

### Folders (Files)

Folders (files) are the level at which Records Governance compliance is achieved. For this reason, there is often fields on the Record Entry Form for folders (files) that require you to select an appropriate Classification and Security/Access Controls based on the information to be housed in that folder (file). Folders (files) can contain sub-folders, documents, emails, photos etc.

**Note:** Some TRIM record types of this level use the terminology 'folder' whilst others use the terminology 'file'. For the remainder of this guide, folder will be used to refer to both folder and file record types.

Creating folders is generally more difficult than creating cabinets and sub-folders, as folders generally have more fields to complete, and as mentioned above, folders will generally also require you to select an appropriate Classification and Security/Access Controls.

**Note:** Before creating a folder, it is a good idea to conduct a search of TRIM to ensure a folder of the same or similar name which will meet your requirements doesn't already exist.

**Hint:** In TRIM; folders, along with cabinets and sub-folders are all referred to as **Containers** as they can contain other records.

### Creating Folders

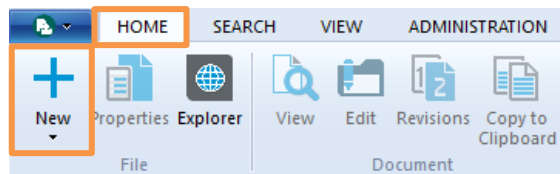
Folders can be created either as a stand-alone folder or can be created inside a cabinet. For more information on cabinets and how they can be used to group and organise folders please refer to the [TRIM - Quick Reference Guide - D20/325043 - Creating and Working with Cabinets in TRIM](#).

To create a folder in TRIM:

1. First determine if you want to create a stand-alone folder or if you want to create the folder inside a cabinet, then follow the appropriate instructions below:

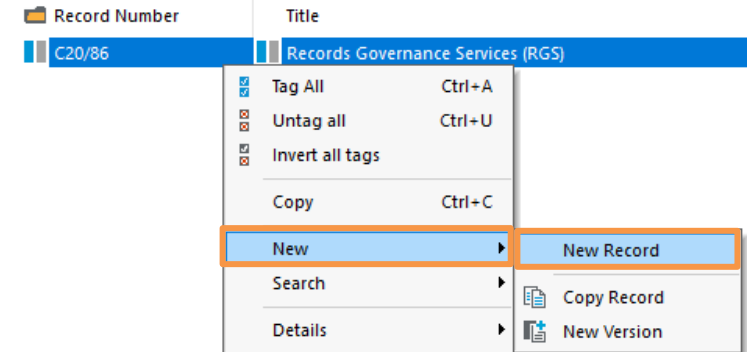
- **To create a stand-alone folder:**

Ensure the 'HOME' tab is selected, then click on the **New** button:




- **OR, to create a folder inside a cabinet:**

Right-click on the cabinet which you want to create a folder within, then select **New** → **New Record**:



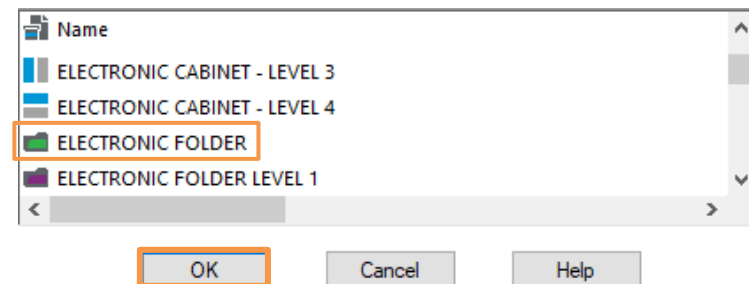
2. Next, you need to select the folder record type which you want to create. The main folder record type (which is available to all TRIM users) is the green ELECTRONIC FOLDER:

 **ELECTRONIC FOLDER**

**Note:** There are several other specialised folder (file) record types which exist in TRIM for certain University functions. E.g. HOMESTAY FOLDER, PROGRAM FOLDER, STUDENT MISCONDUCT FOLDER, GIPA FILE, PRIVACY FILE. Each of these specialised record types are only available to the TRIM users whose work involves these records.

If a specialised record type exists for the records you are saving, then this would be the appropriate folder record type to use. If not, the appropriate folder record type to use would be the green ELECTRONIC FOLDER (used in example below):

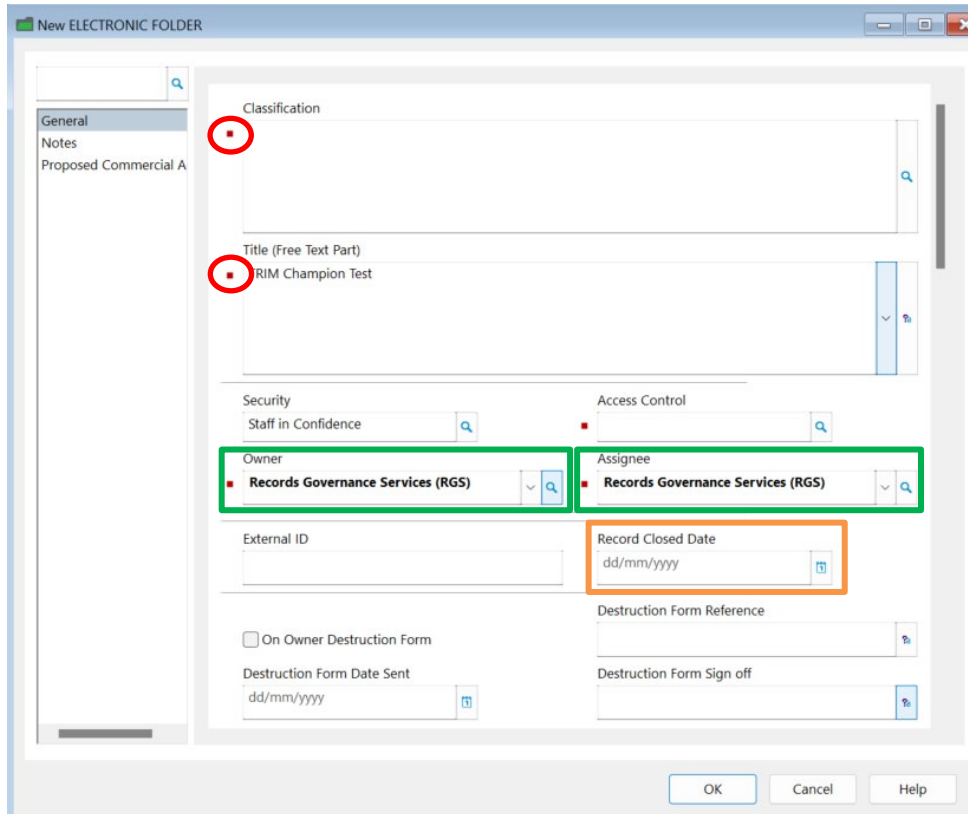
Select the appropriate folder record type by clicking on it once, then click **OK**:



- The **Record Entry Form** for your selected folder record type will appear on screen.

**Note:** Any field with a red asterisk to the left of it is a mandatory field. Mandatory fields must be completed before you can save your new folder. If you don't complete a mandatory field, you will be prompted to do so:

**Hint:** Some fields may be pre-populated for you:



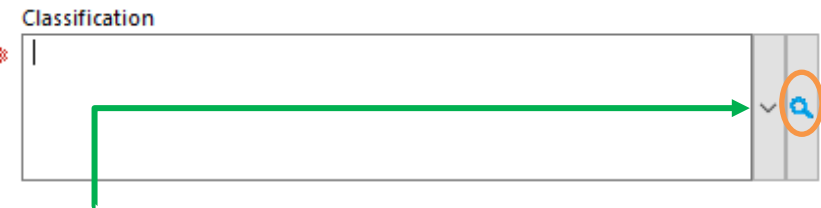
**Note:** The **Record Closed Date** field is used as a trigger to calculate when the Folder can be disposed of and should be based on the date of the last record placed in it.

### Classification

- The purpose of the 'Classification' field is to categorise the folder so we know what information is housed within the folder, and how long it must be retained for to meet legislative requirements. Should you require assistance with selecting the correct Classification for your folder, or be interested in receiving training on using the 'Classification' field; please contact Records Governance Services on 492 15306 or [records@newcastle.edu.au](mailto:records@newcastle.edu.au)

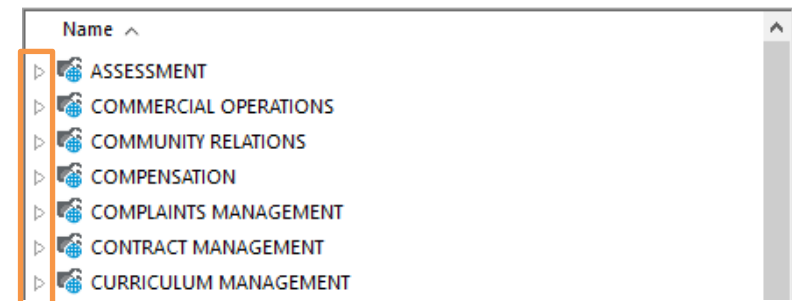
Specialised folder record types will most often have the 'Classification' field pre-populated for you. If this is the case, please move forward to [Step 5](#). However, if you do need to complete the 'Classification' field, below are instructions on how to do so:

- Click on the **magnifying glass** button at the end of the 'Classification' field:



**Hint:** The **drop-down** arrow at the end of the 'Classification' field is a quick and easy way to display and select Classifications you have used previously.

- Top Level Classifications will appear. Scroll through the list of Top Level Classifications to find the most appropriate for the folder you are creating, then click on the **triangle** to the left of it to see the Second Level options for that Classification:

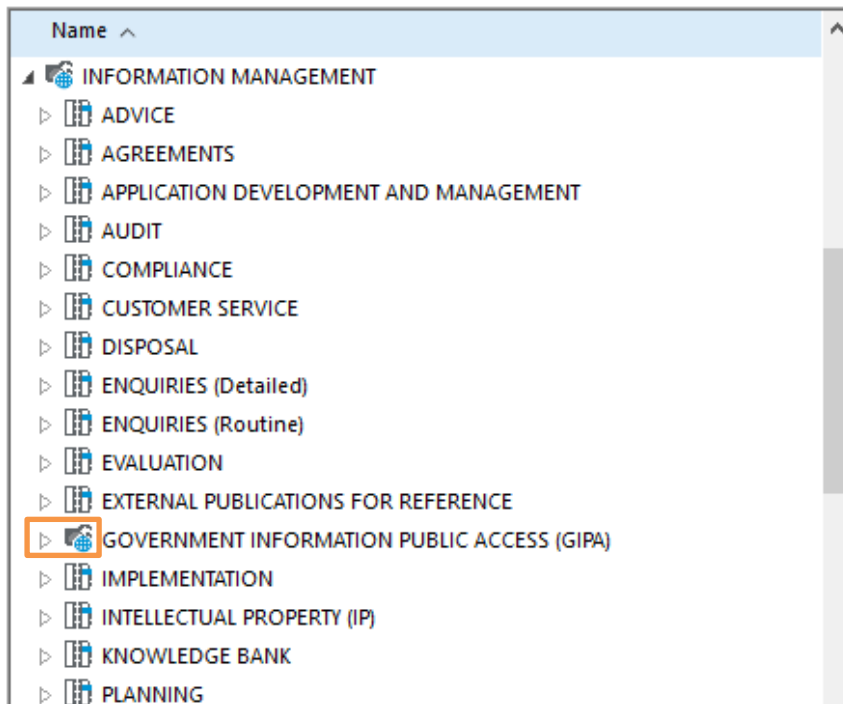


**Note:** You can't attach a Top Level Classification to a folder.

- c. The Second Level Classifications for your chosen Classification will appear. Only Classifications with the below icon can be attached to a folder:

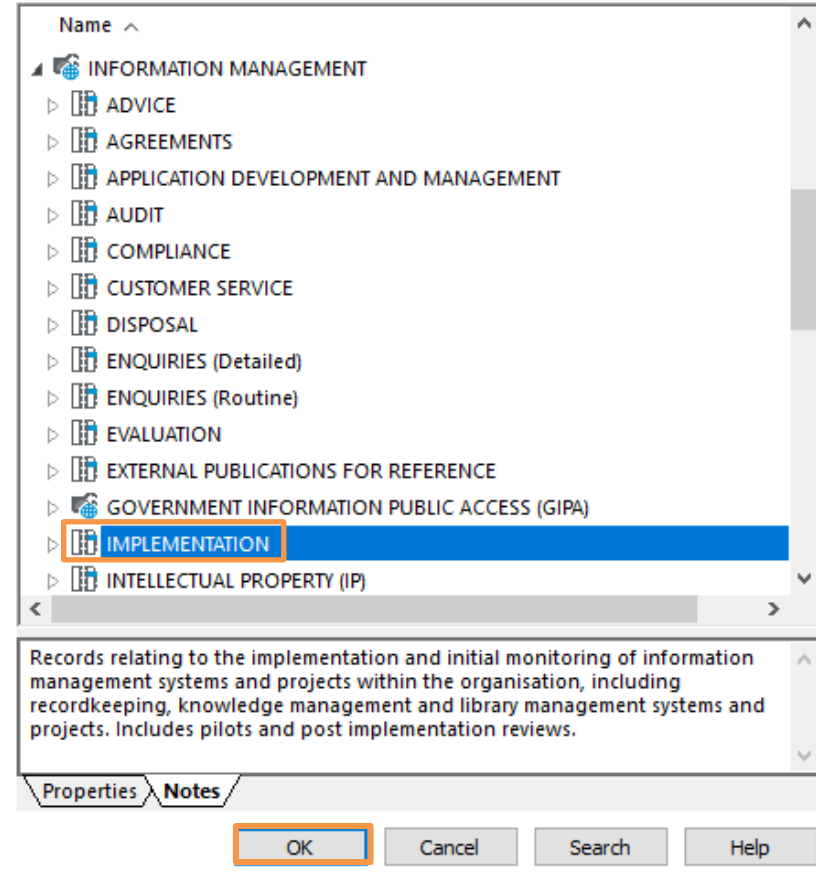


For some Classifications it is possible that some of its Second Level Classifications are not able to be attached to a folder (example below). Should you encounter this, you will need to click on the **triangle** to the left of the Classification to see the Third Level options for that Classification:



**Hint:** Some Second Level Classifications which can be attached to a folder may also have Third Level Classification options which may be more appropriate for the records you are saving into TRIM. Once you have located the correct Second Level Classification, it is good practice to click the triangle next to it to check if there is a Third Level option.

- d. When you have located the correct Classification, click on it once to select it, then click **OK**:



- e. Your selected Classification will now be populated in the 'Classification' field:

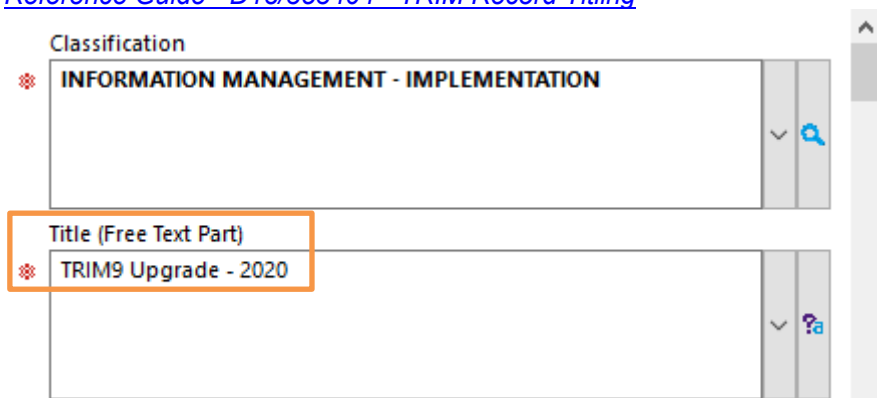


### Title

5. In the 'Title (Free Text Part)' field, type in an appropriate title for your folder in line with any local naming guidelines or general UON titling guidance.

**Hint:** The Classification you selected will form the first part of your title, and the 'Free Text Part' you type will form the remainder of your title.

**Hint:** If you require assistance with titling please refer to the [TRIM - Quick Reference Guide - D18/353404 - TRIM Record Titling](#)



Classification  
 INFORMATION MANAGEMENT - IMPLEMENTATION

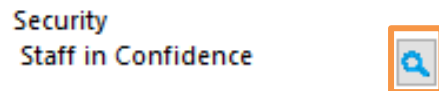
Title (Free Text Part)  
 TRIM9 Upgrade - 2020

### Security

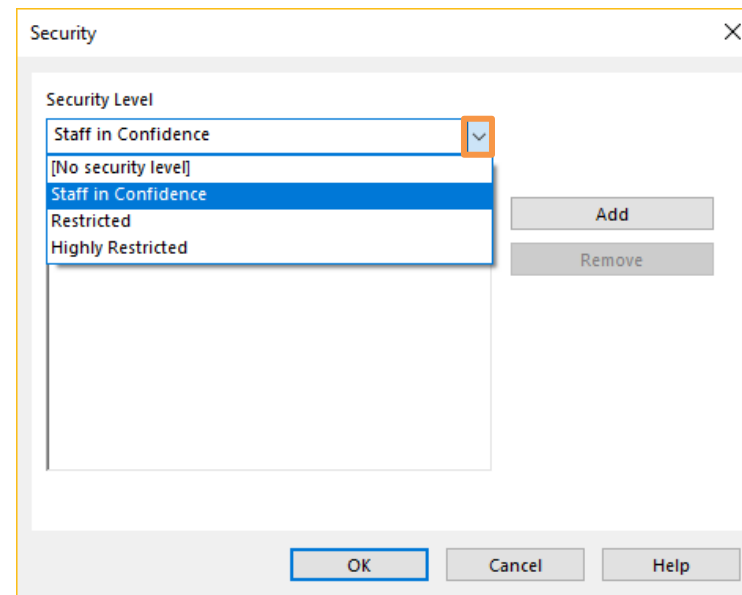
6. If the **Record Entry Form** has a field titled 'Security', below is information on this field, and instructions on how to complete it (should this be necessary). If not, please move forward to [Step 7](#):

By default, the 'Security' field should be populated with **Staff in Confidence**. However, some Classifications (refer Step 4 above) will automatically populate this field with higher/additional security restrictions. Generally, whatever is prepopulated in the 'Security' field should be sufficient, as Access Controls (discussed below) are primarily used at UON to control access to records in TRIM. However, if you are dealing with sensitive information which should have higher/additional security restrictions on it; you can customise the Security for the folder you are creating as per the below instructions.

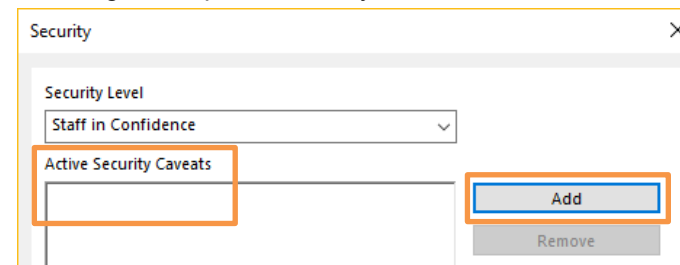
- a. Click the **magnifying glass** button to open the '**Security**' window:



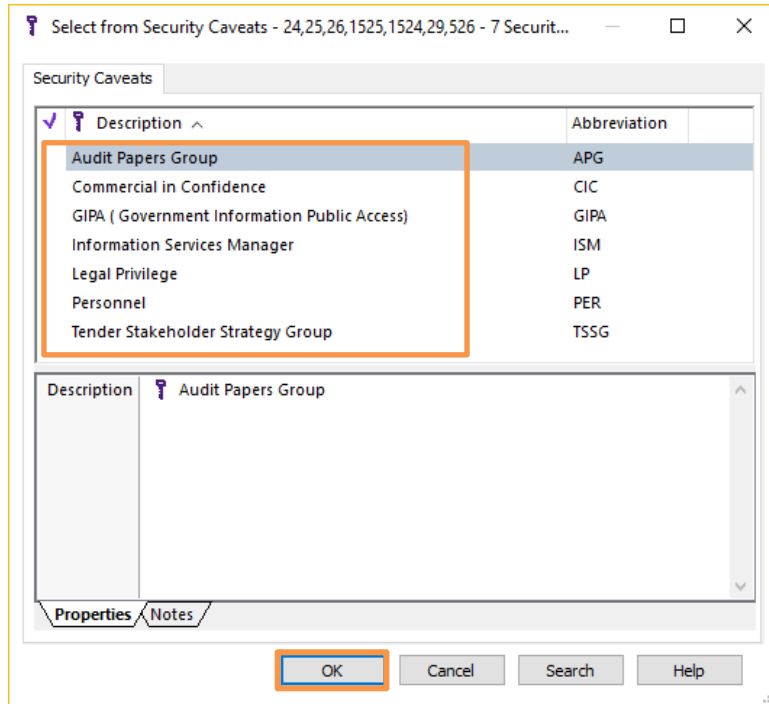
- b. With the '**Security**' window displayed, click on the 'Security Level' **drop-down** arrow, and select the most suitable Security Level for the folder you are creating:



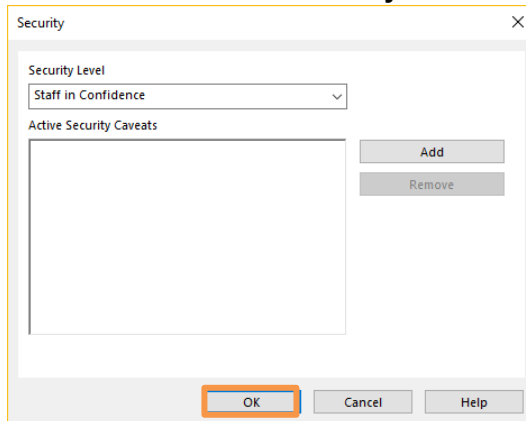
- c. Within the 'Security' window is also where you add Security Caveats. By default, the 'Active Security Caveats' field is blank. However, some Classifications (refer Step 4 above) will automatically populate this field with one or more Active Security Caveats. Generally, whatever is prepopulated here should be sufficient, as Access Controls (discussed below) are primarily used at UON to control access to records in TRIM. However, if you are dealing with information which requires a Security Caveat to be applied to it, this can be done by clicking the **Add** button to the right of the 'Active Security Caveats' field and selecting the required Security Caveat from the list:



- d. Select any applicable Security Caveats (or select multiple by clicking to the left of them to tag them), then select **OK**:



- e. Click **OK** to close the 'Security' window:



### Access Controls

7. If the **Record Entry Form** has a field titled 'Access Control', below are instructions on how to complete this field. If not, please move forward to [Step 8](#).

**Note:** The 'Access Control' field may be pre-populated for you depending on either which folder record type you selected in Step 2, or which Classification you chose in Step 4. If so, and you are happy with the Locations which have been pre-populated in this field; you may move forward to [Step 8](#).

Access Controls are Security controls which can be applied to control access to records within TRIM. Access can be granted or denied to users or groups of users. This is particularly useful when the contents of a folder are confidential and only a selected group of users should have permission to view the records.

Access Controls should be applied at the folder level. It is generally easier to maintain Access Controls at the folder level rather than the individual document level, especially when the majority of documents saved in a folder will likely require the same Access Controls. By default, records contained within a folder will automatically inherit Access Controls from the folder (i.e. sub-folders, documents, emails etc. within a folder will have the same access restrictions as the folder).

Below is listed the seven available Access Controls, and an explanation of the purpose of each one:

Access Control	Purpose
<i>View Document</i>	Permits those listed to view the folder and documents within it – users must also have the "View Metadata" permission to view the document.
<i>View Metadata</i>	Permits those listed to view the title and metadata of the folder and its contents, but NOT actually open the document and view it. Users must have the "View Document" permission to view any documents inside the folder.
<i>Update Document</i>	Permits users listed to edit documents within the folder.
<i>Update Record Metadata</i>	Permits users listed to make changes to the record metadata. E.g., Update the title.
<i>Modify Record Access</i>	Permits users listed to make changes to the Security and Access Controls on a record.
<i>Destroy Record</i>	Users are unable to destroy records so this can remain as <b>&lt;Unrestricted&gt;</b> .
<i>Contribute Contents</i>	Permits users listed to save documents inside the folder.

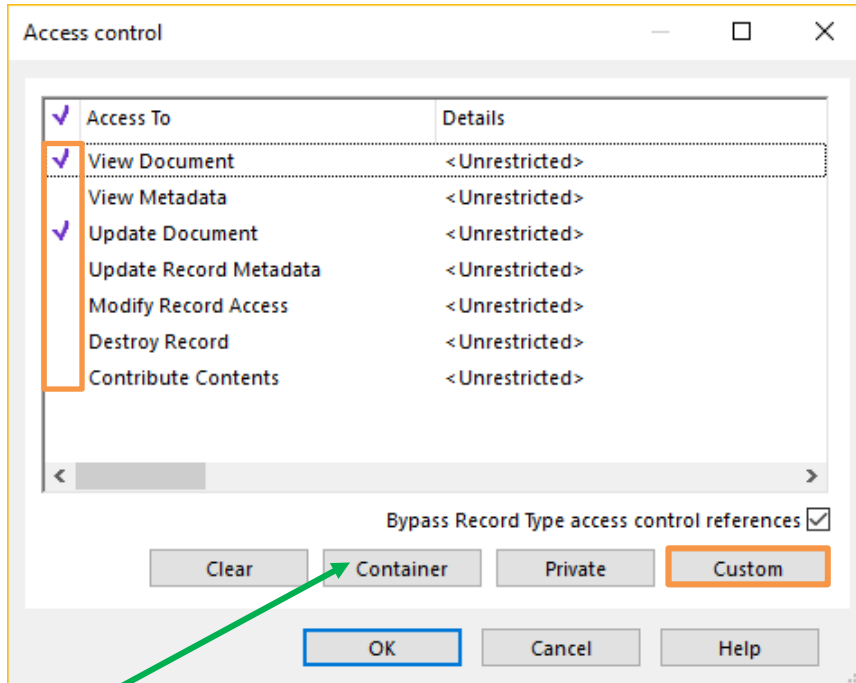
To complete/make changes to the 'Access Control' field:

- a. Click the **magnifying glass** button to open the 'Access control' window:

**Access Control**



- b. Place a tick next to any Access Controls you wish to change (example below) then click **Custom**:

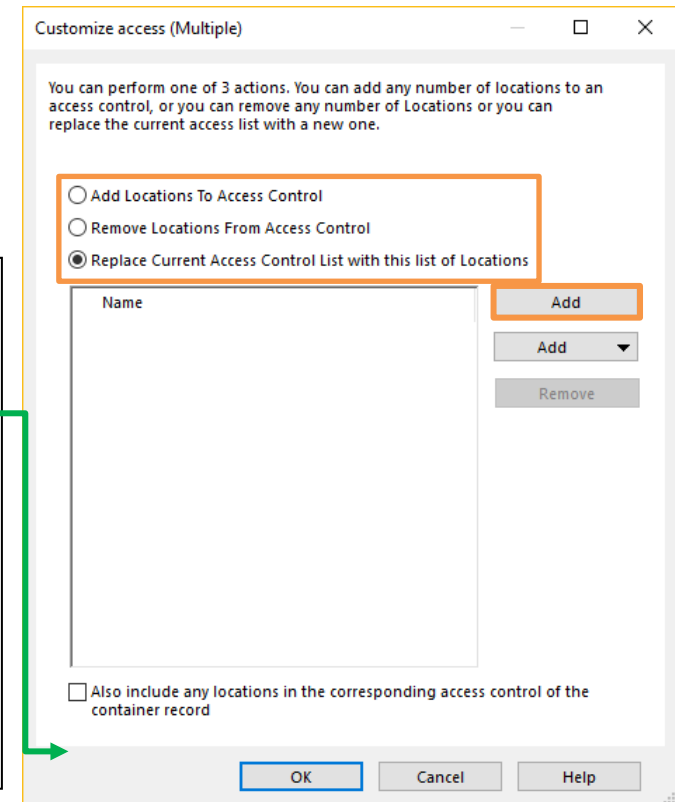


**Hint:** If you are creating your folder inside a cabinet, and that cabinet already has the required Access Controls assigned to it; then instead of clicking **Custom** above, click **Container** instead. Your selected Access Controls for your folder will then inherit the Access Controls of the cabinet it is being placed within. If no other changes are required, you

can then select **OK** to close the '**Access control**' window and proceed to [Step 8](#).

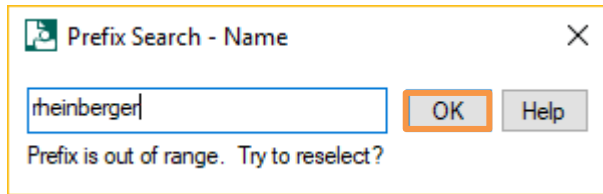
- c. The '**Customize access**' window will appear. As the below window explains, you can perform one of three actions:
  - The first option will keep any Locations currently on your selected Access Control(s) (if any) and add in any number of new Locations.
  - The second option will remove any number of Locations from your selected Access Control(s) (if any).
  - The third option will replace the Locations currently listed on your selected Access Control(s) (if any) with a new list of Locations.

Select the option you want to perform, then click **Add**:

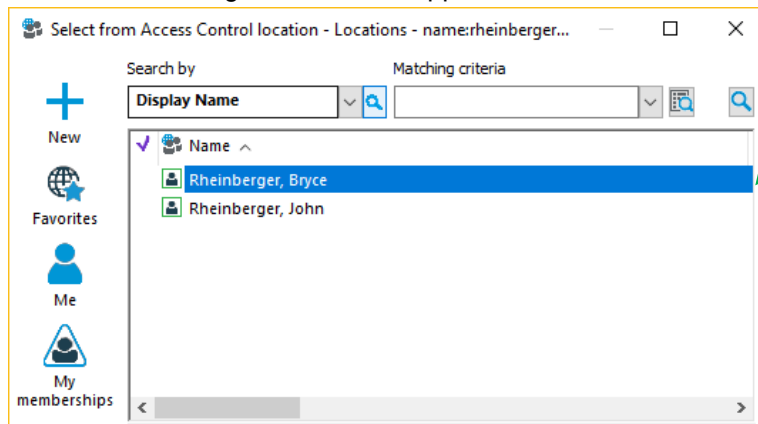


**Hint:** If you are creating your new folder in a cabinet, placing a tick in this checkbox will copy over any Locations in the cabinet's corresponding Access Control(s) (the Access Controls which you selected at Step b to the left).




- d. The 'Select from Access Control location' window will appear. **Don't click anywhere**, but instead just start typing the surname of the person or the name of the Position, Unit/Team you wish to add. When you start typing the 'Prefix Search – Name' window will pop up. Click **OK** to run the search:




- e. The list of matching Locations will appear:



**Hint:** When selecting Locations to grant access to, select:

- A Green **Organisation** Location  and/or
- A Green **Group** Location  and/or
- A Green **Position** Location 

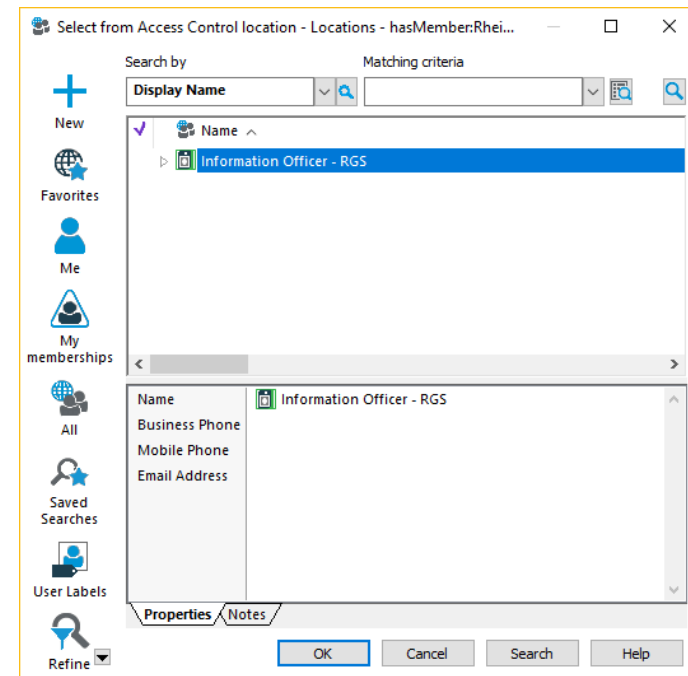
**Do Not** select a Person Location  because if that person transfers to a different Team, Unit, School, Faculty etc. it will likely be no longer appropriate for them to have access to that folder.

**Hint:** An easy way to locate a 'Position' Location such as 'TRIM Administrator' or 'Manager Records Governance Services', or other Location such as a School or Business Unit is;

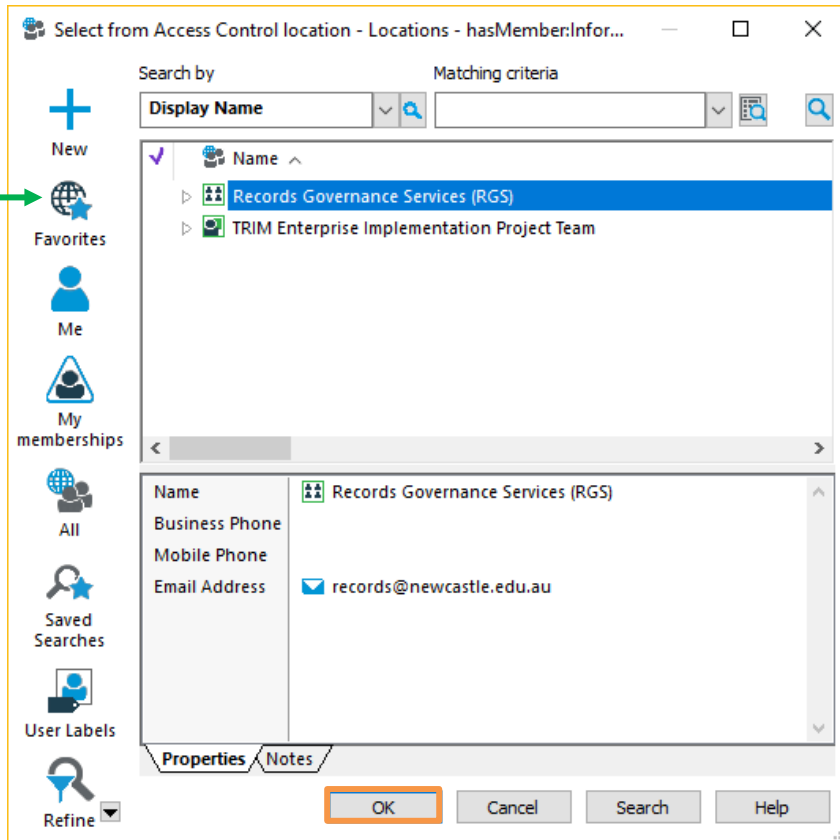
- At Step d (refer left) search for a person who is in that Location.
- Then, when the 'Select from Access Control location' window appears (refer Step e to the left), click on the person you searched for to highlight them blue.
- Then, press **Ctrl+J** on the keyboard to navigate one level up the TRIM Locations Hierarchy.

Examples:

- o If you press **Ctrl+J** on a **Person** Location, TRIM will likely display that person's **Position** Location, or **Team/Business Unit** Location they are a member of.
- o If you press **Ctrl+J** on a **Business Unit** or **School** Location, TRIM will likely display the **Division** Location or **College** Location which that Business Unit or School resides under.



- If necessary, you can continue to use **Ctrl+J** to navigate up the TRIM Locations Hierarchy until you have located the Position/Business Unit/School etc. Location you want to select. Once you have located the Location you want to select, click on it once to highlight it blue, then click **OK**:

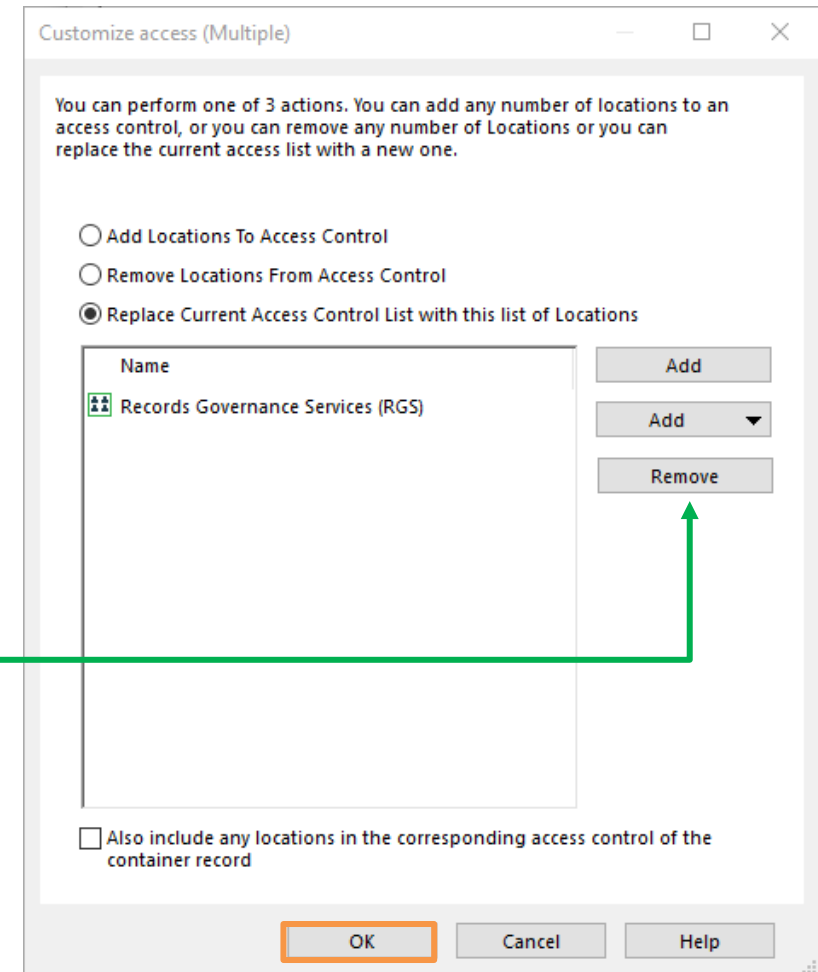


**Hint:** If there are TRIM Locations which you think you will need to use regularly; you can add them to your Favourites by right-clicking on them → **Send To** → **Favorites**

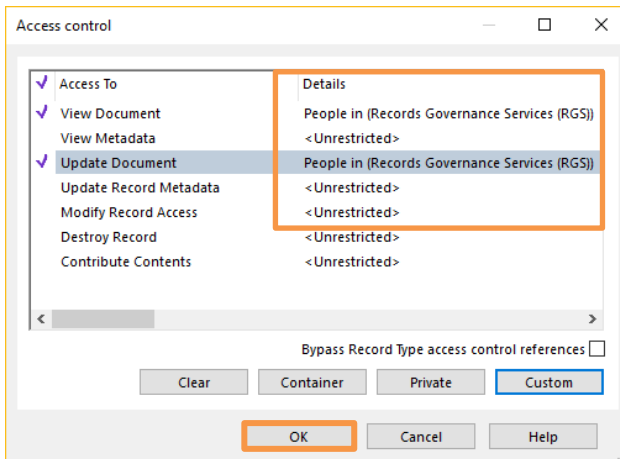
Then in future when you're looking for a Location in a Locations window such as the one above, you may be able to click on the **Favorites** button to easily find it.

- f. The Location(s) you added will now be displayed in the '**Customize access**' window. If necessary, you can repeat the above steps to add additional Locations. When you're ready, click **OK** to close the '**Customize access**' window:

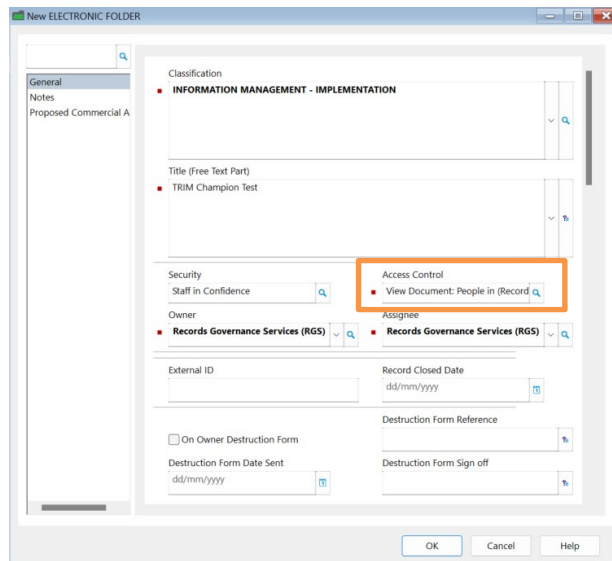
**Hint:** If you have added a Location but now want to remove it, if you click on it once to highlight it blue you can then use the **Remove** button to remove it.



- g. You can see the changes to the Access Controls under the 'Details' column. If necessary, you can repeat the above steps to make further changes. When you're ready, click **OK** to close the 'Access control' window and save the changes:



- h. The 'Access Control' field will now be populated with the changes you made:

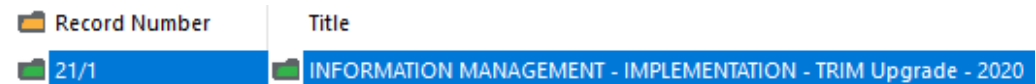


### Record Closed Date

8. If you are creating a yearly folder (for example, Communications – 2025), you may wish to set a future **Record Closed Date** of 31/01/2026. This allows an additional month after the University's closedown period to ensure all records are captured in the folder before it is finalised.

Please note that this field is optional. While folders can be closed at a later date (as outlined below), it is considered best practice to enter a Record Closed Date at the time of creation to avoid the risk of forgetting later.

9. Click **OK** to create the folder.  
10. Your new folder will appear in TRIM:

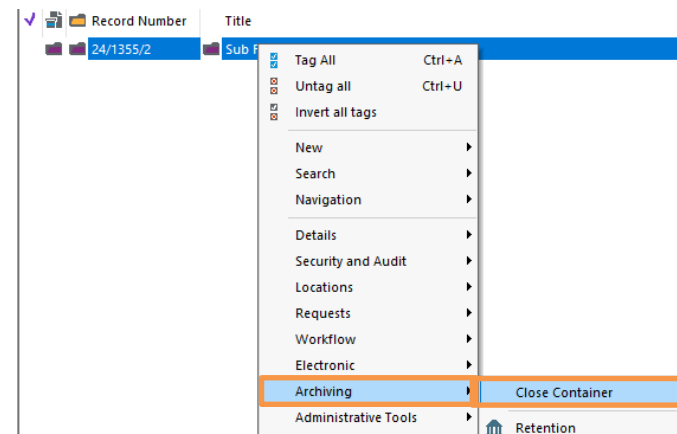


### Closing Folders

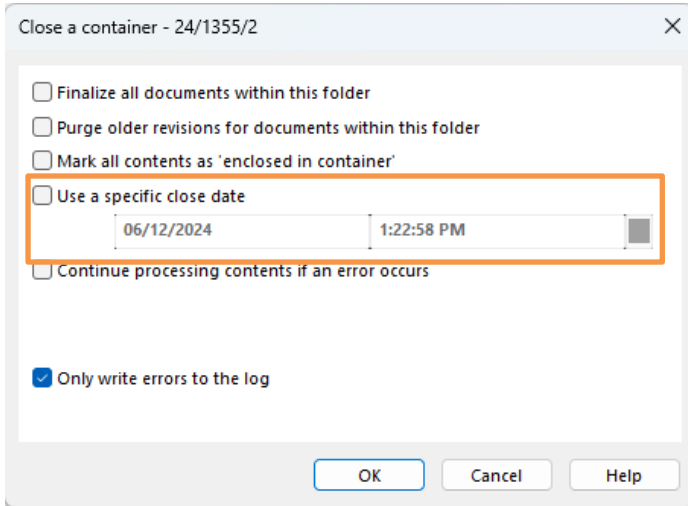
Closing a folder prevents users from adding further documentation to a folder. A folder should be closed when they are no longer active records for you. By closing a folder, you will identify to Records Governance Services that the folder can be made 'inactive' in the system, and this will begin its minimum retention lifecycle in accordance with NSW State Archives General Retention requirements.

To close a Folder:


1. Select the folder to be closed, right-click point to **Archiving** and then click **Close Container**. The **Close a Container** dialogue box is displayed.



- The current date and time will automatically be populated in the **Use a specific close date** field. If you require a different close date, tick the box next to **Use a specific close date** and enter the required date.



- Click OK to close the window.
- You can see in the **Properties Tab** the date the folder has been closed

Creator	 Kat Withnell
Date Created	Tuesday, 29 October 2024 at 11:43:55 AM
Date Closed	Friday, 6 December 2024 at 1:26 PM