TRIM Context
Advanced Training Manual
TRIM Version 7

2012
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## Notes Tab
- Blank Pages for Your Notes
# Training Schedule

## Day 1

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:30</td>
<td>Introduction</td>
</tr>
<tr>
<td>9:40</td>
<td>Recap Basic Training</td>
</tr>
<tr>
<td>10:10</td>
<td>Activity&lt;br&gt;Recordkeeping Challenges</td>
</tr>
<tr>
<td>10:45</td>
<td>Break – Morning Tea</td>
</tr>
<tr>
<td>11:00</td>
<td>TRIM Structure</td>
</tr>
<tr>
<td>11:30</td>
<td>Titling &amp; Searching</td>
</tr>
<tr>
<td>12:00</td>
<td>Activity&lt;br&gt;Identify most important records in your area.</td>
</tr>
<tr>
<td>12:30</td>
<td>Break – Lunch</td>
</tr>
<tr>
<td>1:00</td>
<td>Creating New Files (including multiple copies)</td>
</tr>
<tr>
<td>1:30</td>
<td>Exercise&lt;br&gt;File Registration &amp; Creation</td>
</tr>
<tr>
<td>2:00</td>
<td>Dropped Files</td>
</tr>
<tr>
<td>2:45</td>
<td>Extracting Lists of Records</td>
</tr>
<tr>
<td>3:00</td>
<td>Break – afternoon tea</td>
</tr>
<tr>
<td>3:15</td>
<td>Exercise&lt;br&gt;Extracting Record Details</td>
</tr>
<tr>
<td>3:30</td>
<td>Exercise&lt;br&gt;Paste into ‘Work Tray’</td>
</tr>
<tr>
<td>3:45</td>
<td>Exercise&lt;br&gt;Titling for Retrieval</td>
</tr>
<tr>
<td>4:15</td>
<td>Summing up Day 1</td>
</tr>
<tr>
<td>4:30</td>
<td>End day 1</td>
</tr>
</tbody>
</table>
## Day 2

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:30</td>
<td>Review previous day</td>
</tr>
<tr>
<td>9:45</td>
<td>Record Maintenance</td>
</tr>
<tr>
<td></td>
<td>• Tag and task</td>
</tr>
<tr>
<td></td>
<td>• Modify through Properties</td>
</tr>
<tr>
<td></td>
<td>• Locations</td>
</tr>
<tr>
<td></td>
<td>• Container (Location, Drag, Properties)</td>
</tr>
<tr>
<td></td>
<td>• Disposition (Date Closed)</td>
</tr>
<tr>
<td></td>
<td>• New Part</td>
</tr>
<tr>
<td>10:15</td>
<td>Break – Morning tea</td>
</tr>
<tr>
<td>10:30</td>
<td>Case Studies</td>
</tr>
<tr>
<td>11:00</td>
<td>Transfer Records to Storage</td>
</tr>
<tr>
<td>11:15</td>
<td><strong>Exercise</strong></td>
</tr>
<tr>
<td></td>
<td>Transfer Records to Storage</td>
</tr>
<tr>
<td>11:45</td>
<td>Transfer Records for Destruction</td>
</tr>
<tr>
<td>12:15</td>
<td>Summing up</td>
</tr>
<tr>
<td>12:30</td>
<td>End of TRIM Advanced Training Course</td>
</tr>
</tbody>
</table>
Training Outcomes

• Understand importance of records
• Create files (using the RIF)
• Perform basic record maintenance
• Change record information
• Prepare records for storage
• Prepare records for destruction
Basic Training ~ Recap ~

Terminology

<table>
<thead>
<tr>
<th>Records Management</th>
<th>Computer speak</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Document</td>
<td>File</td>
<td>Email</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Word doc</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Spreadsheet</td>
</tr>
<tr>
<td>File</td>
<td>Folder</td>
<td>Network folder</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Outlook subfolders</td>
</tr>
</tbody>
</table>

- Electronic Documents
- Send to TRIM
- Register in TRIM if necessary
- Physically place on a file
- Register in TRIM
- Other Media
- File
University Record

- Any record made and kept, or received and kept, by any person in the course of the exercise of official functions in the University, or for any purpose of the University, or for the use of the University.
- In any format:
  - paper, electronic, film, photograph, audio or video recording, publication

State Records Act, 1998 (NSW)

Save to TRIM?

Rules of thumb

- Unique?
- Evidence?
- Decision made?
- Advice given?
- Instruction given?
- Action required?
- Deviation from procedure?

SAVE TO TRIM
Is a draft a record?

- For circulation?
- Significant comments?
- Significant changes?
- Authorised?
- Final version?

Activity

- What are the challenges you face in managing the records of your area?
  - identify three challenges from your group
  - provide solutions for each
  - identify a spokesperson to present back to the group

TRIM Structure
TRIM Structure

- Files/documents
- Record types:
  - Documents (UWS Documents, Legal Documents, Publications)
  - Files (UWS File, Business Unit Files)
  - Boxes
- Locations:
  - internal/external
  - person/organisation

**ICON**

<table>
<thead>
<tr>
<th>ICON</th>
<th>TITLE</th>
<th>COLOUR</th>
<th>ACCESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>UWS File</td>
<td>Blue</td>
<td>The only files that have blue icons are UWS Files. Source documents are different colours depending on their nature.</td>
<td>Defaults to ALL staff, UWS. Access depends on type of documents.</td>
</tr>
<tr>
<td>STUDENT FILE</td>
<td>Green</td>
<td>Student document icons are different colours depending on what has been created, and the source of the document.</td>
<td>Defaults to the staff in your organisational unit only.</td>
</tr>
<tr>
<td>RAMS File</td>
<td>Other colours</td>
<td>Folders will be represented in different colours depending on which organisational unit created them.</td>
<td>Defaults to access restrictions of file it is placed in.</td>
</tr>
<tr>
<td>OVC File</td>
<td></td>
<td>Most documents you place in the system will be represented with a blue icon.</td>
<td></td>
</tr>
<tr>
<td>etc</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UWS Document</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**ICON**

<table>
<thead>
<tr>
<th>ICON</th>
<th>TITLE</th>
<th>DESCRIPTION</th>
<th>ACCESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>STUDENT FILE</td>
<td></td>
<td>A file is created for each student at UWS</td>
<td>Access/off limits: all areas dealing with student records.</td>
</tr>
<tr>
<td>Student Document - Academic</td>
<td></td>
<td>For use by school and college staff, including academic staff.</td>
<td>Read only, schools and colleges -- full update.</td>
</tr>
<tr>
<td>Student Document - OAR</td>
<td></td>
<td>For use by RO staff for current and archived documents, etc.</td>
<td>Read only, schools and colleges -- read only.</td>
</tr>
<tr>
<td>Student Document - EDM</td>
<td></td>
<td>Used by RO for archived documents such as student forms.</td>
<td>Access/off limits: all areas dealing with student records.</td>
</tr>
<tr>
<td>Student Document - Email</td>
<td></td>
<td>Automatic capture of emails from staff to students.</td>
<td>Access/off limits: all areas dealing with student records.</td>
</tr>
<tr>
<td>Student Document - Notes</td>
<td></td>
<td>For notes only, no documents attached</td>
<td>Access/off limits: all areas dealing with student records.</td>
</tr>
</tbody>
</table>
Importance of Records

Why are records important?

Activity

- Identify the most important records in your area (3 per team)
- Who they are important to?
  - to you
  - to your unit
  - to the University
  - to our clients
- Why are they important?
Hoxne hoard

The Cuerdale Viking Hoard
(buried about AD 905)

The Vindolanda tablets
(late 1st or early 2nd century AD)
Creating New Files from Records Information Form (RIF) to TRIM

Title (structured part) Eg: EQUIPMENT & STORES - ACQUISITION
Title (free text part) Eg: Office of the University Secretary - 2004
Retention Schedule Eg: GDA07-01.01-01

Note: does not include the purchase of assets (ie those items listed on the University’s asset register). Please discuss files for the purchase of such items with RAMS. Minimum statutory retention periods for such records can be considerably longer than normal purchasing of consumable items.
Access Restrictions

<table>
<thead>
<tr>
<th>Record</th>
<th>Formats</th>
<th>Access</th>
<th>Responsibility Officer</th>
<th>Restricted Public Access Period</th>
</tr>
</thead>
</table>

Compliance Requirements

Custom Access Controls
- View: All staff
- Update: Manager

Optional Additional information that can help to understand the context of the records.

Creating New Files

Creating New Files Demo

File Registration & Creation

File Registration & Creation Exercise
Dropped Files

- How to update a document already in TRIM
- How do you place non-Microsoft Office ‘documents’ into TRIM
- Linking MS Outlook folders to TRIM files
- Drag and drop
- Mapped folders

Extracting Lists of Records

Demo
~Extracting Record Details~
~Paste into Work Tray~
~Titling for Retrieval~

**Exercises**

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**Rams**

Summing up Day 1

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**TRIM**

Advanced Training
~ Day 2 ~
Welcome to Day 2

- Log in and create two files using the RIF (use your unit's record type):
  - Pool car maintenance (ref.22)
  - OH&S incidents (ref.16/17)

- Don't forget the GDA
Record Maintenance

- Tag and task
- Modify through Properties
- Locations
- Relate
- Container (Location, Drag, Properties)
- Retention Schedules (GDA’s)
- Disposition (Date Closed)
- New Part
- Print File Labels

Maintenance cont.

- What to do when ...
  - need to undo ‘final’ on a document
  - wrong date
  - wrong ‘container’
  - wrong title
  - need a document/file deleted

Case Studies
Reporting
Poor recordkeeping practices

- Government watch-dogs:
  - Office of the Ombudsman
  - Office of the Auditor General
  - Independent Commission Against Corruption (ICAC)
  - State Records Authority of NSW
  - NSW Privacy Commission
- AUQA
- Media
- Courts

Ombudsman Report
Dept of Community Services (DoCS)

In virtually all of our contacts with DoCS, it has been evident that record keeping practices are extremely poor with:
- no centralised or unified records mgmt system,
- casework files which are hard to follow and contain inadequate records,
- documents out of chronological order,
- no or inadequate file notes about decisions or actions,
- no or inadequate notes of important meetings,
- no or inadequate notes of phone conversations.

(April 2002)

Mgt Advisory Committee
Australian Public Service

In summary, the business case for good recordkeeping in the APS is that:
- good records are a valuable asset in their own right, and essentially make up the tangible corporate memory of an agency—the better and more focused an agency's records are, the smarter the agency is
- good records are worth far more than the cost of their production
- good records can significantly reduce potential liability
- ensuring low-value records are not retained unnecessarily can reduce the costs of recordkeeping and storage.

(August 2007 - Management Advisory Committee: Note for File - A Report on Recordkeeping in the Australian Public Service)
National Audit Office
Dept of Prime Minister & Cabinet
aka Ute-Gate
• All of the Treasury’s records should be created and maintained within the primary recordkeeping system (TRIM) unless captured into an approved business system.
• ... in respect to the process applied in developing and implementing the SPV, this framework was not adhered to
• There were also various Cabinet-in-Confidence documents that were not being held in accordance with the required procedures.
(August 2009 - ANAO Audit Report No 1 2009-10)

The Media
Qld Police
• SENSITIVE police material, including interview tapes, court briefs and notebooks, has ended up at a public auction house on the Gold Coast.
• The confidential material, relating to crimes such as child sex abuse and drug investigations, was in filing cabinets that were to go under the hammer today
• Members of the public were able to access the material, which contained the names and addresses of crime victims and offenders, at a pre-auction viewing yesterday.
(The Australian, Nov 2008)

The Media
Sensitive papers left on train (UK)
• Secret government documents detailing the fight against terrorist financing have been found on a train, a newspaper reported on Saturday, the second time in a week that top-secret files have been mislaid.
• The confidential files outline how the trade and banking systems can be manipulated to finance illicit weapons of mass destruction in Iran
(Reuters, June 2008)
**NSW Audit Office**

**Government Recordkeeping Audit**

- Only a small number of mainly large agencies fully complied. None of these, however, complied with the State Records Authority’s timetable.
- Forty agencies (24%) were either totally or almost totally non-compliant. Among the agencies that made a recent attempt to comply, the majority did so only after the Audit Office advised them that the review was imminent.

*(Dec 2002)*

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**The Courts**

**British American Tobacco Case**

- Central to the conduct of a fair trial in civil litigation is the process of discovery of documents.
- In my opinion, the process of discovery in this case was subverted by the defendant and its solicitor Clayton Utz, with the deliberate intention of denying a fair trial to the plaintiff.
- In my opinion, the only appropriate order is that the defence should be struck out and judgment be entered for the plaintiff.

*(Justice J Eames, Mar 2002)*

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**ICAC**

**Universities: Degrees of Risk**

- Corruption risk factor: lack of attention to good record keeping and documentation, including recording and documenting decisions.
- 8 of the 10 universities do not perceive record keeping to be an area of corruption risk. However, the ICAC’s Operation Tudor and performance audits by the AO give a different picture - that lack of good record keeping is a wide-spread problem in universities.

*(Aug 2002)*
Transfer Records to Storage

RAMS

Transfer to Storage

• RAMS forms
• Examples: good and bad storage
• Statutory requirements
• TRIM makes it easy
Transfer Records to Storage

Transfer Records for Destruction

Transfer for Destruction

• RAMS forms
• Key principles
• Statutory requirements
• TRIM makes it easy
Destruction: Key Principles

- Destruction should be:
  - Authorised
  - Appropriate
  - Secure/confidential
  - Timely
  - Documented

The Process

- You will need to identify how long records need to be kept:
  - In the office
  - In secondary storage
- Identify an appropriate disposal authority for the record (ie GDA)
- Ensure no further requirements for retention
- Either destroy (needs to be signed off) or send to Uni Archives

Warning!

- You must not:
  - Destroy records
  - Transfer ownership of records
  - Damage or alter records
  - Neglect records
  - Abandon records without proper authority
- Penalties under the SR Act include a personal fine of $5,500
## Permissions

<table>
<thead>
<tr>
<th>Record update permissions</th>
<th>Information Manager</th>
<th>Information Worker</th>
<th>End User</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create records</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Modify records</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Delete records</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reverse final declaration</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Create new parts</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Modify record class</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Manage requests</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Record administration</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Record administration (restricted)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Record archivist</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Document update</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Document delete/purge</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Append to existing notes</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Can save record searches</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Add records relationships</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Remove records relationships</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Attach contacts</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Remove contacts</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Set container</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Change container</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Remove from container</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Modify record security</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Set record archiving dates</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

### Location update permissions:

| Can create internal locations                                | X                   |
| Can modify internal locations                                | X                   |
| Can delete internal locations                                | X                   |
| Can create external locations                                | X                   | X                  | X       |
| Can modify external locations                                | X                   | X                  | X       |
| Can delete external locations                                | X                   |
| View user profile details                                    | X                   |
| Modify logins and user profiles                              |                     |

### Control file update permissions:

<p>| Record types                                                |                     |
| Lookup sets                                                 |                     |
| User defined fields                                         |                     |</p>
<table>
<thead>
<tr>
<th>Classifications</th>
<th>Information Manager</th>
<th>Information Worker</th>
<th>End User</th>
</tr>
</thead>
<tbody>
<tr>
<td>Schedules</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Holds</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Spaces</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Document stores</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indexed words</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Postal codes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Thesaurus terms</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Saved searches</td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Workflow/Action Tracking:**

| Workflow administration          | X                   |                    |         |
| Actions administration           | X                   |                    |         |
| Attach actions or activities     | X                   | X                  | X       |
| Reassign actions or activities   | X                   | X                  |         |
| Complete actions or activities   | X                   | X                  | X       |
| Create workflow                  | X                   | X                  | X       |
| Create workflow without using template | X         |                    |         |
| Modify workflow                  | X                   |                    |         |

**Miscellaneous:**

| Reporter administration          |                     |                    |         |
| Run statistics                   | X                   | X                  |         |
| Edit business calendar           | X                   |                    |         |
| Change system settings           |                     |                    |         |
| Use caption editor               |                     |                    |         |
| Security and audit administrator |                     |                    |         |
| Define barcode scanners          | X                   | X                  |         |
| Define web templates             | X                   | X                  |         |
| Bypass view access controls      |                     |                    |         |
| Bypass all access controls       |                     |                    |         |
| Import and export                | X                   |                    |         |

**Location usage permissions:**

| Can be record home               | X                   | X                  | X       |
| Can be record owner              | X                   | X                  | X       |
| Can be record assignee           | X                   | X                  | X       |
| Can be record contact            | X                   | X                  | X       |
| Can be record requestor          | X                   | X                  | X       |
| Can be action/activity assignee  | X                   | X                  | X       |
| Can be activity supervisor       | X                   | X                  | X       |
| Can be assigned to an access control | X         | X                  | X       |
Exercise

File Registration and Creation

This exercise takes you through the process of receiving a request to create a physical file and send it to the person requesting the file.

The exercise includes the following steps.

1. Create a file using the ‘UWS File’ record type
2. Create a file using your unit’s record type
3. Compare the two processes and complete the table on page 6.

Before You Start

Receive Request to Register and Create a File

Normally, when you receive a request to register a file, you should check that all details are correct and that all mandatory information has been provided. Call the person requesting the file if required.

Check to see if you need to just register an ‘Electronic Only’ file in TRIM or if a ‘Physical’ file is also required.

Check for Existing File

Prior to registering a new file you should search to see if a file already exists as sometimes users may request a new file without checking to see if one is already there.

If a file does already exist then notify the requestor of the file number.
Creating a UWS File

Register New Files

Choose which record you will create from the Records Information Form (RIF).

<table>
<thead>
<tr>
<th>Open TRIM</th>
</tr>
</thead>
<tbody>
<tr>
<td>From the menu, select:</td>
</tr>
<tr>
<td>File &gt; New</td>
</tr>
<tr>
<td>Or</td>
</tr>
<tr>
<td>Click on the button:</td>
</tr>
<tr>
<td>New Record/object</td>
</tr>
</tbody>
</table>

Select the correct Record Type for the file to be registered.

Select: UWS File

Note: For the second file you create use your units record type (eg Sch of Education – File)
Use the RIF to enter:

**Title (Structured Part)**

**Title (Free Text Part)**

**Retention Schedule** (ie GDA code)

Complete as many fields as possible. (See below for Access Control settings)

**Do NOT** click **OK** yet.

**Note:** Ensure your **Date Created** is a meaningful date. Do not leave it at today’s date.

Click the ‘**Update Security and Access Policy**’ tab, and practice changing Access controls, by working through the following steps.
Apply Access Control to a File

You are able to apply **Access Controls** to a file at various stages as follows:

- while completing the file registration at the Record Entry form through the Access tab;
- after the file has been registered, by either:
  - highlighting a file and clicking on the right mouse button and selecting Audit/Security – Security/Access, or
  - highlighting a file and clicking on the right mouse button and selecting Properties and then selecting the Access tab.

Select the **Access Controls** tasks that you wish to modify by tagging them.

You can do this by clicking your left mouse button in the area to the ‘left’ of the **Access Controls** task.

Click: **Custom**

You may modify **Access Controls** for the following tasks:

- **View Document** allows a person to see the attached electronic document
- **View Metadata** allows a person to see the record’s registered information *(that is, information about the record)*
- **Update Document** allows the Check In and Check Out of attached electronic documents for modification
- **Update Record Metadata** allows record information to be modified
- **Modify Record Access** allows modification of Security and Access Controls for the selected record
- **Destroy Record** the Destroy Record option is only available to RAMS staff.
- **Contribute Contents** allows staff to contribute documents to the file but they may not even be permitted to see the file itself or any of its contents.
Once you have selected the tasks you wish to restrict, you have the following options for **Access Controls**:

<table>
<thead>
<tr>
<th>Option</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Everyone</strong></td>
<td>Set the highlighted Access Control to Public (Everyone). This makes the selected control available to all users. No Access Control is applied to the item, or existing controls are deleted so that the item is made available to everyone. This means that all users with update permissions will be able to perform editing and updating functions.</td>
</tr>
<tr>
<td><strong>Container</strong></td>
<td>The document will inherit the Access Control properties of the file it is enclosed in. This is particularly useful for workgroups who only have access to a project folder.</td>
</tr>
<tr>
<td><strong>Private</strong></td>
<td>Set the function so it can only be performed by the currently logged on user. When you click Private, your user name will be placed in the Details field. If an Organization is selected, then all persons within that organisation will have access to the record. If a Group is selected, then all persons who belong to that group will have access to the record.</td>
</tr>
<tr>
<td><strong>Custom</strong></td>
<td>Specify persons (staff), positions, groups or organisations who will have access to the task. When you click Custom, the Customize Access (Access Settings) dialog box will display.</td>
</tr>
</tbody>
</table>

When you select either **Everyone**, **Container** or **Private** you will instantly see the modification to the record. When you select the **Custom** option you will be required to go through the following process.

**Select:**
- **Restricted to the following locations**

**Click:**
- **Add**
You will be presented with a list of valid Locations (people, positions and groups) that you are able to add to your customised Access group.

**DO NOT** scroll through the list (there are many thousands of entries).

Begin typing the position or group name. A window will pop up (see right).

Three characters are required before clicking **OK**.

Select the positions or groups you wish to have access.

**DO NOT** select individual names. This makes it difficult to manage access when staff leave. If a position does not exist contact RAMS to create one for you.
Add as many positions or groups as required by clicking on the **Add** button.

Click: **OK**

Now go back to the ‘General’ tab and check that the file has been set up as you want it.

Click **OK** once all information has been entered.
Creating a File for your Unit

Create a second file, this time for your own unit

Return to the beginning of the exercise, and create a second file. This time, in Step 3, you will select YOUR OWN UNIT’S RECORD TYPE.

The differences between a UWS file and your unit’s file
Make a note for yourself, at the appropriate screen shots, where there are differences.

How easy was that?

Note the few fields where you actually need to enter data

<table>
<thead>
<tr>
<th>Fields where you needed to enter data</th>
<th>Fields where the default entry was already present</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
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<tr>
<td>2</td>
<td>2</td>
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<td>3</td>
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<td>8</td>
<td>8</td>
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<td>9</td>
<td>9</td>
</tr>
</tbody>
</table>
Print File Label

You will not be required to print a file label as part of training. However, the following instructions take you through the process for when you do need to.

Find and tag the files for which you wish to print labels.

Right click and select:
Send To
> Print Report

Click:
OK
Select:
UWS File Label

Click:
Print

Note: Use the skip label field if you are printing from a partially used sheet of labels.

Complete the physical file as follows (see also images on following pages):

- Place the label on the front as indicated.
- Attach one barcode on inside of the front cover as indicated.
- Place ‘X’ in any appropriate box on the front cover, and
- Attach coloured Year and File numbers along the edge of the file.
- Update the Current Location details to the requestor.
- Send the completed file cover to requestor.
Sample File Cover

Records & Archives Management Services (RAMS)

Records & Archives Management Services
Date Created: 30/6/2011
Unclassified

COMMUNITY RELATIONS - CELEBRATIONS
Opening of new Archives Exhibition - 100th Anniversary of World War I (WWI)

Please place a ‘X’ in the appropriate box(es) below

This file:

- Contains Personal Information
  (as defined by the Privacy & Personal Information Protection Act, 1998, see also below)
- Is Commercial-in-Confidence
- Is a ‘vital record’
  (ie essential to the business operations of the University, vital records have the highest priority for recovery in the event of a disaster)
- Has Archival/Heritage Value
- Contains electronic documents in TRIM

Date file closed: 31/12/14

Privacy

The use or disclosure of any personal or health information contained in this file must be in compliance with the provisions of the Privacy and Personal Information Protection Act (NSW) 1998, the Health Records and Information Privacy Act (NSW) 2002 and the University of Western Sydney Privacy Policy. This includes any information relating to an individual whether they are staff, student or any other person.

Personal information must not be placed on this file unless:

- the information is collected for a lawful purpose that is directly related to a function or activity of the University for which this file is being used, and
- the collection of the information is reasonably necessary for that purpose.
Related Files

<table>
<thead>
<tr>
<th>File Number</th>
<th>Subject</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

Using Your Files

The “DOs”

- Place documents on files as you receive or create them. Place them in date order, with the oldest documents at the back.
- Create File Notes for telephone conversations, discussions, meetings, etc. and attach these to the file.
- Keep your file secure. Consider the file security level of the file when:
  - Transferring files to other people i.e. Should that person see the file?
  - You decide where to store the file.
- When you transfer files to another person record the movement in TRIM.

The “DON’Ts”

- DON’T Keep University of Western Sydney files at home. They are the property of the University and should only be taken home for short period in transit or because you will be working at a different location the next day.
- DON’T Remove documents from a file
- DON’T Leave ‘post-it notes’ on files permanently (if they are absolutely necessary staple them to the page otherwise they will fall off)
- DON’T Leave bull-dog clips or plastic sleeves in files (these cannot be recycled)
Exercise

Extracting Record Details

Using CTRL C you can copy specific record details (metadata) from tagged records and paste them into Word or Excel or even straight into an email.

This exercise includes the following tasks:

1. Search and tag records
2. Copy record metadata
3. Paste records into a spreadsheet

Search for records

<table>
<thead>
<tr>
<th>Open TRIM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Search for the <strong>files</strong> you created so far in this course.</td>
</tr>
</tbody>
</table>

![Search for Records](image)
Add records to your Favourites

Add the records to your TRIM *Favourites* using the *F4* key.

Open your TRIM *Favourites*

Tag all records in your *Favourites*

Copy the records using *CTRL C* on your keyboard
Click: OK

![Copy Record to Clipboard dialog box]

- **Apply To:**
  - All Tagged Rows
  - Currently Highlighted Row Only

- **Always Show This Dialog**

  ![Yes To All button highlighted]

- **Copy Record to Clipboard?**

  ![Yes button highlighted]

Click: Yes To All

Open *Microsoft Office Excel*

Paste into a blank spreadsheet using **CTRL V**.
Exercise
Paste into Work Tray

The ability to paste into your Work Tray enables you to receive a list of file numbers in an electronic format (ie Excel or Word) and collect details about each record within TRIM without conducting multiple searches to collect them.

This exercise includes the following steps:
1. Copy Record Numbers from Spreadsheet
2. Open Work Tray
3. Paste Records
4. Clear Work Tray

Copy Record Numbers from Spreadsheet

Open the spreadsheet you created in the previous exercise.
Select and copy (CTRL-C) the record numbers only.
# Paste into Work Tray in TRIM

<table>
<thead>
<tr>
<th>Open TRIM</th>
<th><img src="image" alt="Work Tray Icon" /></th>
</tr>
</thead>
<tbody>
<tr>
<td>Click on the <strong>Work Tray</strong> icon on your Toolbar</td>
<td><img src="image" alt="Toolbar with Work Tray Icon" /></td>
</tr>
<tr>
<td><strong>Right-Click</strong> in the top window and select <strong>Paste</strong></td>
<td><img src="image" alt="Right-Click Paste" /></td>
</tr>
<tr>
<td><strong>OR</strong></td>
<td><img src="image" alt="CTRL-V Paste" /></td>
</tr>
<tr>
<td><strong>Use CTRL-V</strong> to paste</td>
<td></td>
</tr>
<tr>
<td>The records should all appear in your work tray.</td>
<td><img src="image" alt="Records in Work Tray" /></td>
</tr>
</tbody>
</table>

**Note:** You are now able to perform all TRIM functions on these records from the Work Tray.
Removing Records from your Work Tray

When you have finished working with the records you can clear them from your Work Tray.

Select the records you wish to remove by tagging them (place a tick to the space left of the records).

Remember you may also use the Tag All function with the right mouse button.

Right-Click on any record and select:

Remove From > Remove Record from Records Work Tray

Click: OK
**Note**  You may wish to remove the records from your Work Tray once you have finished with them.

Removing the record from your Work Tray does **NOT** delete the record from TRIM.
Exercise

Titling for Retrieval

This exercise demonstrates the care that needs to be taken when titling files and documents so that current, and future, members of your team will be able to retrieve the information they need.

The exercise includes the following steps:

1. Receive a request to place a document on file
2. Check Records Information Form (RIF) for appropriate record series
3. Choose structured and free text parts of the title for a new file
4. Choose a title for the document
5. Discuss your choices with others

Receive a request to place a document on file

Read the document at the end of this scenario (a 1 page AVCC media release). Your manager has handed this to you with a post-it note that says “file this” and tells you that a member of the team handed out copies at a recent meeting.

Check Records Information Form (RIF) for appropriate record series

Using generic RIF, listing the range of records that will be created by every unit, pick 3 record series that this document might be filed under and jot down some notes supporting these choices.

<table>
<thead>
<tr>
<th>Ref No</th>
<th>Record Series Title</th>
<th>Rationale for this choice</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

Choose structured and free text parts of the title for a new file

Assume that, having picked the most appropriate record series, a file has not yet been registered. From your 3 choices above (or from elsewhere in the RIF if you wish), pick the appropriate structured part for your file title. Now use the RIF as a guide to choose the free text title for the file, remembering that it will contain more than just this one document.
Choose a title for the document

Choose a title that will convey the content of the document, or its contribution to your unit’s functions, or its contribution to your unit’s administration. Think about how your manager might ask for it at some future time. Think about how a colleague might describe the document. Think about how it might be remembered in 3 years time when you have left the unit and someone else is trying to retrieve the document.

Document title

Discuss your choices with others

What other record series did people choose?

If they chose the same record series, how much variance was there in the free text part?

Would you have found the document using their title?

Would they have found the document from your title?

After feedback from the whole group, you might like to note:

Some things that were correct/good practice.

Some things that were incorrect/poor practice.
Remove the shackles of over-regulation.

“Minister Brendan Nelson’s acknowledgement last night at the Science Prize Dinner that ‘red tape’ was holding back education sectors and the country is timely,” said Professor Di Yerbury, President of the Australian Vice-Chancellors’ Committee. “And what we need now is decisive action to remove the shackles of unnecessary bureaucratic intrusion, while remaining properly accountable.” The AVCC calls for co-operative action early in the life of the next Government – whichever side of politics wins office – to achieve the right balance.

“The four Rs – regulation, review, reporting and risk assessment – are legitimate aspects of universities’ public accountability,” she said. “If we receive public monies, we have to demonstrate that those funds are being put to good use. Sadly, however, unnecessary ‘red tape’ is itself eating into overstretched resources, and wasting far too much time and dollars that would be better spent on education and research.

“It’s magnified by the fact that universities are answerable to bureaucracy at both State and Commonwealth levels, resulting in duplication. And we also have local Government to deal with.” She referred to Minister Nelson’s personal commitment in 2002 to reducing ‘red tape’, when he announced the influential “Higher Education at the Crossroads” review.

“Regrettably, since the passage of the Higher Education Support Act 2003 (HESA) last December, it’s actually got worse. We’ve worked through departmental and AVCC working parties to reduce the worst examples – but there is still more to come.

“Yes, there is a price to pay for significant reform. But the price shouldn’t be this high,” she argued. “It’s a bureaucratic nightmare, despite the Department of Education, Science and Training’s genuine efforts to cooperate to reduce the burden.”

So complex and demanding are the new arrangements that the Commonwealth is providing a one-off payment to each university of $250,000 towards the costs of necessary changes to student information systems. “While costs will vary according to the new system each institution uses, findings in a recent survey of its member universities by the AVCC indicate that on average universities will expend a staggering $1.28million on implementing the legislation.

“Public monies are spent in private institutions, too, such as Notre Dame University, which has recently been given more HECS places and public funds towards a new Sydney campus. The ‘four Rs’ are far less crippling for Notre Dame than for public universities. Yet some so-called public universities earn roughly the same proportions of public and private monies as Notre Dame. If so much less regulation is appropriate for a private institution, why is it so much more for one that is nominally public? Currently, the more successfully we engage in commercial activities, the more regulated we are – by the State as well as the Commonwealth.”
Exercise
Transfer Records to Storage

This exercise includes the following tasks:

1. Close some files
2. Search for closed files and tag those to be transferred to secondary storage
3. Use the Copy function to list the closed files in the Records Storage Transfer form.
4. E-mail the list of files to RAMS.

Search, close, sort and copy files

Open TRIM

Search for the required records from the list provided (the trainer will email you a list of files to search for).
These are all **UWS Files**, so use the filter to search for just that record type.

**Hint**: You can only search for one file at a time!

As you locate each of your files, add it to your **Work Tray**. (ie **Highlight** the file then hit the **F3** key)

Open your **Work Tray**.

**Tag** your files.

**Right-click** on one of the records and select: **Details** > **Dates**
Click: OK

Tick the ‘Date Closed’ box.

Note that the default of today’s date and current time is automatically entered. Enter a more meaningful date. This should normally be the date of the last document on the file.

Click: OK.

Sort by Date due for destruction

Note: To add the Date due for destruction column:
- Right click on the grey title bar of any of the columns
- select Format columns
- select Date due for destruction in the Hidden columns window
- click Add
- use the Up and Down buttons to change the position of the column if required.
Right click on the selected files.
Select ‘Tag All’
Hit Ctrl C on your keyboard

Click: OK

Click: Yes To All
### Completing the Records Storage Transfer Form

| 1 | Locate the **Records Storage Transfer Form – TRIM Files** on the RAMS website and save to your desktop.  
You will find the RAMS website on the UWS Staff Intranet.  
Open the form.  
Complete the transfer information on the cover sheet.  
Click on the link to the **Consignment List** |
|---|---|
| 2 | Paste into the RAMS form (**CTRL V**).  
Make sure the columns are aligned.  
Enter box numbers for each file in the consignment list.  
**Note**: When pasting, the first row will be one cell to the left of the rest of the rows. Select the row and drag and drop to fix this. |
| 3 | E-mail the Records Storage Transfer Form to Michael, on **m.d.smith@uws.edu.au**.  
**Note**: Usually you would e-mail the form to **rams@uws.edu.au** or to your RAMS Liaison Officer. |
| **Note** | Physical files need to be placed in boxes before the form is sent to RAMS and the box number entered on the form. If a file exists electronically only, it will not need to be sent to RAMS for storage (think about it!). |