HP RECORDS MANAGER TRAINING MANUAL
CORPORATE RECORDS

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Responsible Authority

Records & Compliance,
Legal & Risk
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Revision History

Date	Name	Version	Change Description
25 Jan 16	Mary Oppy	0.01	First draft training outline
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02 Sep 16		2.1	Updated from feedback
02 Feb 17	Michelle Cooper	3.0	Updated & reviewed content

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1. Introduction to records management at the University of Melbourne

1.1 Relevant Policy and Processes

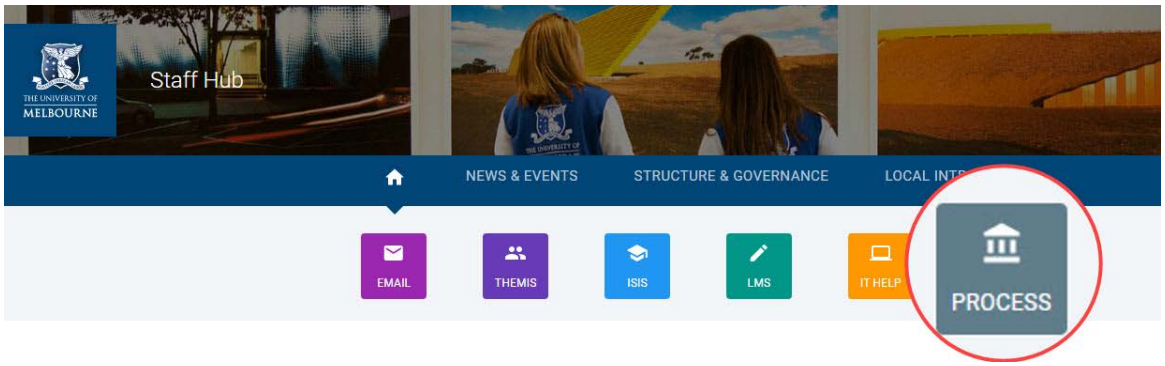
The following University policy and processes are relevant to records management:

Records Management Policy:

http://policy.unimelb.edu.au/MPF1106 Effective 21 July 2016.

Records Management Processes:

Records Management Processes can be found in the process library on the Staff Hub:



All HP Records Manager users are expected to be familiar with these policy and process documents.

1.2 Records Website

The Records team provides records management expertise and advice to support effective and compliant management of university records to enable research, learning and teaching, engagement and administration.

For information about good practice in records management visit the Records website: http://records.unimelb.edu.au/

1.3 Why do we use HP Records Manager?

HP Records Manager, is an electronic document and records management system (EDRMS) and is the University's official recordkeeping system for managing documents and records regardless of format. It supports more efficient business and compliance with recordkeeping obligations, including meeting the Australian Standards (AS ISO 15489.1-2002) (AS ISO 16175) for the management of records. The benefits of using HP Records Manager include:

- Spend less time locating and retrieving information from multiple sources such as shared drive folders
- Rely on a single authoritative source for university records
- Share information easily with colleagues where appropriate
- Reduce duplication and save storage space in the office or on your systems
- Save paper and printing costs by managing documents in digital form
- Have a safe and secure environment for records - HP Records Manager (TRIM) has audit trails, is backed up and has disaster recovery plans
- Easily find previous revisions of documents
- Save Outlook emails and MS Office documents directly into HP Records Manager (TRIM) through in built integration
- Manage many file types in the one place, e.g. html files, xml files, jpg, gif, tif, pdf, mpg, mp

Examples of Electronic Records include:

- Word-processing documents
- Images (including photos)
- PDF documents (including scanned documents)
- Spreadsheets
- PowerPoint presentations
- Email
- Web pages

1.4 What should be saved into HP Records Manager?

Records created by staff that document business activities are university records and should be captured in HP Records Manager, if they are not captured in any other official University business system (e.g. Themis, ISIS etc.).

It is the responsibility of all University staff to contribute to ensuring our corporate memory is **complete**, **accurate** and **accessible**.

Some examples of records that should be captured include those that reflect:

- The University's rights and responsibilities
- Reporting requirements and legal obligations
- Information of an evidential value e.g., legal or financial accountability
- Financial arrangements and commitments
- Legal advice
- Planning initiatives
- Organisational structure, governance and strategy
- Dealings with external bodies on behalf of the University
- Decisions, precedents, and policies for reference, review, development and audit requirements.

1.5 Who should register records in to HP Records Manager?

It is your responsibility to register a document if you are the author, you create it, or you are the first person at the University to receive it.

Paper records

Paper records received will need to be scanned and saved into HP Records Manager. Scanned documents must be text searchable prior to registration.

Once the document is scanned, view the image to ensure it has been captured correctly. Images must be assessed using Quality Assurance Checklist, at the back of this manual. Any scanned images that do not meet these requirements must be rescanned.

Paper records that have been digitised and saved to HP Records Manager can only be destroyed in accordance with an authorised digitisation plan. Please retain your paper records within your area until a digitisation plan is in place

Contact Records records-services@unimelb.edu.au for further assistance.

Emails - Just another format of electronic-records

It is your responsibility to register emails if you are the author, you create it, or you are the first person at the University to receive it.

Emails must be captured at the end of significant conversations or at major milestones. When an email is received from an external source, it is the receiver's responsibility to register it into HP Records Manager.

Note: If you know an email will be sent back and forth before an outcome is decided, always reply with the history (email thread). This way, you will be able to save the first through to the last email and capture the entire thread in one record.

To help keep an email thread intact if it has been sent to multiple people use **REPLY ALL** if you need to respond. If attachments are sent during the thread, capture those emails individually. HP Records Manager has functionality which allows you to browse all emails in an email thread, so even if you have to save several emails during an email thread, you'll still be able to keep track of the thread once it's in HP Records Manager.

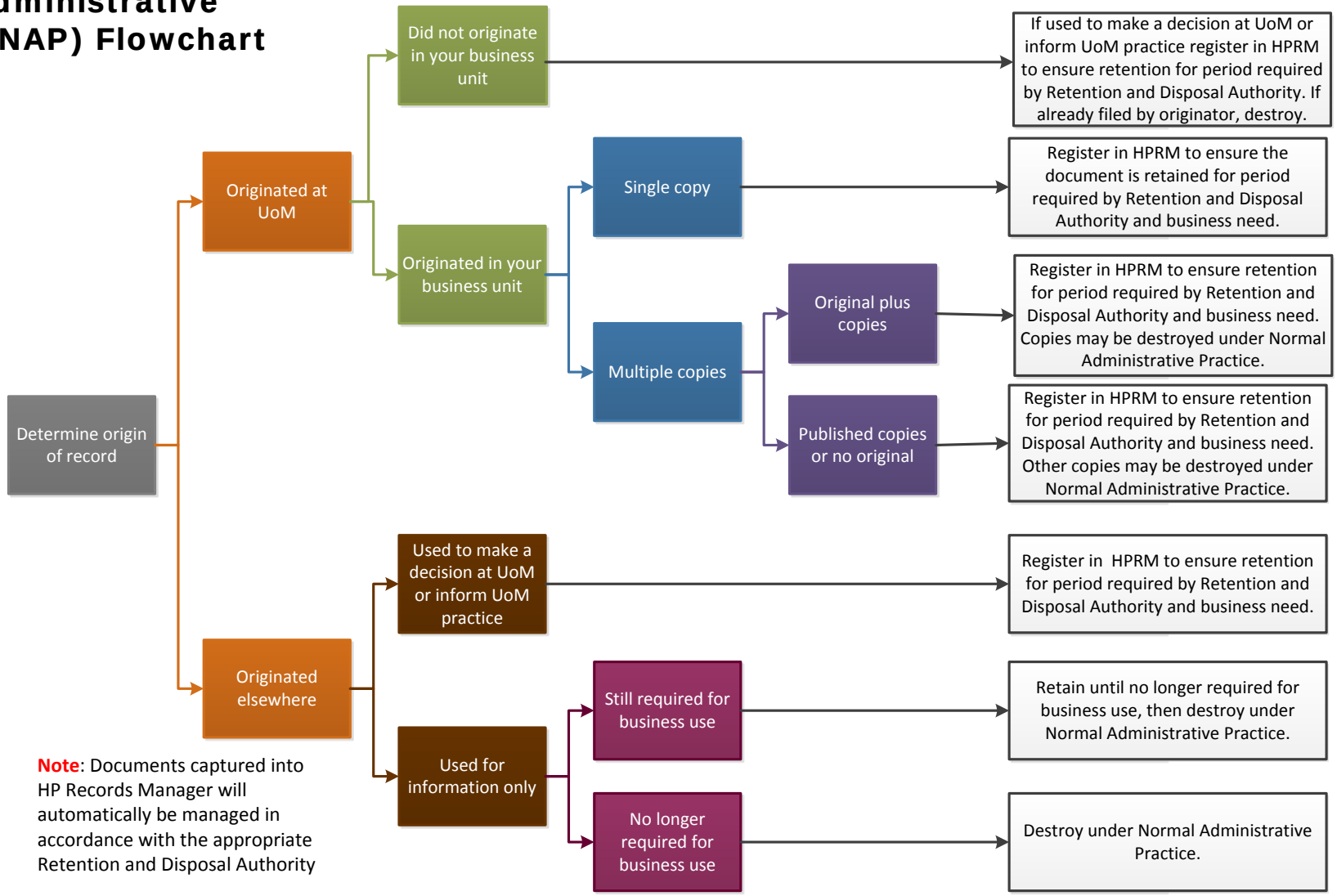
Meeting Information Manager (MIM)

Committee Secretaries should make arrangements to upload committee papers in Meeting Information Manager (MIM). MIM is integrated with HP Records Manager; when MIM meetings are finalised, the committee secretary can lock the meeting which will then send all the meeting papers to HP Records Manager.

Note: Committee papers should be managed by the committee secretary in the Meeting Information Manager (MIM) system.

For more information please contact Records Email: records-services@unimelb.edu.au or Ext. 43534

Normal Administrative Practice (NAP) Flowchart



Note: Documents captured into HP Records Manager will automatically be managed in accordance with the appropriate Retention and Disposal Authority

2. Normal Administrative Practice (NAP)

University records may be destroyed by a University employee without reference to the University Records Retention and Disposal Authority provided that they fall within the category of Normal Administrative Practice (NAP).

NAP allows for the disposal of:

- Working documents consisting of rough notes and calculations used only as a means to assist in the preparation of other records such as correspondence, reports and statistical tabulations.
- Drafts not intended for retention as part of the University's records, the content of which has already been reproduced and incorporated into HP Records Manager or other University Business systems such as Themis, ISIS etc.
- Additional copies of documents, emails and publications maintained for reference purposes.

The decision to destroy records under Normal Administrative Practice is the responsibility of the University. The University, through the Records and Compliance team, is responsible for ensuring that all staff understand NAP and are able to apply it correctly in their day to day work.

3. Classification, Retention and Disposal of Records

Records disposal is the process by which University Records are either destroyed or retained as University Archives.

Disposal is a range of processes associated with implementing the records retention, destruction or transfer decisions documented in the University's Records Retention and Disposal Authority.

These include:

- immediate destruction,
- retention by the work unit for a specified number of years prior to destruction
- transfer to intermediate storage for a specified number of years prior to destruction,
- transfer to Records and Compliance for permanent retention,
- transfer by Records and Compliance to University Archives for permanent retention.

3.1 Enterprise Classification Scheme (ECS)

The Enterprise Classification Scheme provides a common terminology to enable the consistent classification of records and information across the University. It uses functional classification to describe the functions and activities the University performs and provides the context within which University records are created. Using a structure and common language for records titling aids in the searching, retrieval sentencing and disposal of records.

Note: Open http://records.unimelb.edu.au/resources/classification

3.2 Retention and Disposal Authority (RDA)

A Retention and Disposal Authority (RDA) is the document which sets out the appropriate disposal action for various types of records. The University Records Retention and Disposal Authority must be used to retain and destroy University Records.

Before using the RDA, please take the time to read the Guidelines for Use at the front of the document. The Guidelines explain the layout and format of the RDA as well as providing some instructions on how to use it. They are available here: http://records.unimelb.edu.au/__data/assets/pdf_file/0004/1554538/367272_Guidelines_UoM_Records_Retention_and_Disposal_Authority_RDA_-_version_1.3_-_29_August_2014.PDF.

Note: Open http://records.unimelb.edu.au/resources/disposal

In the Retention and Disposal Authority (RDA) you will find:

- **Function** - the broadest unit of business performed by the University
- **Activity Descriptor** - major processes or groups of tasks undertaken within each **Function**
- **Disposal Class** - classes of documents/records with the same disposition rules

For each Enterprise Classification Scheme term, the RDA shows:

- **Scope Notes** - notes that provide guidance on the use of a term
- **Broader Terms** - terms at a higher level
- **Narrower Terms** - terms at a lower level

For each Disposal Class, the RDA shows:

- **Dates of Coverage** - period of validity for the Disposal Class
- **Disposition Actions** - includes the archival status of each class (i.e. permanent or temporary and where the disposition is temporary, a retention period is provided) and who is responsible for the custody of the records

Note: **RDA USABILITY NOTE**: when browsing the RDA to find a disposal class, always click on the plus sign. Clicking on activities will take you to the first instance of that activity which might not be within the function you are browsing.

Notes:

4. HP Records Manager Security

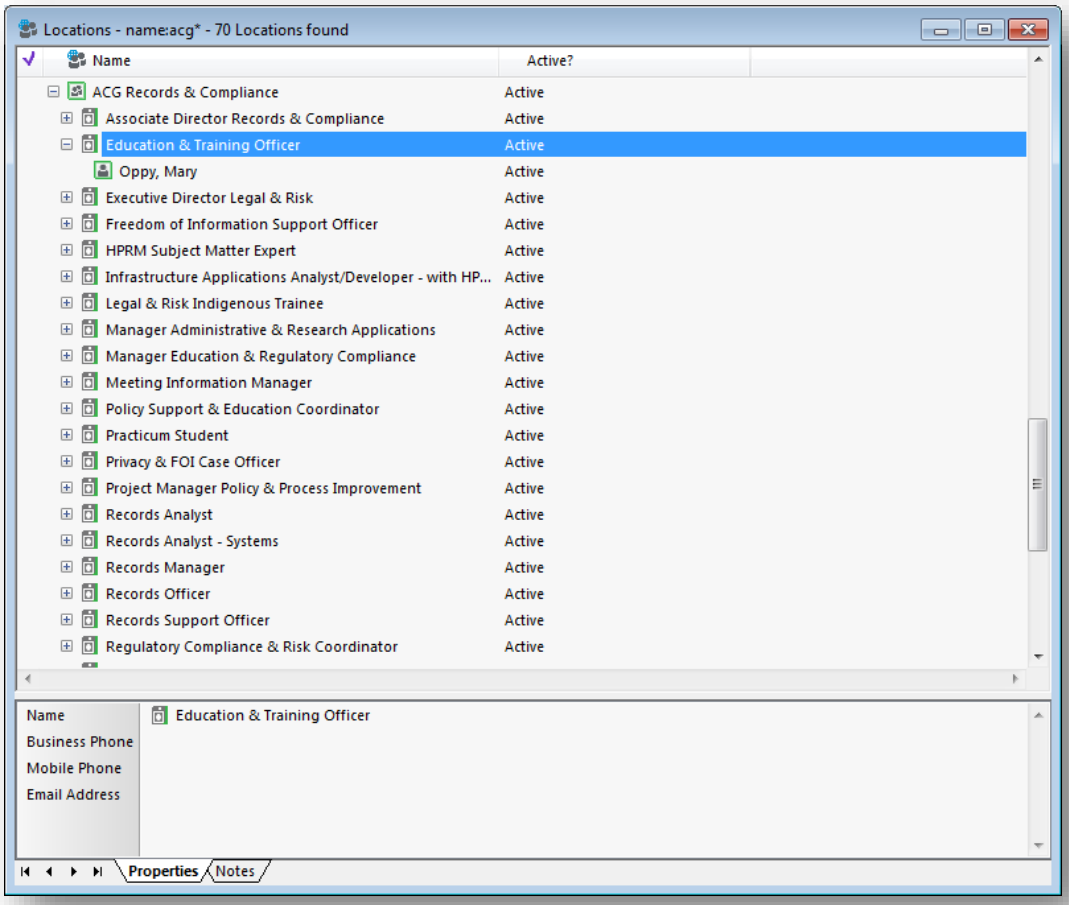
There are a number of security methods in use within HP Records Manager. When a document is registered, it is contained within a folder.

The document will automatically assume the same security profile of the folder. HP Records Manager uses access groups to secure folders.

Access Control Groups (ACG) are primarily made up of positions, or a combination of smaller access groups and positions. The groups (ACG) are applied to the list of access controls on a folder, in order to further limit or restrict the audience.

When a user profile is created in HP Records Manager their position is added into appropriate access group.

Note: If your user profile does not meet the security requirements of a record, you won't be able to see the record and it won't appear in a list of search results if you try and search for it.



5. Document Naming Guidelines.

In order to ensure consistency and enhance the retrieval of information, the following data entry guidelines have been developed.

5.1 Document / Record Naming

The titles or names of documents within HP Records Manager should be meaningful. The record title is displayed on the screen in search results, and a meaningful title will allow you to identify a record, without having to open it.

The title field is a free text field and it should summarise the document content.

What is it	+	What's it about	=	Document title
Application	+	Federal funding grant student news magazine April 2006	=	Application for Federal funding grant student news magazine April 2006
Freedom of information request	+	Age newspaper request for information regarding animal research Jan 1997	=	Freedom of information request – Age Newspaper – Animal research January 1997
User Manual	+	How to use HP Records Manager System	=	HP Records Manager user manual October 2015
Approval	+	Change to employee travel policy Feb 2014	=	Approval – change to employee travel policy – February 2014

Proper Case - Titles should be entered in proper case, not UPPERCASE.

Keywords - Use keywords and descriptive terminology such as; application, project titles, legal advice, complaint, type of response/document

No Abbreviation - Full text should be used when entering record titles – no abbreviations.

Acronyms - Acronyms can be used but you must ensure that the full text is also added.

How Folders are Titled (structure) - The creation of Folder titles in HP Records Manager is the responsibility of the Records team initially and your HP Records Manager Local Experts for ongoing.

Folder titles within HP Records Manager have 3 elements.
Function and Activity are linked to the Enterprise Classification Scheme.

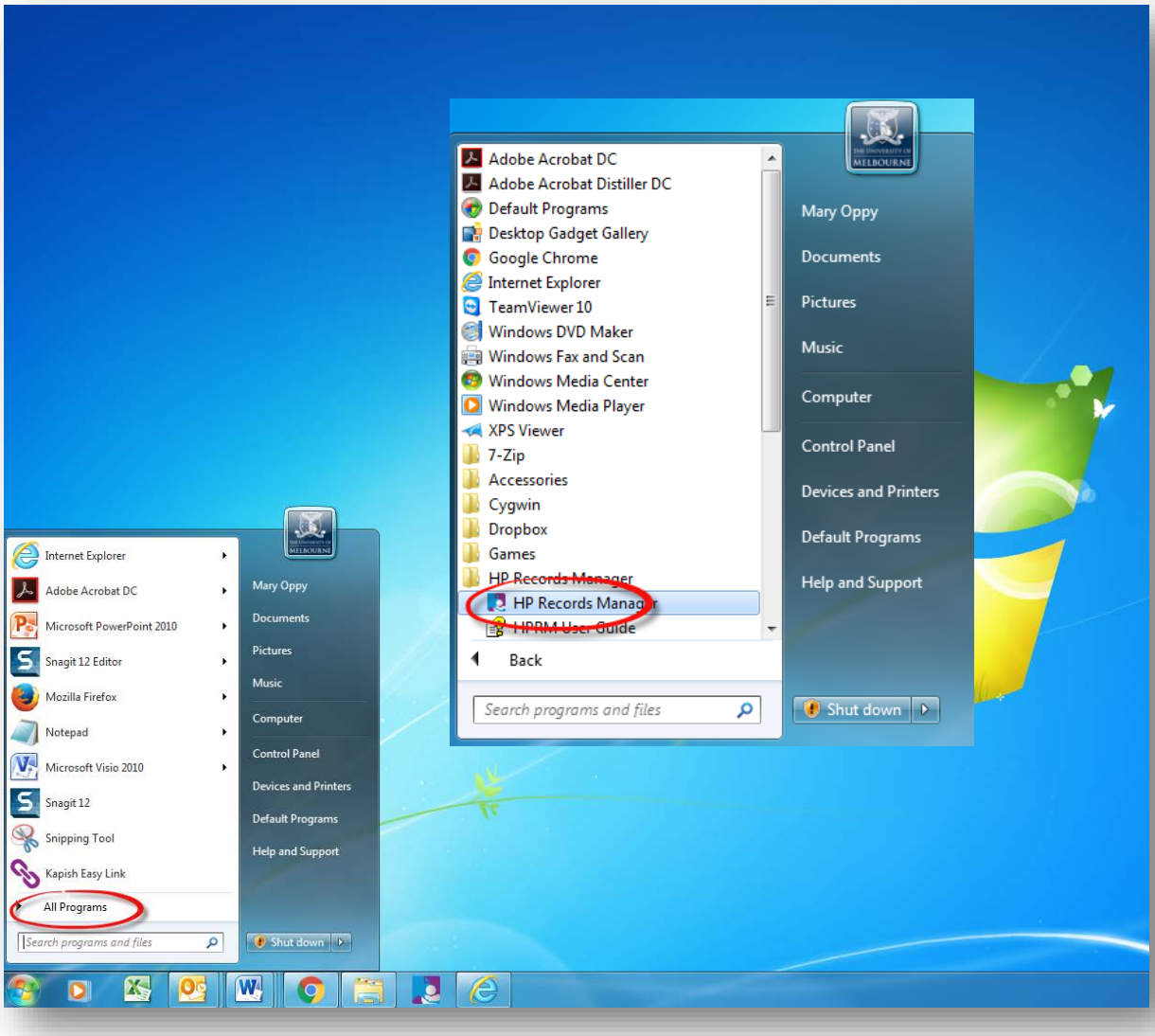
FUNCTION	ACTIVITY	Further free text
The broad business function e.g. Human Resources	Processes or operations that are undertaken to carry out the function e.g. Recruitment	Description of the topic, purpose, name of project, details of the folder content

6. Opening HP Records Manager

To launch HP Records Manager, follow the steps:

Opening HP Records Manager

Step 1.	**Select** All Programs
Step 2.	**Select** HP Records Manager
	HP Records Manager will Launch



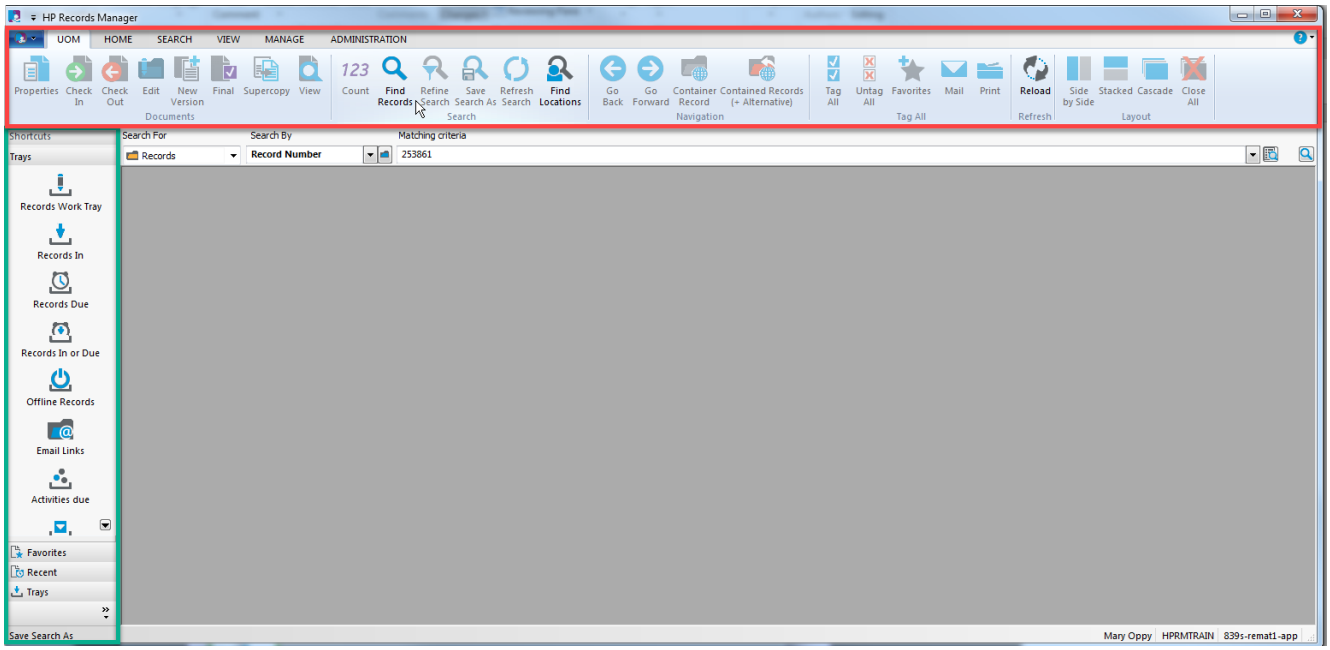
6.1 HP Records Manager Screens

There are two toolbars on opening HP Records Manager Screen:

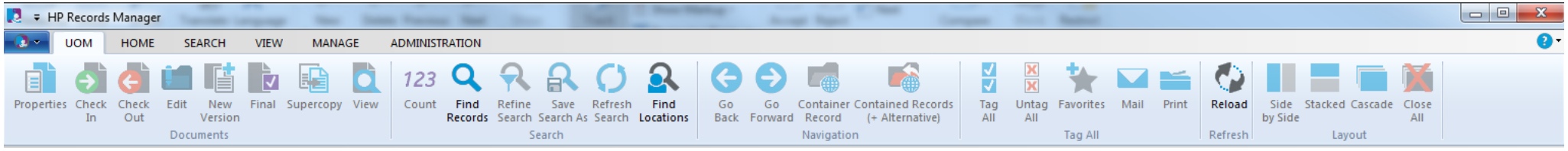
1 The horizontal toolbar has our University of Melbourne (UOM), Home, Search, View, Manage and Administration tabs with their functions.

Note: The administration tab will only be seen by system administrators

2 The vertical toolbar contains shortcuts and favourites

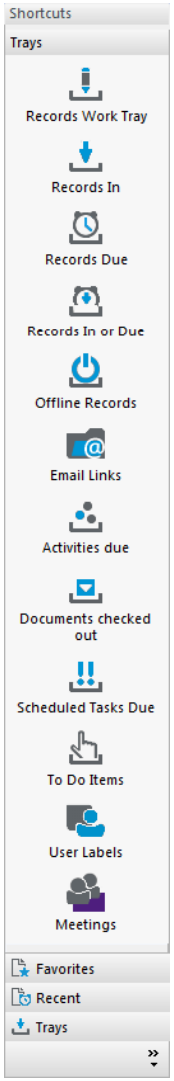


Toolbars

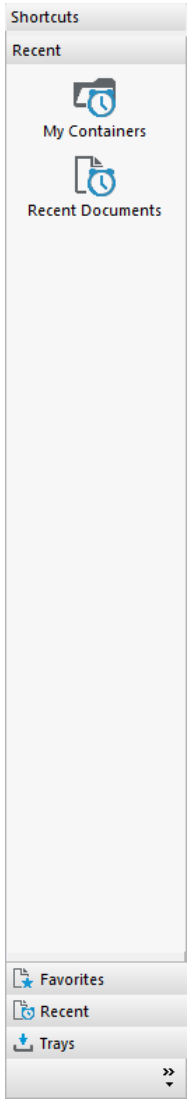


Note:

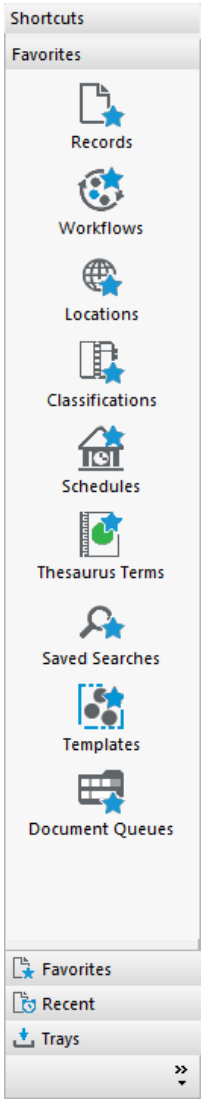
Shortcuts and Favourites



Note:

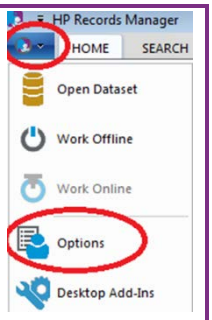


Note:



Note:

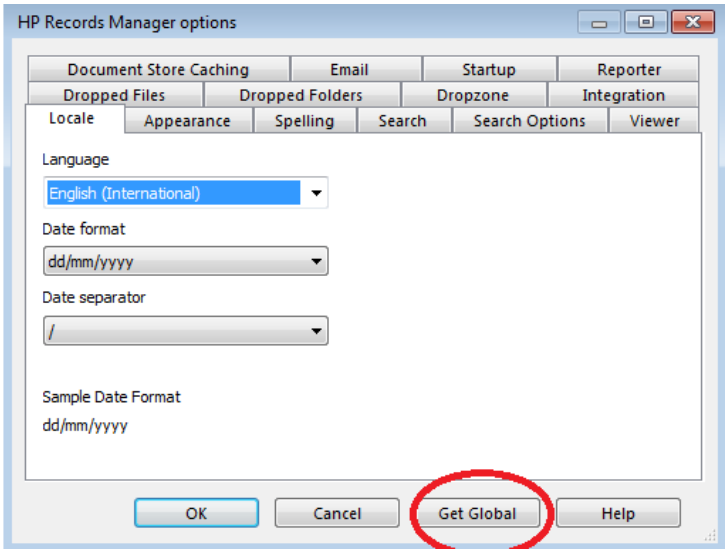
How to access the UoM toolbar



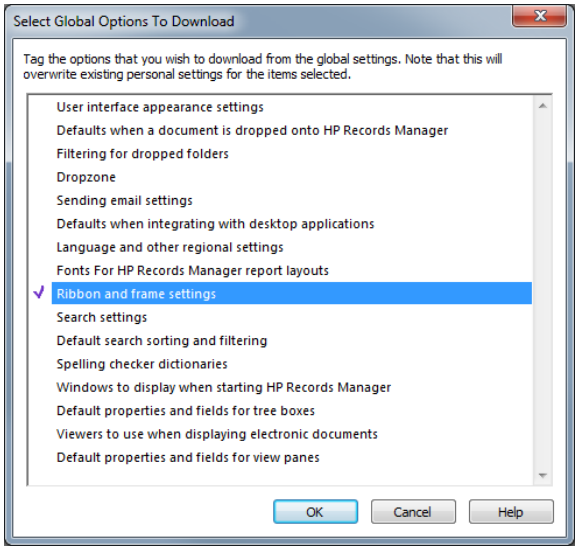
Step 1. To access the UOM customised tab/ toolbar **open** HP Records Manager

Step 2. **click** on the dropdown arrow and select options

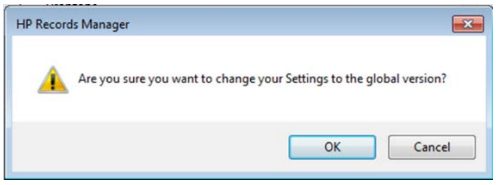
Step 3. The Options screen will then display. **Click** Get Global.



Step 4. Locate "Ribbon and frame settings" and **click** once to **tag** the line



Step 5. Select **OK**



Step 6. Select **OK**

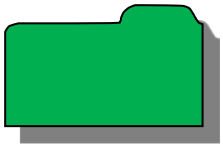
The UoM toolbar will now appear

7. Record Types

Record Types are used in HP Records Manager to group records into categories. The most commonly used Record Types include, but are not limited to:

7.1 Folders (also called a Container)

Current Folders



Old Folders

7.2 Documents

Legal Agreements

Documents (includes Electronic)

Pdf

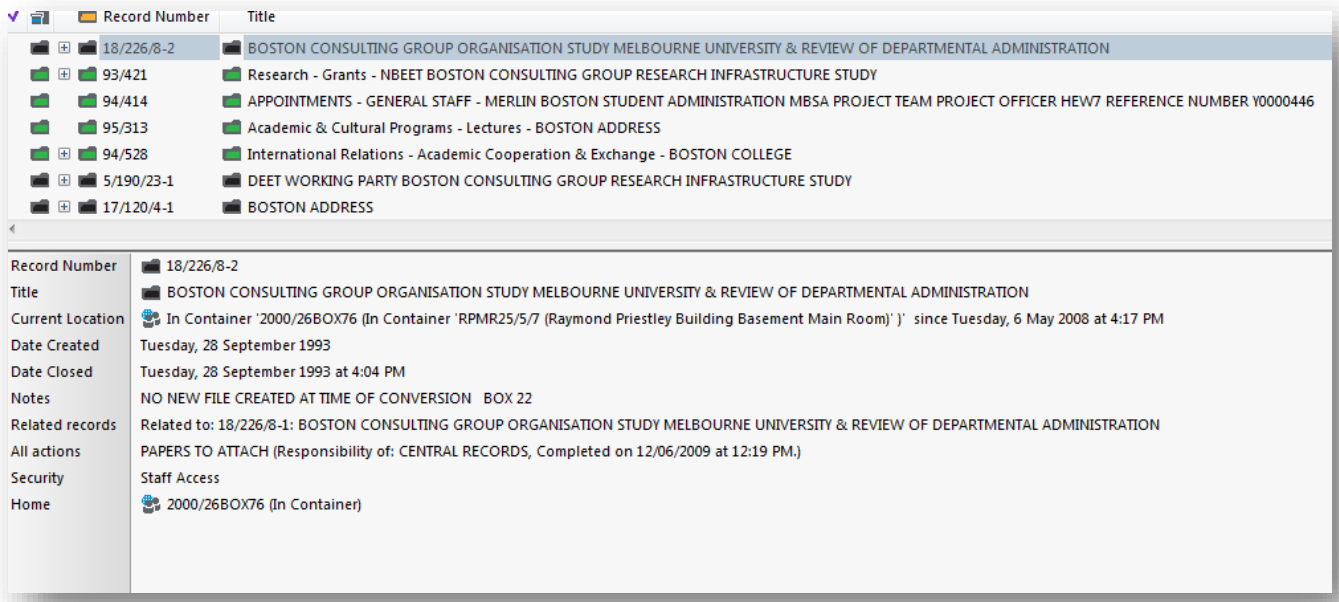
Excel

Word

Emails, with or without attachments

7.3 Old Folder

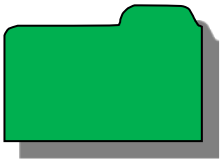
Old Folders are represented by a **Black folder icon** and are hard copy containing only paper records. A classified numbering system was used from the 1960s prior to 1993 to title and number the folders.



Record View Pane – Details for Old Folders

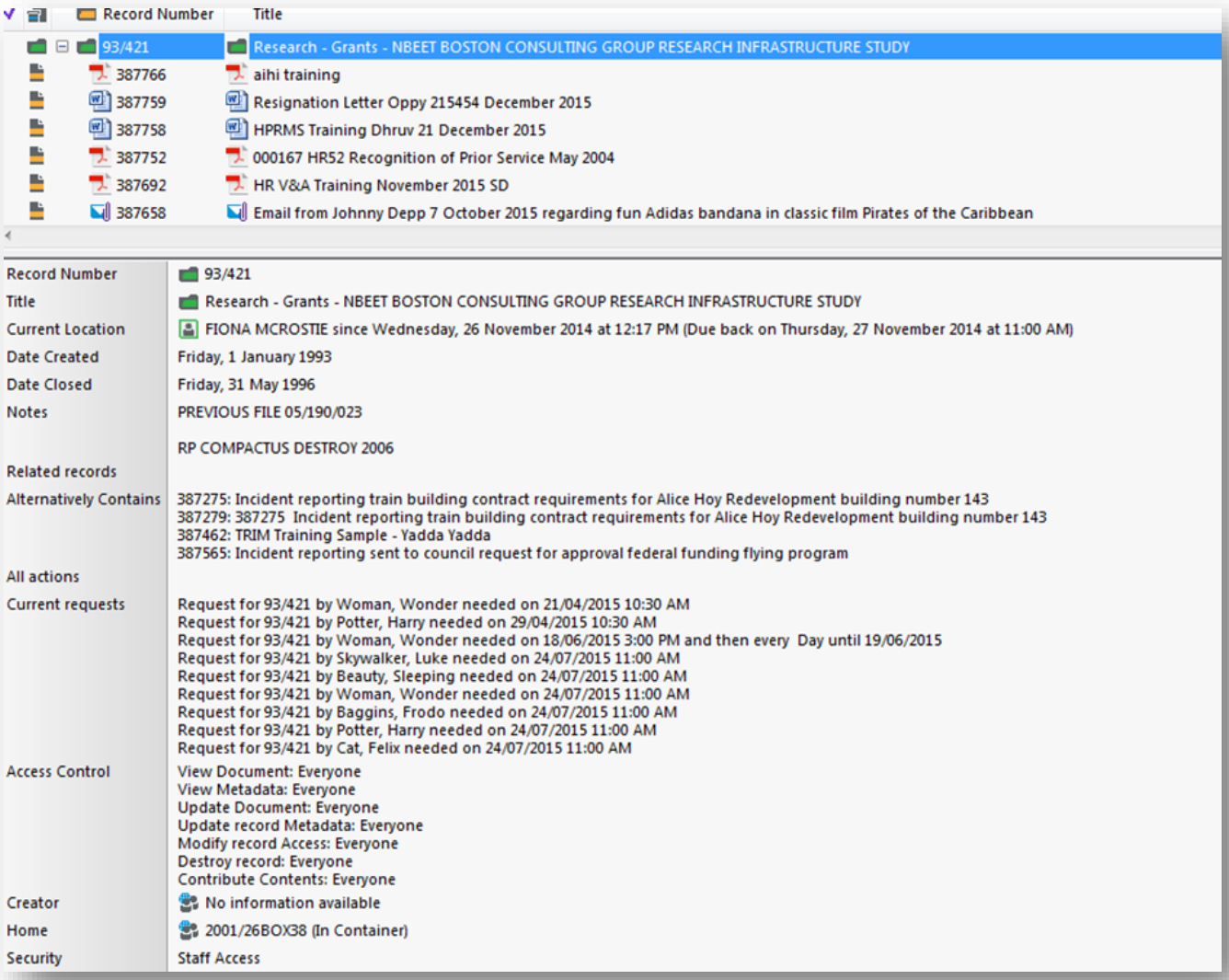
Field	Information
Record Number	Number of the Folder (Unique number)
Title	Title of the Folder
Current Location	The current location of the folder
Date Created	Generally reflects the date of the 1st piece of correspondence on the folder
Date Closed	Generally reflects the date of the last piece of correspondence on the folder
Note	Displays additional information that is of value E.g.: New folder number
Related Records	Displays the relationships between records
All Actions	Shows any actions attached to folders
Security	The access level for the record E.g.: Staff Access
Home	The location of the folder

7.4 Current Folder

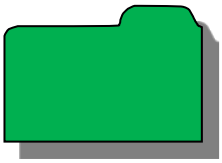


Current folders are represented by **a green folder icon**. Current Folders can be hard copy only, hard copy with electronic documents attached or electronic only (virtual folders). From 2015 onwards, current folders are electronic only. Current folders use the annual single numbering system, implemented from 1993 onwards. The first number is a year indicator followed by a forward slash and a 5-digit number.

Note: Once a Current Folder contains 300 documents the system will automatically create a part 2 and the original folder becomes part 1.



7.5 Record View Pane – Details for Current Folders



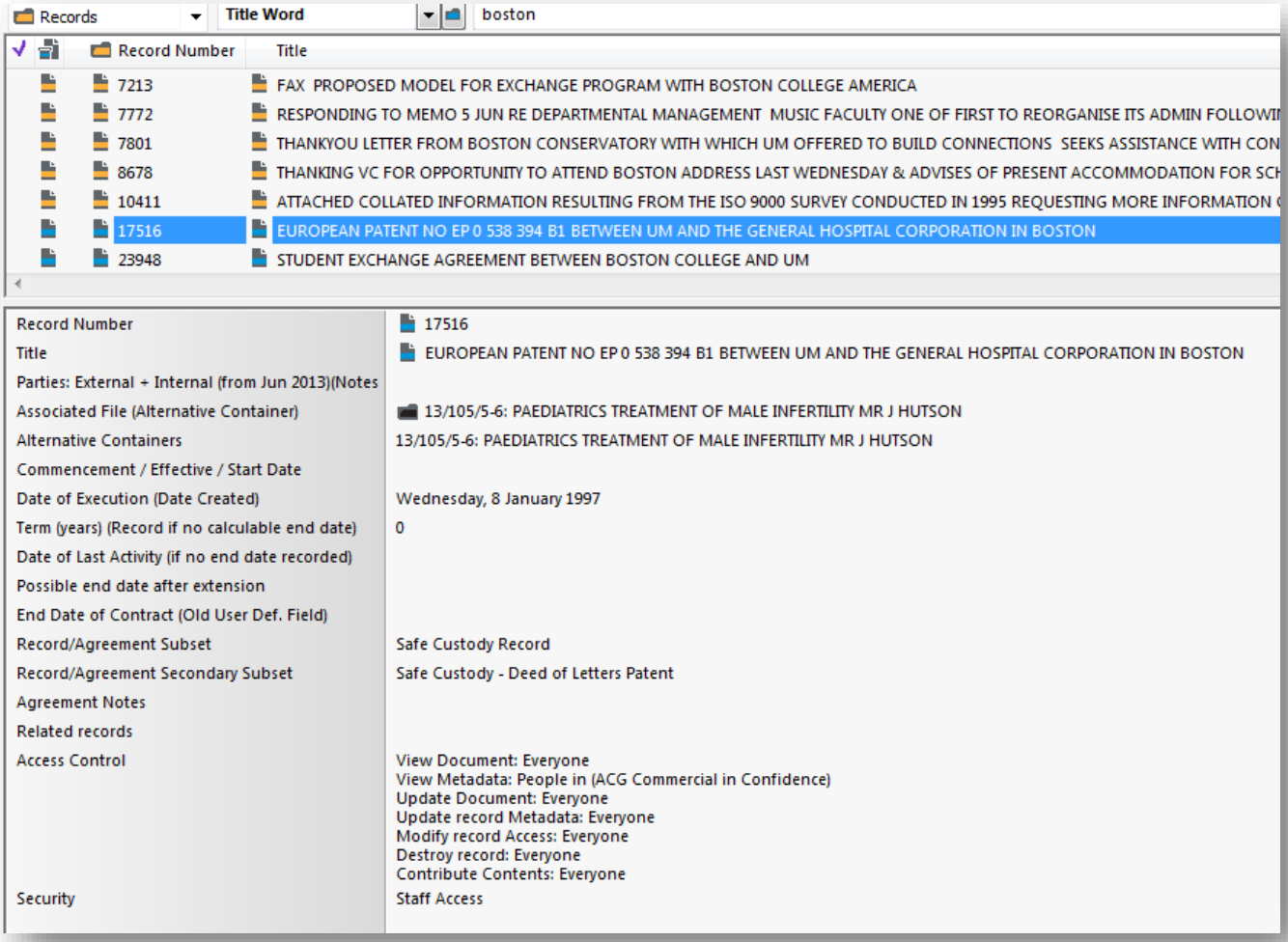
Field	Information
Record Number	Number on the Folder (Unique folder / Container number)
Title	Title on the folder
Current Location	The current location of the folder. For hard copy folders it may be a person or a physical location. For electronic only folders the current location is “Virtual Record”
Date Created	Generally reflects the date of the 1st piece of correspondence on the folder
Date Closed	Generally reflects the date of the last piece of correspondence on the folder
Note	Displays additional information that is of value E.g.: New folder number
Related Records	Displays the relationships between records
Alternatively Contains	Displays the folder number if you have contained the image in another folder /container
Current Requests	Lists the details of who has added a current request for the file
Folder Format	Show if the file is a hardcopy, hybrid, or electronic (virtual)
All Actions	Shows any actions attached to the folder
Access Control	Displays the access group applied to the folder
Security	The access level for the folder E.g.: Staff Access
Creator	Displays the name of the person who created the folder in HPRM
Home	The home location of the folder i.e. where it is usually stored when not marked out to another location. For electronic folders it is “Virtual Record”.

7.6 Legal Agreements

HP Records Manager generates a unique ID number when Legal agreements are registered into the system. They are represented by a **Blue and grey icon**.

Note: Searching for Legal Agreements

The Any Word search method should be used to find Legal Agreements, as this will search both the Title and Notes fields

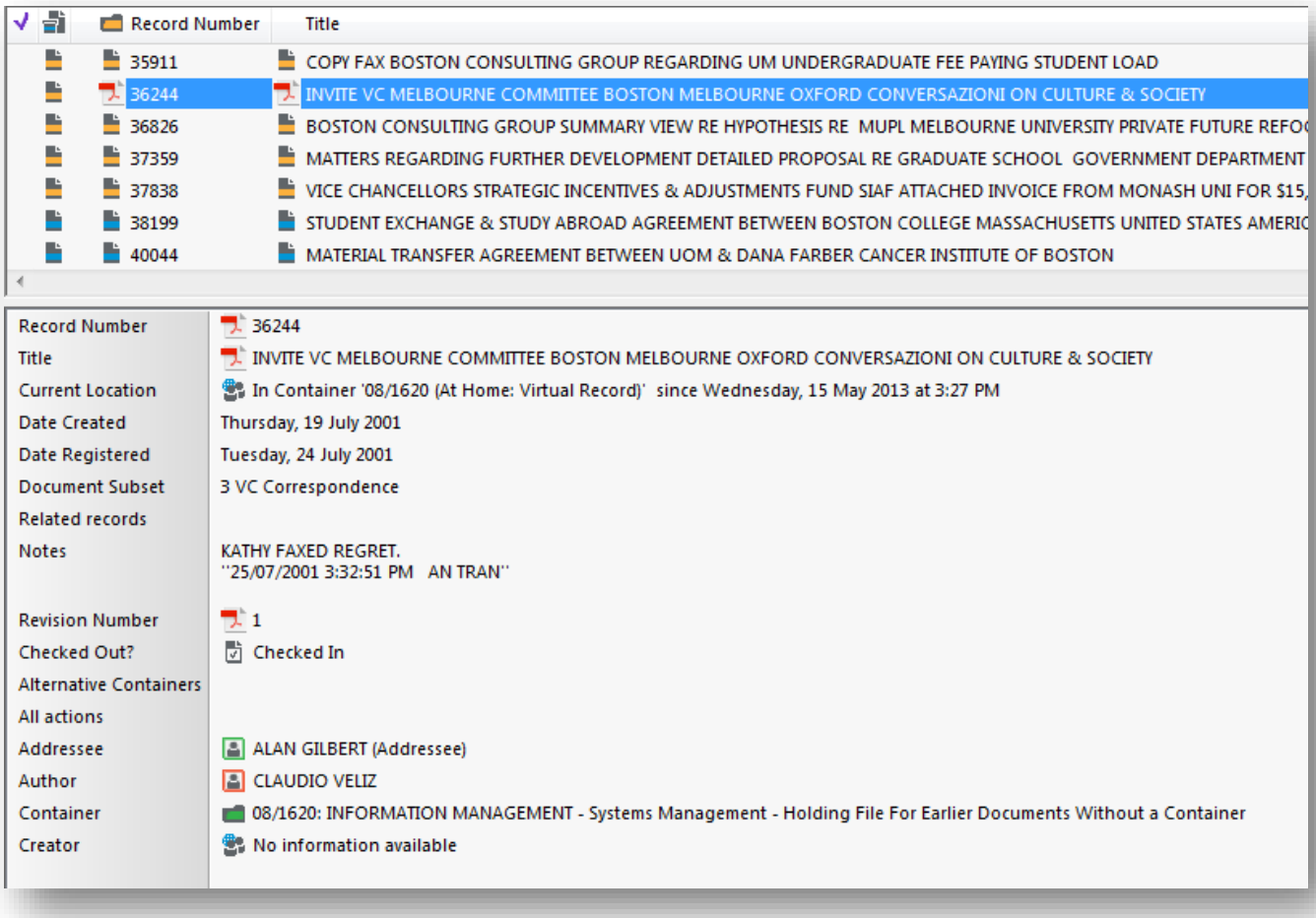


7.7 Record View Pane – Details for Legal Agreements

Field	Information
Record Number	Unique number, generated by HP Records Manager
Title	Shows the type of agreement and purpose
Parties: External + Internal (from Jun 2013) (Notes)	Shows the name of the parties included in the agreement, both internal and external
Associated File (Alternative Containers)	Displays the folder number that the agreement is associated with
Commencement / Effective /Start Date	Displays the Commencement / Effective / Start Date of the agreement. This may differ from the date of execution
Date of Execution (Date Created)	Shows the date the agreement was executed
Term (years)	Term of agreement in years
Date of Last Activity (if no end date recorded)	Shows the latest date mentioned on an agreement where no end date is apparent.
Possible end date after extension	Shows the possible end date if the agreement can be extended
End date of contract	Shows the date the contract expires
Record/Agreement Subset	Shows the type of agreement Egg: Research – Contracts
Record/Agreement Secondary Subset	Shows the type of agreement Egg: Agreement - Collaboration
Agreement Notes	Additional information that is of value to the user
Related Records	Shows the relationships to other folders and documents
Access Control	Shows the access group applied to the legal agreement
Security	Show the security level Egg : Staff access

7.8 **Documents (Hardcopy / Electronic)**

HP Records Manager generates a unique ID number once a document is registered. They are represented by a **Yellow and grey icon**.



7.9 Record View Pane – Details for Documents

Field	Information
Record Number	Unique number, generated by HP Records Manager
Title	Shows a summary of what the document is about
Current Location	Displays the folder number which the document has been contained on
Date Created	The date the document was created or written
Date Registered	The date the document was registered HP Records Manager. This date is system generated
Document Sub set	Displays that it is a Corporate document.
Related Records	Displays relationships between other folders and documents
Notes	Displays additional information that is of value to the user
Revision Number	Shows how many revisions have been made to the electronic document
Checked Out?	Shows if the document is checked in or out. Only documents with the status of Checked In can be edited.
Alternative Containers	Displays additional folder numbers where the image of the document can also be seen
All Actions	Shows any actions applied to the document
Addressee	The person/Organisation the document was sent to
Author	The original Author of the document
Container	The Container/Folder the document is located in
Creator	The name of the person who registered it into HP Records Manager

8. Searching

Users can use a combination of search methods and criteria to find information within HP Records Manager. These include:

- Quick find Search
- Standard Search

8.1 Quick Find Search

A Quick Find Search is the quickest way to conduct a simple search.

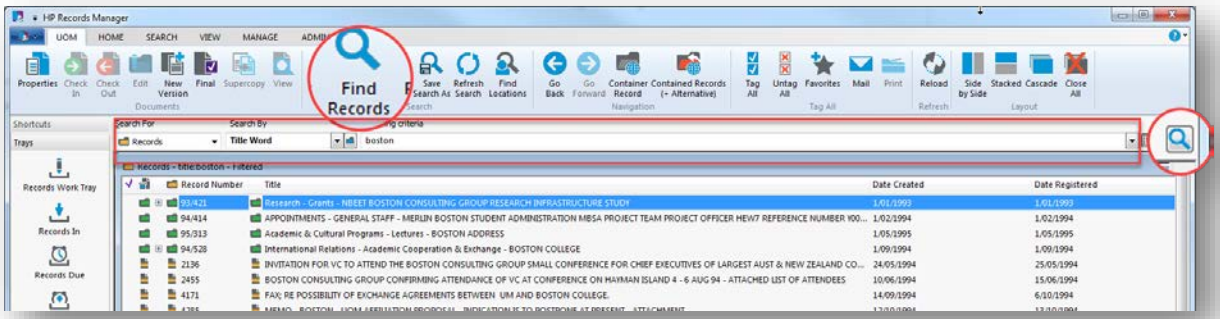
Quick Find Search

Step 1. **Enter** Title Word into Search By field

Step 2. **Enter** boston into Matching criteria field

Step 3. Select the run the search icon

The search results will display in the List Pane /window and metadata for the selected records will display in the Record View Pane.



Common Search Options

Note: **Wildcard**

The asterisk * acts as a wildcard.

Title Word	Searches for the word within the title of a File/Folder – multiple words can be entered and any records with ALL the words will be displayed
Document Content	Words within the body of a document – uses string method EG: all words inside an excel spreadsheet or word document or email
Any Word	This should be your first choice for finding Legal Agreements, as this will search both Title and Notes for search terms
All Parts of	Searches on a record number. Results will list the number of parts to the folder or display the folder even if it has no part attached. This is the preferred method to use when doing a number search e.g. folder or document
Date Registered	This is the date the document was registered into HP Records Manager
Date Created	Searches on the date the document was written/created.
Record Number	Searches on the record number. If there are multiple parts to a Folder use the * at the end of the number to display all parts
Creator	Person who registered the record into HP Records Manager
All Contacts	Displays results of all records with selected person / Organisation as an author or addressee or other contact
Addressee	Person to whom correspondence was addressed to
Author	Person who authored the document / signed off

8.2 Standard Search

The standard search screen gives the user the option to conduct more complicated searches. User can also refine a search that has already been conducted.

Options include:

- Combinational Searching
- Document content searching
- Searching by file format
- Search by author /addressee

8.3 Combinational Searching

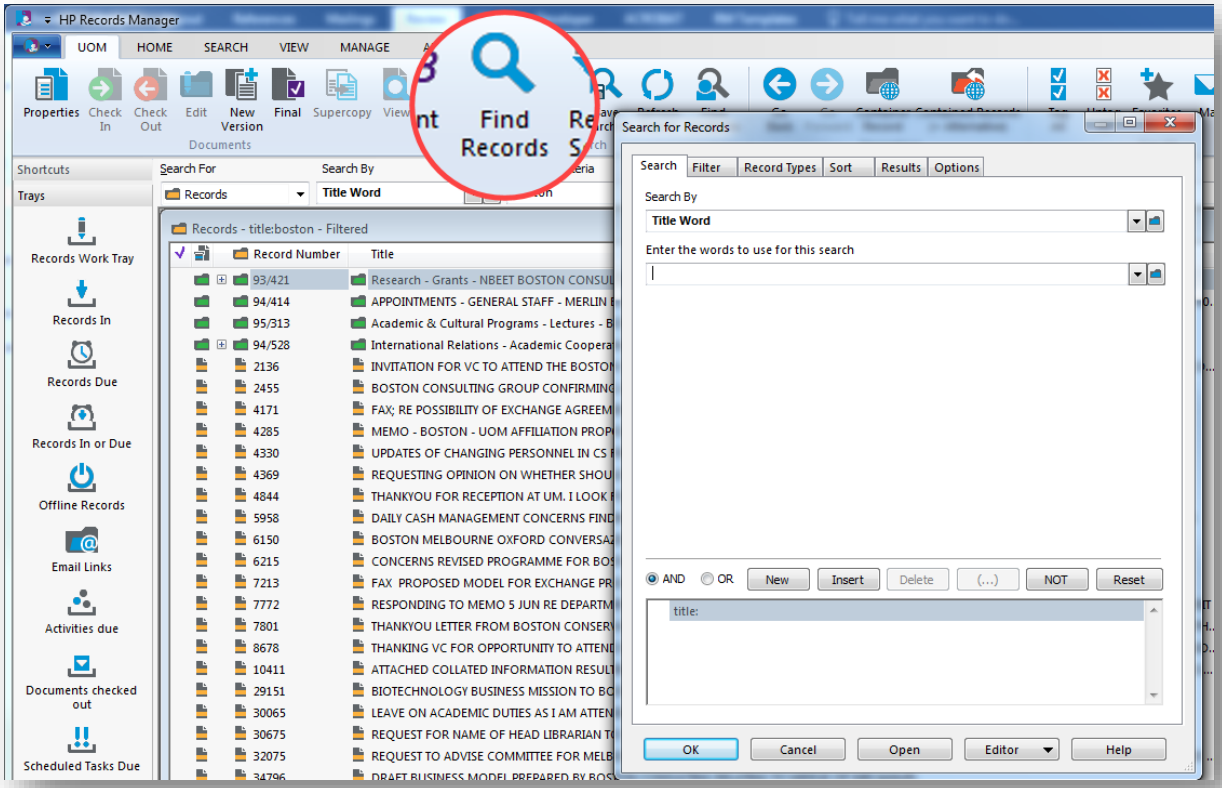
Activity: We will run a search for all documents with the word **Egg** in the title. Once that search is complete we will refine the search to look for only documents with a combination of the word **Egg and Grant.**

To refine the search further we will narrow the search down to only documents in **PDF** format.

Opening Combinational Searching

Step 1. **Select** the Find Records icon

The Search for Records box will Open



From the Search Records box we can conduct a search using of combination of criteria and options.

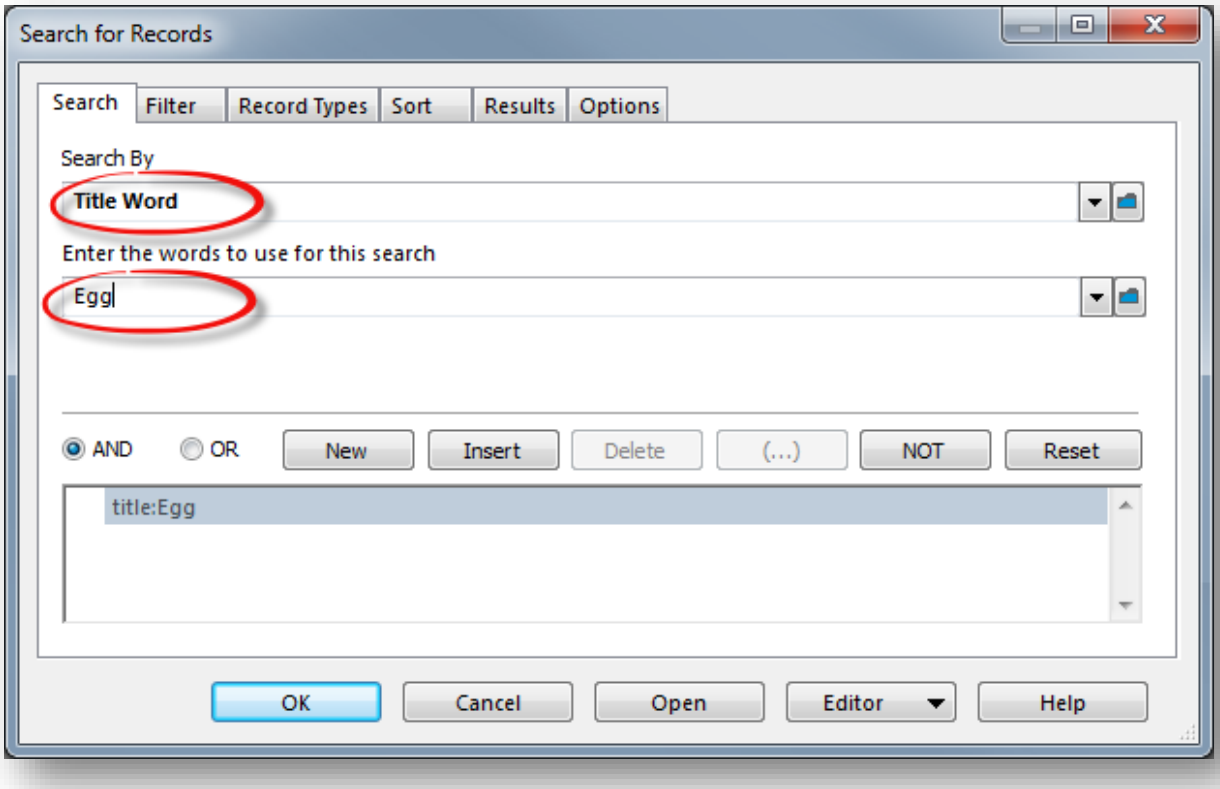
Combinational Searching

Step 1. **Enter** Title Word into the Search By field

Step 2. **Enter** Egg into the Enter the words to use for this search field

Step 3. Select OK

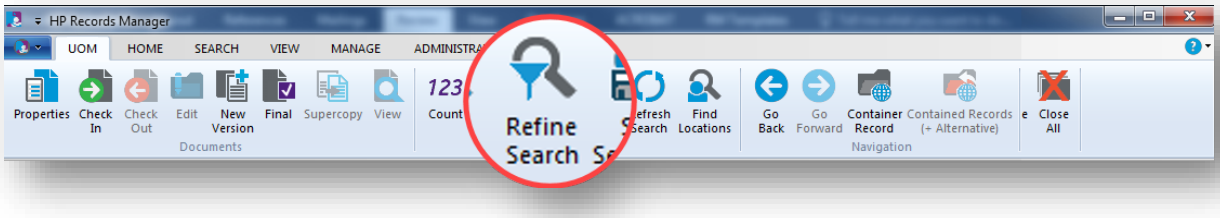
Step 4. How many records did you find?



8.5 Refining a Search

To refine the search to now look for the word grant.

Refining a Search



Step 1. **Select** the Refine Search icon

The Search for Records box will re Open

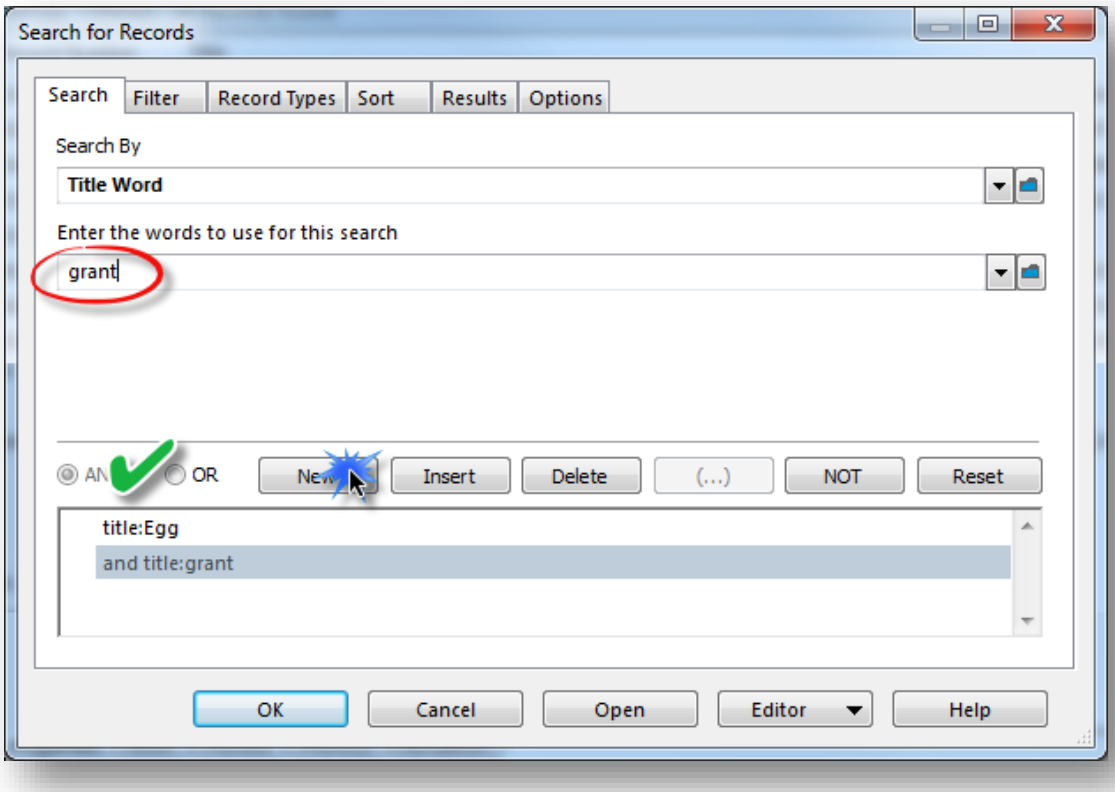
Step 2. Ensure the AND radio button is selected

AND

Step 3. **Enter** **Grant** into the Enter the words to use for this search field

Step 4. Select OK

Step 5. How many records did you find?



8.6 Searching by Record Number.

Activity: To search for all folders created in 2016

Search by Record Number

Step 1. **Select** the arrow and then select Find Records

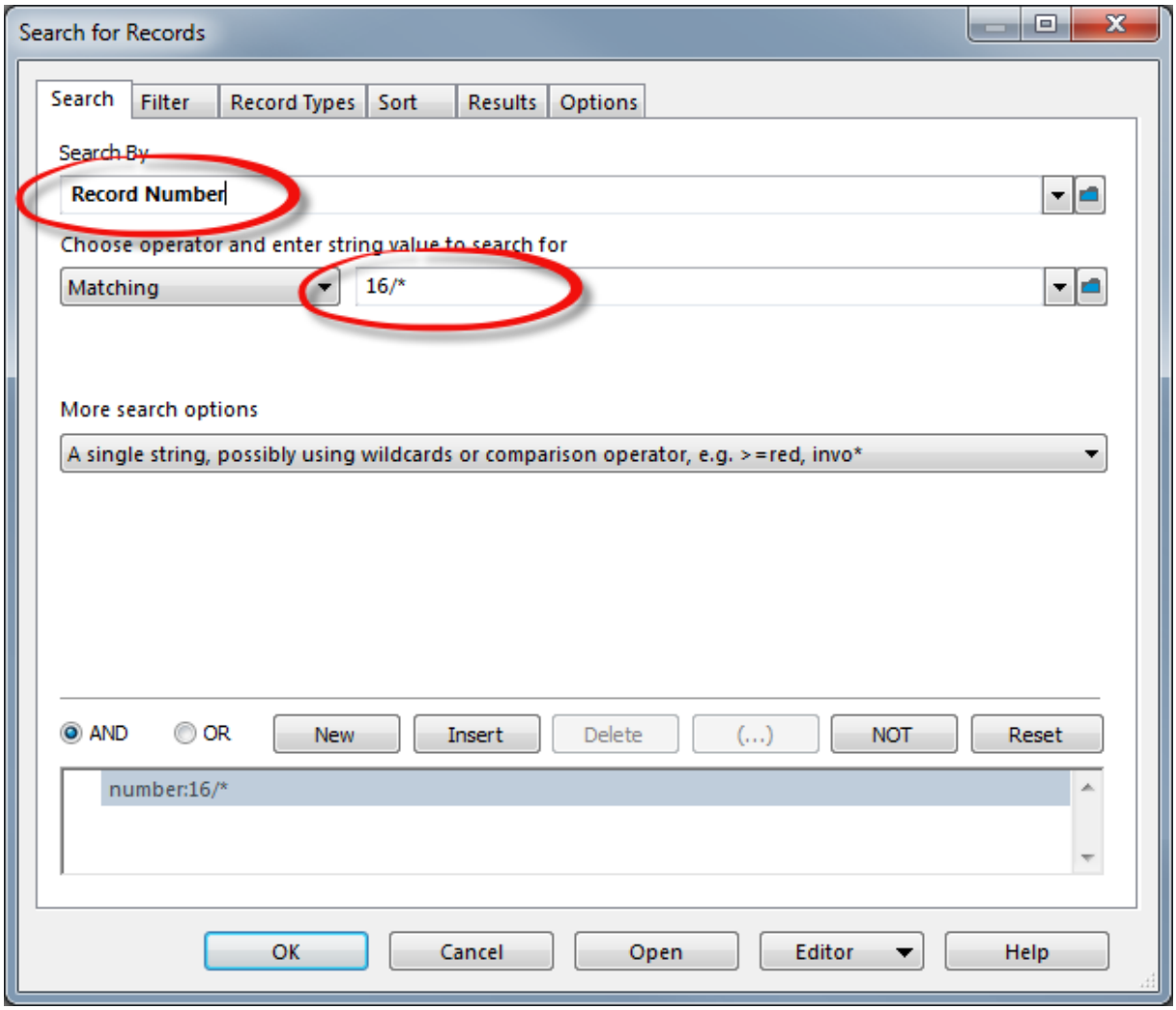
The Search for Records box will Open

Step 2. **Enter** Record Number into the Search By field

Step 3. Enter 16/* into the Matching field

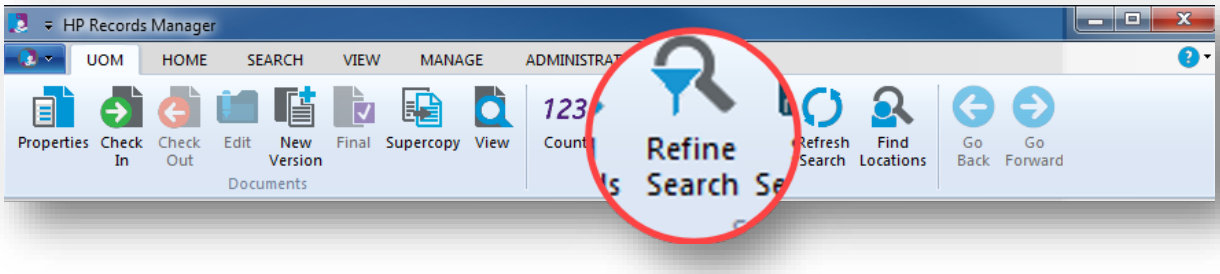
Step 4. Select OK

Step 5. How many records did you find?



Activity: Refine the search to only include current folders

Refining a Search



Step 1. **Select** the Refine Search icon

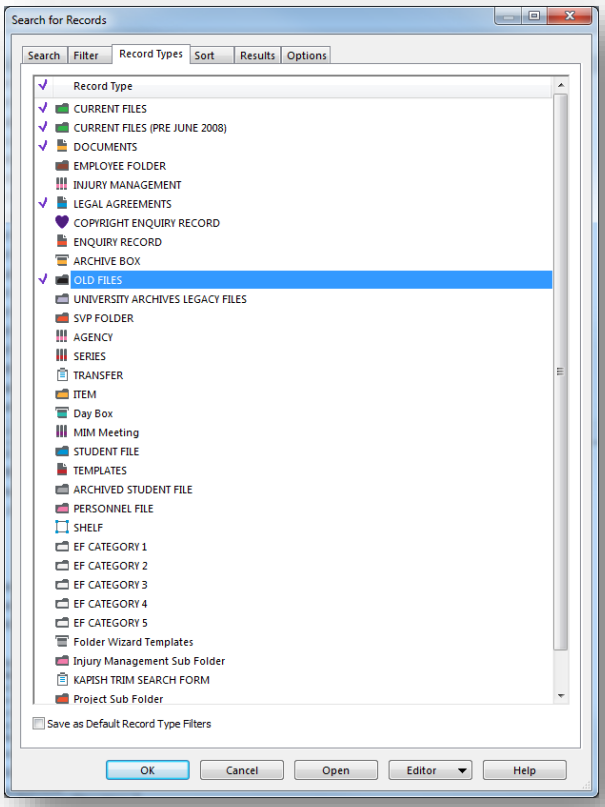
The Search for Records box will re Open

Step 2. **Select** the Records Types tab

Step 3. **Untick** Old Files

Step 4. Select OK

Step 5. How many records did you find?



Only check the Save as Default Record Type Filters box if you would like these folders as your default settings.

☐ Save as Default Record Type Filters

Other options in the filter tab

Record Dispositions

The fields that are tagged will appear in your search results. For example, if you only wanted “Active” not **closed, archived** or destroyed records shown in your results you would unflag all apart from “Active”

Record with Records Class

NA to UoM

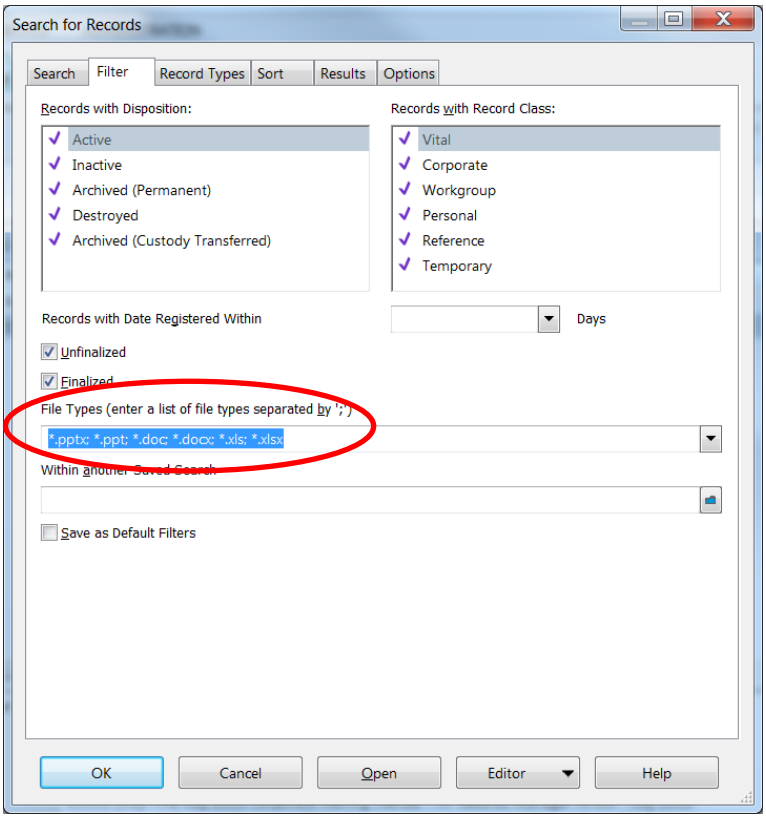
Finalised Filters

When you know the record you are looking for has been finalised, or has not been finalised, you can tag the relevant option

File Types

Allows you to search for specific file types

doc, docx	Word documents
eml, msg, vmbx	Emails
ppt, pptx	PowerPoint presentation
xls , xlx	Excel spreadsheets
pdf	adobe documents
tif,gif, jpg	Images
mpp	Microsoft Project
pub	Microsoft Publisher documents
html	Web pages
vsd	Visio files



8.7 Saving Records to Favourites

You can save folders or documents to your favourites for quicker access.

Saving Records to Favourites

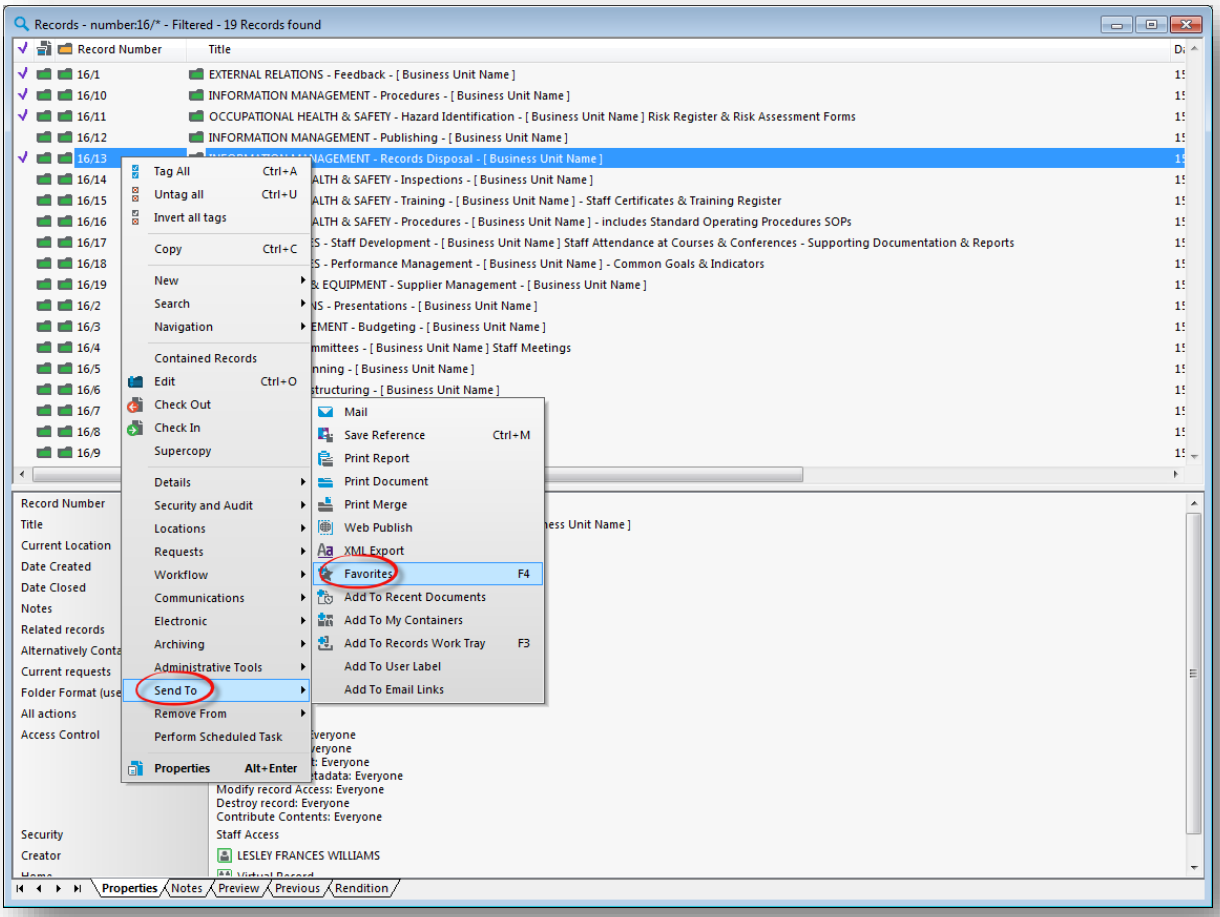
Step 1. **Highlight** an item to save to your favourites

Step 2. Click the 'Add to Favourites' icon on the Toolbar

Step 3. **Or** from the task menu right mouse click

Step 4. **Select** Send to **> Select** Favourites

The folder will now be saved to your Favourites toolbar.



8.8 Removing Records from Favourites

To remove a record/s from your favourites

Removing Records from Favourites

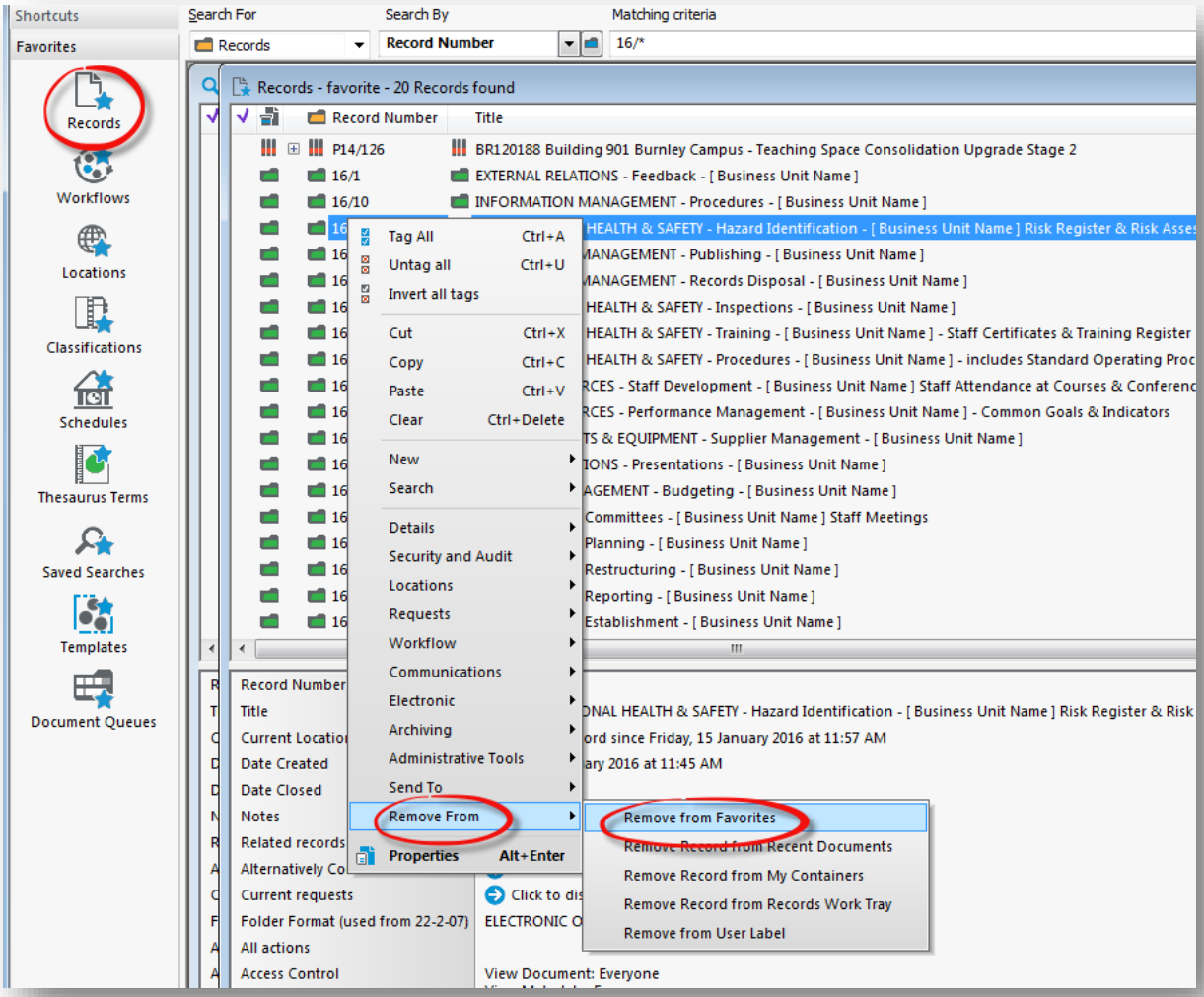
Step 1. **Open** your favourite records folder

Step 2. **Right Click** on the folder/records you wish to remove from your favourites

Step 3. **Select** remove from

Step 4. **Select** remove from Favourites

The folder or records will now be removed from your Favourites toolbar



8.9 Document Content Searching

A document content search is also known as full text search. It searches the text (body) of the electronic document (including emails). Documents that are scanned or digitised images (e.g. pdf) must be text searchable for this type of searching to be successful.

Note: Not all scanned or digitised documents (e.g. pdf) that have been saved into HP Records Manager are text searchable only those that have been OCR'd are

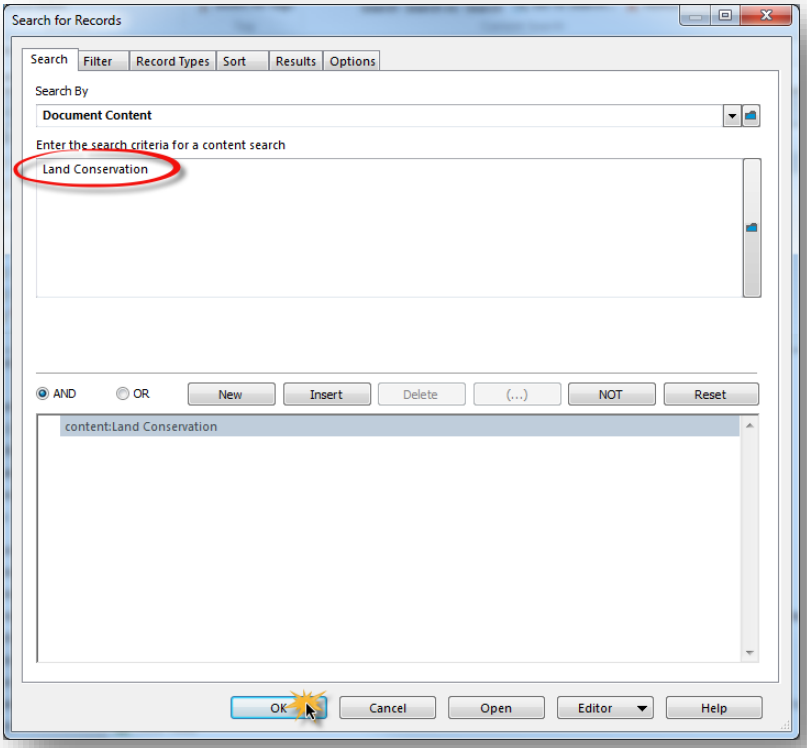
Document Content Searching

Step 1. **Select** the Find Records icon

Step 2. **Enter** Document Content into the Search By field

Step 3. **Enter** Land Conservation into the Enter the search criteria for a content search field

Step 4. Select OK



8.10 Saving a Search to Favourites

You can also save a search that you have conducted.

Saving a Search to favourites

Step 1. **Run** a search

Step 2. **Select** the Save Search as icon

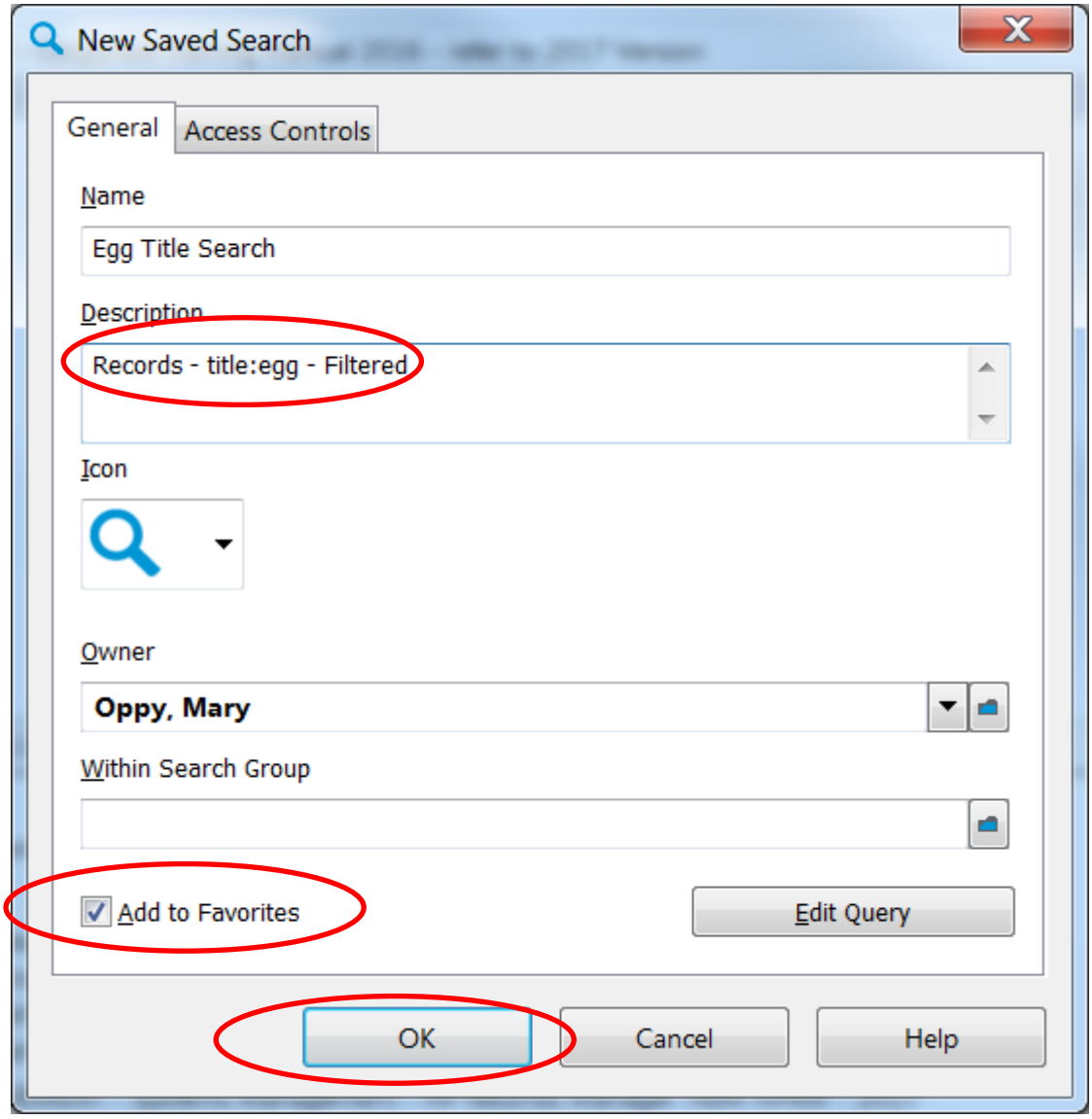
Step 3. Name the Search

Step 4. **Click** Add to Favorites to save the search to the Favourite 'Saved Searches Tray

☑ Add to Favorites

Step 5. **Select** OK

The search will now be saved to your favourites.



If you have completed a search and **not** saved it to your favourites you can easily add it to your favourites.

Viewing Saved Searches

Step 1. **Select** the arrow and then select Find Records

Step 2. **Select** Saved Record Searches

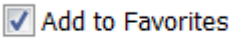
Step 3. **Right Click** the search you want to save to your favourites

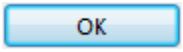
Step 4. **Select** Send to

Step 5. **Select** Favourites

The saved Search box will open

Step 6. **Check** the add to favourites box



Step 7. Select 

The search will now be saved to your favourites

9. Registering Records into HP Records Manager

Depending on the type of record and its location there are a number of ways to save a document into HP Records Manager. These include:

- Registering via 'Send To'
- Drag and drop
- Saving at the point of creation
- Registering emails, directly from Outlook
- Registering an email attachment, directly from Outlook

9.1 Registering Existing Records – Send To (Right Mouse Click)

Register - Send To (Right Mouse Click)

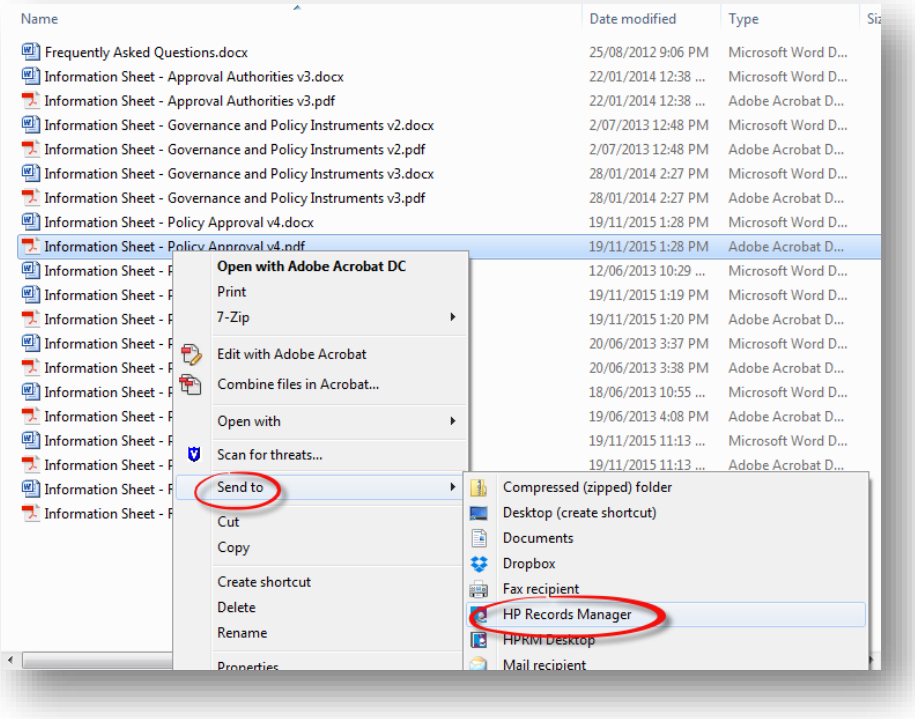
Step 1. **Select** a document you wish to register into HP Records Manager

Step 2. **Right Click** on the document

Step 3. **Select** Send to

Step 4. **Select** HP Records manager

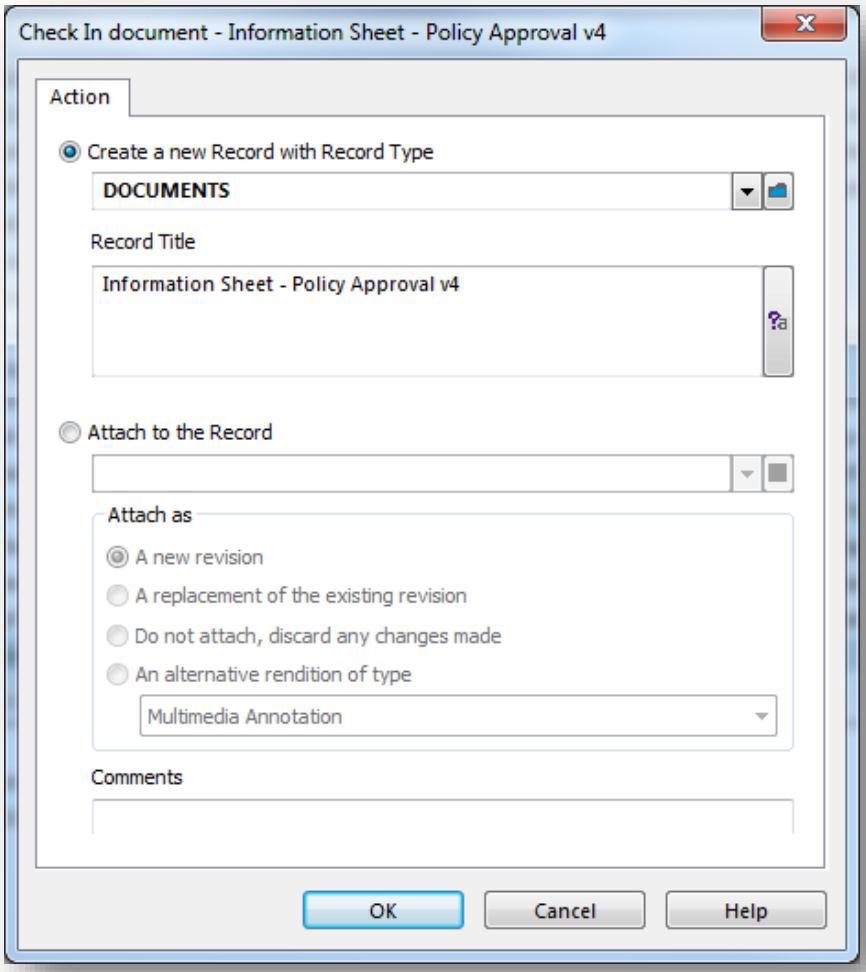
Warning: When registering a Pdf document ensure it is text searchable (OCR'd) before you register the document into HP Records Manager.



The Check in Document box will open

Step 5. **Select** DOCUMENTS as your records type

Step 6. Select OK

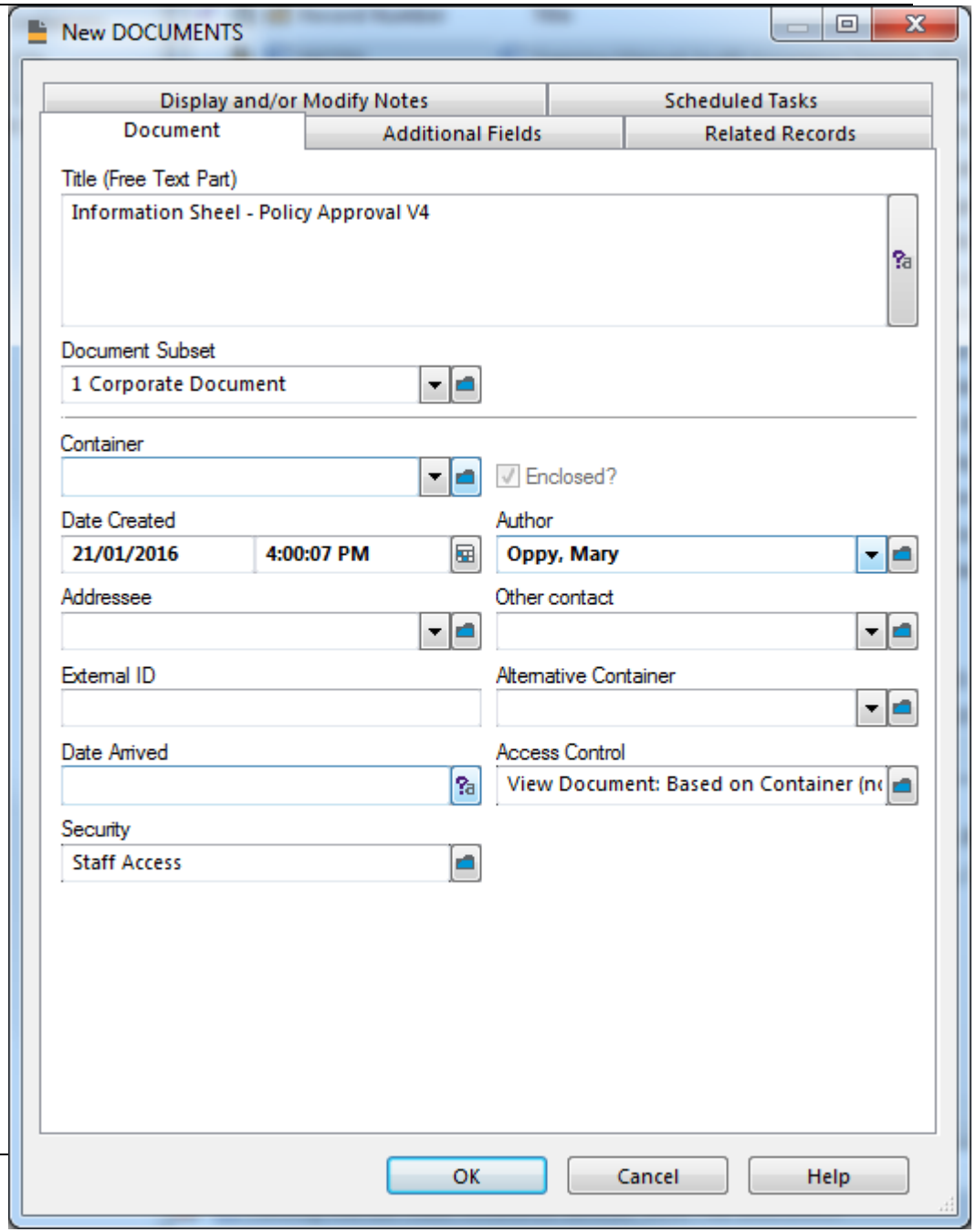


The New Document Data Entry From will open

Step 7. **Complete** the data entry form as per the table

Step 8. Select OK

Field	Information
***Title** (Mandatory Field)	Meaningful summary of the document content
Document Subse	Defaults at 1 Corporate Document
*** Container** (Folder) (Mandatory Field)	The Folder Number in which the document will be contained. To find the correct container: Search or use favourites Note: If the container has parts, ensure the container you use is the correct part
Enclosed	This will automatically tag to enclose the document on the file
Date Created	Date the document was created
Author	Creator or signatory of the document
Addressee	Who the document is going to
Other Contact	If you have multiple addresses or authors use this field
External ID	***Used by Records staff and VC office***
Alternative Container	Use if you want the document you are registering to appear on another container
Date Arrived (Optional)	Date in which documents arrive in an office.
Access Control	***Records use only*** Displays the controls inherited from the container /folder the document is being saved on
Security	Displays the security of the document

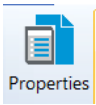


9.2 How to modify data entry form once saved

What if you want to make a change to the document entry form after you've saved the document into HP Records Manager?

How to Modify the Data Entry form

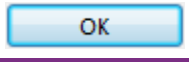
Step 1. Highlight the folder or document within HP Records Manager you wish to amend

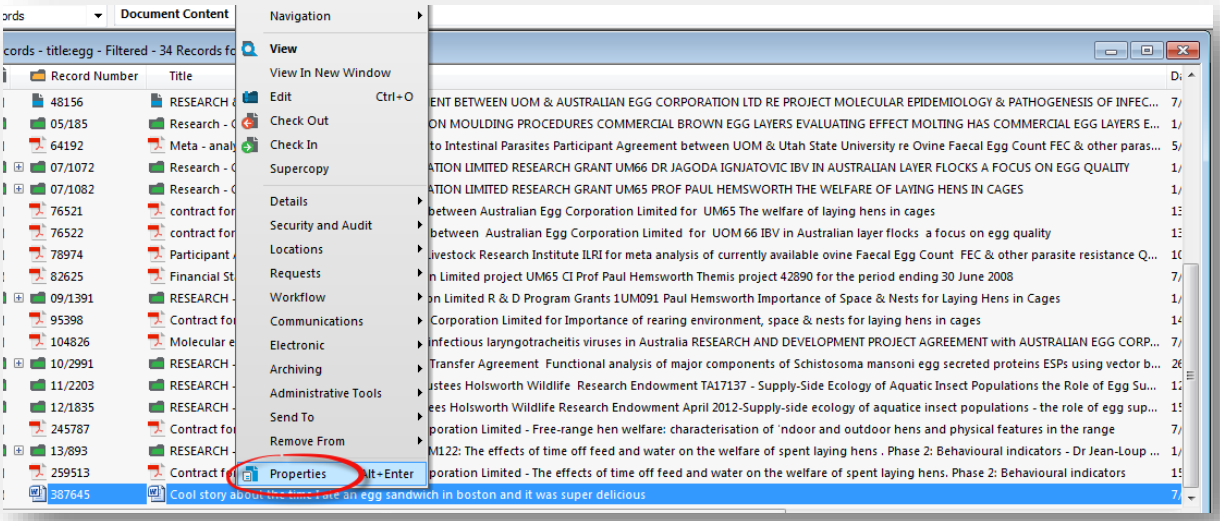
Step 2. **Select** Properties from the UoM Toolbar 

or right click and from the task menu **Select** Properties

The document properties box will be displayed

Step 3. **Amend** fields as required

Step 4. Select 



9.3 Drag and Drop

The Drag and Drop method is most useful when you need to capture existing documents into HP Records Manager from a Windows environment or when a document has been saved into a local folder.

To drag and drop documents follow the steps below

Register - Drag and Drop

Step 1. **Open** HP Records Manager and locate the destination folder.

Step 2. **Open** HP Records Manager

Step 3. **Open** the location of the document to be saved

Step 4. **Left click & hold** the mouse button down on the document to be saved into HP Records manager

Step 5. **Drag the Document** over to the destination folder in HP Records Manager

Step 6. Once the folder is highlighted **release** the mouse

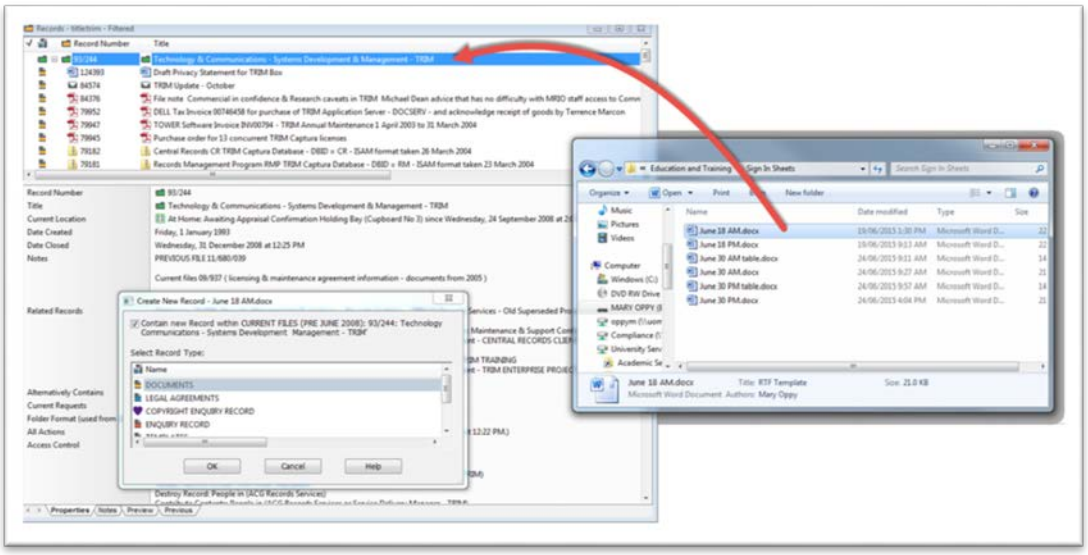
The Check in Document box will open

Step 7. **Check** in the document as per previous steps

Note: To split the screens

Use the  and  keys to send window right

or  and  keys to send window left.



9.4 Saving at the point of creation

HP Records Manager allows the user to register a document directly from Microsoft office applications. (This is only available for Windows 7 - Office 2010 for Windows 10 – Office 2013 & Office 2016 use the Send To or Drag & Drop Method to save documents into HP Records Manager).

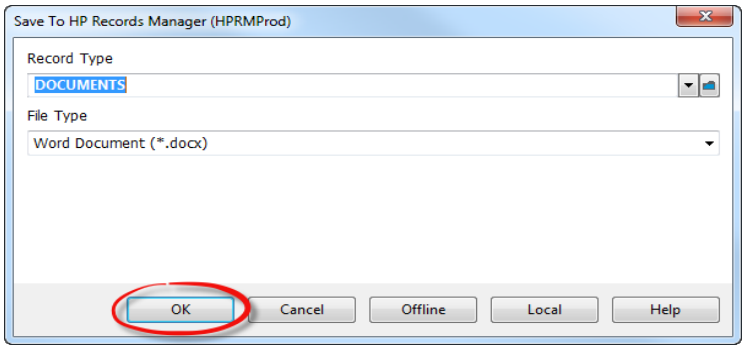
When you are ready to register a document into HP Records Manager, select save from the file menu option.

Saving at the point of creation

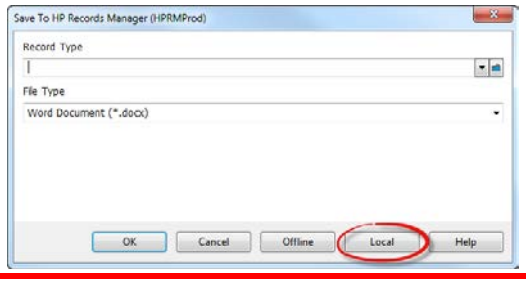
Step 8. **Select** Save in the file menu of the Microsoft applications you are using

Step 9. The Save To HP Records Manager, window is displayed

Step 10. **Check in** the document as per previous steps



Warning: Select the Local button if you do not want to register the document into HP Records Manager

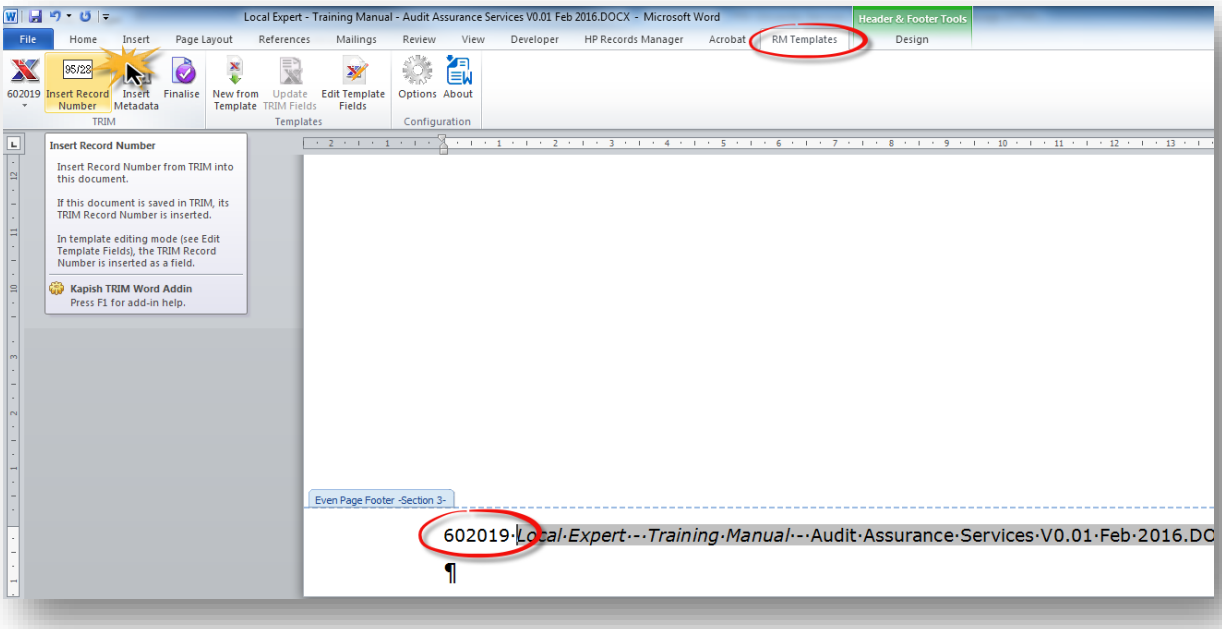


9.5 Inserting the HP Records Manager number into a document

Once a document has been created and saved into HP Records Manager, the record number can be inserted into the document.

Inserting the HP Records Manager number

Step 11.	Open the word document
Step 12.	Select the RM Templates tab
Step 13.	Put the cursor in the location you would like the HP Records Manager number
Step 14.	Select Insert Record Number The HP Records Manager record number will be inserted



9.6 Inserting HP Records Manager metadata into a document

Once a document has been created and saved into HP Records Manager, additional metadata can be inserted into the document.

Inserting the HP Records Manager number

Step 15. Open the word document

Step 16. Select the RM Templates tab

Step 17. Put the cursor in the location you would like the HP Records Manager number

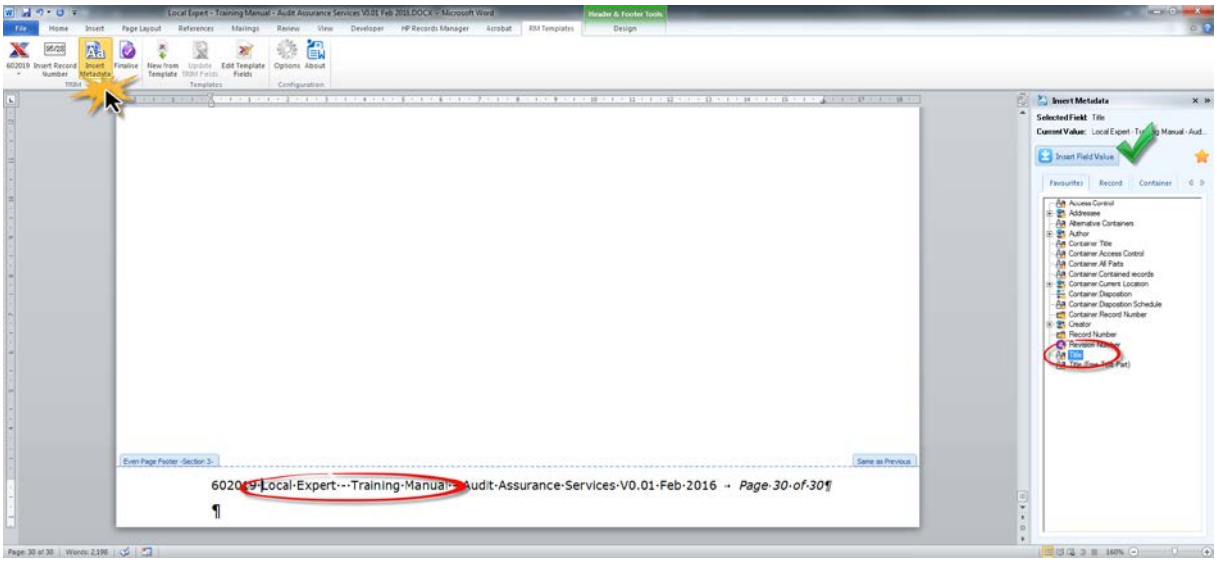
Step 18. Select Insert Metadata

The Insert Metadata sidebar will appear

Step 19. Select the metadata you would like to include

Step 20. Select Insert Field Value

The HP Records Manager metadata will be inserted



9.7 Registering Emails from Outlook

Outlook users can register emails, including emails with attachments, directly into HP Records Manager

Registering Emails from Outlook

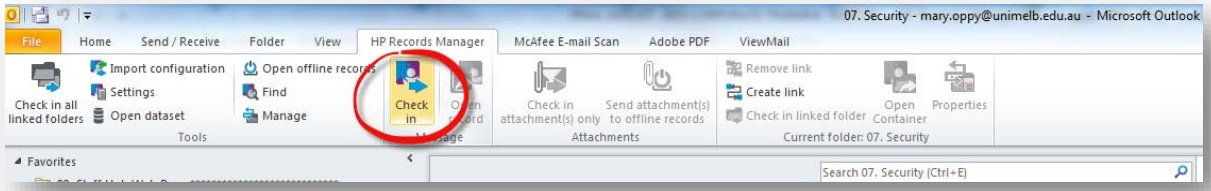
Step 1. **Open** the HP Records Manager tab

Step 2. **Select** the email you want to save into HP Records Manager

Step 3. **Select** the Check in icon

The Save To HP Records Manager, window is displayed

Step 4. **Check in** the document as per previous steps



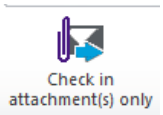
Email attachments can also be saved directly into HP Records Manager

Registering Email attachments from Outlook

Step 1. Open the HP Records Manager tab

Step 2. Select the email, with attachment, you want to save into HP Records Manager

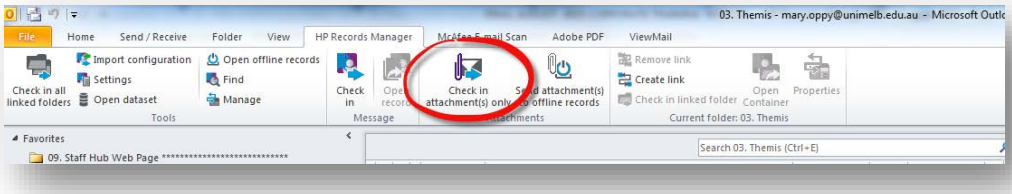
Step 3. Select the Check in atachment(s) only icon



Step 4. The Save To HP Records Manager, window is displayed

Step 5. Check in the document as per previous steps

Warning: Only use this option if the content of the email does not add any context, or is not relevant to the attachment. Eg: if the document is simply an emailed scanned copy.



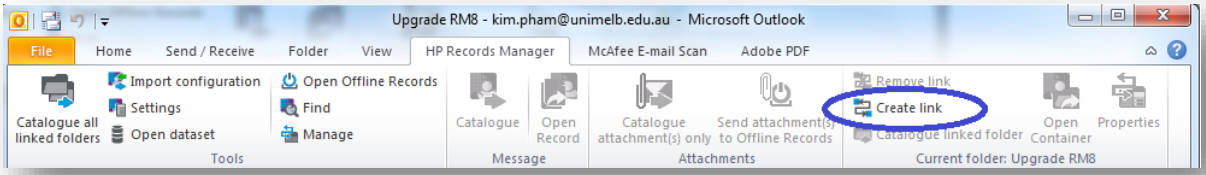
10. Linked Folders

HP Records Manager Outlook integration not only facilitates capture of emails, it also enables HPRM folders and Outlook folders to be linked. This can be used for automatic registration of emails to a particular folder in HP Records Manager.

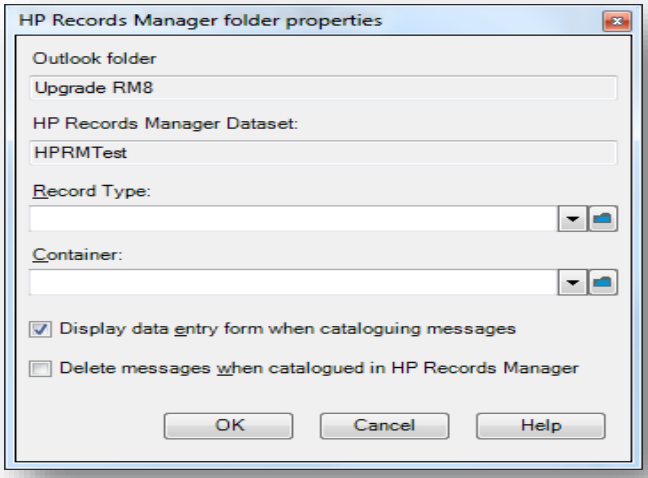
Linking Outlook folders to HP Records Manager

Step 1. In Outlook, **highlight the folder** you wish to link to a HP Records Manager

Step 2. **Select** Create link in the HP Records Manager Outlook tab or right mouse click **Select** Create Link



Step 3. The HP Records Manager folder properties window will open



Note: **Record Type (mandatory)** – Click the blue folder and select DOCUMENTS

Note: **Container (mandatory)** – enter in the file number that the emails are to be saved into. Use the blue folder to access a search screen if required and select the appropriate HPRM folder

Note: Display data entry form when cataloguing message - **Check** this box to ensure that the data entry form will display for each email as it is catalogued. Only leave the box unchecked if you are certain that the email subject lines are sufficiently descriptive of the content.

Note: Delete messages when catalogued in HP Records Manager - **Check** this box if you wish the emails to be delete as soon as it is saved into HPRM (these will be moved to you Deleted folder in Outlook). Once an email is saved into HPRM there is no need to keep it in Outlook. Alternatively, you can leave this unchecked and manually delete the emails at a later date. Emails that have been saved into HPRM are readily identifiable as they will be prefixed with HPRM.

Step 4. **Complete** all options

Step 5. **Select** OK

The Outlook folder has now been linked to HP Records Manager
From now on, any new email messages that you
move into the linked folder will be processed automatically and
immediately saved into HP Records Manager

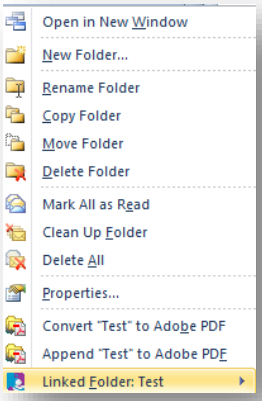
Clearing the Backlog of Linked Outlook folder

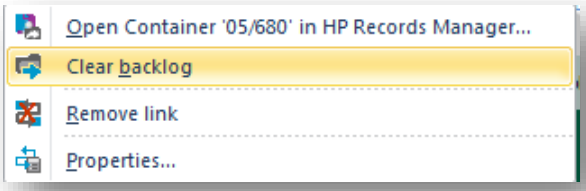
If there are existing emails in the Outlook folder before you created the link you can register those into HPRM by using the function "clear backlog"

Step 1. **Highlight** the outlook folder

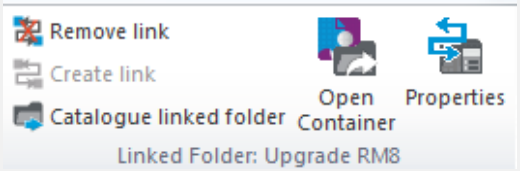
Step 2. **Right click** and Select Linked Folder

Step 3. **Select** Clear backlog





Note:



Remove Link – Removes the link between Outlook folder and HPRM folder.

Open Container – allows you to look at the HPRM folder and view its properties or contents.

Properties – Allows you to view and edit the Properties of the link.

From this point on, any new email messages that you move into the linked folder will be processed automatically and immediately saved into HP Records Manager

11. Managing documents within HP Records Manager

11.1 Emailing documents out of HP Records Manager

Emailing documents from HP Records Manager

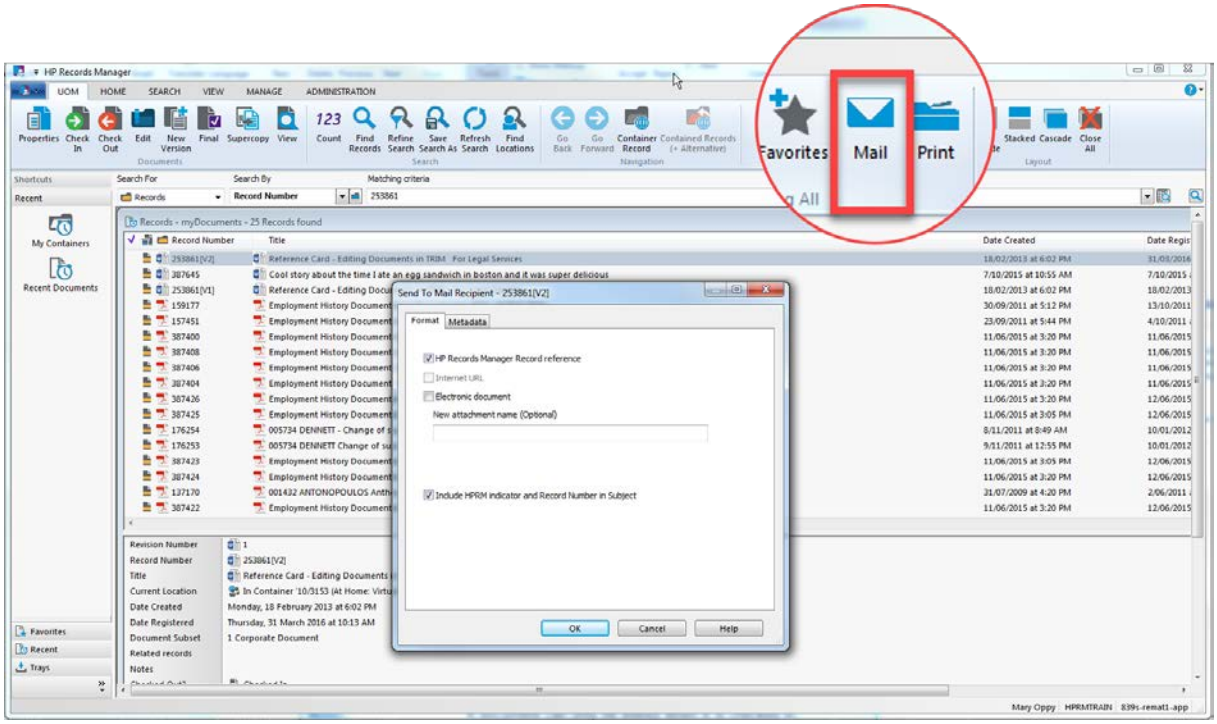
Step 1. **Select** a document to email

Step 2. **Select** the Mail icon

The send to mail recipient will open

Step 3. **Select** HP Records Manager Record Reference

Outlook will launch with the Document title in the subject line, and a HP Records Manager link in the attachments field.



Note: If you email a link to a HP Records Manager document the receiver must have HP Records Manager access to open the link.

Warning: If you select the Electronic document tick box the document will be emailed to the receiver.
The document will no longer be protected by the access groups applied to it within HP Records Manager

☐ Electronic document

11.2 Editing a document

To edit a document in HP Records Manager

Editing a Document

Step 1. **Select** the document you wish to edit

Step 2. **Select** Edit icon 

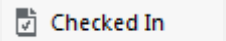
The Document will open in the authoring application and will be able to edit

Step 3. **Edit** the document and select save (not save as)

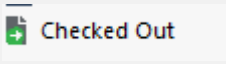
HP Records Manager will ask you to confirm document edits

Step 4. **Select** confirm all

HP Records Manager will check the document in and save a new version

Note: 

A document can only be edited when it is checked in.

Note: 

A document will be checked out while it is being edited.

You can see who has a document checked out, by adding the “Checked Out To” Field into the record view pane.

If the document is Checked in you will be able to Right Click edit, to edit the document.

Customising the Fields to the Record View Pane

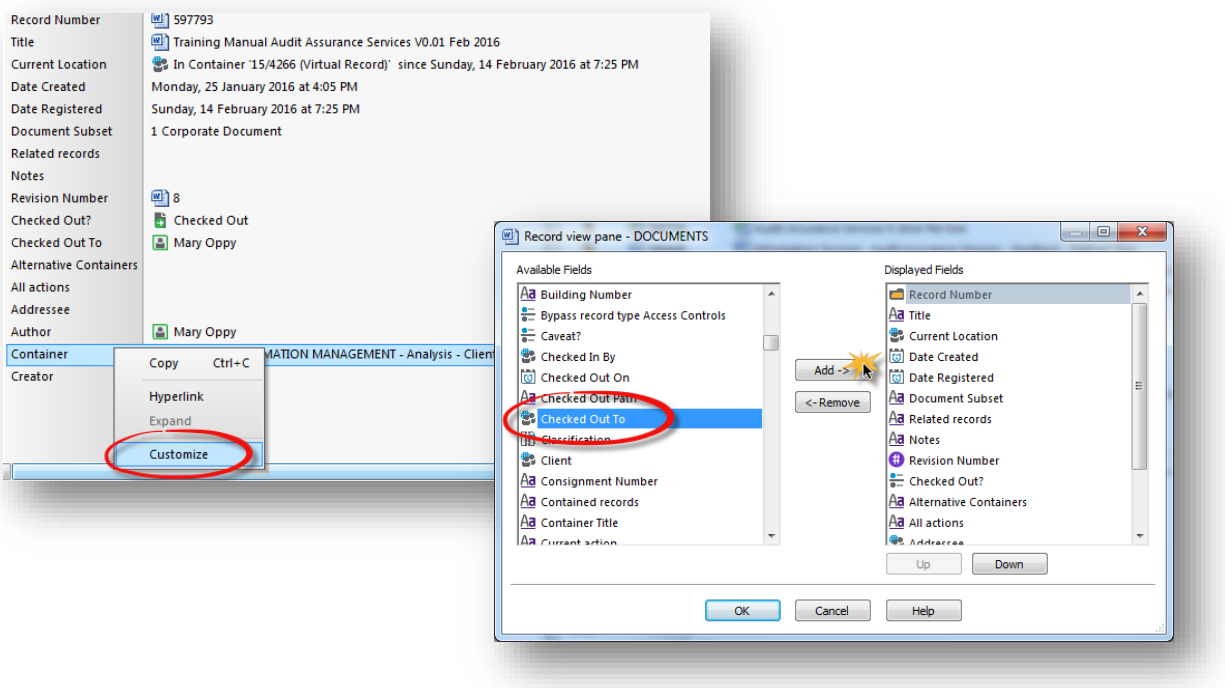
Step 1. **Right Click** anywhere in the record view pane

Step 2. **Select** Customise

Step 3. From the available Fields List **Select Checked out to**

Step 4. **Select** add to place the field into displayed field list

Step 5. Use the Up or Down buttons to move the field to the requred location in the list.



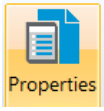
11.3 Viewing revisions of a document

Each time a document is edited and saved a new revision is created. All revisions can be accessed. Revisions are a modified copy of a document. There can be multiple revisions attached to a document.

Viewing Revisions

Step 1. **Select** the document you wish to view

Step 2. **Select** Properties icon from the toolbar

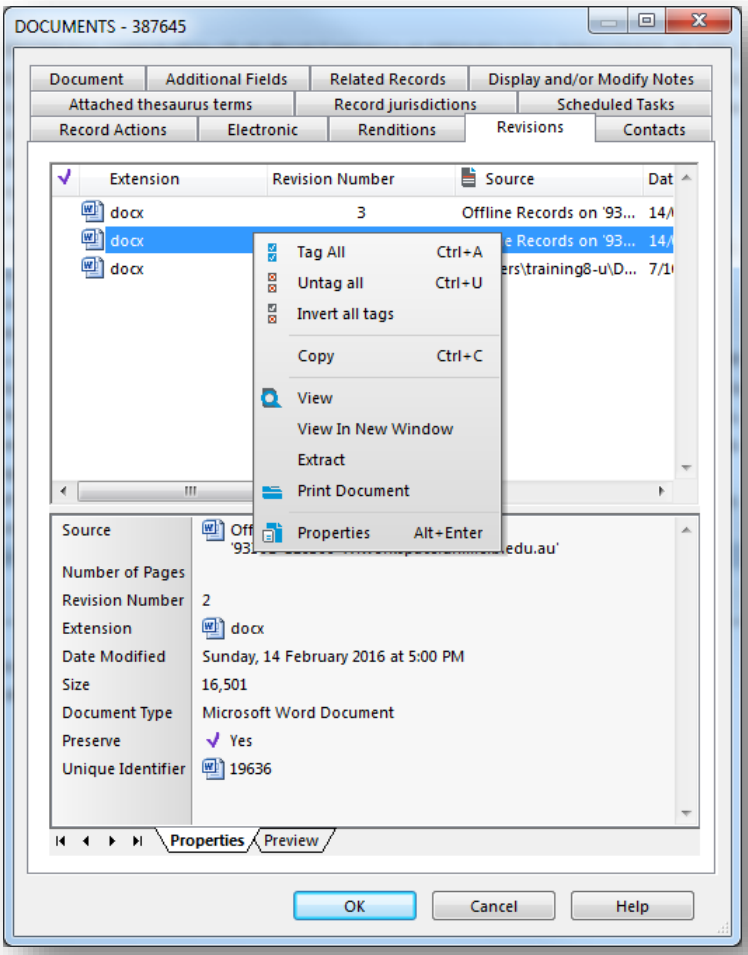


Step 3. **Select** the Revisions tab in the properties window

You will see a list of the revisions available for the document

Step 4. To View a previous revision of a document, **Right click**

Step 5. **Select** View

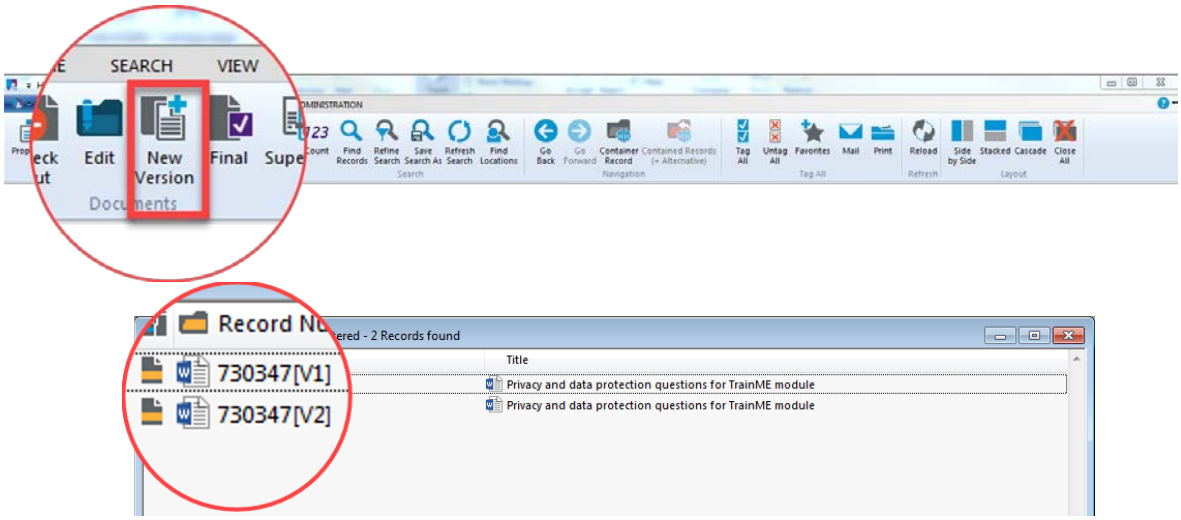


11.4 Versions

HP Records Manager enables you to create multiple versions of an electronic document. A version will create a copy of the original and keep the same record number with the addition of [V2] (or whatever number version the document is up to).

New versions will appear as separate documents in HP Records Manager. Versions are useful to be able to see the versions as separate documents, rather than revisions. This works well for records that require version control, such as policy documents, submissions, forms and manuals.

For general or minor changes use the Edit function which will create a revision.



11.5 Supercopy

A Supercopy is a copy of a Record that already exists in HP Records Manager. Creating a Supercopy does not affect the original document.

The Supercopy can then be saved back into HP Records Manager, with a new name.

Creating a Supercopy

Step 1. **Select** the document you wish to create a super copy of

Step 2. Right Click

Step 3. **Select** Supercopy

The Supercopy Document window will open

Step 4. **Select** the location you would like the supercopy saved to

Step 5. Select OK

11.6 User Labels

User Labels are a way of categorising or grouping folders and documents using your own terms.

You can create your own labels and apply them to records in HP Records Manager. They enable you to group them by using a common label and then find them quickly and easily by looking for them by their labels.

You can organise your labels in levels with a label at the top level that can have a number of sub-level labels that could symbolise sub-categories of the top label.

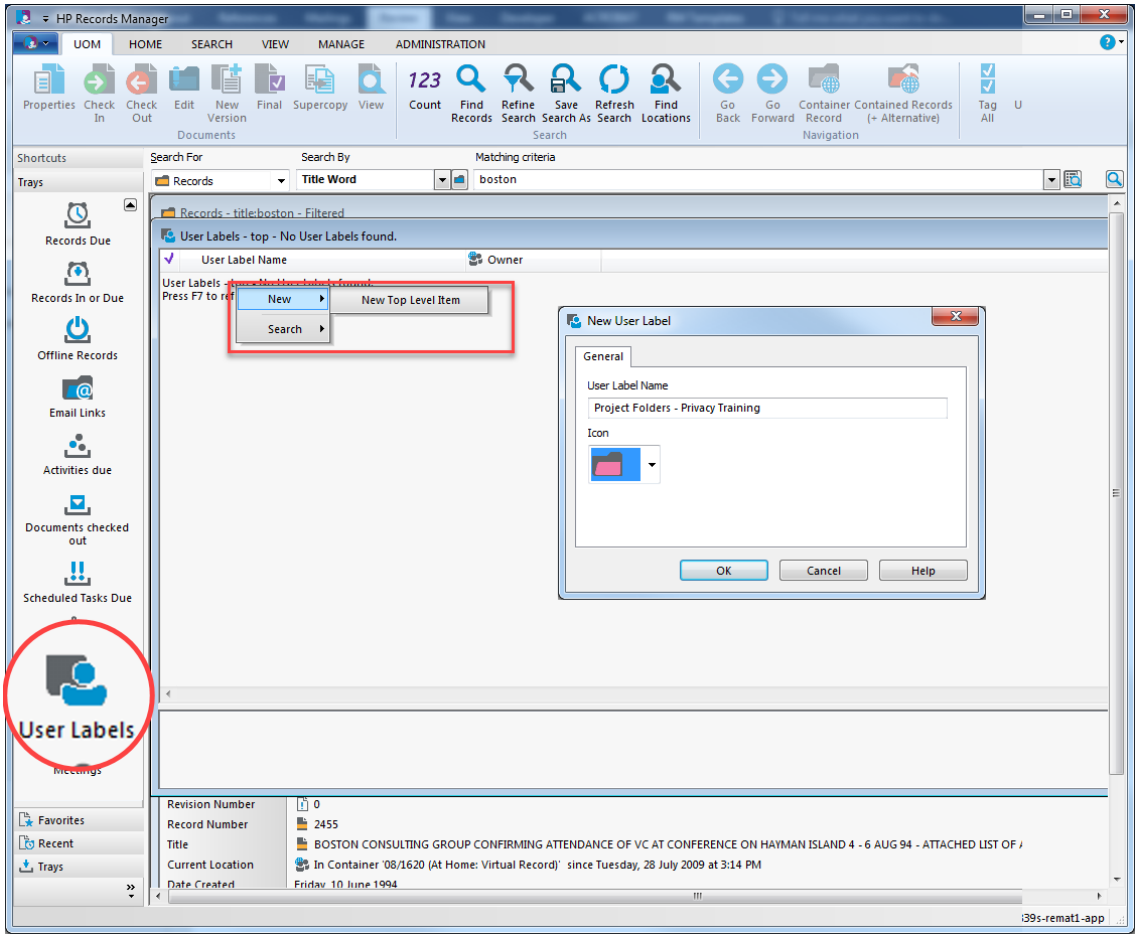
Step 1. **Open** on User Labels Tray form the Trays shortcut bar

Right click and Select New > New Top Level item
The New User Lable dialog box will open

Step 2. **Enter** a name and select an icon

Step 3. Select OK
Your user label has now been created

Step 4. To add a folder or document to your user label highlight and right click and **Select** Send To > User Labels – choose your User Label



12. MS Office Integration settings

The Integration feature provides the end user with a range of options to enhance the ability to capture and search for information. When HP Records Manager is installed the integration settings are switched on as part of a default global setting. To check or modify your settings see below

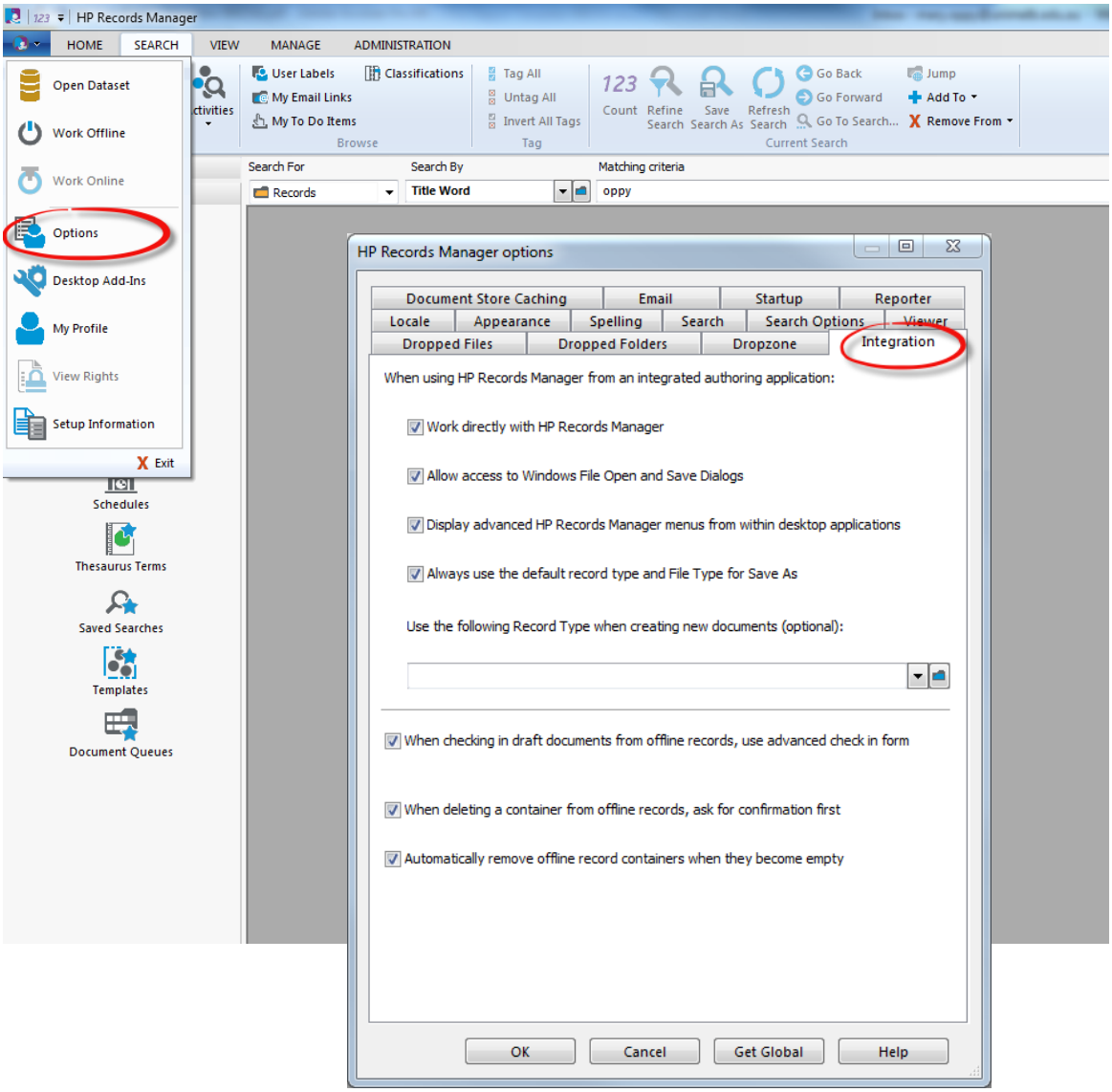
12.1 Integration Settings

Step 1. **Select** the custom settings menu icon 

Step 2. **Select** Options

Step 3. **Choose** the Integration tab

Step 4. **Tick** the boxes, as shown below



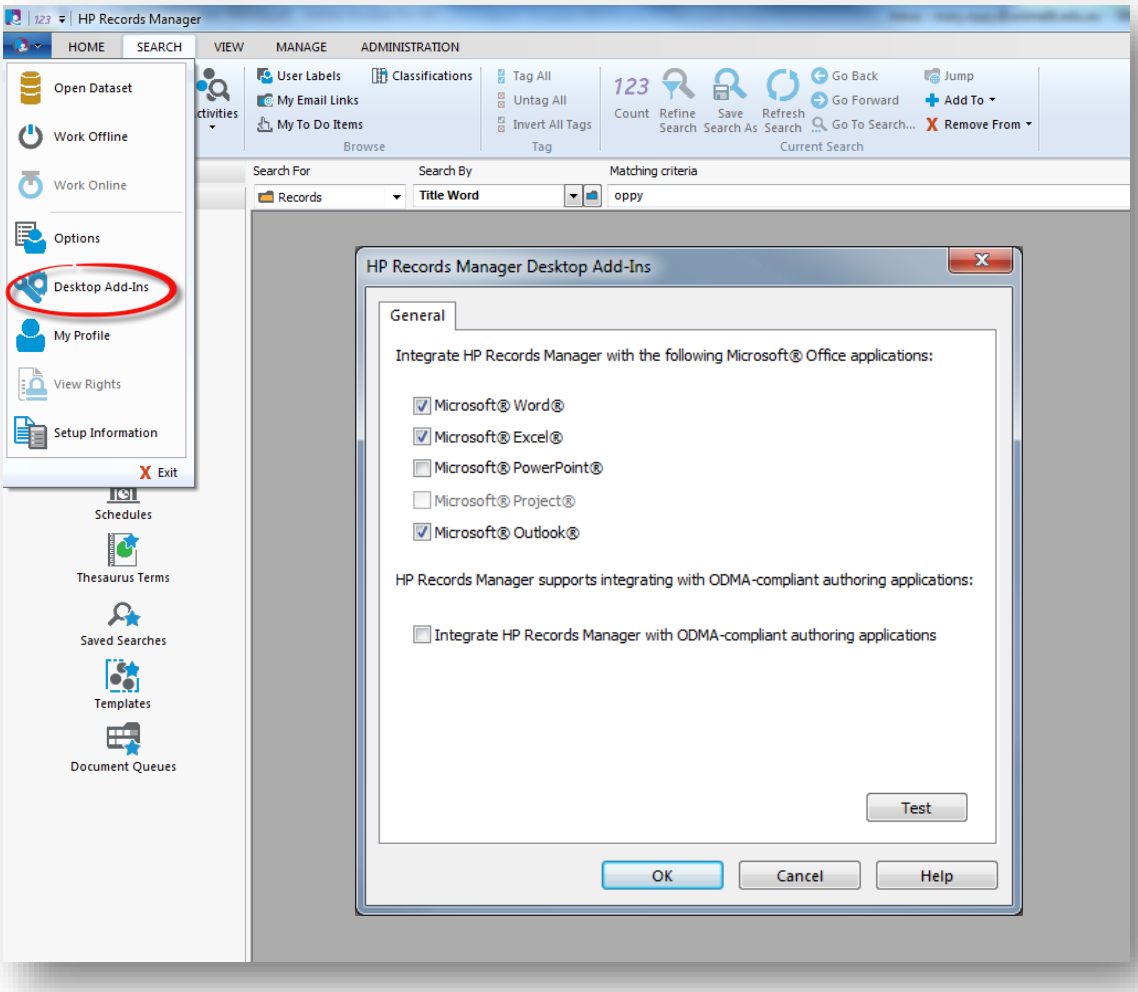
12.2 Desktop add-ins

Step 1. **Select** the custom settings menu icon 

Step 2. **Select** Desktop add-ins

The HP Records Manager Desktop Add-ins window will open

Step 3. **Tick** the boxes, as shown below



13. OCR Documents with Adobe Pro

13.1 Scanning Setting requirements

The following specifications are to be used for scanning all corporate documents and HR forms:

200 dpi

24-bit colour

13.2 How to OCR a PDF Using Adobe Acrobat Pro

Paper records received must be scanned and saved into HP Records Manager as a PDF. To ensure the content of scanned documents is searchable, ensure your scanner has Optical Character Recognition (OCR) software. This software will take digital images of text and turn them into machine readable text that can be searched or edited.

pdf documents must be OCR'd prior to being registered into HP Records Manager. This allows the document content searching function in HP Records Manager to retrieve the particular search terms within a document.

Most multifunction devices have the option to OCR on scanning. However, if your scanner does not have this function, you can OCR a PDF document using Adobe Acrobat Pro. This process should be done before registering the PDF into HP Records Manager

Paper records that have been digitised and saved to HP Records Manager can only be destroyed in accordance with an authorised digitisation plan. Please retain your paper records within your area until a digitisation plan is in place.

Contact Records records-services@unimelb.edu.au for further assistance.

Open the pdf document.

Select ***Tools*** > Select ***Text Recognition*** > Select ***In This File***.

Select ***All pages*** from the ***Recognise Text box***. Save the document

14. External Contacts

14.1 Searching for External Contacts (Locations)

When registering correspondence into HP Records Manager it is necessary to capture the author & addressees, if they are not already auto populated within the Data Entry Form. There are icons to identify the types of locations that exist e.g. internal/external, a position or person.

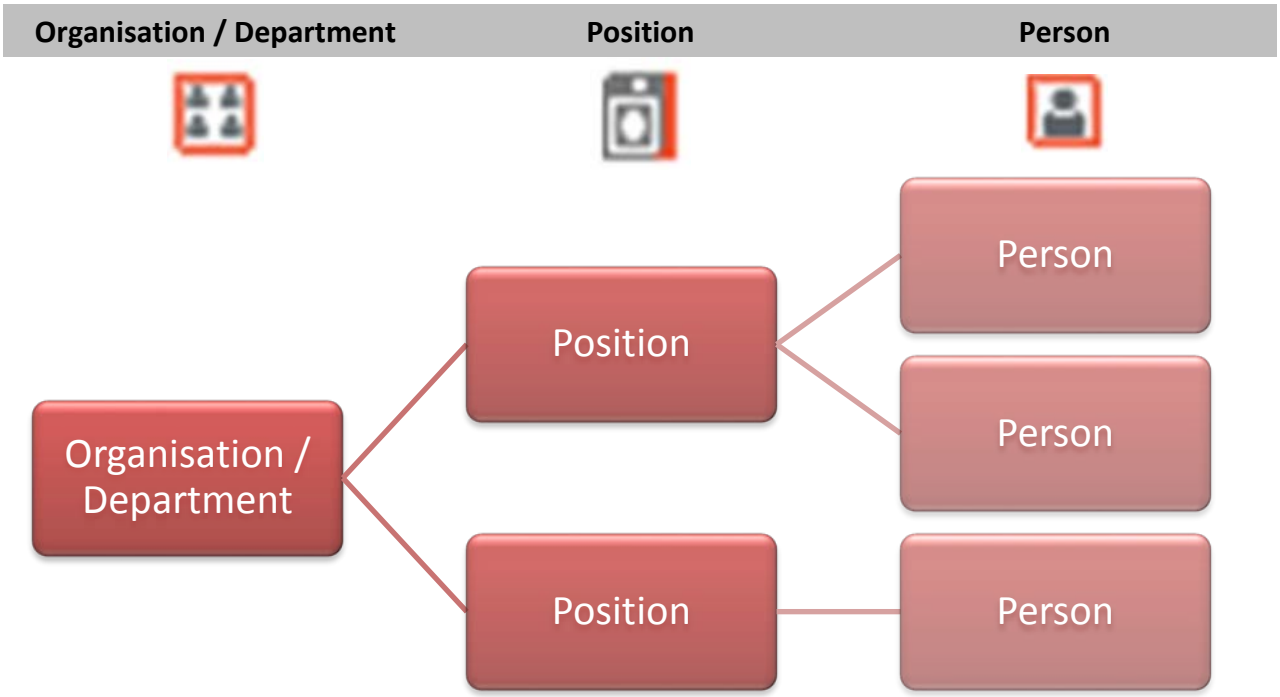
In March 2010 all current employee names at that point were imported into the HP RM Location directory. Any new employees after March 2010 may not be in the directory. A search for an internal contact person should return a result. If a location or contact does not exist, please contact Records.

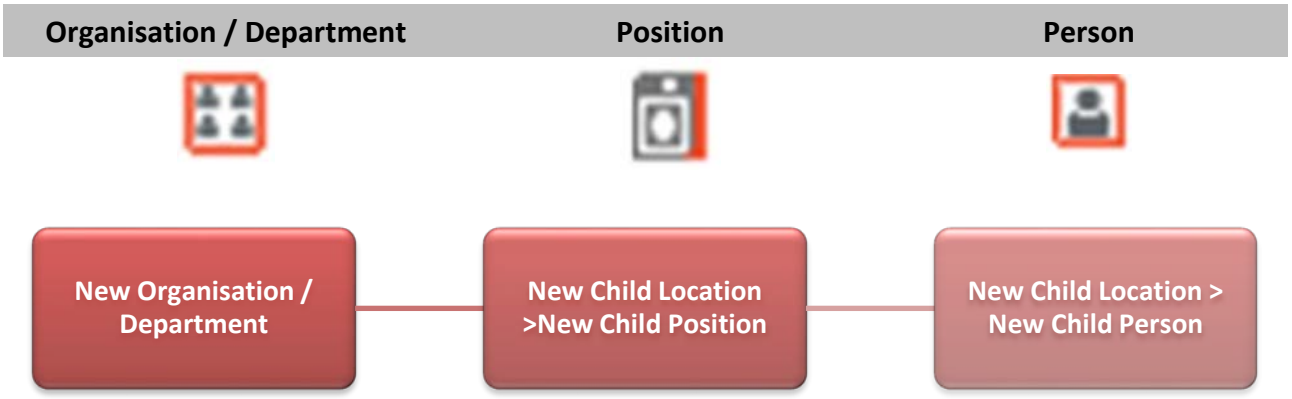
Internal	Type	External
	Person	
	Position	
	Organisation / Department	
	Committee	
	Group	NA
	Project Team	

14.2 Searching for Internal Departments:

- For an administrative department use the name e.g. Financial Operations.
- Academic departments are found under “Department of”, “School of” and “Faculty of” in the directory. You can also search on the Faculty’s acronym – e.g. MDHS, MGSE etc.
- For internal centres - leave out "the", but retain "of" and "for" e.g. Centre for Study of Higher Education. You can also search on the Centre’s acronym, if it has one.

14.3 Structure of Locations





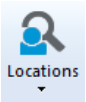
Required Fields		
Name	**Name**	**Details Field**
		First Names
		Last Name
EG: Australian National University	Vice Chancellor, Australian National University	Young, Ian

14.4 Searching for External Contacts (Locations)

Before creating any external contacts or locations conduct a thorough search to ensure they do not already exist in HP Records Manager.

Searching the Location Directory

Step 1. **Select** Search locations



Step 2. The Search for Locations box will open

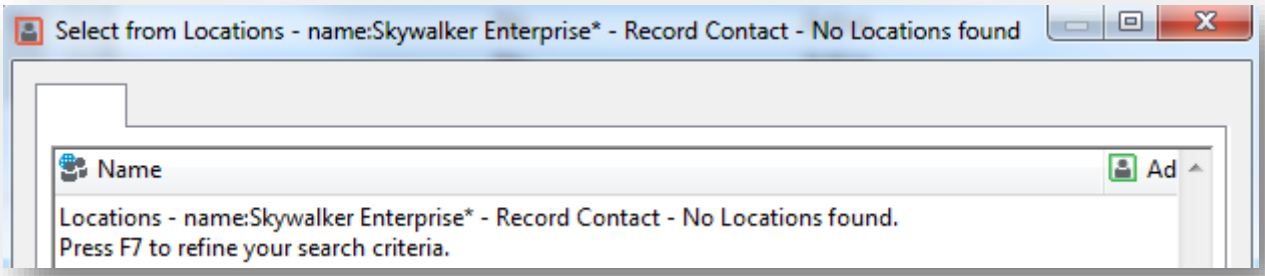
Step 3. Enter the Last Name of the person you would like to find into matching field

Step 4. HP Records Manager will search for the Location (Person)

Step 5. Select OK

HP Records Manager will return a list of available Locations
If the location does not exist you will need to create a new Location.

If the Location does **not exist** in the Location Directory the following message will display.



14.5 Creating External Contacts (Locations)

New Organisation

Creating a New Organisation

Step 1. **Right Click** on the New Organisation

Step 2. Conduct a location search to ensure the Location does not exist

Step 3. **Right Click** within the Locations window

Step 4. **Select** New location

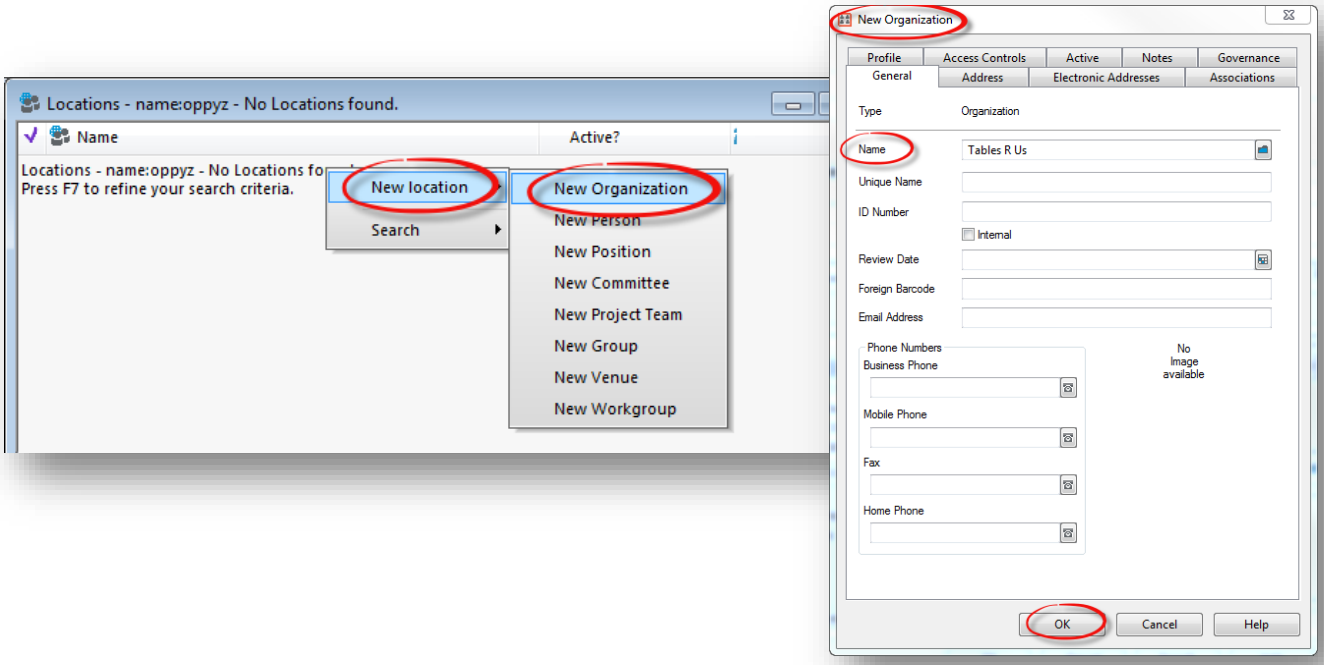
Step 5. **Select** New Organisation

Step 6. The New Organisation window will open

Step 7. **Enter** the Name of the Organisation

Step 8. **Select** OK

The new Organisation will be created



Warning: Only create new locations for **external** locations.
If you require a new internal location contact Records.

Email: records-services@unimelb.edu.au
Ext. 43534

14.6 New Position

Creating a New Position

Step 1. **Right Click** on the New Organisation

Step 2. **Select** New Child Location

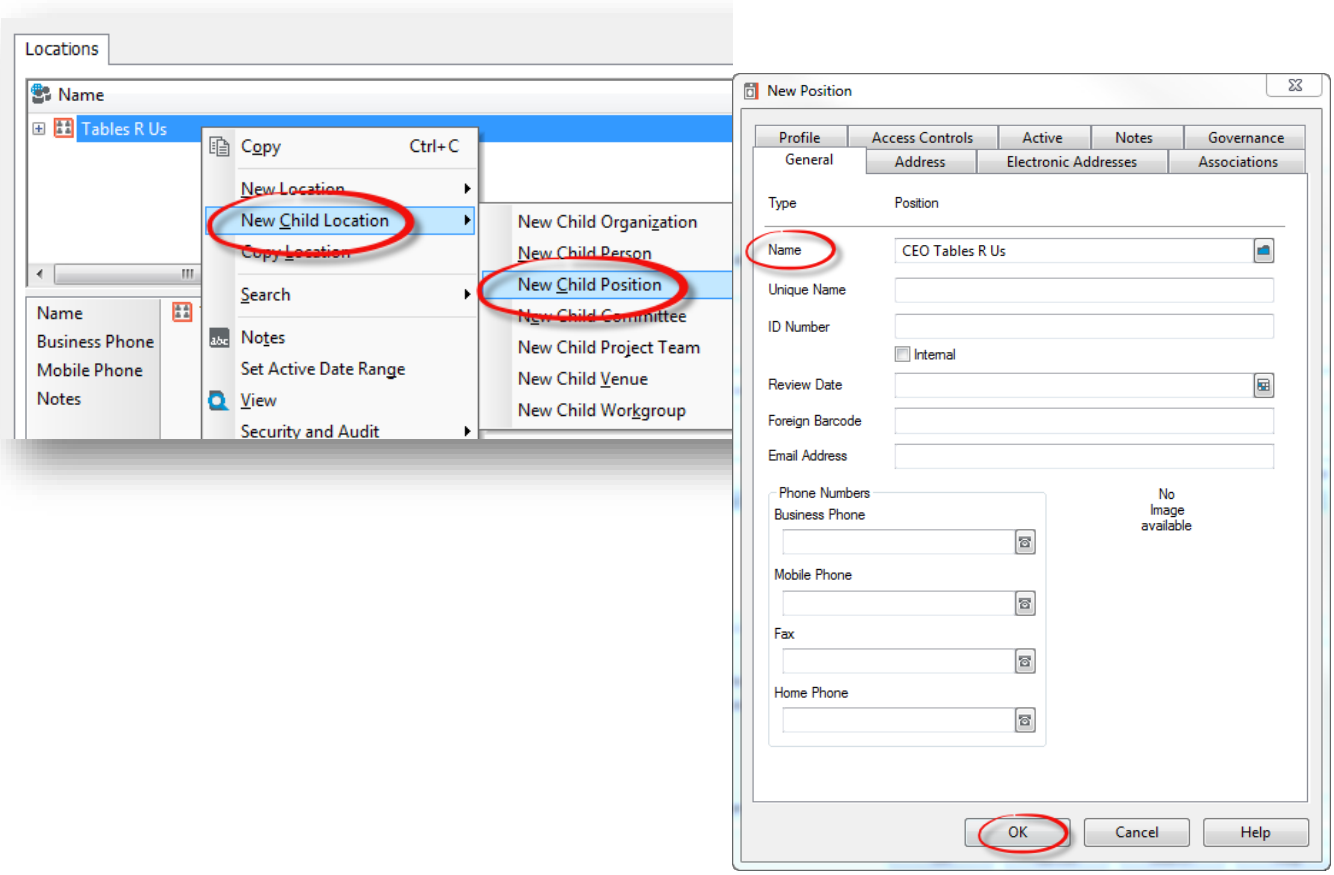
Step 3. **Select** New Child Position

The New Child Position window will open

Step 4. **Enter** the Name of the Position

Step 5. **Select** OK

The New Position will be created



Warning: Ensure you include the name of the organisation in the Position Name.

14.7 New Person

Creating a New Person

Step 1. **Right Click** on the New Position

Step 2. **Select** New Child Location

Step 3. **Select** New Child Person

The New Person window will open

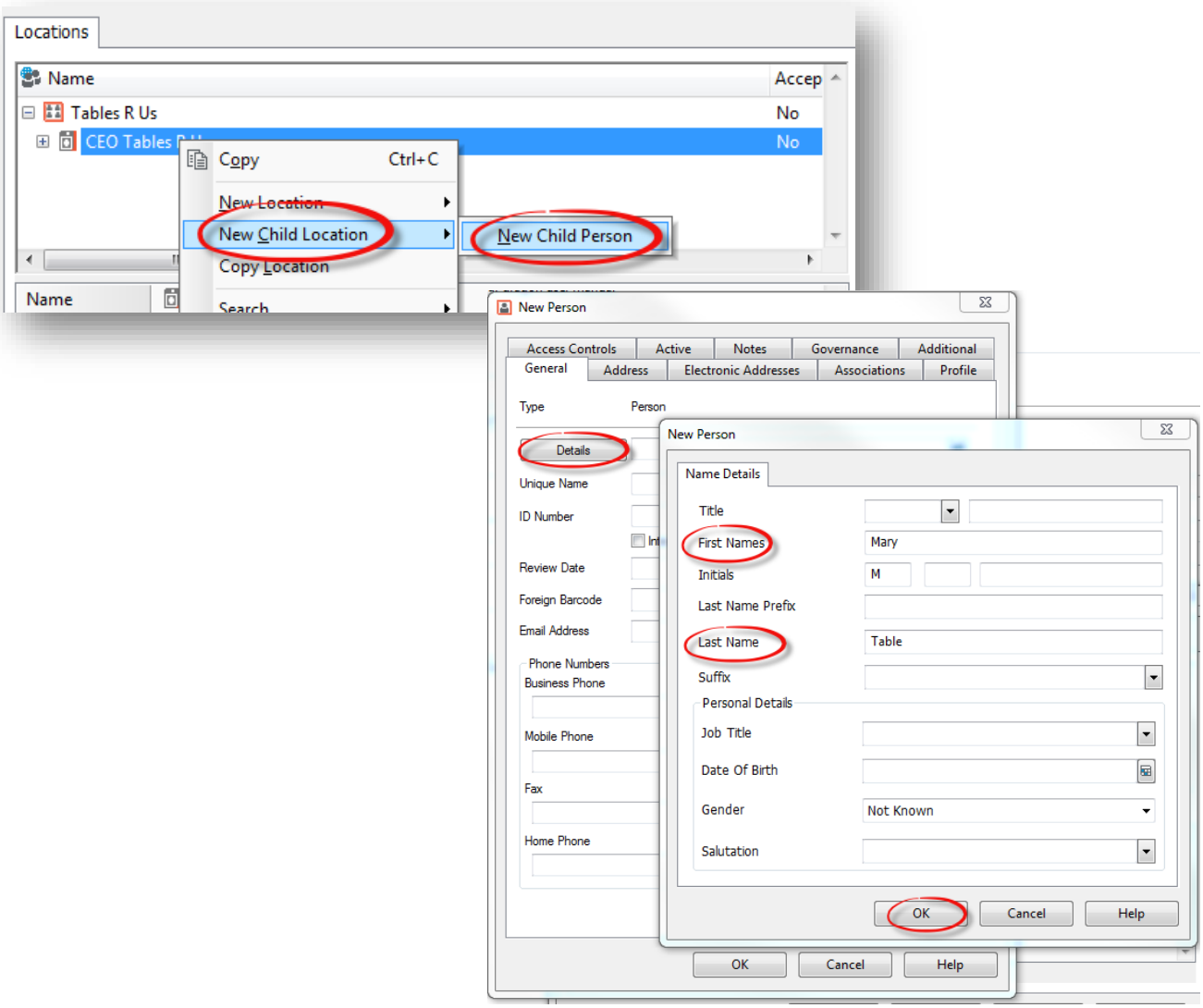
Step 4. **Select** the Details field

Step 5. A new, new person window will open

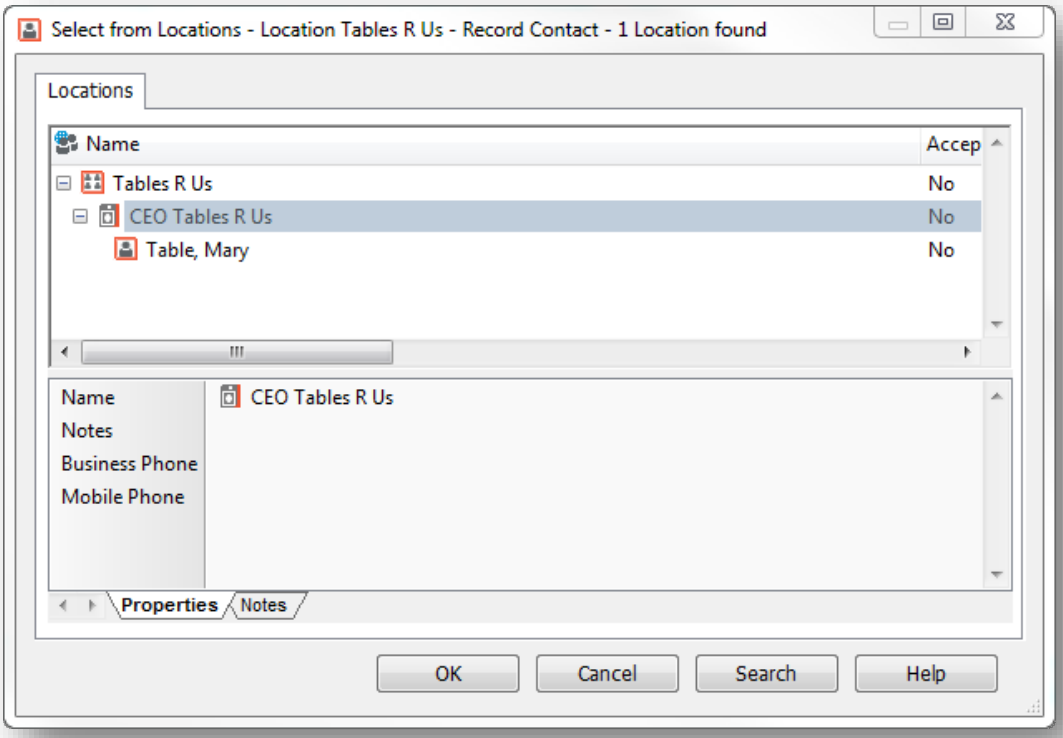
Step 6. **Enter** the First and Last Name

Step 7. **Select** OK

The new Person will be created



The new Organisation should look like this.



15. Quality Assurance Checklist

As part of the scanning process it is advisable to randomly check the quality of the scanned documents before being registered into HP Records Manager. Use this checklist to ensure that the scanned image is sufficient to meet legal obligations. Hard copy source records that have been digitised and saved to HP Records Manager can only be destroyed in accordance with an authorised digitisation plan. Contact Records records-services@unimelb.edu.au if you require assistance.

Faithful representation of the source record	Yes	No
Is all the information there?		
Is information missing from edges of image area? Is image orientation correct?		
Is image cropped or incomplete?		
Has the smallest detail been legibly captured? (e.g. smallest type size for text; clarity of punctuation marks, including decimal points)		
Do the colours accurately compare with the original? (e.g. density of solid black areas - too light? too dark? colour fidelity)		
Is the sharpness of the image comparable to the original? (e.g. lack of sharpness or too much sharpening; unnatural appearance and halos around dark edges)		
Are multi pages structured and arranged in the correct order as the original?		
Legibility		
Are shaded areas with text able to be read?		
Are there marks, lines or blotches on the image caused by the scanning process?		
Annotations		
Can any annotations be viewed? (Consider sticky notes and highlighting)		
File format		
Is file format correct? (.pdf, .pdf-a etc. as required by digitisation plan)		
Number of pages		
Does the number of documents produced match the number expected?		
Have all "blank" pages in image and not in original document been removed?		
Metadata		
Is metadata correct according to digitisation plan?		
Images		
Are any original images reproduced clearly? (Check original photos, logos, diagrams etc.)		

16. Privacy Policy (MPF1104)

1. Objective

The objectives of this policy are to:

(a) identify the University's obligations for handling personal information of past and present;

University staff, students, prospective students and other individuals associated with the University;

(b) encourage all University staff to take a proactive privacy approach; and

(c) identify the University's obligations for responding to complaints about potential privacy breaches.

2. Scope

This policy applies to the personal and health information (including sensitive information) of staff and students and other individuals associated with the University, collected by the University.

3. Authority

This policy is made under the *University of Melbourne Act 2009* (Vic) and the Vice-Chancellor Regulation and supports compliance with the:

(a) *Privacy and Data Protection Act 2014* (Vic);

(b) *Health Records Act 2001* (Vic);

(c) *Public Records Act 1973* (Vic); and

(d) *Privacy Act 1988* (Cth).

4. Policy

4.1 Proactive privacy – The University is proactive in its approach to privacy protection by anticipating and preventing invasive events before they occur.

4.2. Privacy by design – The University embeds privacy considerations into the design and architecture of information technology systems and business processes.

4.3. The University collects, uses, discloses and manages personal information as University records in accordance with the Victorian Information Privacy Principles in the *Privacy and Data Protection Act 2014* (Vic).

4.4. In circumstances where the *Privacy Act 1988* (Cth) applies to the University's operations or activities, the University will comply with Australian Privacy Principles that have the same intent as the Victorian principles.

4.5. The University collects health information of its staff, students and other individuals, in accordance with the Health Privacy Principles in the *Health Records Act 2001* (Vic).

5. Procedural principles

5.1. The University's Privacy Officer is responsible for responding to all complaints of potential privacy breaches.

5.2. Privacy impact assessments to identify and mitigate privacy risks, and identify and evaluate privacy solutions, must be undertaken throughout the development and implementation of any project that collects and handles personal information, or when making changes to existing systems.

5.3. Privacy statements must be available on the University's privacy website and include:

(a) the University's main functions and the types of personal information generally collected to fulfil these functions;

(b) how personal information is used and to whom it is routinely disclosed;

(c) whether collection of personal information is optional or compulsory under applicable legislation;

(d) how the information is stored securely and how access is properly managed; and

(e) how privacy is protected if the information is transferred or stored outside Victoria.

6. Roles and responsibilities

Role/Decision/Action	*Responsibility*	*Conditions and limitations*
The Privacy Officer must control and maintain the Privacy Policy	University Secretary	
The Privacy Officer must administer this policy, including informing and assisting staff on privacy issues and responding to complaints concerning privacy breaches.	University Secretary	

7. Definitions

Acts means *Privacy and Data Protection Act 2014* (Vic), *Health Records Act 2001* (Vic), *Public Records Act 1973* (Vic) and *Privacy Act 1988* (Cth).

Australian Privacy Principles means the set of 13 principles in the *Privacy Act 1988* (Cth) governing the collection, use, disclosure, management and transfer of personal information by Commonwealth government agencies and private entities with an annual turnover of more than $3 million.

Health information has the meaning given to it in section 3 of the *Health Records Act 2001* (Vic).

Health Privacy Principles means the set of 11 principles in the *Health Records Act 2001* (Vic) governing the collection, management, use, disclosure and transfer of health information by organisations such as the University.

Information Privacy Principles means the set of 10 principles in the *Privacy and Data Protection Act 2014* (Vic) governing the collection, use, disclosure, management and transfer of personal information by organisations such as the University.

Personal information has the meaning given to it in section 3 of *the Privacy and Data Protection Act 2014* (Vic).

Privacy by design means a methodology to build privacy into the design and architecture of information systems, business processes and networked infrastructure.

Privacy impact assessment means a point in time process that is part of business as usual to identify and mitigate privacy risks, and to identify and evaluate privacy solutions.

Proactive privacy means focusing on prevention rather than remediation.

Sensitive information has the meaning given to it in schedule 1 of the *Privacy and Data Protection Act 2014* (Vic).

University record means recorded information, in any format (eg electronic, paper, image) created or received by staff of the University in the course of conducting their University duties.

POLICY APPROVER

Vice Chancellor

POLICY STEWARD

Privacy Officer

REVIEW

This policy is to be reviewed by 11 March 2021.

VERSION HISTORY

Version	Authorised by	Approval Date	Effective Date	Sections modified
1	Council	08 October 2012	08 October 2012	New version arising from the Policy Simplification Project. Loaded into MPL as Version 1.
2	Vice Chancellor	11 March 2016	21 July 2016	New version arising from the Policy Consolidation Project. This policy and its supporting processes replace the Privacy Policy and the Privacy Procedure MPF1105.