revision of the record to HP TRIM without using Offline Records. Please note this feature is not available if the record is an email message or when the electronic document has been made *Final.*

How to:

1. Highlight the electronic document you wish to edit in HP TRIM.
2. Click on the **Edit Electronic Document (Ctrl + O)** button ( ) on the toolbar at the top of your screen OR *Right mouse click* on the appropriate record, then select **Edit** from the pop out menu. (shown right)



NOTE 3: Missing EDIT option

If the **Edit** option is not there, then the document cannot be modified. It may have been *Finalised,* OR currently being edited by someone else, OR have restrictive *Access Controls* applied.

3. The document will open in its own application (e.g., in MS Word).
4. Modify/amend/edit the document as desired.
5. Save the changes to that document.
6. Close the document (and the application, if desired).

NOTE 4: When changes to Documents will appear in TRIM

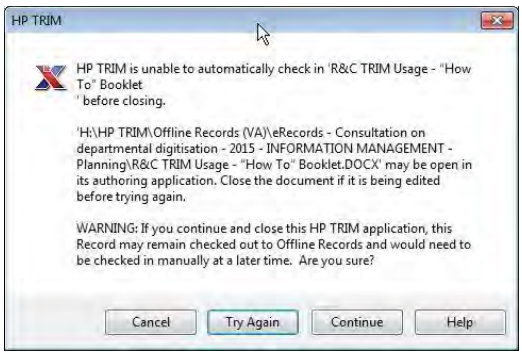
The changes made to the document will ONLY be added back into HP TRIM when you close the document fully.

7. On closing a new revision of the record with the new amendments will be added into HP TRIM.

If the document is large it may take a while for the record to be updated.

NOTE 5: Closing of HP TRIM error message.

If you close HP TRIM before you save and close the document, it will break the link with the document and it will be saved to Offline Records. If this happens the TRIM record will not be updated, until you manually check the document back in. HP TRIM will tell you know you still have anything checked out with the error message shown right.



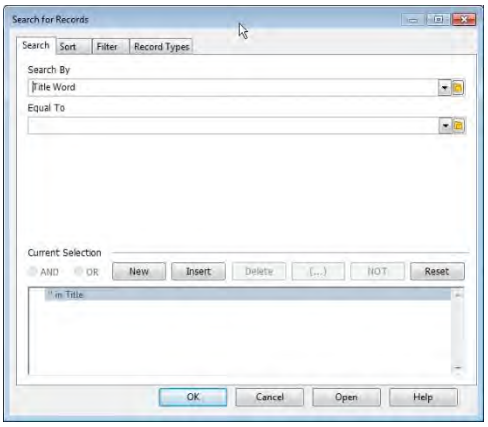
You should click on **Cancel** here, close down all documents you have opened (or are editing) from TRIM and then close TRIM.

Press **F5** to refresh the information that appears in your HP TRIM screen.

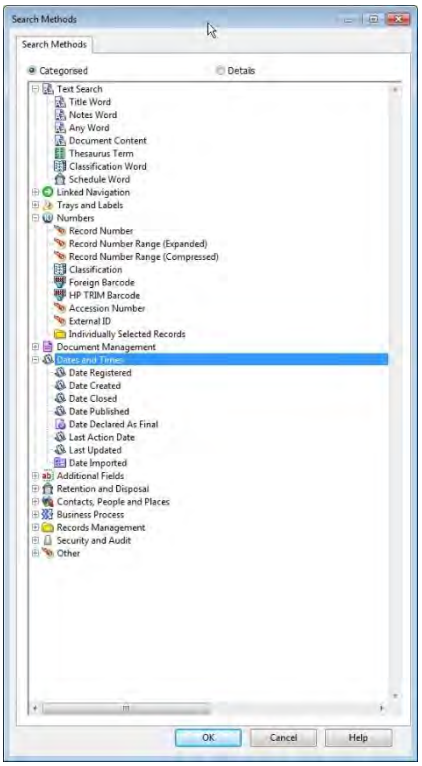
Performing a Simple Search

(From DVA HP TRIM ® (Ver. 7.3.4) TRAINING MANUAL – Help sheet No. 10)
The simple search method involves a single level or a single search criteria. Depending on which criteria chosen, you get many results or only a single result. Using this method is the same as using the Find Records Pane.

How to:



1. Go to the *Search* menu, then select *Find Records* (Ctrl-F) *OR* click the **Find Records** (Ctrl+F) button/icon ( ) in the Standard toolbar (top left of your screen)
2. The *Search for Records* window will open (shown right)
3. Select your search criteria (e.g. a title word, record number, date range, etc) by using the Drop Down menu ( ) or **KwikSelect** folder button ( ) to the right of the *Search By* field
4. If using the **KwikSelect** button, the *Search Methods* window (shown right) will open. Click the **Plus** (+) button, next to the relevant broad search category heading, to display the expanded list of search criteria. Some of the main subcategories are shown right.
5. Open you have selected your search method criteria, click on **OK**
6. Then enter the search value (e.g. the word, record number, date, etc) in the *Equal To* field
7. The *Drop Down List* and *KwikSelect* folder button will have options relevant to the selected search criteria
8. If desired, use the *Filter* or *Record Types* tabs to qualify or restrict the record types or types of electronic documents that appear in the search results.
9. If desired, use the *Sort* tab to set the order of the search results (e.g. in number order, date created, alphabetical order, etc).
10. Click **OK** to start the search.



The HP TRIM results window will show the outcome of your search in the List pane.

NOTE 6: Using Wild cards in Searching
You have the ability use Wild Cards in TRIM searches. You can use following as wild card characters in your search criteria (Step 6 in the above "How To"):

Asterisk	"*",
Percent	"%",
Question Mark	"?" or
Underscore	"_"

The Asterisk or Percent symbols are used to represents any number of characters. The Question-Mark or Underscore symbols are used to represents a single character.

Note: The Question mark wildcard is not enabled for Document Content and Mail Message searches. This is discussed in those Help Sheets

Refining your Search results

If the search does not bring up the desired results, users can refine the search criteria by amending the previous search. Then can allow you to go from a single level search to a multi-level search quickly.

How to:

1. Press F7 key on your keyboard to reopen the Search form, which will contain your previous search criteria,
2. Amend the search criteria as necessary, and
3. Then click **OK**, to redo the search.

New search results will them be presented in your List Pane

Conducting a Multi-level Search (using more than 1 search value)

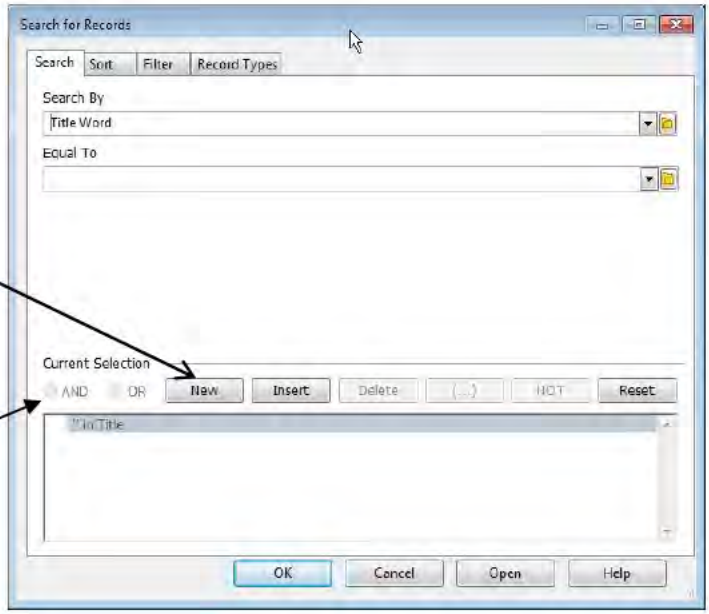
(From DVA HP TRIM ® Ver. 7.1.2 TRAINING MANUAL – Help sheet No. 11)

The link used to combine the search criteria, in a multi-level search, can limit or expand the search results. For example, a simple search might find all records about XYZ, however, an advanced search could be used to find the records about XYZ that were created in the past month (limiting your search results) OR find records with XYZ *and* records with ZYX (expanding your search results).

How to:

1. Go the *Search* menu, then select *Find Records OR* click the **Find Records (Ctrl+)** toolbar button/icon,
2. The *Search for Records* dialogue box will open (shown below),

3. As for a simple search, select the first search criteria and enter the appropriate search value (e.g., criteria = *Title Word*, search value = xyz),
4. Click on the **New** button, ****Ensure you do this for each subsequent level of search criteria.*
5. Enter your second search criteria and search value (e.g. in this example, the search criteria is *Date Registered*, the search value would be the date range - or "This Month"),
6. Use the options under *Current Selection* to select how the search values are to be combined ,



Below is a list of the definitions of the buttons in this area.

And	Find records that meet or have *both* search values
OR	Find records that meet or have *either* of the search values
(…)	Group the enclosed criteria
Not	include records that meet the first but not second search value (e.g., records with XYZ in the title that were *not* created during the specified dates)
Insert	Inserts a new set of search values above the highlighted entry in the **Current Selection** box.
Delete	Deletes the entry highlighted in the **Current Selection** box.
Reset	Deletes all search criteria to start a fresh search.

7. Click the **NEW** button to enter additional search criteria, if desired,
8. Click **OK** to perform the search.

In this example HP TRIM will now search for and find all the records (documents & containers) with "XYZ" in its title and that were registered in HP TRIM on the date 29 MAY 2014.

The results will be displayed in the normal Records List Pane screen.

Australian Government
Department of Veterans' Affairs

Customising your Record List Pane to view more columns

(From DVA HP TRIM ® (Ver. 7.3.5) TRAINING MANUAL – Help Sheet No. 03)

The Record List Pane can be customised to display columns of specific pieces of information HP TRIM captures. You can change the columns of information for your search results listed. You can have as many columns as you want across your TRIM page, but you may have scroll right or left in order to view them all.

How to:

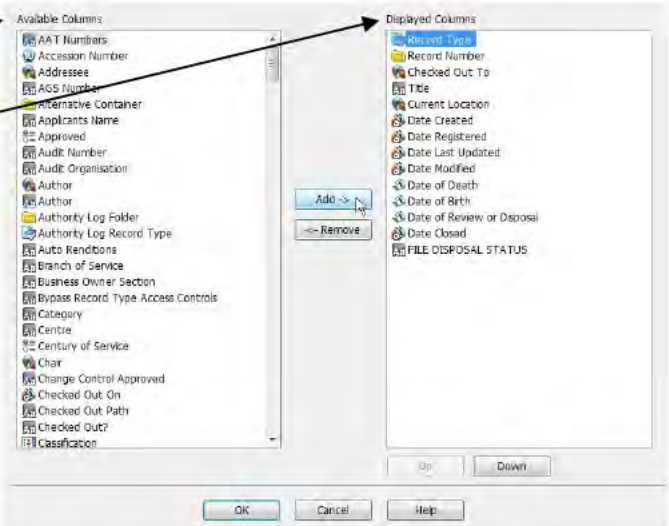
To select which columns are shown in your *Record List* pane

1. Move your mouse cursor over a column heading
   (e.g. over the word *Title* in the picture shown above.)

2. **Right mouse click** to open the pop out menu (shown right)

3. Then highlight and left click the **Format Columns** option in that menu

4. The *Column Preferences* dialogue box will open (shown right)
   The *Available Columns* field shows all the columns that could be displayed in the Record List pane
   The *Displayed Columns* field shows the columns that will be displayed in the Record List Pane



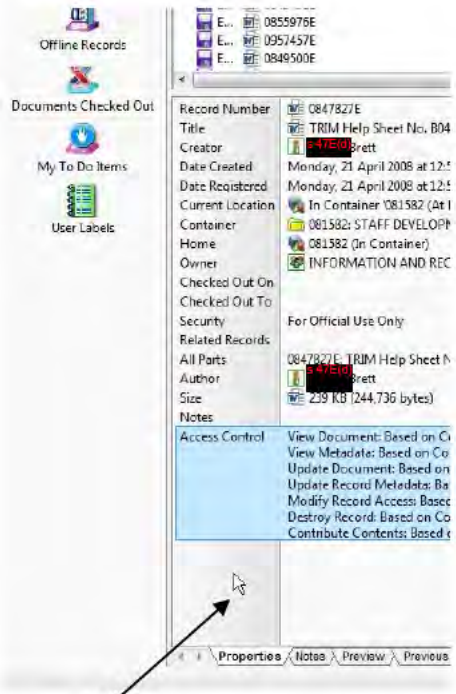
5. Find and highlight column headings(s), as desired, from the **Available Columns** list.
   - Use the **Add** button to make the item appear in the *Displayed Columns* list
   - Use the **Remove** button to take the item out of the *Displayed Columns* list

6. Click **OK** to accept the changes.

Your *Record View pane* should now display the columns you have chosen.

Customising your Record View Pane to view more specific data

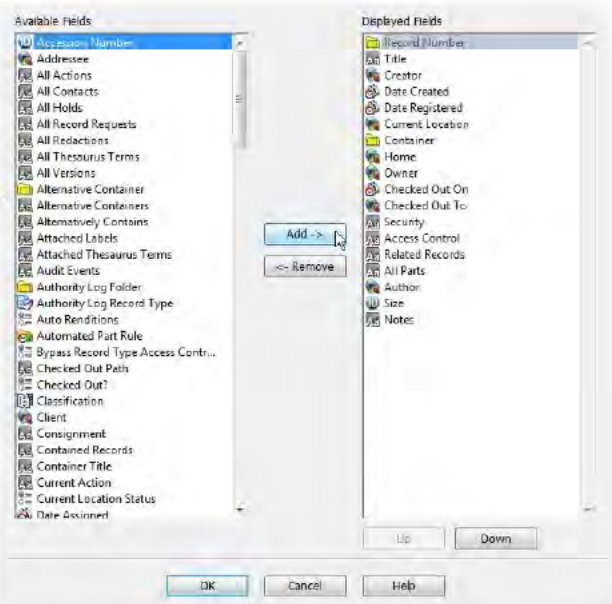
The Record View Pane can be customised to display specific pieces of information collected for individual record types that are useful to you as the user. Changes only apply to the Record View Pane of the highlighted record type. For example, in the picture shown below, the pane was customised to show fields relevant to *electronic document records.*



How to:

To select what fields are shown in the Record View Pane of a particular record type:

1. Highlight a record of the relevant record type
2. **Right mouse click** anywhere inside the R*ecord View pane,* then select **Customise** in the pop out menu.
3. This will open *the Record View Pane* dialogue box
   The *Available Fields* section lists all the items that could be displayed. Items in the *Displayed Fields* list will appear in the Record View Pane.
4. Highlight the desired field(s), then use the **Add** or **Remove** buttons to select or de-select them.
5. Use the **Up** and **Down** buttons to change the order of the fields, as desired.
6. Click **OK**, to close the dialogue box.

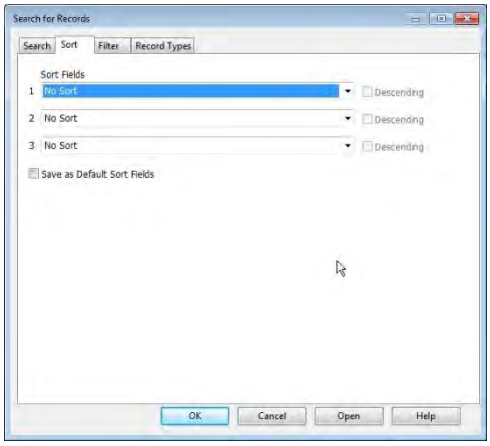


Sorting your Search results

(From DVA HP TRIM ® (Ver. 7.3.5) TRAINING MANUAL – Help sheet No. 13)

The standard search result listing is based on the order that the records were added to HP TRIM. However, HP TRIM has two options that you can use to determine how the records are listed. The first option forms part of the search, the second option is available once you have performed the search and uses the columns from the Record List Pane. This last option allows you to sort by the column quickly after a search has returns some result.

How to:



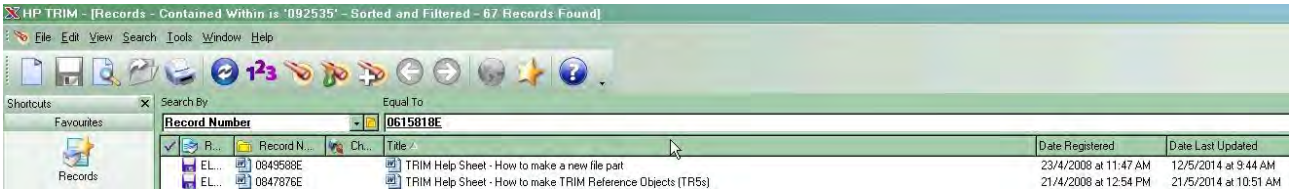
1. Enter the search criteria in the Search tab,
2. Click on the Sort tab
3. Select an option from the first list of Sort Fields.

   The 'Descending' tick/check box allows you to reverse the sort order.
4. Select your second and third options, if desired.
5. Click the *Search, Filter* or *Records Types* tabs to add to the search query OR click **OK** to do the search.
6. You results will be listed in line with the sort options you selected.

Changing the sort order of your results, After a completed search:

How to:

1. After performing your search, decide how you would like the records to be sorted (based on columns in the Record List Pane.)
2. In the *Record List pane*, click the heading of the desired column – i.e. if you click on the *Record number* column heading, it will sort the search results into record number order, clicking on the *Title* column heading, will sort the results into alpha-numeric order, the *Date Created* column will sort them into chronological order, and so on.



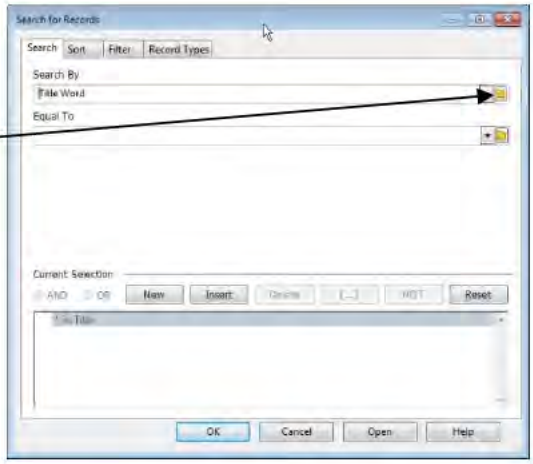
3. The records will be sorted in the ascending order of that column's values.
4. Click the heading a second time on the column heading will change the listing to descending order.

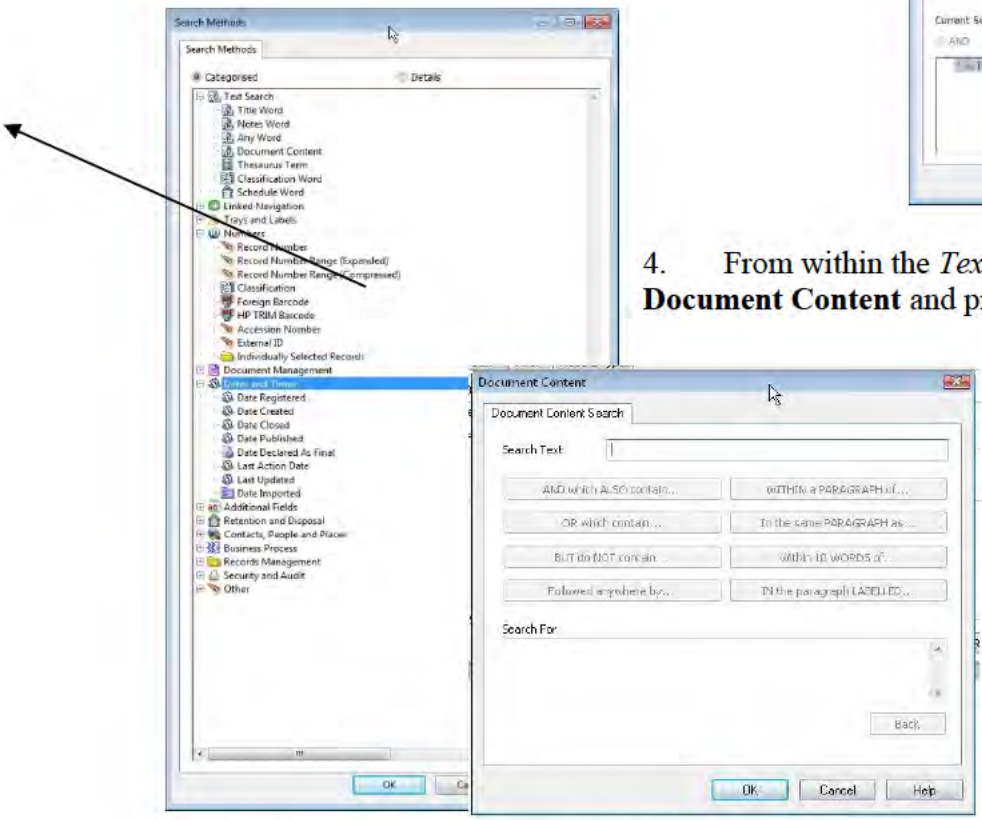
How to conduct a Document Content Search in HP TRIM

TRIM allows for searches for words or a combination of words within a document. This search capability is usually limited to MS Word and indexed Adobe PDF documents.

How To:

1. Go the **Search** menu then select **Find Records** *OR* click the **Find** toolbar button
2. The **Find Records** dialogue box will open
3. In the "Search By" field select the **Yellow KwikSelect** folder (type of search select)





4. From within the *Text Search* category select **Document Content** and press **Ok**
5. **Document Content** will appear in the *Search By* field, click on the KwikSelect button to the right in the *Search For* field  ,
6. The **Document Content Search** window will appear (shown right)
7. Type in the word you wish to search for,
8. If you are searching for a combination of words, paragraphs or excluded words then **Click** on the appropriate option. (Options are defined below)
9. If you want to remove a selection use the **Back** button
10. Once you have identified your search click the **Ok** button
11. Click the **Ok** button to run the search

Tips: *Document Content Searches will return a large number of records and may take a few minutes. You should determine exactly what you want when completing a Content search.*

Document Content Search buttons

It will assist you in selecting the correct search operators:

- **AND which ALSO contain** - documents which contain both of the entered words or phrases anywhere in the text of the document
- **OR which contain** - documents that contain any one of the entered words or phrases
- **But do NOT contain** - documents that contain the first word or phrase, but not the second

- **WITHIN a PARAGRAPH of** - documents in which the first word or phrase appears, but only if the second term or phrase is within a paragraph of the first
- **In the same PARAGRAPH as** - documents in which the first word or phrase appears, but only if the second term or phrase is in the same paragraph as the first
- **Within 10 WORDS of** - documents in which the first word or phrase appears, but only if the second term or phrase is within 10 words of the first
- **Followed anywhere by** - for finding two words or phrases in a document that are both contained in the document and the second term must follow the first
- **IN the paragraph LABELLED** - documents that contain a paragraph beginning with the typed in word or phrase.
- The **Back** button resets the dialogue box.

Alternatively, use the following search operators within the **Search For** field:
You do not have to use them in capital letters.

- **AND** - for documents which contain both of the entered words or phrases anywhere in the text of the document.
- **OR** - for documents that contain any one of the entered words or phrases.
- **NOT** - for documents that contain the first word or phrase, but not the second. It is not necessary for it to be typed in as AND NOT.
- **XOR** - the EXCLUSIVE OR operator is used to locate documents that contain the first word or phrase, and the second word or phrase, but not those that contain both.
- **EXCEPT** - for documents in which the first word or phrase appears, but only if the second term or phrase is not in the same paragraph as the first. This is a more specific version of NOT.
- **Paragraph** - for word processor files, a paragraph is considered to end at the next hard return. For ASCII files, a paragraph is up to the next blank line - that is, two carriage returns in a row.
- **IN** - for documents that contain one word or phrase in a paragraph that begins with another word or phrase.
- **LABEL** - for documents that contain a paragraph beginning with the typed in word or phrase.
- **...** (FAR FOLLOW) - The retrieved documents must contain both terms, and the second term must follow the appearance of the first.

The second term can be anywhere in the document as long as it occurs after the first.

- **..** (CLOSE FOLLOW) - The retrieved documents must contain both search terms occurring in pairs.

That is, the second term must immediately follow the first if a document is to be retrieved, without a repeated occurrence of the first term.
If the first term occurs multiple times before the second term, then it is the inner-most pair which is selected.

- **\x,y** - the IN PARAS operator is used to locate documents where either words or phrases occur within the specified number of paragraphs of each other.

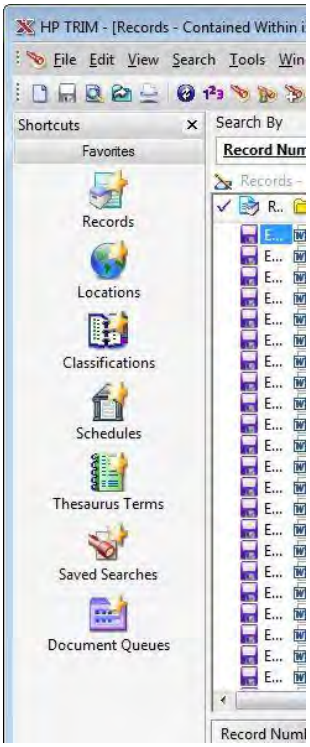
You can use two backslashes (\\) to specify **within a paragraph of**. You can also specify negative paragraph numbers.
The default for **x** is **1** and **y** defaults to **-x**.

- **/x,y**/or **W/n** - the NEAR BY operator is used to locate documents where both words or phrases appear in the same paragraph, within the number of words specified by x and y, or n in the second case.

You can use the form (//) to specify **in the same paragraph**.
The default for **y** is the end of the paragraph and the default for **x** is **-y** - that is, the beginning of the paragraph. You can also specify negative ranges.

HP TRIM Favourites and how to use them

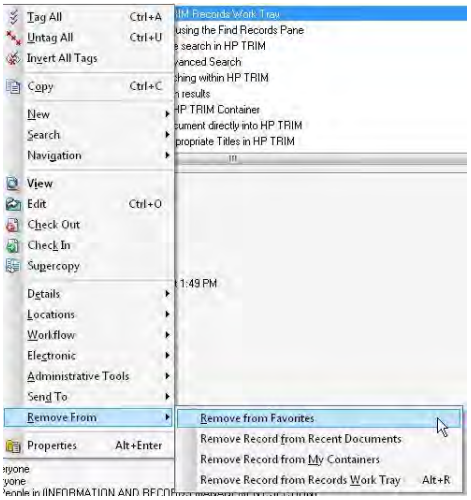
The **Favourites** tab on the **Shortcuts** bar is like a work tray in that it provides users with a way to bookmark items in TRIM. Unlike the TRIM Work Tray, which can only bookmark records, this feature allows you to keep a list of your favourites Records, Locations, Saved Searches, and Document Queues, etc. This effectively allows the user access to important documents and folders at your fingertips, i.e.: within 3 mouse clicks from outside HP TRIM.



How to Add:

1. Highlight or tag the record(s), location(s), saved search(es), or document queue(s) you want as a Favourite,
2. *Right Mouse Click* on any of the required documents of folders,
3. Select **Send To** on the pop up menu,
4. then select **Favourites,**
5. *Or* after Step 1, press the **F4** key
6. If more than one item is tagged, you will be asked how you want to apply the action.
7. After you click on **OK**, the item(s) will be added to the appropriate list of favourites.

How to remove an item from a Favourites list



1. Open the relevant Favourites list,
2. Highlight the item(s) you want to remove from the list,
3. *Right Mouse Click*, select **Remove From**, and then **Remove From Favourites,** and
4. The list will be refreshed.

HINT: Other Shortcut tabs are discussed in TRIM Help Sheet No. 08 - How to use your TRIM Work Tray (TRIM Ref: 0847872E).

How to use your HP TRIM Trays taskbar

Within the **Shortcuts** bar every HP TRIM user has the **Trays** tab. This is another area where you can bookmark or create links to important and regularly used records. Users control what records are added to their ***Records Work Tray*** and when those records are removed from that tray. The ***Records Work Tray*** provides ready access to records and can reduce the need for users to do "repeat searches" to find the records they want. The use of this work tray effectively allows the user access to important documents and folders very quickly, i.e.: within 3 mouse clicks from outside of HP TRIM.

These records can have any of the normal HP TRIM tasks performed against them while they are in the ***Records Work Tray***. They appear in the order that they were added to the ***Records Work Tray***, but they can be sorted when you perform a search that uses the Tray as the search criteria.

How To open your Records Work Tray

1. Click on the **Trays** tab under Shortcuts bar.
   This tab may be at the bottom left of your HP TRIM window, if you haven't opened it before,

2. Within that, Click on the **Records Work Tray** button 

   (shown right), and

3. The **Records Work Tray** will open, listing any records you have added to it.

To add records to your Work Tray

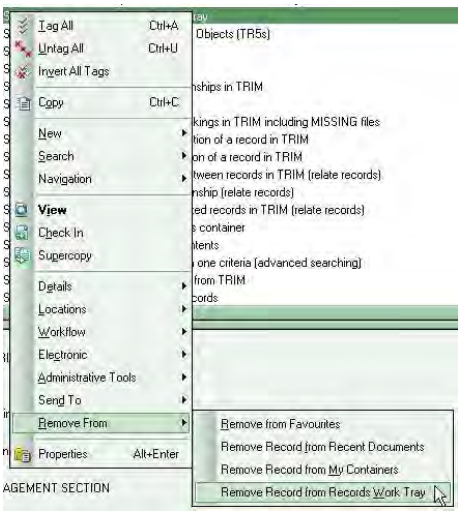
1. Highlight or tag the desired record(s),

2. Press *F3* OR *Right Mouse Click* on records, select **Send To**, then **Add to Records Work Tray**, and

3. The records will be added to your Records Work Tray.

To remove records from the Work Tray

This action removes the link to the records from within you Records Work Tray – it **does not** delete them from HP TRIM.



1. Open the **Records Work Tray,**
2. Highlight or tag the record(s) you would like to remove,
3. Do a *Right Mouse Click*, select **Remove from**, then **Remove Records from Records Work Tray,** and
4. The records will be removed and the Work Tray will be refreshed.

The other HP TRIM trays within the Trays tab are defined as:

Records In Tray 

This button will display any **physical** records marked to the current location of the logged in user.

Records Due Tray button 

This button will display any records that have been assigned to an action officer, who is responsible for any actions that may become overdue.

Records In or due button 

This button will display a combination of the above two options.

Offline Records 

This button will display a list of all the document and folder you have put into Offline Records

Documents Checked Out 

This button will display a list of all the **electronic** documents you currently editing or have checked out to you.

1234567

Department of Veterans' Affairs

Records Management Policy

Authorised by the Secretary

Updated March 2016

Contents

Purpose

The purpose of this Policy is to provide high level direction to staff on all records management matters. It establishes a framework for the creation, management, maintenance and ultimate disposal of records within the Department of Veterans' Affairs (DVA). It also identifies roles and responsibilities.

Policy Statement

DVA is committed to implementing better practice records management processes and systems to ensure the creation, maintenance and protection of accurate and reliable records. This will meet business needs, accountability requirements and the expectations of stakeholders including the veteran community and the wider public.

This Policy applies to all DVA staff (including temporary staff, non-ongoing staff, contractors and consultants) and all records of all business activities performed by or on the behalf of, the department in all formats (e.g. hardcopy, digital, emails and web content) and all business systems.

Records are the information created, sent, received and maintained in the course of carrying out the business of the department. Records document the history of what happened, how decisions came to be made, what was considered, who was involved and the information disseminated. DVA's records are assets which form a significant part of its corporate memory. By maintaining and protecting its records, DVA can rely on them to support future decision-making, provide evidence of business transactions, and be a history of organisational activities.

The following statements apply to all records management matters in DVA:

- all staff are responsible for records management;
- DVA expects staff to create and keep records of business by capturing them into a records management system or process;
- managers are responsible for ensuring business area staff and processes meet records management obligations;
- records created in DVA, or for DVA, belong to DVA;
- DVA business areas must give priority to working in a digital environment and only rely upon paper as the exception;
- records shall not be destroyed without the permission of the Director Compliance and Information Management (CIM);
- TRIM is the main departmental records management system; and
- records must be appropriately secured.

Scope

Legislation, Standards, Policies and Guidelines

DVA recognises its records management responsibilities under legislation including the *Archives Act 1983*, *Freedom of Information Act 1982* and *Privacy Act 1988*. DVA is committed to the principles and practices set out in the *Australian Standard AS ISO 15489-2002: Records Management*, and standards and guidelines issued by the National Archives of Australia (NAA).

All practices concerning records management within this organisation are to be in accordance with the *APS Values & Code of Conduct in practice*, and the *Public Service Act 1999*.

DVA endorses the goals and principles of the Australian Government and NAA Digital Transition and Digital Continuity Policy. Accordingly, the DVA Policy is to be read in conjunction with other departmental policies and documents which include the *Use of DVA Electronic Facilities Policy 2004*; *DVA People Management policies and guidelines*; *DVA ICT Security Protocol*, and *Departmental Secretary's Instructions (SIs)*.

(Note: - links to the above and more related Acts, Standards and policies are available at Attachment A (Records Management Policy Attachments 2015 - with disposal checklist).

Roles and responsibilities

The Secretary of the Department of Veterans' Affairs is ultimately responsible for the management of:

- the authorised Records Management Policy;
- the requirement for staff compliance with the Records Management Policy and associated procedures; and
- providing support for an effective records management program.

Senior Executive Service within their divisions and branches are to ensure promotion and development of:

- ongoing recordkeeping practices in accordance with the Records Management Policy;
- Information Management practices, including intranet and internet content management with the assistance of communication specialists; and
- relevant knowledge management policies and strategies.

Assistant Secretary, Parliamentary and Governance is to:

- act as Sponsor and Business Owner for the TRIM Records Management System and the Parliamentary Document Management System (PDMS); and

- support the provision of adequate resources for the maintenance and development of TRIM and PDMS.

Director, Compliance and Information Management (CIM) is to:

- create, maintain and promulgate the Records Management Policy and other policies and procedures to assist DVA meet its records management obligations;
- provide records management and TRIM training programs and advice, and a TRIM Help Desk service to staff;
- provide Parliamentary Document Management System (PDMS) training programs and advice, and a PDMS Help Desk service to staff;
- ensure that DVA's records are disposed of in accordance with up-to-date and approved Records Authorities (both whole-of-government and DVA specific) approved by the NAA under the Archives Act;
- maintain and develop TRIM and PDMS;
- ensure that records management staff are trained appropriately to carry out their duties to a high standard; and
- ensure disaster preparedness and recovery plan for DVA records operations are kept up to date.

DVA Managers and **System Owners are to**:

- support and promulgate DVA's Records Management Policy;
- ensure that all staff within their area of responsibility are aware of their records management responsibilities; and
- ensure all systems for which they are responsible meet records management obligations, including that records are able to be readily identified, retained for the minimum period required and that data is appropriately secured.

All **DVA staff are to**:

- ensure that sensitive information that may have an impact upon national security, or the safety of an individual, is reported to DVA Security;
- familiarise themselves with records management obligations as outlined in this policy that relate to their position within DVA, and the business activities they undertake;
- act in accordance with the DVA Records Management Policy and other supporting procedural instructions; and
- participate in records management training to develop and maintain competence in records management procedures and TRIM.

Records Management Systems

All DVA's primary records must be created and managed within an approved records management system, or as agreed with the Director Compliance and Information Management.

DVA's records management system is TRIM and it manages records in both electronic and paper format. DVA also utilises the Whole of Government

Parliamentary Document Management System (PDMS) for managing parliamentary documents.

The following departmental systems are also approved records management systems that retain and manage corporate information in electronic formats:

- Participant Registration Service (PRS);
- Departmental On Line and Reporting System (DOLARS);
- Human Resource Management System (HRMS);
- Compensation Claims Processing System (CCPS);
- Pension Information Processing System (PIPS);
- Departmental Management Information System (DMIS); and
- Accounts Payable.

The following are **not** approved records management systems:

- shared or personal electronic folders - for example, the Y or M drives;
- Microsoft outlook;
- enterprise vault;
- intranet or internet sites;
- SharePoint or collaborative tools;
- social media tools or websites; and
- personal communication or storage devices (e.g. iPhone, iPad or other devices).

These 'systems' cannot ensure that records will be properly managed, nor that they will be accessible for the period required under the Archives Act. They may be used for storing and sharing documents under development (drafts); working papers; or e-mails or documents of ephemeral value. Documents or e-mails of business value must be saved as an electronic record in TRIM or alternatively placed on an official hard copy file, if the document must be retained in the hard copy format.

Records - Creation, Maintenance and Handling

Records created in DVA, or for DVA by contracted providers, belong to the department as a whole, and not to any function, area, or individual.

Staff must create records which demonstrate the following characteristics:

- authenticity - the record can be proved to be what it purports to be;
- reliability - the record can be trusted as a full and accurate representation of transactions, activities or facts to which it relates;
- integrity - the record is complete and unaltered; and
- useability - the record can be located, retrieved, presented and interpreted at a future date.

DVA is transitioning from working with paper based records to working in a completely digital environment. Accordingly:

- business areas are to work with digital born information and documents from 30 June 2016;
- business systems and processes are to be developed to work digitally or in times of redevelopment they should adopt the digital paradigm; and
- documents received in hard copy should be converted to digital formats where possible and those created electronically should be kept in electronic formats.

Staff creating or receiving records (in any format) related to DVA's business must ensure they are captured into TRIM. If they are in hard copy, the record should be scanned and entered into TRIM or through an appropriate application. Staff must ensure that:

- documents are filed as soon as possible upon receipt or creation;
- documents are not stored in files or boxes that are not registered in TRIM;
- documents arising from 'off-file processing' are not be allowed to accumulate in business areas - they are to be marked with the relevant file number and forwarded to the location holding the file; and
- when a new topic is being dealt with that will generate records, a new TRIM file is created as soon as possible to ensure all related documents can be filed promptly.

The exception are parliamentary documents which should be saved into the PDMS. This is provided by the Department of Education and manages all aspects of records management within the system.

Records must be given descriptive and meaningful titles to ensure that they can be readily identified in the future.

The following are key points in relation to records security and access:

- records must only be made available to those staff who have a need to know. Further, staff must then only access records where there is a legitimate business need to do so.
- records must be correctly classified and have correct security markings on them in accordance with DVA and Commonwealth protective security practice. Records should not be over or under classified.
- additional security restrictions should be applied to records of staff members and high profile clients.
- staff accessing classified records must have an appropriate security clearance.

When staff move or receive a hard copy file, they must update the location details of that file in TRIM.

Records Disposal

The department applies the NAA's "*General Records Authority (GRA) 31: For Source records after they have been copied, converted or migrated."* This

GRA permits the destruction of some hard copy documents after they have been scanned and captured electronically if specific conditions are met. Generally it is required that document copies be functionally equivalent in the electronic form – that is they can be relied upon to serve the same business purpose as the source record. To be able to dispose of the source copies, documents must be digitised to the standards specified. The digitised copies of records must be validated as being accessible, readable and complete and the electronic document must be saved into a record keeping system. The full conditions, exclusions and procedures are in Attachment B.

The Director Compliance and Information Management will ensure that disaster planning arrangements are in place for DVA records repositories. Business Continuity Plans and Disaster Preparedness Manuals will be maintained to ensure the protection and recovery of DVA's records during and after an emergency.

Online Content

The SES for each business area are responsible for ensuring all online content is regularly reviewed and up to date. The Assistant Secretary of each branch will be accountable to the Secretary for any online content that is out of date.

The Communication and Support (CaS) section, within the Anzac Centenary and Communications Branch (ACCB), is solely responsible for writing and enforcing a policy in relation to the intranet.

If online content is 'about to be' or 'has been' removed, the responsible SES has the right to request the content in question is not removed or put back online as an interim measure. The request must be made in writing to the Assistant Secretary, ACCB, and outline or negotiate a plan to address the concerns of the CaS section including a timeframe for rectification. If the content is not corrected as agreed, the CaS section has the authority to remove the content permanently.

Training and Advice

Training and advice on records management, including the use of TRIM and PDMS, is available to all staff via the:

- TRIM Helpdesk at s 47E(d) [redacted] and
- PDMS Helpdesk at s 47E(d) [redacted]

Monitoring and Review

Staff compliance with this policy will be monitored periodically through internal reviews.

This policy will be reviewed every two years or as required, and made available on the intranet.

Further Information

Queries about this policy should be directed to the Director Compliance and Information Management.

This policy should be read in conjunction with SI - Recordkeeping within DVA.

1234567

Version Control

Date	Version	Description	Responsible Officer
4 March 2016	1.0	Draft policy	AS Parliamentary and Governance

DVA Records Management Policy Attachments

A) Legislation, Policy and Guideline Links
B) Process for ad hoc scanning of documents
C) Process for adoption of the practice of scanning records as a routine business activity
D) Digitisation scanning specification
E) Checklist for Digitisation or Scanned Source Material

Attachment A

Legislation, Policy and Guideline Links

The following legislation links are directed to the ComLaw website's series of legislation associated with an Act, and will indicate the current and superseded versions.

- APS Values & Code of Conduct in practice
- Archives Act 1983
- Australian Government Information Security Manual
  Note: Queries regarding the content should be directed to the Agency Security Adviser
- Electronic Transactions Act 1999
- Evidence Act 1995
- Freedom of Information Act 1982
- Information Privacy Principles
- NAA Standard for the Physical Storage of Commonwealth Records 2002
- Privacy Act 1988
- Public Service Act 1999

Other DVA Policies and Documents

- Additional Privacy Protected Client Records
- Secretary Instruction – Recordkeeping in DVA
- Document Titling Protocol Version 3
- DVA ICT Security Protocol
- DVA People Management policies and guidelines
- Use of DVA Electronic Facilities Policy 2004

Attachment B

Process for ad hoc scanning of documents

This process is to be followed when staff are scanning hard copy documents inside their business area for the purpose of creating a digital copy and disposing of the original source record.

1. scan document to specified standard (see Attachment D);
2. validate that the scanned image is complete, correct, readable, and 'functionally equivalent to the original';
3. save the scanned image into the correct TRIM container; and
4. once the document is validated as being in TRIM – the source record can be disposed of in a suitable manner as per DVA security requirements

Unless the actioning officer notes to the contrary, by completing the process of placing a scanned version of a document in TRIM, the actioning officer is confirming that the scanning took place to the correct standard, the image is complete and 'functionally equivalent' to the original, and the original will be disposed of in a secure manner.

The following documents are **not** to be digitised:

- records that are classed as 'Cabinet in Confidence' or 'Protected-Sensitive: Cabinet'; and
- records that are security classified as Protected, Confidential or above.

The following source records are **not** to be destroyed after digitisation:

- records that do not belong to DVA;
- records have an 'intrinsic value[1]';
- records required to be kept in original form by legislation;
- records that will be required as part of a current or likely judicial proceeding; and
- records that will be required as part of a current FOI access application.

Specific documents **not** to be destroyed after scanning include:

- documents relating to ownership or rights over real estate, e.g., title deeds, mortgages, easements or other rights;
- documents creating securities over real or personal property;
- original documents on which patents or copyright are obtained, e.g., logos; and
- grants of perpetual licences to and by the Commonwealth, including DVA.

[1] ***Intrinsic value*** *relates to qualities or characteristics of a record that normally requires the record to remain in its original form. For example, a copy of an artwork would have a much lower intrinsic value than the original. The intrinsic value may also relate to the record's relationship to a significant person, event or place, for example a document signed by a Prime Minister. The intrinsic value of a record may be separate from its information value and may be lost if replaced by a reproduction. Refer to Section 8 for more details. (extract from General Records Authority (GRA) 31)*

Attachment C

Process for adoption of scanning records as a routine business activity

This process is to be followed where a business practice moves to establish an ongoing routine to digitise documents that are being received in hard copy. Disposal of the source document is not linked to the single scanning instance but rather to the overall process being adhered to.

Business areas converting practices by digitising documents should follow these steps in planning the process:

5. consult the Compliance and Information Management (CIM) team to discuss TRIM filing requirements, document titling and scanning formats / specifications;
6. consult CIM to discuss the processing, scanning and delivery capabilities of the outsourced Mail and Courier service provider – to include arrangements for storing of source documents;
7. consult CIM for approval to establish a practice of disposing of source material;
8. consult ICT/CIM to discuss electronic delivery mechanisms for documents to be transmitted from scanning bureau to DVA; and
9. consult ICT/CIM to discuss storage space requirements

The business process should:

- ensure electronic delivery of copies of all documents that have been digitised;
- ensure digitisation is to required specifications;
- ensure all documents are captured into a record keeping system – typically TRIM;
- ensure a process exists that staff or representatives are aware documents have been delivered electronically;
- ensure all document images are viewed and the scanning process validated as successful in a timely manner;
- any requests for a re-scan of a document or a query about the document or image are to be made promptly; and
- ensure that the **process for ad hoc scanning of documents** guidelines as to what should not be scanned and what should not be destroyed following scanning are met.

Scanning specifications[2]

These specifications were issued by the National Archives of Australia (29 October 2012) as the minimum acceptable requirements for digitisation of Commonwealth agency paper records[3]. They take into account the currently available capabilities of scanning equipment available under Whole of Government panel arrangements. These specifications will be subject to ongoing review.

Requirements While these are minimum requirements, the Archives encourages use of the highest specifications that are practical and possible for records.	**Quality Check**
For all documents with text or graphics including colour, high contrast and low contrast (low contrast includes watermarks, grey shading, faded text, coloured background), agencies should produce images conforming to the following specifications or higher: ▪ Format: PDF (PDF/A[4] encouraged); JPEG 2000[5] , PNG[6] or TIFF ▪ Resolution: 300 dpi ▪ Scanning ratio: 100% ▪ Colour profile: colour ▪ Bit-depth: 8 bits per channel RGB ▪ Colour management: embedded ICC colour profile encouraged ▪ Searchability: OCR[7] encouraged (PDF or PDF/A complies) This specification can be used for all documents, but not for photographic collections[8].	▪ Testing of the images that the minimum requirements listed in these technical specifications have been met. ▪ For a guide to suitable quality assurance checks see Appendix 7 of the New Zealand digitisation standard.

[2] Specification is based on Public Record Office of Victoria PROS 10/02 Specification 2, Digitisation: Image Requirements version 1.0, Issued 1.1.2010 http://www.prov.vic.gov.au/publications/publns/1002s2.pdf but with modifications.

[3] Any digitisation where the source records are to be destroyed needs to conform to General Records Authority 31

[4] ISO PDF/A is defined in ISO 19005-1:2004. It a constrained version of PDF Reference 1.4 with various proprietary fonts and formats removed. It provides a mechanism for representing electronic documents in a manner that preserves their visual appearance over time, independent of the tools and systems used for creating, storing or rendering of the files' (ISO 19005-1:2004). It is commercially available in Adobe 8 and above. ISO 19005-2 was issued in 2011 and should be backwards compatible with ISO 19005-1. PDF/A is also the preferred format for multi-page records. Commercially available tools are available that combine single PDFs into multiple page PDF/A.

[5] JPEG 2000 is defined in ISO 15444-1: 2000

[6] Portable Network Graphics

[7] Optical Character Recognition

[8] For projects to reproduce photographic collections, consult with the Archives.

Attachment E

Checklist for Digitisation or Scanned Source Material

When establishing a new business process that involves digitising records, there are a number of factors to consider.

Digitisation of material

- Digitised images must meet the minimum National Archives of Australia specifications (outlined in Attachment D).
- Security classification of the material must not preclude it from being digitised (e.g. Cabinet, Protected or Confidential documents).

Storage

- Digitised material must be saved into an approved record management system, such as TRIM, PRS, DOLARS, HRMS, CCPS, PIPs and DMIS. *Outlook, the Y drive and SharePoint are NOT an approved record management systems.*
- Digitised material should be saved in a manner appropriate to its security classification.
- Protocols for titling digitised images should be established and adhered to.
- Ensure that ICT storage space requirements and electronic mechanisms for images to be transferred and retrieved are considered in consultation with the ICT Solutions Branch.
- Source material must also be retained for a period of time to allow the digital image to be validated.

Use of digitised material

- Where source material has been digitised, business processes should support the handling of the material in its electronic format (i.e. image should not be printed and transferred via hard copy).
- Ensure that recipients of the digitised material are aware that they have been delivered electronically.

Disposal of source material

- Parliamentary and Governance Branch authorisation is required for business areas to establish a practice of disposing of source material.
- Prior to the disposal of source material, each digitised image must be validated by the business area, to ensure it is complete, correct, readable, and 'functionally equivalent to the original' in a timely fashion. Requests for material to be rescanned should also be made promptly.
- Checks that digitised material has been appropriately titled and saved in the intended location must be built into business processes.
- Ensure the source material is able to be destroyed. Material that should not be destroyed includes:
    - records that do not belong to DVA;
    - have an 'intrinsic value';
    - material required to be kept in original form by legislation;
    - material required as part of a current or likely judicial proceeding or

Freedom of Information access application;
  - records relating to ownership or rights over real estate or that create securities over property;
  - original documents on which patents or copyright is obtained, e.g., logos; and
  - grants of perpetual licenses to and by the Commonwealth, including DVA.
- Ensure material is disposed of in a manner appropriate for its security classification.

More information: Contact the Director Compliance and Information Management if in doubt.

Australian Government

Department of Veterans' Affairs

Processing Digitised Mail in CM9

A Training For Mail Coordinators

Welcome

Completing This Training:

Part 1:

Introduction, context and preparation.

Part 2:

Complete all training exercises as described in the training manual.

Part 3:

Final component.

Background – Mail Digitisation

- **Australian Government Digital Transition Policy**
  - Approved by Prime Minister & Cabinet – 2011.
  - Led by National Archives Australia.
  - Agencies to move to digital records and information management.
- **What This Means For DVA**
  - Turning off physical mail is a priority.
  - All incoming correspondence is digitised.
  - Paper files are moved by exception only.
  - Redesign and modernise business processes that rely on paper, in moving towards turning off paper usage.
  - Progressively and purposefully transition DVA staff away from a culture of “paper by default”.

Components:

- Terminology
- Overview of the digitised mail process
- Mail Coordinators’ role
- Setting up your CM9 view
- Using your mail container
- What to do with misdirected or unidentifiable mails
- Naming Convention
- How to access Quick Reference Guides/Help Sheets
- Key contacts

Who To Contact #1:

Mail & Courier Services Team

s 47E(d) [redacted]

- Mail Digitisation Process
- Mail Rules
- Mailbox Allocation

Who To Contact #2:

CM9 Administrators

s 47E(d) [redacted]

- CM9 Technical Matters

Who To Contact #3:

Your Business Area

- Customised Mail Processing Rules
- Naming Convention

User Support Resources

(Page 38)

- Intranet
  - Mail Coordinators Sharepoint Page

    s 47E(d) [redacted]
  - Mail & Courier Services

    s 47E(d) [redacted]
  - Digitised Mail

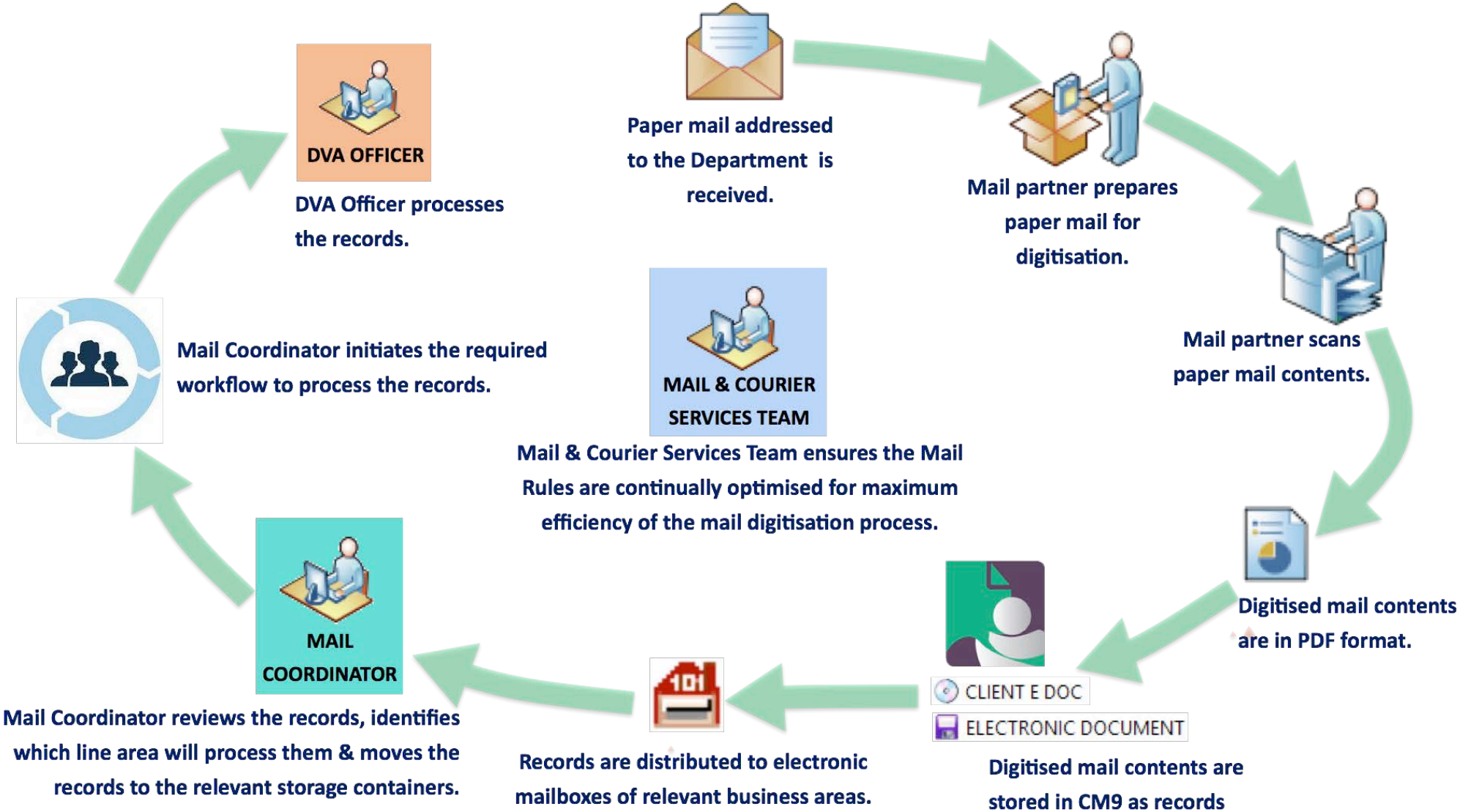
    s 47E(d) [redacted]
- CM9 Helpsheets / Quick Reference Guides (Container No: 1705558)
- Page 10 of Working Digitally Guidelines (Record no 16109122E) – **Mantras**

Terminology:

- Mail Partner
- Records
- Thesaurus
- MAIL101

How Digitised Mail Is Processed

DIGITISING INCOMING MAIL WORKFLOW



Exceptions

- Prescriptions
- X-Rays
- USBs/DVDs
- Product Samples
- Other mail items that cannot be converted to PDF

MAIL COORDINATOR

- Assigned by each business area.
- Monitors their MAIL101 virtual mailbox on a daily basis.
- Distribute the records (digitised mail) for permanent filing and/or action by the relevant line areas in accordance to the processing rules determined by the business area.

Understanding Mail Rules

(Pages 6 – 7 + Ex 2)

- **Mail Rules (Record No: 16543938E)**
- Owned and managed by the **Mail and Courier Services Team**
- Control parameters for how digitised mail is classified, sorted and distributed.
- Complete directory for electronic mailboxes (MAIL101s) in the Department.
- Mail Coordinators' inputs can impact how this document will function for us.

MAIL101

- Cleared daily by Mail Coordinator.
- Should be accessed by Mail Coordinator only.
- Full audit logs reviewable by the mailbox owners.

Training Overview

- Manual
- Number of Exercises to complete: 11
- Sample Training Envelope ID

1. Customising Mail Coordinators' CM9 View

- Setting the required search categories.
- Populating your List Pane & Preview Pane.
- Adding recommended columns to your List Pane.
- Adding recommended fields to your Preview Pane.

2. Your Mailbox

- Identifying your mailbox/es via the Mail Rules document.
- Setting up a favourite shortcut to you mailbox/es.

3. Processing Records In Your Mailbox

- Grouping records by Envelope ID.
- CM9 search by Envelope ID.
- Reviewing records.
- Editing record title.
- Adding Notes to records.
- Distributing records.

Navigating CM9 & Your Mailbox

(Pages 8 – 11)

- CITRIX StoreFront
- Default CM9 Window
- Ribbon Toolbar
- Shortcut Bar
- Find Records Pane
- List Pane
- View/Preview Pane

Customising Mail Coordinators' CM9 View

- 1.1 Populating your List Pane & Preview Pane.
- 1.2 Adding recommended columns to your List Pane.
- 1.3 Adding recommended fields to your Preview Pane.

What’s next?

PART 2

- Complete remaining exercises up to exercise 3.6 as described in the training manual.
- Note down any clarifying question.

PART 3

- Completion

NOTE: Training manual is required for all 3 parts.

Before you leave

- Key learning
- Email from us
  - Feedback
  - How will this info serve us?

Thank you

Australian Government

Department of Veterans' Affairs

PROCESSING DIGITISED MAIL IN CM9 FOR MAIL COORDINATORS – TRAINING MANUAL (RECORD NO: 17449670E)

Version 0.21 (25/10/2018)

HELP CONTACTS:

Process: Mail & Courier Services Team at s 47E(d) [redacted]

CM9 technical: TRIM Administrator at s 47E(d) [redacted]

Training: Training & Support Team at s 47E(d) [redacted]

Sample Training Envelope ID assigned to you: T000000 __ __

CONTENTS

This manual is designed for use in the classroom training as well as a self-guided training at your workstation. If you are using this manual to complete a training, you will need a Sample Training Envelope ID from the training team s 47E(d) [redacted] Post-training, this manual serves as a reference document for Mail Coordinators to recall how to perform the required tasks in processing digitised mails. The most current version may be accessed on the Mail Coordinator SharePoint Site s 47E(d) [redacted]

HOW TO USE THIS MANUAL

This manual simulates workflow associated with the day-to-day practical application of CM9 in processing digitised mail. The manual is easy to navigate and will serve as the standard for the Mail Coordinators training. It will be subject to periodic updates and will be made available for download on the Mail Coordinator Sharepoint site, along with other CM9 user support materials like Quick Reference Guides (QRGs). We encourage the review of this manual a number of times after completion of the training to refresh your memory and allow full advantage of the many skills, tips, and hints introduced during the training. Consider how the activities in this training can be practically applied to your day-to-day operations.

SYMBOLS

This following symbols are used throughout this manual.

Indicates helpful information.

Indicates an important fact/note.

TEXT BOXES

Text boxes with an orange background contains an overview or a scenario for an exercise or a topic you are about to go into.

Text boxes with a light blue background contain additional and useful information.

EXERCISES

Exercises have been created to demonstrate the functionality of CM9 with the focus on processing digitised mail.

- Images that accompany the instructions in each exercise offer visual guidance in carrying out the exercise. Each number in an image corresponds to that step for the exercise.

- Complete the exercises, as well as, the steps in each exercise, in sequence.
- If you intend to use this manual for practice outside a classroom training conducted by the Training Team, please contact the Training & Support Team (Processing.Digitised.Mail.Trainings@dva.gov.au) to ensure that the sample records required for the exercises are available to you.

GLOSSARY

Mailbox	Electronic mailbox where records (digitised mail) for a business area are delivered daily. Mail Coordinators will need to redirect the records to the relevant containers where line areas will access and process them. Also referred to as MAIL101 or MAILXXXX (XXXX is the unique number assigned to the business area).
MAIL101	Generic name for digital mailboxes. The digital mailbox for each business area is usually named **MAILXXXX** where XXXX is a unique 4 digit number.
Mail Partner	The appointed vendor who scans the contents of physical mail addressed to the Department. They create digitised records which are distributed to the electronic mailboxes of the relevant business areas, as dictated by the Mail Rules.
Mail Rules	A control document owned and managed by the **Mail and Courier Services Team.** It provides: • The control parameters for how digitised mail is classified, sorted and distributed. • The complete directory for electronic mailboxes (MAIL101s) in the Department.
Client Mail	Correspondence received from veterans, their families or care givers, suppliers, providers, service organisations or other correspondents.
Thesaurus	Standardised structure of Client E Doc record titles used by the Department.
Paper Mail	Physical mail addressed to DVA. It may come from different sources, including clients and vendors.
Purple Satchel	The Mail Bag for physically delivered mail & files. May also be a tub when high volumes are received.
Record	An electronic file stored in CM9. In this document, a record is the digitised version of paper mail, that is stored and managed in CM9.
Client	Parties the Department deals with in our day to day business. They include veterans, their families or care givers, suppliers, providers and service organisations.
QRG	Quick Reference Guides providing a step by step guide on using CM9 functions to perform a task. Also referred to as Help Sheets.
Select	Left click on the mouse.

INTRODUCTION

MAIL DIGITISATION

The Australian Government Digital Transition Policy, approved by the Prime Minister & Cabinet in 2011 and now led by National Archives Australia, requires each agency to move to digital records and information management.

What This Means For DVA

- Individuals and business areas are encouraged to not use paper.
- Turning off physical mail is a priority.
- All incoming correspondence is digitised.
- Paper files are moved by exception only.
- Redesign and modernise business processes that rely on paper, in moving towards turning off paper usage.
- Progressively and purposefully transition DVA staff away from a culture of "paper by default".

Excerpt from s 47E(d) [redacted]

DIGITISING MAIL - THE PROCESS OVERVIEW

Paper mail addressed to DVA is received by Australia Post and collected by our mail partner, Decipha.

1. Decipha sorts paper mail into two categories:
   a. Can be digitised (e.g. invoices, medical reports, claim forms). Proceed to step 2.
   b. Cannot be digitised (e.g. books, USBs, prescriptions). Proceed to step 7.

Paper mail to be digitised will go through the following process:

2. Paper mail is digitised (scanned) by Decipha. It is processed according to an envelope set, and each content of an envelope set is tagged by an eight digit unique identifier known as the **Envelope ID**.

   Each paper mail document that is scanned creates a PDF file. These can be one or more pages in length.

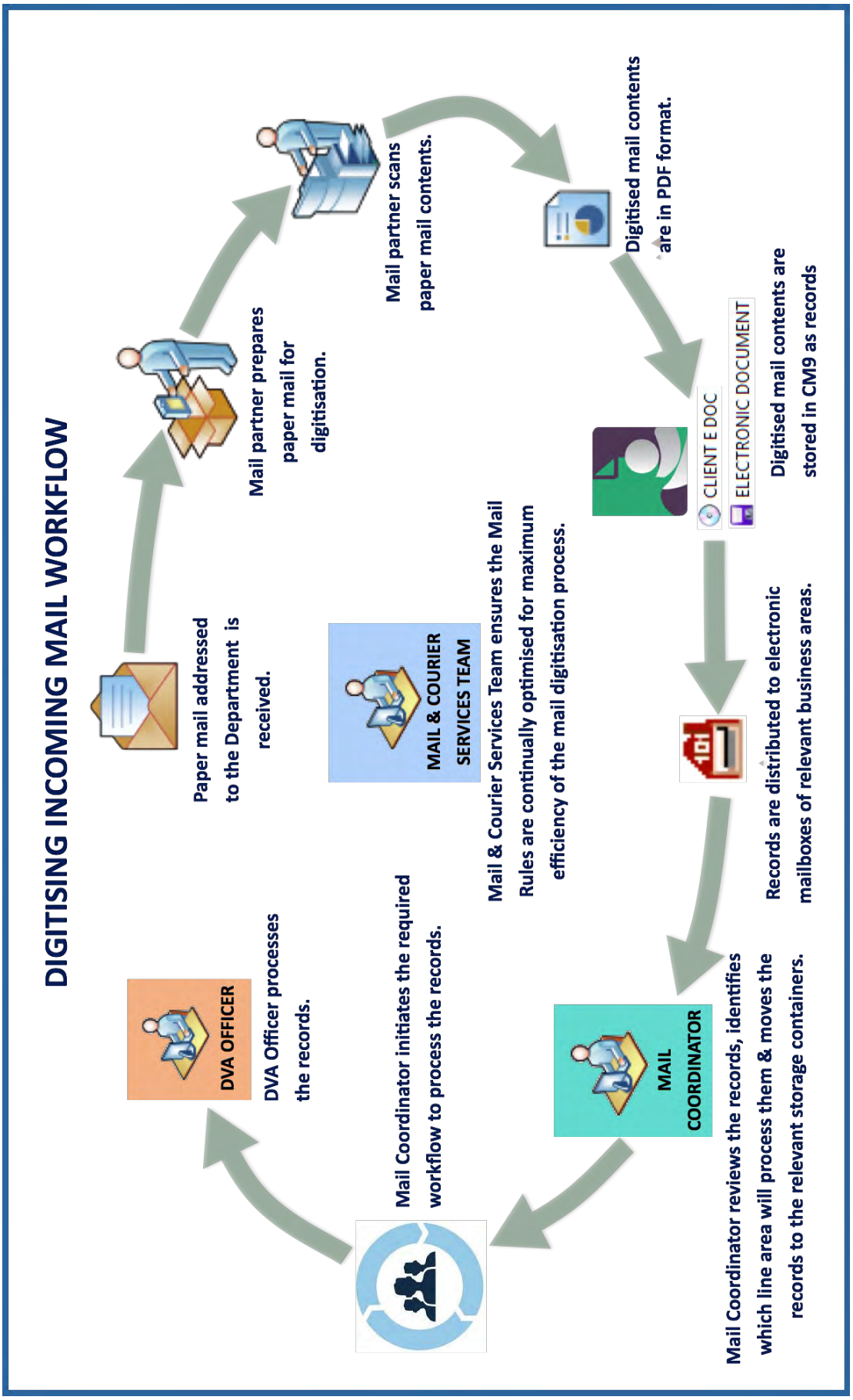
3. The PDF file is stored in CM9 and henceforth referred to as a **record**.
4. The records are distributed to the MAIL101 (digital mailboxes assigned to business areas) across the department, according to the Mail Rules.
5. Mail Coordinators process the records received in their MAIL101.
6. Mail Coordinators initiate a workflow by distributing the records to the appropriate DVA Officer in their area for action.

- All records received in your MAIL101 must be relocated to a permanent storage container such as a Client UIN or Policy & Administration (P&A) container.
- MAIL101 must be cleared daily.

Paper mail that cannot be digitised will go through the following process:

7. Decipha will deliver this mail to the appropriate sections of DVA in purple satchels.
8. The relevant DVA Officer/s process/es this mail.

GENERIC PROCESSING WORKFLOW FOR DIGITISED MAIL



UNDERSTANDING MAIL RULES

The **Mail Rules (Record No: 16543938E)** is a control document owned and managed by the **Mail and Courier Services Team**, Parliamentary and Governance Branch, Business Support Services Division. It provides:

- The control parameters for how digitised mail is classified, sorted and distributed.
- The complete directory for electronic mailboxes (MAIL101s) in the Department.

The mail digitisation process is subjected to rigorous optimisation reviews resulting in the Mail Rules being updated constantly. Mail Rules are updated at least once every quarter.

Envelope ID - Common Identity for Contents of Every Envelope Received

- Every envelope that is received and processed by the mail partner (Decipha) is assigned a unique **Envelope ID.**
- Every item received in the same envelope will be tagged with the same **Envelope ID** when they are digitised (scanned).

Titling – How Each Scanned Item Is Titled

- When a mail item relating to a client (veteran) (e.g. claim forms, invoices, medical reports) is scanned,
  - It will be created as a **Client E Doc** record type.
  - A pre-defined **Thesaurus** term is applied naming the record via the **Title (Structured Part)** field.
  - In the **Title (Free Text Part)** field, the default title contains a set of information obtained at the point of scanning, as follow: **[Date]_[EnvelopeID]_[Bag ID]_[Document ID].**
    - **Date** – The date when the item was received/scanned.
    - **Envelope ID** – the unique 8 digit number assigned to the envelope the item arrived in.
    - **Bag ID** – The identification number of the zip file Decipha sends to DVA.
    - **Document ID** – The identification number assigned to the scanned image. This identification is referred to if a rescan is required.

- If the scanned item is not client related (e.g. telephone bill for DVA, newsletter from an ESO, supplier contracts, invitations):
  - It will be created as an **Electronic Document** record type.
  - In the **Title (Free Text Part)** field, the default title contains a set of information obtained at the point of scanning, as follow: **[Date]_[EnvelopeID]_[Bag ID]_[Document ID].**

- The record **Title (Free Text Part)** should be edited to something meaningful in accordance to the naming convention created and managed by your business area.
- The party responsible for re-titling the record in the processing workflow is decided by the business area.

Records Distribution To MAIL101s

- Mail is automatically routed to either a **MAIL101** container or to a temporary location for **ISH** capture dependent on the **Digital Bag ID** assigned by our mail partner.
- A **Digital Bag ID** is allocated based on the **Mail Rules**. The **Mail Rules** for **Digital Bag IDs** that route direct to a **MAIL101** also provide information relating to what record type is created and the subsequent titling.
- **Digital Bag IDs** routed through **ISH** are uploaded from a temporary location and either create
    - a new case
    - are added to an existing case, or
    - are uploaded to CM9 for redirection to the appropriate MAIL101 container.

BUSINESS RULES

MAIL101 – Electronic Mailboxes

1. MAIL101s must be cleared by the respective Mail Coordinator/s at the end of each day.
2. Only DVA staff who are assigned the Mail Coordinator role should access the mailbox assigned their business area.
3. The mailboxes capture full audit logs which are reviewed by the mailbox owners.

NAVIGATING CM9

The following section outlines the steps in accessing HPE CM9, while introducing key interface tools and menu items relevant to Mail Coordinators. More details are outlined in the Quick Reference Guides/Help Sheets that are referenced.

ACCESSING CM9 (HP CONTENT MANAGER)

With Citrix 7 now implemented across the Department, launch any application that you use in your day to day work through the **Citrix StoreFront**, to ensure that it functions properly.

To open Citrix StoreFront (if Citrix StoreFront does not pop- up on your screen upon login):

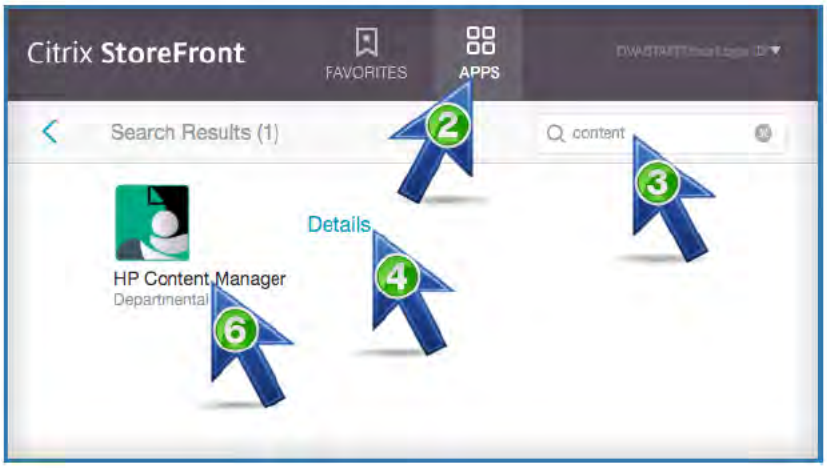
1. Navigate: **Windows Start** **> All Programs** > double left click on **Citrix Receiver.**

   Citrix StoreFront *opens.*

2. Click on the **APPS** tab.

To search for CM9 in Citrix StoreFront:

3. Type **Content** in the **search** field **> Enter** on your keyboard.



To save as a Favourite in Citrix StoreFront (if not already done):

4. Click on **Details.**
5. Select (left click) **Add To Favourites.**

   CM9 *will now be listed in your* ***Citrix StoreFront Favourites*** *tab.*

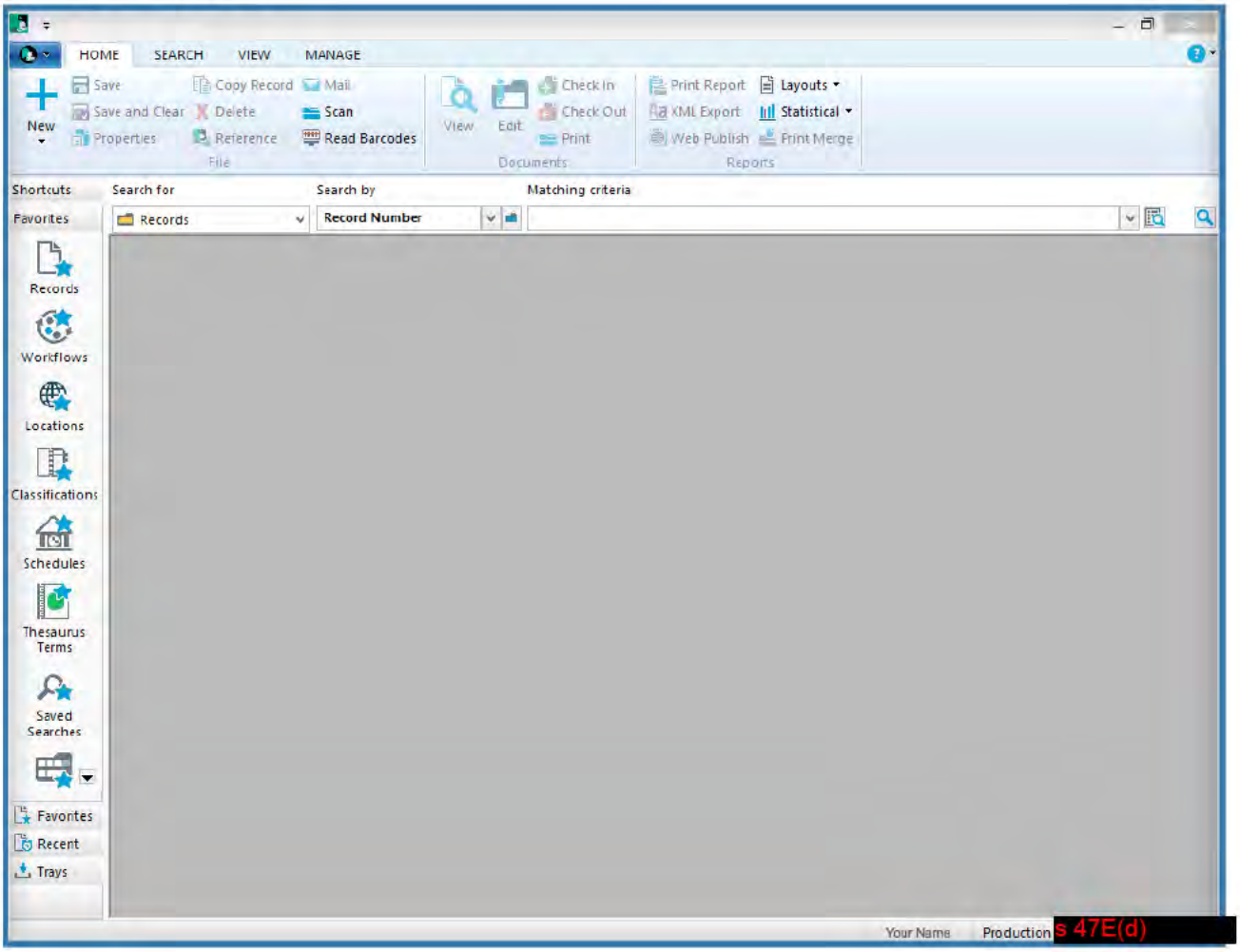
To open CM9:

6. Double left click on **HP Content Manager**, or, navigate **Details > Open.**

   HP Content Manager *opens > If* ***Tip of the Day*** *pop up dialog displays > select (left click)* ***Close****.*

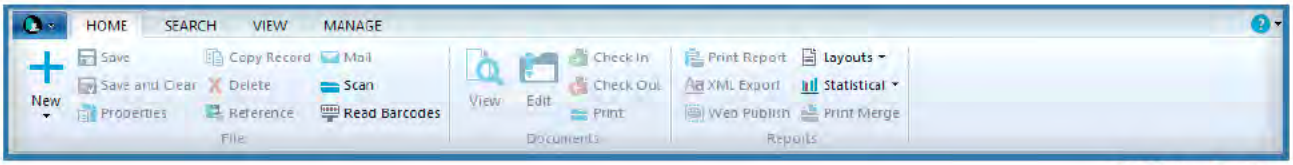
KEY CM9 INTERFACE TOOLS AND MENU

Default CM9 Window



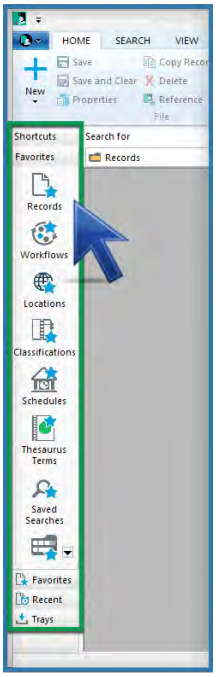
Default CM Window

Ribbon Toolbar



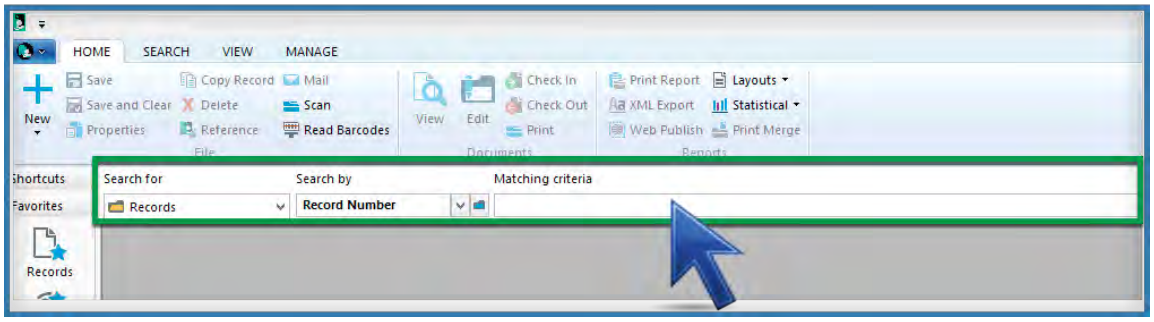
CM Ribbon Toolbar

Shortcut Bar



CM Shortcut Bar

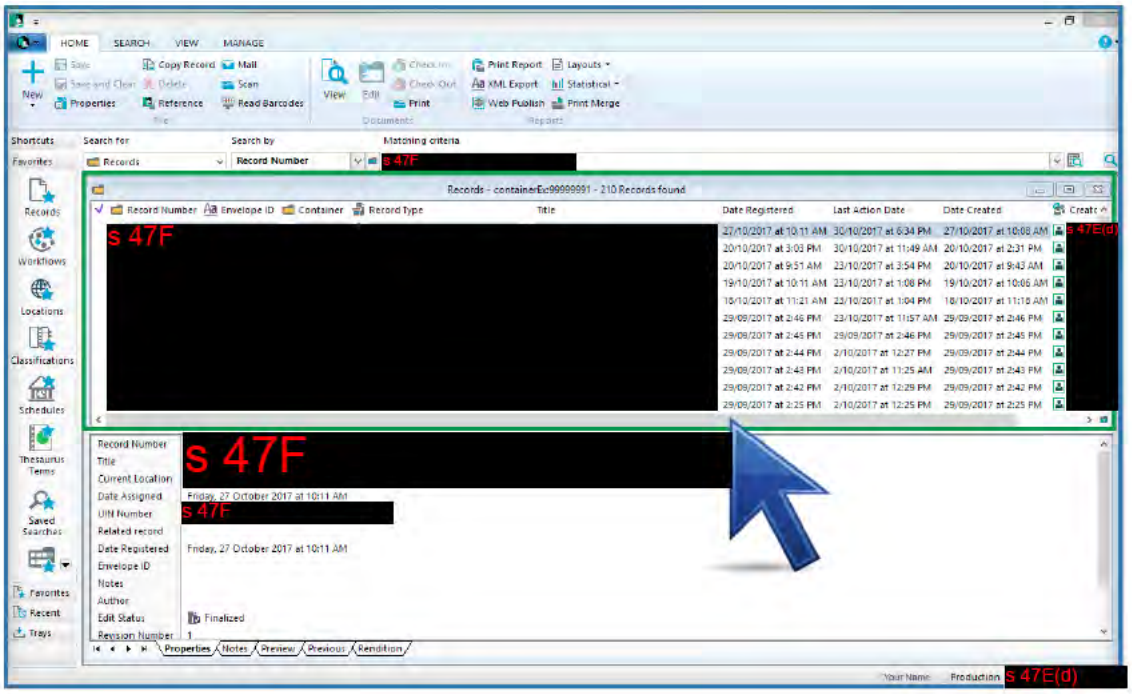
Find Records Pane



CM Finding Records Pane

List Pane

This pane will populate after a record search is done via the **Find Records Pane.**



CM List Pane

View/Preview Pane

The information (metadata) of a record that is selected in the List Pane will display here.

CM View/Preview Pane

EXERCISES

The following series of exercises cover essential knowledge for Mail Coordinators to process digitised mail in CM9. For context, each exercise is based on the scenario described in the orange text box at the start of the exercise.

EXERCISE 1: CUSTOMISING CM9 VIEW FOR MAIL COORDINATORS

Scenario: *You have been appointed the Mail Coordinator for business your area. You will now customise your CM9 view to display essential information (metadata) of the records you will process.*

1.1 PREPARATION - POPULATING THE LIST PANE AND VIEW/PREVIEW PANE

- **The List Pane and View/Preview Pane must be populated before columns or fields can be added to customise these panes.**
- **To populate the List Pane and View/Preview Pane, perform a record search in the Find Records Pane.**

SETTING UP THE FINDING RECORDS PANE

In the Find Records Pane, the Search For field is defaulted to Records. Leave it at this default selection.

1. Click on the **Search By** drop down arrow.

   *The available **Search By** categories will display. The recommended categories for **Mail Coordinators** should include:*

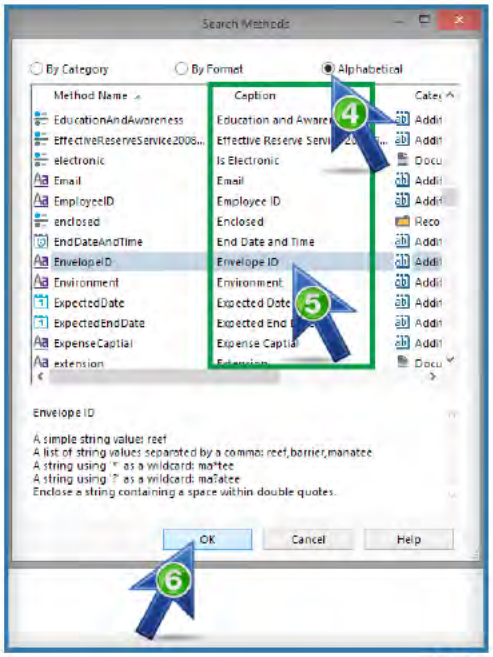
   - ***Title Word***
   - ***Record Number***
   - ***Envelope ID***

1.1.1

2. To add **Search By** categories, proceed to step 3.
3. Click on the **Search Methods Folder icon.**

   *The **Search Methods** dialog displays.*
4. Click on **Alphabetical.**
5. From the **Caption** list, navigate to the category to be added.
6. Click **OK.**

   *The new category has been added and will display when the **Search By** drop down arrow is selected.*
7. Repeat steps 5 & 6 for each category to be added.

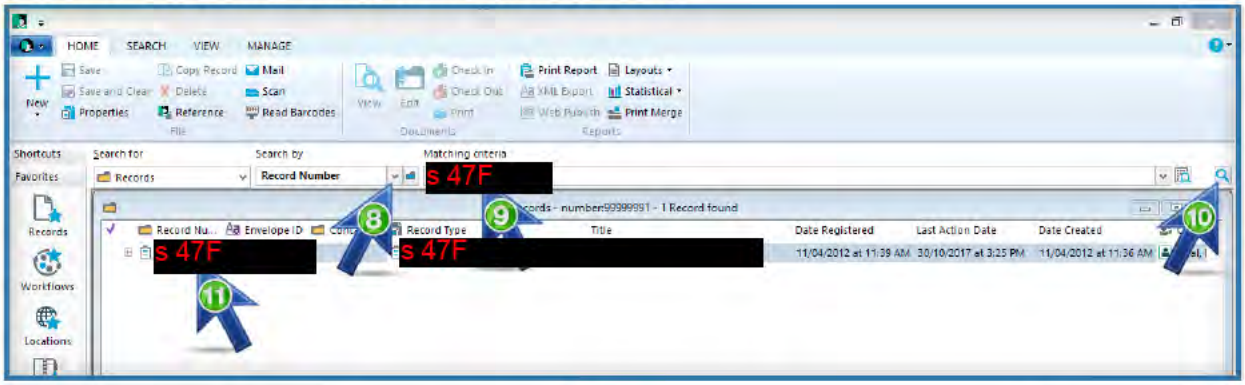


1.1.4

POPULATING THE LIST PANE AND VIEW/PREVIEW PANE

For this exercise, perform the following search to populate the panes:

8. In the **Search By** field, select (left click) **Record Number.**



1.1.8

9. In the **Equal To** field, enter the record number s 47F [redacted]

10. Click on the **(Find) icon.**

The search results will display in the List Pane and the View/Preview pane will be populated with the s 47F [redacted] *container information.*

- If you receive a "No Records Found" result when searching for a known record (as per step 9, 10 & 11), it means that you do not have access to that container or record type.
- Accessibility to records in CM9 are set by the CM9 administrators based upon the business you are required to conduct in your work.
- Please repeat steps 9 to 11 and search for the record number s 47F [redacted] instead.

11. To view the contents of the container: In the **List Pane**, double left click on the record number s 47F [redacted]

A new window will display listing all records stored in this container.

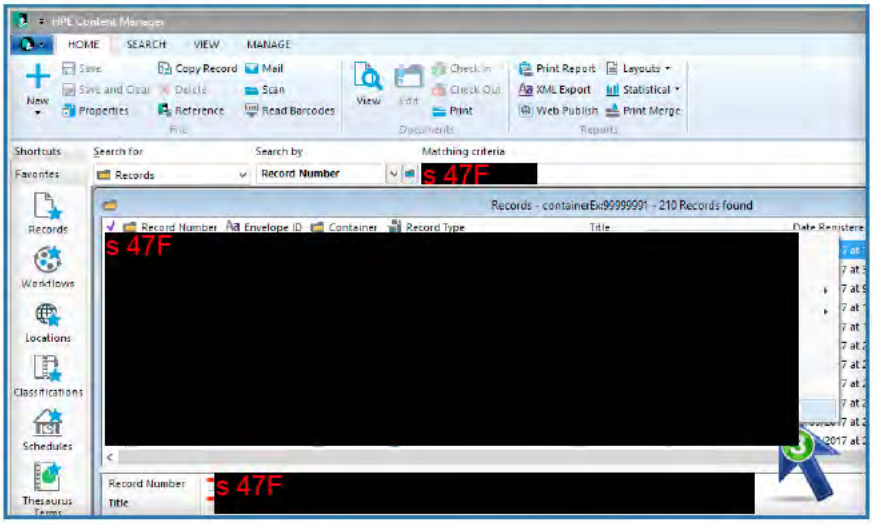
Date & time you completed this exercise:	

1.2 ADDING COLUMNS TO THE LIST PANE

1. Hover your cursor over any column title (e.g. Record Number, Record Type or Title).
2. Right click.

   A drop down menu will display.
3. Select (left click) **Format Columns.**

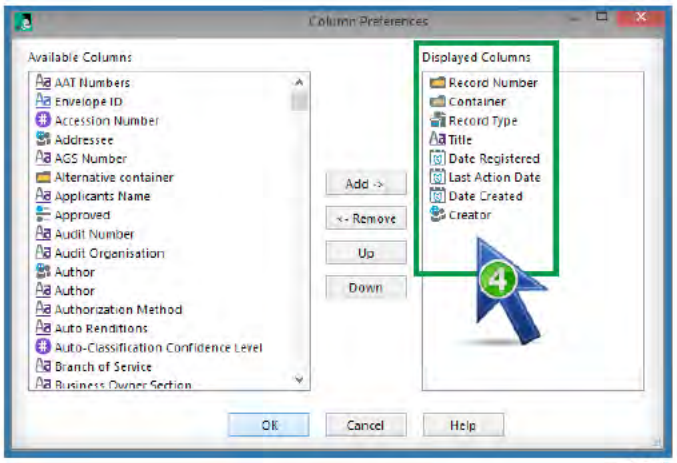
   *The **Column Preference** dialog displays.*



1.2.2

4. Review the current list in **Displayed Columns.** The list should include:
   - 4.1 Record Number
   - 4.2 Record Type*(Please review blue text box **"Record Types"** below)
   - 4.3 Title
   - 4.4 Envelope ID
   - 4.5 Container
   - 4.6 Date Registered
   - 4.7 Last Action Date
   - 4.8 Creator

   If any of the recommended columns are not added yet, proceed to step 5.

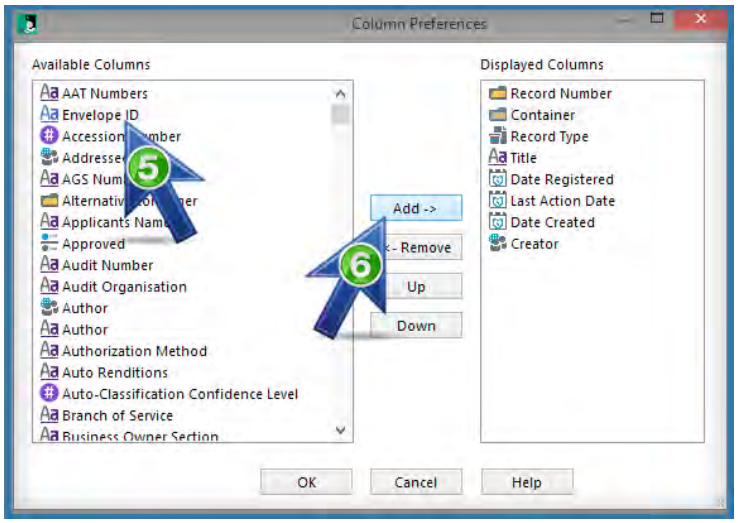


1.2.4

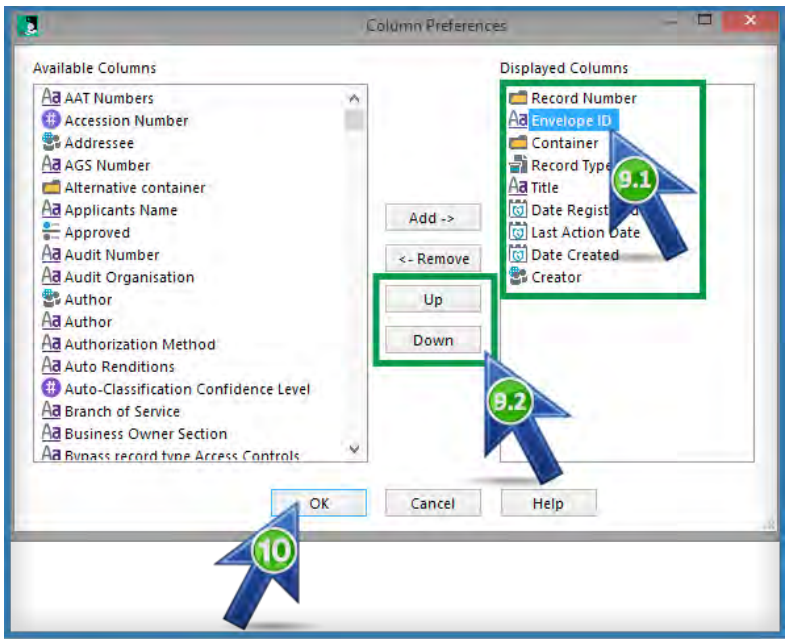
RECORD TYPES

- There are two record types that are processed through MAIL101s:
  - **Electronic Document**
  - **Client E Doc**
- **Electronic Documents** are administrative related documents.
- **Client E Docs** are client (veteran) related documents. A default security setting is applied to these documents - limiting visibility and access to client facing DVA staff only (e.g. VAN).

5. From the **Available Columns** list, select (left click) the recommended column that has not been added yet (e.g. **Envelope ID**). Use 4.1 to 4.7 as your checklist.
6. Click **Add**.
7. **Envelope ID** will now appear in the **Displayed Columns** list.
8. Repeat steps 5 & 6 for every recommended columns listed from 4.1 to 4.7 that has not been added yet.
9. To change the order of the **Displayed Columns**:
   - 9.1 Click on the column name.
   - 9.2 Click **Up** or **Down** to move it to the required order position.
10. Click **OK** to close the **Column Preferences** dialog.



1.2.5



1.2.9.1

Date & time you completed this exercise:	

1.3 ADDING FIELDS TO THE VIEW/PREVIEW PANE

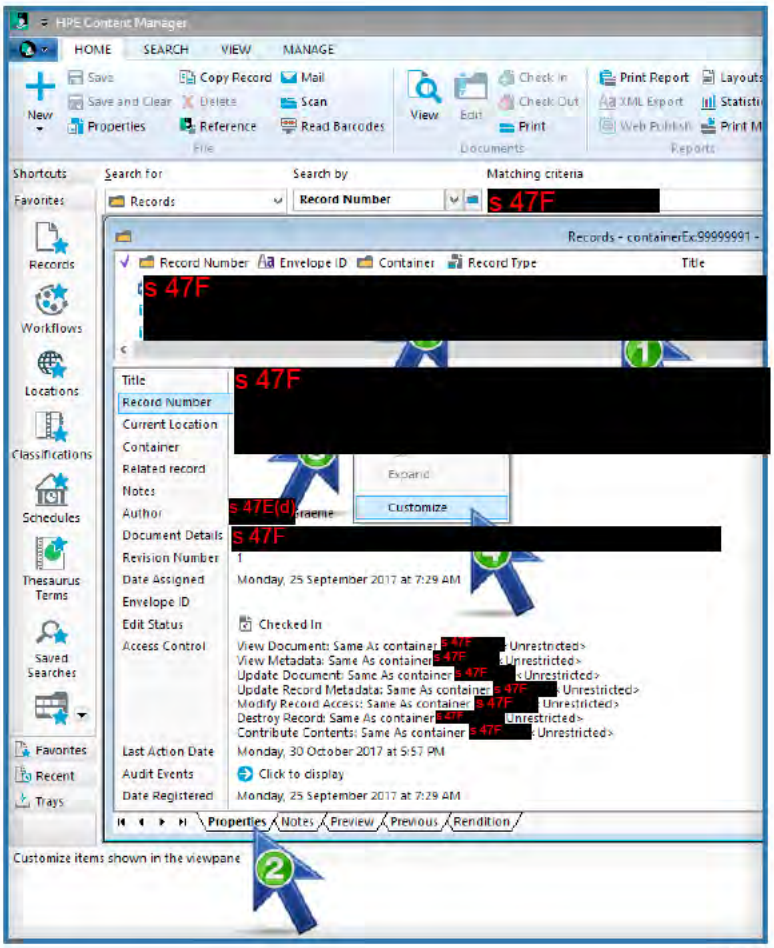
1. In the **List Pane**, locate an **ELECTRONIC DOCUMENT** record type and select (left click) the record.

   The record will be highlighted.

2. In your **View/Preview Pane**, click on the **Properties** tab.

3. Hover your cursor over anywhere within the **View/Preview Pane** and right click.

   A drop down menu displays



1.3.1

4. Select (left click) **Customize** from the drop down menu.

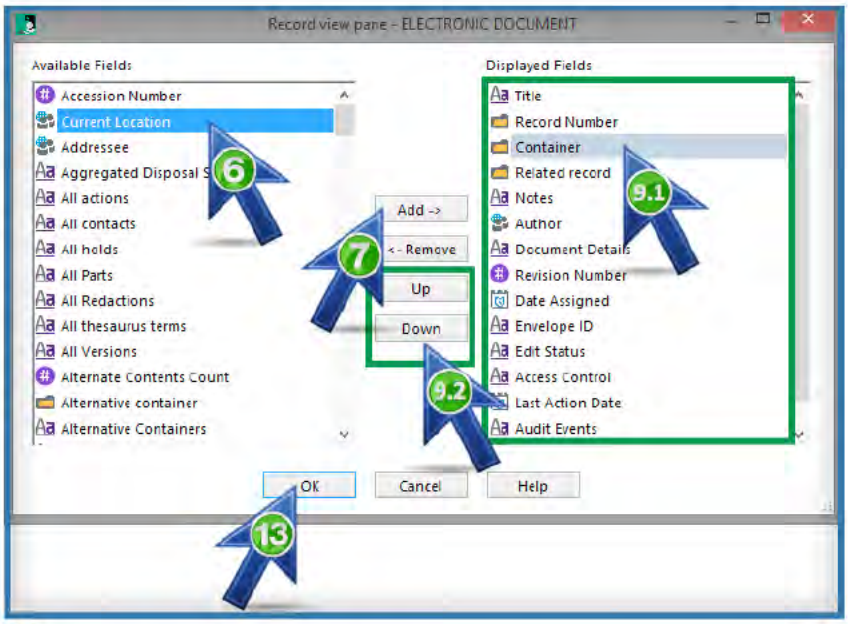
   *The **Record View Pane – [selected record type]** dialog displays.*

5. Review the current list in your **Displayed Fields.** It should consist of the following:
   - 5.1 Record Number
   - 5.2 Title
   - 5.3 Envelope ID
   - 5.4 Date Registered
   - 5.5 Last Action Date
   - 5.6 Related Records
   - 5.7 Notes
   - 5.8 UIN Number*(**Relevant for DVA Staff who work with Client E-Doc records only**. Please review blue text box "**UIN Number**" in step 10 below.)
   - 5.9 Container (**Relevant for DVA Staff who work with NON Client E-Doc records only**).
   - 5.10 Author
   - 5.11 Edit Status
   - 5.12 Revision Number
   - 5.13 Document Details
   - 5.14 Audit Events

If any of the recommended fields are not added yet, proceed to step 6.

6. From the **Available Fields** list, select (left click) the field to be added (e.g. **Current Location**).
7. Click **Add.**

   *The selected field will now appear in the **Displayed Fields** list.*
8. Repeat steps 6 & 7 for any recommended fields listed from 5.1 to 5.13 that has not been added yet.
9. To change the order of the **Displayed Fields,**



1.3.6

   9.1 Click on the field name.
   9.2 Click **Up** or **Down** to move it to the required order position.
10. **If you are*required to process CLIENT E DOC** record type (*client facing business area e.g. VAN) proceed to **step 11. Otherwise**, proceed to **step 13.**

> This set-up process has to be repeated for each record type (ELECTRONIC DOCUMENT and/or CLIENT E DOC) you manage/process.

> **UIN Number**
>
> To add **UIN Number** to the **Displayed Field** list, you must select (left click) **Container** from the **Available Fields** list.

11. In the **List Pane**, locate a **CLIENT E DOC** record type and select (left click) the record.

    The record will be highlighted.
12. Repeat steps 2 to 9.
13. When you have added all the recommended fields for each type of record (ELECTRONIC DOCUMENT and/or CLIENT E-DOC), click **OK** to close the **Record View Pane** dialog.

Date & time you completed this exercise:	

EXERCISE 2: ACCESSING YOUR MAILBOX

- *The **Mail and Courier Services Team** assigns the electronic mailbox to business areas based on functions/teams, as required.*
- *Each mailbox is allocated a unique number and name (e.g. MAIL1009 Business Support – Mail & Courier – Unknown Mail).*
- *The allocation of electronic mailboxes are dependent on the business area's requirements (including mail volume).*
  - *Some areas may have more than one.*
  - *Some mailboxes may be grouped at the branch or section level.*

2.1 IDENTIFYING YOUR MAILBOX/ES

1. In the **Find Records Pane**, select (left click) **Record Number** in the **Search By** field.
2. In the **Matching Criteria** field, enter the record number **16543938E.**
3. Click on the **Find** icon.

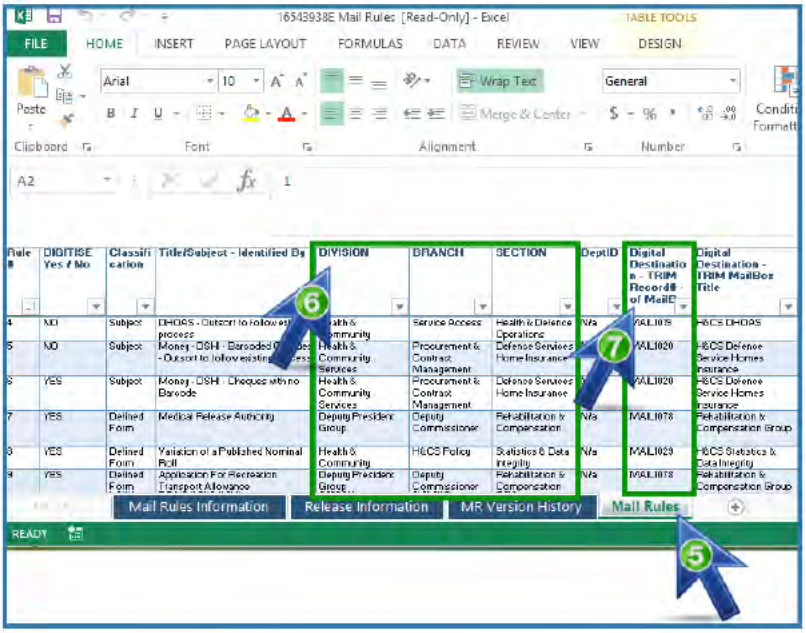
*The record titled **Mail Rules** will display in the **List Pane.***

2.1.1

4. Double (left) click on the record number (**16543938E**).

   The spreadsheet opens.
5. Click on the **Mail Rules** tab.
6. Using the filters in the **Division, Branch** and **Section** columns, locate your team or function.
7. Locate the column titled **Digital Destination – TRIM Record# - of MailBox** and identify the mailbox you are responsible for.
8. For your record, enter your business area's unique mailbox/es name/s here:

   MAIL_ _ _ _



2.1.5

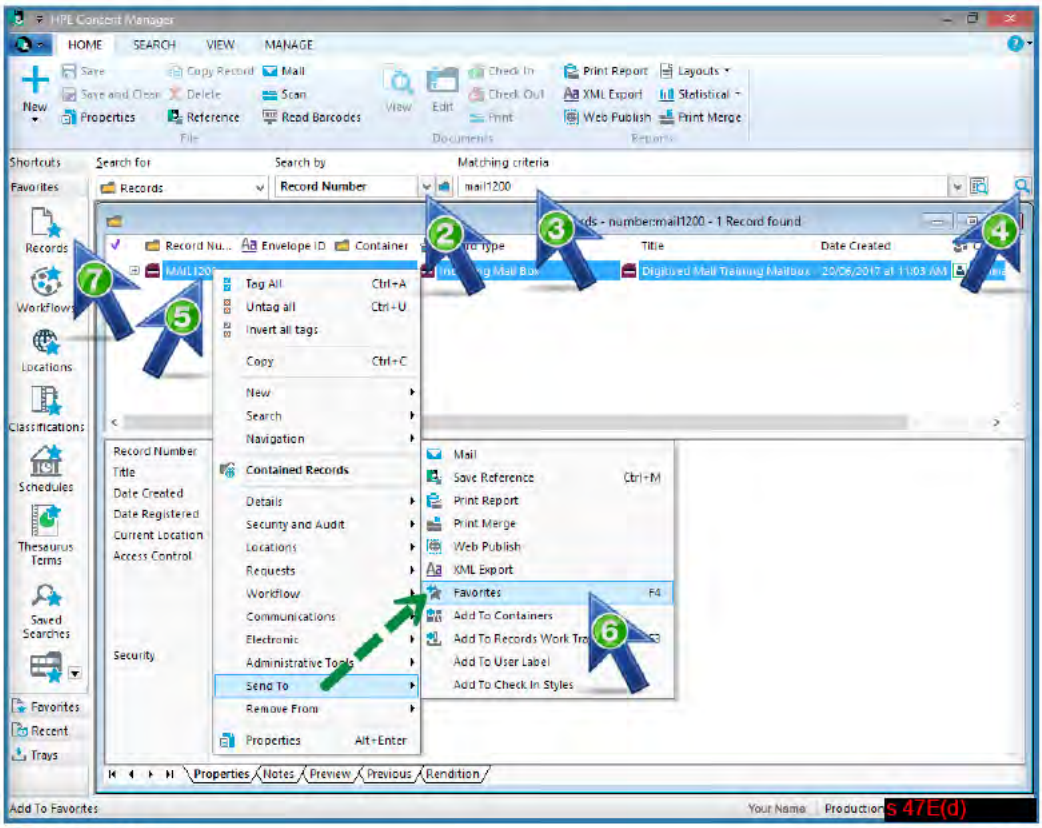
9. **Close** the Mail Rules spreadsheet. In the prompt dialog, select **Don't Save.**
10. It is recommended that you contact the Mail and Courier Services Team (s 47E(d) [redacted]
    - to confirm that you have identified your mailbox correctly.
    - to provide a name list of all staff in your area that are authorised to access this mailbox as Mail Coordinators.

2.2 SETTING A FAVOURITE SHORTCUT FOR QUICK ACCESS TO YOUR MAILBOX/ES

1. You will now search for your mailbox via the Find Records Pane:

2. In the **Search By** field, select (left click) **Record Number.**

3. In the **Matching Criteria** field, enter your mailbox name (e.g. MAILXXXX where XXXX is the unique 4 digit identifier of your mailbox).



2.2.2

4. Click on the **Find icon.**

   *Your search result will display in the **List Pane**.*

5. In the **List Pane,** right click on the record number. (e.g. **MAILXXXX**).

   A drop down menu displays.

6. Navigate to: **Send To > Favourites.**

   *Your mailbox will now be in your **Favourites** shortcut.*

7. In the **Shortcut Bar**, navigate to **Favourite > Records.**

   *Your mailbox will display. You may now access your mailbox through this **Favourites** shortcut.*

8. **For this training, you will repeat steps 1 to 6 for MAIL1200.** This is the training mailbox and you are required to complete the remaining training exercises in it.

9. Confirm that **MAIL1200** displays when you click on **Records** in the **Shortcut Bar.**

Date & time you completed this exercise:	

EXERCISE 3: PROCESSING RECORDS IN YOUR MAILBOX

- Every envelope that is received and processed by the mail partner (Decipha) is assigned a unique **Envelope ID.**
- The **Envelope ID** is a unique 8 digit identifier for each envelope received.
- Every item received in the same envelope will be tagged with a same **Envelope ID** when they are digitised (scanned).
- *At the briefing provided before you started on these exercises, the trainer has given you a sample **Envelope ID** for you to complete the remaining training exercises.*
- *For your record, note the sample training **Envelope ID** assigned to you here:*

Scenario:

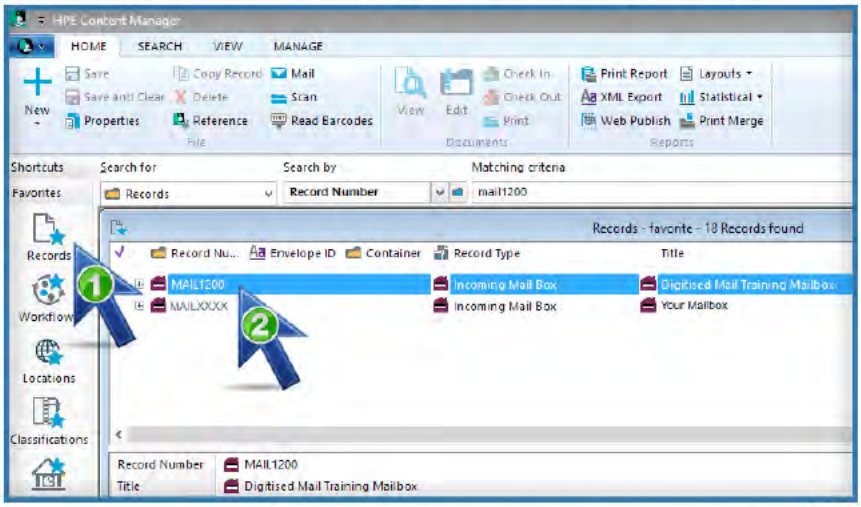
*It is a new business day and you open your mailbox to review the records to be processed. For this training exercise, you will be practicing in **MAIL1200 Digitised Mail Training Mailbox.***

*To facilitate the processing, you will sort the records by grouping them according to the **Envelope ID** they are tagged to.*

3.1: IDENTIFYING ALL RECORDS IN YOUR MAILBOX THAT WERE RECEIVED IN THE SAME ENVELOPE

SETTING UP

1. Navigate to **Shortcut Bar > Record** to access the **MAIL1200 Digitised Mail Training Mailbox.**



3.1.1

2. Double (left) click on **MAIL1200** in the **Record Number** column. (*Please review the blue text box below)

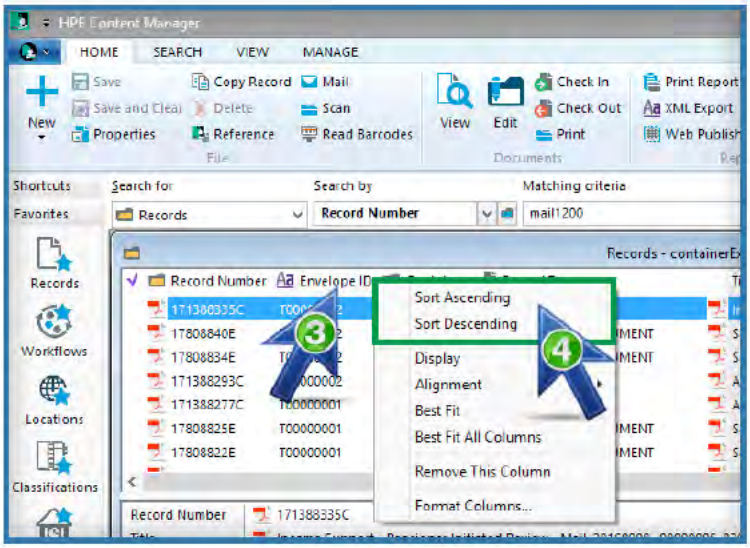
   A new window will display listing the contents of MAIL1200.

- Step 2 is **mandatory** to enable sorting.

SORTING

3. In the new window listing all records in **MAIL1200**, right click on the column header **Envelope ID.** *A drop down menu displays.*
4. Select (left click) **Sort Ascending** or **Sort Descending.**

   *The records will be displayed in groups according to **Envelope ID**.*
5. You now have an overview of the records that are currently in your mailbox, grouped by **Envelope ID.** *(Please review blue text box titled **ISH** below).

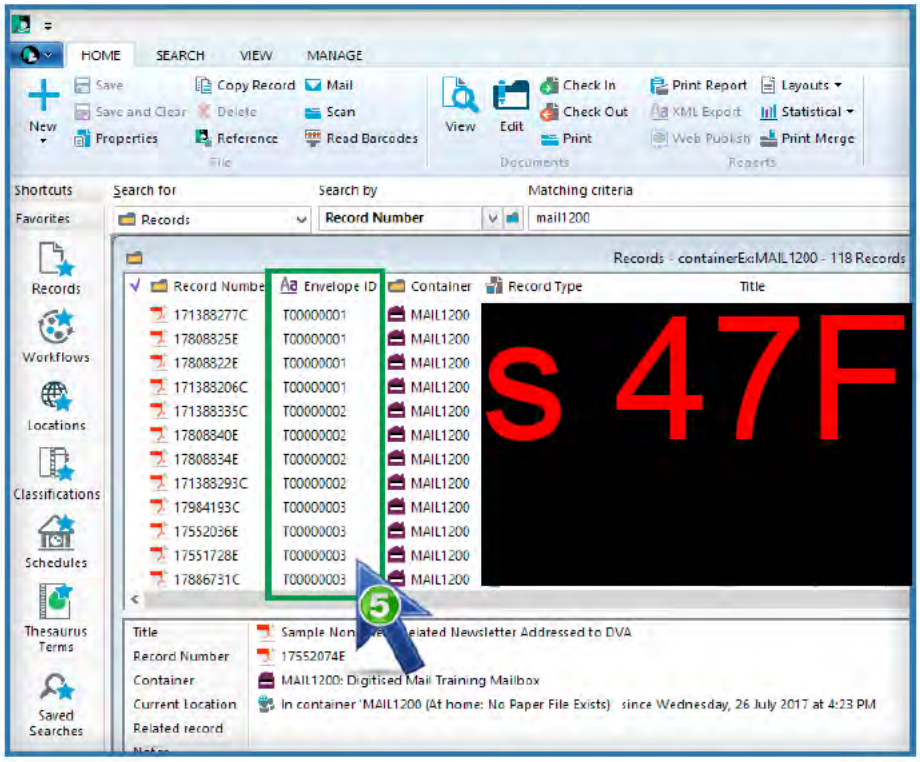


3.1.3

ISH – Integrated Support Hub

Certain client mail items (e.g. Medical Reports, Pay slips or POI documents) are processed through ISH **before** they are available in CM9.

- **This will result in a lag of up to 2 days before these documents are available in CM9 and moved to the appropriate mailbox or Client UIN.**
- Phase Two of the Digitised Mail project will provide a level of visibility for documents sent through ISH. This program is being released in a staged rollout over the next 6-18 months.



3.1.5

Date & time you completed this exercise:	

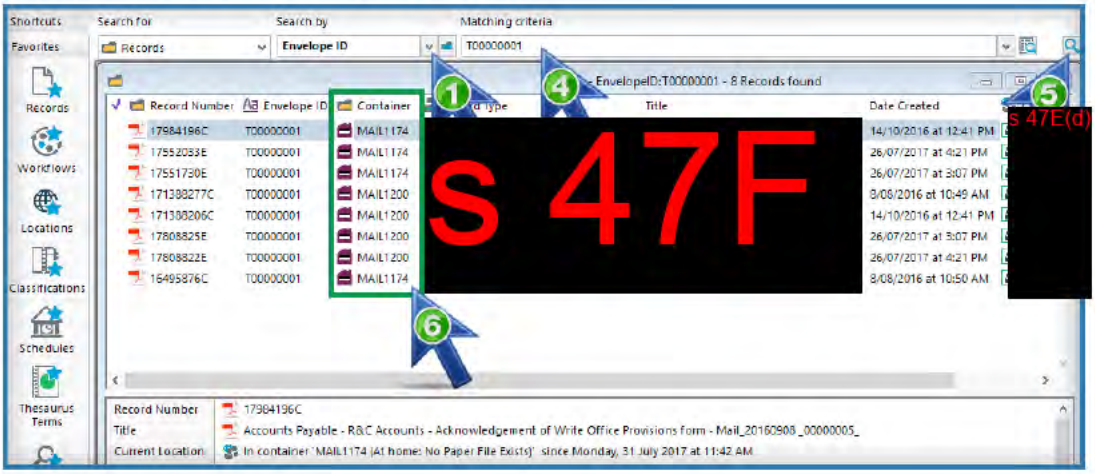
3.2: IDENTIFYING RELATED RECORDS THAT MAY BE OUTSIDE YOUR MAILBOX - VIA THE CM9 SEARCH FUNCTION

Scenario:

In exercise 3.1 you have identified all records in your mailbox, grouped according to the sample training **Envelope ID** assigned to you.

You will now search CM9 to confirm if other records with the same **Envelope ID** have been sent to other area/s or mailbox/es.

1. In the **Find Record Pane**, click on the **Search By** drop down arrow.
2. Select (left click) **Envelope ID** from the drop down list.
3. You will now search for records tagged with the sample training **Enveloped ID** assigned to you.



3.2.1

4. In the **Matching criteria** field, enter your **Sample Training Envelope ID** *(Please review blue text box below).

- Specifically for **this training purpose only**, the sample training **Envelope ID** assigned to you has a "**T**" prefix, followed by an 8 digit number. You must include the prefix and the complete 8 digit number (**e.g. T00000001**) to search for this **specific Envelope ID.**
- In the production environment, the **Envelope ID** consists of an 8 digit number only.

5. Click on the **Find icon.**
   *All records related to this **Envelope ID** will display in a new window.*
6. Review the **Container** column in the **List Pane**, to identify any records that are in a mailbox/container other than your training mailbox.

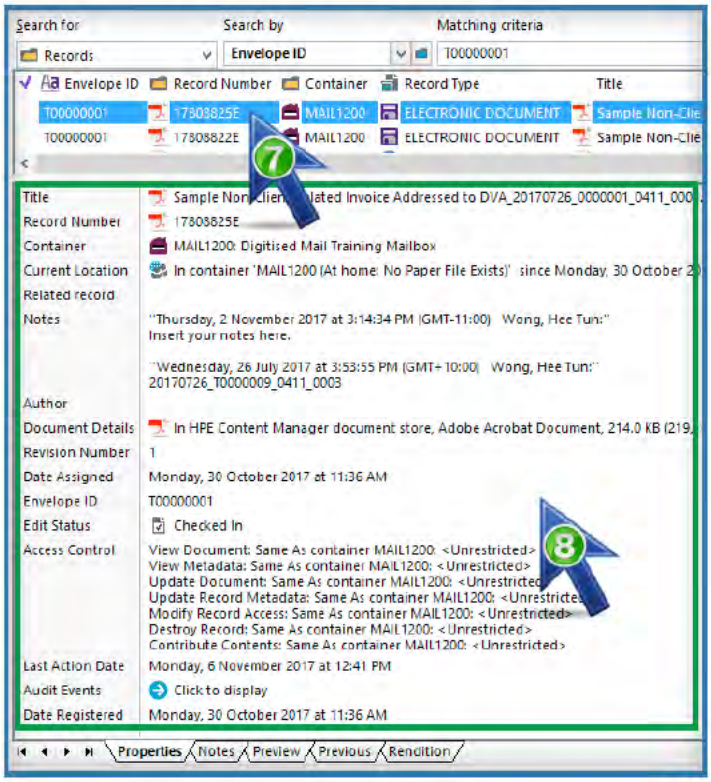
What to do when you find a related record that is in another container:

- If you are certain it is for your area's action,
  - Relocate it to either your MAIL101 or to the permanent storage container.
  - Please send the CM9 link of the record to the Mail & Courier Services Team so it can be recorded as a misclassification and the Mail Rules can be continually refined and optimised.
- If you are not sure the record is for your action,
  - Leave the record in the container it is currently within,
  - Contact the Mail Coordinator of that container,
  - Contact the Mail & Courier Services Team.
  - **AVOID moving the record/s** before consulting either the Mail Coordinator of that mailbox or the Mail & Courier Services Team.
  - **AVOID changing the record title. Such action impedes the process of redirecting to the correct business area and is traceable to your user id.**

Review Related Records Information Via The View/Preview Pane

7. In the **List Pane**, left click (select) any record from the search result displayed.
8. Review the details of this record in the **Properties** tab of the **View/Preview Pane**:
   a. **Current Location** will reveal where the record is.
   b. **Related Records** will list the record number of other records tagged to the same Envelope ID. *(Please review blue text box below.)

> The Mail & Courier Services Team has identified that there are instances where **Related Records** does not function. Such instances include documents routed through ISH.



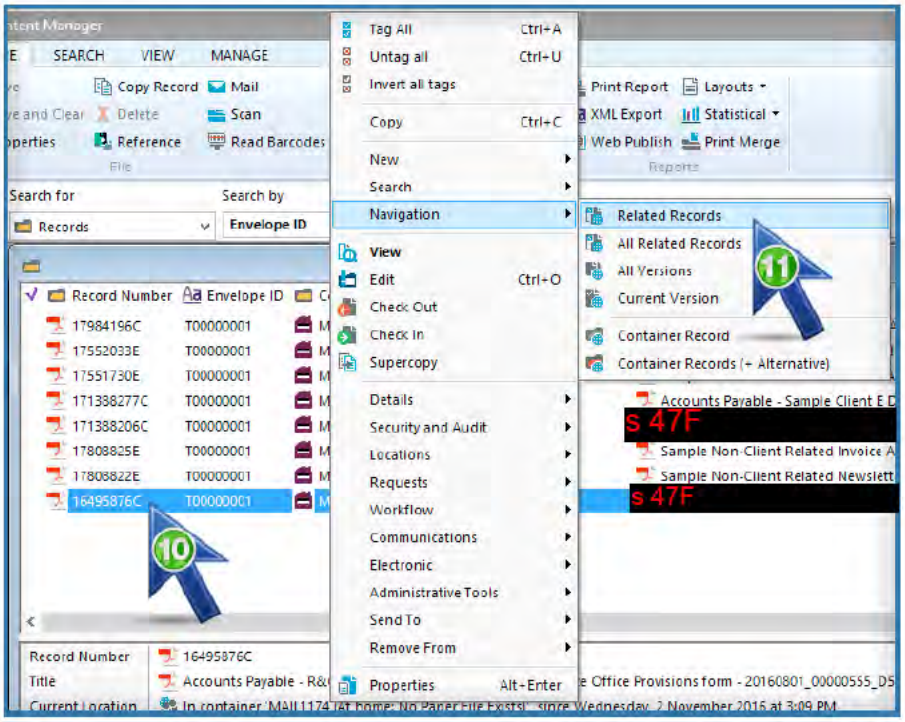
3.2.7

Alternative Method To View All Related Documents – Steps 9 to 11 Are For Your Reading Purpose Only

9. Pick any record from the search result displayed in the **List Pane**.
10. Right click on this record in the **List Pane**.

    *A drop down menu displays. If Related Records does not display in the drop down menu, **please review the blue text box in 8.b.***
11. Navigate to **Navigation > Related Records**.

    A new window listing all related documents will display.



3.2.10

Date & time you completed this exercise:	

3.3: HOW TO REVIEW THE CONTENTS OF A RECORD

Scenario:

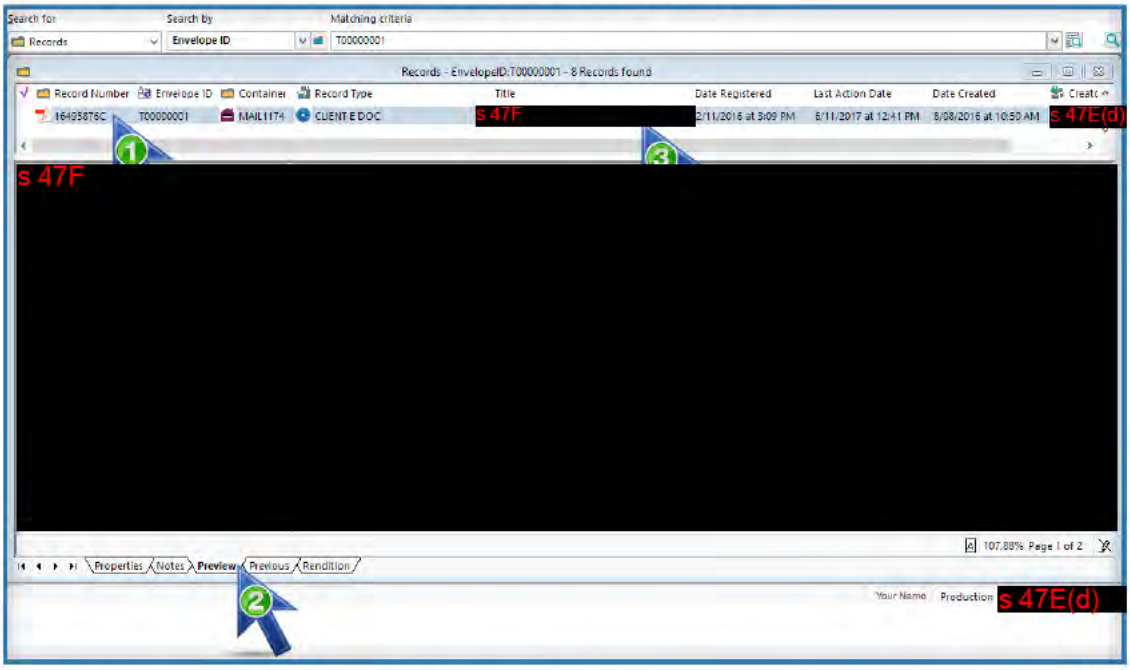
In Exercise 3.2, you have grouped the records in your mailbox according to Envelope ID.

You will now review the contents of each record to identify the relevant information and determine which business area will process the records.

There are two ways you can review record contents.

To Review A Record Via The Preview Tab

1. In the **List Pane**, pick a record to review > left click (select) the record.



3.3.1

2. In the **View/Preview Pane**, left click on the **Preview** tab.

   *The image/s will display in the **View/Preview Pane**.*

For large records, launch the **Adobe Acrobat Reader** to view the contents.

To Review A Record Via Adobe Acrobat Reader

3. In the **List Pane**, double left click on the record to be reviewed.

   Adobe Acrobat Ready *will launch and the record will display.*

s 47F

[redacted]

3.3.3

What If You Discover Records That Are Not Related To Your Business Area In Your Mailbox?

- If it is not related to your business area, **AVOID changing the record title. Such action impedes the process of redirecting to the correct business area and is traceable to your user id.**
- These records must be redirected to the **Mail & Courier Services Team** for correct redelivery.
- **Redirect them to the MAIL1009 – Mail & Courier – Unknown Mail** container.
- Refer to **Exercise 3.6 How To Distribute Records** for steps to redirecting records from your mailbox.

Date & time you completed this exercise:	

3.4: HOW TO EDIT A RECORD TITLE

CLIENT E-DOCS

- When a **Client E Doc** record is created (mail content is scanned), it is given a **Title** by the system.
- **Title** is made up of the **Title (Structured Part)** field and the **Title (Free Text Part)** field.
- The system applies pre-determined Thesaurus Terms to the **Title (Structured Part)** field, according to the business area's functions.
- The **Title (Free Text)** is populated by default, with **[Date]_[EnvelopeID]_[Bag ID]_[Document ID].**
- Where multiple records with the same **Envelope ID** have the identical Thesaurus Term applied to the **Title (Structured Part)** field, the **Title (Free Text)** should be used to provide additional information to differentiate these records.
- In giving a meaningful title in the **Title (Free Text)** field, Mail Coordinators should be guided by the **naming convention customised in consultation with and owned by the business area.**
- **CM9 Help Sheet - How To Title Client E-Docs Appropriately (Record No: 17780375E)**

ELECTRONIC DOCUMENTS

- When an **Electronic Document** record is created (mail content is scanned), the system populates the **Title** field by default with **[Date]_[EnvelopeID]_[Bag ID]_[Document ID].**
- Before the records are moved from the mailbox to the appropriate line areas, they should be given a title that is meaningful and purposeful for the line area.
- In giving a record a title that is meaningful and purposeful for your business area, Mail Coordinators should be guided by the **CM9 Help Sheet - How To Give Documents Appropriate Titles in CM9 (Record No: 17779979E)** as well as the **naming convention customised in consultation with and owned by the business area.**

MISDIRECTED RECORDS

- **If a record is not related to your business area, AVOID changing the record title. Such action impedes the process of redirecting to the correct business area and is traceable to your user id.**
- Redirect such records to **MAIL1009 – Mail & Courier – Unknown Mail** container.

The following reference documents provide essential information on document titling. It is highly recommended that you do review them upon the completion of the remaining training exercises:

- CM9 Help Sheet - How To Title Client E-Docs Appropriately (Record No: 17780375E)
- CM9 Help Sheet - How To Give Documents Appropriate Titles in CM9 (Record No: 17779979E)

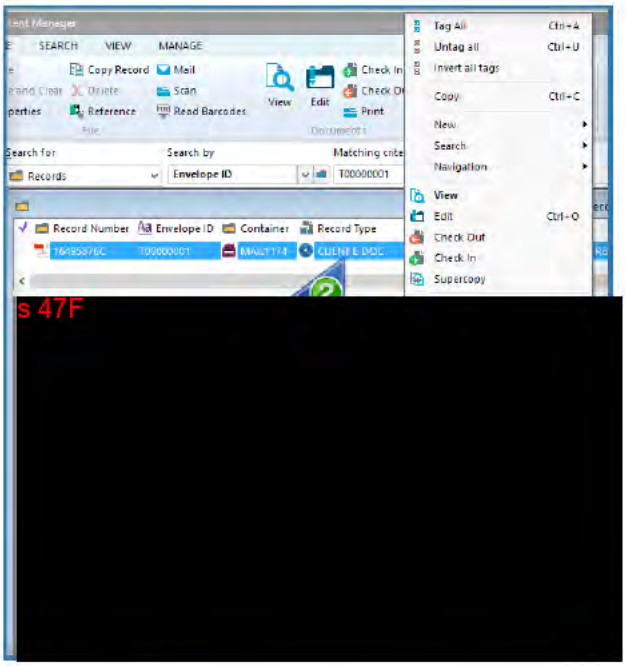
Scenario:
In Exercise 3.3, you have reviewed the records in your mailbox and identified which line area will process them.
Records should be titled according to the naming convention adopted and owned by your business area, before they are moved out from your mailbox to the appropriate container/s for the line area/s to process.
For this exercise:

- *If you process **Client E-Doc** in your daily work, proceed to Step 1.*
- *If you process **Electronic Document** record type **only** in your daily work, proceed to Step 11.*

How To Change The Title Of A Client E-Doc Record Type CLIENT E DOC -

1. In the **List Pane**, locate a **Client E-Doc** record to be retitled.
2. Right click on the record.
3. A drop down menu will display.
4. Select (left click) **Properties**.

   *A **CLIENT E DOC – [Record Number]** dialog will display, with the **General** tab open.*
5. The **Title (Structured Part)** field is auto-populated with the appropriate **Thesaurus Terms**. For this training exercise, you will practice changing the **Thesaurus Term** for this record.

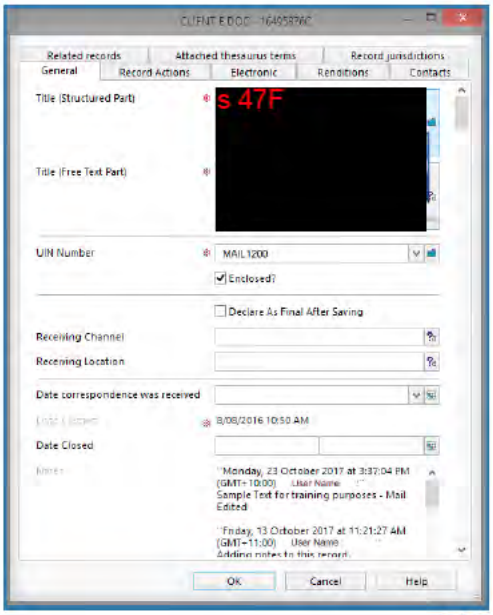


3.4.2

> In the production environment, this is done by Mail Coordinators **strictly only when a wrong Thesaurus Term has been applied.**
>
> - **This must be followed by notifying the Mail & Courier Services Team (provide them the record number/link) so the misclassification can be recorded and improvement to the Mail Rules can be refined.**

6. To edit the **Title (Structured Part)** field, click on the blue folder icon.

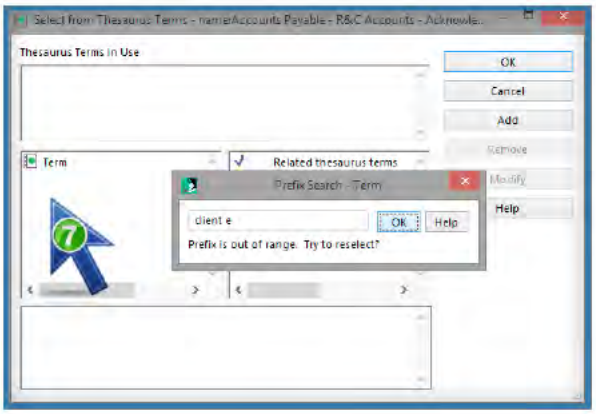
   *A **Select From Thesaurus Terms** dialog displays.*



3.4.6

7. Click in the **Term** field (**Note**: there is no visible indicator to show you have clicked in the field.) > type **Client E** (*what you type will populate a **Prefix Search – Term** dialog*) > **Enter** on your keyboard.

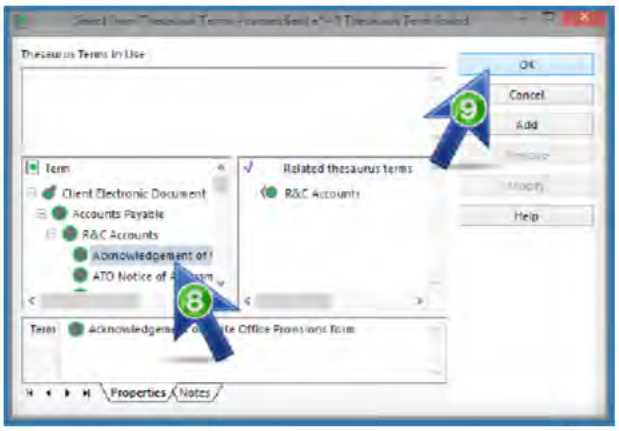
   *The **Client Electronic Document** (top level) category will display in the **Term** field.*



3.4.7

8. Navigate to the appropriate **Thesaurus Term** for your business area (e.g. **Client Electronic Document > Accounts Payable > R&C Accounts > Acknowledgement of Write Office Provision Form**).
9. Click **OK**.

   *The **Select From Thesaurus Terms** dialog will close & the **Properties** dialog will refresh. The **Title (Structured Part)** field is populated with the new Thesaurus term selected in step 8.*



3.4.7

10. The default content in the **Title (Free Text)** field when the record is created is **[Date]_[EnvelopeID]_[Bag ID]_[Document ID].**

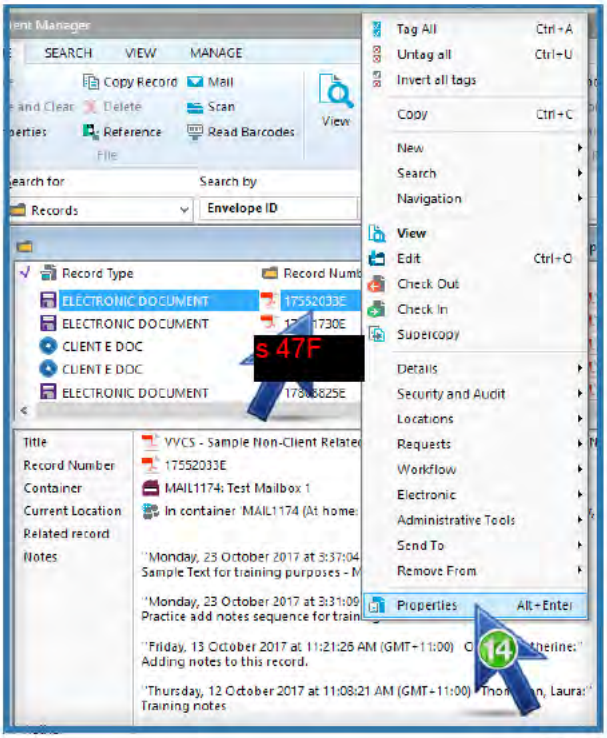
11. When there are multiple records with the same **Envelope ID** with the same Thesaurus Terms in the **Title (Structured Part)** field, use the **Title (Free Text)** field to provide additional information to differentiate these records in accordance to the naming convention adopted by your business area. *Please review the blue text box (**Your Business Area's Naming Convention**) below and [CM9 Help Sheet – How To Title Client E-Docs Appropriately (17780375E)]

How To Change The Title Of An Electronic Document Record Type - ELECTRONIC DOCUMENT

12. In the **List Pane**, locate an **Electronic Document** record to be retitled.
13. Right click on the record.

    A drop down menu will display.
14. Select (left click) **Properties.**

    *An **Electronic Document – [Record No.]** dialog will display, with the **General** tab open.*

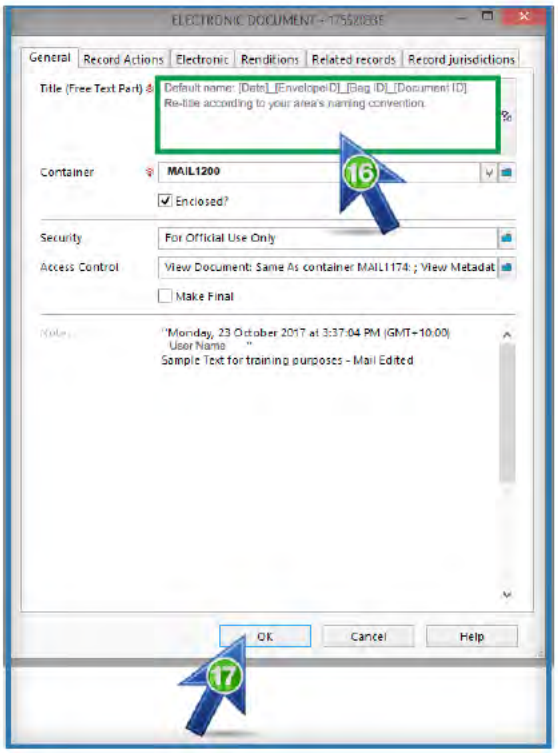


3.4.13

15. When this record is created, the **Title (Free Text Part)** field is populated by default with **[Date]_[EnvelopeID]_[Bag ID]_[Document ID].**

16. In the **Title (Free Text Part)** field, re-title the record in a standard format as dictated by your area's naming convention. *Please review blue text box below.

> **Your Business Area's Naming Convention**
>
> - Your business area's customised naming convention is a crucial reference document created, owned and managed by your area.
> - It ensures all records managed in your business area are titled in a standard format that serves your business purpose.
> - Please refer to Help Sheet – How to Give Documents Appropriate Titles in CM9 (Record No: 17779979E) in refining your naming convention.



3.4.16

17. Click **OK.**

*The **Electronic Document** dialog will close > the **List Pane** will refresh and the record will be listed with the new title you entered in step 16.*

Date & time you completed this exercise:	

3.5: HOW TO ADD NOTES TO A RECORD

Scenario:

In Exercise 3.4 you have edited the title of the records in accordance to the Titling Principle.

Before moving the record to the business area's CM9 container, it is important to provide any additional useful information that will assist DVA officers in processing the record.

Examples of Notes to be added include:

- *Client reference number or information relating to searching for the identity of the sender.*
  - *Eg. "Called Dr X and confirm John Smith QX12345 DOB 1/1/24".*
- *Action that may have been taken where another area also is to action.*
  - *Eg. "Called Mrs Jones to advise Fact Sheet being posted and that her MEPI form had been received and is with MEPI team for further action".*
- *Advice for further action.*
  - *Eg. Invoice processing for Accounts Payable "Approved to pay as confirmed receipt of report – IRD0012345".*
- *Advice to search via Envelope ID to be able to preview the full contents of a mail when processing.*
  - *Eg. "Service Delivery Officer, please perform a search by Envelope ID [XXXXXXXX] and and preview the full contents of the mail received when processing".*

*Ensure you add the **User Stamp** to assist with a date and time trace.*

*You will now practice adding **Notes** to the records.*

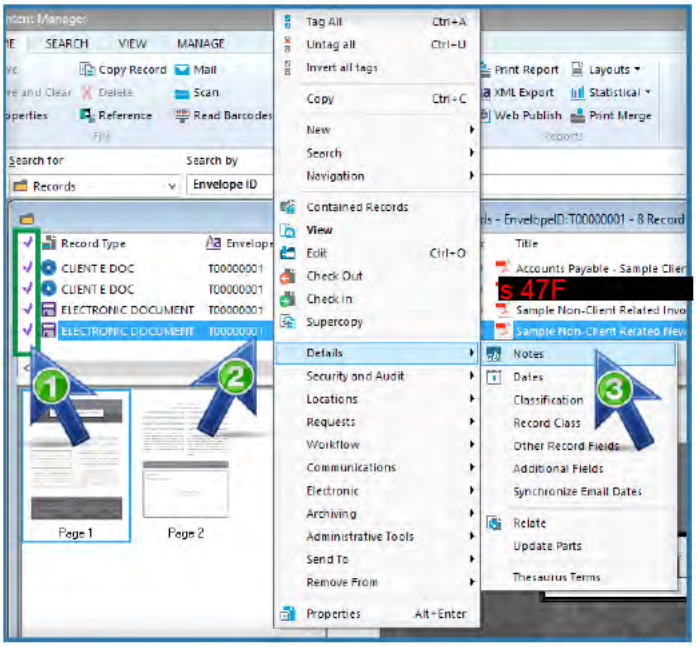
- Each note created forms a part of an official record.
- Each note you add will be date and time stamped against your ID.
- Notes form a crucial component of an official record. **The integrity of all notes MUST BE PRESERVED**. Any attempt to tamper an official record including editing or removing any note, the date & time stamp or the author ID, is **traceable** and the party involved will be subjected to the appropriate actions.

To Add Notes To Multiple Records

1. In the **List Pane**, select multiple records to add the required note to (e.g. all records with the same **Envelope ID**) by ✓ clicking on the Tag column of each record.
2. Right click on any of the records selected.

   A drop down menu will display.
3. Navigate to: **Details > Notes.**

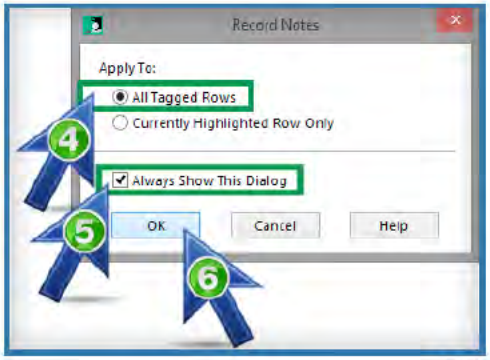
   *A **Record Notes** dialog will display.*



3.5.1

4. In **Apply To,** select (left click) **All Tagged Rows.**
5. Maintain the default setting **(ticked)** for **Always Show This Dialog.**
6. Click **OK.**

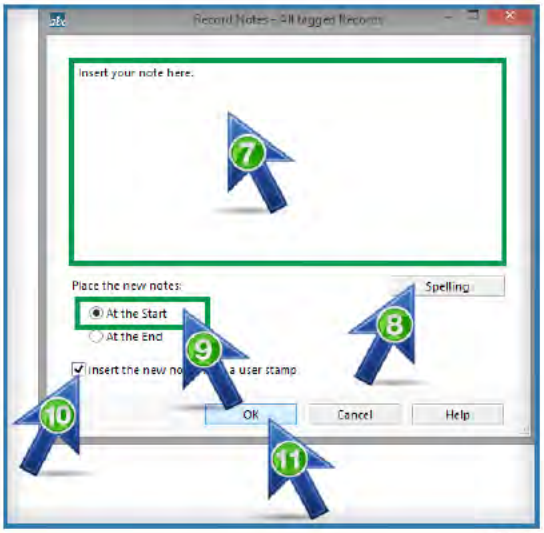
   *A **Record Notes – All Tagged Records** dialog will display.*



3.5.4

7. Add the required notes in the free text field.
8. Click on **Spelling** and complete a spell check.
9. The **Place the new notes** selection, is defaulted to **"At the Start"**. Maintain this selection.
10. The **Insert new notes with user a stamp** check box is ticked by default. Maintain this setting.
11. Click **OK.**

    *A **Record Notes – All Tagged Records** confirmation dialog will display.*



3.5.7

12. Click on **Yes To All.**

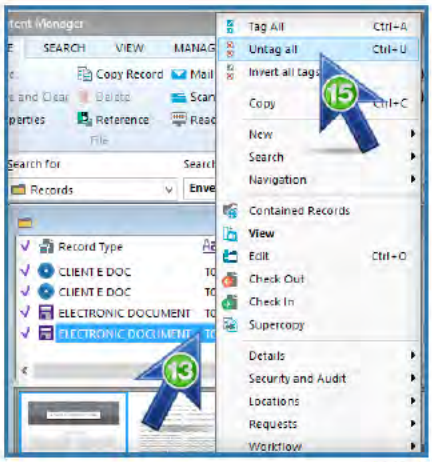
    *The note you have added will display in the **View/Preview Pane** (when the **Notes** tab is selected) for each of the record selected in step 1.*

3.5.12

To Add Notes To A Single Record

Steps 13 to 15 remove any existing tags on all records displayed. This provides the correct set up for this part of the exercise.

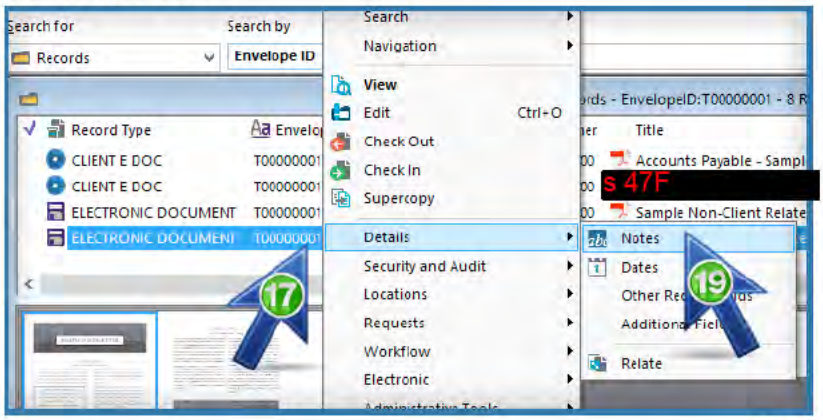
13. In the **List Pane**, right click on any record.
14. A drop down menu will display.
15. Select (left click) **Untag All** to clear all prior tags on any records.



3.5.13

16. Pick a record which you would like to add a note to.
17. Hover over the record and right click.
18. A drop down menu will display.
19. Navigate to: **Details > Notes.**

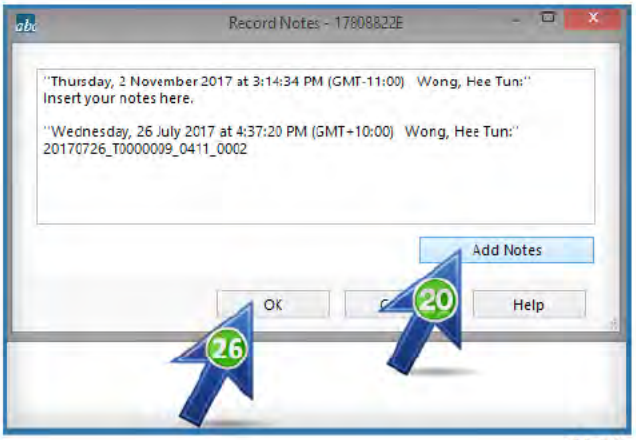
    *A **Record Notes** dialog will display.*



3.5.17

20. Click on **Add Notes.**

    *An **Add Annotations** dialog will display.*



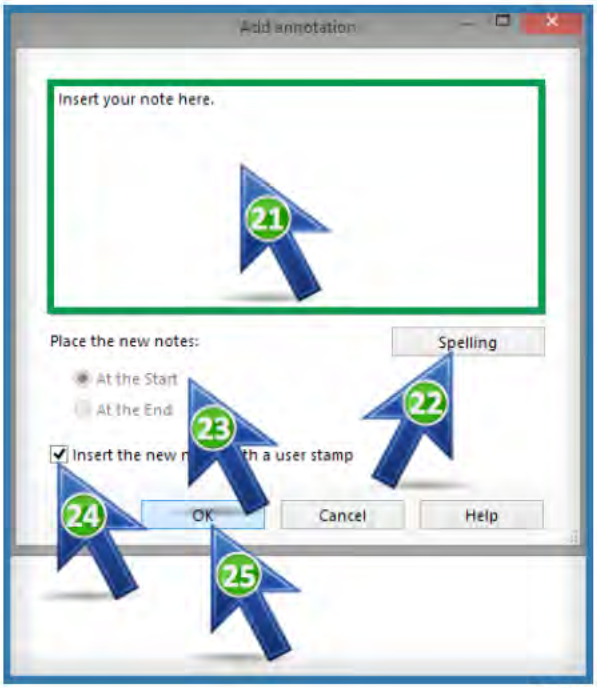
3.5.20

21. Add the required notes in the free text field.
22. Click on **Spelling** and complete a spell check.
23. The **Place the new notes** selection is locked at **"At the Start"**.
24. The **Insert new notes with user a stamp** check box is ticked by default. Maintain this setting.
25. Click **OK.**

    *The **Add Anotation** dialog will close and **Record Notes** dialog will display with the new note at the top, date and time stamped against your ID.*

26. Click **OK** on the **Record Notes** dialog.

    *The **List Pane** will display.*



3.5.21

Date & time you completed this exercise:	

3.6: HOW TO DISTRIBUTE THE RECORDS

- Your mailbox **should be emptied** at the end of each business day.
- All records in your mailbox must be moved to either:
  - The **Client UIN** - for client related records (Client E Docs), or,
  - A **Policy & Administration (P&A)** container – for non-client related records.

- How the records are distributed as well as the processing workflow is determined by the business area.
- The work may be distributed via a combination of the following methods:
  - Moving the document to another container monitored by the relevant officer/s.
  - Assign the records to the line area via email.
  - Via a CM9 workflow.
- Mail Coordinators should confirm the processing workflow for your business area with your Manager.
- Multiple records can be tagged and distributed as a group in one batch action.

Scenario:

So far, you have completed the following exercises:

- **Grouped records** in your Mailbox by **Envelope ID**.
- **Checked for other records** with the same **Envelope ID** that may be in other CM9 containers.
- **Reviewed the contents** of the records that enabled you to identify which line area will process them.
- **Edited the record title** in accordance to your area's naming conventions.
- **Added relevant notes** to assist DVA Officers in processing the records.

You are now ready to **distribute the records** to the relevant line areas for processing. To simulate this process, you will practice moving the records with the same sample training **Envelope ID** in your training mailbox (**MAIL1200**) to **MAIL1174**.

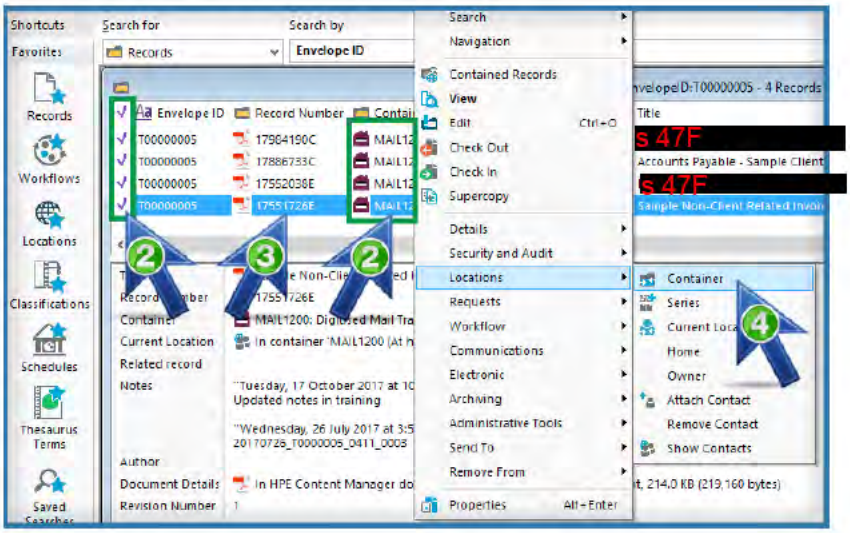
To complete the exercise, you will move the same records from **MAIL1174** back to **MAIL1200**.

What If You Discover Records That Are Not Related To Your Business Area In Your Mailbox?

- These records must be redirected to the **Mail & Courier Services Team** for correct delivery.
- **Redirect** them to the **MAIL1009 – Mail & Courier – Unknown Mail** container.
- This exercise will go through the steps to redirecting records from your mailbox.

Moving Multiple Records From Your Mailbox To Another Container (MAIL1174)

1. At the end of exercise 3.5, the **List Pane** will display all records in your own mailbox **(for this exercise: MAIL1200)** with the same **Envelope ID.**
2. Refer to the **Container** column and tag records that are in your own mailbox only **(for this exercise: MAIL1200)** by clicking in the ✓ (Tag) column for each record. Please review blue text box below.



3.6.2

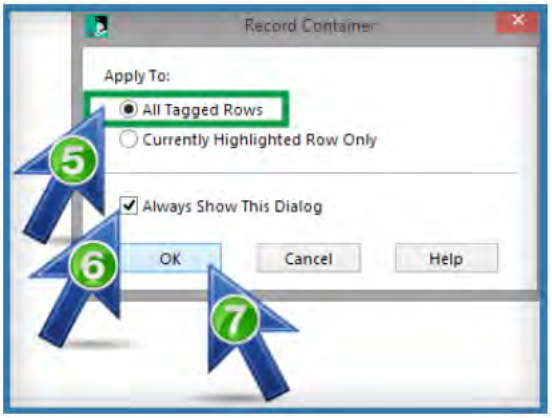
What to do when you find a related record that is in another container:

- If you are certain it is for your area's action,
  - Relocate it to either your MAIL101 or to the permanent storage container.
  - Please send the CM9 link of the record to the Mail & Courier Services Team so it can be recorded as a misclassification, and the Mail Rules can be continually refined and optimised.
- If you are not sure the record is for your action,
  - Leave the record in the container it is currently within,
  - Contact the Mail Coordinator of that container,
  - Contact the Mail & Courier Services Team.
- **AVOID moving the record/s** before consulting either the other Mail Coordinator or the Mail & Courier Services Team.
- **AVOID changing the record title. Such action impedes the process of redirecting to the correct business area and is traceable to your user id.**

3. Hover over any of the tagged records and right click.

   A drop down menu will display.
4. Navigate: **Locations > Container.**

   *A **Record Container** dialog displays.*
5. In the **Apply To** field, select (left click) **All Tagged Rows.**
6. **Tick the Always Show This Dialog** check box.



3.6.5

7. Click **OK.**

   *A **Record Container – All Tagged Records** dialog displays.*

8. In the **Set Container To** field, click on the drop down arrow.

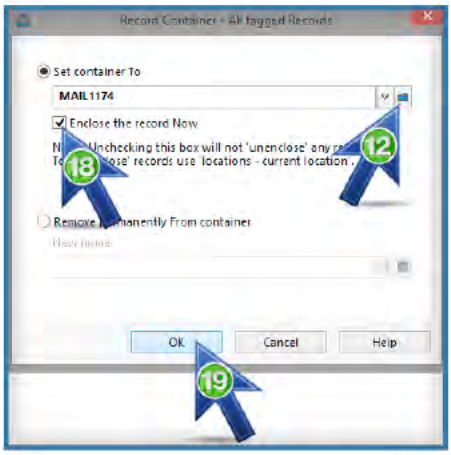
   A list of up to 20 containers you last used will display.

9. If **MAIL1174** is **not listed**, proceed to **step 12.**
10. If **MAIL1174** is **listed**, left click to select it.
11. Proceed to step 19.

3.6.8

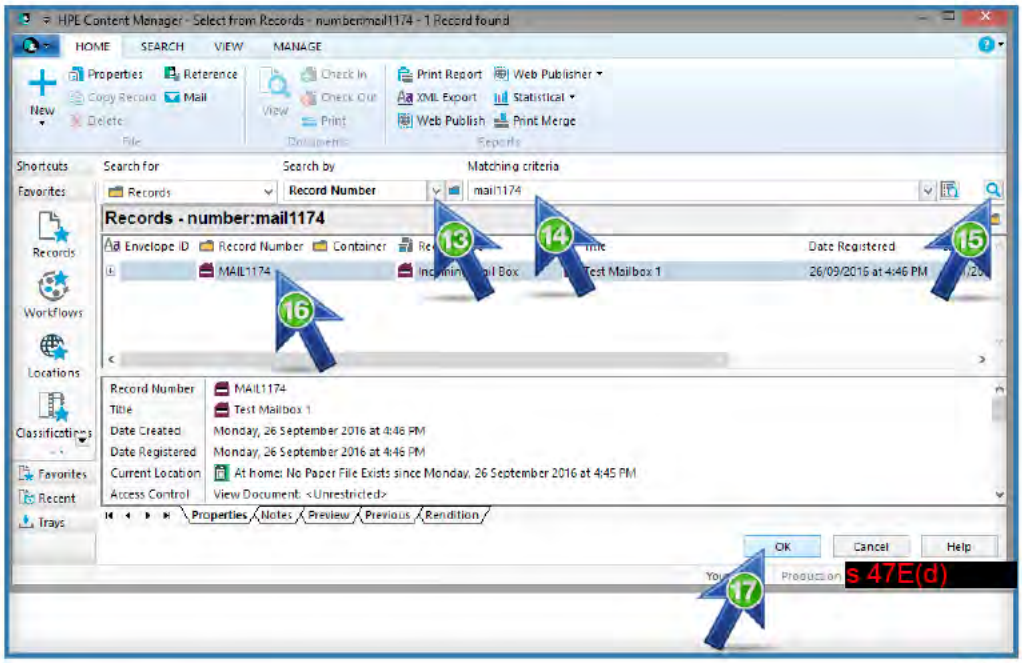
12. Click on the **folder icon.**

    *A **HP Content Manager - Select From Records** dialog displays.*



3.6.12

13. In the **Search By** field, left click (to select) **Record Number.**
14. In the **Matching criteria** Field, enter the new container name (for this exercise enter **MAIL1174**).



3.6.13

15. Click on the **Find icon.**

    ***MAIL1174** will display in the **List Pane**.*

16. Click on **MAIL1174**.
17. Click **OK**.

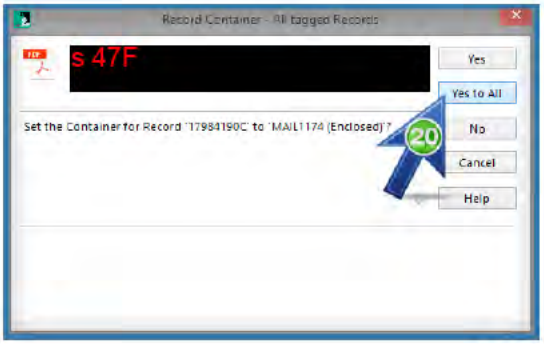
*The **HPE Content Manager – Select From Records** dialog closes > the **Record Container – All Tagged Records** dialog refreshes > the selected container (**MAIL1174**) will display in the **Set To Container** field.*

18. **Tick** on the **Enclose the Record Now** check box.
19. Click **OK**.

    *The **Record Container – All Tagged Records** dialog opens.*

20. Click on **Yes To All.**

    *The **Record Container – All Tagged Records** dialog closes > the **Records – Envelope ID is TD000000XX Container –** dialog refreshes > the records tagged in step 2 are listed with their new container number (**MAIL1174**).*



3.6.20

Moving The Same Records From MAIL1174 Back To MAIL1200

21. In the **Search By** field, select (left click) **Envelope ID.**
22. In the **From** field, enter the sample training **Envelope ID** assigned to you (**T000000XX**)
23. Click **Find.**

    *All records that meet this criteria will display in the **List Pane**.*

24. Tag all records in **MAIL1174** with that same **Envelope ID.**
25. Repeat steps 3 to 20 to complete the move.

- You must notify the DVA Officer responsible for processing the records after you have moved them out of your mailbox. This ensures that the records are handed to the appropriate party in the processing workflow.
  - Please review the Quick Reference Guide – How To Send Records To DVA Officers via Email (Record No: 0849609E) to learn how to notify the DVA Officer.

Date & time you completed this exercise:	

This exercise concludes Part 2 of your training. Please return to the training room by the time specified at the Briefing in Part 1. You will complete Part 3 (final) of your training together with the training team.

USER RESOURCES

INTRANET PAGE

- The latest information related to Mail Digitisation in DVA is available from s 47E(d) [redacted]
- [redacted]
- Mail Coordinators should access the s 47E(d) [redacted] o get the latest updates and resources relevant to your role.

QUICK REFERENCE GUIDES / HELP SHEET

To access the suite of QRGs/ Help Sheets on using the different CM9 functions, access the following container in CM9:

- STAFF DEVELOPMENT - Training - HPE CM9.x Help Sheets and Quick Reference Guides (Container No: 1705558)
- STAFF DEVELOPMENT - Training - HP TRIM Help Sheets (Quick Reference Guides) Intranet File (Container No: 092535)

USEFUL REFERENCE DOCUMENT

- Page 10 of the Working Digitally Guides (Record No: 16109122E) the section titled **MANTRAS.**

WHO TO CONTACT

- For matters related to processing mail at your business area, consult your Manager.
- For matters related to digitised mail received in your electronic mailbox, contact the Mail & Courier Services Team at s 47E(d) [redacted]
- For technical matters related to using CM9, contact the TRIM Administrator at s 47E(d) [redacted]
- For matters related to role based trainings, contact the Training and Support Team at s 47E(d) [redacted]

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 01

How to open HPE CM 9 at DVA and create a new shortcut icon

If you haven't opened CM9 before or if you have lost your CM9 shortcut icon, below is the method on how to action this.

Method

1. Start your PC and open up your Citrix StoreFront **,**

2. Scroll down till you see the Content Manager icon (shown top right)**,**

3. Click on this icon to start,

4. You can save Content Manager to your Citrix StoreFront favourites if required,

5. In StoreFront, next to the Content Manager icon, click on **Details**,

6. Then select **Add to Favourites**, and

7. This will then add the HPE Content Manager icon to your Favourites tab in your Citrix StoreFront

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 02

Understanding the layout of the new version of CM9

There is not much difference between the old version of TRIM and CM9. The look is slightly different but the layout terminology is similar and detailed below.

Layout details:

The tabbed ribbons are used in many actions and functions within HPE Content Manager. These are explained in other CM9 Help Sheets. You can review all help sheets in container: STAFF DEVELOPMENT - Training – HPE CM9.x Help Sheets and Quick Reference Guides (CM 9/HP TRIM Ref: 1705558).

The **Shortcuts Bar** is explained in the following:

- CM 9.x Help Sheet - B07 - How to Use CM 9.x Favourites Button (CM9 Ref: 17594870E), and
- CM 9.x Help Sheet - B08 - How to Use CM 9.x Trays Taskbar (CM9 Ref: 17594885E)

Taskbar and icon/buttons are explained in the following:

- CM 9.x Help Sheet - B06 - How to Customise the Tabs, Ribbons & Buttons (CM9 Ref: 17594860E).

Search Pane are explained in the following:

- CM 9.x Help Sheet - B09 - How to Perform a Search Using the (Quick) Search Pane (CM9 Ref: 17594907E).

Customising your **View pane** is explained in the following:

- CM 9.x Help Sheet - B03 - How to Customise the View and List Panes (CM9 Ref: 17594845E).

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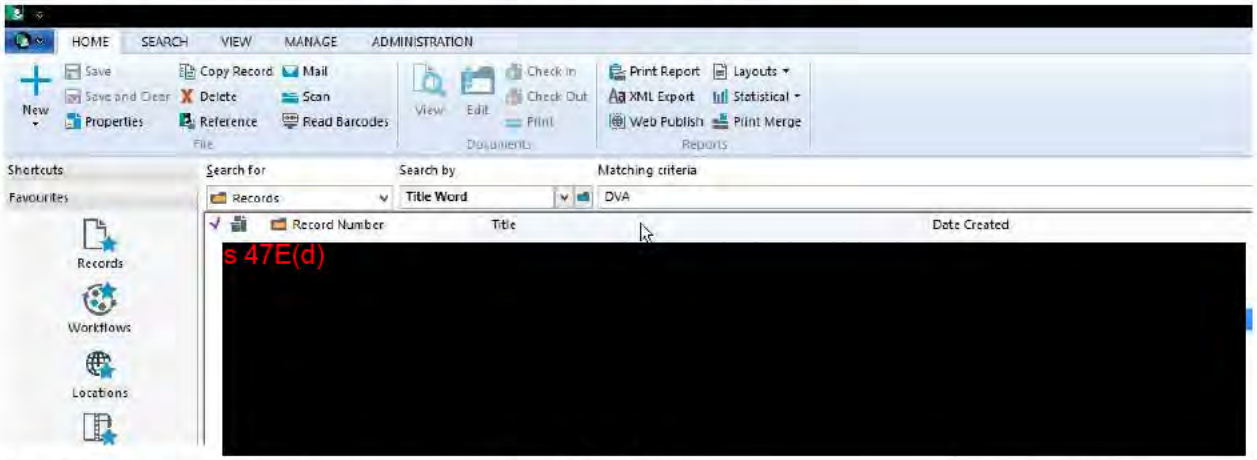
HPE Content Manager (Ver. 9.1) Training Manual – Help Sheet No. 03

How to customise your Record List Pane

The Record List Pane can be customised to display columns of specific pieces of information collected for your search results viewed/listed. You can have as many columns as you want across your CM9 page, but you may have to scroll right or left in order to view them all.

To select which columns are shown in your Record List pane

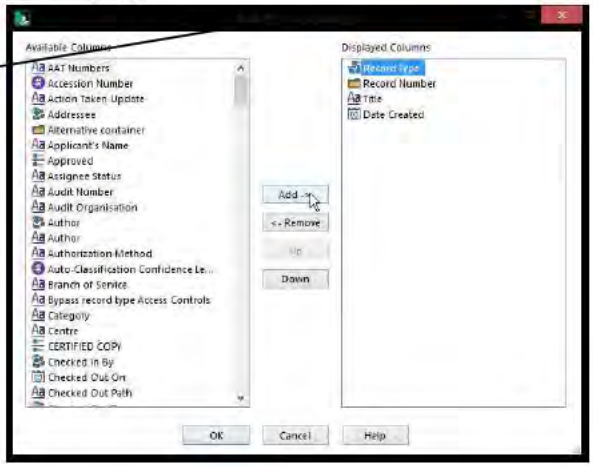


1. Move your mouse cursor over a column heading
   (e.g. over the word *Title* in the picture shown above.)

2. Right mouse click to open the pop out menu (shown right)

3. Then highlight and left click the **Format Columns** option in that menu

4. The **Column Preferences** dialogue box will open (shown right)
   The **Available Columns** field shows all the columns that *could* be displayed in the Record List pane
   The **Displayed Columns** field shows the columns that *will* be displayed in the Record List Pane

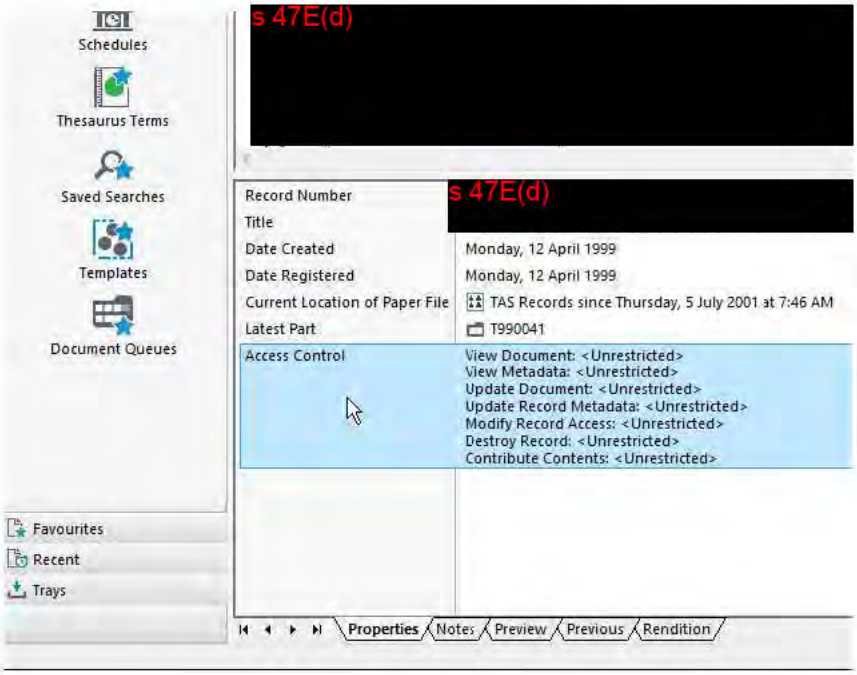


5. Find and highlight column headings(s), as desired, from the Available Columns list.
   - Use the *Add* button to make the item appear in the **Displayed Columns** list
   - Use the *Remove* button to take the item out of the **Displayed Columns** list
6. Click **OK** to accept the changes.

Your *Record View pane* should now display the columns you have chosen.

How to customise the Record View Pane in CM9

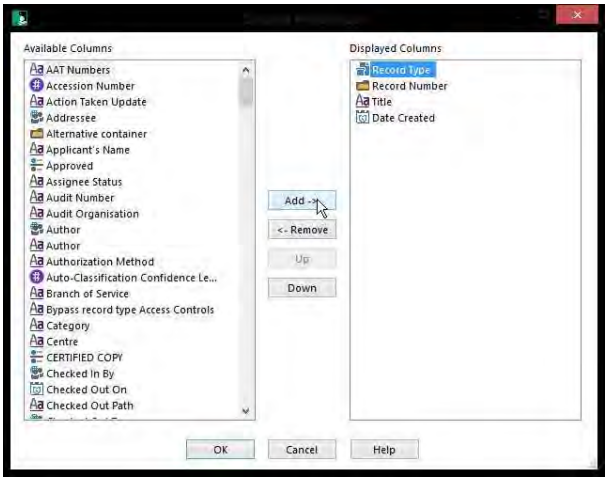
The Record View Pane can be customised to display specific pieces of information collected for individual record types. Changes only apply to the Record View Pane of the highlighted record type. For example, in the picture shown below, the pane was customised to show fields relevant to *electronic document records.*



To select what fields are shown in the **Record View Pane** of a particular record type:

1. Highlight a record of the relevant record type

2. Right mouse click anywhere inside the *record view pane* then select **Customise** in the pop out menu**.**
3. This will open the Record View Pane dialogue box
   The **Available Fields** section lists all the items that *could* be displayed. Items in the **Displayed Fields** list *will* appear in the Record View Pane.
4. Highlight the desired field(s), then use the *Add* or *Remove* buttons to select or de-select them.
5. Use the *Up* and *Down* buttons to change the order of the fields, as desired.
6. Click **OK**, to close the dialogue box.



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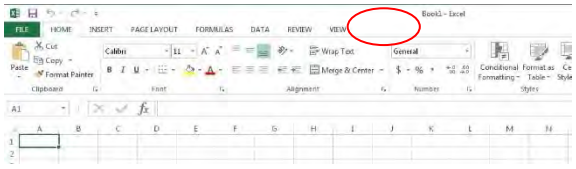
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 4

How to activate the intregration between CM9 and MS Office applications suite.

This integration allows a user to save documents easily from MS Office applications (like Word, Excel or Outlook) into CM9 as a record. As a default, all staff should have access to this data integration. If this integration connection is lost, for whatever reason, you can re-activate it via the process below.

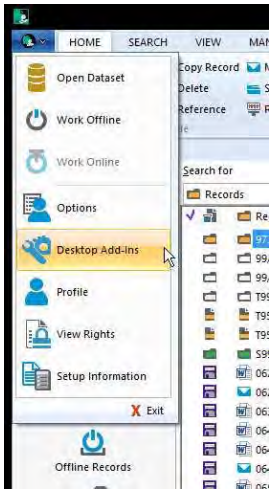
You can determine if the data integration is inactive looking for the CM9 menu within the MS Office app you wish to use. If it is missing from the top centre then the integration is inactive as shown below.

Inactive *OR* ***Active***

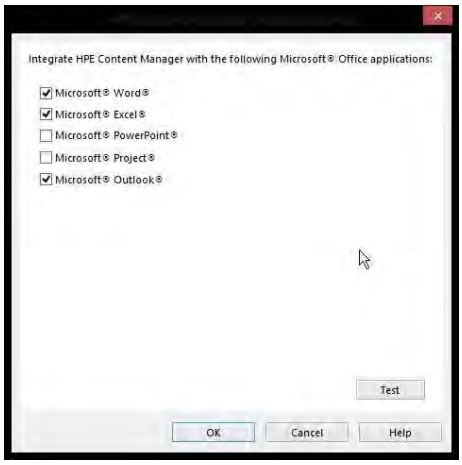


Method:

1. Open CM9,
2. Click on the first or **File** tab,
3. Then select *Desktop Add-Ins,* (shown right),
4. the HPE Content Manager Desktop Add-Ins window (below) will open,
5. Ensure all of the following are checked within that window;
    a. MS Word
    b. MS Excel
    c. MS PowerPoint (if needed), &
    d. MS Outlook,



6. Then click on **OK,**
7. Close down CM9,
8. Reopen CM9 and the integration will activate.



NOTE: If you are still unable to save documents into CM9 then contact the CM9/TRIM Administrator.

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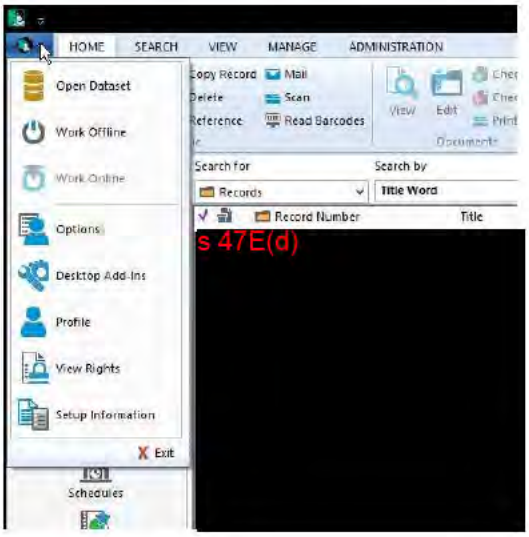
HPE Content Manager (Ver. 9.1) Training Manual – Help Sheet No. 05

How to set up the CM9 Viewer for electronic documents

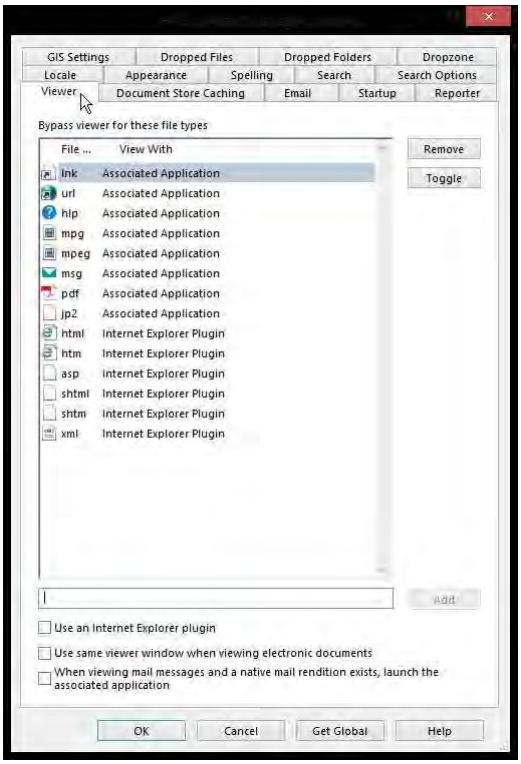
If you open an electronic document from within HPE Content Manager and it does not open in the correct application, then you need to check your 'Viewer' options. It should include the type of document that you are trying to view. If the document type is not listed, you should update your settings. The steps to do this are outlined below.

Method:

1. Go to the first or **File tab**, select **Options**,
2. Click the **Viewer** tab
3. In the blank field under *Bypass Viewer for these File Types*, type the electronic document's three letter file extension and press the **Add** button,
4. Use the **Toggle** button to choose whether you see the document in its own application or with an Internet Explorer Plug-in
5. Repeat for each type of electronic document you require.
6. Click **OK** to close the dialogue box when complete.



You will now be able to view the documents correctly.



HP TRIM supports the viewing of a wide range of electronic document records. The following is a list of the commonly needed file extensions.

Enter:
DOC & DOCX for MS Word documents;
XLS, XLSM & XLSX for MS Excel spreadsheets;
PPT, PPS & PPTX for MS PowerPoint;
HTM, XML, SHTM & HTML for webpages;
PDF, JPG, JP2 & BMP for image files,
EML & TR5 for email messages, and
ZIP for zipped files.

NOTE: if you regularly view TIF image files, TIF should be removed from the Document Viewer list. It will inhibit you viewing that image file corrected if it is. For any others contact the TRIM administrator via:
s 47E(d) [redacted]

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HPE Content Manager (Ver. 9.1) Training Manual – Help Sheet No. 06

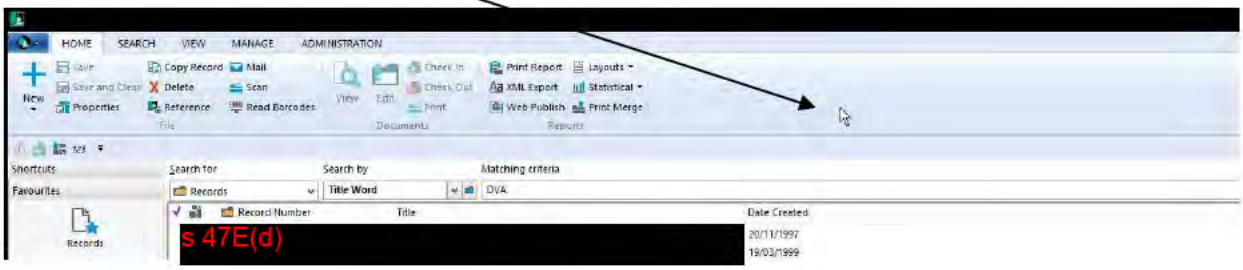
How to customise your CM9 QAT, Ribbons and colours

Within CM9 you can choose which tasks or actions appear in each Tab ribbon. The options you choose are entirely up to you. You might base your decision on the tasks you perform in CM9 regularly or your personal preferences. .

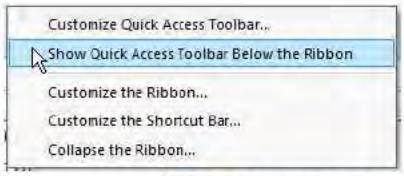
If you only use a few to several tasks/actions you can choose to show and use the Quick Access Toolbar. The buttons can be arranged to suit your preferences.

How to View and customise the Quick Access Toolbar

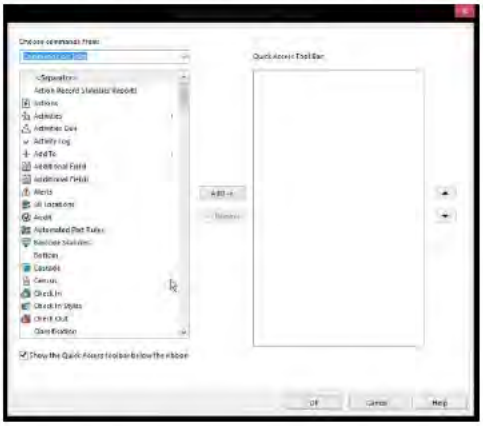
1. Place your mouse in the empty area inside the toolbar at the top of the screen (as indicated)



2. Right mouse click to access the pop out Customise menu (shown right),
3. Firstly select **Show Quick Access Toolbar Below the Ribbon,**
4. Then click on the drop down menu button (shown right) and select **More Commands**,
5. The **Customize Quick Access Tool Bar** window will open,
6. Then select the command(s) you wish to place on the Quick Access toolbar,



7. Then click on **OK** to save your changes

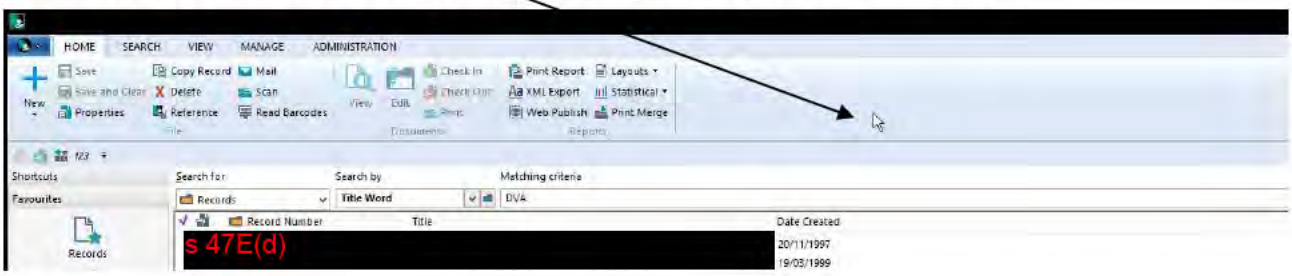


How to customise each Tab ribbon

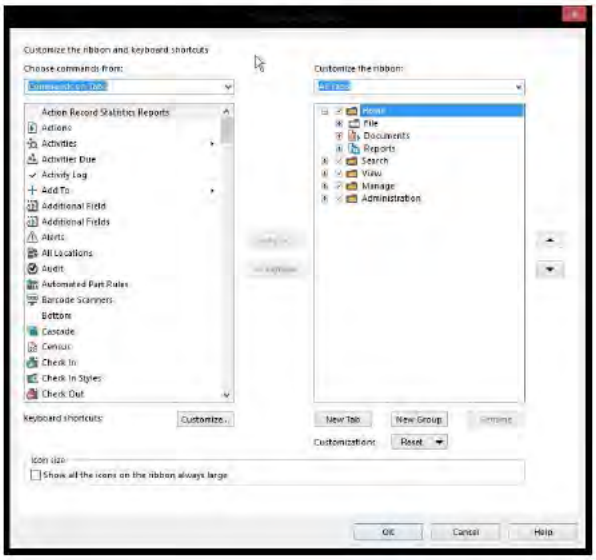
CM9 now features a number of Tabs containing Ribbons that are designed for particular tasks or actions, such as searching, viewing, management. It is possible to select, arrange, and display individual tasks/actions/commands on these ribbons to suit your personal preferences, rather than displaying the off the shelf options you may not need, use, or want.

How to customise a Ribbon

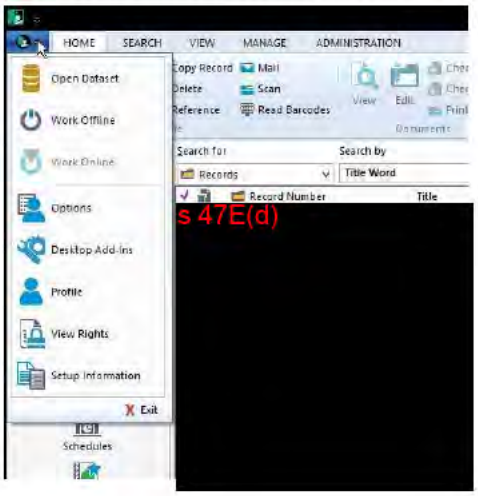
1. Place your mouse in the empty area at the top of the screen (as indicated)



2. Right mouse click and select **Customize the Ribbon**
3. The **Customize Ribbon** window will open
4. The first option in the "*Choose commands from:*" field is **Commands on Tabs**. This allows you to see all the commands that are available to add. Other options within that field are for customisation of specific ribbons within the Tabs.
   You can also create personally specific Tabs in this window by clicking on the **New Tab** button,
5. Click on **OK** when you are happy with your changes.



How to customise screen colours



You can also modify the screen colour if required. It is now under File – Options.

How to change the background colour

1. Click on the first or **File** tab, and select **Options** in that menu,
2. Then select the **Appearance** tab.
3. Then click on the **Use a custom skin** check box, then you will be able to set skin colour from a standard or custom palette,
4. Select your preferred colour and click OK.
5. This will customise the CM9 background colour to your choice.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. B07

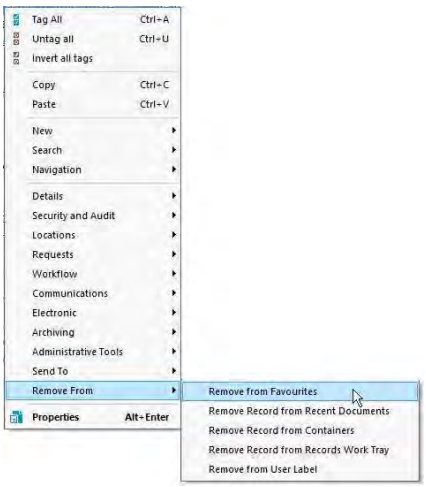
CM9 Favourites and how to use them

The **Favourites** tab on the **Shortcuts** bar is like a work tray in that it provides users with a way to bookmark items in CM9. Unlike the CM9 Work Tray, which can only bookmark records, this feature allows you to keep a list of your favourites Records, Locations, Saved Searches, and Document Queues, etc. This effectively allows the user access to important documents and folders at your fingertips, ie: within 3 mouse clicks.

How to add an item to a Favourites list

1. Highlight or tag the record(s), location(s), saved search(es), or document queue(s) you want as a Favourite,
2. *Right Mouse Click* on any of the desired documents or folders,
3. Select **Send To** on the next pop up menu,
4. then select **Favourites,**
5. *Or* after Step 1, press the **F4** key
6. If more than one item is tagged, you will be asked how you want to apply the action.
7. After you click on **OK**, the item(s) will be added to the appropriate list of favourites.

How to remove an item from a Favourites list



1. Open the relevant Favourites list,
2. Highlight the item(s) you want to remove from the list,
3. *Right Mouse Click*, select **Remove From**, and then **Remove From Favourites,** and
4. The list will be refreshed.

HINT: Other Shortcut tabs are discussed in CM 9.x Help Sheet No. 08 - How to Use your CM9.x Trays Taskbar (CM9/TRIM Ref: 17594870E).

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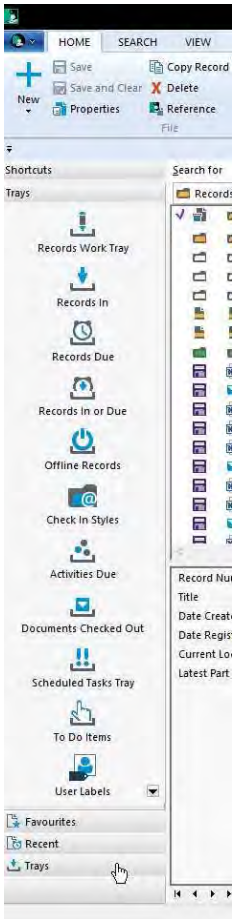
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. B08



How to use your CM9 Trays taskbar

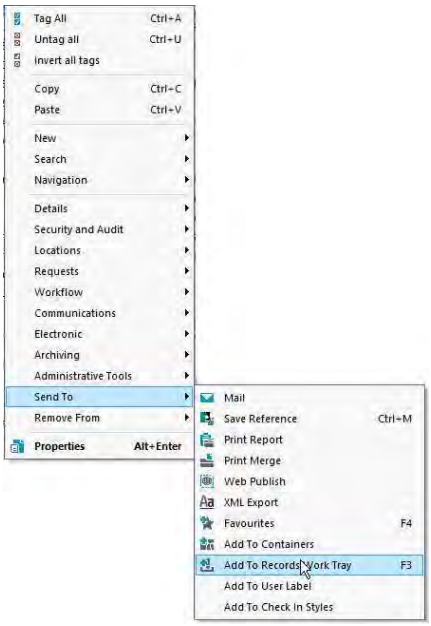
Within the **Shortcuts** bar every CM9 user has the **Trays** tab. Within this tab is another area where you can bookmark or create links to important and regularly used records. A user controls what records are added or removed to their individual ***Records Work Tray.*** The ***Records Work Tray*** provides ready access to records and can reduce the need for users to do "repeat searches" to find the records they want. The use of this work tray effectively allows the user access to important documents and folders very quickly, i.e.: within 3 mouse clicks.

These records can have any of the normal CM9 tasks performed against them while they are in the ***Records Work Tray***. They appear in the order that they were added to the ***Records Work Tray***, but they can be sorted when you perform a search that uses the Tray as the search criteria.

To open your Records Work Tray

1. Click on the **Trays** tab under Shortcuts bar.
   This tab may be at the bottom left of your CM9 window, if you haven't opened it before,
2. Within that, Click on the **Records Work Tray** button (shown right), and
3. The **Records Work Tray** will open, listing any records you have added to it.

To add records to your Work Tray



1. Highlight or tag the desired record(s),

2. Press **F3** OR *Right Mouse Click* on records, select **Send To**, then **Add to Records Work Tray**, and

3. The records will be added to your Records Work Tray.

To remove records from the Work Tray

This action removes the link to the records from within your Records Work Tray.

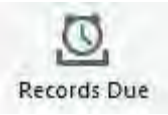
NB: This action **does not** delete the records from CM9.

1. Open the **Records Work Tray,**
2. Highlight or tag the record(s) you would like to remove,
3. Do a *Right Mouse Click*, select **Remove from**, then **Remove Records from Records Work Tray,** and
4. The records will be removed and the Work Tray will be refreshed.

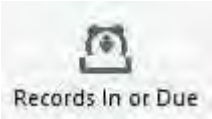
The other CM9 trays within the Trays tab are defined as:

Records In Tray 

This button will display any **physical** records marked to the current location of the logged in user.

Records Due Tray button 

This button will display any records that have been assigned to an action officer, who is responsible for any actions that may become overdue.

Records In or due button 

This button will display a combination of the above two options.

Offline Records 

This button will display a list of all the documents and folders you have put into Offline Records

Documents Checked Out 

This button will display a list of all the **electronic** documents you are currently editing or have checked out to you.

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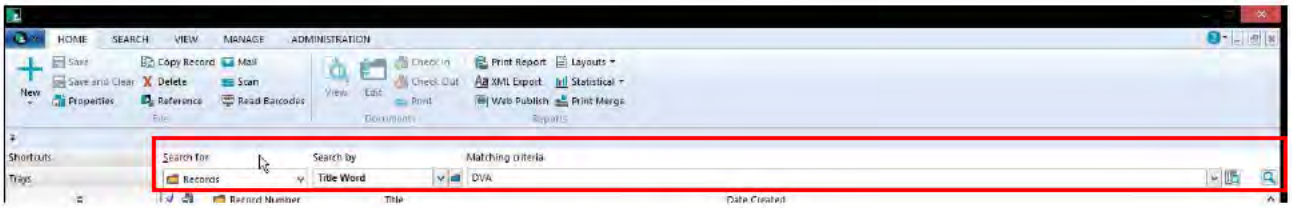
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 09

How to perform a search using the (Quick) Search Pane

The Search Pane option is the simplest search tool in CM9. This type of search uses your default search settings and only involves a single search criteria.

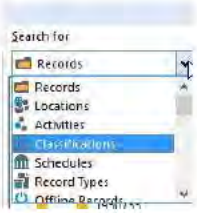
The Search Pane searches are particularly useful when you only want to find a single record or records created during a particular period.



The components of the Search Pane are as follows:

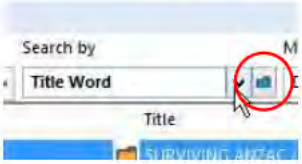
Search for field

This field allow the searcher to select what is actually searched for. This defaults to Records, but can be used to search for other items.



Search By field

This field allow the searcher to select what metadata or properties as a criteria is to search on. There can be 100s of fields to search on and these will be available in the Folder button (circled) for selection.



Matching Criteria field

This is where the searcher enters the text or numbers that they want the search results equal to.

Run the Search button

This button (circled) executes the search parameters.

The Search Pane function is only available when the Search toolbar is active.

How to perform a search in the Search Pane

1. Leave the **Search For** field as "Records"
2. Use the S**earch By** field to select the search criteria (or search method)
3. Enter the search value in the **Equal To** field
4. The search value can be:
   entered manually or,

   selected from previously used option using the Drop Down button  or

   selected from all available options from KwikSelect folder button 
5. Click on the **Run the Search** button  or press **Enter** on your keyboard
6. Your search results will then be displayed in the Records List Pane, below the Search Pane.

If necessary, the search can be refined by pressing F7 to reopen the search form.

How to perform a Find Records Pane search with a To/From range search criteria

1. Use the **Search By** field to select the search criteria (search method)
2. Enter the search value in the **Date From** field
3. Enter the search value in the **Date To** field
4. The search value can be selected using the option within the Drop Down or KwikSelect folder button, (shown above)
5. Press the **Find** button or hit **Enter** on your keyboard
6. Your search results will then be displayed.

If necessary, the search can be refined by pressing F7 to reopen the search form.

HINT: See the following Help Sheets for further assistance with Searching:

- TRIM Help Sheet No. 10 - How to Perform a Simple Search in TRIM
  (HP TRIM Ref: 0847839E),
- TRIM Help Sheet No. 11 - How to Search Using More than One Criteria (advanced searching)
  (HP TRIM Ref: 0849515E),
- TRIM Help Sheet No. 12 - Hints and Tips for Finding Things in TRIM
  (HP TRIM Ref:0847835E),
- TRIM Help Sheet No. 13 - How to Sort Your Search Results
  (HP TRIM Ref: 0849465E),
- TRIM Help Sheet - How to Use Saved Searches
  (HP TRIM Ref: 0847888E), and
- TRIM Help Sheet - How to Complete a Document Content Search
  (HP TRIM Ref: 0865894E).

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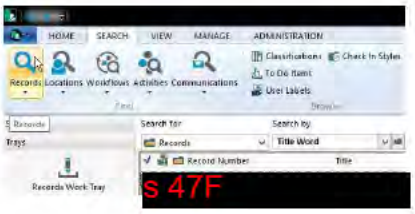
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 10

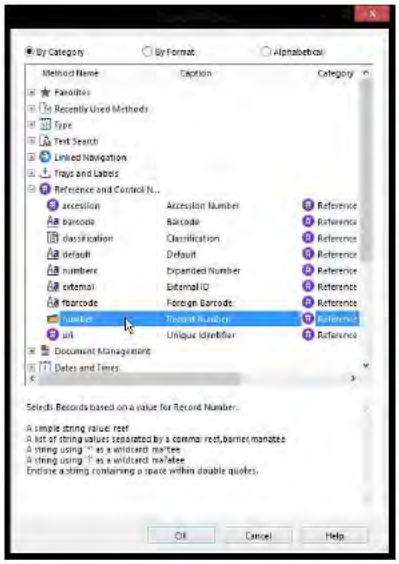
How to perform a simple search in CM9 (searching using one search value)

The simple search method involves a single level or a single search criteria. Depending on which criteria chosen, you get many results for only a single result. Using this method will get you the same results as using the (Quick) Search Pane. However this is the first method on using the full Search function within CM9 and leads into advanced searching.

Method:



1. Click on the **Search** tab, then **Records** icon (indicated right),
2. If you have this icon/command on your Quick Access Toolbar, click on that (see bottom for details on this),
3. The **Search for Records** window will open (shown right),
4. Select your search criteria (e.g. a title word, record number, date range, etc) by using the Drop Down menu icon or KwikSelect folder at the end of the *Search By* field



5. If you use the KwikSelect button, the **Search Methods** window will open (shown left). Click the + button next to the relevant broad search category heading to display the expanded list of search criteria. Some of the main subcategories are shown right.

6. Once you have selected your search method criteria, click on **OK,**

7. Then enter the search value (e.g. the word, record number, date) in the data entry field that appears under the **Search By** field.

NB: This data entry field will change depending what search criteria you have chosen in the Search By.

The Drop Down icon and KwikSelect folder will have options relevant to the selected search criteria,

8. Click **OK** to do the search.
9. The results from your search will then display in the Records List & View pane.
10. IF you need to know how many records have returned in your search results, click on the Count button 

in the Search ribbon.

For further information on how to customise you Quick Access Toolbar search for CM9 ref: 17594860E (CM 9.x Help Sheet - B06 - How to customise the CM9 QAT, Ribbons & colours)

Refining your search results

If the search does not bring up the desired results, refine the query by:

1. press **F7** to reopen the Search form.
2. Amend the search as necessary, and
3. then click **OK,** to redo the search.

HINT: In Step 6 (above), you can use Wild Cards. You can use following as wild card characters in your search criteria:

Asterisk **"*"**,
Percent **"%"**,
Question Mark **"?"** or
Underscore "_"

The asterisk or percent are used to represents any number of characters. The question mark or underscore are used to represents a single character.

Note: The Question mark wildcard is not enabled for Document Content and Mail Message searches. This is discussed in those Help Sheets

HINT: See the following Help Sheets for further assistance with Searching:

- CM 9.x Help Sheet - B09 - How to Perform a Search Using the (Quick) Search Pane (CM9 Ref: 17594907E)
- CM 9.x Help Sheet - B10 - How to Perform a Simple Search in CM9 (CM9 Ref: 17770712E)
- CM 9.x Help Sheet - B11 - How to Do an Advanced Search (CM9 Ref: 17752031E)
- TRIM Help Sheet - How to Use Saved Searches (HP TRIM Ref: 0847888E)
- TRIM Help Sheet No. 12 - Hints and Tips for Finding Things in TRIM (HP TRIM Ref:0847835E)
- TRIM Help Sheet No. 13 - How to Sort Your Search Results (HP TRIM Ref: 0849465E)
- TRIM Help Sheet - How to Complete a Document Content Search (HP TRIM Ref: 0865894E)

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 11

How to conduct an Advanced Search (searching)

The definition of "advanced searching" is the use of multiple search values or criterion to limit or expand the search results. For example, a simple search might find all records about XYZ, however, an advanced search could be used to find the records about XYZ that were created in the past month (limiting your search results) OR find records with XYZ *and* records with ZYX (expanding your search results).

Method:

1. Go to the **Search** tab then click on **Records** or select your customise **Find Records** icon on your Quick Access Toolbar,

2. The **Search for Records** dialogue box will open (shown below),

3. As for a simple search, select the first search criteria and enter the appropriate search value (e.g., criteria = *Title Word*, search value = xyz),

4. Click on the **New** button, *You must click this button for each subsequent new level of search criteria.*

5. Enter your second search criteria and search value (e.g. in this example, the search criteria is *Date Registered*, the search value would be the date range - or "This Month"),

6. Use the options under *Current Selection* to select how the search values are to be combined ("AND" is selected in this example) ,

Below is a list of the definitions of the buttons in this area.

And	Find records that meet or have *both* search values
OR	Find records that meet or have *either* of the search values

---

(…)	Group the enclosed criteria
Not	include records that meet the first but not second search value (e.g., records with XYZ in the title that were *not* created during the specified dates)
Insert	Insert a new set of search values above the highlighted entry in the **Current Selection** box.
Delete	Delete the entry highlighted in the **Current Selection** box.
Reset	Delete all search criteria to start a fresh search.

7. Click the **NEW** button to enter additional search criteria, if desired,

8. Click **OK** to perform the search.

The results will then be displayed in the Records List Pane on the screen.

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HPE Content Manager (Ver. 9.1) Training Manual – Help Sheet No. 12

Hints and tips for searching and finding things within CM9

This section provides tips to help you use CM9 more efficiently and effectively. They include:

- Tips on entering search values,
- Wildcards,
- Filters - File types, and
- Filters – Record types.

Tips for entering search values

- After selecting the search criteria, place your mouse cursor within the field. CM9 will show tips on entering search values for the criteria.

- Word searches (Title word, Notes word, Any word) are not case sensitive.

- Enter the first few characters of the search value, and then use the KwikSelect folder or the drop down list to find the desired item. Both options bring up a shortlist of values that begin with or match what you entered.

- When performing a date based query, click the KwikSelect date (calendar) button at the end of the search value field to access a list of named date options. This can speed up the search process and helps to achieve consistency in reports.

• Next 14 Days	• Previous 7 Days	• This Year
• Next 7 Days	• Previous Month	• Today
• Next Month	• Previous Week	• Tomorrow
• Next Week	• Previous Year	• Year To Date
• Next Year	• This Month	• Yesterday
• Previous 14 Days	• This Week	•

- Search using a **Record number range** or a **Date range**: sometimes searches produce better results if they use a "range" rather than a single piece of information. For example, you might want to see records created or moved during a particular period, or only have records numbered 00001 – 00015 in your search results.

- **Wildcards.**
  Some fields allow users to include wildcards in their search values.
  There are two wildcards available:
  a single asterisk (*) = represents any number of characters,
  a question mark (?) = can be used in place of a single character.
  Wildcards can best be used in text based searches when a normal search isn't likely to find all the desired records.

For example, a straight search using the word "veteran" will *not* find records with *veterans*, *veteran's*, *veterans'*, *veteran/spouse*, and so on, even though those files could be exactly what the searcher wanted. A search using "veteran*" [without the quote marks] would also find records that had any of the variations. A search using "veteran??" would find records that had *veteran's* or *veterans'*.

Wildcards can be used at the beginning, in the middle, or at the end of your search value.

Tips to help you get the records you want

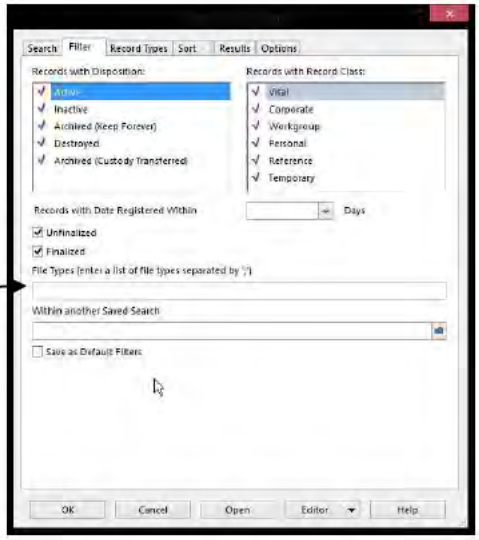
Earlier in these help sheets, we have covered customising your *record view pane* and *record list pane*. It is also possible to define how you want your search results presented and what type(s) of records you want in your search results.

Define what types of records you want in your search results - Filtering

A standard CM9 search looks for every record that matches your search query, regardless of its record type. However, the **Filter** tab in the ***Search for Records window*** gives you the option of picking which File types are used in the search. This means that you can prevent records that you know you don't want from appearing in the search results. For example, if you only wanted to find Policy & Administration records on a particular subject, you could remove any client based record types from the search. OR, and vice versa. OR if you only want MS excel spreadsheet records returned.

This tab also allows you to specify the type of electronic documents you are looking for – for example, if you only wanted to find Word documents but not any other type e–document.

These filters can be set as your preferred options for future searches.



File Types:
This field refers to electronic document files only. To restrict the search results to specific type of electronic document, enter the appropriate three-letter file extension(s) into this field.
For example:
*.doc or *.doc* for MS Word documents

*.xls or *.xls* for MS Excel spreadsheets
*.ppt or *.pps for MS PowerPoint presentations
*.pdf for Adobe PDF documents
*.jpg, *.bmp or *.tif for image files
*.tr5 for emails, or
*.zip for Zipped files.
Use spaces between the items. This is only in the Filter tab.

Record Types:
Now has its own tab and it refers to DVA defined record types.
To select record types for your search: place your mouse inside the Record Type field, right mouse click and select *Untag All*. Click you mouse to the left of the icons to tag your desired record type(s). Remember that you need to include electronic documents and paper documents if you want your search to find records below the file or container level.

Click the *Save as Default Filters* check box to retain these settings for future searches.

Click on the **Search** tab to return to the default search form,

Click **OK** to do the search or *Cancel* to close the dialogue box.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 13

How to sort your search results

The standard search result listing is based on the order that the records were added into CM9. However, CM9 has two options that allow you to determine how the records are listed. The first option can be specified before search, the second option is available after you have performed the search and uses the columns from the Record List Pane.

To define the order of your results as part of the search:

1. Enter your search criteria in the **Search** tab,
2. Then click on the **Sort** tab
3. Then select an option from the first list of **Sort Fields**.

   NOTE: The 'Descending' tick box allows you to reverse the sort order.
4. Select your second and third options, if desired.
5. Click the **Search, Filter** or **Records Types** tabs to add to the search query OR click **OK** to do the search.
6. Your results will then be displayed in List Pane in line with the sort options you have selected.

To change the order of your results after you have performed a search:

1. After performing your search, decide how you would like the records to be sorted (based on columns in the Record List Pane.)

2. In the record list pane, click the heading of the desired column – i.e., click *Record number* to sort the records in to record number order, *Title* to sort in alpha title order, *Date Created* to sort by date, and so on.
3. The records will be sorted in the ascending order of that column's values.

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4. Click the heading a second time to change the listing to descending order.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 14

How to request a new container in CM9

A CM9 Container is important, as it is needed before you are able to save a document/record in there. You must have a (virtual) place to put the document in CM9 before you save it. A CM9 container can be obtained via an online form on DVA Intranet. Be aware it can be referred to as a "container" , a "folder", or a "file".

Method:

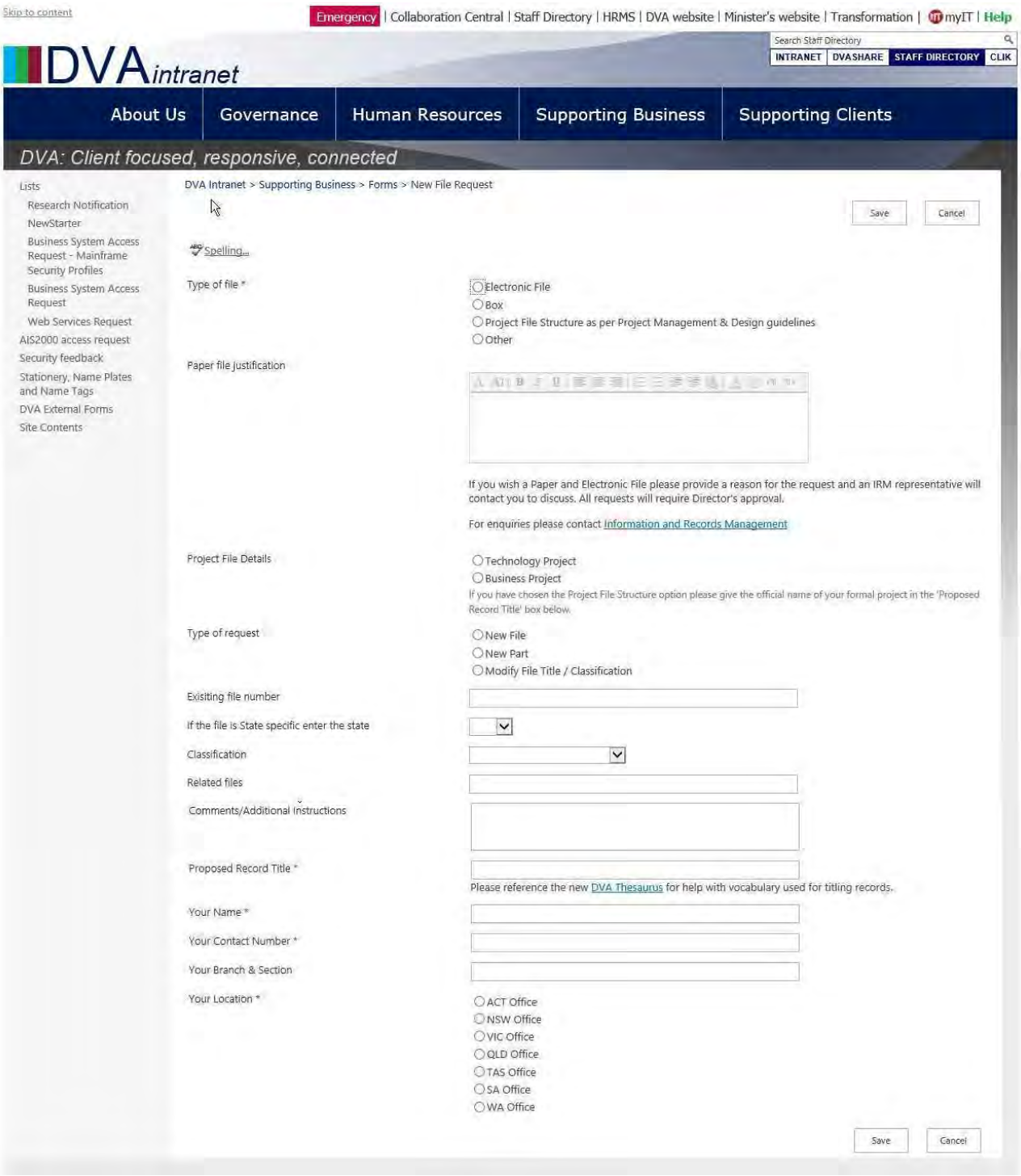
1. Open up Windows **Internet Explorer**, and it should start with the DVA Intranet home page.

2. On that page look for the **Favourites links** bar,

3. select **New File Request** (shown right)

4. the New File Request form window open.

See the next page for details on how to fill in this form.



Under the following fields you enter:

Type of file * choice of:

Electronic File – if you want an electronic only container.
Box – if you require a labelled archives box
Project File Structure – if you have a requirement for Project File as per the Project Management & Design guidelines
Other – Discuss this with the IRM team

Paper File Justification:	If you want a Paper and Electronic File please provide a reason for the request and an IRM representative will contact you to discuss. All requests will require Director's approval.
Project File Details:	**Technology Project** **Business Project** If you have chosen the Project File Structure option please give the official name of your formal project in the 'Proposed Record Title' box below.
Type of request:	**New File** – if you want a new container **New Part** – if you require a subsequent part or new folder for A current file. This is usually reserved for a physical (paper) file or folder) **Modify File Title / Classification** – if you need to modify the Title of a current file or its Security Classification
Existing File Number:	You will know this if you are requesting a New Part or to Modify File Title / Classification.
If the file is State specific enter the State:	This is a drop down menu of all the state expect NT
Classification:	Enter the Security Classification appropriate for your file
Related files:	Enter the reference number of any related files here.
Comments/Additional Instruction:	An alternative recipient or any Access Control restrictions can be entered here, for example.
Proposed Records Title *:	Enter in a title for your file in accordance with the CM9 Help Sheet – How to give appropriate Titles in Cm9.
Your Name *:	Enter your name
You Contact Number *:	Enter your full phone number
Your Branch & Section:	Enter your current branch & section.
Your Location *:	Enter your physical location. This is most important for delivery if you are requesting a box or physical file.

NOTE: The red asterisks (*) denote mandatory fields. If you don't fill them in, a container cannot be created.

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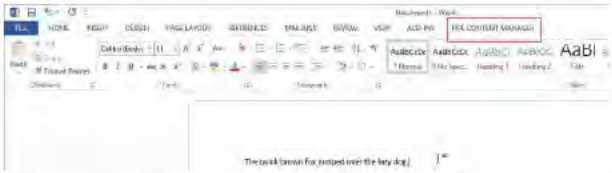
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 15

How to save a document from an MS Office 2013 application directly into CM9.

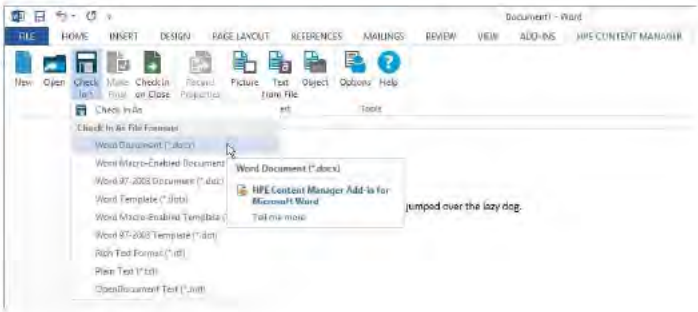
Saving or registering documents into CM9 is important in order to capture all corporate records. Be aware the corporate records, that are work in progress or only in draft form, can also be put straight into CM9. These can then be worked collaboratively or have restricted access applied. The integration between CM9 and MS Office Suite (ie. Word/Excel/Outlook/etc) has the following method:

Method:

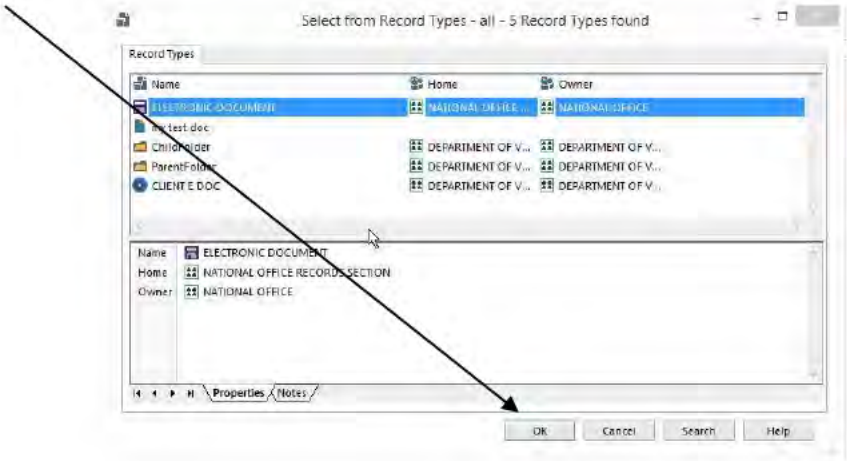


1. Create the new document in an MS Office 2013 application (e.g. MS Word)
2. Look for and click on the CM9 dropdown menu,

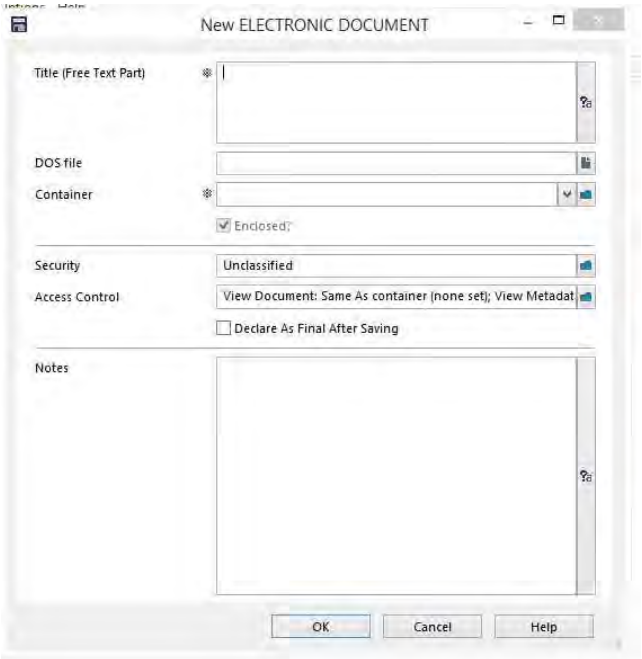
3. Then click on the **Save (Diskette icon) and a Save to CM9** window will open (shown below)



4. Select the Record Type of **ELECTRONIC DOCUMENT**, from the KwikSelect folder icon , then **OK** button.



5. A **New Record ELECTRONIC DOCUMENT** window will open, (shown below)



6. Then enter in the following:

   - **Record Title** (* = Mandatory field), Give the record a useful, meaningful title
     Hint: Read the document CM 9.x Help Sheet - B16 - How to Give Documents Appropriate Titles in CM9 in Container 1705558, for assistance with this.

   - **Container** (* = Mandatory field), Enter or select an appropriate CM9 container number for the document

     Hint: If you often put documents in the same files/containers, click on the *drop down menu*  to find the container number. The yellow KwikSelect button  will start a search action to find a container.

   - Enter any **Access Control** restrictions, if necessary.
     Hint: Read the document *TRIM Help Sheet - How to Apply Access Controls to an Existing Record* (TRIM Ref: 0849887E) for assistance with this.

   - Add any additional relevant information in the **Notes** field
     Hint: Read the document *TRIM Help Sheet - How to Use the Notes Field* (TRIM Ref: 0847891E), for assistance with this.

7. Click **OK** to create the new record in HP TRIM.

IMPORTANT: The document is NOT completely saved into (or registered in) CM9, <u>until it is fully closed down from its creation application</u>. Until you do this, it <u>WILL NOT</u> be found in any search criteria results.

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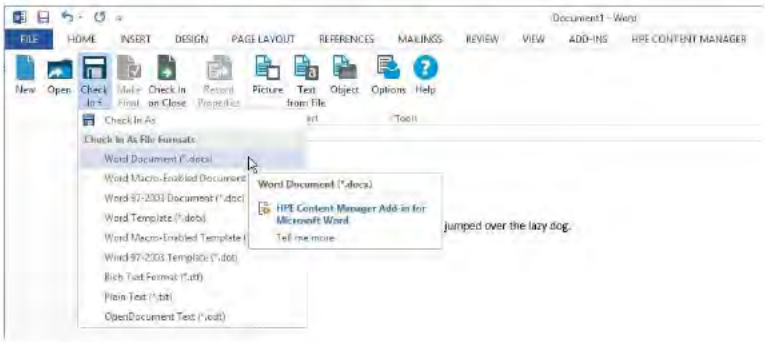
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 15B

How to save a CLIENT related document from an MS Office 2013 app directly into CM9.

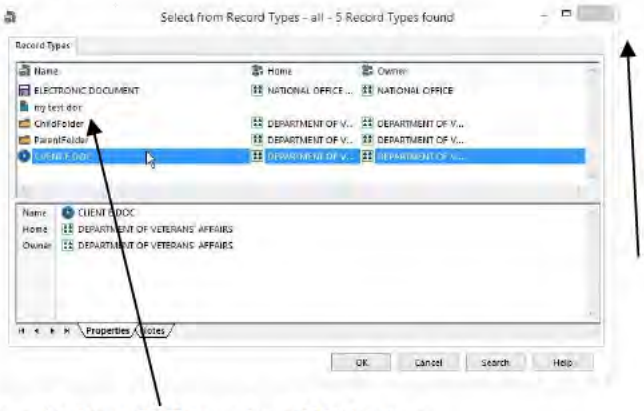
Saving or registering client related documents in CM9 is important in order to capture important information about client claims and other related details. Even client related documents that are "work in progress" or only in draft form can also be put straight into CM9. The integration between CM9 and MS Office 2013 products assists this process.

Method:

1. Create the new document in an MS Office 2013 application (e.g. MS Word)
2. Look for and click on the HPE CONTENT MANAGER Tab menu,
3. Then click on the **Check In (Diskette icon)** and select **Word Document (*.docx)** (shown below)



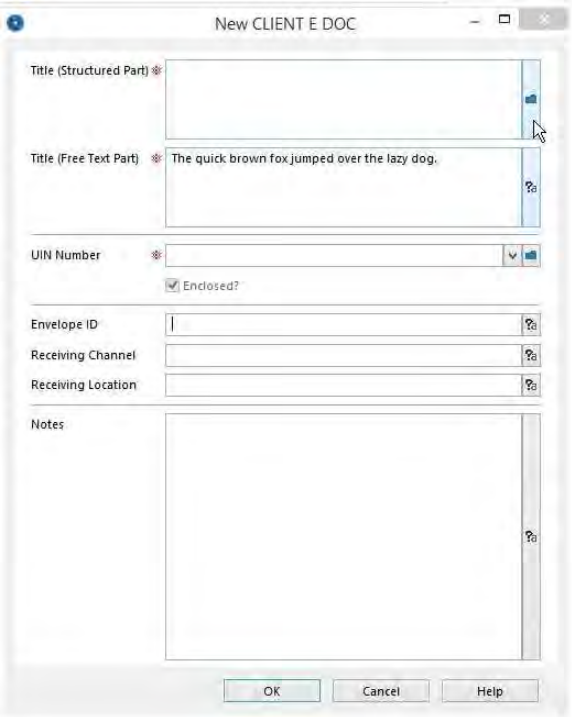
4. The below window will open.



5. Select the Record Type of **Client E-Doc**,, then **OK** button.

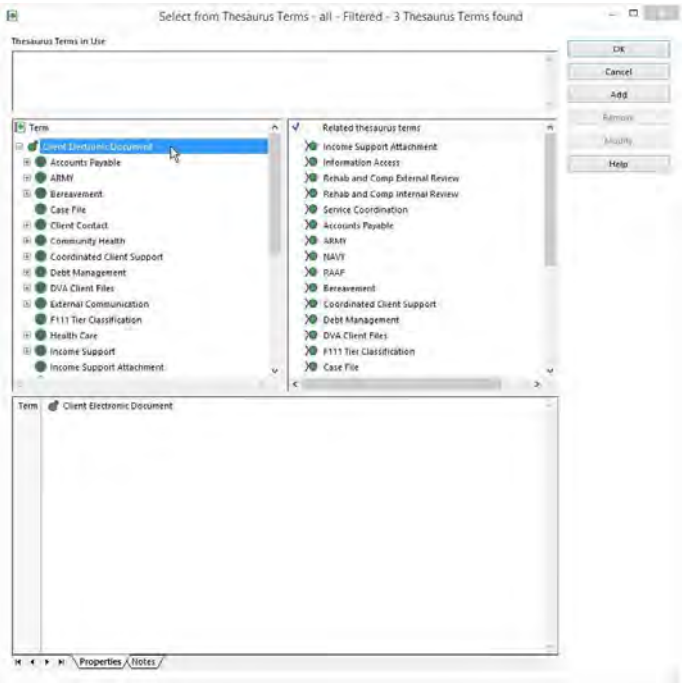
More steps on next page

6. A **New CLIENT E DOC** window will open, (shown below)



7. Then enter in the following:

   - **Title** (Structured Part): (* = Mandatory field), Click in the KwikSelect button  , and select the structured part of the title from the relevant option in the next window (shown below).



   - **Title** (Free Text Part): (* = Mandatory field), Give the record a useful, meaningful title
     Hint: Read the document *CM 9.x Help Sheet - B16 - How to Give Documents Appropriate Titles in CM9* (in container 1705558), for assistance with this.

- **Container** (* = Mandatory field), Enter or select an appropriate HP TRIM container number for the document

  Hint: If you often put documents in the same files/containers, click on the *drop down menu*  to find the container number. The yellow KwikSelect button  will start a search action to find a container.

- Add any additional relevant information in the **Notes** *tab*
  Hint: Read the document *TRIM Help Sheet - How to Use the Notes Field* (TRIM Ref: 0847891E), for assistance with this.

8. Click **OK** to create the new record in CM9.

IMPORTANT: The document is NOT completely saved into (or registered in) CM9, <u>until it is fully closed down from its creation application</u>. Until you do this, it <u>WILL NOT</u> be found in any search criteria results.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 15C

How to TITLE a Client E-Doc record appropriately in CM9.

When saving or registering a records in CM9, the Title is an important part of the capture process. There are two parts of the title to be entered. These are the Structured and Free Text parts and both are equally important. The method for entering both parts are as follows:

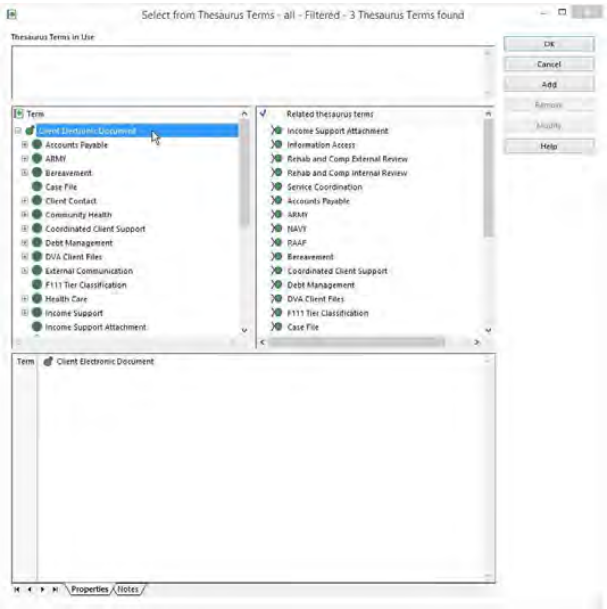
Method:

Using the "Title (Structured Text Part)" Thesaurus

These are business unit defined and agreed terms for the users to use to create meaningful titles. This will assist with the grouping like documents together, for easier searching and then retrieval of documents and information, going forward.

How to:

1. In the ***Terms*** pane of the "**Select from Thesaurus terms – all …**" window, Select the *Client Electronic Document* option (select by Double Mouse Clicking only in this pane)
2. Then select the **Rehab and Comp** option (by Double Mouse Clicking again),
3. Then select the Thesaurus term that best fits your business unit within R&C (by Double Mouse Clicking on it again),
4. Then select the next level Thesaurus term that best fit the activity discussed in the document, and
5. Then click on **OK**.



This will then display the terms you have chosen in the Title (Structured Part) of the *New Record CLIENT E DOC* window, you started with.

Example: Rehab and Comp – Needs Assessment – Election SRCA Section 45

In the top part of the **Select From Thesaurus Terms** window, you can see the Thesaurus terms you have selected in the **Thesaurus Term in Use** pane. You should have 3 large dots (and text) selected under **Client Electronic Document** in this pane before you can continue.

Mistakes in option selection

If you have made an error or chosen the incorrect option, you can go back one step in the structured title by clicking on the **Remove** button.

Preferred terms to USE

Use the Thesaurus terms that relate to your relevant business unit, e.g.

- Incapacity
- Initial Liability
- Inability
- Permanent Impairment
- Rehabilitation,

AVOID THE USE

Of these following terms:

- Claims ….., or
- Other

The "Title (Free Text Part)" titling rules

It has been agreed that the following title entered into the Title (Free Text Part) field should be structured as follows.

<Condition> - <Surname> - <Date Received> - <Author> - <Subject>

Example: Left foot swelling – SMITH – 18 NOV 2015 – Dr Jones – evaluation and prognosis

Each part of the free text titling from above is explained further below.

Condition

In the "Condition" part of the Title (Free Text Part), users should enter the medical condition that the document refers to. If there is more than one condition stated or included in the document, then enter "Multiple" at the beginning of the Free Text title.

Surname

In the "Surname" part of the Title (Free Text Part), users should enter the Client's surname in CAPITALS. If the surname differs because of marriage or other reason, then adopt the "Nee" principle in titling - E.g. *SMITH (NEE Jones)* – where "Jones" is the pre-married surname and the "SMITH" is the current surname. This is to ensure there is an element of quality assurance in that the correct container has been selected for the document.

Date Received

In the "Date Received" part of the Title (Free Text Part), users should enter the date the document was received by DVA. This is usually from the date stamp on the document.

Author

In the "Author" part of the Title (Free Text Part), users should enter the author of the document. If it is something like a report that has been authored by more than one person, enter the first author's name, then add "et al" – e.g.: … - *Dr. J SMITH et al* – …. If the author is you, the DVA delegate, then enter "DVA" as the author.

Subject

In the "Subject" part of the Title (Free Text Part), users should enter a short and concise phase that describes what the document discusses.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 16

How to give documents/records appropriate titles

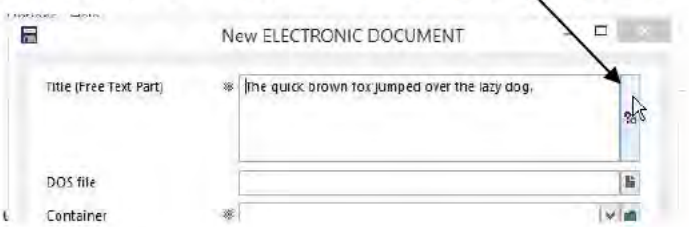
The use of clear and concise document/record titling helps with the easy recognition and retrieval of information stored in CM9. When containers/files are created in CM9 they use a standardised terminology from the DVA's Keyword Thesaurus. However, it is up to all DVA staff members to register their own documents in CM9 with appropriate titles. It is the responsibility of the individual to ensure that the titles allocated to these electronic documents are factual, meaningful, accurate and consistent.

Meaningful titling is important for easy recognition, retrieval, and disposal of records. The purpose of allocating a title to a document is to inform the reader about the content without them having to view the record. Therefore, document titles need to be expressed in terms that can be used and understood by all departmental staff.

How to give records appropriate Titles

TRY to include:

- Informative details on the content,
- The type of document (e.g. Minutes, Reports, E-mail, Agenda, etc.),
- The subject (e.g. Veterans' Open Day) ,
- A date that's specifies the year, month or day, as necessary. Financial records can use the financial year, if that is appropriate,
- Additional identifying information (such as dates or details of the external correspondent / recipient. Where a person's name is used, the surname should be capitalised e.g. SMITH.)
- A spell check in the process – there is a spell checker at the end of the *record title* field (see below)



Avoid including:

- Generic terms like 'general', 'administration', 'correspondence' & 'miscellaneous' mixed together,
- Uncommon abbreviations or acronyms (unless they have further explanation)
- Personal/meaningless information (e.g. George, DVA1).

- The word '**Confidential**', unless your records and the way they are stored meet the conditions and requirements set out in the **Commonwealth Protective Security Manual** and **DVA's Protective Security Manual**. (See record number 0264484E for more information.)
-

NOTE: As an email is a type of electronic document, it is expected that titling of messages captured in CM9, also follow these guidelines.

How to use Punctuation in titles

When CM9 creates a new record it indexes the words in the title, but some punctuation marks affect the way that CM9 indexes a term. For example, it treats marks such as the / (slash) and the - (hyphen) as part of the word if they do not have spaces around them. A comma (,) will be indexed as part of a word, if it isn't followed by a space. Sequential characters (without spaces) will be joined to the word, e.g. (SMITH**) –** JONES will be indexed as "SMITH)–" and "JONES".

If 'SMITH-MINISTER' was used in a title it would be indexed as one word rather than two words because there aren't any spaces around the dash. In this instance, a search for the word MINISTER would not find the record, but the search *would* find the record if the spaces had been added (i.e., SMITH – MINISTER).

The only exception to this rule is if the dash or slash is actually part of the term. For example, if a person's surname is hyphenated (SMITH–JONES) it should be entered without the spaces. A search would use the whole name including the hyphen.

Tip: It is important to include spaces around slashes so that CM9 can index the words 'properly'. Put spaces around slashes, dashes, and any other punctuation marks if they are not actually part of the word. This is explained further in the FAQ *How does CM9 catalogue information for word searches?*

How to use Abbreviations and Acronyms in titling

The use of abbreviations and acronyms should be limited to terms that are common to the Department or the APS (as outlined in the *Glossary of Acronyms* in the Annual Report). It is preferable that the fully expanded version of the term is included with the abbreviation, e.g. *Vietnam Veterans Counseling Service (VVCS)*.

Acronyms can be used as long as they are accompanied by the full wording (but please don't use full stops between the letters of the acronym). If there isn't enough room in the record title, include the full wording in the Notes field.

The key reason not to abbreviate words is because it affects people's ability to find records. If a record title had *assn* instead of *association*, people would not necessarily know to or think about using that term in their search. Therefore, someone searching using the proper word – or their own abbreviation for it (*Assoc* or *Ass* or *Asn* or *Asstn)* – they would not find the record. Always writing words in full will prevent this from being a problem.

How to use Proper Names in tiles

Where a person's name is used in a record, the surname should be capitalised. The person's given names, if known, should be included in full. E.g. SMITH, Fred or Fred SMITH

Common "Noise" Words

CM9 calls common words (e.g. and, or, but) *Noise Words* and does not index them. The words can be used in record titles and notes but they cannot be used as the search value in word based searches.

Titling Limitations

The record title field is limited to 256 characters. If necessary, additional text or references can be added to the **Notes** field.

How to use Dates in titling

When dates are included in record titles, they should be written in the preferred format **DD/MM/YYYY** e.g. 04/07/2000 for the 4th of July, 2000. The date that the record was registered in CM9 should NOT be entered in the title as it is captured as a put of the default information detailed below.

What Default information is captured in CM9?

When a document is registered in CM9 the system incorporates some of the information from the document into the new record. For example, the date that the document was created in the desktop application becomes the *date created* and the date that it was added to CM9 becomes the *date registered*.

Also *Creator* is captured from the logon of the person who registers the document in CM9, while *Author* can be edited to show who actually authored the document.

Further Assistance

If you have any further questions about Document titling please contact the CM9 Administrator:
s 47E(d) [redacted]

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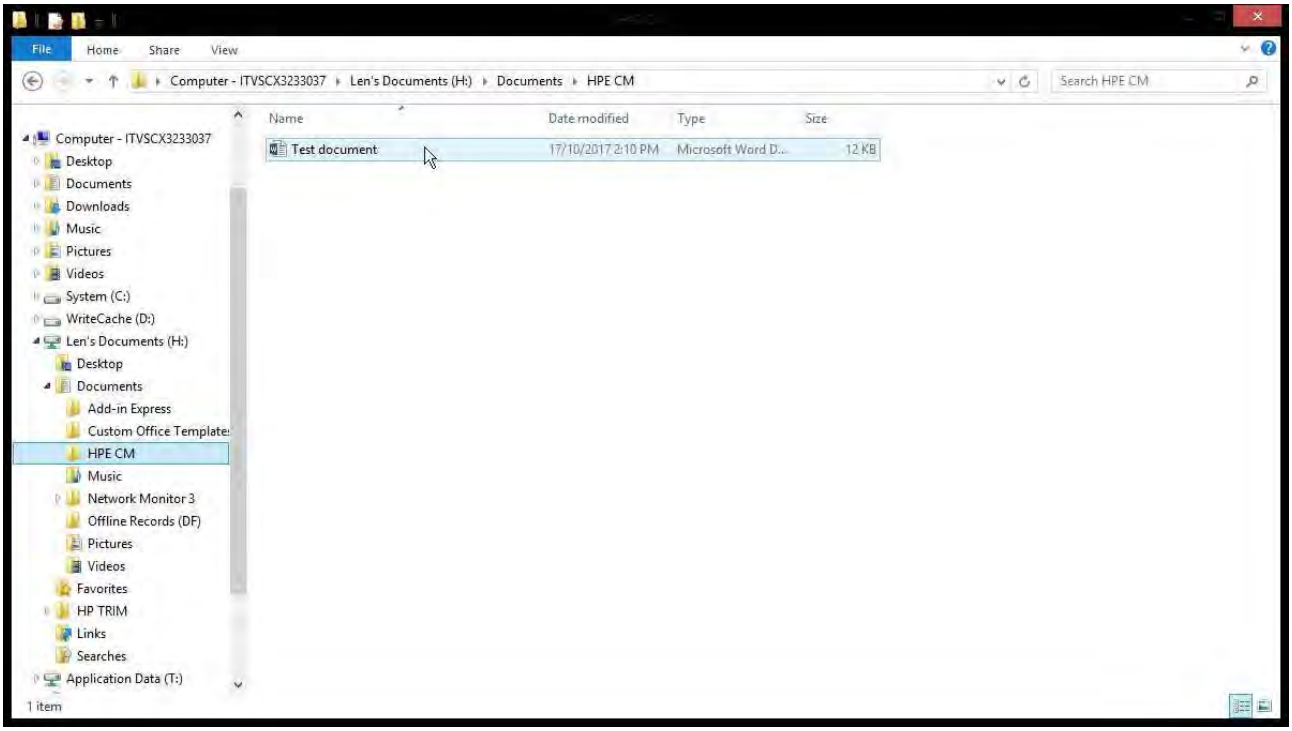
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 17

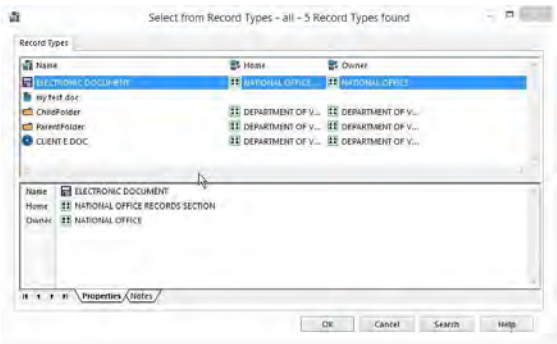
How to add electronic documents to CM9 using Send To:

Sometimes you may have to save a document to a server drive. The **Send To** function is the simplest way to add one or more electronic documents from a server drive to CM9. This can be started from a Windows Explorer directory/folder, the computer desktop or within MS Outlook.

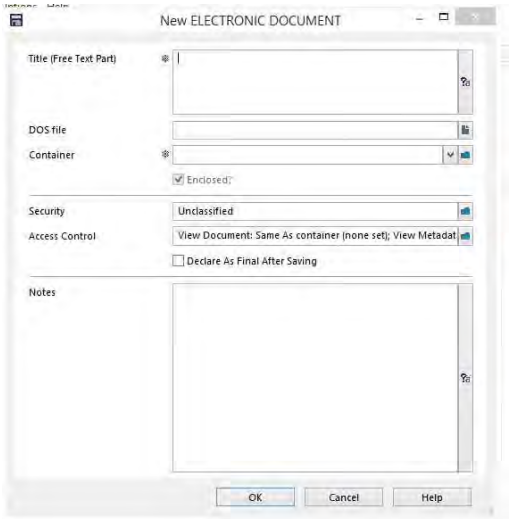
1. Open up Windows Explorer and navigate to the folder that contains your document(s).



2. In MS Windows Explorer, highlight the document and do a Right Mouse Click on it,
3. A pop-out menu will appear and select **Send To** (shown Right),
4. Then select HPE Content Manager 9
5. The **Select From Record Types – all – 4 Records types found** window will then open.
6. Select ELECTRONIC DOCUMENT or Client E-Doc as the record type (shown).
7. Click **OK** to confirm that action,



8. A “New Electronic Document " data entry form will open



9. Proceed as you normally would to create a new record. For assistance see Steps 5-7 in *CM 9.x Help Sheet - B15 - How to Save a Document from MS Office 2013 Directly into CM9* or *CM 9.x Help Sheet - B15b - How to Save a CLIENT-related Document from an MS Office 2013 Application Directly into CM9*, and click on **OK**,

10. The new record will be added to CM9.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 18

How to modify/edit a document once it is in CM9

The feature within CM9 to modify/amend electronic records is called **Edit.** This allows a user to select an electronic document record, open it in its own application, modify the document, and then return a new revision of the record to CM9 without using Offline Records. Please note this feature is not available if the record is an email message or when the electronic document has been made *Final.*

To use this feature:

1. Highlight the electronic document record in CM9.

2. Click on the **Edit (Ctrl + O)** button 

in the ribbon under the Home Tab OR Right mouse click on the appropriate record, then select **Edit** from the pop out menu. (shown right)

   Note: If that option is not there, then the document cannot be modified. It may:

   - have been *Finalised,* OR
   - currently being edited by someone else, OR
   - have restrictive *Access Controls* applied.

3. The document will open in its own application (e.g., in MS Word).
4. Modify/amend/edit the document as desired,
5. Save the changes to that document,
6. Close the document (and the application, if desired).

   IMPORTANT: The changes made to the document will ONLY be added (and therefore visible to others) into CM9 when you fully closedown the document.

7. On closing a new revision of the record with the new amendments will be added into CM9.

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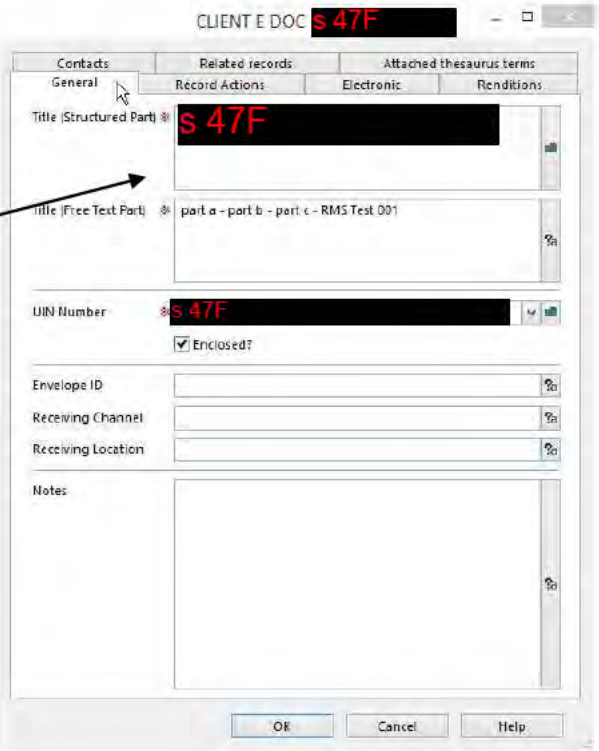
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 19

How to modify a Record Title

Your ability to change information in a record depends on your CM9 user access level. All staff can usually amend electronic document titles in order to fix errors or add more information. The way to do this is details below:

Method:

1. Highlight the record to be modified.
2. Right mouse click and select **Properties.**
3. The **Properties** dialogue box will open (shown right)
4. Amend the *Record Title* as necessary (it is under the first fields on the *General* tab).
5. Click **OK**.
6. The record title will be updated.



Related Help Sheets in container 1705558

Modifying the container of a document see:
CM 9.x Help Sheet - B20 - How to Move a Document from One CM9 Container to Another

To use the Notes field see:
CM 9.x Help Sheet - B21 - How to Use the NOTES Field in CM9

Modifying Access control details see:
CM 9.x Help Sheet - B22 - How to Apply Access Controls to an Existing Record

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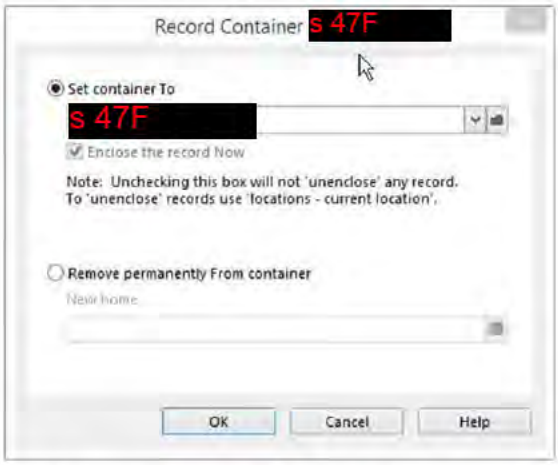
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 20

How to move a document from one CM9 container to another

To change the container of a record (or move a document electronically from one CM9 folder to another) *or* to return a record to its container, follow the method below:

Method

1. *Highlight* or *tag* the relevant record(s)
2. Right mouse click, select **Locations**, then **Container**
3. If you tagged more than one record, a dialogue box will ask you which records to apply the changes to. Select the appropriate response and click **OK**
4. The *Record Container* dialogue box will open (shown below)



5. Enter the record number of the container in the **Set Container To** field

   Hint: Use the drop down list icon to find other containers you've added records to or use the KwikSelect button to conduct a search for the appropriate container
6. If you are selecting a container for an **electronic document** – you must activate the *Enclose the Record Now* option (do this by clicking inside the box)
7. If you are assigning or adding physical records to containers (e.g. **paper documents** in files or **files** in boxes) only tick the *Enclose the Record Now* option if you are actually putting the records in the container.
8. Click **OK** to make the change(s).

How to permanently remove a record from its container

Follow steps 1–4 as outlined above, then activate the *Remove Permanently From Container* field (shown above).

Enter a *New Home Location* for the record, and

Then click **OK**.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 21

How to use the record Notes field

The **Notes** field is used to record client details (service number, client number) and disposal information in several client based record types. It is also used to store extra information about a record, including details that won't fit in the title – such as an unusual acronym spelled out in full.

In some cases, the **Notes** field is used to record a file being sent outside DVA – e.g., to a solicitor – in this case, the note must be dated and either removed or updated when the file is returned to DVA.

Method

1. *Highlight* or *tag* the relevant records
2. Right mouse click, select **Details**, then select **Notes** in the pop out menu
3. If you tagged more than one record, a dialogue box will ask you which records to apply the changes to. Select the appropriate response and click **OK,**

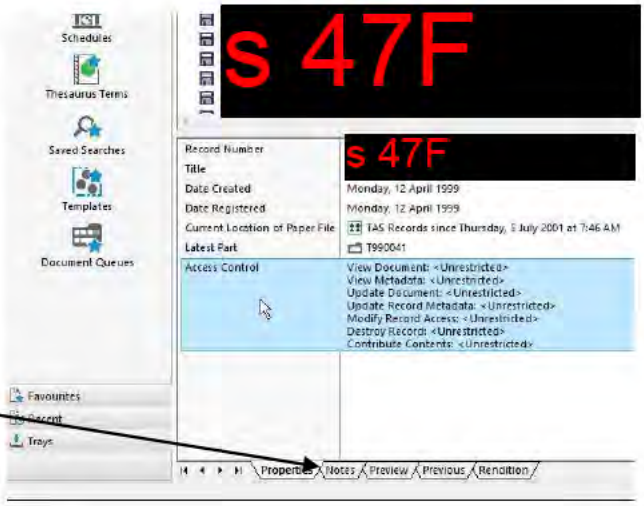
   The above dialogue box opens when you are adding notes to a single record
4. Enter the relevant information

NOTE: the guidelines outlined in the *CM 9.x Help Sheet - B16 - How to Give Documents Appropriate Titles in CM9* in Container 1705558 apply to information added to the *notes* field.

<u>NB: DO NOT delete any information already in the Notes field.</u>

5. Use the **Spelling** button to check the spelling of the entry.
6. Click on the **User Stamp** button to record your log-on details and the current date and time.
7. Click **OK**.

NOTE: The Notes are also displayed at the bottom left of the main CM9 window on the **Notes** tab.



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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 22

What is Access Control?

Access controls can be placed on CM9 documents/records in order to manage who can see and/or perform certain tasks on them. The controls can be used to restrict viewing access to "work in progress" documents before they are ready or who can edit/view documents *after* they have been published. Access controls are also particularly useful for personally sensitive documents/records, where viewing rights can be limited to a staff member, their supervisor, and/or the HR department.

Access controls can be

- Applied to an individual record,
- Inherited from the controls placed on the record's container,
- Part of the default settings of a record type, where new records automatically acquire controls set for the record type

The controls can be set to give access to:

- **Unrestricted:** (sometimes referred to as *Public*) all users have access to the *document or container*. However, restrictions set by user level permissions still apply (e.g., if edit access is set to *Unrestricted*, a person's CM9 user level must include update options before they can amend the record).
- **Container:** The document will inherit the properties of this access control option from its container.
- **Private:** Defaults to – and only gives access to – the ID of the logged in user. No one else has access to this option. The field can be changed (e.g. to a group or organisation location), but only one location can be used.
- **Custom:** The user can determine who will have access to the option

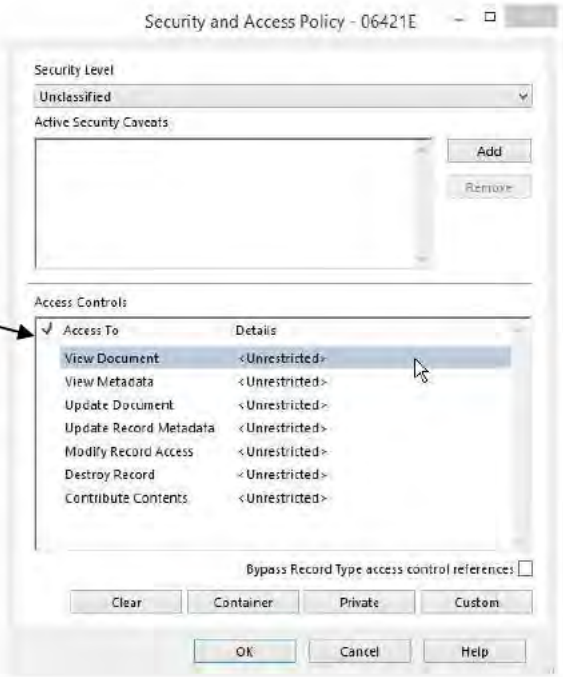
There are seven basic access controls that can be applied to a record. They are:

- **View Document** – allows nominated users to see the attached Electronic Document
- **View Metadata** – allows nominated users to see the record (if a person couldn't see a record, it would be impossible for them to perform any of the other tasks.)
- **Update Document** – allows nominated users to modify the electronic document (so it can be checked in and checked out). Users who haven't been given access to edit the document cannot check it out (using Offline Records), but they *can* make a Super Copy.
- **Update Record Metadata** – allows nominated users to modify the record
- **Modify Record Access** – set who can modify the record's Security and Access Controls
- **Destroy Record** – allows the nominated users to destroy the record.
- **Contribute Contents** - allows the nominated users to add contents to the Container, regardless of the 'Update Record Metadata' access control setting on the Container.

DVA staff are most likely to place controls on viewing access and update access on electronic documents.

How to apply Access Controls to an existing record

1. Search for the record(s) you wish to update
2. Right mouse click, select **Security and Audit**, then **Security/Access**
3. The **Security and Access Policy** dialog box will open
4. Select the Access Control(s) you wish to apply by clicking in the Tick column next the **Access To** column), always leave the last two as **"Unrestricted"**
5. Use the buttons to select how the access control are applied (e.g., give access based on the **Container** record to *View Document and View Metadata*)
6. Repeat step 4 and 5 to add a range of access controls (e.g., only give *edit* access to a customised list of users even though everyone can *view* it).
7. Click **OK** to close the dialogue box



TIPS : Access Control can be applied to several records at a time by tagging the records; however, the dialogue box will be slightly different to the one shown above.

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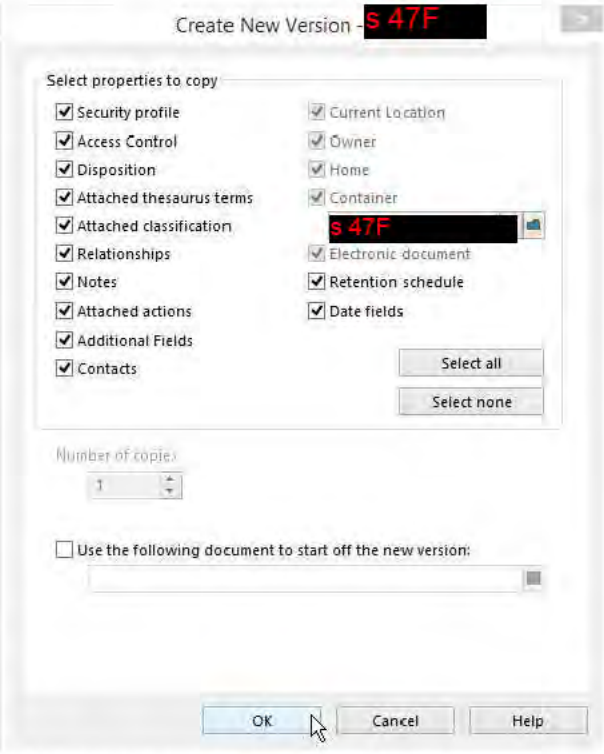
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 23

How to create a new version of an electronic document record

If you want to update or change a document, but need to keep the original as a separate entity (e.g., if you update or change a policy), you can use CM9's *new version* tool to make a copy. The new version/copy will have its own unique CM9 reference number.

Once you've made the new version, you can use it as the base for the updated document. The original document will not be affected.

Create new version will only create one copy. The "copy record" tool is able to create more than one (many) copy of a selected record.



Method:

1. Highlight the appropriate record

2. Right mouse click, select **New**, and then select **New Version**.

3. The **Create New Version** dialog box will then open,

4. Select the record properties you wish to copy to the new version. Use **Select All** and **Select None** buttons to select or deselect all the available active properties. Else your options are detailed below,
    - **Security Profile** - copies the security details - security levels and caveats
    - **Access Control** - copies the Access Control settings - ***Public, Private, Container*** or ***Custom***
    - **Disposition** - copies the disposition details, for example, ***Active, Inactive*** etc.
    - **Attached thesaurus terms** - copies any attached Thesaurus terms.
        - Terms used in the title will be copied automatically with the title details.
    - **Attached classification** - copies any attached Classifications.
        - Levels used in the title will be copied automatically with the title details.
    - **Relationships** - copies ***Related To*** record relationships

- **Notes** - copies the Notes information
- **Attached actions** - copies any attached Actions
- **Additional Fields** - copies any Additional Field details
- **Contacts** - copies any attached Contact details
- **Owner** - copies the Owner Location details. Default.
- **Home** - copies the Home Location details. Default.
- **Container** - copies the container details. Default.
- **Retention Schedule** - copies any Archive Retention Schedule details
- **Date Fields** - copies the date field data
- **Number of Copies** - as you are creating a new version, only one copy is necessary. This option is therefore set to **one** and unavailable to change.

5. Click **OK**

This will now create the new version of the selected document.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. B24

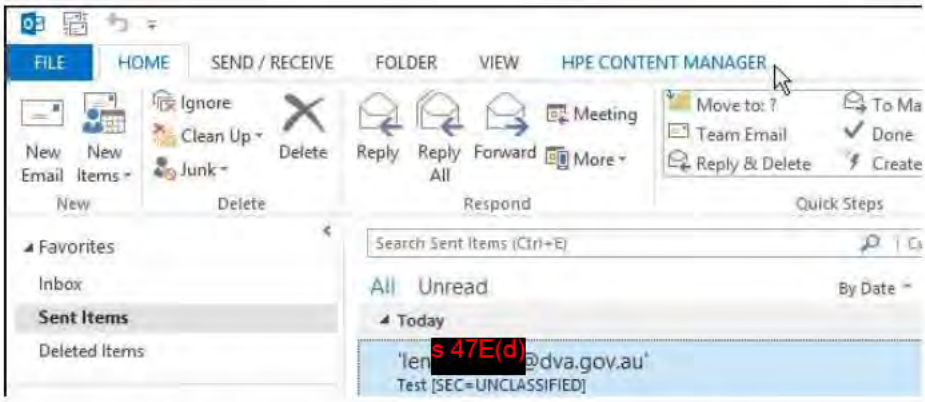
How to capture an email message as a new record in CM9

Many emails received by DVA staff carry important details of business processes, decisions and client related information. These emails are considered corporate records and should captured in CM9. To assist with this process CM9 also has a software integration with MS Outlook. How to use this is detailed below.

Method:

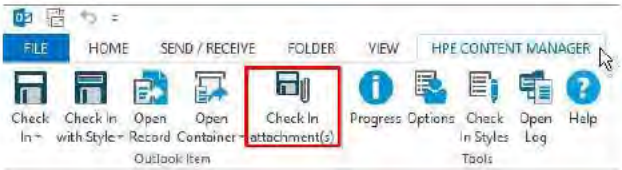
Within MS Outlook

1. Highlight the email message(s) to be captured (If you select more than one message repeat steps 3 to 7 for each email.),
2. Look for the **HPE CONTENT MANAGER** tab in MS Outlook, click on the appropriate button for the email.



Use the button or command for the method of check in you want to use:

= **Check In** – Captures the email message and any attachments together in a single CM9 record, when this is clicked on, then select **With Record Type** from the pop out menu,



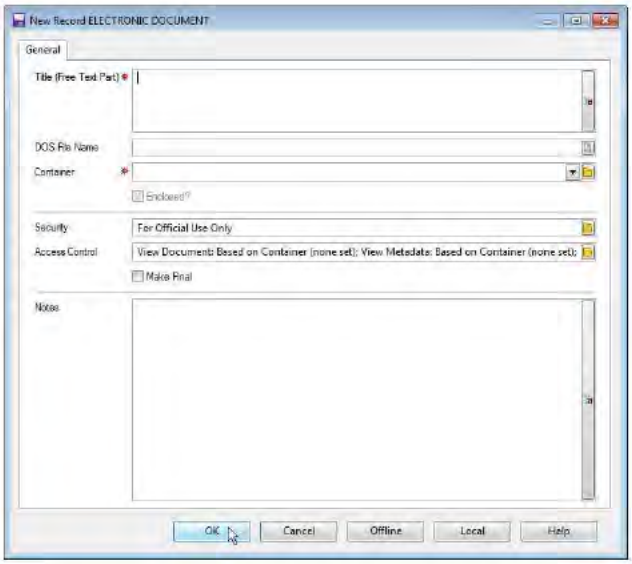
= **Check In Attachment(s)** - Captures the selected e-mail's attachments only into CM9. This button only becomes active if there is an attachment to the selected email,

When this selected a **HPE Content Manager – Check In Attachments** window will appear. In this you can choose which attachment(s) you want to check into CM9, then click on **OK**

3. Then the **Select From Record Types – All – 4 records types** window will open,

4. Select **ELECTRONIC DOCUMENT** for corporate related emails OR **CLIENT E DOC** for Client related emails, then click **OK**

5. The **New record ELECTRONIC DOCUMENT or Client E Doc** entry form will open, (Electronic Document is shown right),

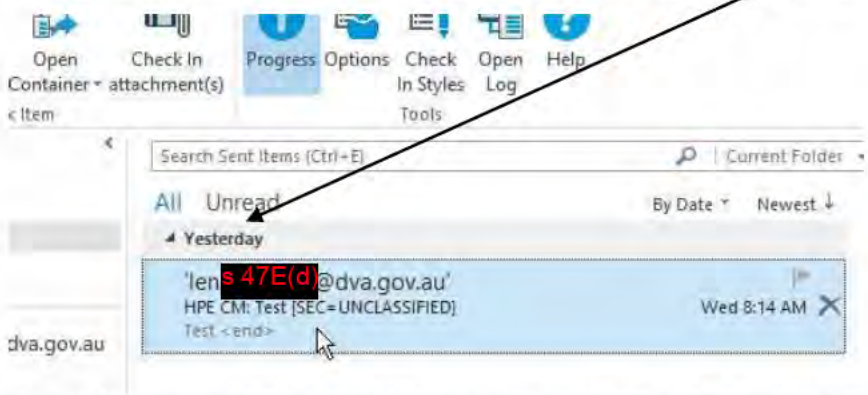


6. Proceed as you normally would to create a new record. For assistance see Steps 5-7 in ***CM 9.x Help Sheet - B15 - How to save a document from MS Office 2013 directly into CM9*** in container 1705558, and

7. Click **OK** or press **Enter** on your keyboard to create the new email record.

The email will now be saved/registered in CM9.

NOTE: When the email record has been captured into CM9 then the text "**HPE CM**:" will be inserted and appear at the start of that email's subject line in MS Outlook. . (shown below)



Then you can see that an email has already been captured. You do have the ability to capture it again, but you will get the following message "You have already checked in this email. Do wish to do this again? OK/Cancel". Simply click on OK if you want to save it again.

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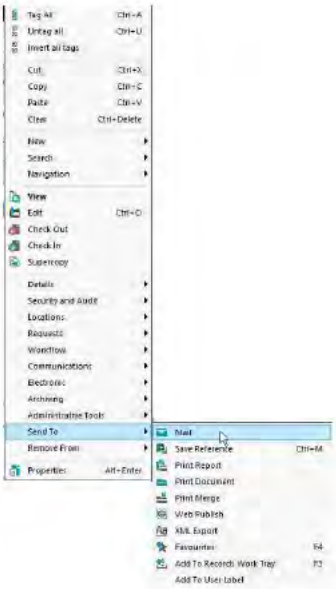
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. B25

How to email a document from CM9

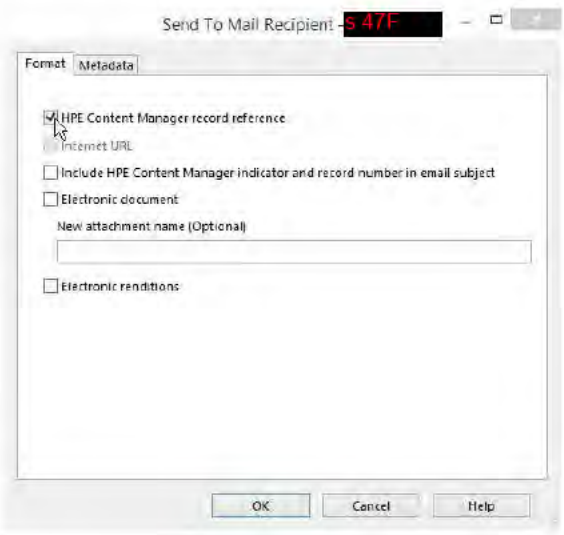
There will come a time went you will want to send a document or record that has been saved in CM9 via email. This will allow you for collaborate with others on a single document and/or avoid confusion on which is the latest version. Also if the collaborators need to make amendments they are done into a single document. Following is the most straight forward process of emailing a document.



Method:

1. Within CM9, Highlight or tag the appropriate record(s),
2. Right mouse click on the record title, select **Send to**, and then **Mail** (shown right)

3. If more than one record is tagged, you will be asked which records are actioned (shown left)
4. If you only selected a single document then you will go straight the **Send To Mail Recipient** window (shown below),



5. Under the *Attachments* tab and tick the **HPE Content Manager record reference** check box. (shown right)

   NOTE: For internal emails this should be the ONLY choice.

6. An MS Outlook email window will open with your CM9 reference(s) attached,
7. Enter recipient's name, edit or leave as is the Subject field and then enter email's message and your signature block
8. Click **Send**, to send the message.

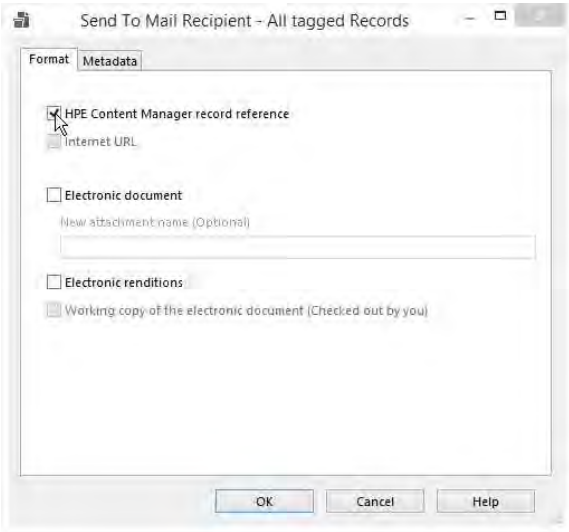
More about multiple documents attached to an email on the next page.

If you selected multiple records to send from CM9, you will receive a **Send to Mail Recipients – All tagged records message box** before Step 6.

Select the option shown right and the **OK**,

Then click on the **Yes To All** button to attach all your chosen records to the email,

Continue with **Steps 7 & 8** detailed above.



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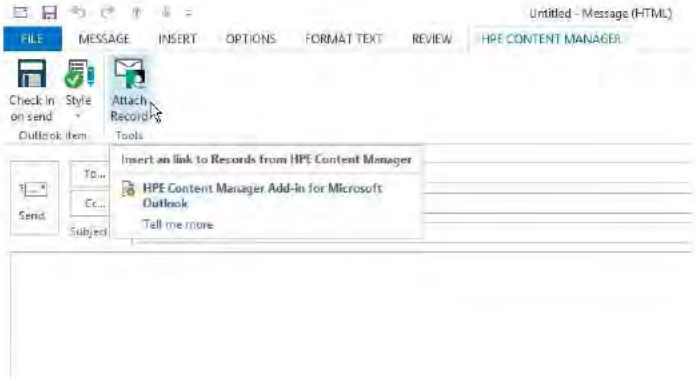
HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. B26

How to send single CM9 document(s) from MS Outlook

There will come a time when you will want to send a document or record that has been saved in CM9 via email. This will allow you to collaborate with others on a single document and/or avoid confusion on which is the latest version. Also if the collaborators need to make amendments they are done into a single document. This is the method of how to attach a CM9 document to an email from within MS Outlook.

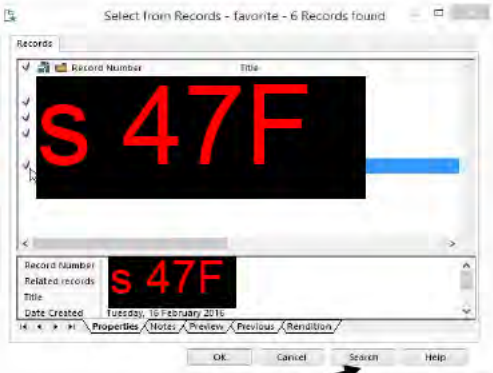


Method 1

1. Within **MS Outlook**, create a new email message (shown above),

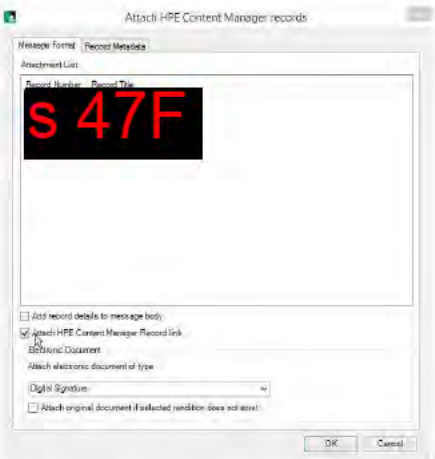
2. Open the **HPE Content Manager** tab and select the *Attach Records* option (shown top right)

3. A **Select from Records** window will open. The records that appear here are from your Favourite - Record Tray,



4. To search for other records, click on the **Search** button (shown) at the bottom of the window

5. Then complete a search in whatever way you are familiar for your required record(s)
   For assistance with searching within CM9 review the following Help sheet: *CM 9.x Help Sheet - B10 - How to Perform a Simple Search in CM9.*



6. Select the record or records you wish to attach to the email (shown right centre),

7. Click on **OK**,

8. An **Attach HPE Content Manager Records** window will open, select A*ttach HPE Content Manager Record link* box. (shown right bottom), **NOTE:** This should be the only selection for all internal emails.

9. Click on **OK**,

10. The selected record reference(s) will then be attached to your email,

11. Complete the message and recipient details,

12. Click the **Send** button to send the message.

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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet

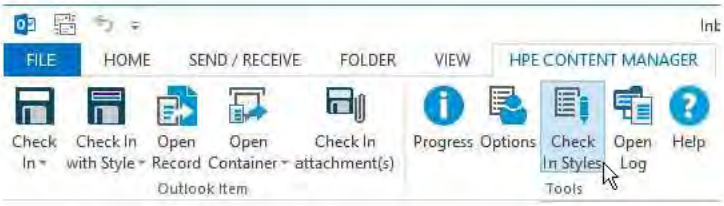
How to set up a Link between an MS Outlook folder and a CM9 container

The capture of corporate & client emails into CM9 is important. This is assisted by an automatic save or "check in" feature within the CM9 /MS Outlook integration software. This can be executed with full user control or alternatively be completed behind the scenes automatically. To activate this link this you need to create a "Check In Style" within Outlook. To create a "Check In Style" follow the method described below:

WARNING: ***DO NOT*** link your **Inbox** folder to a CM9 container, otherwise every new e-mail message you receive will be checked into CM9!

Method:

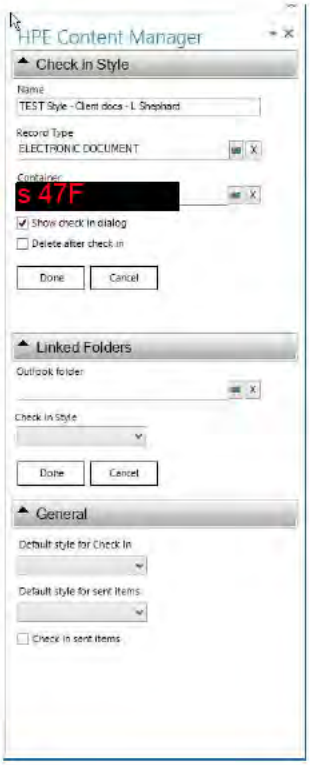
1. Within MS Outlook open the **HPE CONTENT MANAGER** tab (shown right),



2. A **HPE Content Manager – Check In Style** pane will appear on the right of your MS Outlook window (shown right),
3. Under the ▲**Check In Style** heading, click on the blue plus  to create a new style,
4. Then fill in the following:
   Name: Title the style to describe what it will do,
   Record Type: Select ELECTRONIC DOCUMENT for corporate related emails OR CLIENT E DOC for Client related emails under KwikSelect icon  . Be aware each of these records types will open a different New Record - Check In form.

   Container: Under the KwikSelect icon  for this field, you can type in the number or search for the appropriate CM9 container you want the email to appear in,

   Show check in dialog check box: Select this if you want full control of titling and location of the email record in CM9.
   NOTE: If this is not selected the integration will send the email to CM9 and use the email's Subject field as CM9 records title.



Delete after check in check box: Select this if you want the email deleted from MS Outlook once it has be registered in CM9 by this process.

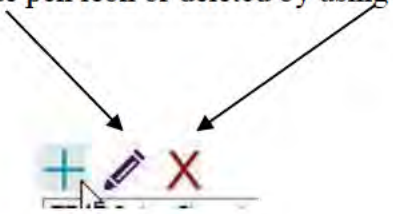
5. Click on **Done** to save this new Style,

6. Under the ▲**Linked Folders** heading click on the blue plus  to link a new Outlook folder,

   Then click on the KwikSelect icon  and select which of your personal Outlook folders you want linked,

7. Click on **Done** to save this new link.

Once this is done, you will see the created Check In Styles and the Linked Folders appear in their respedtive List panes. These can be edited using the dark blue pen icon or deleted by using red X icon.



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HPE Content Manager (Ver. 9.1) Training Manual – Help sheet No. 00

What's NEW about CM 9 at DVA

As of late October 2017, the Department upgraded its HP TRIM records management system to the latest version which was renamed by the vendor to be called HPE Content Manager v9. It is supported by Hewlett Packard Enterprises (HPE). While most of improvements have been made to behind the scenes processing, there are a few cosmetic differences between TRIM and CM9. These are discussed below.

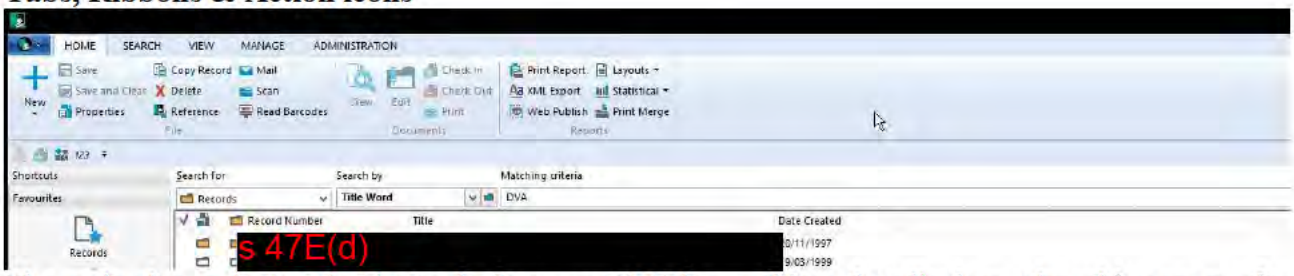
CM9 Icon

You may have notice the change in application icon (shown top right of page). When you want to open CM9 look for this new green and purple CM9 icon. This icon should be in your Citrix StoreFront as of Monday 30 OCT 2017.

Review:

CM 9.x Help Sheet - B01 - How to Open CM9.x at DVA

Tabs, Ribbons & Action icons



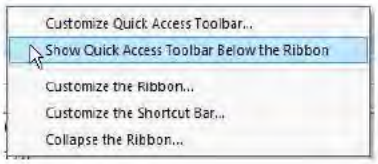
The main change is that that instead of menus, CM9 has a ribbon that displays tabs with groups of commands. This is similar and consistent with Microsoft Office products like Word and Outlook.

The icons in HPE CM9 are also slightly different. The records action menu you access by 'right clicking' on a record has the same functions though some are moved – the security related functions are moved from the Details menu to be a submenu of their own.

Review:

CM 9.x Help Sheet - B02 - Understanding the Layout of CM9.x

Quick Access toolbar



Within Content manager 9.1 you can choose which tasks or actions appear in each Tab ribbon. The options you choose are entirely up to you. You might base your decision on the tasks you perform in CM9 regularly or your personal preferences. If you only use a few to several tasks/actions you can choose to show and use the Quick Access Toolbar (QAT). These QAT buttons can be arranged to suit your preferences.

Review:

CM 9.x Help Sheet - B06 - How to Customise the CM9 QAT, Ribbons & Colours

Searching

Searching is a little different as there are a few extra fields to navigate through. The (quick) Search Pane option is the simplest search tool in CM9 but is has new field. There are also a few field name changes to get acquainted with

Review:

- CM 9.x Help Sheet - B09 - How to Perform a Search Using the (Quick) Search Pane,
- CM 9.x Help Sheet - B10 - How to Perform a Simple Search in CM9,
- CM 9.x Help Sheet - B11 - How to Do an Advanced Search, and
- CM 9.x Help Sheet - B12 - Hints and Tips for Searching within CM9.

MS Outlook integration

Many emails received by DVA staff carry important details of business processes, decisions and client related information. These emails are considered corporate records and should captured in CM9. There are few changes to the process of saving emails into CM9 and the process descriptions.

Review:

- CM 9.x Help Sheet - B24 - How to Capture an Email Message as a New Record,
- CM 9.x Help Sheet - B25 - How to Email Single/Multiple Document(s) from CM9,
- CM 9.x Help Sheet - B26 - How to Email a CM9 Document from MS Outlook, and
- CM 9.x Help Sheet I - How to link a MS Outlook folder to a CM9 container.

Other Help Sheets and Training

The HPE CM9 Help Sheets and Quick Reference Guides are in TRIM container 1705558

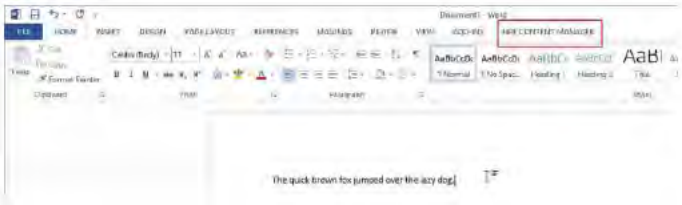
The eLearning material in DVATRAIN has been updated to reflect the new version of the system.

For more about the evolution of TRIM to CM9 or any other questions about the upgrade please ask the TRIM (CM9) Administrator via an email (s 47E(d) [redacted]).

How to save a CLIENT related document from an MS Office 2013 app directly into CM9.

Saving or registering client related documents in CM9 is important in order to capture important information about client claims and other related details. Even client related documents that are "work in progress" or only in draft form can also be put straight into CM9. The integration between CM9 and MS Office 2013 products assists this process.

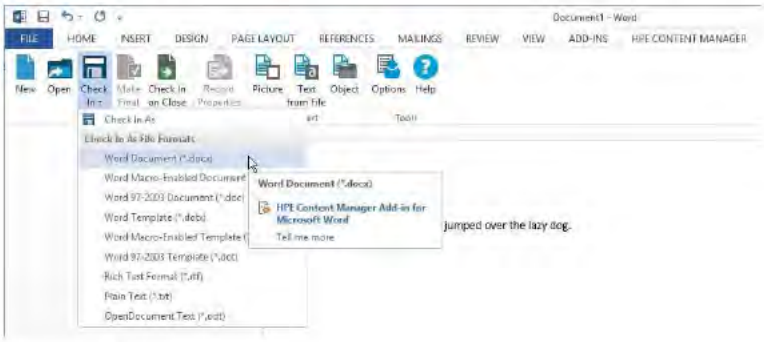
Method:



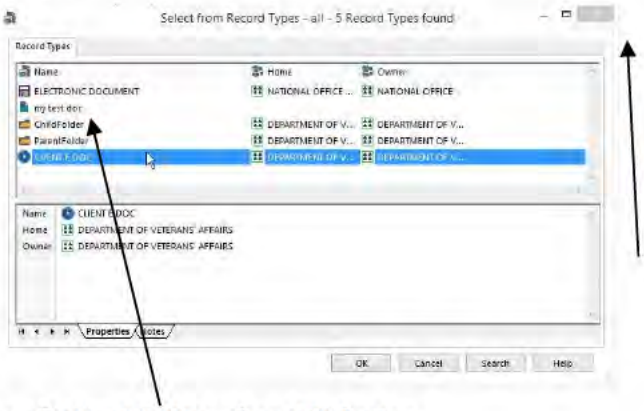
1. Create the new document in an MS Office 2013 application (e.g. MS Word)

2. Look for and click on the HPE CONTENT MANAGER Tab menu,

3. Then click on the **Check In (Diskette icon)** and select **Word Document (*.docx)** (shown below)



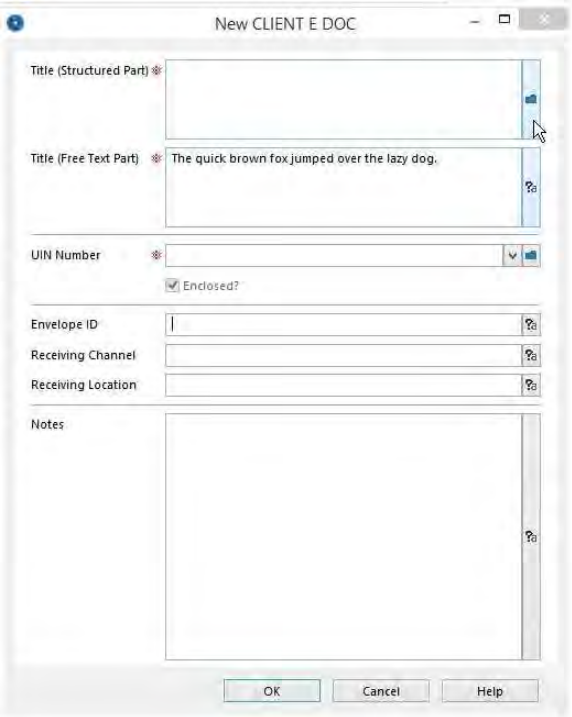
4. The below window will open.



5. Select the Record Type of **Client E-Doc**, then **OK** button.

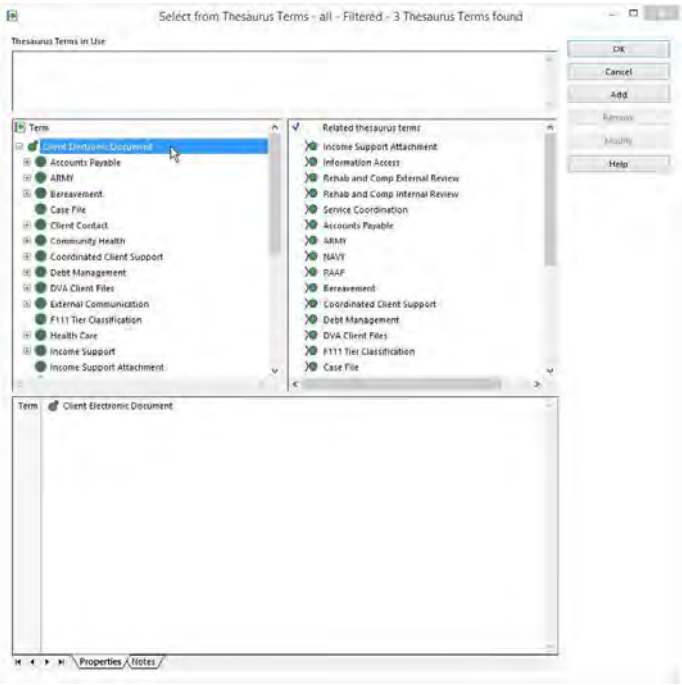
Further steps on next page

6. A **New CLIENT E DOC** window will open, (shown below)



7. Then enter in the following:

   - **Title** (Structured Part): (* = Mandatory field), Click in the KwikSelect button  , and select the structured part of the title from the relevant option in the next window (shown below).



   - **Title** (Free Text Part): (* = Mandatory field), Give the record a useful, meaningful title
     Hint: Read the document *CM 9.x Help Sheet - B16 - How to Give Documents Appropriate Titles in CM9* (in container 1705558), for assistance with this.

- **Container** (* = Mandatory field), Enter or select an appropriate HP TRIM container number for the document

  Hint: If you often put documents in the same files/containers, click on the *drop down menu*  to find the container number. The yellow KwikSelect button  will start a search action to find a container.

- Add any additional relevant information in the **Notes** *tab*
  Hint: Read the document *TRIM Help Sheet - How to Use the Notes Field* (TRIM Ref: 0847891E), for assistance with this.

8. Click **OK** to create the new record in CM9.

IMPORTANT: The document is NOT completely saved into (or registered in) CM9, <u>until it is fully closed down from its creation application</u>. Until you do this, it <u>WILL NOT</u> be found in any search criteria results.

How to TITLE a Client E-Doc record appropriately in CM9.

When saving or registering a records in CM9, the Title is an important part of the capture process. There are two parts of the title to be entered. These are the Structured and Free Text parts and both are equally important. The method for entering both parts are as follows:

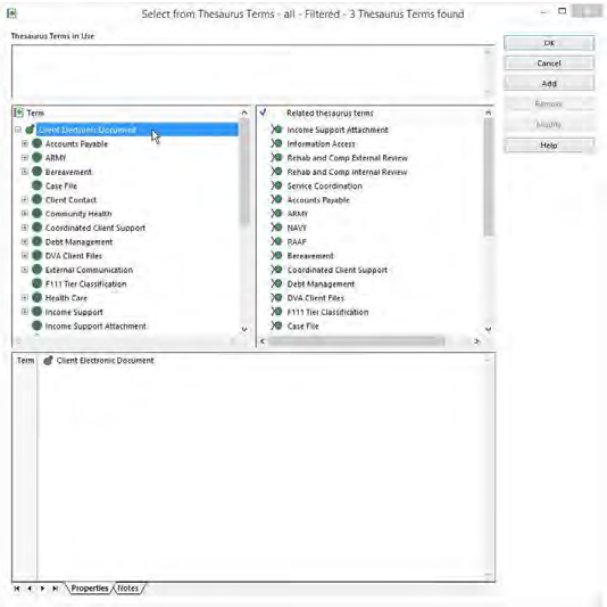
Method:

Using the "Title (Structured Text Part)" Thesaurus

These are business unit defined and agreed terms for the users to use to create meaningful titles. This will assist with the grouping like documents together, for easier searching and then retrieval of documents and information, going forward.

How to:

1. In the ***Terms*** pane of the "**Select from Thesaurus terms – all …**" window, Select the *Client Electronic Document* option (select by Double Mouse Clicking only in this pane)
2. Then select the **Rehab and Comp** option (by Double Mouse Clicking again),
3. Then select the Thesaurus term that best fits your business unit within R&C (by Double Mouse Clicking on it again),
4. Then select the next level Thesaurus term that best fit the activity discussed in the document, and
5. Then click on **OK**.



This will then display the terms you have chosen in the Title (Structured Part) of the *New Record CLIENT E DOC* window, you started with.

Example: Rehab and Comp – Needs Assessment – Election SRCA Section 45

In the top part of the **Select From Thesaurus Terms** window, you can see the Thesaurus terms you have selected in the **Thesaurus Term in Use** pane. You should have 3 large dots (and text) selected under **Client Electronic Document** in this pane before you can continue.

Mistakes in option selection

If you have made an error or chosen the incorrect option, you can go back one step in the structured title by clicking on the **Remove** button.

Preferred terms to USE

Use the Thesaurus terms that relate to your relevant business unit, e.g.

- Incapacity
- Initial Liability
- Inability
- Permanent Impairment
- Rehabilitation,

AVOID THE USE

Of these following terms:

- Claims ….., or
- Other

The "Title (Free Text Part)" titling rules

It has been suggested/recommended that the following title entered into the Title (Free Text Part) field should be structured as follows.

<Condition> - <Surname> - <Date Received> - <Author> - <Subject>

Example: Left foot swelling – SMITH – 18 NOV 2015 – Dr Jones – evaluation and prognosis

Each part of the free text titling from above is explained further below.

Condition

In the "Condition" part of the Title (Free Text Part), users should enter the medical condition that the document refers to. If there is more than one condition stated or included in the document, then enter "Multiple" at the beginning of the Free Text title.

Surname

In the "Surname" part of the Title (Free Text Part), users should enter the Client's surname in CAPITALS. If the surname differs because of marriage or other reason, then adopt the "Nee" principle in titling - E.g. *SMITH (NEE Jones)* – where "Jones" is the pre-married surname and the "SMITH" is the current surname. This is to ensure there is an element of quality assurance in that the correct container has been selected for the document.

Date Received

In the "Date Received" part of the Title (Free Text Part), users should enter the date the document was received by DVA. This is usually from the date stamp on the document.

Author

In the "Author" part of the Title (Free Text Part), users should enter the author of the document. If it is something like a report that has been authored by more than one person, enter the first author's name, then add "et al" – e.g.: … - *Dr. J SMITH et al* – …. If the author is you, the DVA delegate, then enter "DVA" as the author.

Subject

In the "Subject" part of the Title (Free Text Part), users should enter a short and concise phase that describes what the document discusses.

Searching and viewing inside PDFs

Currently most files when they are requested are now digitised and are being stored in the relevant client UIN in CM9. These digitised file are in PDF format and have been passed through an optical character recognition process. This means the PDF document is fully searchable within limitations. Some of the limitations are it will have difficulty recognising hand writing, text on dark backgrounds and faded text. However, you will be able to search rapidly for recognised text with the following method.

Method

1. Open up the required clients PDF document,
2. Either under the **EDIT** menu select **FIND** or press **Ctrl + F** together,
3. A small **Find** window will appear (shown right),
4. Type in the word (s) you wish to search for and press **Enter** or click on **Next**,
5. The document will then move to the page of the next instance of that word(s),

6. You can do this as many times as you need to get you relevant page.

NB: Recognised text is also "Copy and Paste-able" out of these PDF documents into other documents.

How to conduct an Advanced Search (searching)

The definition of "advanced searching" is the use of multiple search values or criterion to limit or expand the search results. For example, a simple search might find all records about XYZ, however, an advanced search could be used to find the records about XYZ that were created in the past month (limiting your search results) OR find records with XYZ *and* records with ZYX (expanding your search results).

Method:

1. Go to the **Search** tab then click on **Records** or select your customise **Find Records** icon on your Quick Access Toolbar,
2. The **Search for Records** dialogue box will open (shown below),

3. As for a simple search, select the first search criteria and enter the appropriate search value (e.g., criteria = *Title Word*, search value = xyz),
4. Click on the **New** button, *You must click this button for each subsequent new level of search criteria.*
5. Enter your second search criteria and search value (e.g. in this example, the search criteria is *Date Registered*, the search value would be the date range - or "This Month"),
6. Use the options under *Current Selection* to select how the search values are to be combined ("AND" is selected in this example) ,

Below is a list of the definitions of the buttons in this area.

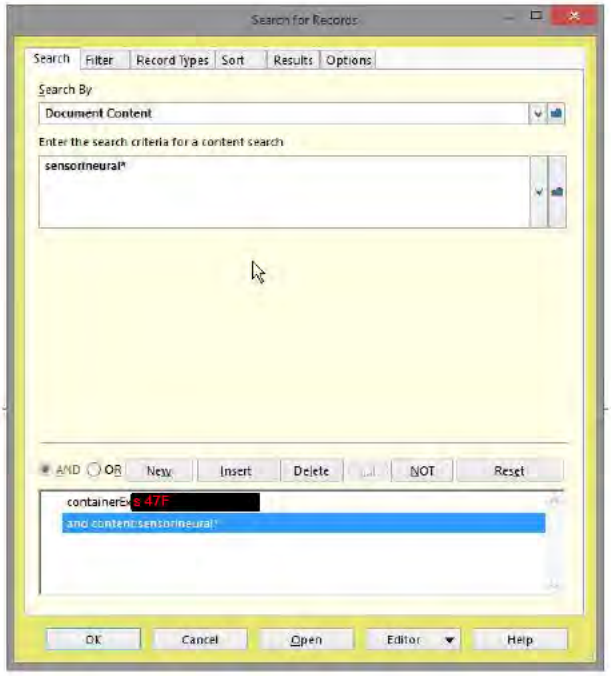
And	Find records that meet or have *both* search values
OR	Find records that meet or have *either* of the search values
(…)	Group the enclosed criteria
Not	include records that meet the first but not second search value (e.g., records with XYZ in the title that were *not* created during the specified dates)
Insert	Insert a new set of search values above the highlighted entry in the **Current Selection** box.
Delete	Delete the entry highlighted in the **Current Selection** box.
Reset	Delete all search criteria to start a fresh search.

7. Click the **NEW** button to enter additional search criteria, if desired,
8. Click **OK** to perform the search.

The results will then be displayed in the Records List Pane on the screen.

An Advanced Search criteria example is set out below:

For example, let's say you are looking for all documents for a particular known client that talk about their "sensorineural hearing loss".



1. In a Search window select the **Search By** criteria Container (including Alternative) under the Linked Navigation heading, and enter the clients UIN (shown right),
2. Then click the **New** button and change the **Search By** criteria to Document Content under the Text Search heading, (Also Shown right),
3. Click on the **OK** button or press Enter
4. The search will then return the results.

Hints and tips for searching and finding things within CM9

This section provides tips to help you use CM9 more efficiently and effectively. They include:

- Tips on entering search values,
- Wildcards,
- Filters - File types, and
- Filters – Record types.

Tips for entering search values

- After selecting the search criteria, place your mouse cursor within the field. CM9 will show tips on entering search values for the criteria.

- Word searches (Title word, Notes word, Any word) are not case sensitive.

- Enter the first few characters of the search value, and then use the KwikSelect folder or the drop down list to find the desired item. Both options bring up a shortlist of values that begin with or match what you entered.

- When performing a date based query, click the KwikSelect date (calendar) button at the end of the search value field to access a list of named date options. This can speed up the search process and helps to achieve consistency in reports.

• Next 14 Days	• Previous 7 Days	• This Year
• Next 7 Days	• Previous Month	• Today
• Next Month	• Previous Week	• Tomorrow
• Next Week	• Previous Year	• Year To Date
• Next Year	• This Month	• Yesterday
• Previous 14 Days	• This Week	•

- Search using a **Record number range** or a **Date range**: sometimes searches produce better results if they use a "range" rather than a single piece of information. For example, you might want to see records created or moved during a particular period, or only have records numbered 00001 – 00015 in your search results.

- **Wildcards.**
  Some fields allow users to include wildcards in their search values.
  There are two wildcards available:
  a single asterisk (*) = represents any number of characters,
  a question mark (?) = can be used in place of a single character.
  Wildcards can best be used in text based searches when a normal search isn't likely to find all the desired records.
  For example, a straight search using the word "veteran" will *not* find records with *veterans*, *veteran's*, *veterans'*, *veteran/spouse*, and so on, even though those files could be exactly what the searcher wanted. A search using "veteran*" [without the quote marks] would also find records that had any of the variations. A search using "veteran??" would find records that had *veteran's* or *veterans'*.
  Wildcards can be used at the beginning, in the middle, or at the end of your search value.

Tips to help you get the records you want

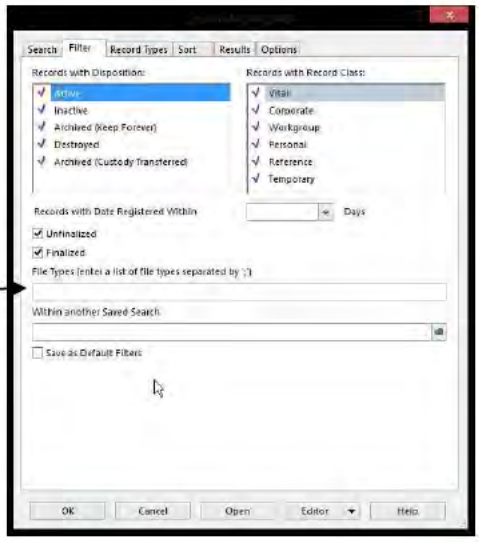
Earlier in these help sheets, we have covered customising your *record view pane* and *record list pane*. It is also possible to define how you want your search results presented and what type(s) of records you want in your search results.

Define what types of records you want in your search results - Filtering

A standard CM9 search looks for every record that matches your search query, regardless of its record type. However, the **Filter** tab in the ***Search for Records window*** gives you the option of picking which File types are used in the search. This means that you can prevent records that you know you don't want from appearing in the search results. For example, if you only wanted to find Policy & Administration records on a particular subject, you could remove any client based record types from the search. OR, and vice versa. OR if you only want MS excel spreadsheet records returned.

This tab also allows you to specify the type of electronic documents you are looking for – for example, if you only wanted to find Word documents but not any other type e–document.

These filters can be set as your preferred options for future searches.



File Types:
This field refers to electronic document files only. To restrict the search results to specific type of electronic document, enter the appropriate three-letter file extension(s) into this field.
For example:
*.doc or *.doc* for MS Word documents
*.xls or *.xls* for MS Excel spreadsheets
*.ppt or *.pps for MS PowerPoint presentations
*.pdf for Adobe PDF documents
*.jpg, *.bmp or *.tif for image files
*.tr5 for emails, or
*.zip for Zipped files.
Use spaces between the items. This is only in the Filter tab.

Record Types:
Now has its own tab and it refers to DVA defined record types.
To select record types for your search: place your mouse inside the Record Type field, right mouse click and select *Untag All*. Click you mouse to the left of the icons to tag your desired record type(s). Remember that you need to include electronic documents and paper documents if you want your search to find records below the file or container level.

Click the *Save as Default Filters* check box to retain these settings for future searches.
Click on the **Search** tab to return to the default search form,
Click **OK** to do the search or *Cancel* to close the dialogue box.

Use of DVA Electronic Facilities Policy

The Department of Veterans' Affairs (DVA) recognises the benefits provided by information technology and electronic facilities in the workplace and general community. DVA provides access to these facilities to all employees and contractors to facilitate the business and functions of DVA. DVA electronic facilities must be used in an appropriate, reasonable and prudent manner.

1. Overview

This instruction entitled *Use of DVA Electronic Facilities* is issued by the Secretary in accordance with section 13(5) of the *Public Service Act 1999*. The purpose of this Policy is to ensure that users of DVA's electronic facilities use them appropriately and efficiently.

Where appropriate, guidelines and procedures relating to this Policy are more fully detailed in the specified attachments. All employees must follow these related guidelines and procedures.

This Policy has been developed in accordance with the Office of the Australian Information Commissioner Guidelines on Workplace E-Mail, Web Browsing and Privacy (30/3/2000).

2. Scope of Policy

a. This document details the policy for the use of DVA electronic facilities. All levels of management are required to actively support its implementation.
b. The Secretary of DVA may grant an exemption from this policy.
c. This policy applies to all users of DVA's electronic facilities, including DVA and DHS staff and contractors employed or engaged by DVA.
d. The standards of use prescribed in this policy apply to every user, regardless of the technical means, location and access form by which they use DVA's electronic facilities.
e. Electronic facilities include, but are not limited to:
    - the computer network (wired or wireless)
    - computer work stations (thin or thick clients), laptops
    - desk phones, smart phones, and tablets
    - facsimile machines and printers
    - video conference facilities
    - digital cameras and sound recorders
    - electronic mail, electronic bulletin boards, discussion/ news groups
    - the DVA Intranet
    - the Internet.
f. In this policy:
    - An 'Authorised Person' means an employee authorised by the Secretary, a Division Head or a Deputy Commissioner of DVA
    - 'Employee' includes DVA staff and contractors employed or engaged by DVA
    - Electronic mail (E-mail) means a message sent from one person to another via DVA's computer network and includes mobile phone text messages (SMS)
    - Internet means the external public global web-based information service
    - Intranet means DVA's internal web-based information service
    - 'System administrators' means DVA staff or contractors who are responsible for maintaining the integrity of DVA's computer network.
g. This policy replaces the DVA *Policy and Guidelines for Internet/Intranet & E-mail Users*, 2000, Revision 1.1.

Further Information

ICT Solutions Branch (ICTSB) is responsible for this document, specifically the IT Security team.

For further information on the appropriate use of electronic facilities, employees should contact their manager, People Services Branch, or their local Human Resources section.

3. Policy Statement

Policy Purpose

The purpose of this policy is to ensure:

- that DVA's electronic facilities are appropriately and efficiently used; and
- that employees are aware of their rights and obligations in relation to the use of DVA's electronic facilities.

This policy provides specific directions that must be followed when using DVA's electronic facilities.

Usage Policy

Use of DVA's electronic facilities is permitted by employees authorised to use the facilities to support the business activities of DVA and in a manner consistent with legislative and DVA policy requirements.

Legal Basis

The use of DVA's electronic facilities imposes responsibilities and obligations on those who access the facilities. Attachment 1 sets out the legal basis of this policy including DVA policies, guidelines and procedures.

Standard of Conduct

Electronic facilities must be used in a manner that complies with DVA's standard of conduct, the *APS Values and Code of Conduct* (section 13 of the *Public Service Act 1999*).

DVA employees are responsible for adhering to the policy and immediately reporting any perceived weaknesses or breaches of this policy to their manager.

Non-compliance

Non-compliance with this policy is regarded as a serious matter. Any potential non-compliance will be investigated using the DVA procedures for breaches of the *APS Values and Code of Conduct*. Sanctions for non-compliance may range from a reprimand to termination of employment.

Further information on sanctions is detailed in Attachment 1.

Effect of Termination of Employment

Employees do not retain access to DVA electronic facilities once they cease to be employees of DVA.

DVA Property

All data and documents that reside in or on DVA electronic facilities are:

- the property of DVA
- a Commonwealth record—that is, a record that is the property of the Commonwealth.

Records Management

Records management is a shared obligation throughout DVA. Employees are responsible for ensuring the requirements of record management, including the *Archives Act 1983* and DVA's Records Management Policy, are applied to all electronic documents and data.

Instant Messaging

The Department uses Skype for Business ("Skype") as its instant message (IM) client. DVA's Skype does not operate outside the DVA ICT network. IMs are a form of ephemeral communications like telephone calls, and DVA staff members can use this business tool to communicate with others in the department in a more timely and casual basis. The use of Skype in DVA is governed by this policy (see following).

3.1 Use of Electronic Facilities

Introduction

DVA's electronic facilities are provided to support the business activities of DVA and must be used in an appropriate manner.

Appropriate Use

Appropriate use of DVA electronic facilities includes:

- For business purposes. This includes using DVA's electronic facilities, in particular the Internet and Intranet, for education purposes and building expertise in using resources, developing professional contacts, researching best practice and innovative business solutions, and monitoring news and special interest groups that may impact the agency.
- For personal use provided this does not interfere with the business operations of DVA, is reasonable and is not of material cost to DVA. More information on personal use is provided in the section Non-business Usage.
- For subscription services to mailing lists, online conferences, discussion groups and other like services for business purposes or professional development reasons.
- Compliance with all relevant legislation and DVA policies, guidelines and procedures as detailed in Attachment 1.

Inappropriate Use

Electronic facilities must not be used in any manner likely to be:

- **Illegal**—Contrary to law or policy or likely to contravene any law or policy.
- **Defamatory**—Electronic facilities must not be used to publish material that defames an individual, organisation, association, company or business. The publication of a defamatory comment may give rise to personal and/or DVA liability.
- **Infringe copyright**—Copyright material of third parties (for example, books, magazine articles, software and photographic images) must not be used without permission from the owner. Downloading, forwarding or copying material subject to copyright may give rise to personal and/or DVA liability, despite the belief that the use of such material was permitted.
- **Offensive**—Abhorrent material must not be accessed, published or distributed. This includes material that is abusive, harassing, obscene, threatening, disruptive, racially vilifying, pornographic, or constitutes religious or political lobbying.
- **Mass distribution**—Electronic facilities must not be used for sending spam, 'for profit' messages, chain letters or hoax e-mails.

Inadvertent Inappropriate Use

Employees who accidentally access or use DVA's electronic facilities inappropriately should report the incident to their manager. The employee and manager must agree on ways to avoid any further inappropriate access or use. Where a manager considers access or use has been accidental or inadvertent, no further action need occur. However, in all instances, a record of this process must be kept by the manager.

Where further action is required, managers must investigate the incident in accordance with the DVA Procedures for Dealing with Breaches of the *APS Values and Code of Conduct*.

Further Examples

Examples of inappropriate use with specific reference to the APS Code of Conduct are detailed in Attachment 2.

3.2 Monitoring and Reporting

Introduction

DVA monitors and reports on employee use of DVA's electronic facilities to ensure proper use of Australian Government resources and compliance with the *DVA ICT Security Protocol*, the Secretary's Instructions and the *Public Service Act 1999*.

Employee Responsibility

Employees are required to report inappropriate use of any of DVA's electronic facilities to their manager.

Electronic Mail

All e-mail is the property of DVA. E-mail may be monitored and/or retrieved where it is reasonably suspected that inappropriate use of electronic facilities may be occurring or when required by law. An authorised person may retrieve e-mail messages from the DVA computer system. In addition, access to the e-mail system by system administrators may be necessary to resolve operational issues.

Employees will not necessarily be informed when monitoring, retrieval and/or access occur.

Intranet

DVA automatically logs and gathers statistics on employee Intranet activity. Information recorded includes the User ID, pages/sites visited, date and time visited, and the frequency of visits.

Internet

DVA automatically logs and gathers statistics on employee Internet activity through the Internet Proxy Server. Information recorded includes:

- the User ID
- URL of sites visited
- images or other files accessed
- date and length of time of the site visit
- blocked or warning screens
- frequency of visits or attempted visits.

Reports on employee Internet usage are produced quarterly for the Secretary, and on request by a Manager via People Services Branch and are produced by IT Security. Senior managers have access to some or all of these reports when required. The list of authorised persons is detailed in Attachment 3.

In addition, IT Security may conduct ad hoc reviews of employee Internet activity (for example, on category types) at any time. Staff will not necessarily be notified when monitoring access is conducted on their usage.

Telephone/ Facsimile

Information about all incoming and outgoing telephone calls for DVA facsimile machines, fixed-line or mobile phones and modems is logged. Information consists of the caller's phone number, the phone number dialed, the date, duration and the cost of the call. Reports on phone usage are produced and reviewed monthly by the DHS Voice Support Services Team.

Where a manager has a concern that a mobile or fixed-line telephone may be used inappropriately, an investigation may be initiated by contacting the DHS Voice Management team.

Computer and Network Drives

Content on the DVA computer and network drives is the property of DVA. Content may be monitored and/or retrieved by an authorised person where it is suspected that inappropriate use of facilities may be occurring or when required by law. Staff may not be contacted when an investigation is—or has been—conducted.

In addition, access by system administrators may be necessary to resolve operational issues. The amount and type of material stored can be monitored and employees may be requested to remove content.

3.3 Non-compliance

Introduction

Non-compliance means the failure to use DVA's electronic facilities in a manner consistent with legislation and DVA policy.

Internet

Any potential inappropriate or excessive non-business related access or use will be investigated by an authorised person and may result in the instigation of a formal investigation as set out in the DVA Procedures for Dealing with Breaches of the APS Code of Conduct.

Other Electronic Facilities

Where there is reason to believe that an employee may have used DVA's electronic facilities inappropriately, the employee's manager will be advised.

When a manager is notified that an employee may have inappropriately used electronic facilities, the manager must investigate the incident in accordance with the DVA Procedures for Dealing with Breaches of the APS Code of Conduct.

Where a breach of the APS Code of Conduct has occurred, the range of sanctions that may be taken is detailed in Attachment 1.

3.4 Privacy, Disclosure and Security

Privacy

DVA must comply with the Australian Privacy Principles as detailed in the *Privacy Act 1988* when collecting, using and disclosing personal information. This obligation applies equally to client information and the personal information of employees.

Disclosure

Details of employees' activities using DVA electronic facilities will be disclosed in limited circumstances, for example, where there is potential inappropriate use. Disclosure may be to a range of people including the employee's manager, Branch Head, HR manager, National Fraud Control Unit, Deputy Commissioner/Division Head, the Secretary and the police.

Network Security

DVA is required to protect its assets and information, including transmission of information, in accordance with legislation and DVA policy.

Employees must comply with the provisions of the DVA ICT Security Protocol, which sets out how DVA meets its network security obligations.

In particular, employees must ensure:

- the information, data and software transmitted across external networks is appropriately protected; and
- the level of protection is suitable for the classification level of the information, data or software.

E-mail Security

E-mail which contains personal, confidential or client information must not be sent over the Internet. The Internet is not suitably protected and when sending an e-mail over the Internet, there is no assurance that:

- the intended recipient will receive the e-mail
- only the intended recipient will receive the e-mail
- the contents will not be read or changed en route.

In general, e-mail can be sent:

- over FedLink. E-mail sent between Federal Government agencies or departments listed on the FedLink User list automatically use FedLink
- between DVA offices as the internal DVA computer network is suitably protected
- over ICON links (for example, between DVA and the Department of Defence), or
- over suitably protected or encrypted links (eg DVA Secure Email).

Unauthorised Persons

Employees who provide access to DVA electronic facilities to unauthorised persons, including remote access to the DVA network, will be held responsible for any inappropriate use. The term 'unauthorised persons' includes family members.

DVA User ID and Password

Employees must only use their DVA User ID and password to access DVA electronic facilities. Their use in the external environment may allow unauthorised persons to unlawfully gain access to the DVA network and electronic facilities.

4. Non-business Usage Guidelines

Introduction

Employees may use DVA's electronic facilities for activities that are not business related providing the use complies with this policy and:

- is incidental to the primary duties of the employee
- does not interfere with any employee's work
- does not compromise the functioning of DVA's computer network
- the cost is incidental and immaterial to DVA.

Non-business Usage

Employees may use electronic facilities for non-business related activities taking into account:

- the use conforms to the *APS Values and Code of Conduct* and any lawful and reasonable direction given to an employee
- DVA business takes precedence over non-business related use
- whether use is during the employee's personal time (before and after work, lunchtime)

- the use of the type of resource is appropriate (for example, use of a fixed line telephone when available, rather than a mobile telephone)
- the impact and extent of personal use is reasonable (occasional use of minimal time and duration)
- there is no risk attached to the use (for example, downloading a computer virus).

Examples of Non-business Usage

Examples of appropriate non-business related use include:

- Internet banking (for example, paying bills, checking account balances)
- browsing of social, cultural, sporting websites
- booking travel/tickets
- educational/study related
- fixed line phone calls
- e-mails, printing, faxing and STD telephone calls for incidental personal purposes
- access to personal e-mail accounts providing the content complies with this policy.

Mobile Telephones

Mobile telephones, issued by DVA, may be used for business and business related calls and also for incidental personal use on business travel. Prior approval of a senior manager must be obtained for significant non-business use of DVA mobile telephones, for example, when traveling overseas.

The policy on employee use of DVA issued mobile telephones is set out in SI – DVA Electronic Facilities

5. Internet Usage Guidelines

Filtering of Internet Sites

DHS, on DVA's behalf, filters access to Internet sites that are inappropriate, potentially inappropriate (for example, due to advertising) or considered unnecessary for business purposes.

Access to sites may be 'blocked' (that is, the site cannot be accessed using DVA electronic facilities) because the site is considered inappropriate or contains inappropriate information.

Refer to the guidelines, *ICT Security Monitoring & Reporting* under the heading **Internet Usage Monitoring/What Else?** for further information.

Need to Access Blocked/ Inappropriate Site

On occasion, an employee may be required to access an Internet site for business purposes, which would generally be inappropriate and/or is blocked (for example an illicit drug related site for health research purposes).

When this occurs, employees must obtain written approval from their manager, with a copy of the approval forwarded to the DVA Security IT mailbox. The request should indicate the date, time, topic and URL name, with approval recorded by the manager. This approval process ensures that the site can be unblocked and that the approval is documented when monitoring reports on employee usage.

DVA E-mail Address

DVA e-mail addresses should not be published on the Internet for non-business related purposes. Where there is a business requirement to publish a DVA contact, a generic e-mail address should be set up and used in preference to an individual's DVA e-mail address.

The publishing of an e-mail address greatly increases the incidence of spam being received through the DVA computer network.

Fee for Online Information

The Internet provides access to sites that may charge a subscription or usage fee for access. If a business need is established for such information, employees should seek prior approval for any cost in line with DVA's financial procedures. SI—Procurement & Expenditure of Relevant Money.

Download of Software

Software must not be downloaded from the Internet—or obtained from any other external source—and installed on DVA computers without prior approval from ICTSB. Downloaded software can introduce malware and other problems onto DVA's network. As an Australian Government agency, DVA must comply with legislation regarding licensing and ownership of products. All computers are configured to automatically scan any material downloaded from the Internet. Unsupported and unauthorised software will be removed as soon as it becomes known.

Subscription Lists

Employees must only subscribe to websites, online discussion groups or newsletters for business purposes. To ensure a manageable level of e-mail is received through the DVA computer network, it is advisable to limit the number of subscribed lists or to opt for viewing the information directly on the website.

5.1 Social media

Social media guidelines

Employees should read the DVA Social Media Policy & Guidelines and remain aware of their obligations under the APS Code of Conduct when participating in online discussions.

6. E-mail Usage Guidelines

Introduction

E-mail usage guidelines and standards are provided to ensure:

- Professionalism
- Efficiency
- Protection from liability for DVA
- Appropriate records management

6.1 Effective E-mail Standards

Application of Standards

The standards applying to minutes or letters apply to e-mails. When composing an e-mail, the following should be taken into account:

- Ensure good writing, grammar, spelling
- Keep paragraphs short and to the point
- Answer in a timely manner
- Focus on one subject per e-mail and always include a meaningful subject title for the e-mail. This will help users to locate the e-mail quickly
- Capitalise words only to highlight an important point or to distinguish a title or heading. Capitalising whole words that are not titles is generally termed SHOUTING!
- Be professional and courteous in what you say
- Choose a tone that suits your interaction and relationship
- Use a blank line between paragraphs to improve clarity
- Ensure consistency between person and tense
- Do not include personal material with business information
- Do not forward chain letters or hoax e-mails
- Do not reply to spam
- Do not send or forward inappropriate remarks.

Filtering Incoming E-mail

DHS uses e-mail-filtering technology to manage the incidence of spam sent to the department. This technology scans incoming e-mail to identify spam.

Sending Messages

E-mail messages should only be sent to people if the information is relevant to them. The "To" field is used for recipients that may be required to respond and the "cc" field is used when the message is for the recipients' information only.

The Bcc (blind copy) field is used for multiple recipients unless the privacy of recipients is not a consideration (for example, members of a working group).

When sending messages double check that the correct recipient is listed before clicking the SEND button.

Classifying E-mails

DVA must comply with the requirements of the *Protective Security Policy Framework and* the *Australian Government Information Security Manual*. These documents direct that all agency-originated e-mail must be marked with a protective marking that identifies the maximum classification.

The author of the e-mail must decide the information's classification. Further, it is the responsibility of staff to ensure the content of e-mail they receive has been assessed and the appropriate classification is attached before the message is passed on or stored in TRIM.

Refer to the Information Security and Protective Markings guidelines for further information.

In addition, both in and outgoing emails from DVA are filtered at the mail gateway based on the protective marking tag. Please refer to the Data Security page for further information.

Targeting Messages

Use the importance buttons and flag button in Outlook to indicate the level of importance of the e-mail and the date a response is required by. Do not send messages with high importance unless they really are important.

Style and Content

Sending an e-mail is the same as sending a DVA letter or minute. The e-mail should be in accordance with the AGIMO APS Style Manual for Authors, Editors and Printers.

Staff must not use graphic backgrounds in departmental e-mails, since:

- they increase the size of e-mails and consume bandwidth resources
- their format cannot be guaranteed to be received as it is sent; for example, the background may be received as an attachment
- the graphic background can impact on accessibility issues for the receiver.

Confidential Messages

E-mail should clearly indicate when the content of the e-mail is confidential. If the e-mail is not for further distribution, other than the intended recipient, it should be clearly indicated in the e-mail.

Attachments

Before sending an e-mail with an attachment, the size of the attachment and the number of recipients should be considered and the impact on DVA's computer network.

There are a number of alternatives that should be considered:

- send a shortcut to the attachment (ensuring the attachment is on a common system drive that is accessible to all recipients)
- send a TRIM reference after storing in TRIM
- send a ' URL' link if published on the Intranet, or
- send as a ' zipped' attachment. Contact your local IT section if you would like further information on 'zipped' files.

Forwarding

E-mails should be forwarded without an attachment if the attachment is not relevant to the recipient. Any previous recipients' e-mail addresses are considered personal information under the Information Privacy Principles and should be removed if they are not relevant, in particular for e-mails sent external to DVA. Messages should be targeted to the appropriate group with appropriate comments and level of disclosure for that group.

Replying

Limit the use of the "Reply To All" function when replying to messages to eliminate unnecessary mail traffic and delete attachments that are not required by the recipient prior to sending a reply.

When sending mail external to DVA be aware that there is no guarantee that your format will display as you composed it (for example, alignment, colours, bullets etc).

Delivery and Read Receipts

Delivery and read receipts options should only be used when necessary.

Signature Blocks

A consistent approach is required for signature blocks in external e-mails, not only to ensure a professional public image, but to comply with the *Spam Act 2003*.

Signature blocks must contain the following information:

- Name
- Position
- Branch or section
- Department
- Contact details—phone and fax numbers.

Optional:

- Full postal address
- Relevant URL—but never a URL which links to a commercial website.

Disclaimer

An approved DVA disclaimer is automatically attached to the bottom of all e-mail messages sent externally through the DVA computer network. A copy of the disclaimer is at Attachment 5.

E-mail Distribution Lists

DVA distribution lists in Outlook, such as the National and State Office 'all staff' distribution lists, must only be used to distribute e-mails that are business related and apply to all staff on the distribution list.

Announcements for non-work related activities such as charity events, external functions and special interest groups should be advertised by alternate means such as the Intranet News Service, staff bulletins, news letters or on notice boards.

Employees must comply with local office procedures when using e-mail distribution lists.

Records Management

Employees are responsible for ensuring that all e-mails that have corporate significance—that is, corporate records are appropriately stored according to DVA's Records Management Policy.

Storing E-mails

E-mails that are corporate records must be stored in TRIM.

Business e-mails must not be stored on local or personal hard drives due to limited security and access.

Personal e-mails should be deleted or saved in personal folders. (Personal folders can be created with password protection. Use the Help function in Outlook for information on setting up a personal folder.)

Freedom of Information

Section 4 of the *Freedom of Information Act 1982* defines a 'document' to include any article on which information has been stored or recorded either mechanically or electronically.

E-mail messages sent or received in relation to DVA business are documents subject to the same scrutiny as any other document under the FOI legislation.

Contact your local FOI Contact Officer for further information.

DVA E-mail Address

Employee's DVA e-mail address (@dva.gov.au) should only be used for business purposes and personal use as outlined in the Section, Non-business Usage Guidelines.

The DVA e-mail address should not be used to subscribe to non-business related websites or in a manner that is inappropriate.

Redirection of E-mails

In accordance with IT Security policy, DVA business e-mails must not be redirected either automatically or manually from DVA mailboxes to private mailboxes using the Internet. This is to ensure client, personal or business information is not re-directed outside DVA over an unprotected network.

Similarly, e-mails from private mailboxes should not be automatically redirected to your DVA mailbox as the e-mail content may be inappropriate or contain a virus.

When redirecting emails internally, consideration needs to be given to the fact that the new recipient may see material that:

a. They do not have a need to know, or
b. The intended recipient and/or sender considered private.

Sending DVA E-mails Home

Employees should only send DVA documents or data to their private home mailbox over a protected network. The options for electronically transferring the document or data include:

- arranging remote access to the DVA computer network
- using the DVA Secure Online Communication System, or
- transferring data using virus checked discs.

In most cases there will be no need to send DVA documents to private home mailboxes as remote access can be granted via CAG.

6.2 Managing E-mail with Microsoft Outlook

Housekeeping

Mailboxes should be regularly reviewed and e-mails deleted or moved to more appropriate storage area (such as TRIM, share drive, personal folder).

Archiving

Do not use the Outlook auto-archive option for e-mails. Archiving in Outlook is not appropriate as only the mailbox owner has access to the archive.

All corporate records should be stored in TRIM as detailed in the DVA guidelines for the Records Management Policy.

Personal e-mail should be deleted or stored in a password protected personal folder.

Clean Up

The mailbox clean-up agent performs an automated clean up of mailboxes each weekend. Any items in the inbox or sent items folder that are 90 days or older are moved to the Deleted items folder. Any items in your Deleted items folder that are 120 days or older are permanently removed.

Therefore, to avoid the deletion of important information it is essential to regularly housekeep your mailbox.

The e-mail file has a limit of 30 Megabytes. If the e-mail file exceeds this limit you will be unable to send e-mail. To overcome this, the e-mails in your mailbox need to be reduced by deleting or moving them to a more appropriate storage area.

Managing your Mail during Absences

E-mail is used with the expectation of receiving an immediate response. Arrangements should be made for e-mail when an employee is out of the office.

Outlook has two functions available:

- Out of Office Assistant
- Delegation.

Employees who will be absent from the work place should set the "Out of Office Assistant" available from the Outlook Tools facility. Another way to ensure that mail is accessed is to give access to another person, using the "Delegation Profile". The level of access given to another person can be selected and all access by that person will be logged.

Use the Help function in Outlook for more information about these functions.

6.3 Client E-mail

Client e-mail

When an e-mail request containing client specific information is received via the Internet, steps should be taken to verify the identity of the veteran or sender (as required under the relevant legislative requirements) before the request is actioned.

When an e-mail request is received via the Internet and the sender is seeking information or clarification, with or without the disclosure of client specific information, the use of e-mail as the means of response is appropriate. However, when including personal information or other confidential (including business in-confidence) information in the reply, business areas must use the secure email facility.

If not already in use in the business area responding, the procedures to set up secure email communication as detailed in the Sensitive Email instructions should be followed first. Business areas are responsible for the establishment of procedures and protocols for the handling and storage of the emails and their content. When establishing the TRIM containers business areas MUST contact the Director, Records Management, to determine the correct titling procedures.

E-mail is a legitimate form of communication for general transfer of information and interaction with clients and non-clients.

E-mail Referral of Client Inquiries within DVA

E-mail within DVA is a secure and effective means of referring client inquiries to more appropriate DVA sections. It is essential that when employees refer an inquiry via internal e-mail that a nominated person is at all times responsible for finalising the inquiry.

6.4 Receipt of Inappropriate E-mail

Internal E-mail

Any internal e-mail received that is considered to be inappropriate should be brought to the attention of your manager. Managers should advise the sender's manager that the e-mail is inappropriate. It is the sender's manager's responsibility to then discuss the issue with the sender.

External E-mail

If inappropriate e-mail is received from a person known to you, you should advise the sender that the e-mail does not comply with DVA policy and guidelines and insist that future e-mails do not contain such material.

Any other external e-mail received that is considered inappropriate should be deleted. This includes hoax e-mails and spam. However, where a sender persists in sending inappropriate e-mails following a request to cease, this should be reported to your manager and to the DVA IT Security mailbox for further action.

Email containing Criminal/Illegal Content

It is possible that e-mail may be received, in particular unsolicited spam, that contains content that is illegal under State or Commonwealth Crimes Acts, for example, certain kinds of pornography.

When this occurs, DVA provides the Australian Federal Police (AFP) and Defence Signals Directorate (DSD) with information about the incident. To facilitate this, staff receiving such e-mail must report it to DHS via their Spam Reporting page, advising in the e-mail 'Subject' that the content is potentially illegal.

Staff are also asked to inform their manager of the receipt of the e-mail and the action taken.

Sending E-mail to DHS

The Spam Reporting page can be found on the Intranet; click Service Desk, then Online form, and lastly Spam Reporting. Fill out the form and attach the inappropriate email. For this, you will have to save the email onto your desktop first so you can browse to it.

7. Printer Guidelines

Use of Colour

All Multi-function devices (MFDs) and printers are defaulted to black and white output. Colour printing should be by exception and limited to the production of business documents and publications where important information would be lost if the document was printed in black and white (for example, bar and pie graphs etc.)

Duplex & Multi-Page

All MFDs and printers are def! ulted to duplex (double sided). Single sided printing should be by exception.

Where appropriate, multiple document pages should be printed on a single sheet (that is, 2 pages per sheet).

Large Print Jobs

Large printing jobs, coping jobs or publications should be done via the Canberra print room.

Attachment 1—Legal Basis for the Policy

Introduction

The legal basis for this policy is derived from both statute and common law. Employees must familiarise themselves with the legal basis of this policy. It is important to remember that the law applies with equal force to the activities of employees in the electronic environment as it does to activities in the physical environment.

Public Service Act 1999 APS Code of Conduct

The *Public Service Act 1999* ('the PSA') permits the Secretary to make directions that apply to all employees of the Australian Public Service (APS) and regulate employees' behaviour.

Section 13 of the PSA contains the *APS Values and Code of Conduct*('the Code of Conduct') which applies to all APS employees. The Code of Conduct requires all APS employees to comply with all applicable Australian laws and is extremely wide—it encompasses the common law and a range of relevant statutes. All staff should read the Code of Conduct and carefully note these requirements.

Section 15 of the PSA contains the sanctions for breaches of the Code of Conduct which include:

- termination of employment
- reduction in classification
- reassignment of duties
- reduction in salary
- deduction from salary, by way of a fine not to exceed 2% of the employee's annual salary
- a reprimand.

Financial Management and Accountability Act 1996

The *Financial Management and Accountability Act 1996*, requires the Secretary to manage the affairs of DVA in a way that promotes proper (efficient, effective and ethical) use of the Australian Government resources.

Electronic Transactions Act 1999

The *Electronic Transactions Act 1999*provides a regulatory framework that:

- recognises the importance of the information economy to the future economic and social prosperity of Australia
- facilitates the use of electronic transactions
- promotes business and community confidence in the use of electronic transactions
- enables business and the community to use electronic communications in their dealings with government.

Privacy Act 1988

The *Privacy Act 1988* ('the PA') regulates the collection, storage, use and disclosure of 'personal information'. The key requirements of the PA, relevant to the use of electronic facilities, are those contained in the Information Privacy Principles ('the IPPs'). All staff should read the IPPs and be aware of their obligations under the PA.

Information Privacy Principles

E-mails that contain personal information are 'records' for the purposes of the PA. As all e-mails contain the addresses of the sender and the recipient, all e-mails sent or received by staff will contain personal information and be subject to the requirements of the PA. IPP 11 sets out the only circumstances when staff can lawfully disclose personal information.

Public Service Regulations 1999

A number of specific Australian laws create a legal duty on APS employees not to disclose certain information.

Regulation 2.1 of the *Public Service Regulations 1999*states that:

"... An APS employee must not, except in the course of his or her duties as an APS employee or with the Agency Head's express authority, give or disclose, directly or indirectly, to any person any information about public business or anything of which the employee has official knowledge."

The above regulation applies to a wide range of official Australian Government information that must be protected from unauthorised use or disclosure. "Australian Government information" includes, but is not limited to:

- personal information collected by DVA—for example, veterans' or personnel records
- policy documents not already in the public domain
- any classified documents eg 'In-confidence', 'Confidential'

- any information that is provided by third parties to DVA in confidence.

Commonwealth Protective Security Policy Framework

The *Commonwealth Protective Security Policy Framework* (PSPF) sets out the policies, practices and procedures that provide a protective security environment that is not only fundamental to good business and management practice, but essential for good government.

It also lays down the procedures designed to ensure that departments and agencies approach protective security measures in a way that is consistent across government.

Australian Government Information Security Manual

The Australian Government Information Security Manual (ISM) assists Australian government agencies in applying a risk-based approach to protecting their information and systems.

Crimes Act 1914

The *Crimes Act 1914*('the CA') includes criminal sanctions that apply to the unauthorised disclosure of information. Section 70 of the CA deals with the unauthorised disclosure by APS employees (including former APS employees) and section 79 applies to contractors.

A breach of section 70 of the CA is punishable by imprisonment for up to 2 years. Subsection 70(1) of the CA states that:

"A person who, being a Commonwealth officer, publishes or communicates, except to some person to whom he is authorized to publish or communicate it, any fact or document which comes to his knowledge, or into his possession, by virtue of being a Commonwealth officer, and which it is his duty not to disclose, shall be guilty of an offence."

Other relevant provisions of the CA include Part 6A (Offences Relating to Computers). These provisions include criminal offences for unlawful access to data and damaging data in both Commonwealth and other computer systems. As electronic facilities may use telephone lines, Part 7B of the CA also applies to prohibit interference with telecommunications services or using a telecommunications service to menace or harass another person.

Archives Act 1983

The *Archives Act 1983*('the AA') deals with the preservation, disposal and alteration of Commonwealth records. The AA applies to all 'records' that are the property of the Commonwealth. Subsection 3(1) of the AA gives this term a wide meaning and clearly includes all e-mails prepared in the course of employment as an APS employee.

For details of the application of the AA and the DVA policy in this area reference should be made to DVA's Records Management Policy.

Freedom of Information Act 1982 Copyright Act 1968 Evidence Act 1995

The *Freedom of Information Act 1982, Copyright Act 1968*and

Evidence Act *1995*contains a range of provisions that regulate the handling of Commonwealth records and other information

Disability Discrimination Act 1982 Racial Discrimination Act 1975 Sex Discrimination Act 1984

The *Disability Discrimination Act 1982*, the *Racial Discrimination Act 1975*and the *Sex Discrimination Act 1984* contain legislation relating to the content of electronic communication.

In addition the States and Territories have legislation that deals with aged discrimination, transgender discrimination and racial vilification.

Common Law

The main area of the common law that is relevant to this policy is the law relating to the publication of defamatory material.

A defamatory statement is one which tends to lower a person in the estimation of others by making them think less of him/her. Defamation is not limited to aspersions about an individual's character—for example, one's reputation for honesty or integrity—but also includes disparagements on one's reputation in trade, business, profession or office. It is the publication to a third person of the defamatory statement that gives rise to an action in defamation.

DVA Policy and Guidelines

- Secretary's Instruction—Safeguarding of Computer Software & Installations
- Secretary's Instruction—DVA Electronic Facilities
- ICT Security Protocol
- DVA Workplace Conduct
- Managing Internet Access in DVA
- Managing Performance
- DVA's Records Management Policy
- Workplace Diversity Strategic Plan

Attachment 2—Examples of Inappropriate Use

The following provides examples of usage that are in breach of the APS Code of Conduct. These are examples only and do not represent a complete list of either the APS Code of Conduct or the ways in which it can be breached.

APS code of conduct and examples of inappropriate use

An APS employee must behave honestly and with integrity in the course of APS employment.	• Browse, use, send or read mail from another user's mailbox unless authorised. • Make defamatory remarks involving a third person (eg. sending an e-mail to a person with a comment about the quality of their work and forwarding or 'cc' the e-mail to a third person). • Seek to gain unauthorised access to information resources (eg. access to confidential files unless authorised).
An APS employee must act with care and diligence in the course of APS employment.	Behave in a way that the employee knows, or could reasonably be expected to have known, could: • compromise the security of confidential information (eg. sending in-confidence or client information externally on a network not suitably protected • publishing personal information without consent) • cause damage to DVA property • cause damage to DVA's reputation (eg. using DVA's name and/or e-mail address when posting personal opinions or comments on bulletin boards, or sending letters to the media) • cause unnecessary congestion to DVA's communication network (eg. sending chain mail, faxing/e-mailing large/inappropriate attachments and/or sending to an unnecessarily large number of recipients).
An APS employee must comply with any lawful and reasonable direction given by someone in the employee's Agency who has authority to give the direction.	Fail to comply with a lawful and reasonable direction given in relation to the use of DVA's electronic facilities.
	Behaviour that is illegal or fraudulent. This includes:

An APS employee, when acting in the course of APS employment, must comply with all applicable Australian laws.	• fail to comply with copyright laws and license agreements (eg. download, copy, install and/or distribute software including compact discs (CDs), distribute or photocopy copyright material) • advertise illegal items for sale (eg. dangerous goods, stolen tickets, pirated software).
An APS employee must use Commonwealth resources in a proper manner.	• Use DVA electronic facilities to run or promote a private business including using DVA's name and/or your DVA e-mail address. • Promote personal/professional interest such as political affiliations. • Publish inappropriate material to the Intranet or Internet. • Incur a material cost to DVA through downloading large files, for example streaming audio and video. • Store large amounts of personal files on DVA electronic facilities such as disc drives.
An APS employee must at all times behave in a way that upholds the APS Values and the integrity and good reputation of the APS.	• Access, send, store, copy, print, photograph or download pornographic, obscene or offensive materials. This includes offensive language, jokes or other material that vilify a person, or group of people, on the basis of their sex, race, disability or other protected status. • Use of DVA's electronic facilities for personal purposes to the extent that productivity and/or client service is affected.

Attachment 3—Persons Authorised to Access Employee Internet Usage Reports

The following is a list of positions in DVA authorised to access and view Internet usage reports

All Monitoring Reports

- Secretary or delegate
- Chief Information Officer
- IT Security Adviser ICTSB
- Division Head, Corporate
- Branch Head, People Services
- Director Personnel, Security & Investigations

Access to information in Monitoring Reports only for employees for whom they have direct responsibility

- All Senior Executive Service
- All Executive Level 1 & 2

Attachment 4—Glossary of Terms

Terms used and explanation

Bulletin board	A bulletin board is a computer or an application dedicated to the sharing or exchange of messages or other files on a network.
Chain letter	A letter (or fax or e-mail) directing recipients to send out multiple copies of it so its circulation increases exponentially. Such messages typically promise rewards for compliance. Some types of chain letters, specifically, those asking people to send money to other participants, are illegal.
Commonwealth record	A record that is the property of the Commonwealth.
Corporate record	'Recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept for evidence of such activity'. **Australian Standard—Records Management (AS 4390-1996)**
Discussion group	A running log of remarks and opinions about a subject. Users e-mail their comments, and the computer maintains them in order of originating message and replies to that message. Threaded discussions are used in chat rooms on the Internet and on online services.
DVA Internet Monitor	Person authorised to monitor all DVA employee Internet usage. Currently located in Web Services Team in Parliamentary & Corporate Affairs Branch.
Hotmail	A free, advertiser-supported e-mail service that provides a permanent e-mail address that can be accessed from any Web browser.
Hoax e-mail	E-mail hoaxes often • send a warning (a false warning) about a virus that is spreading on the Internet • warns you to not read, open or download a certain message or attachment • suggests you delete certain files from your hard drive (files that are actually good files which your computer needs) • uses technical sounding terms and fancy (but false) virus names • advises you to send the warning on to everyone in your e-mail address book. Several web sites document hoax e-mails: • http://www.vmyths.com/ • http://www.snopes.com/ • http://www.symantec.com/avcenter/hoax.html
Intranet News Service	The Intranet News Service is a communication tool provided to staff to improve the dissemination of information within DVA. Information of national interest should be located on the DIVA News Service. Information of local interest should be located on the local National Office or State Office Intranet news sites.
Mailing list	An automated e-mail system on the Internet. New users generally subscribe by sending an e-mail with the word 'subscribe' in it and subsequently receive all new postings made to the list automatically.
Mobile Telephone Text Message	See SMS
News group	

	A message board on the Internet. Also known as Internet discussion groups, they are like rolls of messages devoted to a particular topic. It all starts by someone posting an initial query or comment, and other members reply. Still others reply to the replies, and so the 'discussion' forms a chain of related postings called a 'message thread'.
Personal Digital Assistant	PDA (personal digital assistant) is a term for any small mobile hand-held device that provides computing and information storage and retrieval capabilities for personal or business use, often for keeping schedule calendars and address book information handy.
Palmtop, Palm Pilot	See Personal Digital Assistant
Pocket Computer	A handheld, calculator sized computer that runs on batteries. It can be plugged into a desktop or lap-top computer for data transfer.
Records Management	The discipline and organisational function of managing records to meet operational business needs, accountability requirements and community expectations.
SMS (Short Message Service)	A text message service that enables short messages to be sent and transmitted from a mobile telephone.
SPAM	Spam refers to an electronic mail message that: • Is transmitted to a large number of recipients; and • The recipients have not requested those messages. Spam is managed by DHS; it no longer needs to be reported, just delete it unless the sender is pernicious.
User ID	The name used to identify yourself when logging onto a computer system or online service. Both a User ID and a password are required.
URL (Uniform Resource Locator)	The address that defines the route to a file on the Web or any other Internet facility. URLs are typed into the browser to access Web pages, and URLs are embedded within the pages themselves to provide the hypertext links to other pages.
Zipped file	A program that lets you archive and compress files so that you can store or distribute them more efficiently.

Attachment 5—DVA E-mail Disclaimer

The following is the text of the e-mail disclaimer attached to all e-mails sent external to DVA.

IMPORTANT

1. Before opening any attachments, please check for viruses.
2. This e-mail (including any attachments) may contain confidential information for the intended recipient. If you are not the intended recipient, please contact the sender and delete all copies of this e-mail.
3. Any views expressed in this e-mail are those of the sender and are not a statement of Australian Government Policy unless otherwise stated.
4. Electronic addresses published in this e-mail are not conspicuous publications and DVA does not consent to the receipt of commercial electronic messages.
5. Please go to Feedback to unsubscribe e-mails of this type from DVA.
6. Finally, please do not remove this notice. '