DocuWare

DocuWare for Smart Document Control

User Manual

Answers and how-to guides for user of the preconfigured solution DocuWare for Smart Document Control.

DocuWare Version 7.9 / DW7.9T0
DocuWare Version 7.8 / DW7.8T0
DocuWare Version 7.7 / DW7.7T0
DocuWare Version 7.6 / DW7.6T1

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Disclaimer

Gender Neutral Communications

DocuWare communications are gender-neutral. All past and future communications issued by the company are inclusive of all genders, even if not explicitly stated in the wording.

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Contents

1 User management

1.1 User roles in the solution

Roles are assigned when a user is created (page 4) in the User Management within the Roles tab. In the solution DocuWare for Smart Document Control, user roles do not define who is allowed to read, edit, or own a document. These permissions are assigned to the document directly when a document is stored (page 9).

Depending on the role assignment, users can see and access different elements of the solution in the DocuWare Client.

The following user roles are available in the solution:

DW - Administrator

This user role manages the solution, has full access to the configurations, and all file cabinets. The *DW - Administrator* can, for example, create new users (page 4) or adapt the solution's select lists (page 12).

DW - All Users

All users must be assigned to this role in user creation (page 4) for storing, searching, and editing documents.

DW - Contract Management

This role provides access to additional components for managing contracts, for example, a contract document tray, dialogs for store and search, list and folders.

DW - Signature

This role provides access to the components for the solution DocuWare for Electronic Signature, when added to the system.

Default Organization role

This role is automatically assigned to all users when they are created in the DocuWare system.

Organization Administrator

This role is automatically assigned to the registration user who created the organization. Users of this role can perform all administration tasks within the DocuWare system.

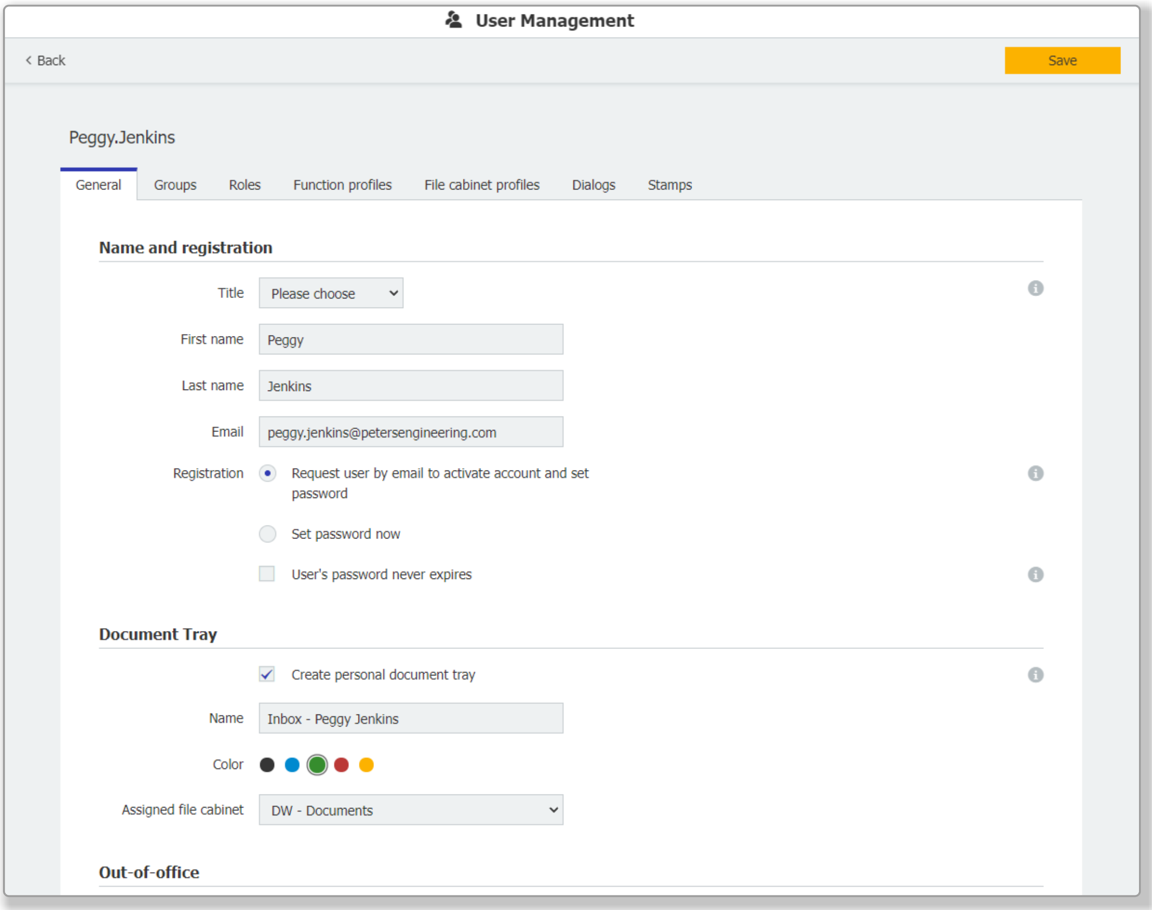
1.2 Create new users

The *DW - Administrator* of the solution can add new users in a few steps.

Here's how:

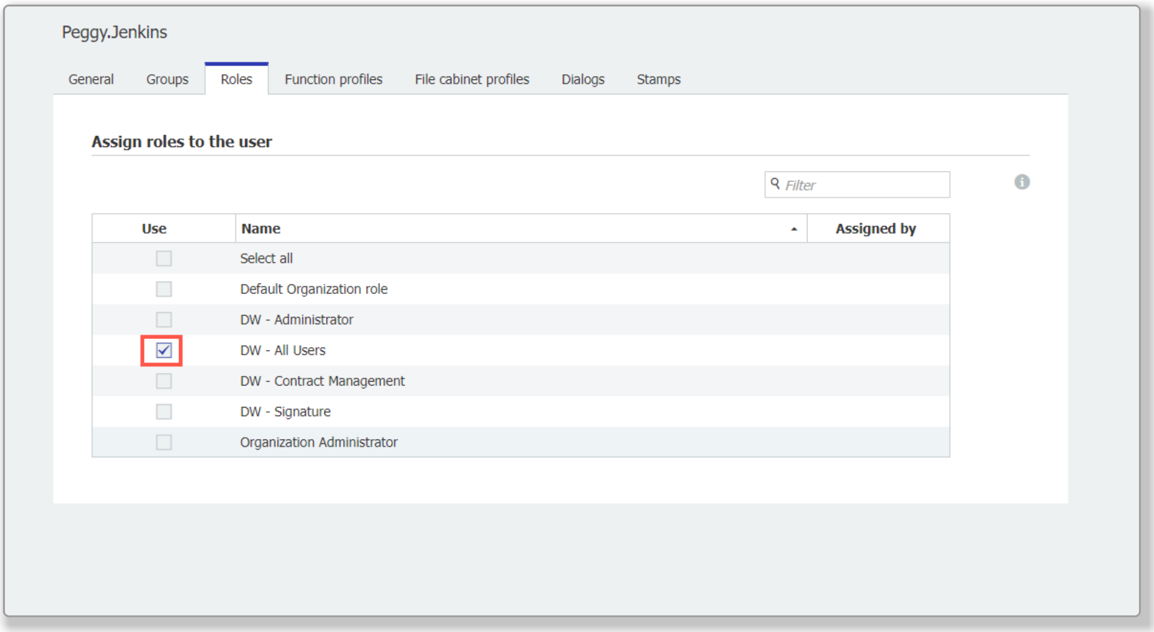
- In your DocuWare Client open *Configurations* via the main menu (click on your username) and go to *User Management* in the *General* section.
- Click on the *New user* button at the top left to create a new user.

- In the *New unnamed user* box enter the username (this will be used as the DocuWare log-in). The username must be unique, for example use a period to separate first name and last name (firstname.lastname); hyphenate double names (firstname-firstname.lastname).
- Enter all appropriate user information. The email address is required, because users are notified via email of tasks or sent a link to reset their password.

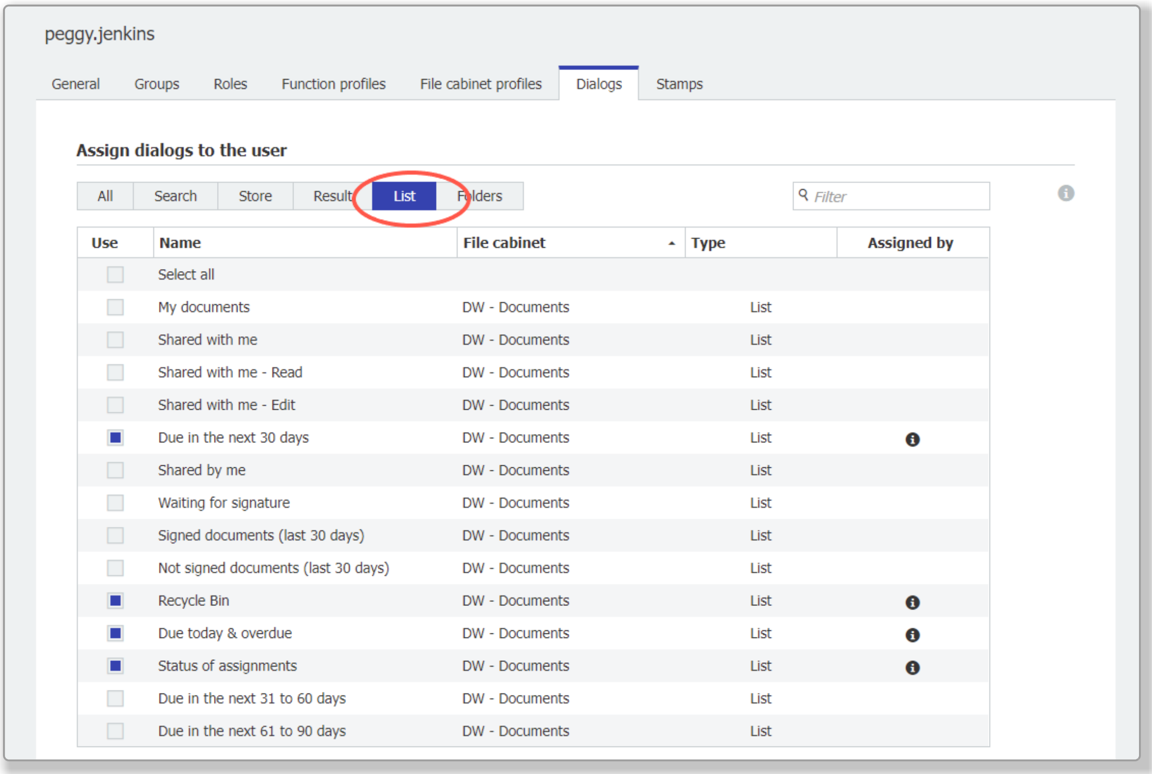


- By default, a personal document tray *Inbox* is automatically created for each user (in addition, each user automatically receives the document trays included in the solution or can create additional document trays themselves if required).
  - For clear differentiation of the trays, we recommend including the name of the user after the suggested tray name.
  - Select a color indicator for the tray. Assign the file cabinet *DW - Documents* to the tray.

- Switch from the *General* tab to the *Roles* tab and **assign the new user to at least** to the role (page 4)*DW - All Users*.



- Optionally switch to the *Dialogs* tab and then to *Lists* for activating additional lists (page 17) for the user.



- Click on *Save* (upper right) to complete the new user creation. The employee receives a registration email for the new user account and DocuWare login information based on your selections within the user creation.

2 Secure Archiving

2.1 Document trays and file cabinets in the solution

Documents are stored from document trays to file cabinets.

Document trays serve as temporary storage to capture documents before storing them in the file cabinet. Document trays can be shared, but they can also be personal.

File cabinets store documents based on the retention periods and in an orderly manner. Also, data and meta data, such as document types and retention periods are maintained in the file cabinet.

Document trays included in Smart Document Control:

DW - Administrator Inbox

Shared document tray for users assigned to the role *DW - Administrator*.

DW - Contracts

Shared document tray for capturing and sorting of contracts and documents. Only for users assigned to the role *DW - Contract Management*.

DW - First Steps and more

Shared document tray for capturing and sorting of any documents. We have already provided a few documents into this tray: a short First Steps guide to the solution, document flowchart, and a sample proposal.

Personal tray for each user

A personal inbox can be created for each user in the user creation (page 4).

Furthermore, it is possible to create additional shared or personal document trays. Detailed information about the document tray and its functions can be found in the DocuWare Basics how-tos.

File cabinets included in Smart Document Control:

DW - Documents

This file cabinet is the central repository for all documents in your company, for example, contracts, proposals, agreements, letters, and emails. All users are assigned to the role *DW - All Users* providing them access to this file cabinet for storing and retrieving documents. Stored documents can only be viewed and or edited based on the permissions assigned individually per document.

DW - System Data

This file cabinet is a data file cabinet. It contains fixed selection lists for your documents and the version of the solution.

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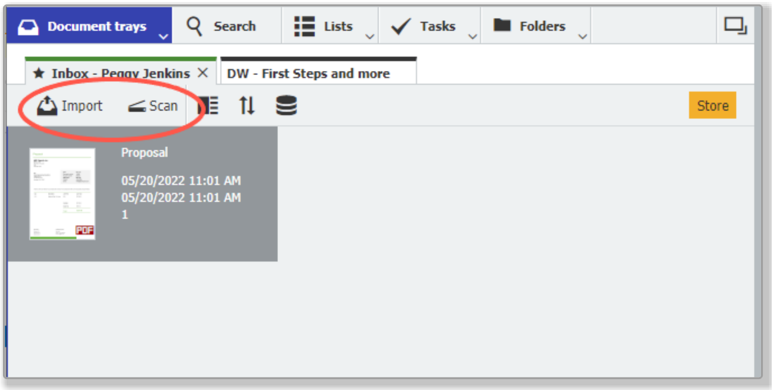
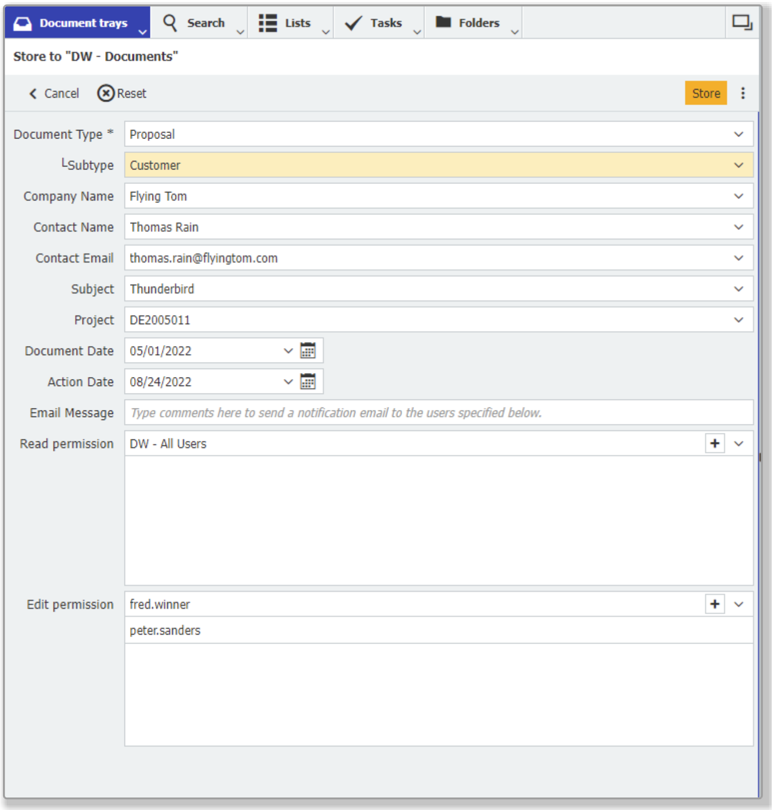
2.2 Capture and store documents

- Capture documents by drag and drop, the *Import* button or *Scan* into one of your document trays (page 8). Also, emails or email attachments can be simply dragged and dropped into any tray.



- Select a document in the tray and click on the *Store* button. For users assigned the role *DW - All Users*, this opens the store dialog for indexing documents and storing them in the *DW - Documents* file cabinet. For users that have been assigned additional roles, a drop-down list with several store dialogs will open. For example, select *DW - Documents - All Documents* or *DW - Documents- Contracts* specifically for storing contracts.
- **Index the document to quickly find it later in the file cabinet:**
  - **Document type** is a mandatory index field. This ensures consistent indexing, using a predefined select list. Click on the down arrow to the right of the index field and select the appropriate entry. For many document types there are additional subtypes to choose from. If a suitable document type or subtype is not on the list, additional types can be easily added to the select list (page 12).
  - **Add additional index information.** Simply type in the field directly or transfer data from the document using One Click Indexing.

- **Specify an Action Date in the index field if desired:** This provides a notification in the list *DW - Documents - Due in the next 30 Days* as an alert that your attention is needed on the document. Read more (page 22)
- **Specify an email message and the user permissions if desired:** Provide other users read or edit permissions (page 20) to the document and optionally inform them with an email notification. Select individual users or share the document with everyone selecting the role *DW - All Users*. If you leave these fields empty, the document will be stored only for you. You can provide other users access after storing using a stamp.



- After all the appropriate index fields are complete, click the *Store* button. The document is now securely stored in your *DW - Documents* file cabinet.

2.3 Document types and retention periods

Each document is indexed, at a minimum with a document type (agreement, contract, etc.) and optionally with a corresponding subtype (consulting, employment, etc.) when stored (page 9) in in the file cabinet *DW - Documents*.

To ensure consistency, document types and subtypes are entered during storing using a predefined select list. The select list can be modified and expanded (page 12) as required.

For each predefined document type and subtype a default retention period of 7 years is set. Thirty days before the end of their retention period, the document is displayed in the *DW - Documents - Recycle Bin* list of its owner(s) and deleted on the retention date.
The retention period can be changed (page 14) as required for longer or shorter periods.
In addition, you can use a stamp at any time to delete documents (page 15).

Overview of predefined document types and retention in years:

Document Type	Subtype	Retention in years
Agreement	Consulting	7
	Maintenance	7
	Non-Disclosure	7
	Other	7
	Subcontractor	7
Contract	Employment	7
	Financial	7
	Insurance	7
	Licensing	7
	Other	7
	Partnership	7
	Telephone	7
Invoice	Customer	7
	Vendor	7
Lease	Building and Property	7
	Machinery and Equipment	7
	Other	7
	Vehicle	7

Letter	Received	7
	Sent	7
Packing Slip	Customer	7
	Vendor	7
Proposal	Customer	7
	Vendor	7
Purchase Order	Customer	7
	Vendor	7
Statement	Bank Account	7
	Credit Card	7
Travel Expense	Expense Report	7
	Receipt	7

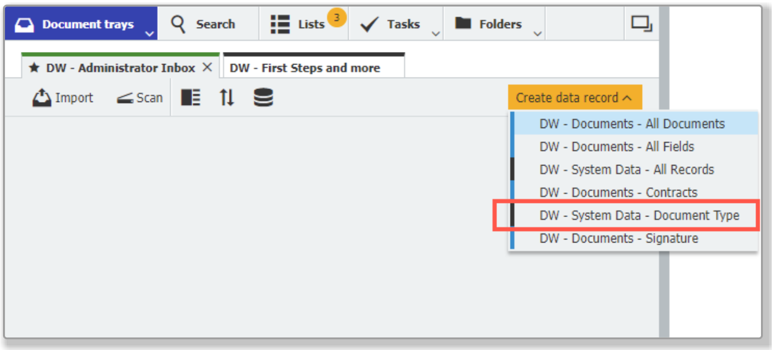
2.4 Manage document type select lists

A predefined select list is available for indexing document types and subtypes. The *DW - Administrator* can easily modify the list or add new records.

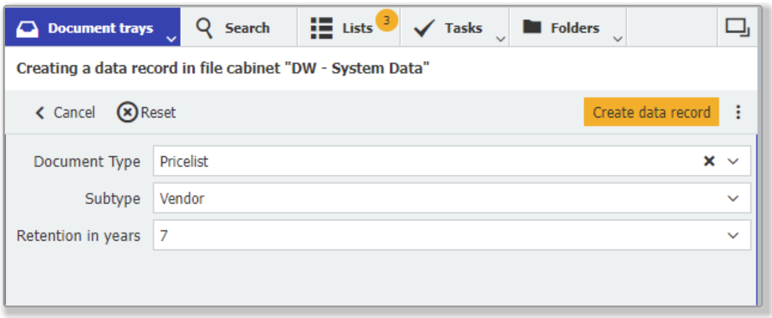
Here’s how:

Add new document types

- In your DocuWare Client, go to a document tray, click on an empty area in the tray and select the *Create data* record button.
- Click on *DW - System Data - Document Type*.



- Enter your new document type in the *Document Type* field.
- Enter your new subtype in the *Subtype* field.
- Enter retention in years; Note: If the retention period is left blank, the document will have a default retention of 7 years.



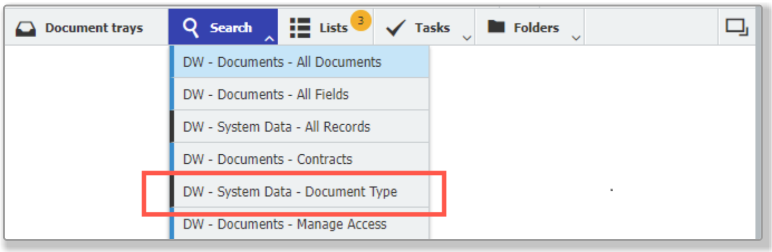
- Click *Create data record* to save the new record. This new document type / subtype will now appear in the select list.

Add new subtypes

- Open the store dialog *DW - System Data - Document Type* via *Create data record* as described above.
- Select a document type from the dropdown list.
- Enter your new subtype in the *Subtype* field.
- Enter retention in years; Note: If the retention period is left blank, the document will have a default retention of 7 years.
- Click *Create data record* button to save the new record. This new subtype will now appear in the select list.

Rename existing document types / subtypes

- In your DocuWare Client, click on *Search* in the menu bar.
- Select the *DW - System Data - Document Type* search dialog.



- Enter the document type and/or subtype you want to change and click the yellow *Search* button.
- Select the Document type and/or Subtype to change and double click on the selected line.
- Enter your change in the appropriate field. Note: If the retention period is left blank, the document will have a default retention of 7 years.
- Click the *Save* button to update the list.

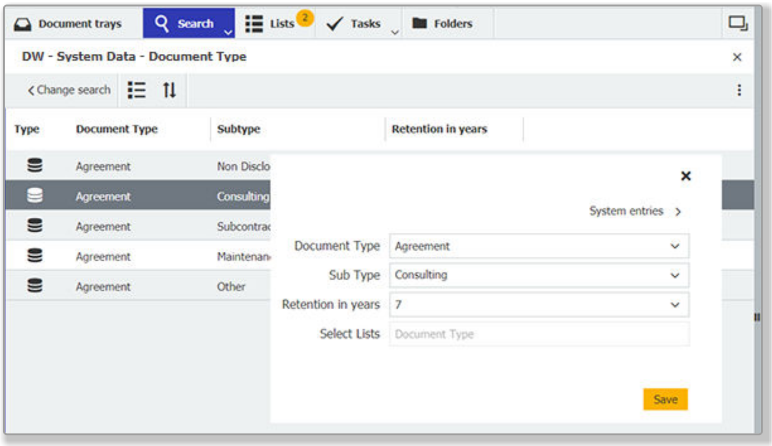
2.5 Modify retention period

The default retention period of 7 years is set for each document type and subtype. The *DW - Administrator* can simply modify the retention period based on your business rules in a few steps.

For a document type / subtype:

- In your DocuWare Client, click on *Search* in the menu bar and select *DW - System Data - Document Type*.
- Enter the document type and/or subtype you want to change and click the yellow *Search* button.
- Select the document type and/or subtype to change and double click on the selected line.

- Enter the number of years in the *Retention in year* field. **Note:** If the retention period is left blank, the document will have a default retention of 7 years.



- Click the *Save* button to update the list.

For a document in the recycle bin

A document appears in the *DW - Documents - Recycle Bin* list 30 days before the retention period expires. As owner you can individually extend the retention period for this document, if you need to store it for a longer period of time.

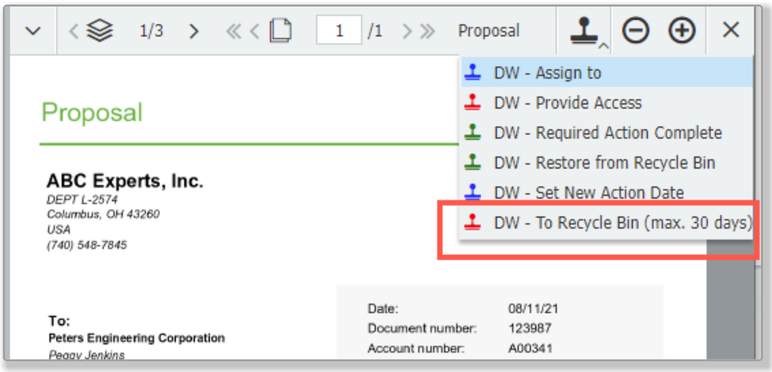
- Select the document in the recycle bin
- Right click to open the context menu and click *Edit index entries*
- Select a new *Retention Date* from the calendar.
- Click the Save button. The document disappears from the recycle bin list and will appear here again 30 days before the new set retention date.

2.6 Deleting documents

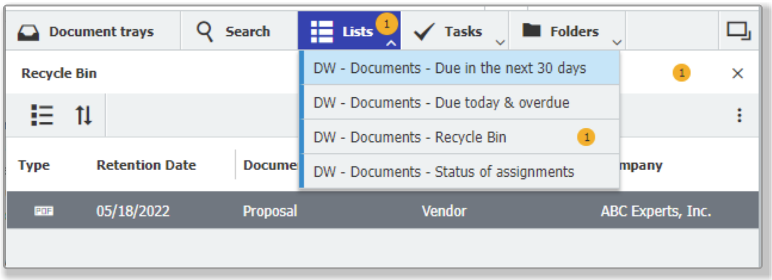
If a document needs to be deleted from the file cabinet before the end of its retention period (page 10), you can simply use a stamp to start a secure deletion workflow. You will need to be the owner or have *Edit* permissions (page 20) on the document to do this.

Here's how:

- Double click on the document to open it in the viewer.
- Click on the stamp icon and select the *DW - To Recycle Bin (max. 30 days)* stamp.



- Place the stamp on the document and enter your password.
- The document is displayed in the *DW - Documents - Recycle Bin list* of its owner (visible by opening the list).



- All other users lose their access rights to this document. This means it disappears from all other lists, folders, and searches.
- The owner has 30 days to cancel the deletion (see below).
- Without further action, the document is automatically and irrevocably deleted from the file cabinet 30 days later.

Cancel deletion schedule

- Open the document in the list *DW - Documents - Recycle Bin* by double-clicking in the viewer and select the stamp *DW - Restore from Recycle Bin*.
- Place the stamp on the document and enter your password.
- The document automatically disappears from the owner's deletion schedule list and is displayed again in the relevant lists, folders, and searches by all users with permissions to the document.

Note: Documents also appear in the *Recycle Bin* list 30 days before the retention period expiration date. If you want to keep a document longer, you need to extend its retention period. Read more (page 14)

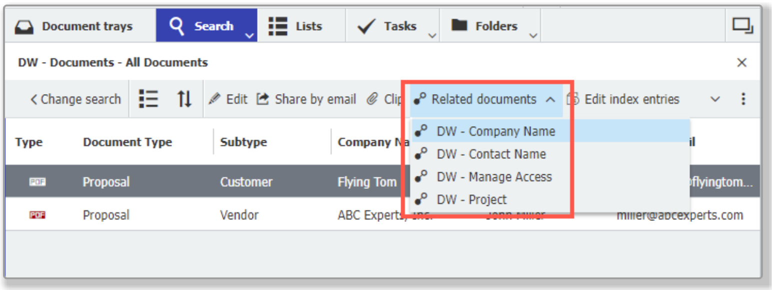
3 Access Documents

3.1 Access related documents

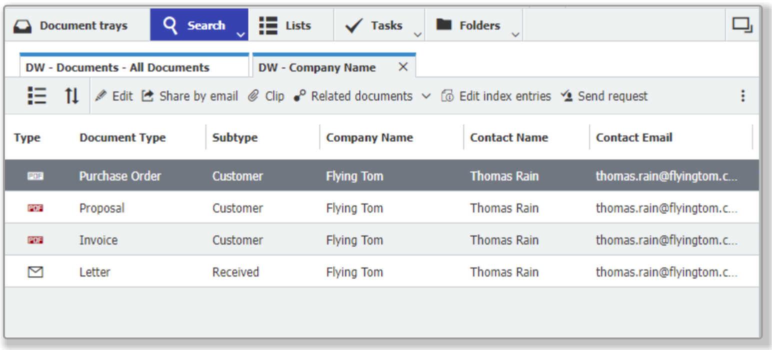
Use the *Related Documents* function to quickly and easily access all documents that are connected to the document currently being viewed. For example, find all documents with the same *Company Name*, *Contact Name* or *Project*.

Here's how:

- Select a document and click on the icon for *Related documents* in the toolbar of the result list (if *Related documents* is not visible, click on the down arrow next to the three dots and select the function from the drop down select list)



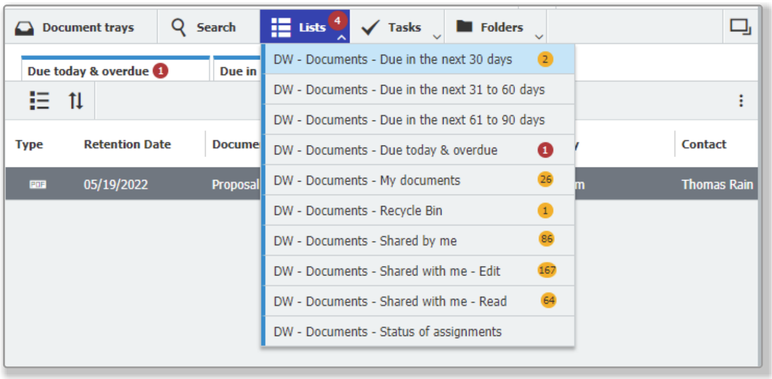
- Click on the desired document relationship and the linked documents are immediately listed in a new results list, including the document from which the relationship was opened:



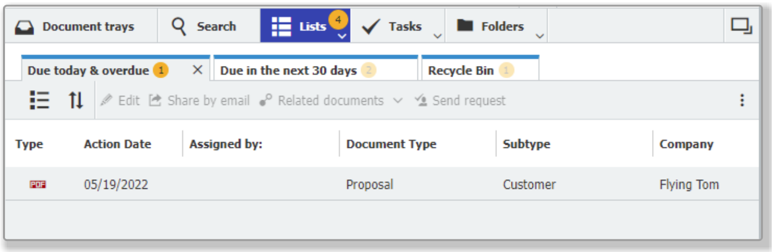
The owner of a document can also use the *Related documents* function to view and manage access (page 20) for a document. If you have opened a document with *Read* permissions, you can use this function to identify the owner of the document, for example to request (page 26) *Edit* permissions.

3.2 Overview with lists

For quick access to specific documents and activities, the solution provides various lists that update automatically. Which lists you see depends on the user roles or which lists have been assigned to you. An example:



Each list is marked with the number of documents currently in it. New documents added to a list are identified with a red number. The number in the *Lists* field in the menu bar corresponds to the number of documents in all lists that you have actively opened:



Following lists are available depending on your user roles:

User role *DW - All users*

- Due today & overdue
- Due in the next 30 days
- Status of assignments
- Recycle bin

User role *DW - Signature*

- Waiting for signature
- Signed documents (last 30 days)
- Not signed documents (last 30 days)

In addition, the *DW - Administrator* can assign any list to a user in user management (page 4).

Additional lists available to users:

- Due in the next 31 to 60 days
- Due in the next 61 to 90 days
- My documents
- Shared by me
- Shared with me

- Shared with me - Read
- Shared with me - Edit

Tip: Save time by saving frequent searches as lists to quickly access the documents that you need regularly without having to enter search terms again.

4 Permissions and collaboration

4.1 Permissions and providing access

When you store a document in the *DW - Documents* file cabinet, you are the **owner** of the document and can assign permissions on the document for other users to access:

Read
Search and view documents

Edit
Modify, download, send, create new version, set stamps. Includes the *Read* permissions.

There are two ways to assign permissions to other users:

When storing the document

The user can decide when storing a document in the DW - Documents file cabinet, who will be given read or edit permissions.

After the document is stored using stamps

The owner of a document can assign permissions after storing a document using the *DW - Provide Access* stamp. You can add other users with *Read* or *Edit* permissions, you can also add additional owners to the document. Using the *DW - Assign to* stamp you can assign a task with a due date providing users temporary access (page 23) until the task is completed.

You can read here (page 20) how to view permissions and manage access.

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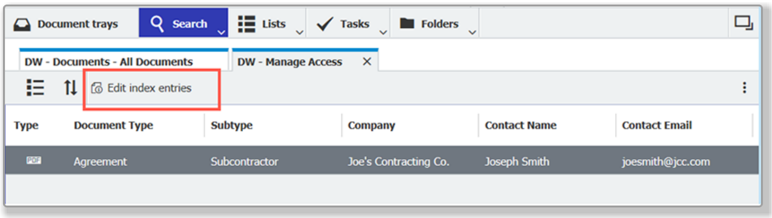
4.2 View and manage permissions

The owner of a document can view or change the permissions for *Read*, *Edit*, or *Owner* by using the *Related documents* function. There are two ways:

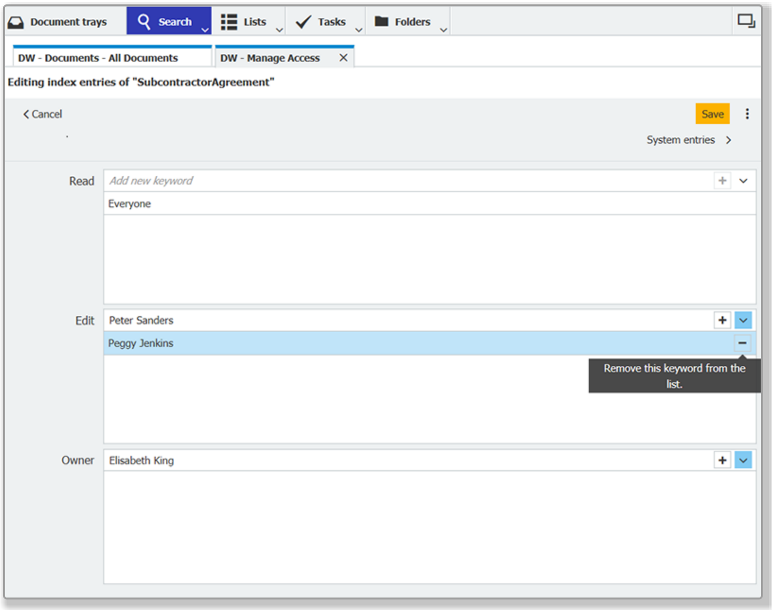
By search dialog

- Click on *Search* and select *DW - Documents - Manage Access*.
- Enty any index criteria and click the yellow search button for the desired document(s).

- Select a document in the result list and click on *Edit index entries* in the toolbar of the result list.



- Now you can view all permissions:



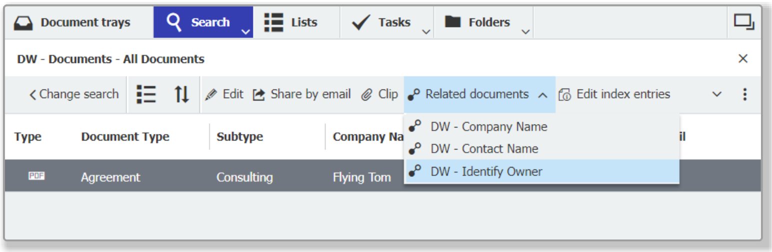
- **Editing permission:** To add additional user permissions to *Read, Edit*, or *Owner*, select the username from the drop-down menu and click on the *Plus* sign. To remove permissions from a user, click on their name, then click the *Minus* sign.
- **Requesting additional permission:** If you are assigned *Read* permission, and now need *Edit* permission, under the link *DW - Identify Owner*, you can request it from the owner for example via Send request (page 26) .

By related documents

Another option to view and, if necessary, edit permissions on a document is to use the Related documents (page 17) function. The owner of a document can use the link *DW - Manage* Access from the dropdown list. For users with read permission the *DW - Identify Owner* is displayed in the list.

- Select a document in the result list.
- Click on the *Related documents* in the tool bar.

- Depending on your view, select *DW - Manage Access* or *DW - Identify Owner.*

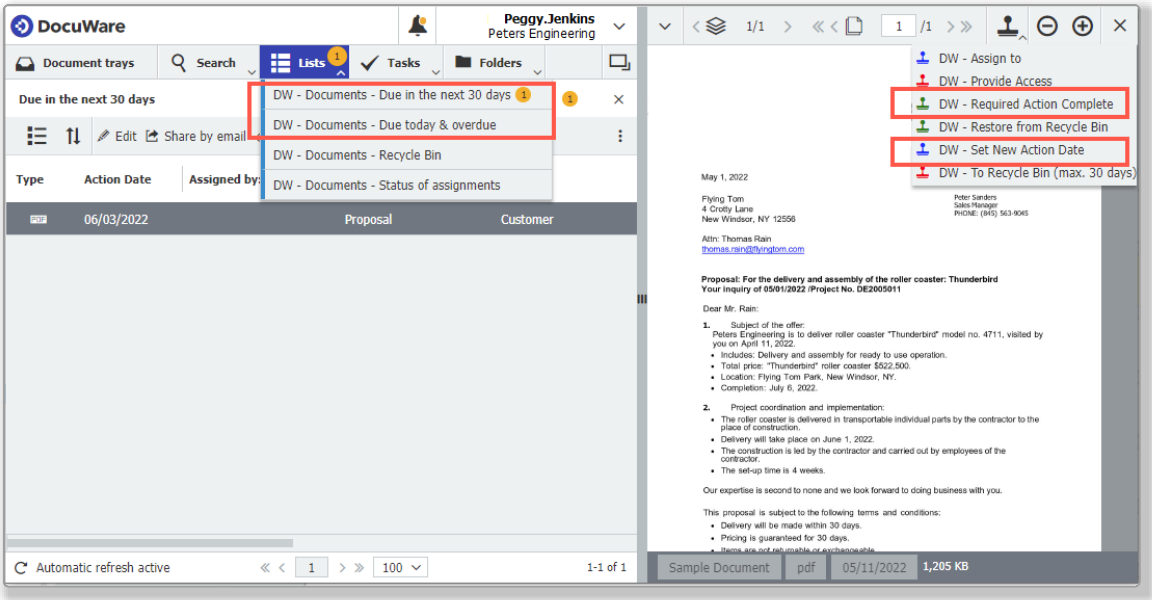


- Click on *Edit index entries* in the newly opened result list.
- Now you can identify the document's owner or view and edit all permissions as described above.

4.3 Manage action dates

When storing documents (page 9), you can enter an *Action Date* in the *DW - Documents* store dialog. If a document was stored without an action date, you can also set a date later using the *DW - Set New Action Date* stamp.

Thirty days before the specified action date, the document appears in the *DW - Documents - Due in the next 30 days* list for any user who has been granted permissions (page 20) to the document. Also, a list is available for documents *Due today & overdue*. If needed, additional lists for documents *Due in the next 31 to 60* days, *Due in the next 61 to 90* days are available. The *DW - Administrator* can add these (page 17) for any user.



Action Complete

When a required action is completed or resolved on any of the stored documents in your *Due in* lists, they can be managed with the *DW - Required Action Complete* stamp (available to those having edit or owner permissions):

- Open the stored document in the list by double-clicking it to see it in the viewer.
- Click on the stamp icon and select *DW - Required Action Complete*.
- Enter your comments in the field on the stamp, click *Set* and place the stamp on the document. The document will be removed from the appropriate *Due in* list for you and anyone granted access to the document.

Set New Action Date

When additional time is needed to complete the required action on any of the stored documents in your *Due in* list, they can be managed with the *DW - Set New Action Date* stamp (available to those having edit or owner permissions). However, you can also use this stamp on any stored document if you needed to be reminded of it on a certain due date.

- Open the stored document in the list by double-clicking it to see it in the Viewer.
- Click on the stamp icon and select *DW - Set New Action Date*.
- Enter your comment and the action date on the stamp, click *Set* and place the stamp on the document. The document will remain or appear in the appropriate *Due in* list for you and anyone granted access to the document.

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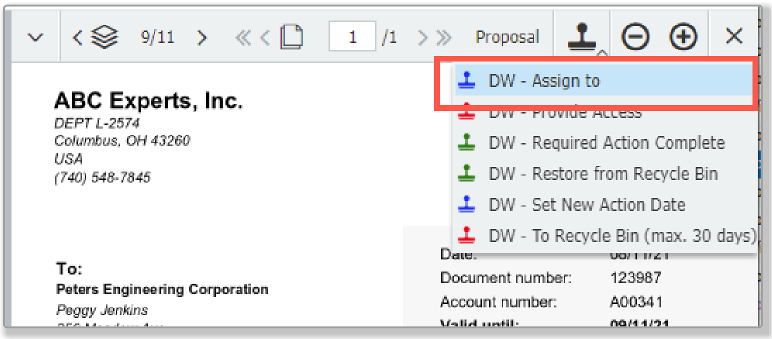
4.4 Assign documents

Assign tasks around documents to any user(s) and set a due date when the task needs to be completed by. The access rights to the document provided within this process are only temporary until the assignment has been completed by the user(s).

Here's how:

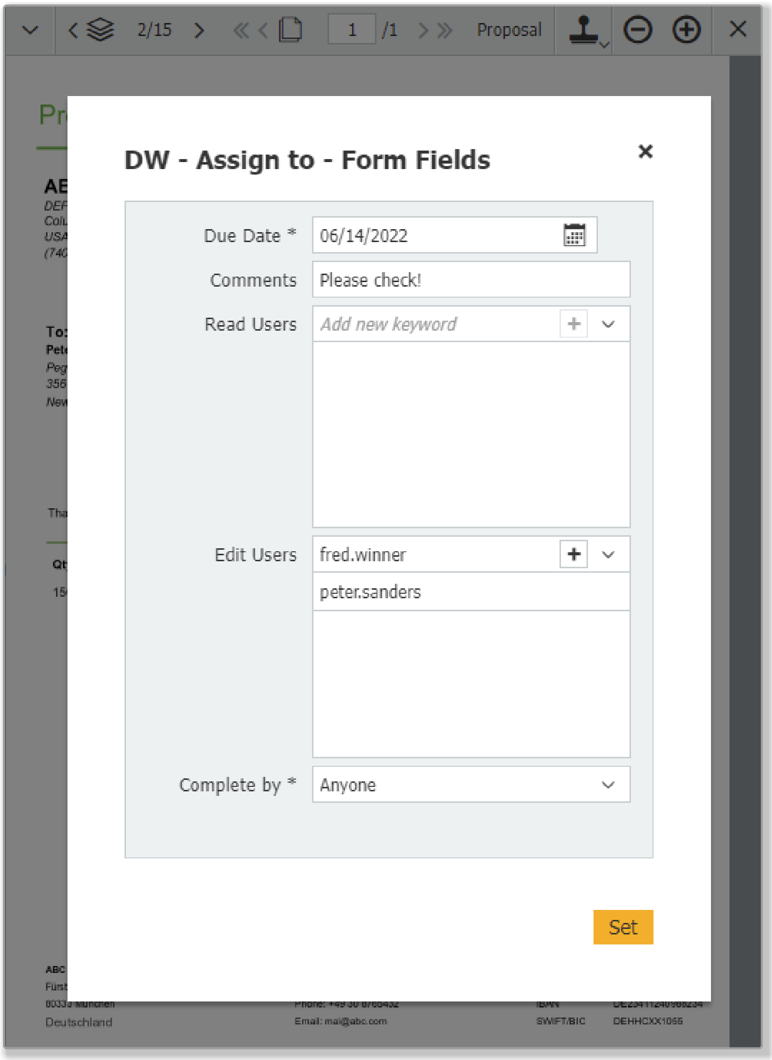
To initiate an assignment, you need to have *Edit* permissions or be an owner of the document.

- Open stored document by double-clicking it to see it in the viewer.
- Click on the stamp icon and select the *DW - Assign to* stamp.



- Enter the required data in the form fields of the stamp:
  - Select the *Due Date*.
  - Enter the task in the *Comment* field.
  - Select the user(s) to assign the task to and their permission levels. If the selected user(s) are granted additional permissions than the permission granted in storing or sharing process, these permissions rights are only temporary and will be removed once the assignment is completed. Users will be informed by email regarding their task assignment.
  - Decide whether the task should be completed by all selected users or anyone of the selected user would be acceptable to complete the task.

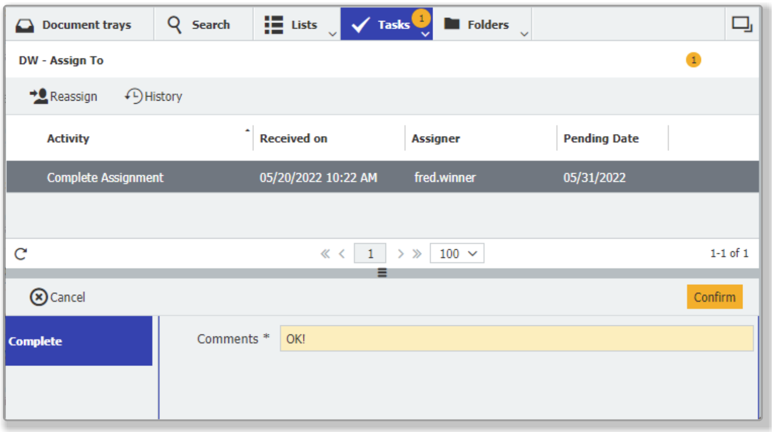
- Click on *Set* and place the stamp on the document.



- The document will be displayed your list *DW - Documents - Status of assignments* with a pending status of *Open*.
- The document will be displayed in the *Tasks* area of all users you have selected. Selected users are automatically notified by email and can open the task and document directly via a link.

Complete the assignment

- Open the document or task by following the link in the email or directly from the *Tasks* in the menu bar within your DocuWare Client.
- Enter a comment and complete the task by clicking *Confirm*.



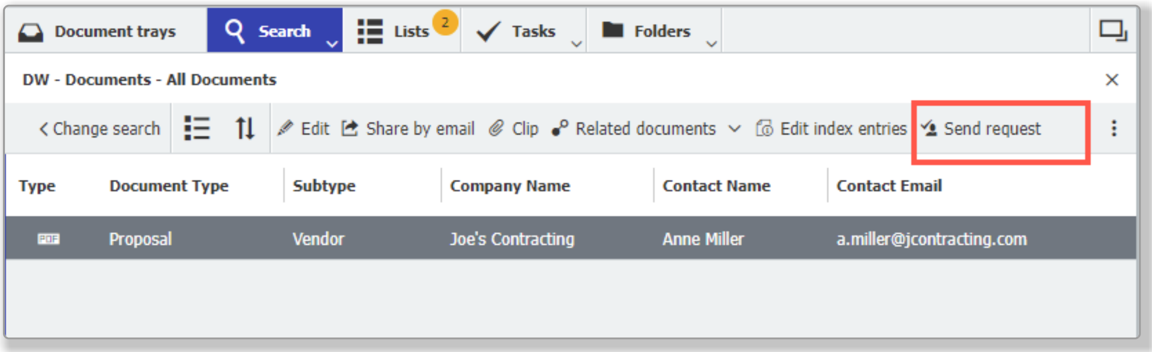
- The document is removed from your tasks.
- The document's pending status is updated to *Completed* in the *DW - Documents - Status of assignments* list of the user who initiated the assignment once all required users have completed their assignment. The document will remain in the list for the next 30 days for reference.

4.5 Send requests

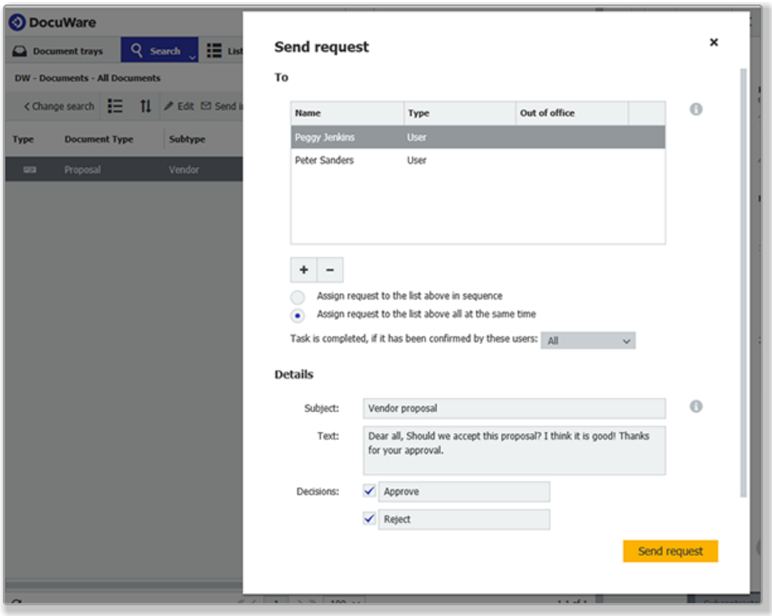
The *Send request* function allows you to easily assign tasks to users who have permissions (page 20) on a document. You can also use this function to request additional permissions from the owner (page 20) of a document.

Here's how:

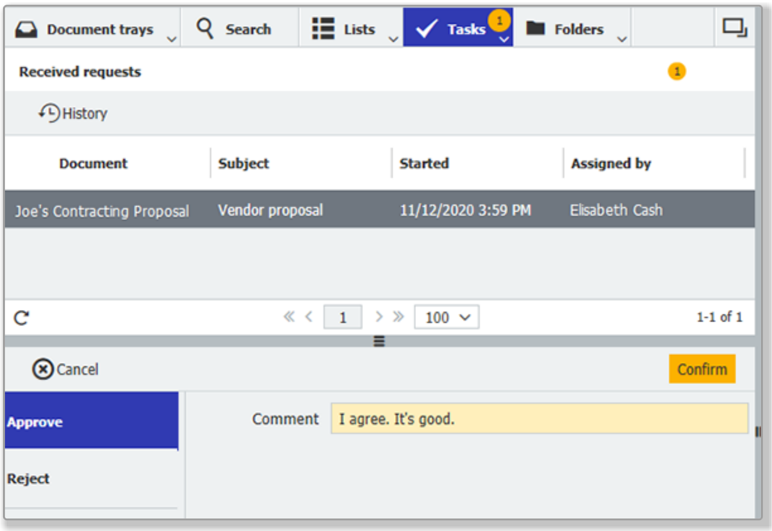
- Select a stored document and click on the *Send Request* function in the toolbar of the result list (if the *Send request* is not visible, click on the down arrow next to the three dots). Alternatively, you can find the function via the document's context menu or in the viewer toolbar.



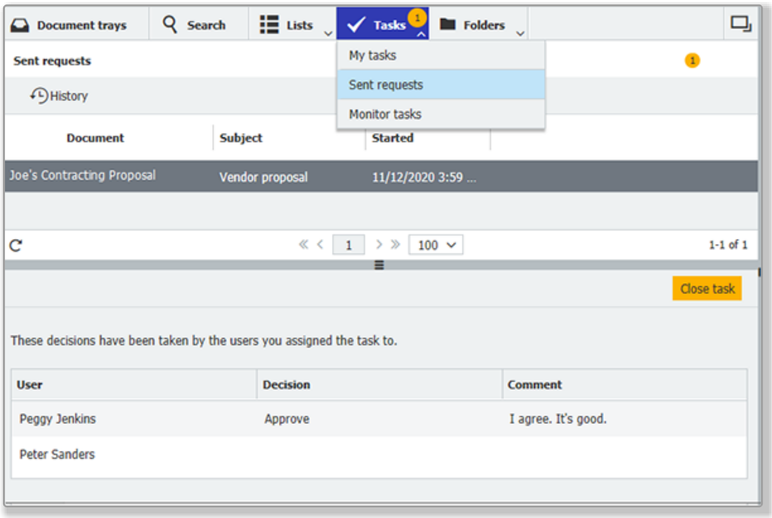
- The *Send request* dialog box opens. Click on the *Plus* sign and select one or more user(s) or role(s) who should receive your request.
- Choose user(s) or roles(s) whether it should be assigned to the users in sequence or at the same time.
- Select whether the task should be completed by all selected users or anyone of the selected users would be acceptable to complete the request.
- Enter the details of your request: subject, text, specify one or two decision options (prefilled fields can be overwritten), and if you want the decision to be automatically stamped on the document
- Click on *Send request* button.



- The selected user(s) immediately receives the new request in the *Tasks* area of their DocuWare Client, in addition an automatic email notification is sent containing a link to the document..
- Click on the document in the task list, the decision options appear (double-click to open the document in the viewer)
- Make your decision, optionally add a comment, and click the *Confirm* button.



- As the requestor, you can view the status of the request in the *Tasks* area of your DocuWare Client under *Sent requests*.



- When all decisions have been made, an additional email notification informs the requestor the request is completed. Click on the *Close task* button to remove it from your sent request list in the *Tasks* area.