

## **Client Care Desktop – Document Manager User Guide**

(Version 4.3.2)



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## 1 Locations

The Document Management software can be used in various different locations within CCD, wherever the tab 'Scanned docs' is. Within this tab, documents can be linked to a record and can be found at a later date.

The Document Manager locations are:

- Client
- Enquiries
- Holding
- Tasks
- Provider
- Contact/Introducers
- Advisers

### 1.1 Client

Access the **Clients** module and from the 'Contact' screen select 'scanned docs'

Client type	Individual	Client Ref.	A03594002
Title / Initial / Surname	Mr A Apple		
Forename	Andrew		
Salutation	Andrew		
Qualification / Honours			
Company name			
Personal email address			
Work email address			
Home		Fax home	
Work		Fax work	
Mobile		Contact Method	
Current status	Current		
Intro. date / source			
Introducer	No introducer		
Employer			
Adviser	Simon Cockle		
Service manager			

Documents stored here will only be available to view from here.

## 1.2 Enquiries

Access the 'Notes and Docs' tab from within the 'Enquiry'

<b>Clients</b> <b>Holdings</b> ▸ <b>Enquiry</b> Data upload <b>Work (14)</b> <b>Documents</b> <b>Calculators</b> <b>Reports</b>	<b>Clients &gt; Holdings &gt; Enquiries outstanding &gt; Enquiry details</b> Enquiry ▾   Research   Recommendation   Tasks   <b>Notes and Docs</b> Enquiry date: 15/10/12   Meeting date: 14/10/12 Advice basis: Full compliance Recommendation basis: Initial   Select existing contract Client source: Referral from Introducer Campaign (Financial promotion) Nature of the enquiry: Investment of lump sum Planning goal* Consultant: Milham Lee   Send referral Service manager Current enquiry status Status: Enquiry   Type: Policy Current position: Enquiry received but not acknowledged New business forecast Remuneration basis Potential case value (£) Expectation of completion Complete when (days) Completion date override Forecast value £ in Oct 2012
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Quit \*A planning goal can be selected when set under Clients > Goals View case completion scale ▸

Documents added here can be found here and also within the 'Scanned docs' tab at the client level.

## 1.3 Holdings

Access the 'Holdings' area and from the relevant holding, select the 'Scanned docs.' tab

<b>Clients</b> <b>Holdings</b> Overview Product Contributions Details Administration Tasks Remuneration Submission <b>Work (14)</b> <b>Documents</b> <b>Calculators</b> <b>Reports</b>	<b>Clients &gt; Holdings &gt; Overview</b> Contract detail   <b>Scanned docs</b> Application status: In force   Marked for upload <input type="checkbox"/> Contract holder: Apple, A Life / lives assured: Apple, A Lives: Single   Change Provider: Skandia Contract type: Stocks and Shares ISA Contract number: 525235 Effective date: 01/12/2007   End date Regular Contributions: £100.00 M   Singles £ Total investment: £5,900.00   Current value: £32.90 Adviser: Cockle, Simon   More Advice Type Introducer   More Make this contract paid up / cancelled Print a file fact sheet for this holding
---	--

Documents stored here will also be available in Clients 'Scanned docs'.

## 1.4 Providers

Setup > Providers > Main contact

Main contact | Activity | Work | **Scanned docs.** | Information

Title / Initial / Surname: Mr J Brown  
 Forename/s: James  
 Company name: Fidelity  
 Address: 25 Cannon Street  
 Town: London  
 County / Postcode: EC4M  
 Email address:  
 Telephone: 0845 273882  
 Mobile telephone:  
 Fax (w):  
 Territory: ☒ UK ☒ ROI

+ Add contact

Contacts	Name	Office	Tel
New Business	James Brown	Head office	0845 273882

Select Fidelity to appear in your favourites list ☐

Documents stored in this section can only be accessed here.

## 1.5 Contacts / Introducers

Contacts > Contact

Contact | Notes | **Scanned docs.**

Title / Initial / Surname: Mr S Cockle  
 Forename/s: Simon  
 Company name: Cockle and Smith Accountants  
 Group:  
 Address: 121 Northern Road  
 Town: London  
 County:  
 Post code: EC1V 6YH  
 Email address: simon@cockle.com  
 Website address:  
 Telephone No.: 0113 647 2837  
 Mobile telephone:  
 Contact type: Accountant  
 Default Adviser:

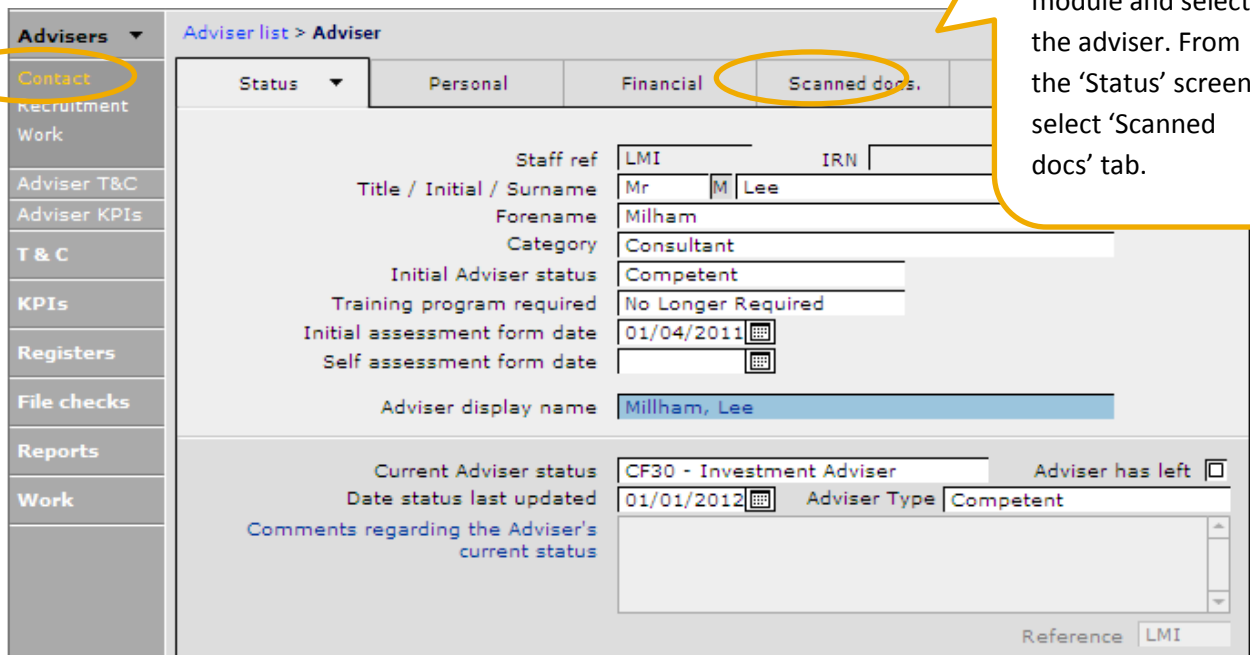
+ Add contact

Contacts	Name	Office	Tel
New Business	Simon Cockle	Head office	0113 647 2837

This contact is an introducer of business ☒  
 Add Cockle and Smith Accountants to your favourites list ☐

## 1.6. Adviser

This area is only available if you have the **Compliance** module.



Access the **Compliance** module and select the adviser. From the 'Status' screen select 'Scanned docs' tab.

Advisers	Adviser list > Adviser
<a href="#">Contact</a> <a href="#">Recruitment</a> <a href="#">Work</a> <a href="#">Adviser T&amp;C</a> <a href="#">Adviser KPIs</a> <a href="#">T &amp; C</a> <a href="#">KPIs</a> <a href="#">Registers</a> <a href="#">File checks</a> <a href="#">Reports</a> <a href="#">Work</a>	<div> <div>Status</div> <div>Personal</div> <div>Financial</div> <div>Scanned docs.</div> </div> <div> <div>Staff ref</div> <div>LMI</div> <div>IRN</div> <div></div> </div> <div> <div>Title / Initial / Surname</div> <div>Mr M Lee</div> </div> <div> <div>Forename</div> <div>Milham</div> </div> <div> <div>Category</div> <div>Consultant</div> </div> <div> <div>Initial Adviser status</div> <div>Competent</div> </div> <div> <div>Training program required</div> <div>No Longer Required</div> </div> <div> <div>Initial assessment form date</div> <div>01/04/2011</div> </div> <div> <div>Self assessment form date</div> <div></div> </div> <div> <div>Adviser display name</div> <div>Milham, Lee</div> </div> <div> <div>Current Adviser status</div> <div>CF30 - Investment Adviser</div> <div>Adviser has left</div> <div><input type="checkbox"/></div> </div> <div> <div>Date status last updated</div> <div>01/01/2012</div> <div>Adviser Type</div> <div>Competent</div> </div> <div> <div>Comments regarding the Adviser's current status</div> <div></div> </div> <div> <div>Reference</div> <div>LMI</div> </div>

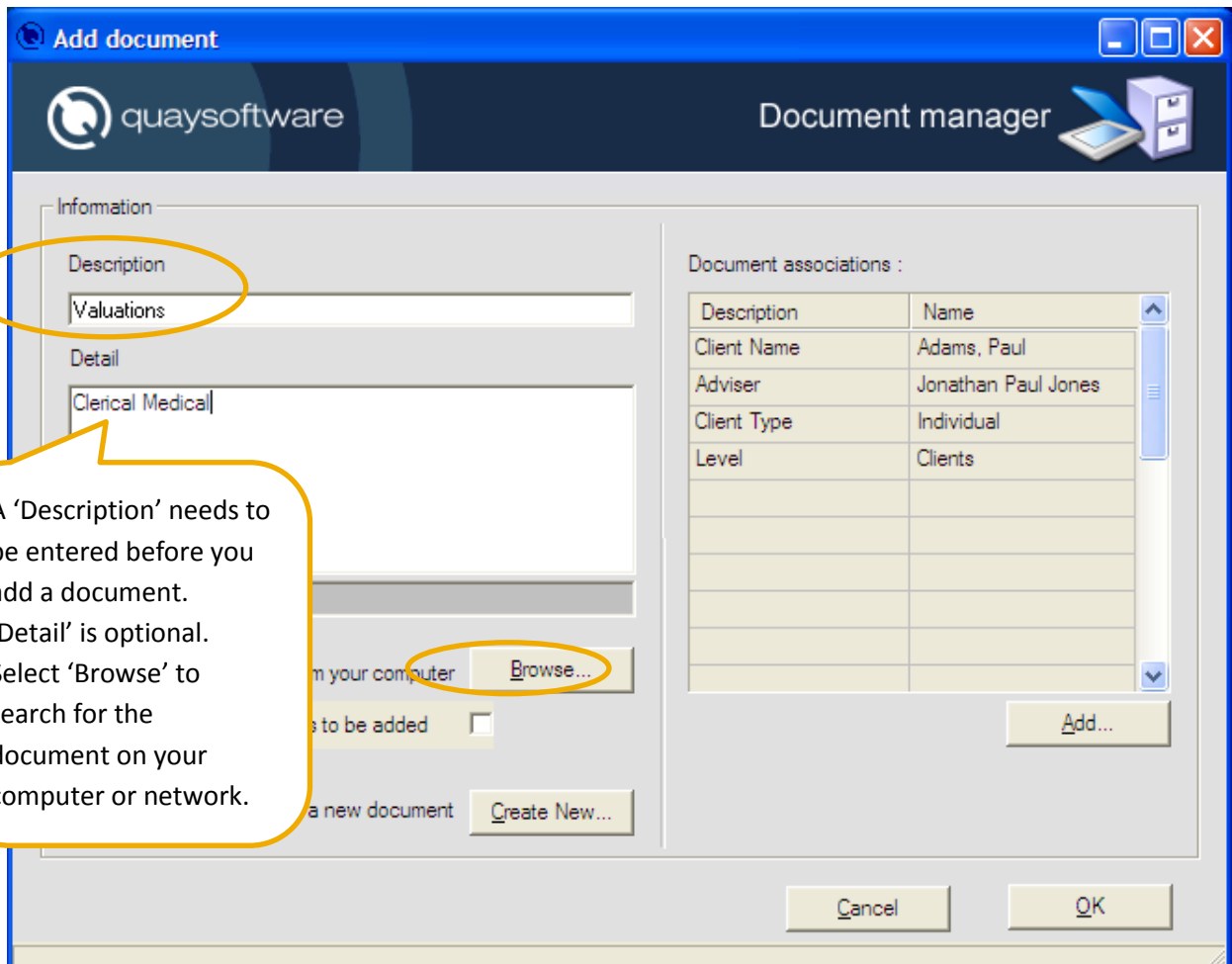
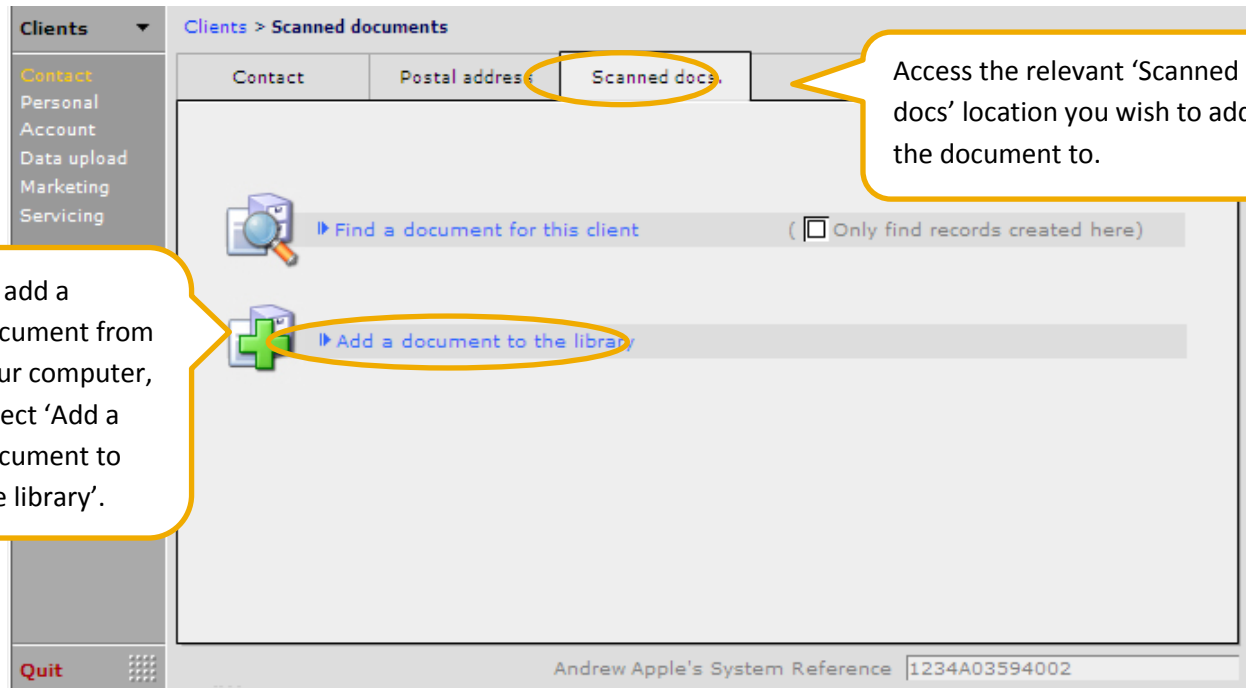
## 2. Adding Existing Electronic Documents

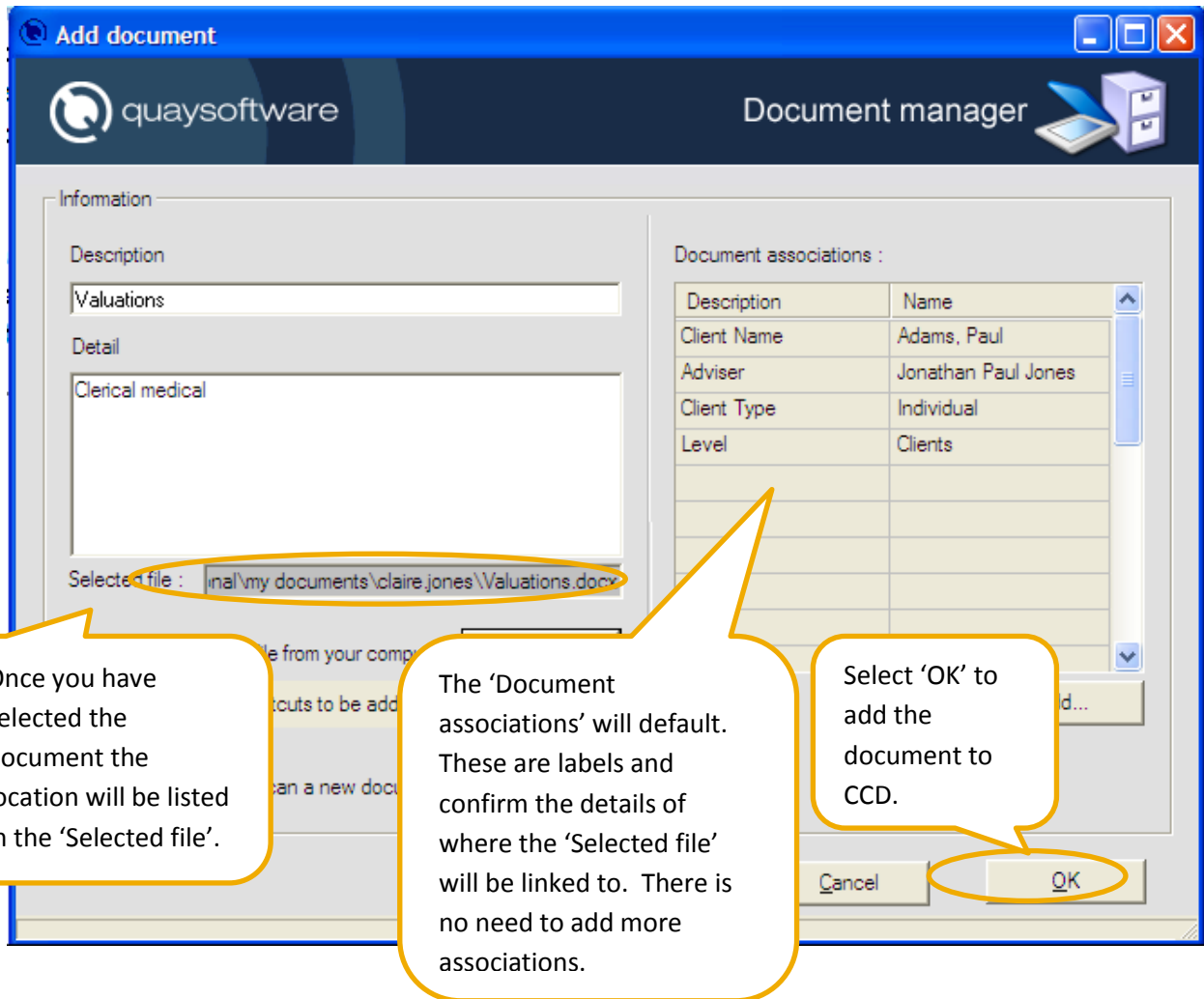
There are a number of ways of adding documents to the Document Manager.


- It is possible to link individual documents saved on your PC or server to Document Manager.
- Alternatively, if you have a client file stored on your server, with all of their documents stored, you can link this to their record in CCD.
- Finally, documents can be scanned and linked using the Document Manager.

We will firstly look at attaching a document already saved on your computer.

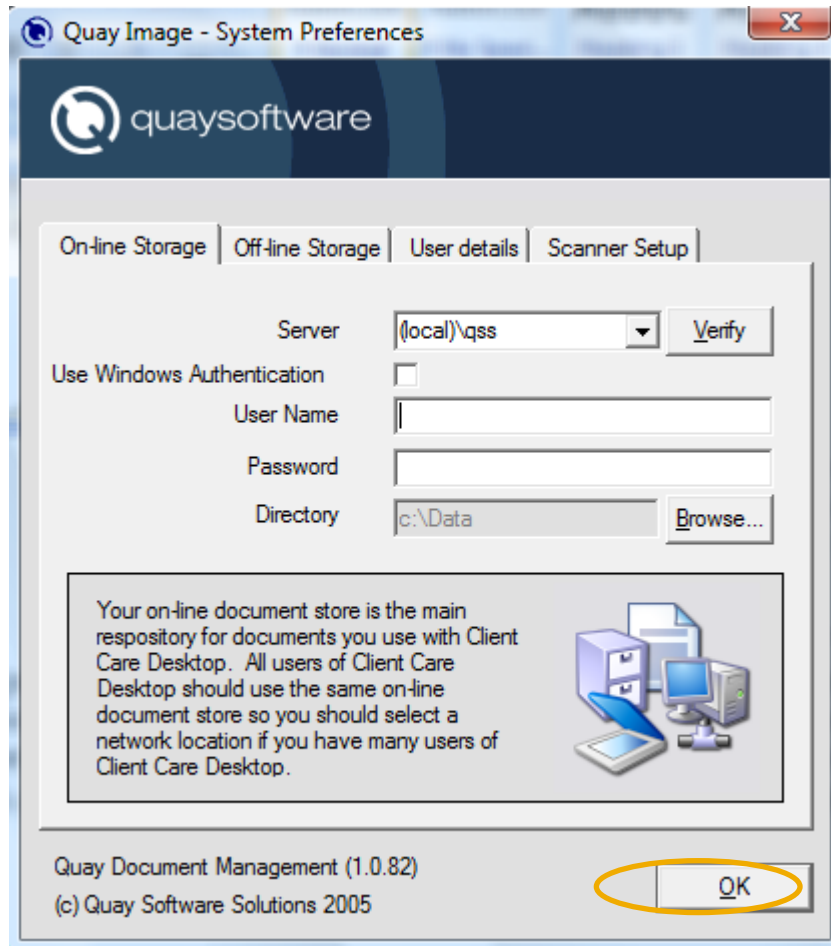
Before adding a new document, ensure that you are adding it to the most relevant 'Scanned docs' location. For example, copies of policy documents should go in the **Holdings** location.





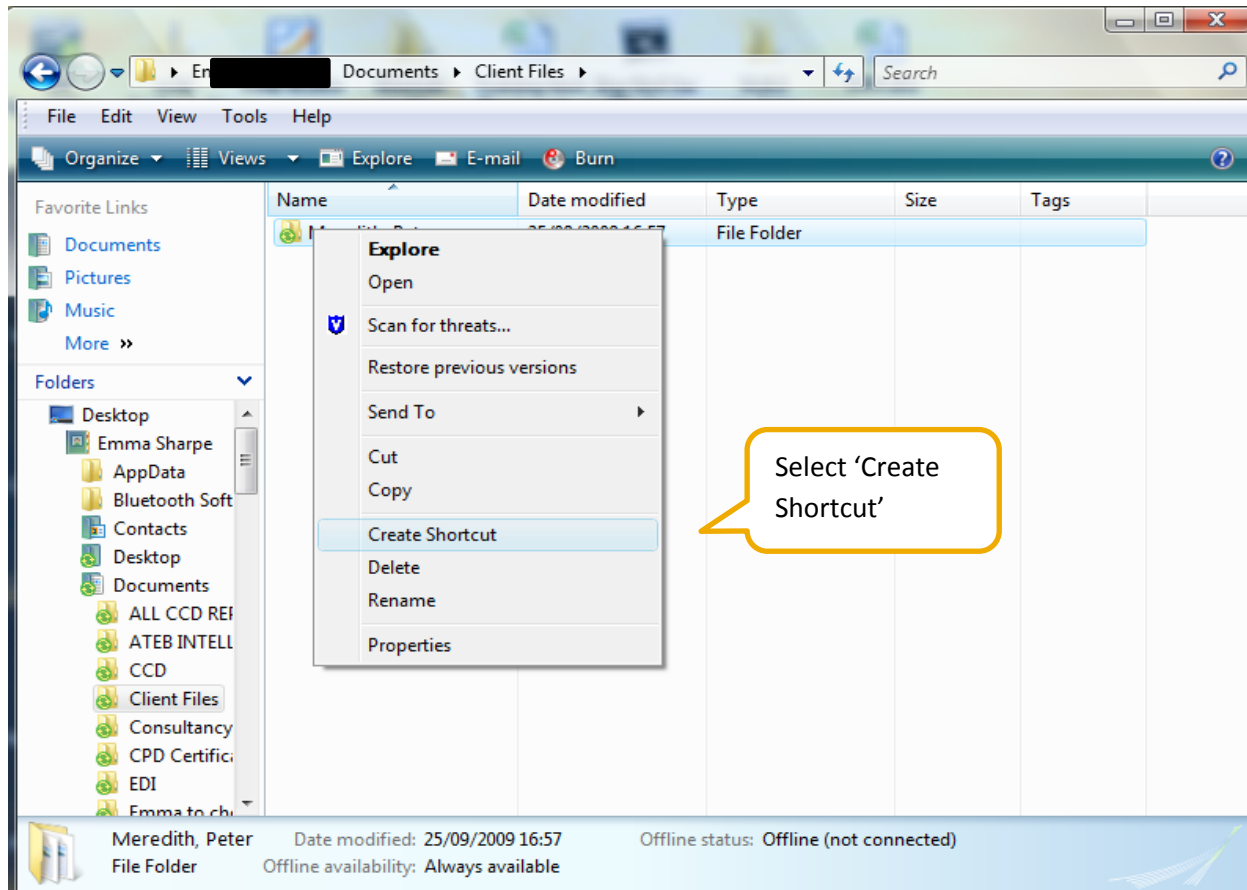
N.B. CCD will take a copy of the document and save it to a directory, which has been set up when Document Manager was installed. For confirmation of where this will be, right click on this icon (right hand tool bar)  and the following screen will appear:



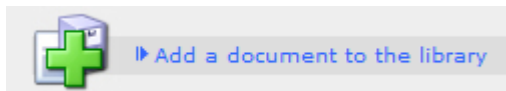


### 3 Adding a Client File To CCD

If you have a client file on your server, or PC, which holds copies of correspondence sent, copies of illustration etc. it is possible to link this to a client's file on CCD. To do this you will first need to create a shortcut of the client file. This is done by right clicking on the client file:



A shortcut has now been created and this is what will be linked to the client file on CCD. The next step is to select the client to which this file needs to be linked, and go into the 'Scanned Docs' tab and use:



Complete the 'Description' field.

**Add document**

quaysoftware Document manager

**Information**

Description  
Client letters etc saved prior to 25 September 2009

Detail

Selected file :

Select a file from your computer **Browse...**

Allow Shortcuts to be added ☒

**Document associations :**

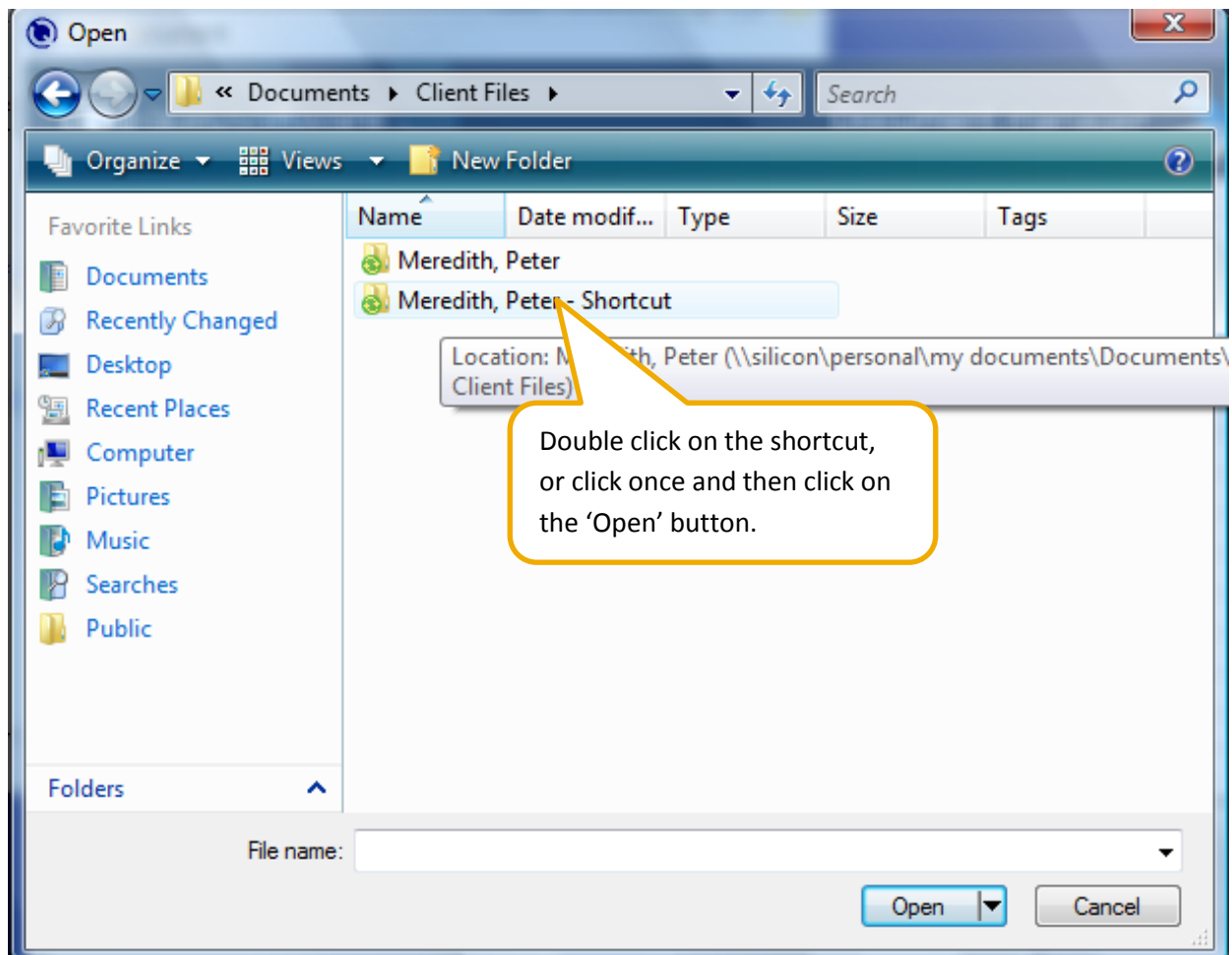
Description	Name
Client Name	Meredith, Peter
Adviser	Mitchell Philpott
Client Type	Individual
Level	Clients

**Add...**

**Cancel OK**

Click into the field to 'Allow Shortcuts to be added'.

Now use the 'Browse' button to navigate to where your client file shortcut is.




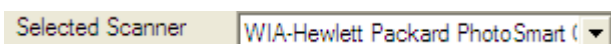
The shortcut has now been linked to the client within CCD.

**NOTE:** Do not delete either the shortcut or the actual client file. If this is done, the link from CCD will not work. However, once the shortcut has been added to the Document Manager it can be deleted. If the location of the file is moved then the shortcut will need to be created and added again.

## 4 Scanning New Documents

If adding a document from a scanner, firstly ensure the scanner you will be using is selected in the Document Manager preferences.

Right click on the scanner icon in your task bar at the bottom right of your computer by your clock, , select Preferences and the Scanner setup tab. Make sure you have the correct scanner selected from the drop down list.



We recommend that the scanner is directly attached to the computer you are using, however if you are using a scanner on your network that other computers also have access to, you will first have to scan

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the document onto your computer and then add it in the same way as was earlier explained in 'Adding Existing Electronic Documents'.

To scan a document, select the location you wish to add the document and select 'Add a Document to the library'.

**Add document**

quaysoftware Document manager

Information

Description

Quote

Detail

Selected file :

Select a file from your computer **Browse...**

Allow Shortcuts to be added ☐

Scan a new document **Create New...**

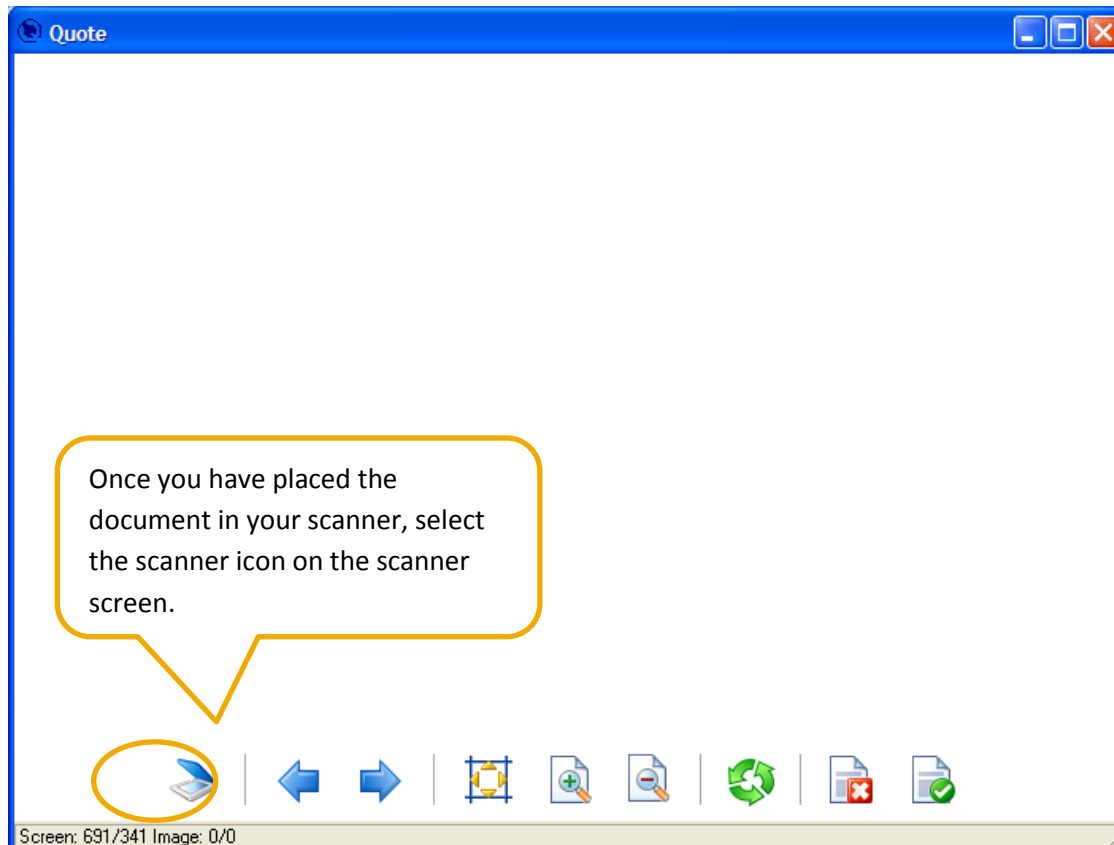
Document associations :

Description	Name
Client Name	Adams, Paul
Adviser	Jonathan Paul Jones
Client Type	Individual
Level	Clients

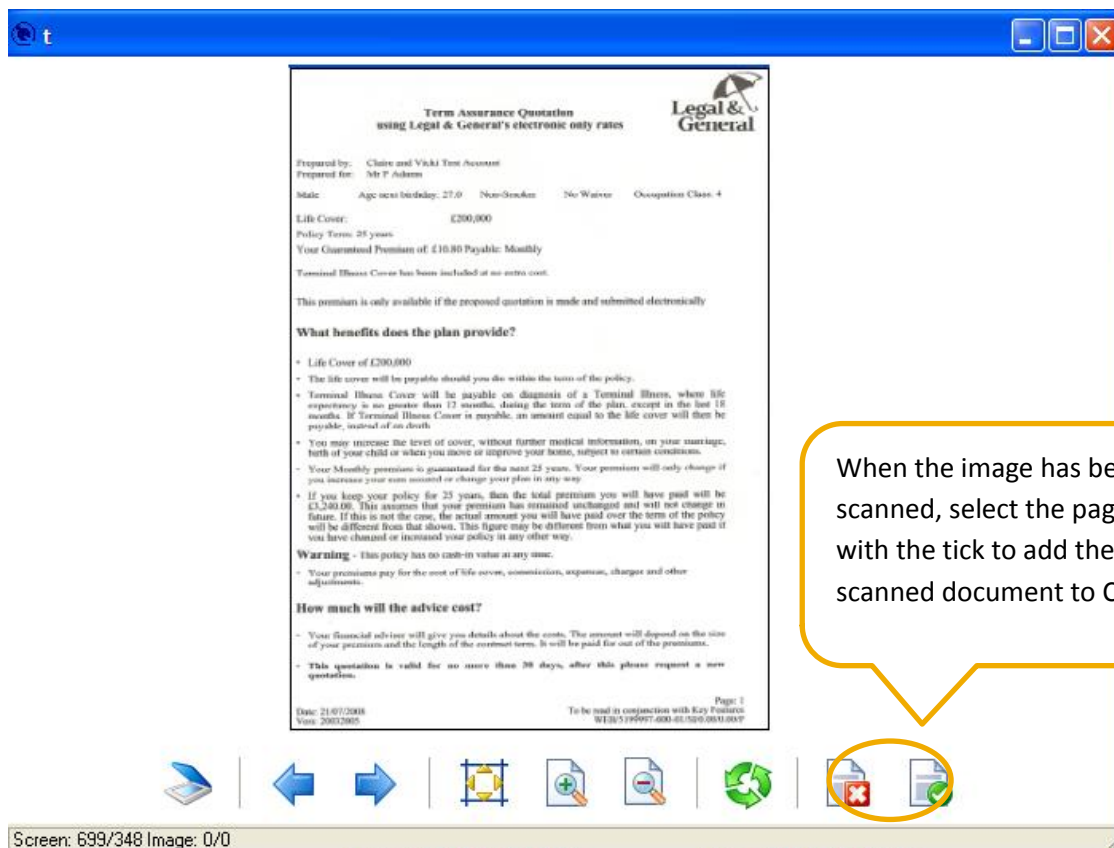
**Add...**

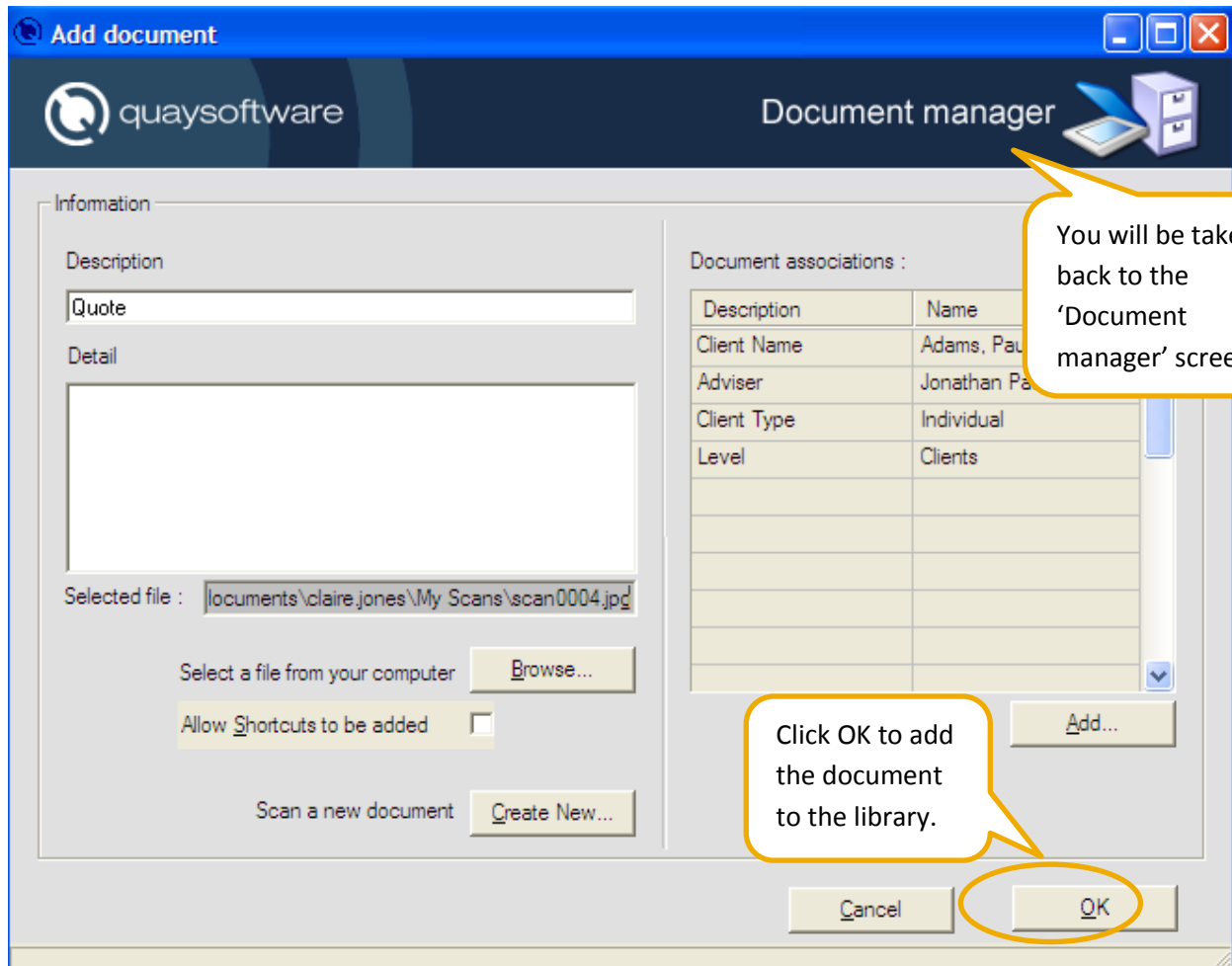
**Cancel** **OK**

Similar to adding an existing electronic document you need to enter a 'Description' and 'Detail' is optional. You will then be able to select the 'Create New' button which will take you to the scanning screen.



Follow the instructions that will appear on the screen. These will be relevant to your scanner.

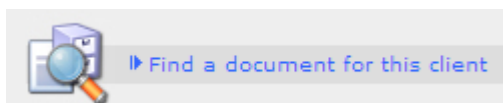




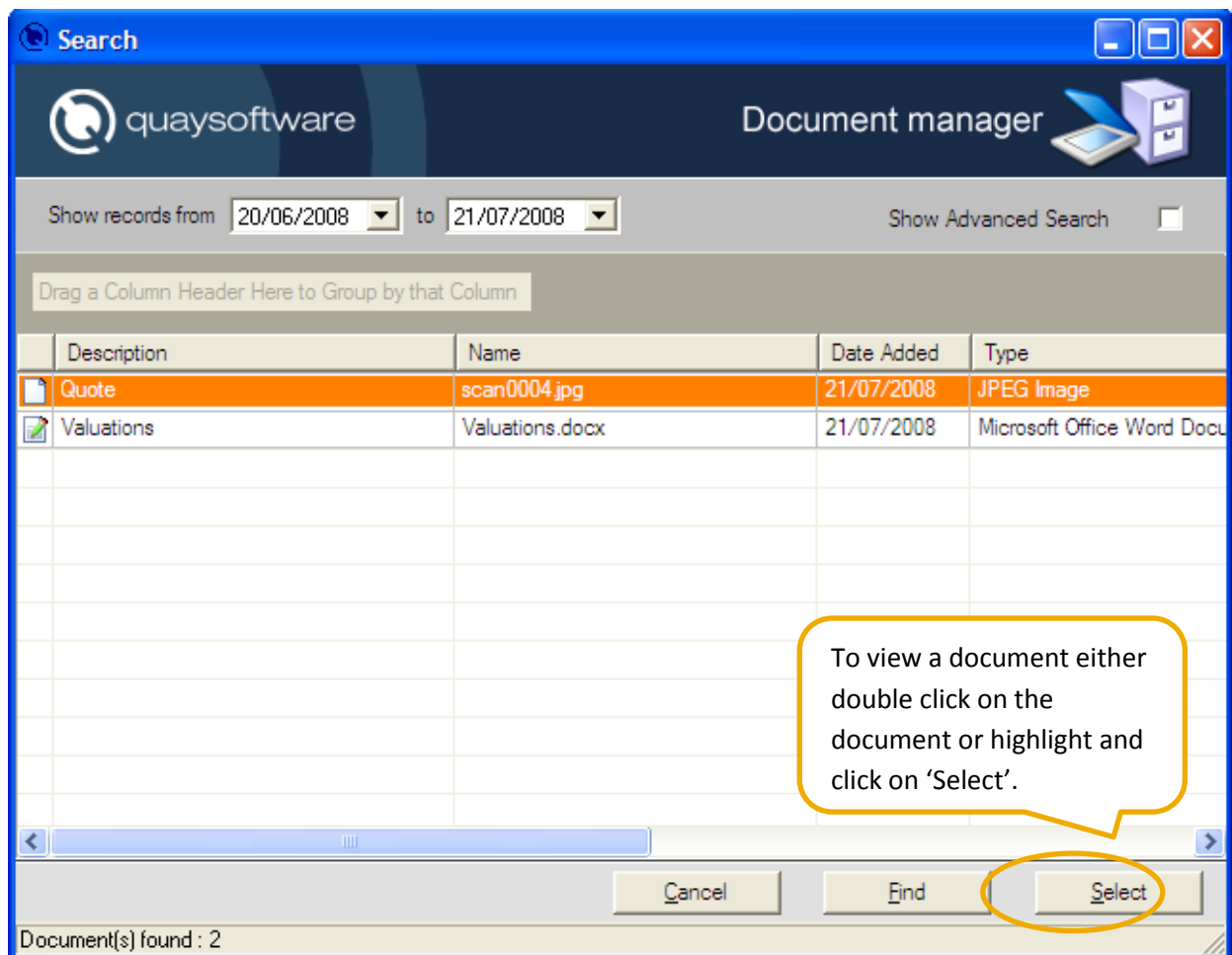
## 5 Searching For Documents

All of the 'Scanned docs' areas will allow you to search for documents that have previously been added. It is important to remember which location the document was added to when searching for the document, as this will determine which location you will be able to find the document in.

Access the relevant 'Scanned docs' location and select:



All documents that have been added to that location will be listed.



Over time, some of your client's may have a large number of documents linked to their file and because of this there are two options to make it easier to search for them:

The first one is to use the date fields at the top of the page:



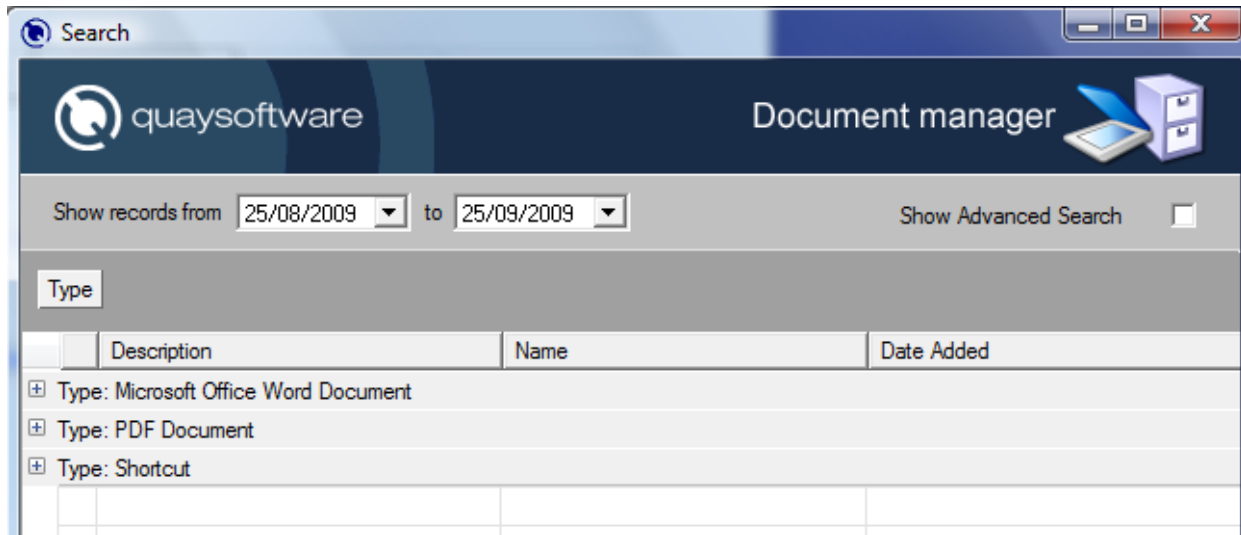
If a document was added within a specific month, simply change the dates fields and documents added between the dates will appear.


Secondly, there is a drag and drop option:



In the example below, the 'Type' column has been dragged into the light grey box.



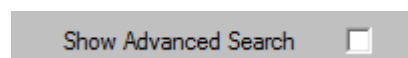


Clicking on the  by the side of a type of document, will open up the box and show the saved document links.

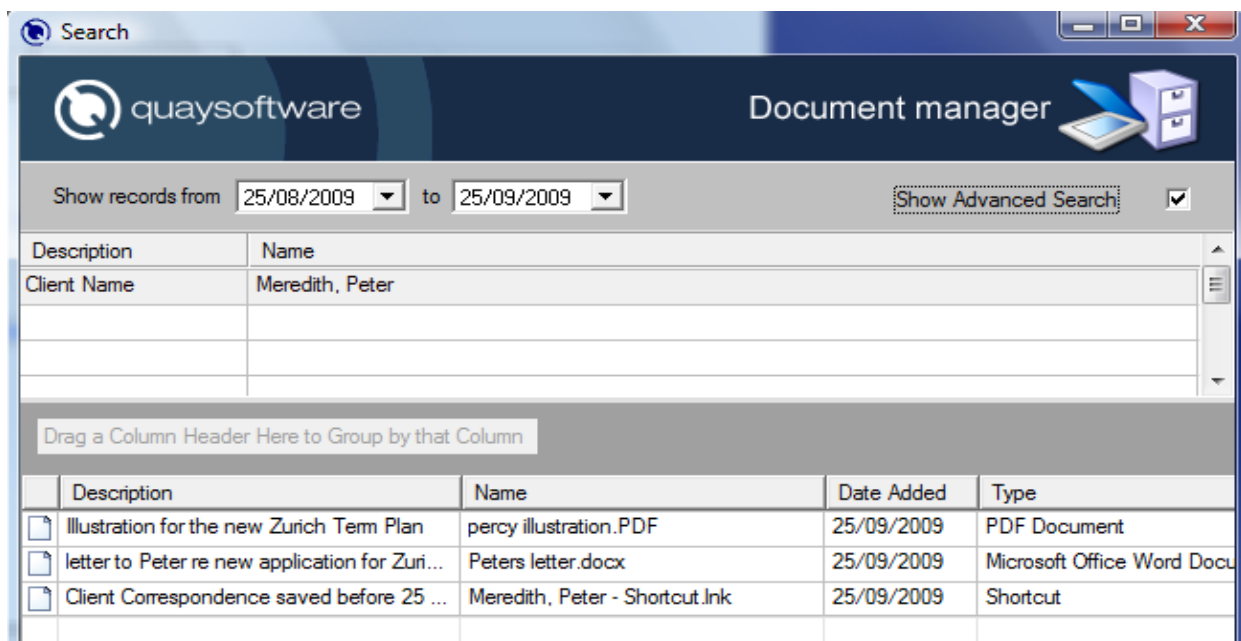
## 5.1 Locating Other Clients' Documents

When working on a client file, another client could call to discuss a document that has been sent to them (and saved in Document Manager). It is simple to view this second client's documents, without leaving the client record that is currently being worked on.

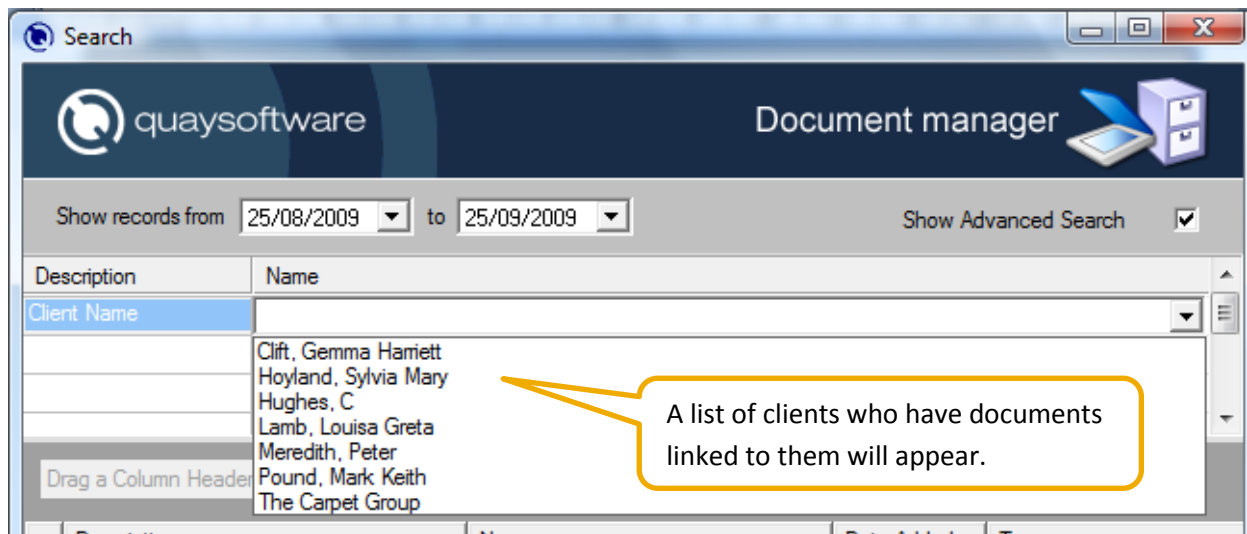
This is done using:



By clicking into the small field, the following appears:



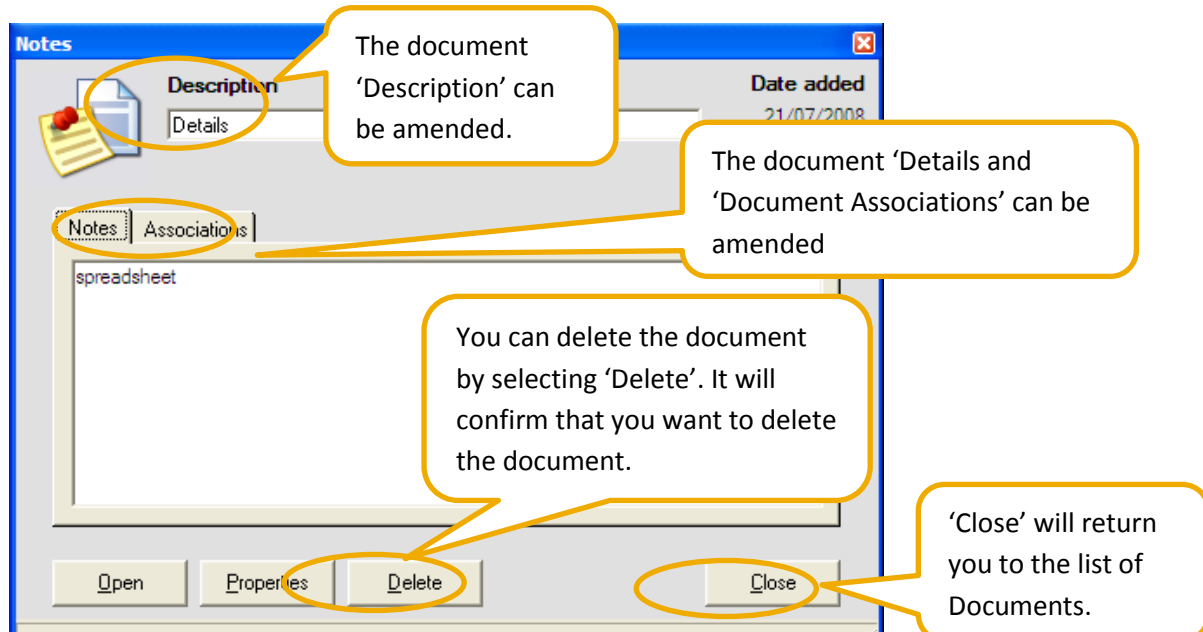
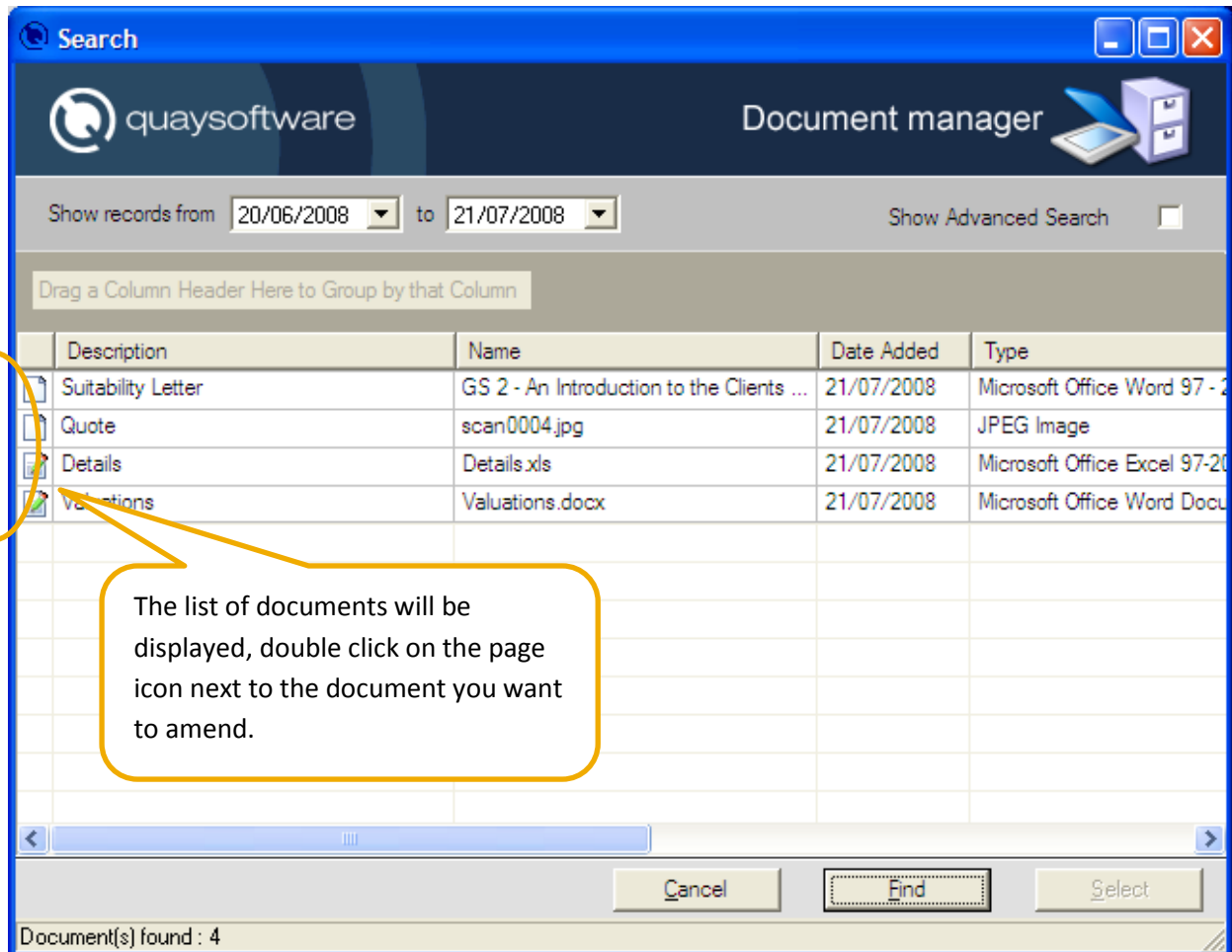
By clicking on the client name shown, the field will go white, with a drop down arrow at the end of the line. Click on this arrow.



Select the client and click on the 'Find' button and that client's document will be displayed. Once that client has been finished with, come out of the Document Manager and you will still be on the original client's record.

## 6 Amending Document Descriptions and Deleting

Document descriptions and labels can be amended at a later date. Access the 'Document Manager' location where the document you want to amend or delete is stored and click on 'Find a document for this client'.



Search

quaysoftware Document manager

Show records from 20/06/2008 to 21/07/2008 Show Advanced Search

Drag a Column Header Here to Group by that Column

	Description	Name	Date Added	Type
	Suitability Letter	GS 2 - An Introduction to the Clients ...	21/07/2008	Microsoft Office Word 97 - 2
	Quote	scan0004.jpg	21/07/2008	JPEG Image
	Details	Details.xls	21/07/2008	C:\LINK\Data\Quay Image
	Valuations	Valuations.docx	21/07/2008	Microsoft Office Word Docu

When you initially return to the list of documents the document you have deleted will still be listed but will have a X. The next time you open this screen the document will no longer be listed.

Document(s) found : 4

Cancel Find Select