IBM Enterprise Records 5.1: Records Management

(Course code F174)

Student Notebook

ERC 1.0

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Course description

IBM Enterprise Records 5.1: Records Management

Duration: 2 days

Overview

This course is for those whose job includes responsibility for designing the file plan for an IBM Enterprise Records system and making decisions regarding record retention, disposition, and security. You use the IBM Enterprise Records web application to create the file plan. You work with a records administrator, an installer, a database administrator, and a programmer. You must be able to organize and communicate records management system requirements to the other roles.

You work with a fully functioning IBM Enterprise Records system to practice the skills required for designing file plans for records management.

Audience

Anyone who is responsible for planning the records management strategy for their organization that uses IBM Enterprise Records.

Prerequisites

F040 - IBM FileNet P8 Prerequisite Skills 4.5

Skills taught

After completing this course, you should be able to:

- Declare and manage records using basic configurations.
- Design a functional and efficient records management file plan.
- Coordinate file plan development and deployment.

Course outline

- Introduction to IBM Enterprise Records
- Explore a file plan
- Initiate disposition
- Declare electronic records

- Create a disposition schedule
- Add alternate retentions
- Work with file plan containers
- Work with holds
- Coordinate file plan development
- Core file plan design concepts
- Create a functional classification file plan
- Create a retention model file plan
- Create a case model file plan

Agenda

Day 1

Welcome
Unit 1 - Core Skills

Day 2

Unit 2- File Plan Design

Unit 1. IBM Enterprise Records 5.1: Core Skills

What this unit is about

This course is for those who either administer IBM Enterprise Records or use it to maintain the retention, disposition, and security of records.

You work with a fully functioning IBM Enterprise Records system to practice the skills required for both records managers and system administrators.

By completing this course, you acquire the core knowledge and skills that are needed for records management and are required for more advanced IBM Enterprise Records courses.

What you should be able to do

After completing this unit, you should be able to:

How you will check your progress

- Successfully complete the student exercises.

References

IBM Enterprise Records 5.1 Information Center:

http://publib.boulder.ibm.com/infocenter/p8docs/v5r1m0
When searching for terms found in this book, be sure to search for the exact string shown, including quotation marks.

IBM Enterprise Records 5.1: Core Skills

Unit lessons

This unit contains the following lessons:

- Introduction to IBM Enterprise Records
- Explore a file plan
- Initiate disposition
- Declare electronic records
- Create a disposition schedule
- Add alternate retentions
- Work with file plan containers
- Work with holds

Figure 1-1. Unit lessons F1741.0

Notes:

Lessons in this unit

This unit has eight lessons. After the first lesson, each lesson relies on information and skills taught in the prior lessons. For best results, do these lessons in the sequence presented.

Introduction to IBM Enterprise Records. In this lesson, you learn about product capabilities and the role of the product in an enterprise compliance solution.

Explore a file plan. In this lesson, you learn about the file plan organization and different kinds of file plan containers.

Initiate disposition. In this lesson, you learn about record lifecycles, how to recognize record lifecycle stages, and how to find records that are ready for disposition.

Declare electronic records. In this lesson, you learn about how to declare electronic records and how to make declaration easier and faster by creating declaration templates.

Create a disposition schedule. In this lesson, you learn about creating disposition schedules, applying them to containers, and observing how disposition schedules control record retention and disposition.

Add alternate retentions. In this lesson, you learn about using alternate retention intervals with the same disposition schedule in order to allow for different retention rules that apply to different records, such as records that are governed by different countries with different retention laws.

Work with file plan containers. In this lesson, you learn about creating and working with different types of file plan containers (such as folders and volumes).

Work with holds. In this lesson, you learn about placing and removing static and dynamic (or conditional) holds on records in order to prevent or postpone their disposition.

Lesson 1.1. Introduction to IBM Enterprise Records

Lesson:
Introduction to IBM Enterprise Records

- Why is this lesson important to you?
  - One of your new job responsibilities is going to be working with IBM Enterprise Records. You are seeing the product for the first time. You need to be able to identify its capabilities.
  - IBM Enterprise Records is part of a compliance solution for your organization. You are going to be using IBM Enterprise Records with other products in this solution. You need to know how IBM Enterprise Records works with other IBM compliance products.

Figure 1-2. Lesson: Introduction to IBM Enterprise Records F1741.0

Notes:

Introduction to IBM Enterprise Records

Activities that you need to complete

- Identify the records management capabilities of IBM Enterprise Records.
- Describe the role of IBM Enterprise Records in the context of an enterprise compliance solution.

Figure 1-3. Activities that you need to complete F1741.0

Notes:

These are the activities that you are going to perform in this lesson.

Introduction to IBM Enterprise Records

Records management compliance issues

- Increasing volume of electronic records
- Accountability required for disparate information sources across the enterprise
  - Disparate formats
  - Disparate repositories
- Unreliability of users to declare records
  - Undeclared records
  - Misfiled records
- Inadequate enforcement of retention and disposition policies
  - Records destroyed too soon or too late
- Inadequate security
  - Unauthorized access, tampering, or destruction
- Difficulty of retrieval
  - Inability to locate records

Figure 1-4. Records management compliance issues F1741.0

Notes:

Volume of electronic records

The number of electronic documents is constantly increasing. The sheer volume of electronic records creates a higher demand for faster declaration processes.

Disparate information sources

The increasing volume of electronic documents of all kinds, such as email, attachments, charts, spreadsheets, PDF files, images, and documents strains the ability to manage all of them using a single records management system because the records are in so many places and in so many formats. Additionally, these records might exist in different repositories, such as databases, file systems, and optical storage devices.

Unreliability of users

Users receive many emails a day and deal with many documents. Not all users are qualified to determine which documents need to be declared as records. Even if users are qualified, the act of declaring and filing a high volume of records can take considerable time

from the user's schedule. Records can also be misidentified and misfiled, leading to problems of retrieval, retention, and disposition later.

Enforcement

Retention is the time during which records must be kept. *Disposition* is the proper disposal of the record at the end of the retention period. Most enterprises have retention and disposition policies for different kinds of records, but enforcing those policies is difficult to do without a centralized control mechanism. As a result, many records are deleted from repositories too early in order to regain disk space, or are forgotten and left on hard drives long after they were supposed to have been destroyed. Either alternative is unacceptable when the records are required for legal discovery.

Security

Although physical records can be locked inside safes or filing cabinets, security for electronic information is often more difficult to establish. An electronic document can be altered or deleted remotely long after it has been added to a repository. The destruction or alteration of a record is called *spoliation*.

Retrieval

During retention, records need to be easily retrieved when needed. Users need to be able to conduct searches to find records, no matter where they are. In addition, users need a way to track the location and movement of physical records.

Introduction to IBM Enterprise Records

What is IBM Enterprise Records?

- An add-on solution to IBM FileNet P8 for managing records.
- Provides automatic record management processing capability.
  - Automatic declaration
  - Disposition schedule tracking
  - Automatic destruction
  - Dynamic holds
- Includes a Web application named IBM Enterprise Records
  - Looks like and works similarly to IBM FileNet P8 Workplace
- Includes built-in workflows such as the following:
  - Destroy workflow that destroys a record at the end of disposition
  - Physical records processing workflow for tracking physical records
- Prebuilt data models to support industry standard record management requirements

Figure 1-5. What is IBM Enterprise Records? F1741.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management
- **Prebuilt data models**

The prebuilt data models include the following:

- Base: Satisfies the requirements of most corporations.
- Department of Defense (DoD): Includes the properties required by version 2 of the DoD standard (DoD 5015.2).
- Department of Defense Classified (DoD Classified): Includes the properties required by version 2 of the DoD Classified standard (DoD 5015.2) for managing classified records.
- Public Records Office (PRO): Includes the properties required by the PRO 2002 standard.

Introduction to IBM Enterprise Records

IBM Enterprise Records overview

- A records manager creates a file plan and disposition schedules.
  - The file plan is a hierarchy of containers.
  - Disposition schedules are associated with containers.
- Users declare records.
  - Manual or automatic declaration
  - Create records in the IBM Enterprise Records system.
  - Schedules are applied to records from the container.
- IBM Enterprise Records controls the security and retention of these records.
  - Prevents record deletion during retention period.
  - Disposes of records according to the disposition schedule.

Figure 1-6. IBM Enterprise Records overview F1741.0

Notes:

Create a file plan

In IBM Enterprise Records, a file plan is a hierarchy of containers that is used for managing disposition and security. The records manager creates the file plan and creates disposition schedules, and then associates the disposition schedules to the containers in the file plan. Records that are filed in these containers are governed by the disposition schedule that is associated with that container.

Users declare records

IBM Enterprise Records provides many ways in which to declare records. They can be declared manually by users when they enter documents into a content repository, or they can be declared automatically using other software, such as IBM Content Collector. Records are filed in a container within the file plan hierarchy. Disposition schedules and security constraints automatically apply to records that are placed in these containers.

Security and retention

When a record is declared, a record object is created. This object is linked to the original document. The record object controls the security and retention of the original document. IBM Enterprise Records automatically changes the security on documents that are declared as records. Users who do not have access to the records cannot see them after they are declared. The additional security also prevents record deletion. IBM Enterprise Records keeps track of all of the retention and disposition information for the records. So, when a record or container of records is ready for deletion or transfer, IBM Enterprise Records launches the appropriate workflow or action to properly dispose of the records.

IBM Enterprise Records capabilities (1)

- Automatic record declaration without reliance on user compliance (ZeroClick)
- Automatic enforcement of record security upon declaration
- Automatic record retention, including rule-based alternate retention schedules
- Automatic record disposition
- Integration with IBM FileNet P8 Business Process Manager (BPM) to automate work routing and provide accountability

Figure 1-7. IBM Enterprise Records capabilities (1) F1741.0

Notes:

Automatic record declaration

Administrators can configure automatic declaration in several ways. For example, when a document is entered into a specified folder in the Content Engine, it can be declared automatically. Declaration can be made part of a document entry template so that, when a user enters a document to the repository, it is declared. Alternately, if the company uses workflows, a declaration step can be added to the workflow, so that the documents used in the workflow are kept as records. Automatic record declaration minimizes the reliance on workers to perform declaration and filing activities. Record declaration occurs without any additional mouse clicks. This capability is sometimes known as ZeroClick.

Security

When a document is declared as a record, a new security proxy is applied to that document to prevent unauthorized deletion. From that moment on, the security of the document is controlled by the security settings that apply to the record.

Automatic retention and disposition

Records managers configure retention and disposition schedules that are applied to records. If multiple retention schedules apply to a record series, they can be applied using rule-based logic. For example, if you have email records from two countries with different email retention laws, you can specify different retention periods based on the country where those laws apply. When the time comes for the record to be disposed of, the records manager can be alerted to review and approve disposal. For other records that do not need approval for destruction, IBM Enterprise Records can automatically destroy these records when they reach the end of the retention period without an approval step. Disposition does not necessarily mean destruction, either. You can specify several types of disposition actions, such as transfer to another repository, transfer to an archive institute, or export to another system.

Integration with IBM FileNet P8 BPM

IBM FileNet P8 business processes provide automatic workflow routing and tracking. When a workflow is launched, an administrator can determine who was responsible for each step, who performed each step, and what decisions were made at each step, ensuring accountability at each step in the process.

IBM Enterprise Records capabilities (2)

- Automated, dynamic holds on records
- Retrieval of records based on searches
- Electronic and physical records management
- Record federation using Content Federation Services
- Customizable reports (if Crystal Reports is installed)
- Multilingual support for interface and data from the Content Engine
- Classified records management

Figure 1-8. IBM Enterprise Records capabilities (2) F1741.0

Notes:

Holds

Records can be placed on hold to postpone disposition. Dynamic holds can be applied so that records that meet specified criteria are automatically placed on hold without direct placement.

Searches

Records can be retrieved using search criteria based on record metadata.

Electronic and physical records management

IBM Enterprise Records provides a hierarchical filing system that can track both electronic records and physical records. Physical records are represented in the system electronically. Each physical record can be tracked when it moves from location to location. At any given time, a records manager can find out where a physical entity is by inspecting its electronic counterpart.

Record federation

The Content Engine uses Content Federation Services to manage documents in disparate repositories. The content stays in the original repository while the document metadata is tracked in Content Engine. Record federation uses the same principle to administer record retention, disposition, and security to documents in disparate repositories.

Customizable reports

IBM Enterprise Records includes a number of reports that provide a statistical view of different activities in IBM Enterprise Records. For example, you can generate reports to show the electronic folders created within a given time period or to review decisions made for entities during a given time period. In addition to using the preconfigured reports, you can create custom reports.

Multilingual support

Users can select a language based on the browser locale, which is now consistent with FileNet P8 Workplace and Workplace XT.

Classified records management

IBM Enterprise Records provides the structure to handle the additional security requirements of managing classified records, as well a the ability to maintain security classification guides used for derivative classification.

Introduction to IBM Enterprise Records

Example enterprise compliance solution

IBM Enterprise Records integrates with other IBM products as part of this compliance solution.

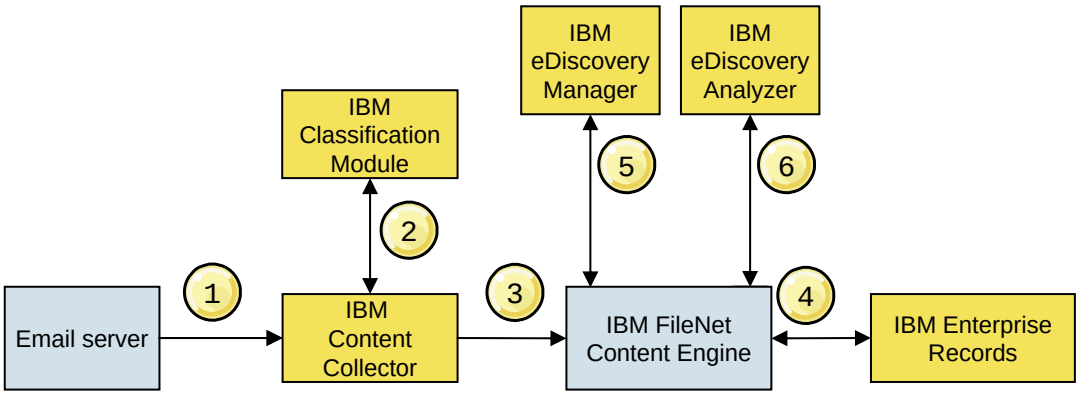


Figure 1-9. Example enterprise compliance solution F1741.0

Notes:

Compliance solution

This diagram shows how IBM Enterprise Records integrates with other IBM compliance products to form an enterprise compliance solution.

1. IBM Content Collector (ICC) monitors and retrieves emails from the email server.
2. Emails are classified using IBM Classification Module using natural language processing capabilities. Based on statistical analysis of the word usage in the content, the documents are classified into categories. ICC uses the category assignment to determine whether to capture the email as part of a business process and whether to declare the email as a record. If the email is not important for business and is not declared as a record, the email is still captured for archival in order to prepare for eDiscovery.
3. ICC adds the email to the IBM FileNet Content Engine repository.
4. ICC might use IBM Classification Module information to determine if an email needs to be declared as a record. Alternately, ICC might use simple regular expression-based

rules to make that determination without IBM Classification Module. In either case, after adding it to the repository, ICC can use the information in the email to automatically declare and file it as a record using IBM Enterprise Records. During record declaration, ICC files the record into a preconfigured record category that determines the record retention and disposition characteristics.

5. IBM eDiscovery Manager retrieves archived emails that pertain to a legal matter and collects them into a case. IBM eDiscovery Manager can access emails only after they have been archived in the repository.
6. IBM eDiscovery Analyzer refines the set of emails in the case and performs other content analyses.

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: Core Skills
- Lesson: Introduction to IBM Enterprise Records
- Activities:
  - Identify the records management capabilities of IBM Enterprise Records.
  - Describe the role of IBM Enterprise Records in the context of an enterprise compliance solution.

Figure 1-10. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.2. Explore a file plan

Lesson:
Explore a file plan

- Why is this lesson important to you?
  - You must correctly file every record that you declare in order for it to have the correct retention and disposition schedules and security. You are going to be declaring records. You need to know how the file plan is organized.

Figure 1-11. Lesson: Explore a file plan F1741.0

Notes:

Explore a file plan

Activities that you need to complete

- Explore a file plan.

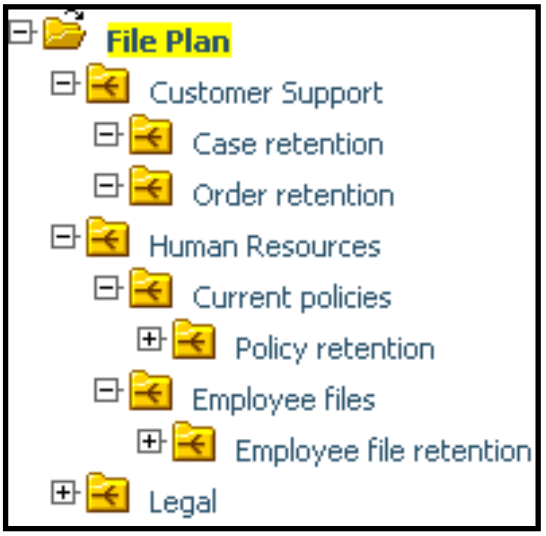
Figure 1-12. Activities that you need to complete F1741.0

Notes:

These are the activities that you are going to perform in this lesson.

Explore a file plan

What is a file plan?



- A hierarchy of containers that defines the organization of records
  - The file plan determines the security, retention, and disposition of the records.
- Types of electronic containers:
  - Category
  - Folder
  - Volume
- Disposition schedules are configured on containers.
  - Disposition schedules apply to contained entities.

Figure 1-13. What is a file plan? F1741.0

Notes:

Help path

- Search for "file_plans.htm“.

The screen capture shows a file plan hierarchy tree.

The purpose of the file plan is to organize records. Records are filed in the file plan according to the retention and disposition that they require. In IBM Enterprise Records, the file plan is a container hierarchy to which the disposition schedules are associated.

Disposition schedules are created in IBM Enterprise Records and then associated with containers in the file plan. When records are filed in a container, those records are retained and disposed of according to the disposition schedule associated with that container.

In the records management industry, a file plan usually refers to the filing system for records and focuses on how to ensure that records are filed correctly so that they can be properly retrieved and retained. The retention schedule specifies how long to keep records of a particular kind and what to do with them at the end of their retention periods.

Explore a file plan

Containers in a file plan

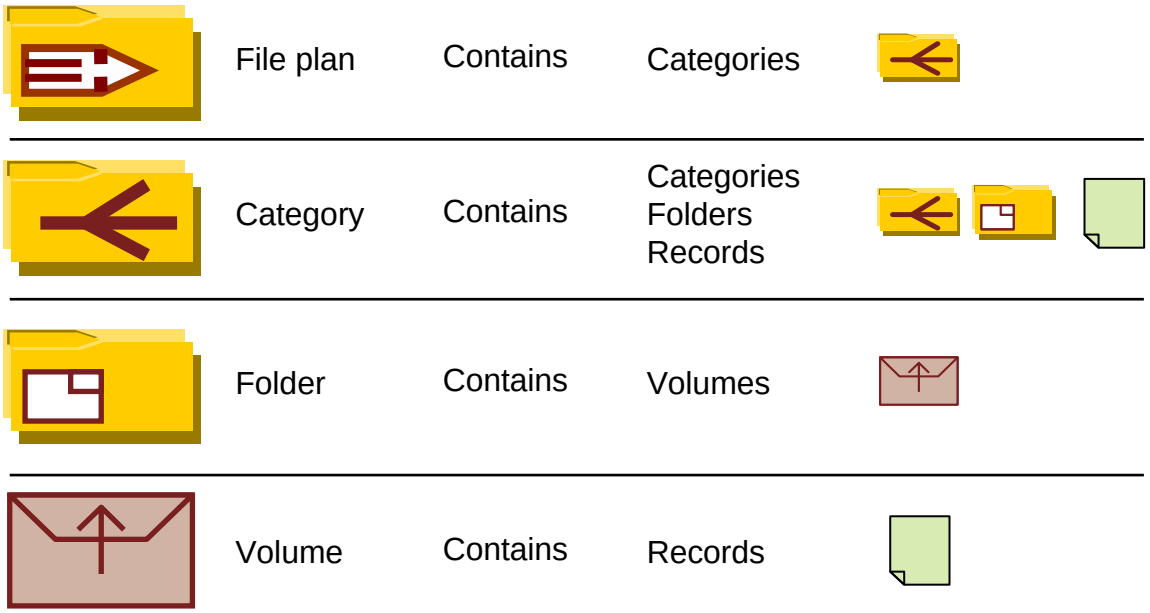


Figure 1-14. Containers in a file plan F1741.0

Notes:

Help path

- IBM FileNet P8 documentation >Working with documents > Records management > Creating a file plan > Defining categories, folders, and volumes > Categories, folders and volumes.

The diagram shows different types of electronic containers in a file plan. A complete list of containers is not presented because containers for physical entities are not included. In this lesson, you are going to be working only with electronic entities.

File plan

The file plan is the root of the records manager container objects. It can directly contain only categories.

Record category

Record categories can contain other record categories, record folders, and records. Record folders are used for a collection of related records.

Record folder

Record folders are often used to aggregate records that need to be disposed of at the same time. Records can be declared into categories, but they are always filed into a volume within the category. No record can exist directly inside a record folder.

Volume

Volumes are logical subdivisions of record folders. The volume has no existence independent of the record folder. A folder can have many volumes. Only one volume can be open in a record folder at a time. If you create a new volume, the previously open volume automatically closes. You can temporarily reopen a volume that has been closed in order to declare records into it, but a reopened volume is not identical to an open volume. Any records that are declared into the parent folder are automatically filed into the open volume in that folder.

Explore a file plan

IBM Enterprise Records interface

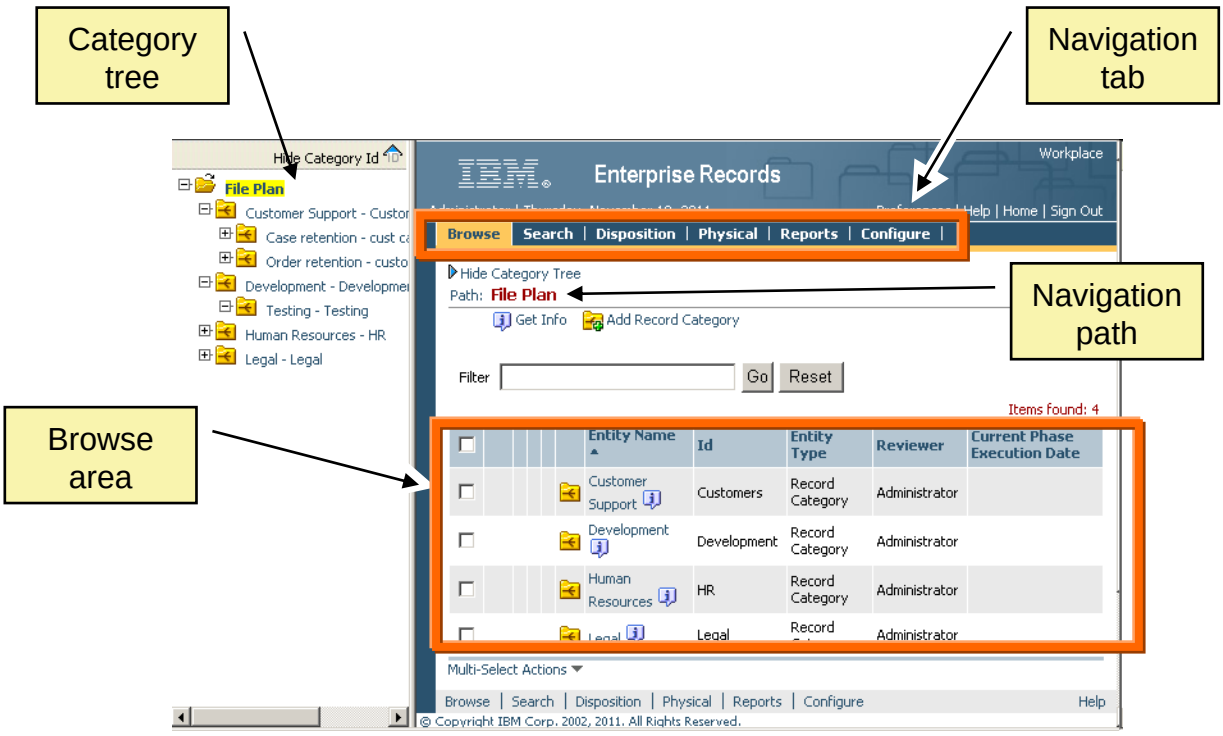


Figure 1-15. IBM Enterprise Records interface F1741.0

Notes:

IBM Enterprise Records interface

The screen capture shows the IBM Enterprise Records interface.

Most IBM Enterprise Records functions are configured and performed using the IBM Enterprise Records Web interface. The appearance and function of the interface is similar to IBM FileNet Workplace, so Workplace users can start using IBM Enterprise Records to browse, search, and view the details of records.

Navigation tabs

The navigation tabs are links to different pages in IBM Enterprise Records. Use the navigation tabs to access these pages:

Browse: Allows you to browse the file plan.

Search: Allows you to search for records, categories, and folders.

Disposition: Allows you to set up disposition schedules and holds.

Physical: Allows you to add, modify, and delete locations for physical entities.

Reports: Allows you to run pregenerated reports (if you have a report application, such as Crystal Reports).

Configure: Allows you to configure file plans, audits, object stores, and other settings.

Category tree

The category tree shows the file plan category hierarchy. You can use it to quickly go between areas of the hierarchy.

Browse area

The browse area shows the contents of the current container. It also provides context-sensitive menus. For example, if you right-click a category, you see a menu that includes the operations you can perform directly on that category. The check boxes allow you to select multiple objects in order to use the Multi-Select menu commands. Most operations that can be performed on a single entity can be performed on multiple entities at the same time, for example, filing into a different container.

Navigation path

The navigation path shows where you are in the file plan. As with Workplace, you can use this path to go back up the hierarchy.

Explore a file plan

Information page

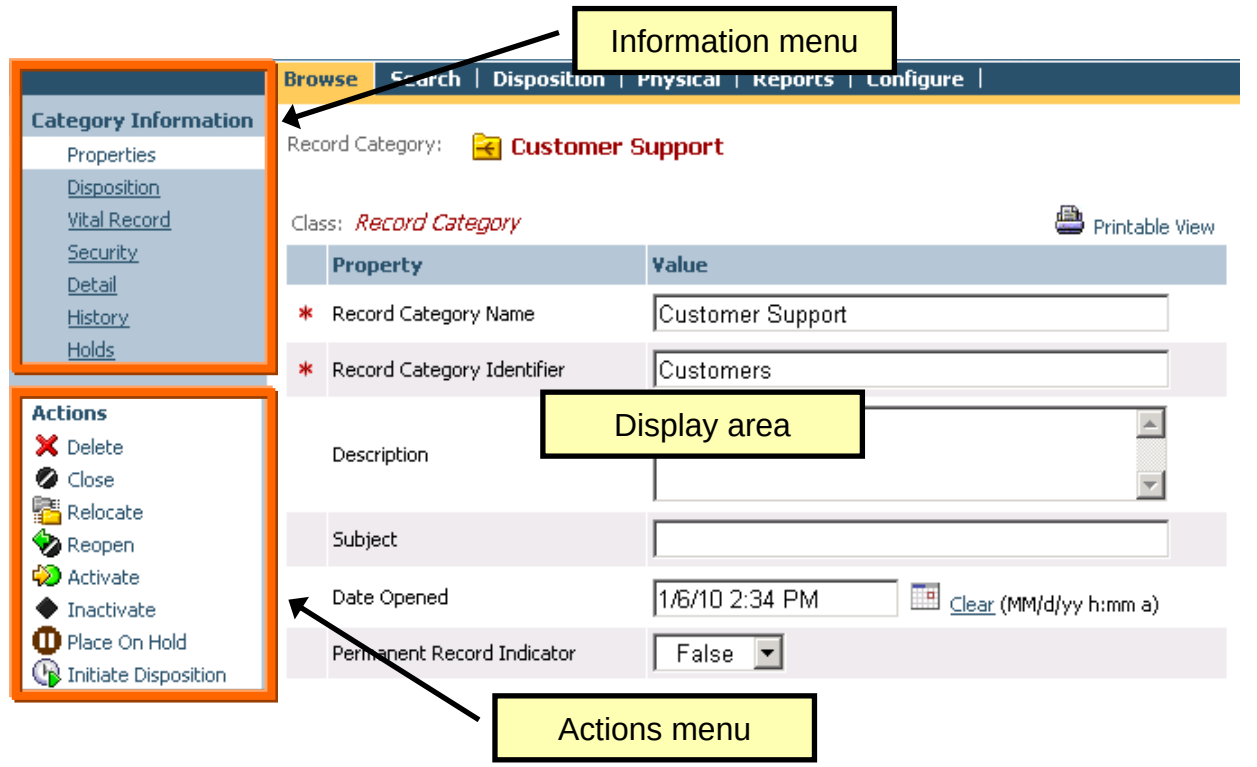


Figure 1-16. Information page F1741.0

Notes:

Help path

- Search for "rm_information_views.htm“.

Information page

The screen capture shows an information page for a typical record category. Every object in the file plan has an information page that you can view from the IBM Enterprise Records Web pages. The information page has three main areas.

Information menu

The Information menu provides a list of different information pages to view different kinds of information for each object. You can click these links to open different information pages. The Properties page is currently open in this example. You can also open information pages for Disposition, Vital Record, Security, Detail, History, and Holds.

Display area

The Display area displays the information for the Information page that is currently selected in the Information menu. On the Properties page, the Display area shows the properties for the object class and the values for this particular object. In this example, the Display area shows the following properties and their values: Record Category Name, Record Category Identifier, Description, Subject, Date Opened, and Permanent Record Indicator.

Actions menu

The Actions menu provides a list of actions that can be performed on the current object. The actions available depend on the kind of object that is selected. In this example, the actions that you can perform on a record category are Delete, Close, Relocate, Reopen, Activate, Inactivate, Place On Hold, and Initiate Disposition.

Explore a file plan

What is disposition?

- Cutoff: The event that signifies the end of the active period of an entity and the start of disposition
- Disposition: One or more actions taken on a record after cutoff has been achieved
  - In IBM Enterprise Records, disposition actions include destruction, review, transfer, and export.
  - Disposition can have several phases, each of which has its own retention period.
  - Disposition is automated using disposition schedules.
  - Disposition schedules are designed by the corporate records manager.

Figure 1-17. What is disposition? F1741.0

Notes:

The Disposition Authority property identifies the agency or organization that defines the laws for regulating the retention and maintenance of an entity.

Explore a file plan

What is a disposition schedule?

- Specifies the retention rules for records and instructions for disposing of them at the end of the retention period.
- Includes one or more disposition phases, each consisting of the following elements:
  - A retention period
  - A disposition action
- Is associated with a container.
- Applies to entities within that container.
  - An entity can be a record or a container.

Figure 1-18. What is a disposition schedule? F1741.0

Notes:

Help path

- Search for "retention_and_disposal.htm“.

Disposition phases

Each phase of a disposition schedule has a retention period and a phase action that occurs at the end of that period. Disposition phase actions include review, destruction, export, and transfer, and others. You can specify as many disposition phases as necessary for your record management model. Some disposition actions are final, meaning that no further disposition can occur afterward. For example, you can specify as many review phases as you want, but you cannot add any disposition phases after a destruction phase.

Explore a file plan

Locate disposition schedules

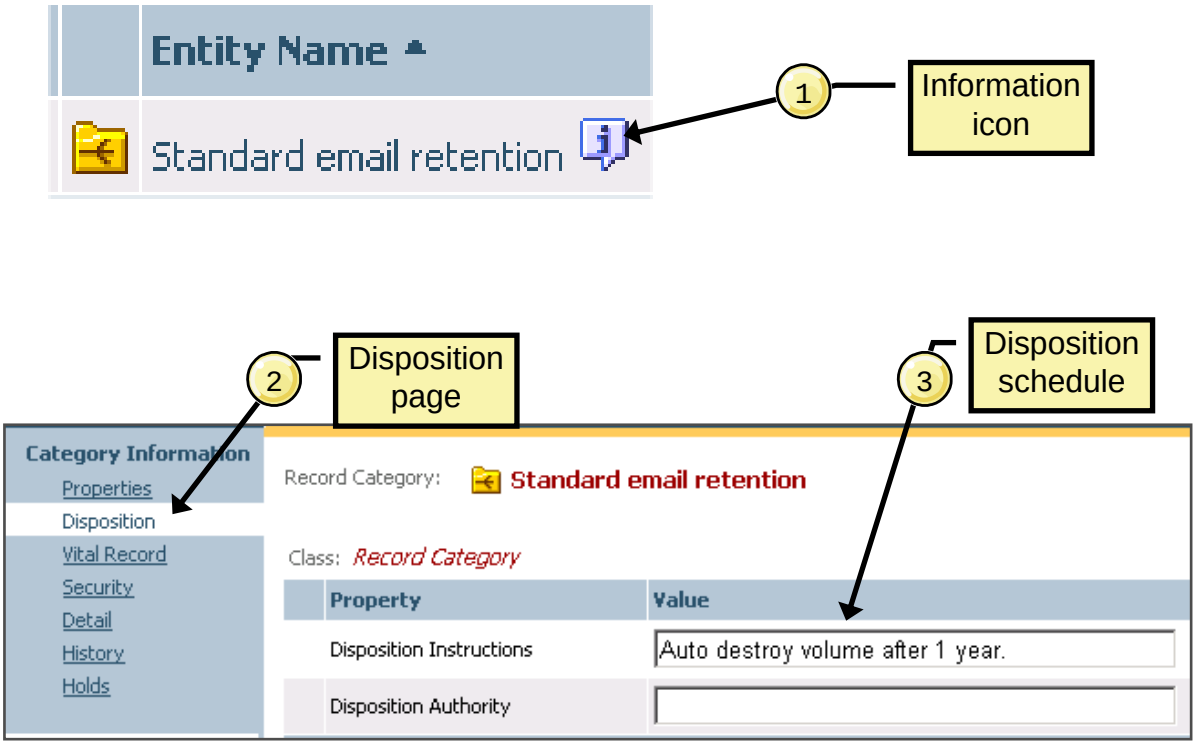


Figure 1-19. Locate disposition schedules F1741.0

Notes:

The screen capture shows how to find the disposition schedule that is associated with a container.

To determine which disposition schedule is associated with a container, do the following:

1. Click the information icon for the container.
2. Select the Disposition page.
3. Locate the Disposition Instructions field.

Explore a file plan

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: Core Skills
- Lesson: Explore a file plan
- Activities:
  - Explore a file plan.

Figure 1-20. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.3. Initiate disposition

Lesson:
Initiate disposition

- Why is this lesson important to you?
  - Each record goes through different stages in its lifecycle, from declaration to disposal. You notice that some records have icons in front of them that indicate which state the record is in. You need to be able to recognize each record state so that you know which actions to perform on it, if any.
  - Entities across the enterprise are ready for disposition. Unless you approve disposition, the entities cannot be disposed of. You need to search for entities that are ready and initiate disposition.

Figure 1-21. Lesson: Initiate disposition F1741.0

Notes:

Initiate disposition

Activities that you need to complete

- Locate the disposition schedule that applies to a record.
- Identify the status of an entity.
- Search for entities that are ready for disposition.
- Initiate disposition.

Figure 1-22. Activities that you need to complete F1741.0

Notes:

These are the activities that you are going to perform in this lesson.

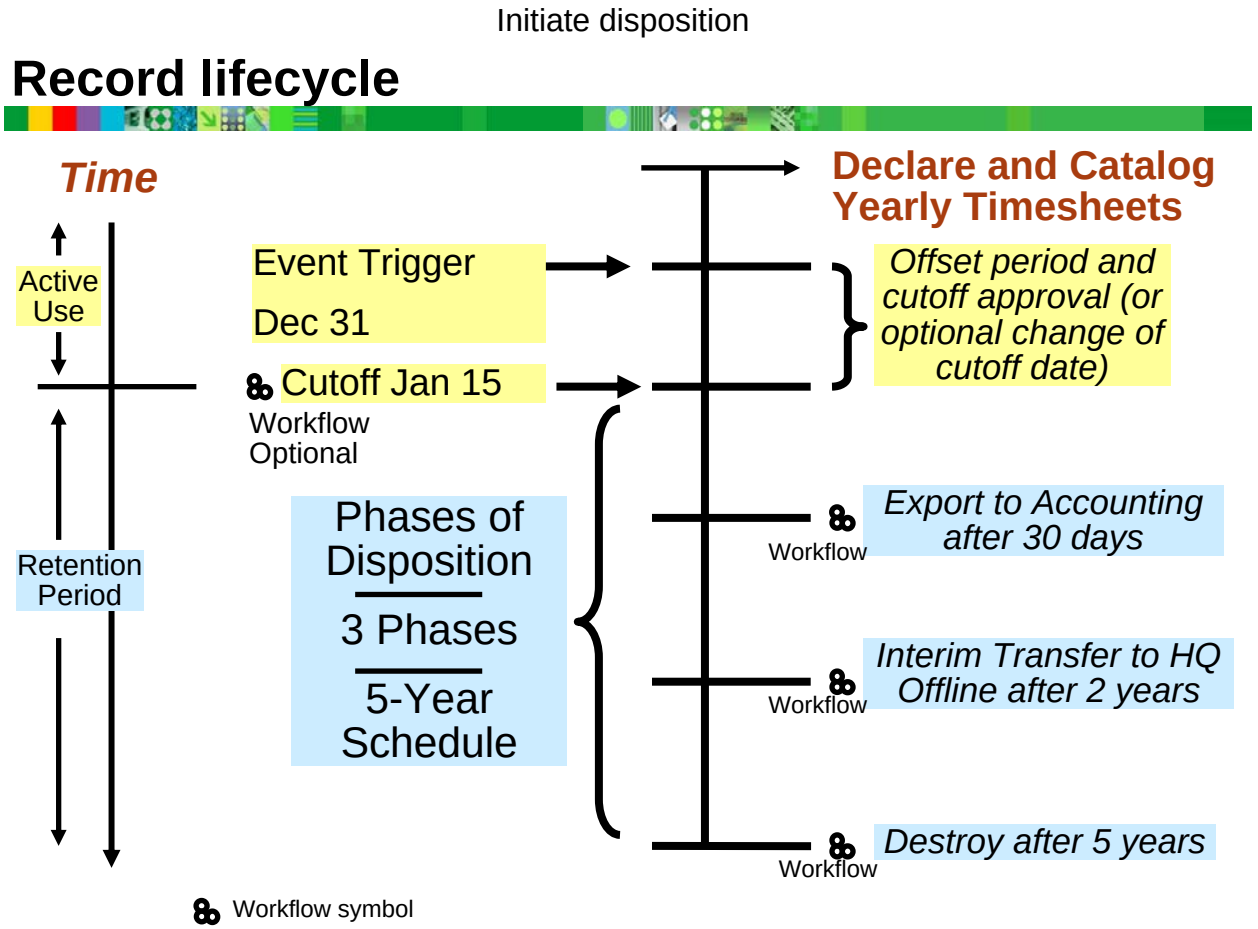


Figure 1-23. Record lifecycle F1741.0

Notes:

Help path

- Search for "retention_and_disposal.htm“.

This diagram shows an example of a record lifecycle. All record lifecycles begin with declaring and cataloging the record.

Declaration

Declaration is the creation of the record object. The record object then controls the security, retention, and disposition of the document object according to the disposition schedule that applies to the record object. Cataloging occurs at the time that the record is declared. Cataloging is the step in which the record class and file plan location are determined.

Active use

The record can be actively used in the system for some time before the event trigger. Active use ends with cutoff.

Event trigger

At some point in the record lifecycle, an event occurs that signals that the record is ready for disposition. The event trigger can be an internal event, such as the change of a property value from "current" to "expired." Or it can be a date. Some event triggers are recurring and have a frequency, such as monthly or yearly.

Cutoff

Cutoff is the end of the active use period and the start of disposition.

Disposition

Disposition is the sum of actions performed on the record after cutoff. Disposition can have one or more phases. Each phase has a retention period and an action that occurs at the end of that retention period. For example, the first phase of disposition has a retention of 30 days, after which period an export action occurs. When disposition starts, the entity proceeds linearly through the stages of disposition according to the disposition schedule until it reaches the final action, which, in this example, is destruction. All retention periods are defined from the cutoff date, not the end of the previous retention period. If the first phase has a retention period of 3 years and the second phase has a retention period of 5 years before destruction, the total retention period is 5 years.

Offset period

The offset period is an optional period between the event trigger and the actual cutoff. For example, the event trigger for tax records might be the end of January, but you might allow an additional month before closing the annual tax record folder so that late documents can arrive. An optional, approval workflow is available that allows a records manager to approve cutoff.

Initiate disposition

The cutoff process

- An entity must achieve cutoff before the phases of disposition can begin.
- Optional cutoff review (approval)
  - Disposition schedules can be defined to include an optional cutoff approval process.
  - This built-in, one-step workflow allows a user to confirm and set the cutoff date.
  - If this option is configured, cutoff is not achieved until this approval step has been completed.
- Cutoff settings
  - Includes an offset period, which can be zero if desired.
  - Includes an action configured for cutoff (workflow).
  - Includes a cutoff base (property on which to base cutoff).
  - Proposed cutoff date is determined by the base plus the offset.

Figure 1-24. The cutoff process F1741.0

Notes:

Help paths

- IBM FileNet P8 documentation >Working with documents > Records management > Creating a file plan > Defining a disposition schedule
- Search for "managing_workflows.htm“.

The cutoff base is a way to specify the cutoff date based on an event other than the trigger. For example, a bank might keep approved loan applications for 10 years. The trigger is the loan approval. The total length of time to keep the application is not based on the loan approval date, but upon the date it was created. So, in this case, you set the cutoff base to Date Created. The cutoff base is a date property.

Initiate disposition

Disposition inheritance

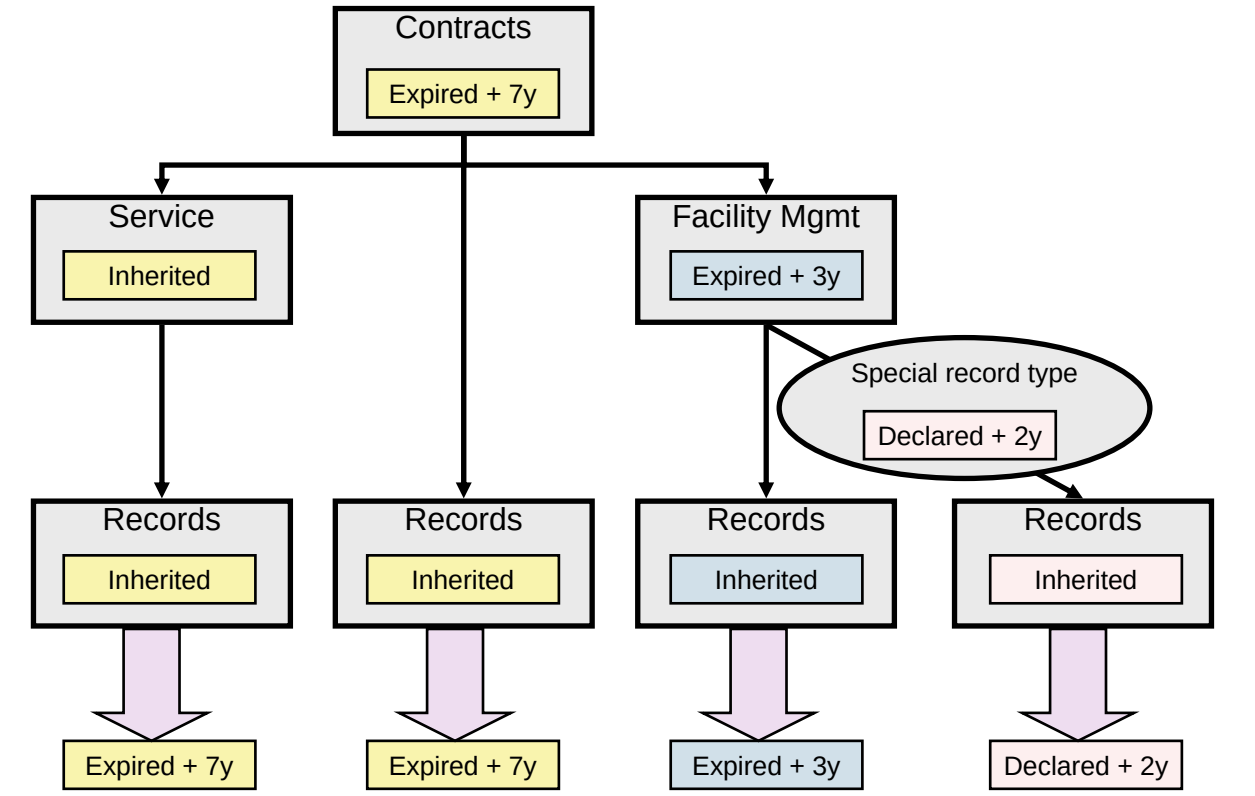


Figure 1-25. Disposition inheritance F1741.0

Notes:

Help paths

- Search for "retention_and_disposal.htm“.
- Search for "record_types.htm“.

The diagram shows how disposition schedules are inherited throughout the hierarchy. Dispositions are not applied directly to records. However, you can find the disposition for any record by analyzing the container hierarchy. If a category has a disposition schedule associated with it, then records filed into that category inherit the schedule. If subcategories or folders are in the category, they also inherit the same schedule.

You can assign a different disposition schedule at a lower level in the hierarchy, which automatically overrides any disposition schedule that was inherited.

The disposition schedule from the nearest parent is the one that propagates to lower levels.

A record type is a categorization of records based on common features among the records. You might use record types when a group of records existing in a record category or record folder need to have a disposition schedule that is different from the one currently

associated with the record category or record folder. When you use record types, the disposition schedule assigned to the record type takes precedence over the one assigned to any parent container.

Initiate disposition

Status icons

- Icon in the Browse tab shows disposition status for an entity.

Ready for Disposition

Disposition in Progress

On Hold

- Icon in the Browse tab shows the status of a container.

Closed

Figure 1-26. Status icons F1741.0

Notes:

Help path

- Search for "execute_a_disposal_schedule.htm“.

Ready for Disposition

Ready for Disposition indicates that an entity is ready for disposition and that the records manager can initiate disposition on this entity. It does not mean that initiation is guaranteed, however. If you initiate disposition on a volume that includes a record that is on hold, initiation fails.

Disposition in Progress

Disposition in Progress indicates that a disposition action is currently running. When you see this icon, you can generally conclude that there is a work item in the records manager public work queue that has not been completed.

On Hold

The entity is on hold. If the entity is ready for disposition, disposition cannot be initiated.

Closed

The closed status pertains only to containers, such as folders or categories. If a container is closed, no new child objects can be placed in it. For example, you cannot declare a new record into a closed category.

Initiate disposition

How to initiate disposition

- In IBM Enterprise Records, you initiate disposition using the Actions menu for the entity.
  - You can initiate disposition only on entities that are *Ready for Disposition*.
  - Only authorized users are allowed to initiate disposition.
  - Often performed on a group or batch of entities at one time.
  - Initiation propagates to child containers (but not if any are on hold).
  - You can use Multi-Select actions to initiate disposition.
- After you initiate disposition, the entity is in the *Disposition in Progress* state.

Figure 1-27. How to initiate disposition F1741.0

Notes:

Help path

- Search for "execute_a_disposal_schedule.htm“.

The Disposition in Progress icon is displayed as long as a workflow is still in progress for the entity. This icon is also used for the cutoff workflow.

Initiate disposition

Search template requirements

- IBM Enterprise Records search templates must be configured for the IBM Enterprise Records application.
  - Configure the templates for IBM Enterprise Records, in order to make them visible to IBM Enterprise Records users.
- Set Application Name to “RM”.
  - When adding the search template to the object store
- Save the search template in the templates folder on the FPOS.
  - Required for the template to be visible on the IBM Enterprise Records Search page

Figure 1-28. Search template requirements F1741.0

Notes:

Help path

- Search for "use_stored_searches_and_search_templates.htm“.

IBM FileNet P8 administrators are familiar with creating search templates for Workplace. However, IBM Enterprise Records search templates must be configured to run on the IBM Enterprise Records application in order for the search to be visible to IBM Enterprise Records users. The search template must also be saved in the Templates folder in the FPOS.

You can run the search from Workplace, but this action is not recommended because Workplace users and IBM Enterprise Records users can have different security assignments and because record-specific details might not be displayed properly in Workplace, such as disposition status.

If you forget to set the Application Name property when you add the search, you can change it later using the Information Page of the search.

RM stands for Records Manager, which is the name of a previous version of IBM Enterprise Records.

Initiate disposition

Overview of tasks

- Locate the disposition schedule that applies to a given record.
  - Inspect the container hierarchy.
- Identify the status of an entity.
- Create a search for records that are ready for disposition.
  - Create a search that includes both documents and folders.
  - Current phase execution date is equal to or less than current date.
  - Exclude entities that are on hold.
  - Save the search in the Templates folder of the FPOS.
  - Type `RM` in the Application field.
- Initiate disposition
  - Right-click the entity and click the Initiate Disposition option.
  - You can also use the Multi-Select Actions menu.

Figure 1-29. Overview of tasks F1741.0

Notes:

Initiate disposition

Demonstrations

- Create a search for records that are ready for disposition
- Initiate and process disposition

Figure 1-30. Demonstrations F1741.0

Notes:

Demonstration notes

Create a search for records that are ready for disposition

1. Open Search Designer.
2. Select the FPOS1 object store.
3. On the Object Types tab, select documents and folders.
4. On the Search Criteria tab, select the following search criteria:
   a. [Editable] [Current Phase Execution Date] [Is less than or equal to] [leave blank]
   b. [Read Only] [On Hold] [is equal to] [False]
5. Save the search in FPOS1 > Records Management > Templates.
6. Type `RM` in the Application Name field.
7. Test the search.

Initiate and process disposition

You are signed in to IBM Enterprise Records as Administrator. You have a record in view that is ready for disposition. Use a disposition schedule with a single destroy phase.

1. Right-click the record and click Initiate Disposition. You can also use Multi-Select actions to initiate disposition.
2. Sign in to Workplace as rmsue.
3. Go to Tasks > Public Inboxes > RecordsManagerApproval.
4. Select the work item that corresponds to the record being disposed of.
5. Open the work item. You can open the record to look at the contents, write comments, and then choose one of the actions from the Review Decision menu.
6. Complete the work item.
7. Verify that the record has been destroyed.

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: Core Skills
- Lesson: Initiate disposition
- Activities:
  - Locate the disposition schedule that applies to a record.
  - Identify the status of an entity.
  - Search for entities that are ready for disposition.
  - Initiate disposition.

Figure 1-31. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.4. Declare electronic records

Lesson:
Declare electronic records

- Why is this lesson important to you?
  - Some documents need to be declared as records so that they can be retained and disposed of according to the requirements of your organization. Declare records and file them correctly into the file plan.
  - Customer orders have a consistent format and are always declared and filed in the same location. You can save time by automating their declaration. Configure a declaration template to automatically declare these documents as records.

Figure 1-32. Lesson: Declare electronic records F1741.0

Notes:

Declare electronic records

Activities that you need to complete

- Declare an electronic record without a template.
- Create a declare template.
- Create a document entry template with record declaration.

Figure 1-33. Activities that you need to complete F1741.0

Notes:

These are the activities that you are going to perform in this lesson.

Declare electronic records

Adding and declaring

1. A document is **added** to an object store.
2. The document is **filed** in a folder.
3. The document is **declared** as a record.
4. The record is **cataloged** and **filed** in the file plan.

   Note: Each step can be automated.

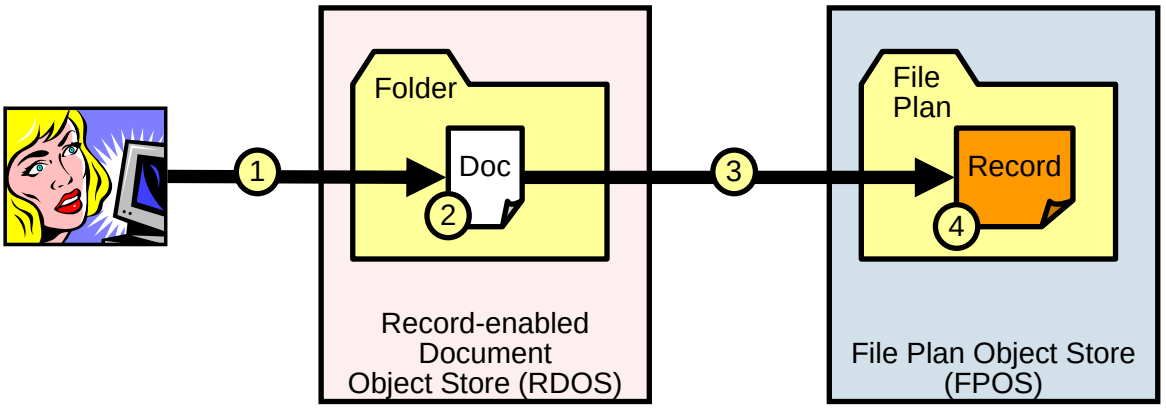


Figure 1-34. Adding and declaring F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Working with documents with Workplace > Documents > Documents and records management

The diagram shows the process of adding a document and declaring it as a record. The process has four steps:

1. A document is added to an object store. For record declaration, the object store must be an RDOS.
2. The document is optionally filed in a folder.
3. The document is declared as a record. Declaration creates a new record object on the FPOS.
4. The record is cataloged and filed in the file plan. Cataloging and filing occur when the record is declared. The record, unlike the original document, must be filed in a container in the file plan. The record maintains security on the originating document in the RDOS as well as the retention and disposition. Property values can be transferred from the

originating document to the record at the time of declaration. For example, the record object can have the same document title as the original document.

Declare electronic records

Record creation

- Record Object: a subclass of the Document class
  - Cataloged in a file plan
  - Instantiated by record declaration
  - Exists only in the file plan object store (FPOS)
  - Has no content: metadata only
- Included record classes
  - Electronic record
  - Marker (for physical records)

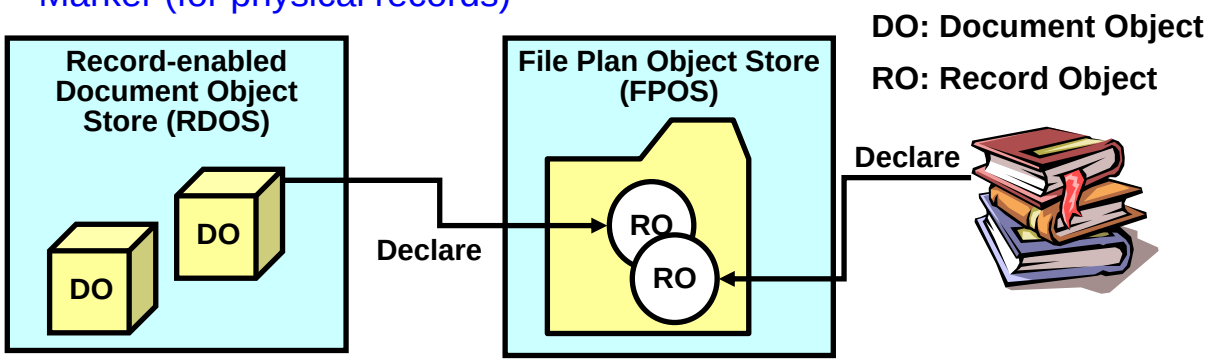


Figure 1-35. Record creation F1741.0

Notes:

Help path

- IBM FileNet P8 documentation >Working with documents > Records management > Records and metadata

What is a record object?

The diagram shows document objects (DOs) in the record-enabled document object store (RDOS) and physical objects (books) being declared as records. Declaration creates record objects (ROs) in the file plan object store (FPOS). The file plan can therefore track both electronic and physical records in the same filing system.

Record objects are a subclass of the Document class and exist only in an FPOS. They do not have content, but instead act as pointers to electronic documents with content. When an electronic document in the Content Engine is declared as a record, the record object is created and linked to that document. The record object then controls its security and its eventual disposition. For example, if a user adds a document to the Content Engine, that user has full access to that document until it is declared as a record. After declaration, the

user cannot delete the document, and possibly cannot see it. The security changes on the document, but the document remains in the same location in the Content Engine.

IBM Enterprise Records comes with two base record object classes to choose from: electronic record and marker. The marker class is used for physical records. If you need a record class that has more properties than are available from the default classes, a Content Engine administrator can create the new record class as a subclass of one of the base record classes.

The document object that is associated with a record object is stored in an object store that has been enabled for use with IBM Enterprise Records. (ROS and RDOS both mean record-enabled document object store.)

Undeclare

Occasionally, a record is declared by mistake and then becomes unavailable to the user who declared it. If a record is declared by mistake, a records administrator or a records manager can *undeclare* the record using IBM Enterprise Records Actions menu. When a record is undeclared, the record object is deleted and the document object returns to a non-declared state.

Declare electronic records

Required information for declaration

- Record class
  - Determines properties of the record
- Record cataloging
  - Select the record class.
  - Select the category or folder in which to file the record.
  - Can be predetermined or selected by the user.
- Record property values
  - Can be predetermined or provided by the user.
  - Record properties with the same symbolic names as the properties of the originating document are automatically populated with the document values.
    - Workplace performs the property value propagation, not the IBM Enterprise Records API.

Figure 1-36. Required information for declaration F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Records management > Declaring records > Declare a record

Declare electronic records

Manual declaration (without a template)

- Declaration without a template
  - Requires the user to correctly set values and file the record correctly
  - Is time-consuming
  - Is susceptible to user error
- Why declare a record without a template?
  - When documents are being processed, the user decides to declare the record and determines how it must be cataloged.
  - No template currently exists for this type of record.
- Examples of manual record declaration
  - User declares an existing electronic document as a record.
  - User checks in a new version of a document and declares it as a record.
  - User selects a category in a file plan before approving a workflow step that has a document attachment.

Figure 1-37. Manual declaration (without a template) F1741.0

Notes:

Declare electronic records

Document entry templates

- A document entry template is a Workplace wizard that streamlines the process of adding new documents.
- Document entry templates can do the following:
  - Select a default document class.
  - Fill document fields with predefined values.
  - Correctly set security on the document.
  - File the document in a default folder.
  - Hide document entry wizard pages on which the properties have been predefined.
  - Optionally or always declare document as a record.
- Entry templates save time and reduce errors.
  - Hide properties and screens that need not be altered by the user.

Figure 1-38. Document entry templates F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Working with documents with Workplace > Work with entry templates

The person who creates the entry template chooses how much automation to include in the entry template. For example, the template might only set security and leave all other decisions to the user. A different template might set all properties except the document title and file name.

Declare electronic records

Declare as Record templates

- A Declare as Record template is a type of entry template that streamlines record declaration.
- Declare templates can do the following automatically:
  - Select record class.
  - Assign predefined values.
  - File the record in the file plan.
- Advantages of using declare templates
  - Save time by reducing user steps.
  - Reduce user error with predefined property values.
  - Consistent filing

Figure 1-39. Declare as Record templates F1741.0

Notes:

Help paths

- Search for "create_entry_template.htm“.

Declare electronic records

Combine declare with document entry templates

- You want users to add a document and automatically declare a record at the same time.
- To do this, you create two types of templates:
  - **A document entry template** to add documents to the RDOS
  - **A declare template** to declare records to the FPOS
- You attach the declare template to the document entry template.
  - When a user adds a document, an associated record is automatically declared.
- Advantages of combining declare and document entry templates:
  - Can launch workflows.
  - Users access them from IBM FileNet Application Integration and email clients.

Figure 1-40. Combine declare with document entry templates F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Records management > Declaring records > Declare a record

Use an entry template with an attached declare template to allow one-step document entry and declaration. The user provides values only for required fields, such as the document title and content file location. This restriction ensures that the document is efficiently added to the right document class and that it is correctly filed, declared, and cataloged in file plan.

You can create declare templates using the Add Entry Template creation wizard in Workplace. Select the Add Entry Template, and then select the Declare as Record Template option. Create a document entry template that includes the Declare template. When you create the document entry template, you can specify which declare template to use.

Declare electronic records

Entry template with record declaration

- Add a declare template to a document entry template in order to minimize the time needed to declare a record.
- The entry template automatically starts the declare template.
- Supports property mapping.
  - Property values of the document are transferred to the record if the properties have the same symbolic name.

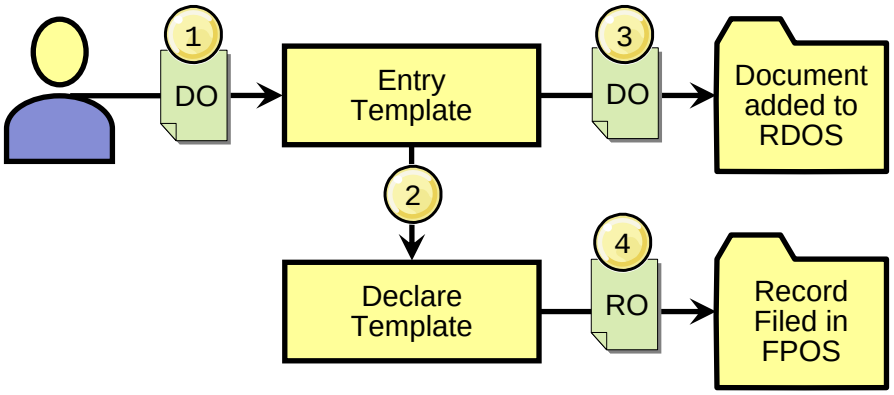


Figure 1-41. Entry template with record declaration F1741.0

Notes:

The diagram shows the process of document entry and declaration using an entry template with an attached declare template.

1. The user adds a document object (DO) to the RDOS using an entry template.
2. The entry template launches the declare template.
3. The DO is automatically added to the RDOS.
4. The record object (RO) is automatically declared and filed in the FPOS.

Property mapping

When a document is declared as a record, the document class property symbolic names are compared to the record class property symbolic names. If the names match, then the value from the document property is automatically assigned as the value for the matching record property. For example, if the document class has the property "Color" and the record class also has the property "Color," then the value from the document property is automatically mapped to the record property.

Users can use declare templates alone in order to declare documents that are already in the RDOS.

The record is not declared until after the document is added to the RDOS.

Declare electronic records

Template creation

- Create entry templates and declare templates in Workplace or Workplace XT.
  - Author tools > Advanced > Add Entry Template
- Template creation choices:
  - Document entry template
  - Folder entry template
  - Custom object entry template
  - Declare as Record Entry Template
- Create the declare template first, and then select this template when you create the document entry template.

Figure 1-42. Template creation F1741.0

Notes:

Help paths

- IBM FileNet P8 documentation Working with documents > Working with documents with Workplace > Work with entry templates > Create or modify an entry template
- IBM FileNet P8 documentation > Working with documents > Working with documents with Workplace XT > Tools

Declare electronic records

Summary of Declaration Options

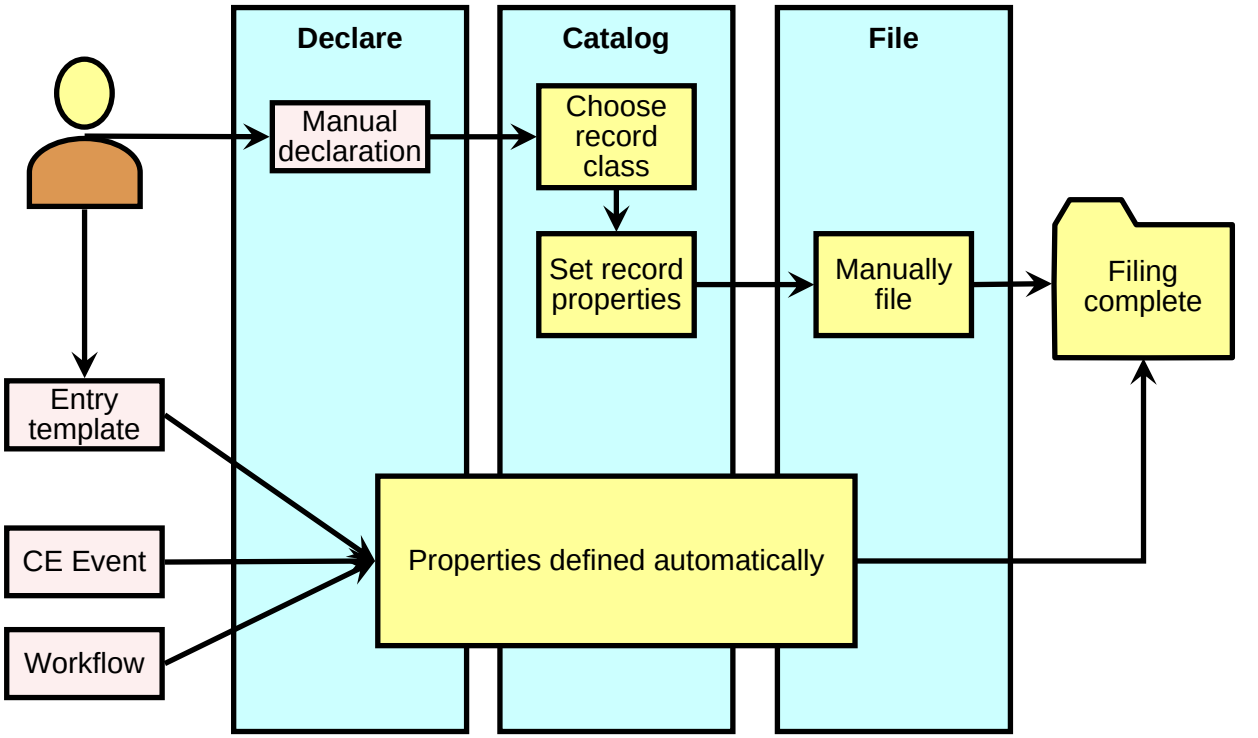


Figure 1-43. Summary of Declaration Options F1741.0

Notes:

The diagram shows the different ways to declare a record and the steps that can be automated. The entry template can be configured to allow only as much user involvement as needed. The more that the user must do, the longer declaration takes, and the greater the chances for error. Manual declaration is required if no appropriate entry templates are available at the time of declaration.

In addition to declaration templates, Content Engine events and Process Engine workflows can be configured to automatically declare records without user initiation.

Declaration options that do not require additional user work are called ZeroClick.

Declare electronic records

Demonstrations

- Add and declare a record without a template
- Add and declare a record with a template

Figure 1-44. Demonstrations F1741.0

Notes:

Demonstration notes

Add and declare a record without a template

1. Start in Workplace > RDOS1 > Customer orders.
2. Add a new document from the Order document class.
3. Declare the document as a record at the end of the document add procedure. Documents can be declared when they are added, or later, as long as they are in the repository.
4. Select the order record class. Notice that the properties of the originating document are mapped to the record. This mapping occurs if the symbolic property names match. The values are automatically transferred.
5. Select the Customer Support > order retention file plan location. Note that you must select the check box and then click the Add to Selection button.

Add and declare a record with a template

1. Use an entry template with declare to add a document.
2. Verify that the document is added correctly.
3. Verify that the record is filed correctly.

Declare electronic records

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: Core Skills
- Lesson: Declare electronic records
- Activities:
  - Declare an electronic record without a template.
  - Create a declare template.
  - Create a document entry template with record declaration.

Figure 1-45. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.5. Create a disposition schedule

Lesson:
Create a disposition schedule

- Why is this lesson important to you?
  - Your company keeps records of customer cases that must be reviewed after 30 days and then destroyed after 90 days. You need to create and apply a disposition schedule in order to manage the retention and disposition of these records. To test your schedule, you are going to trigger cutoff, and then process the disposition task.

Figure 1-46. Lesson: Create a disposition schedule F1741.0

Notes:

Create a disposition schedule

Activities that you need to complete

- Create and test a disposition schedule.
- Use a transfer action.

Figure 1-47. Activities that you need to complete F1741.0

Notes:

These are the activities that you are going to perform in this lesson.

Create a disposition schedule

Disposition schedule creation overview

- You need a disposition schedule to govern the retention and disposition of records or containers.
- You create a disposition schedule that includes the following:
  - One predefined event trigger
  - At least one predefined disposition action
  - At least one retention interval for each phase of disposition
- You apply the disposition schedule to a container.
- The disposition schedule then affects either one of the following:
  - The container itself
  - Entities within the container (either records or containers)

Figure 1-48. Disposition schedule creation overview F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Records management > Creating a file plan > Defining a disposition schedule

Disposal triggers

The administrator or the records manager can create the triggers from the Configuration page of IBM Enterprise Records.

Disposition phase actions

The installation team usually creates a set of default actions during installation. Custom actions can also be created later by the administrator. If there is no action defined to your specifications, you can create one using the IBM Enterprise Records Configuration page.

Define the disposition schedule

After actions and triggers are created, you can create the disposition schedule. In the disposition schedule, you specify the trigger that initiates cutoff and also the disposition actions that occur at each phase of disposition.

Apply disposition schedule

You must apply the disposition schedule to a container for the schedule to take effect. The schedule can apply to any entity that is contained in the container, depending on the aggregation level of the schedule. What the disposition schedule affects is determined by how you configured the event trigger.

Create a disposition schedule

What is an event trigger?

- Event trigger:
  - An event that indicates that an entity is ready for disposition
  - The event that is used to trigger cutoff
- Also called
  - Disposal trigger
  - Cutoff trigger
- Often based on an internal event
  - One to five properties of an object
  - Example: When a folder is closed
- Other events:
  - External
  - Recurring
- Create a trigger using the Configuration page of IBM Enterprise Records.

Figure 1-49. What is an event trigger? F1741.0

Notes:

Help path

- Search for "manage_events.htm“.

When the event trigger event occurs, the entity is not marked as ready for disposition until after Disposition Sweep runs. Cutoff must occur before disposition can begin.

Internal events

Internal events are events that occur to the entity, such as a property value change. For example, you might use the date closed property of a container to trigger cutoff. When the container is closed, the cutoff event occurs. This event triggers cutoff.

External events

External events are events that are used when no system event occurs. An example might be when a cruise ship changes ownership and the maintenance records might need to be transferred. Although nothing within the system changes, the date that the ship ownership changes is an event that can be configured as an event trigger. The time of the event is not known when the disposition schedule is created, but is entered later by an authorized user

when the event occurs. As soon as the external event occurrence date is set, Disposition Sweep can calculate the remaining disposition parameters that determine cutoff and the retention period. You can accomplish the same result by closing the folder in which all the ship records are filed and using an internal trigger instead. One use for an external or date-based event is to affect the disposition of entities in different areas of the file plan using different disposition schedules but with the same trigger. When you set the date property on the event trigger, all disposition schedules that use that event are affected.

Recurring events

Recurring events are used for vital records, which need to be periodically reviewed.

Create a disposition schedule

What is aggregation?

- Aggregation determines which type of entity is affected by a disposition action
  - Category
  - Folder
  - Volume
  - Record
- If a container is affected, then all entities in the container are disposed of when the container is disposed of.
- You define aggregation when you create an internal event trigger.
  - The event is based on a property of the object that is aggregated.
  - Example: if you use a folder property to define the event trigger, then the aggregation is at the folder level.

Figure 1-50. What is aggregation? F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Records management > Creating a file plan > Adding an event > Adding an internal event

Aggregation

When you specify an aggregation level, you are determining what the disposition action affects. For example, if you associate the disposition schedule with a record category but select record folder as the aggregation type, the disposition action affects record folders within that category. If the aggregation is set to the record level, then all of the records in the category are affected.

Trigger and aggregation level

The trigger event and aggregation level are interdependent. If you want a record property to trigger cutoff, then aggregation is going to be at the record level. If you want the aggregation to be at the folder level, then the event trigger must be based on a folder property.

Aggregate for efficiency

Disposition processing requires considerable processing capability. You can aggregate at the record level, but this assignment means that the disposition must be processed separately for every record in the container. If you can aggregate at the folder or volume level, then only the container must processed, which is much more efficient. Some applications might require every single record to be disposed of individually, but for most applications, these records can be collected together and disposed of at the same time.

Create a disposition schedule

Disposition inheritance and aggregation

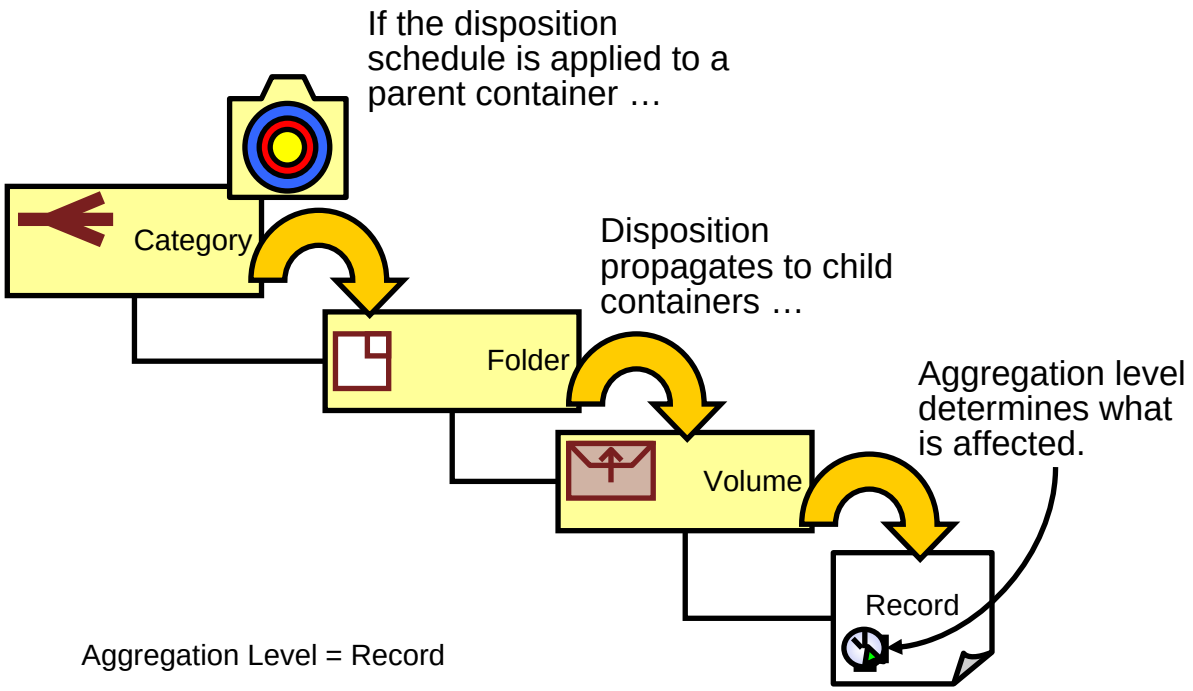


Figure 1-51. Disposition inheritance and aggregation F1741.0

Notes:

Help path

- Search for "retention_and_disposal.htm“.

The diagram shows a disposition schedule can be associated with a top-level category and is inherited down to all containers within the category. However, if the aggregation is set to records, then only records and none of the folders or volumes are affected. This arrangement allows you to apply disposition schedules to containers that are not affected by the disposition, so you need only to apply the schedule to the container once in order to have it be continuously applicable to lower-level entities.

Disposition schedules are applied to containers. However, the aggregation level on the trigger is what determines which objects are disposed of. You can also choose whether disposition is propagated to child containers when you apply the schedule to the container.

Create a disposition schedule

Disposition phase actions

- The disposition action associates the workflow with the disposition phase.
- The action occurs at the end of the phase retention interval.
- All retention intervals are defined as starting from cutoff.

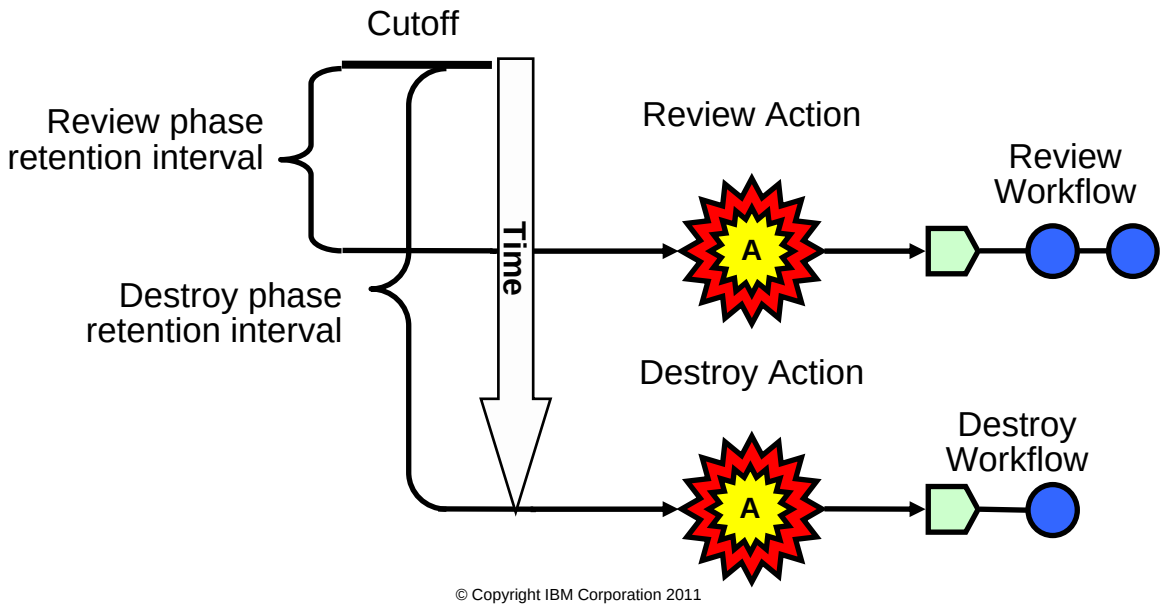


Figure 1-52. Disposition phase actions F1741.0

Notes:

Help path

- Search for "manage_actions.htm“.

The diagram shows how a disposition schedule with two disposition phases might look on a timeline. The two disposition phases are Review and Destroy. Each phase of a disposition has a retention interval and an action. The interval determines the amount of time before the action is started. When the appropriate time interval has elapsed, the phase action happens. Retention intervals are always defined as starting from the cutoff point, not from the end of the previous interval. For example, if a record must be reviewed 30 days after cutoff and then destroyed 90 days after cutoff, you define the first retention interval for 30 days and the second retention interval for 90 days.

In this example, each action is a link to a workflow. The review phase launches a review workflow. The destroy phase action launches a destroy workflow. When the workflow is launched, work items are displayed in employee Inboxes, or automated system components can process the item. Workflows are built using the Process Designer.

A disposition action can be used with several disposition schedules, so you are likely to need only a small number of disposition actions.

Action types

IBM Enterprise Records comes with a set of Action Types. Actions are usually created when IBM Enterprise Records is installed. You cannot create new action types, but you can create an action by adding an action and selecting an action type and associating a workflow.

Except for auto destroy, all action types have an associated workflow. When the disposition phase ends, the phase action launches the workflow. After launch, a work item is displayed in a work queue.

Disposition phases can use any of the following action types:

Cut Off

This action allows the records manager to decide whether cutoff can proceed.

Destroy

This action destroys the record and any associated electronic content.

Review

This action allows the records manager to determine whether a disposition action can proceed.

Export

This action copies the record to another repository.

Export with mapping

This action is similar to Export, but includes metadata mapping for custom properties for exporting to a repository that uses a DoD V3 schema, such as the National Archives and Records Administration (NARA).

Interim Transfer

This action temporarily transfers records to another location.

Interim Transfer with mapping

This action uses a transfer mapping object to transfer entities, and ensures that the home location of a physical entity, or the location of an electronic entity, is changed to the specified location at the end of the retention period of a phase.

Transfer

This action exports the record and removes it from the object store. The Two Step Transfer Workflow creates a series of workflow actions that the records manager must process for the transfer to be complete. The first action exports the entity as XML data. The second action approves the destruction of the local copy of the entity. A third step provides a transcript file for a record of the transfer.

Vital Record Review

This action facilitates the periodic review of vital records.

Auto Destroy

This action immediately destroys records without an approval workflow. With auto destroy, the record removal is immediate when the record has reached the end of the retention schedule. For this action to take effect, you must configure Disposition Sweep to run with the autodelete parameter.

Create a disposition schedule

Defining disposition parameters

- Name the disposition authority.
  - An information-only field used to document the regulation or law complied with
- Set an event trigger.
  - The trigger must be defined before you create the schedule.
  - You can set a disposition event offset (optional).
    - A period between trigger and cutoff that is used to calculate the proposed cutoff date
    - Default: 0 years, 0 months, 0 days
  - You can select a cutoff action and a cutoff base (optional).
- Set disposition phases.
  - Disposition action
  - Retention period
  - Screening flag

Figure 1-53. Defining disposition parameters F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Records management > Creating a file plan > Defining a disposition schedule

A retention period is required for each disposition phase, although you can set this period to be zero.

The screening flag allows you to decide if screening is required for a disposition action. When screening is required, the records manager is required to approve the disposition action before it is launched.

Disposition phases can include screening, which is a workflow that includes an approval step to allow disposition to proceed. If you choose to include screening on any phase, then each time an entity is ready for disposition, a work item is displayed in the RecordsManagerApproval queue and must be completed before the disposition action is processed.

Create a disposition schedule

What is Disposition Sweep?

- Disposition Sweep is a system process that does the following:
  - Computes disposition-related properties
  - Launches cutoff and vital review workflows
- Disposition Sweep is configured and managed by the system administrator.
  - Normally invisible to regular users
  - Designed to be automatically run on a scheduled basis (usually during low-volume business hours)
- Run Disposition Sweep from a command line:
  - C:\Program Files\FileNet\RM\RecordsManagerSweep
  - `RecordsManagerSweep.bat -dispositionsweep`
  - You can also use the desktop shortcut on your student system.

Figure 1-54. What is Disposition Sweep? F1741.0

Notes:

Help path

- Search for "sweep_processes.htm“.

Disposition Sweep is one of the IBM Enterprise Records sweep processes that are usually configured to run at regular intervals during low-volume business hours. When Disposition Sweep runs, it finds records that are ready for disposition and launches disposition and vital record reviews. For example, when an internal event triggers cutoff, Disposition Sweep flags it as ready for disposition.

Create a disposition schedule

Disposition schedule creation flowchart

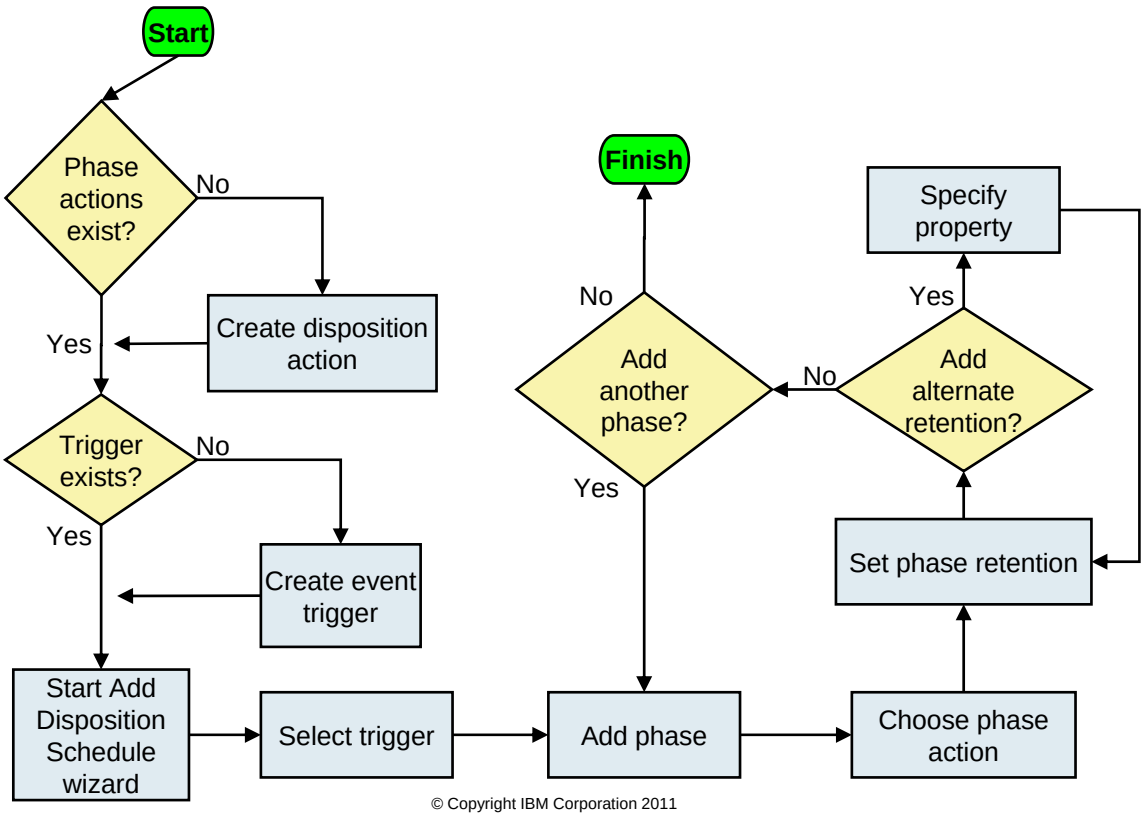


Figure 1-55. Disposition schedule creation flowchart F1741.0

Notes:

This diagram shows the order of disposition creation.

Before you begin the creation of the disposition schedule, you must first ensure that the disposition actions and event trigger exist. If they do not, you can create them in the IBM Enterprise Records Configuration page. You must select a trigger. Because the trigger determines the aggregation level, you do not configure aggregation in the when you configure the disposition schedule. Instead, you specify the aggregation level when you select the trigger. You usually create the trigger immediately before creating the disposition schedule because triggers can be designed for a particular scenario. Actions, however, are often configured at the time of installation and are reused across the enterprise.

When you create the disposition schedule, you must select a trigger and then add and configure the phases of disposition. You can add several phases, such as review, destroy, or transfer. Each phase must have its own retention interval. In addition, each phase can also have alternate phase retentions. You use an alternate retention if some records must have separate retention rules. For example, if you process records from several countries, you might need to configure separate retention schedules for each country in order to be

compliant with the regulations of that country. You can add as many alternate retentions and as many phases as makes sense for your enterprise.

Name the disposition authority.

An information-only field used to document the regulation or law complied with

Set an event trigger.

The trigger must be defined before you create the schedule.

You can set a disposition event offset (optional).

A period between trigger and cutoff that is used to calculate the proposed cutoff date

Default: 0 years, 0 months, 0 days

You can select a cutoff action and a cutoff base (optional).

Set disposition phases.

Disposition action

Retention period

Screening flag

Create a disposition schedule

Disposition schedule timeline (example)

- This schedule has a cutoff approval workflow and a single phase of disposition: destruction.

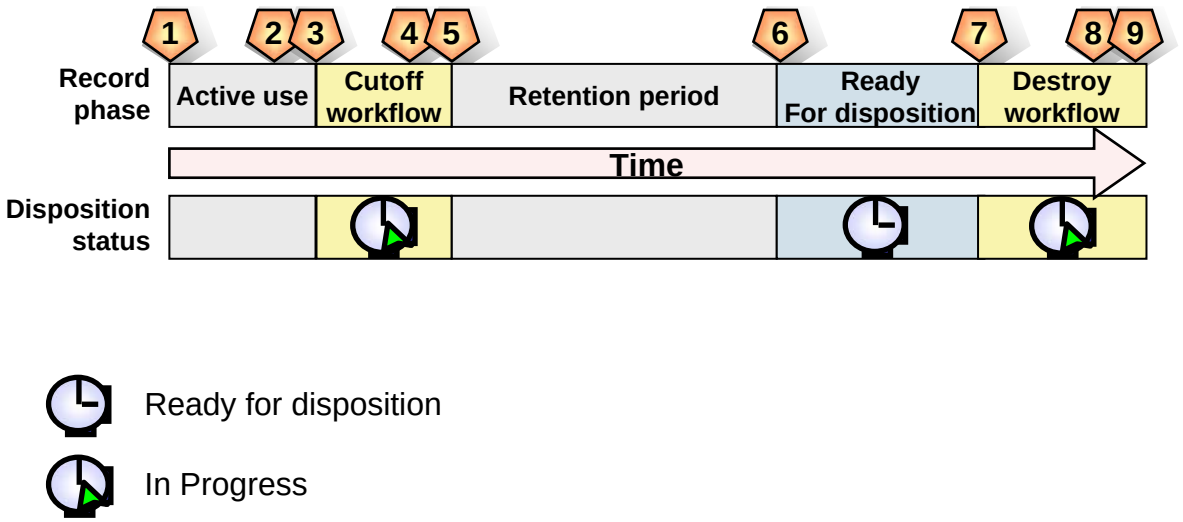


Figure 1-56. Disposition schedule timeline (example) F1741.0

Notes:

This diagram shows the state of a record as it passes through its lifecycle from declaration to destruction using a typical disposition schedule that includes a cutoff action and a single destroy phase. The disposition status of the record changes after key events.

1. The record is declared and filed.
2. Most records begin with an active phase, during which the record is in active use. At some time after that, the conditions for the event trigger are met. Nothing happens to the record until Disposition Sweep runs.
3. Disposition Sweep then launches the cutoff approval workflow. The record status changes to In Progress.
4. A work item goes to the records manager approval queue. A records manager or reviewer either approves cutoff or specifies a new cutoff date.
5. If the current cutoff date is approved, cutoff occurs. The retention period of disposition begins. Until the end of the Current Phase Execution date, nothing happens.

6. The Current Phase Execution date arrives. The record status changes to Ready for Disposition. Nothing happens until disposition is initiated.
7. The records manager initiates disposition, which launches the Destroy workflow. The record status changes to In Progress.
8. A work item goes the records manager approval queue and remains until the records manager approves destruction.
9. When the records manager approves destruction, the record is destroyed.

Notes:

Disposition action workflows are not launched until the records manager initiates disposition.

The cutoff approval workflow is not a disposition action because disposition does not occur until after cutoff.

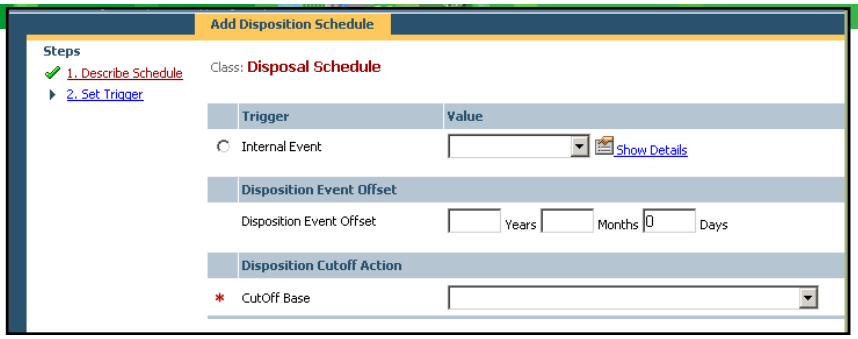
When the record state is in progress, it means that a work item is in a queue.

The record state is active after the event trigger until Disposition Sweep runs.

Create a disposition schedule

Disposition creating wizard settings

Simple



Detailed

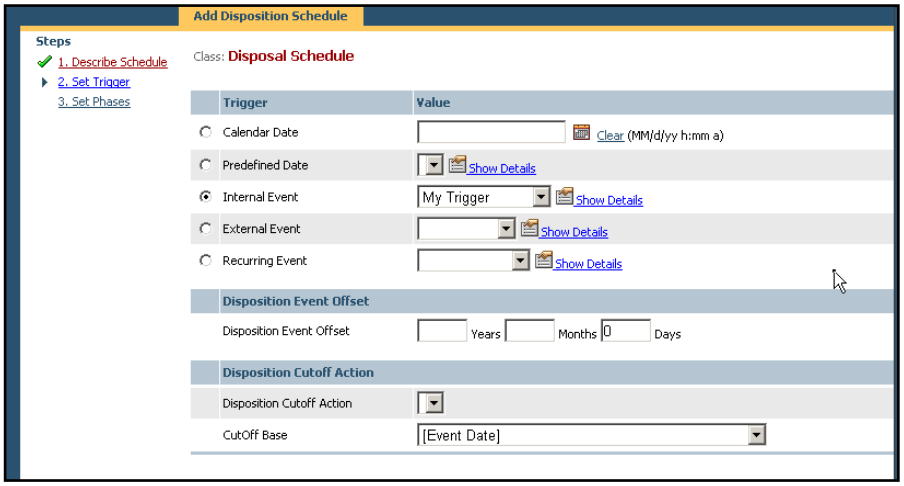


Figure 1-57. Disposition creating wizard settings F1741.0

Notes:

Help path

- Search for "rm__user_preferences.htm“.

Disposition schedule wizard settings

There are two options for the disposition schedule creation wizard: Simple and Detailed. If your display setting for disposition schedule wizard in your User Preferences is set to Simple, the schedule can only be set to use one phase using the auto destroy action with no retention.

Important: only use the Simple display setting if you intend to use the auto destroy action. You do not specify the disposition action in Simple view, so any disposition schedules created in this way always use the auto destroy action.

Changing the dispositions schedule wizard settings

If you do not see all of the options that are available in the Detailed view, such as the Set Phases set, you are using the Simple view. You can change the disposition schedule wizard display setting in IBM Enterprise Records > Preferences.

Create a disposition schedule

Demonstrations

- Create a disposition schedule

Figure 1-58. Demonstrations F1741.0

Notes:

Demonstration notes

Create a disposition schedule

You are already signed in to IBM Enterprise Records and are on the Disposition page.

1. Click Add Disposition Schedule.
2. Name and describe the schedule:
   a. Schedule name: Customer Case retention
   b. Description: Review after 30 days. Destroy after 90 days.
3. Set the trigger: Not Current. The Not Current condition triggers cutoff whenever a property named Current is set to false.
4. Add a review phase.
5. Add a destroy phase.
6. Accept and Finish. The schedule is now ready to be associated with a container.

Create a disposition schedule

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: Core Skills
- Lesson: Create a disposition schedule
- Activities:
  - Create and test a disposition schedule.
  - Use a transfer action.

Figure 1-59. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.6. Add alternate retentions

Lesson:
Add alternate retentions

- Why is this lesson important to you?
  - Your company receives customer information from the customers themselves and also from corporate marketing sources. Corporate policy requires that customer information obtained from external sources be retained according to the conditions specified in their contracts. You must edit the disposition schedule to provide multiple alternate retentions based on the Originating Organization property.

Figure 1-60. Lesson: Add alternate retentions F1741.0

Notes:

Add alternate retentions

Activities that you need to complete

- Add alternate retentions.

Figure 1-61. Activities that you need to complete F1741.0

Notes:

These are the activities that you are going to perform in this lesson.

Add alternate retentions

Multiple alternate retentions

- You can have multiple retention periods in the same disposition schedule
  - Some records might have requirements different from others.
  - Example: An international corporation might have records in different countries with different retention regulations.
- Add alternate retentions for each affected phase.
  - Alternate retentions are based on a property value of the entity.
  - Example: a custom Country property
- Example: Default retention is 2 years, with the following exceptions:
  - If the Country value is “Japan”, then retain for 3 years.
  - If the Country value “Germany”, then retain for 5 years.
  - If the Country value is “ Netherlands”, then retain for 7 years.

Figure 1-62. Multiple alternate retentions F1741.0

Notes:

Help path

- IBM FileNet P8 documentation >Working with documents > Records management > Creating a file plan > Defining a disposition schedule

If none of the alternate retention rules are true, the default retention applies.

If multiple alternate retention rules are true, the longest applicable retention applies.

The number of alternate retentions and the complexity of their criteria can affect the performance of retention calculation.

A disposition schedule can have multiple phases. Each phase can have multiple alternate retention periods.

Add alternate retentions

Guidelines

- Use indexed properties to decrease processing time.
- Use container-level aggregation with internal event triggers to increase processing efficiency.
  - Example: Folders have a Country property. Several folders all inherit the same disposition schedule from the category, but have different retentions based on their Country value.
- Do not use disposition-related properties as criteria.
  - Some properties are updated by Disposition Sweep.
  - The use of these properties for alternate disposition can have unintended side effects.
  - See IBM FileNet P8 documentation for a list of these properties.

Figure 1-63. Guidelines F1741.0

Notes:

Help path

- Search for "retention_and_disposal.htm“.

Add alternate retentions

Modifying a disposition schedule

- You can modify an existing disposition schedule.
  - Changes take place the next time that Disposition Sweep runs.
- If you modify a phase:
  - Entities that are currently in that phase are pushed to the next phase.
- If you delete a phase:
  - Entities that are currently in that phase are marked as *schedule completed*.
  - If the record is in a workflow, the workflow produces an error when it is completed, and the record automatically passes to the next phase.

Figure 1-64. Modifying a disposition schedule F1741.0

Notes:

Help path

- Search for "modify_a_disposal_schedule.htm“.

Add alternate retentions

Demonstrations

- Add alternate retentions to a disposition phase

Figure 1-65. Demonstrations F1741.0

Notes:

Demonstration notes

Add alternate retentions to a disposition phase

You are signed in to IBM Enterprise Records as Administrator. You have the Customer order retention disposition schedule open to the Phases page.

1. Click the phase.
2. Click Add New.
3. Select the Originating Organization property. Select a property that is based on the object of disposition that determines the aggregation level. Properties can be the following:
   - RC, for record category
   - RF, for record folder
   - RI, for record instance

- VOL, for volume

  Some properties are not used for alternate retentions because they are modified by Disposition Sweep, which causes unintended consequences. Custom properties are often used for this purpose.

4. Select the LIKE operator. The LIKE operator is a good choice if you have a property value that is manually entered. For choice lists, it is more efficient to use IS EQUAL.
5. Type a property value.
6. Select the retention period.
7. The alternate retention is now shown in the alternate retentions area.

Add alternate retentions

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: Core Skills
- Lesson: Add alternate retentions
- Activities:
  - Add alternate retentions.

Figure 1-66. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.7. Work with file plan containers

Lesson:
Work with file plan containers

- Why is this lesson important to you?
  - You attempt to declare a record into the reports folder for the last month, but receive an error because the folder has been closed, which triggered cutoff.
  - You need to create a new folder, but you do not want anyone to declare records into it until a later date.
  - You need to know how to use containers to effectively manage records.

Figure 1-67. Lesson: Work with file plan containers F1741.0

Notes:

Work with file plan containers

Activities that you need to complete

- Work with file plan containers.

Figure 1-68. Activities that you need to complete F1741.0

Notes:

These are the activities that you are going to perform in this lesson.

Work with file plan containers

Review: Electronic record containers

Categories

Categories are used to group records that share functional attributes.

Folders

Folders are used for subdividing records into volumes.

Volumes

Volumes are subdivisions of folders and have no existence independent of the folder.

Figure 1-69. Review: Electronic record containers F1741.0

Notes:

Help path

- Search for "containers.htm“.

The diagram shows the icons that are used for categories, folders, and volumes.

Work with file plan containers

Add a record category

- A category can be added to the root of the file plan.
- A category can be added to any existing category to establish a hierarchy.
  - Multiple levels of subcategories are allowed, depending on business need.
- Following are required properties of a category:
  - Name: A descriptive display name, unique within the parent category
  - Identifier: A unique string identifier often containing numeric code
  - Reviewer: Default is the user who is adding the category.

Figure 1-70. Add a record category F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Records management > Creating a file plan > Defining categories, folders, and volumes > Adding a record category

Work with file plan containers

Add a record folder

- Record folders must be added to a category.
- Record folders cannot contain subfolders.
  - They can contain volumes depending on which folder type.
- Required properties for a folder
  - Folder class: The Content Engine object class defining the type of folder
  - Name, Identifier, and Reviewer
- Folders do not directly contain records.
  - Records that are declared to a folder are filed in a volume within the folder.
  - The first volume is created when the folder is created.
- Create Folder workflow
  - If available, you can use a workflow to request a new folder.

Figure 1-71. Add a record folder F1741.0

Notes:

Help paths

- IBM FileNet P8 documentation >Working with documents > Records management > Creating a file plan > Defining categories, folders, and volumes > Adding a folder
- IBM FileNet P8 documentation > Working with documents > Records management > Creating a file plan > Defining categories, folders, and volumes > Creating a record folder by using a workflow

Folder types

Four types of record folders are available:

- Electronic record folders can store both electronic and physical records.
- Physical record folders can store physical records.
- Boxes are used for physical records. For example, you can use boxes to model a physical warehouse containing shelves.
- Hybrid folders can store both electronic and physical records.

New folder creation

When you create a new folder, the first volume is automatically created. Folders cannot contain records directly. Everything that is filed into a folder goes into one of its volumes.

Create folder workflow

An optional workflow exists to allow users who do not have the authority to create folders themselves to request that an administrator create a folder for them.

Work with file plan containers

Add a record volume

- When you create a new volume, the current volume closes.
  - Example: On January 1, 2010, you create a new volume for case file records. This action closes the volume for 2009.
- Volumes have system-generated names by default.
  - <Folder Name>–###### (Example: Case Files 2010-00001)
  - You can also change the volume name if you do not want to use the system-generated name.
- IBM Enterprise Records automatically files the records into the most recent open volume.
  - Configure IBM Enterprise Records to file records into folders.
  - Records automatically go to the current volume.

Figure 1-72. Add a record volume F1741.0

Notes:

Some records managers use the date that the volume is closed as a trigger for cutoff. Because adding a new volume closes the previous volume, then the act of creating a new volume can trigger the cutoff of the previously open volume. For this reason, it is useful to use another property for an internal trigger.

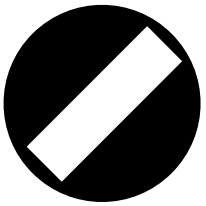
You can configure the volume-naming scheme in the Configuration page of IBM Enterprise Records.

Users can manually select an open or reopened volume when they declare records without a template. If you are configuring automatic declaration, choose a record folder instead of a volume for the file plan location. If you select the folder, then records are automatically filed in the most recent, currently open volume. If you select the volume, and the volume is closed, then the record declaration fails.

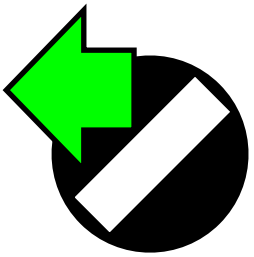
Work with file plan containers

Close and reopen containers

- When a container is closed, no more records can be added.
  - A container is open by default when it is first created.
- Closing a container is an important milestone in the lifecycle of managing records.
  - Example: The closing of a container can be a trigger for cutoff and signals the beginning of disposition.
- A container closes when an action occurs:
  - A user issues the Close command.
  - Cutoff is approved.
  - A new volume is added.
- A user can reopen a container.
  - Useful for exceptional circumstances such as moving misfiled records



Closed



Reopened

Figure 1-73. Close and reopen containers F1741.0

Notes:

Help path

- Search for "open_and_close_volumes.htm“.

The diagram shows the Closed and Reopened icons that are displayed in IBM Enterprise Records.

Closing a container

You can close a container from IBM Enterprise Records. After a container is closed, nobody can add a child container or record to it. If you close a parent container, all of the child containers within the parent container are also closed. For example, if you close a record category, all of the record folders and volumes that were created within the record category are also closed. Closing the container adds a value to the Date Closed property.

Reopening a container

You can reopen a closed container if a new record needs to be added to it. To prevent anyone else from accidentally declaring more records into the reopened container, always close the container immediately after you file the record into it. The reopening of a

container does not change the value of the Date Closed property of the container. If the Date Closed property is used to calculate any disposition property, reopening does not affect disposition. Similarly, if closing a container initiates cutoff, reopening the container has no effect on the cutoff date.

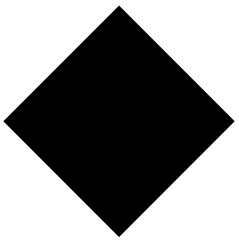
Moving records into closed volumes

In IBM Enterprise Records 5.1, an administrator or records manager can move a misfiled record into a closed volume within the same folder without reopening the volume. Filing the record without reopening the volume prevents the risk of other records being inadvertently declared into the reopened volume.

Work with file plan containers

Inactive and active containers

- Containers are active by default.
- You might need to create a container but not allow declaration into it until a later time.
- The *Inactivate* action does the following:
  - Prevents the container from being used to file records
  - Makes containers invisible during declaration.
  - Adds an Inactive icon to the entity.
- The *Inactivate* action does **not** trigger cutoff.
- The *Activate* action restores normal behavior.



Inactive

Figure 1-74. Inactive and active containers F1741.0

Notes:

Help path

- IBM FileNet P8 documentation > Working with documents > Records management > Creating a file plan > Defining categories, folders, and volumes > Activating or Inactivating categories or folders

The diagram shows the Inactive icon that is displayed in IBM Enterprise Records.

The closing of a container can trigger cutoff if the cutoff trigger is based on the Date Closed property. However, you might have a valid reason for temporarily preventing a container from being used to file new records. For this reason, you have the option to inactivate the container. Users cannot declare records into inactive containers, and the inactivation of the container does not trigger cutoff.

Example use case for inactivating a container

You are constructing a file plan and are adding new categories in preparation for deployment of new department records. You do not want the categories to be used until you are ready. You can make the categories inactive until they are ready for deployment.

When you inactivate a container, the child containers are also inactive. However, when you activate the container, the child containers remain inactive until you also activate them.

Work with file plan containers

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: Core Skills
- Lesson: Work with file plan containers
- Activities:
  - Work with file plan containers.

Figure 1-75. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.8. Work with holds

Lesson:
Work with holds

- Why is this lesson important to you?
  - Employee records are usually destroyed 10 years after termination. A legal matter has occurred that involves several employees that have been terminated. These employee records must be placed on hold until the legal matter is resolved.
  - Several records must be placed on hold. All of the records were created by Record Reviewer Joe during the month of January.
  - You need to be able to place and remove holds according to legal requirements.

Figure 1-76. Lesson: Work with holds F1741.0

Notes:

Work with holds

Activities that you need to complete

- Place and remove holds.
- Place and remove conditional holds.
- Make holds inactive and delete holds.

Figure 1-77. Activities that you need to complete F1741.0

Notes:

These are the activities that you are going to perform in this lesson.

Work with holds

What is a disposition hold?

- A suspension of disposition processing
  - An entity placed on hold cannot be destroyed, transferred, or exported until the hold is removed.
  - Disposition cannot be initiated for entities that are on hold.
- Each hold is created for a specific purpose.
  - Do **not** create a general-purpose hold.
- An entity can be placed on several different holds.
  - When one hold is removed, the others remain.
  - The entity cannot be destroyed until all holds are removed.
- You can manage holds from the Disposition tab of IBM Enterprise Records.

On Hold

Figure 1-78. What is a disposition hold? F1741.0

Notes:

Help path

- Search for "disposition_holds.htm“.

The diagram shows the On Hold icon that is displayed in IBM Enterprise Records.

When entities might need to be accessed for legal or auditing purposes, you might need to place these entities on hold. Place entities on hold to ensure that those entities remain in the system until the hold is removed.

In some instances, the same entity might be placed on several holds. For example, the same record might be involved in two separate legal cases. Two holds must be placed on the entity: one hold for each case. When the first case is resolved, the hold can be removed, but the entity cannot be disposed of until the second hold is also removed.

Work with holds

What are conditional holds?

- Conditional holds (or dynamic holds) are holds that apply to all entities that meet predefined criteria.
- Example of conditional hold criteria:
  - All records that include the phrase "Project X" in the properties or content and that were declared between January 1, 2000, and March 1, 2000.
- A records manager specifies criteria for entities to be placed on hold.
- Entities that meet the conditions for the hold are placed on hold automatically.
  - For records, hold conditions can be based on a content search.
  - Holds can be placed on entities in specified containers
  - New entities are placed on hold if they meet these conditions.

Figure 1-79. What are conditional holds? F1741.0

Notes:

Conditional holds

You can create conditional holds based on several properties joined using the AND or OR operators. For example, you can use two date properties for beginning and end dates and then combine these with other properties.

For records, you can create a conditional hold based on terms from within the content. For example, you might need to create a hold that includes all records that include the phase "bumblebee" and that were declared between January 1, 2000, and March 1, 2000.

The conditions used for hold criteria are similar to the conditions used for searches.

Holding new records

When a conditional hold is in effect, new records that meet the conditions of the conditional hold are automatically placed on hold the next time Hold Sweep runs.

Work with holds

Hold Sweep

- Hold Sweep is a system process.
  - Finds entities that meet conditions specified in conditional holds
  - Places those entities on hold
  - Removes holds when Remove Hold requests are active
- Hold Sweep is configured and managed by the system administrator.
  - Normally invisible to regular users
  - Designed to be automatically run on a scheduled basis during low-volume business hours
- Configuration
  - Like other sweep processes, you must configure Hold Sweep before you run it the first time.

Figure 1-80. Hold Sweep F1741.0

Notes:

Help paths

- IBM FileNet P8 Documentation > Working with documents > Records management > Running hold sweeps > Running Hold Sweep
- IBM FileNet P8 Documentation > Working with documents > Records management > Running hold sweeps > Configuring Hold Sweep

Hold Sweep is a sweep process that assigns conditional holds based on the hold conditions. Hold Sweep automatically applies holds to the records that meet the conditions. If a Remove Hold Request is active, Hold Sweep also removes holds from those entities.

Run Hold Sweep

To run Hold Sweep manually from the command line, type the following:

```
RecordsManagerSweep -HoldSweep
```

Work with holds

Creating holds

- You must create a hold before you can place an entity on hold.
- To add or modify a hold:
  - Disposition Tab > Holds
- Hold properties
  - **Name**: Identifies the specific hold (Example: Case1234)
  - **Hold type**: Litigation or Audit (administrators can define new types of holds)
  - **Reason for Hold**: Provides specific information
  - **Active/Inactive**: You can place entities only on active holds.

Figure 1-81. Creating holds F1741.0

Notes:

Help path

- IBM FileNet P8 Documentation > Expansion Products > IBM Enterprise Records > Disposition Holds > How to > Add or modify a disposition hold

Active and inactive holds

Only active holds can be placed on entities. You can create a hold that is inactive if you want to make it available at a later time.

Work with holds

Placing and removing holds

- Placing holds
  - Place holds manually on individual entities using the Action menu of that entity.
  - Place conditional holds by specifying and saving conditions.
- Removing manual holds
  - Remove a manual hold on individual entities using the Action menu of that entity.
  - Remove a manual hold on multiple entities using the information page of that hold.
- Removing conditional holds
  - Remove conditional holds by using a Remove Hold Request.
  - Holds are removed the next time that Hold Sweep runs.
  - You cannot manually remove a conditional hold.
- Deleting holds
  - You cannot delete holds if entities are on that hold.

Figure 1-82. Placing and removing holds F1741.0

Notes:

Help paths

- Search for "place_a_disposal_hold.htm“.
- Search for "remove_a_disposal_hold.htm“.

When you remove a conditional hold from an entity, the entity receives a flag that directs Hold Sweep not to put it on hold again. If you want to put it on hold again, you must reactivate it for hold processing.

Work with holds

Propagation of holds

- A hold placed on a container has the following effects:
  - Prevents the container and contents from being deleted
  - Example: A hold on a folder prevents the folder, any volume in the folder, and any records in any of the volumes from being deleted.
- A hold placed on container contents has the following effects:
  - Prevents the object and parent containers from being deleted
  - Example: A hold on an individual record prevents the volume, folder, or category from being deleted, as well as the record itself.
    - If record-level disposition is in effect, peer records of the record on hold **can** be deleted.

Figure 1-83. Propagation of holds F1741.0

Notes:

Work with holds

Demonstrations

- Create a conditional hold

Figure 1-84. Demonstrations F1741.0

Notes:

Demonstration notes

Create a conditional hold

1. Create a conditional hold that applies to records that contain "Model 200" in the content.
2. Run Hold Sweep.
3. Go to the hold properties to see the entities on hold and verify that the hold was applied.
4. Create a new document using one of the Model 200 lab documents for content.
5. Declare the document as a record.
6. Run Hold Sweep.
7. Verify that the hold was applied to the new record.

Work with holds

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: Core Skills
- Lesson: Work with holds
- Activities:
  - Place and remove holds.
  - Place and remove conditional holds.
  - Make holds inactive and delete holds.

Figure 1-85. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Unit 2. IBM Enterprise Records 5.1: File Plan Design

What this unit is about

This course is for those whose job includes responsibility for designing the file plan for an IBM Enterprise Records system and making decisions regarding record retention, disposition, and security. You use the IBM Enterprise Records web application to create the file plan. You work with a records administrator, an installer, a database administrator, and a programmer. You must be able to organize and communicate records management system requirements to the other roles.

You work with a fully functioning IBM Enterprise Records system to practice the skills required for designing file plans for records management.

What you should be able to do

After completing this unit, you should be able to:

- How to coordinate file plan development
- Core file plan design concepts
- How to create a functional classification file plan
- How to create a retention model file plan
- How to create a case model file plan

How you will check your progress

- Successfully complete the lesson exercises.

References

IBM FileNet P8 Documentation

http://publib.boulder.ibm.com/infocenter/p8docs/v5r1m0

Best practices to improve performance for IBM InfoSphere Enterprise Records (formerly IBM FileNet Records Manager)

http://www-01.ibm.com/support/docview.wss?rs=3286&context=SSNVVQ&uid=swg21330987

IBM Enterprise Records 5.1: File Plan Design

Unit lessons

This unit contains these lessons:

- Coordinate file plan development
- Core file plan design concepts
- Create a functional classification file plan
- Create a retention model file plan
- Create a case model file plan

Figure 2-1. Unit lessons F1741.0

Notes:

Lessons in this unit

This unit has 5 lessons. After the first lesson, each lesson relies on information and skills taught in the prior lessons. For best results, do these lessons in the sequence presented.

Coordinate file plan development. In this lesson, you learn about coordinating file plan development within the broader context of a records management system.

Core file plan design concepts. In this lesson, you learn about key concepts in file plan design that have a large impact on records management system performance.

Create a functional classification file plan. In this lesson, you learn about the classification system endorsed by the International Organization of Standardization and how to structure a file plan that is flexible with regard to changes in regulation, but resilient with respect to organizational structures.

Create a retention model file plan. In this lesson, you learn about designing a file plan in which the primary purpose is retaining documents for a given period of time, and other considerations are nominal.

Create a case model file plan. In this lesson, you learn about designing a file plan in which records are case folders with several documents with different declare times, formats, and originating locations, but which must be destroyed together after the case is closed.

Lesson 2.1. Coordinate file plan development

Lesson

Coordinate file plan development

Why is this lesson important to you?

- Your company has installed IBM Enterprise Records. You are the records manager who is responsible for designing and creating the records management file plan that is going to be used for filing all of the records across the enterprise. You are going to work with a records administrator who is an IBM FileNet Content Engine administrator, a programmer, and a database administrator who are tasked with helping you implement a file plan. Because you are the primary authority on records management requirements, you must coordinate the file plan creation effort.

Figure 2-2. Coordinate file plan development F1741.0

Notes:

Coordinate file plan development

Activities that you need to complete

- Coordinate file plan development.

Figure 2-3. Activities that you need to complete F1741.0

Notes:

These are the activities that you need to complete.

Coordinate file plan development

Records management system coordination

- A file plan is a filing system that the records management system uses to support a retention schedule.
- The file plan is *one part* of a records management system.
  - You need to ensure that the entire records management solution supports your file plan.
- Unless you are the one person in your organization who does everything, you must coordinate your file plan design with other roles.
- Example
  - Your file plan might a require a custom application for automatic declaration.

Figure 2-4. Records management system coordination F1741.0

Notes:

Help path

- Search for "file_plans.htm"

This course is about designing file plans. As a records manager, you need to design the file plan, but the file plan is only part of the entire records management system. You also need to create the disposition schedules to apply to the file plan, the actions that are performed at the end of the disposition phases, and the trigger events that are used to start the retention interval.

For the file plan to work efficiently, you must also plan the records management system around it. You need to know how your file plan design fits in with the development of the records management solution. Careful planning and coordination are necessary to ensure that the file plan is fully supported by the metadata, the Disposition Sweep schedules, custom programming, workflows, or any other elements of the total solution.

To summarize: You are the records manager and it is your responsibility to ensure that the records management system handles records according to your decisions. To do this, you need to ensure that the entire records management system supports your file plan.

In most organizations, you need to coordinate your file plan design with other people who are responsible for systems outside of your domain of expertise or authorization. For example, your file plan might be designed to support thousands of record declarations in a day. However, without a mechanism for automatically declaring thousands of records per day, the file plan by itself is not a complete solution. You might need to have a programmer develop a custom program for you.

Coordinate file plan development

Roles and responsibilities

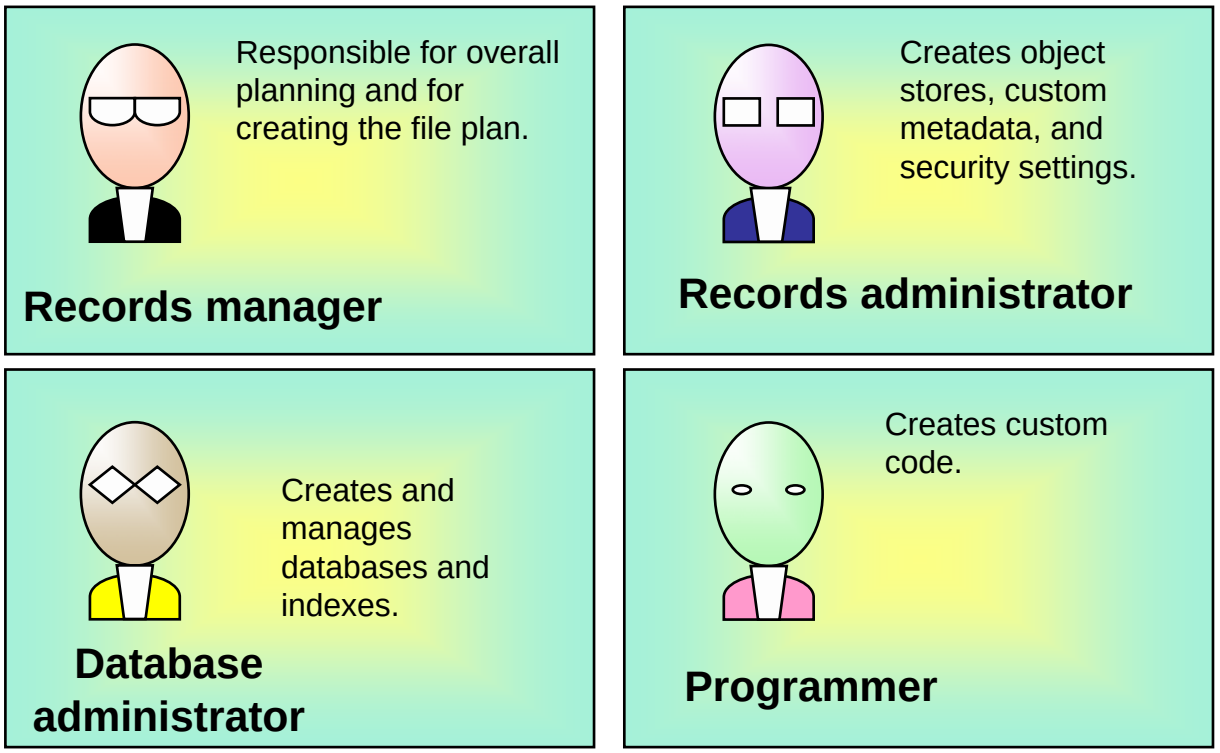


Figure 2-5. Roles and responsibilities F1741.0

Notes:

The diagram shows four roles that need to be coordinated: records manager, records administrator, database administrator, and programmer.

Unless you are the sole administrator who does a bit of everything, you need to coordinate the efforts of several different people in order to get the records management system functioning.

As the records manager, you are the primary decision maker about how records need to be managed. Because of your extensive background in records management regulations, you are the one who decides how the file plan must be designed and how records must be disposed of. You must be aware of the volume of records that your organization declares each day and how best to design a records management system to handle the workload. You must coordinate the efforts of the other roles in order to ensure that the records management system is compliant with regulations and guidelines. Therefore, your role is central to the planning, development, and deployment of the file plan.

The Records administrator is the person who creates and configures new object stores. This person must create the file plan object store (FPOS) and the record-enabled

document object store (RDOS or sometimes ROS). The records administrator also adds custom document and record and container classes. For example, if you need case records to have case record numbers, you must get the records administrator to create this case record number property and assign it to the case record class. If a property is needed to trigger disposition, but that property does not exist, you must ask the records administrator to create this property. For example, an employee record might have a Status property. When the Status of the employee changes from *employed* to *not employed*, then the retention period begins. The Employee record class and the Status property must both be created by a records administrator. The records administrator is also most likely to be the person who configures and runs the IBM Enterprise Records Sweep processes, such as Disposition Sweep and Hold Sweep. For an efficient file plan design, you need to decide how often the Disposition Sweep process must run, and you must communicate this decision and other configuration decisions to the records administrator.

If you are planning to use business processes to declare records, you also need to work with a business process designer and a Process Engine administrator in addition to the records administrator.

The Database administrator is responsible for maintaining the database. The database administrator creates the databases used by the Content Engine and by IBM Enterprise Records. IBM Enterprise Records is tightly integrated with the IBM FileNet P8 Content Engine. Performance of the Enterprise Records system is therefore dependent upon the performance of the Content Engine server, including the database. The database administrator keeps the database efficient by indexing and monitoring the performance of the database. The database administrator can run queries against the database to collect workload statistics, find bottlenecks, and make decisions about which properties to index in order to make the system run faster. The database administrator might also have recommendations for how to design a file plan or searches in order to prevent potential database performance problems.

The programmer is someone who can create code using the Content Engine and IBM Enterprise Records APIs to perform various automated functions. For example, you might want some custom code to automatically declare records. You might also need automation to create record categories or to create new folders or volumes automatically in order to ensure that records are properly filed. Automation can be created using the IBM P8 Java API, the Enterprise Records BDS API, or Content Engine custom events. BDS includes bulk declaration services and bulk disposal services.

Other roles include more specific talents, such as security administrators and IT administrators.

Coordinate file plan development

Plan the records management system

The records manager does the following:

- Establishes the goals and priorities of the records management system.
- Organizes the team.
- Obtains a development environment:
  - A system on which to build and test a file plan
  - Other team members to help create the development environment
- Discusses the development and deployment plan with the team:
  - Records management solution development goals
  - Responsibilities

Figure 2-6. Plan the records management system F1741.0

Notes:

Coordinate file plan development

Design the records management system

The records manager does the following:

- Chooses a data model:
  - Base, PRO, DoD, DoD Classified
- Chooses a security model:
  - Disable proxy security or use proxy security?
- Specifies custom metadata needed:
  - New custom record and document classes
  - New custom properties
- Specifies custom programming needed:
  - Automation for creating new containers
  - Automation for automatically declaring records
- Determines business process integration, if any.
- Designs the file plan and disposition schedules.

Figure 2-7. Design the records management system F1741.0

Notes:

You need to choose one of the available data models to use for the FPOS and communicate this choice to either the Records administrator or the installer—whoever is creating and configuring the FPOS.

Next, you must decide on a security model. The security administrator might need to configure users and groups, and then the records administrator must run a security script wizard to set up security for the records management groups when creating the FPOS. You and the records administrator must decide how the details of security need to work. Who needs to be able to have access to the records after they are declared? If you want record security to remain unchanged after declaration, you might need to have the administrator disable the security proxy.

You must also determine whether you need custom classes and properties. In most instances, you are going to use custom classes and properties when you build the system. Very often you use custom properties for triggering cutoff. You need to work out the custom property details with the records administrator before the creation of the FPOS and RDOS.

If your plan requires custom programming, you need to start planning it. If you have a custom program to automatically create containers for your records, for example, you need to determine how those containers are going to be added, closed, and disposed of.

If you are planning to use workflows from the IBM FileNet P8 Process Engine to declare records, you need to discuss how this needs to work with a process designer. The process designer must know about the custom metadata that you are using as well, so that properties from the document can be mapped within the workflow environment.

This course focuses on file plan design. You might be tempted to jump in and start building a file plan without a design, and as long as you are working on a development system, there are no serious consequences for doing this. In fact, you might want to try out different ideas on a development system before you decide how to design your file plan. However, before you create the file plan that you intend to use in production, you need to be aware of how your design affects performance. Building a file plan without paying serious attention to its design is likely to lead to unexpected difficulties.

There is no single method that everyone uses for file plan design. You might use a text outline. You might use a diagram, or you might use a table. The format that you choose for the file plan design is not as important as ensuring that the design clearly shows the necessary features. The design needs to specify where the records are filed, where disposition schedules are applied and inherited, and what the aggregation level and triggers are. In this course, file plan designs are shown using a diagram format.

Coordinate file plan development

Build the system

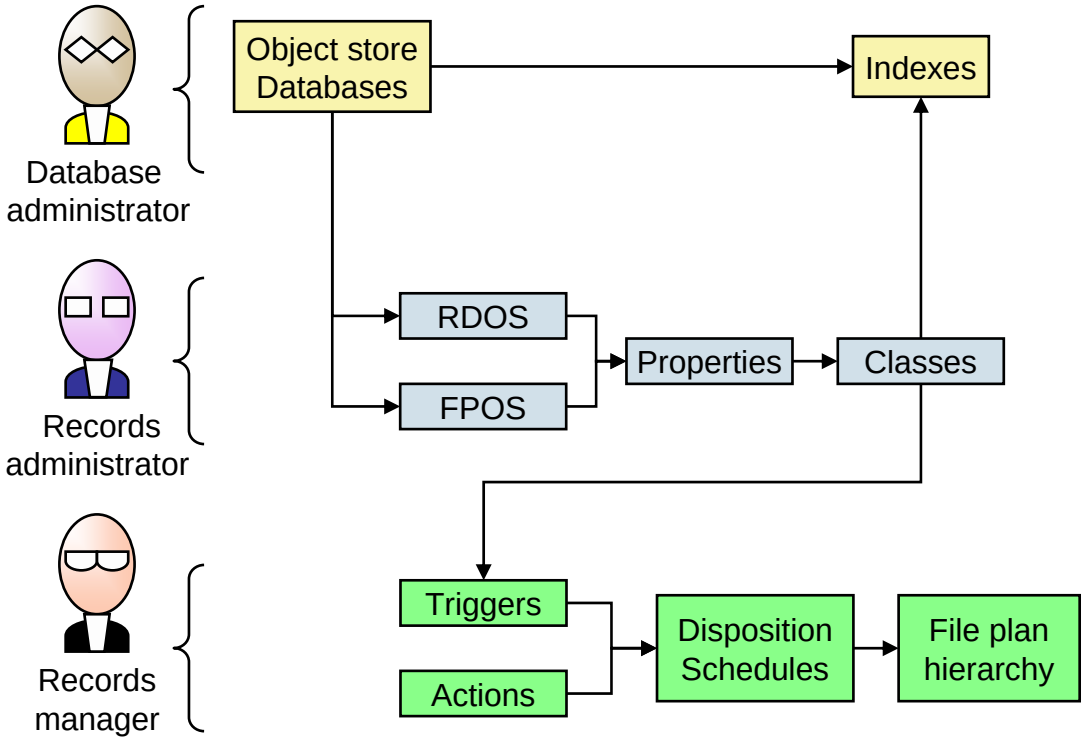


Figure 2-8. Build the system F1741.0

Notes:

The diagram shows the order in which records management assets need to be created and the role that usually creates them. Although object dependencies are shown, exporting and importing are not. In most cases, the records manager builds the file plan on a development system, which is later exported to the production system.

The database administrator must create the object store databases before the object stores can be created. After the properties and classes are created, the database administrator can create indexes after the custom properties and classes are created in order to keep the system efficient. The database administrator can run tests to determine which properties are the best candidates for indexing.

The records administrator then creates the RDOS and FPOS. In some production environments, the object store that is to become the RDOS might already exist with documents on it. In order to use this object store, the records administrator must first enable the object store for record declaration, and then enable the document classes for declaration. If there are existing document instances, they are not affected by the change in the metadata. So, in order to declare already existing documents, the records administrator

must perform a bulk update to these documents. After creating the FPOS and the RDOS, the records administrator can create the custom properties and classes.

In many cases, event triggers are based on custom properties. For example, you might need a custom date property on a custom folder class to trigger cutoff. You might use a Binary (True or False) property as a switch that you can use to manually trigger cutoff. If you manage case folders, the case might have an open state and a closed state. You can represent the state with a custom property. When the case is closed, you can change the value of this property in order to trigger cutoff. In these cases, the properties must exist before you can create the event trigger. If your event triggers are not dependent on the custom classes and properties created by the records administrator, you can create them concurrently.

As the records manager, you must create both triggers and disposition actions before you can create the disposition schedule. In many cases, the disposition actions already exist because they are usually created during Enterprise Records installation, so you need to verify that they exist before you create the disposition schedules.

You do not need to create the disposition schedules before you create the file plan hierarchy, but it is a convenient time to do it. When you create a child container, it automatically inherits the disposition schedule of its parent container. Therefore, if you create the parent container and apply the disposition schedule to it before you create the child containers, you do not need to manually set the disposition schedule on the child containers.

Coordinate file plan development

Deploy the file plan

After the records manager tests the system, the records administrator does the following:

- Exports the custom metadata using the File Plan Import Export Tool.
  - The custom metadata is needed to support the file plan and disposition schedules.
- Exports the file plan using the File Plan Import Export Tool.
  - The file plan is saved to an XML file that can be imported to the production system.
- Imports the custom metadata to the production system.
- Imports the file plan to the production system.
- Configures the new file plan as the default file plan, if necessary.

Figure 2-9. Deploy the file plan F1741.0

Notes:

Coordinate file plan development

File plan development and deployment

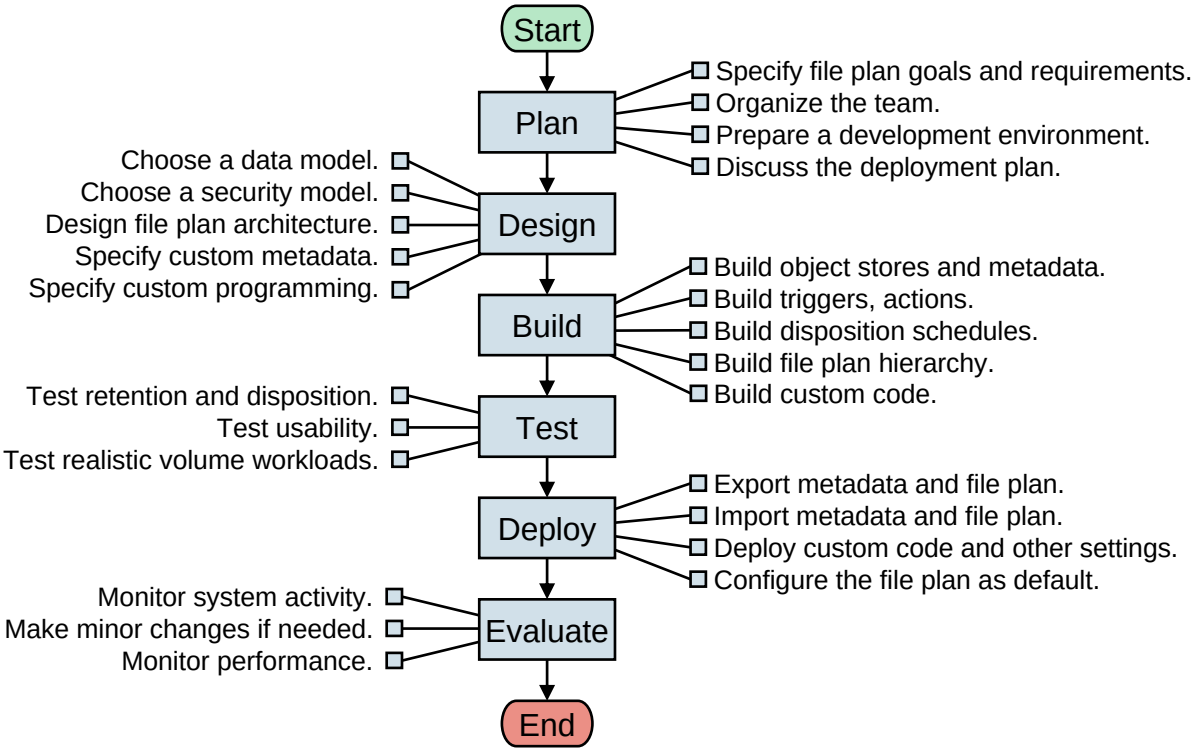


Figure 2-10. File plan development and deployment F1741.0

Notes:

The diagram shows an overview of the file plan development and deployment process.

Plan

Specify file plan goals and requirements.

Organize the team.

Prepare a development environment.

Discuss the deployment plan.

Design

Choose a data model.

Choose a security model.

Design file plan architecture.

Specify custom metadata.

Specify custom programming.

Build

Build object stores and metadata.

Build triggers, actions.

Build disposition schedules.

Build file plan hierarchy.

Build custom code.

Test

Test retention and disposition.

Test usability.

Test realistic volume workloads.

Deploy

Configure security groups and roles.

Export metadata and file plan.

Import metadata and file plan.

Deploy custom code and other settings.

Web application configuration.

Evaluate

Monitor system activity.

Make minor changes if needed.

Monitor performance.

Coordinate file plan development

Activities

In your Student Exercises

- Unit: Unit name
- Lesson: Lesson name
- Activities:
  - Coordinate file plan development.

Figure 2-11. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 2.2. Core file plan design concepts

Lesson

Core file plan design concepts

Why is this lesson important to you?

- You configured a file plan for you company. The file plan worked well in development, but when it was deployed to production, the system was unable to meet the demands. The system had to be shut down. You have been given the opportunity to create a new file plan that is capable of meeting the demands. You need to apply core design principles to your design in order to ensure that the system performs well in the production environment.

Figure 2-12. Core file plan design concepts F1741.0

Notes:

At low record volumes, the design of your file plan does not impact performance very much. You can design the file plan without needing to understand how your decisions affect performance. However, when the volume increases, the poorly designed file plans begin to fail under the greater strain imposed by poor designs. However, by this time, it is usually too late to redesign the file plan without considerable cost. By learning some simple core design concepts, you prepare yourself to create a file plan that can handle large volumes of records efficiently and effectively.

Core file plan design concepts

Activities that you need to complete

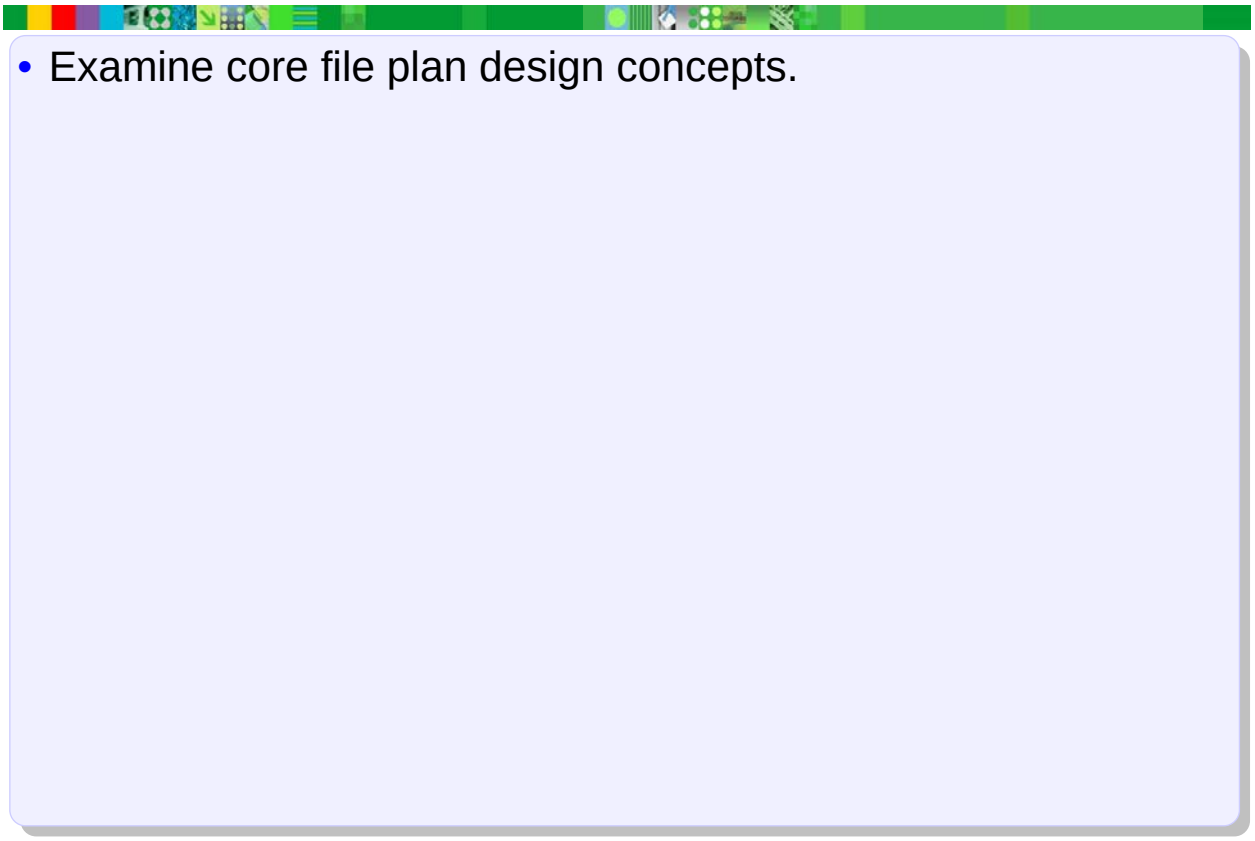


Figure 2-13. Activities that you need to complete F1741.0

Notes:

These are the activities that you need to complete.

Core file plan design concepts

Course example information

- The example scenarios and file plans used in this course are intended to be used as follows:
  - For instructional purposes only
  - To illustrate design principles
  - **Not** to be examples of real-world solutions
- Every file plan is unique and must be designed to meet the specific requirements of the organization and applicable regulations.
  - You must decide how to balance competing priorities.

Figure 2-14. Course example information F1741.0

Notes:

The guidelines in this course are meant to provide insight into how your decisions can affect file plan performance. You must determine which concepts apply to your own record management requirements. Every records management system has different requirements. There are tradeoffs between fidelity and practicality. Fidelity in this case means faithfulness to a perfect ideal. For example, you might want records to be disposed of the instant that they reach the end of retention, but to achieve this goal, you need to run Disposition Sweep manually at the instant that the retention ends for every single record. Although this implementation is highly faithful to the idea of instant disposal, this scenario is so impractical that it defeats the purpose of automating records management, and it is impossible to achieve on a large scale. You must find the optimal balance where fidelity and practicality are within acceptable limits. Because you are the records manager, these decisions are your responsibility.

Core file plan design concepts

Aggregation: a quick review

- Aggregation determines which type of entity is affected by the disposition action.
  - A disposition schedule can destroy a single record or an entire folder at one time, depending on the aggregation level.
- Aggregation can be set to the following levels:
  - Record
  - Volume
  - Folder
  - Category
- When you create an event trigger, the aggregation level is determined by the triggering object. For example:
  - A trigger based on a record property is aggregated at the record level.
  - A trigger based on a folder property is aggregated at the folder level.

Figure 2-15. Aggregation: a quick review F1741.0

Notes:

Help path

- Search for "manage_events.htm"

When aggregation is at the container level, the action affects the container and all of the entities within that container.

Core file plan design concepts

Case study: 5 years of record-level aggregation

- In this example, records must be destroyed after 5 years.
- Disposition Sweep with Auto Destroy runs every quarter.
  - Although Disposition Sweep has nothing to destroy for the first 5 years, it must update disposition properties each quarter.
- After Q1 of the sixth year, Disposition Sweep checks *5.25 years of records* in order to destroy the records for a *single quarter*.

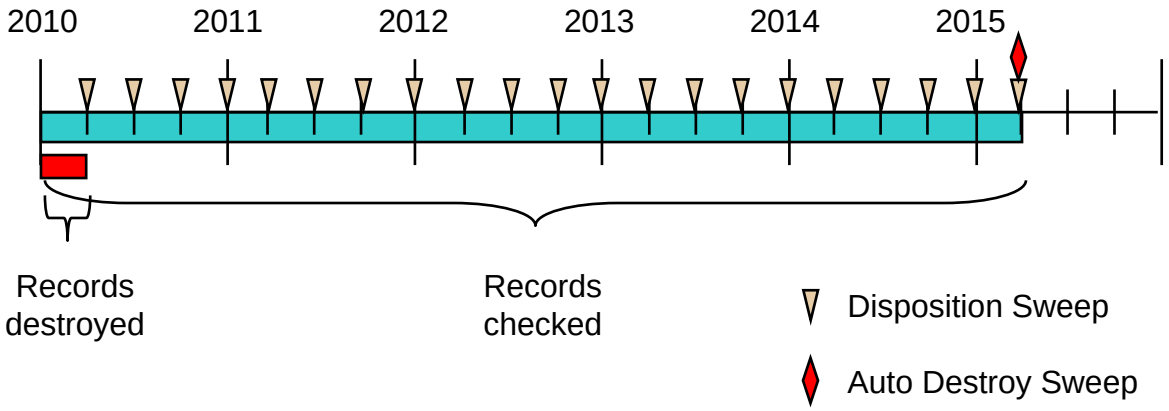


Figure 2-16. Case study: 5 years of record-level aggregation F1741.0

Notes:

The diagram shows how Disposition Sweep must sweep all of the records that have accumulated in 5.25 years in order to destroy the records from the first quarter.

Disposition Sweep runs a short time before Auto Destroy. The Auto Destroy sweep process is a Disposition Sweep process with the autodelete flag activated. For simplicity, it is called Auto Destroy Sweep in this course.

In this example, if you start keeping records at the beginning of 2010 and the records have a 5-year retention schedule, then no destruction occurs until after 2015. After the first quarter of 2015, the Auto Destroy Sweep begins to find records that are ready to be destroyed. However, Disposition Sweep has to check all of the records from the entire span of 5 years in order to destroy the records of the first quarter of 2010.

Core file plan design concepts

Why use container-level aggregation?

How much work is needed to dispose of one million records?

Container-level aggregation

Record-level aggregation

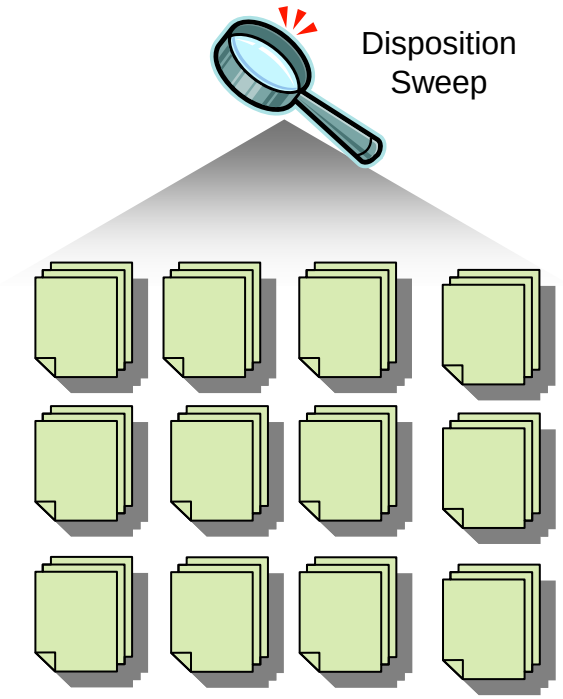


Figure 2-17. Why use container-level aggregation? F1741.0

Notes:

The diagram shows that for container-level aggregation, Disposition Sweep must process only a single entity. For records-level aggregation, however, Disposition Sweep must process every single record. For one million records, the difference in time and processing is substantial.

Core file plan design concepts

Record-level aggregated sweep process

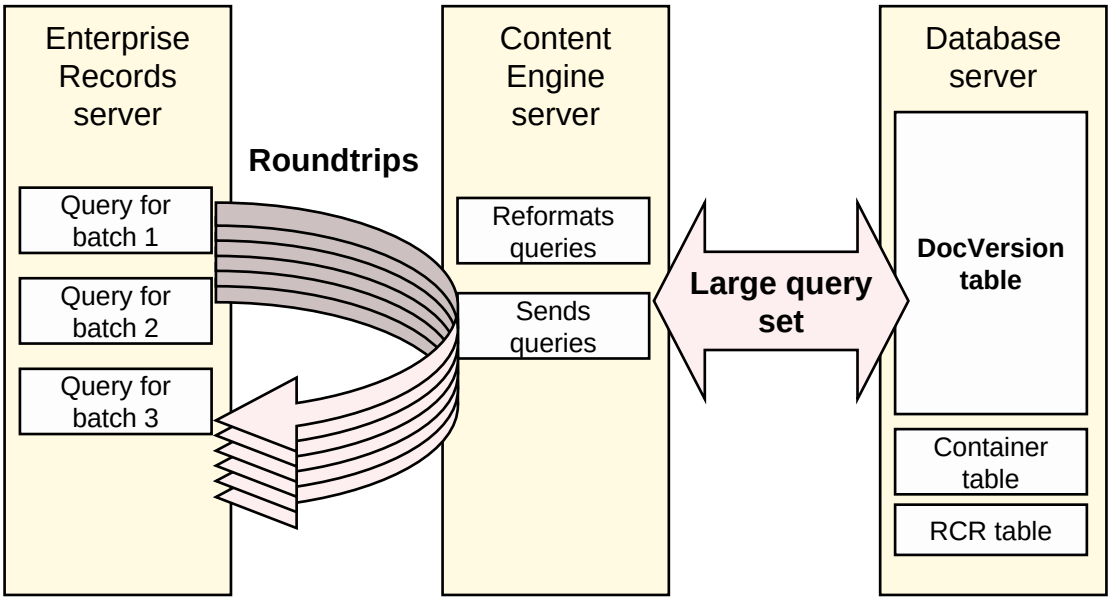


Figure 2-18. Record-level aggregated sweep process F1741.0

Notes:

The diagram shows the roundtrips between the Enterprise Records server and the Content Engine server. It also shows the query sent to the Database server. For record-level aggregation, many roundtrips are made and a large query is sent to the DocVersion table, which causes a large query return to be sent back.

Imagine a scenario in which you must destroy one million records.

From an Enterprise Records perspective, the main performance factor is the number of roundtrips between the Enterprise Records Server and the Content Engine server. The size of the database table, as measured by the number of rows in that table, plays a large part of how long a query takes to execute.

For the purposes of Disposition Sweep, the Content Engine server can query any of three database tables, including the following:

- The DocVersion table, which contains the records and is by far the largest of the three.
- The Container tables, which hold the folders.
- The RCR table, which holds the links between each record and its container.

Enterprise Records does not query the database directly, but sends a query to the Content Engine server, which reformats the query and possibly sends additional queries to the database. Therefore, for best performance, you want to use queries that require the fewest roundtrips and that query the smallest database table.

To destroy one million records, a Disposition Sweep process is run before the Auto Destroy process in order to ensure that all of the disposition-related data are updated first. During the Disposition Sweep, if you use record-level aggregation, the Content Engine must query against the huge DocVersion table and touch every single record. Additionally, because there are so many records, Disposition Sweep cannot retrieve all of them in a single query, which means it must use a paged query (which is slower) and make repeated queries (roundtrips) to the Content Engine in order to process batches of records until it gets through one million.

Core file plan design concepts

Container-level aggregated sweep process

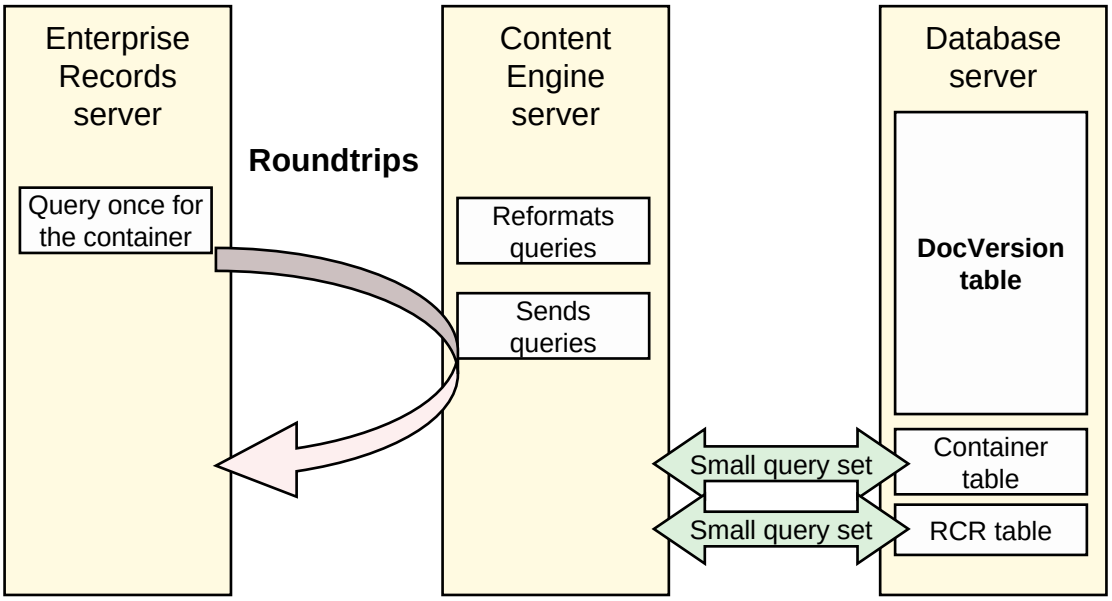


Figure 2-19. Container-level aggregated sweep process F1741.0

Notes:

The diagram shows the roundtrips between the Enterprise Records server and the Content engine server. It also shows the query sent to the Database server. For container-level aggregation, much less roundtrip activity occurs than with record-level aggregation, and small queries are sent to the Container table and the RCR table.

If you use container-level aggregation instead of record-level aggregation, the Content Engine queries the Container table, which is much smaller than the DocVersion table. Then, the Content Engine only needs to process, update, and validate against a single container instead of one million records.

After Disposition Sweep runs, you can run the Auto Destroy sweep. During the Auto Destroy sweep process, the Content Engine must touch each record in order to destroy it, but the query sent to the Content Engine is optimized to avoid a query against the DocVersion table. Because the Record ID is the only information that is required to destroy the record, the query is run against the RCR table to retrieve the Record IDs. The Auto Destroy process queries the RCR table because it is much smaller than the DocVersion table.

Core file plan design concepts

Alternatives to record-level aggregation

- You want records to be destroyed the instant that their retention periods end.
  - However, most companies run Disposition Sweep once per quarter or once per month.
  - Therefore, records are left in the system for long intervals between sweeps.
- You want to use record-level properties to trigger cutoff.
  - If you choose a record property to trigger cutoff, record-level aggregation is determined.
  - However, there are alternatives to record-level aggregation, such as using a triggering event to move a record into a container that can later be destroyed.

Figure 2-20. Alternatives to record-level aggregation F1741.0

Notes:

Record-level aggregation is an option that you can choose, but it is not always the best approach. You need to be aware of practical alternatives before you commit to record-level aggregation so that you are not choosing an inefficient system based on incomplete information.

Core file plan design concepts

Plan Disposition Sweep around the file plan

- Searching an entire database for something that does not exist is very inefficient.
- Synchronize sweep intervals with retention intervals.
  - Do not sweep daily for records are seldom ready.
- Sweep parts of the file plan separately.
  - Do not sweep the entire file plan if you know that all of the records that ready for disposition are in a single category.
- Combine these approaches.

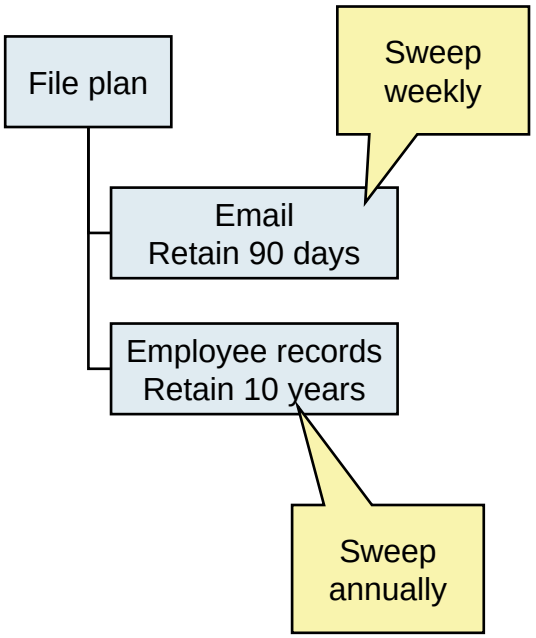


Figure 2-21. Plan Disposition Sweep around the file plan F1741.0

Notes:

The diagram shows a file plan with two categories. In one category, email is retained for 90 days. In the other category, employee records are retained for 10 years. One approach to effectively managing these records is to make sure that sweep processes are configured to sweep these areas separately. Additionally, the email category is swept on a weekly basis while the employee records category is swept annually.

One of the most inefficient processes that a system can perform is to search an entire database for something that does not exist. Imagine having to check a list of millions of items until you reach the end of the list before you can determine that the object you are looking for is not in the set. Disposition Sweep must check the entire database whenever it is sweeping the entire file plan in order to determine whether or not any records are ready for disposition. If no records are ready for disposition when Disposition Sweep runs, then the sweep process takes a very long time to search the database for records that are not ready for disposition.

You can make sweep processes more efficient by synchronizing the sweep intervals with the retention intervals. For example, you might sweep more often if record retention

intervals are fairly short and sweep less often if record retention intervals are longer. Sometimes, a single day beyond retention is absolutely unacceptable, in which case you must accept the wasted processing as a consequence of the regulatory requirement. You must decide the point of tradeoff between fidelity and practicality based on your scenario.

You can also sweep parts of the file plan separately. If there is no requirement for you to sweep the entire file plan at the same time, you might consider sweeping different areas of the file plan at different times. For example, you might have a limited timeframe of six hours per week. Disposition Sweep cannot complete during this time, but if you sweep half of the file plan on alternating weekends, you can complete the sweep every two weeks. You might also sweep a specific container in the file plan if that container has all of the records of that type that are ready for disposition, such as a container for all of the 5-year retentions that are 5 years old.

Sweeping different areas of the file plan separately also allows you to maintain separate sweep schedules for different parts of the file plan, so that you can sweep some areas weekly and other areas monthly, quarterly, or annually, depending on retention needs.

The records administrator is usually the person who configures the sweep processes, so you need to collaborate with the records administrator to ensure that the sweep processes are configured to efficiently work with the file plan and disposition schedules.

Core file plan design concepts

Automatic destruction

- Some enterprises have hundreds of thousands of records to dispose of.
- Records managers cannot review every single record prior to destruction.
  - In production, even reviewing records in batches of 500 is tedious and time-consuming.
- Use automatic destruction to provide a more efficient alternative:
  - Does not rely on workflows to run.
  - Does not require a person to approve destruction
- Select *Allow Auto Destroy on non-OnHold Containees* when you create the Auto Destroy action.

Figure 2-22. Automatic destruction F1741.0

Notes:

After you configure a disposition schedule to use an Auto Destroy action, the automatic destruction is executed using Disposition Sweep. First, any entities that are controlled by a disposition schedule with an auto destroy phase must be processed by Disposition Sweep in the usual fashion to compute the disposition date values, allowing the entities to be ready for disposition at the appropriate time. An additional step is then required to execute the automatic destruction. This step is performed as a separate command line option for the Disposition Sweep tool. When this command is invoked, the system immediately and automatically destroys all entities having the Auto Destroy action that are ready for disposition and that are not on hold.

Auto Destroy on non-OnHold Containees

When you create the Auto Destroy action, you can choose whether or not to allow Auto Destroy on non-OnHold Containees.

If this option is **not** selected, then, when Auto Destroy runs and finds a record that **is** on hold, it prevents the entire container and all of its contents from being destroyed.

If this option **is** selected, the Auto Destroy action destroys records in a container that are not on hold, even if it finds some records that are on hold.

Selecting this option is usually more efficient. When the Auto Destroy sweep process runs without the *Allow Auto Destroy on non-OnHold Containees* option, it must sort the records before deleting them so that if a record is found that is on hold, it can roll back the entire process and restore the container to its original condition. All of the records in the container that might otherwise be destroyed must wait until the next time the Auto Delete sweep process runs again.

However, if the *Allow Auto Destroy on non-OnHold Containees* option is selected, the records are destroyed without first ordering them. If a record is found that is on hold, the previously destroyed records are not restored. The destroy process continues until only the records that were on hold remain in the container.

Core file plan design concepts

Activities

In your Student Exercises

- Unit: Unit name
- Lesson: Lesson name
- Activities:
  - Explain core file plan design concepts.

Figure 2-23. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 2.3. Create a functional classification file plan

Lesson

Create a functional classification file plan

Why is this lesson important to you?

- You are responsible for designing the file plan for your organization. You need a file plan that is flexible and that is consistent with ISO recommendations. You have decided that the functional classification file plan scheme is the best choice for your organization. You must now create the file plan on an object store.

Figure 2-24. Create a functional classification file plan F1741.0

Notes:

Create a functional classification file plan

Activities that you need to complete

- Diagram the file plan hierarchy.
- Create a functional classification file plan.

Figure 2-25. Activities that you need to complete F1741.0

Notes:

These are the activities that you need to complete.

Create a functional classification file plan

Approaches to file plan design

- The main objective of the file plan is to manage retention and disposition.
  - Additional objectives might also be met as long as they do not compromise the main objective.
- Avoid designing a file plan based on obsolete requirements.
  - For example: The file plan structure does not need to conform to paper-based conventions.

Figure 2-26. Approaches to file plan design F1741.0

Notes:

Create a functional classification file plan

Functional classification scheme

- A functional classification scheme is recommended by the International Organization of Standardization (ISO).
- Records are classified according to their purpose.
- File plan structure:
  - Level 1: Functions
  - Level 2: Activities
  - Level 3: Transactions
- To create a functional classification scheme:
  - Identify the main functions of an organization, and then sort them into activities and transactions.
  - Create a category hierarchy that represents the functions, activities, and transactions of the organization.

Figure 2-27. Functional classification scheme F1741.0

Notes:

The functional classification scheme is a way of organizing the file plan using a hierarchical system by classifying records first by function, then by activity, and then by transactions. The International Organization of Standardization (ISO) advocates using this method. Records are classified according to why they exist, rather than their subject matter. This method of organization provides clarity in the relationship between an organizations practices and its records.

Functions

Functions represent the major responsibilities that are managed by the organization to fulfill its goals. Functions are high-level aggregates of the organization's activities. Functions are normally not aligned with organizational structures, because they are more stable than administrative units, which are often consolidated or further divided during organizational restructures. Common functions can be and often are dispersed across the structural components of an organization.

Activities

Activities represent the major tasks performed by the organization to accomplish each of its functions. Multiple activities can be associated with each function. An activity must be based on an interrelated grouping of transactions producing a particular outcome.

Transactions

Transactions represent the smallest units of business activity. Transactions help define the scope or boundaries of activities and provide the basis for identifying the records that are required to meet the business needs of the organization. The identification of transactions also helps in the formulation of the record description as part of the retention schedule of an organization.

Create a functional classification file plan

Example of a functional classification scheme

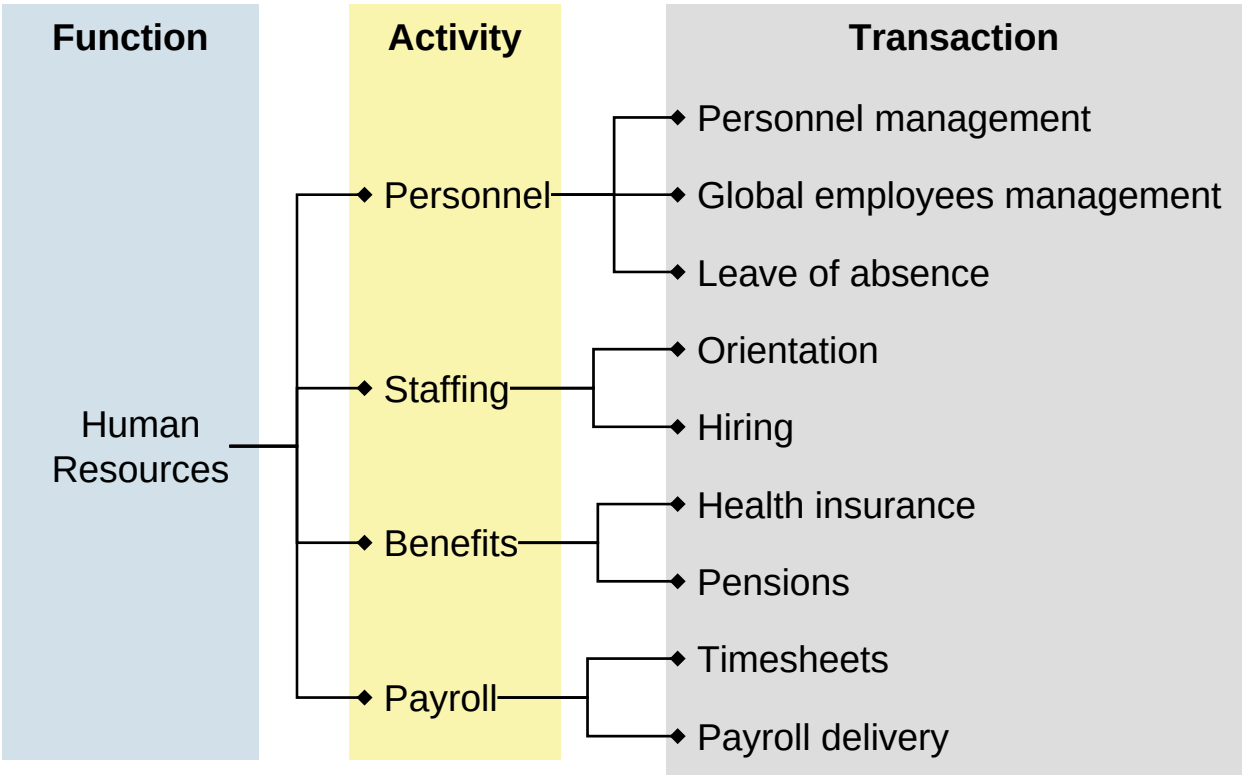


Figure 2-28. Example of a functional classification scheme F1741.0

Notes:

The diagram shows an example of a functional classification scheme. It shows a single function of an organization, Human Resources, and lists some of the main activities: Personnel, staffing, benefits, and payroll. This list is not complete, but is a representative sample. Each of these activities is further divided into transactions:

Payroll includes personnel management, global employees management, and leave of absence.

Staffing includes orientation and hiring.

Benefits includes health insurance and pensions.

Payroll includes timesheets and payroll delivery.

The functional classification scheme can have more than three levels. For example, there might be subsets of activities. Usually, there are between three and five levels. Adding more levels makes the system more complex. Beware of unnecessary complexity.

Create a functional classification file plan

Advantages of functional classification

- Compatibility with either container or record level aggregation
  - Functional classification organizes the overall structure.
  - At the transaction level, you can choose different aggregation levels.
- Stability over time compared to organizational structures
  - Departments, personnel, offices can be fluid.
  - Record categories based on their function or purpose are more stable.
- Regulatory flexibility
  - Retention regulations sometimes change.
  - Regulations often apply to records based on their function.
  - Records that are filed according to function are likely to all be subject to the same change at the same time.
  - The likelihood of refiling records is minimized.

Figure 2-29. Advantages of functional classification F1741.0

Notes:

Compatibility

The functional classification scheme is compatible with either container-level aggregation or record-level aggregation. How you organize your functional structure does not determine how you aggregate.

Stability

Record categories that are organized according to the purpose of the record are more stable than records that are organized according to more changeable structures, such as organizational structures. Departments can shift from one to another, as well as duties or responsibilities, so if the record categories are based on departmental structures, the records themselves need to be refiled whenever this happens. Records that are based on functional classification, however, do not move, because the purpose of the record does not change, regardless of changing departments.

Flexibility

Regulations for records occasionally change. When a regulation changes, the retention or disposition rules for records might be impacted. If records are not organized properly, someone must go through the entire file plan and find the records to which the new regulation applies. In many cases, the regulations affect records based on their purpose. So, having records organized by purpose means that in the event of a regulatory change, the records that are affected are all together, so they can be updated as a group.

For example, you might have many records that are kept for 3 years, but some are kept for 5 years. You might want to have two categories based on years, one for 3 years and one for 5 years. However, a new regulation stating that bills payable must be kept for 7 years has been established. Previously, these records were kept for 5 years. You must go through and find all of the bills payable and refile them. But they have been filed in the same category as all of the other records in the 5-year category, so the process is long and tedious. However, if you have filed all of the bills payable in the same category, based on the function classification scheme, then you do not need to refile the records: you only need to change the disposition schedule on the bills payable category.

Create a functional classification file plan

Category names and IDs

- Functions, activities, and transactions are usually modeled as record categories:
  - Every category has a name and an ID.
  - Both name and ID must be unique within the parent container.
- Common practice: include the parent category ID in the child category ID.
  - Example: FI-Finance > FI-01-Contracts > FI-01-0001-Service Contracts

Level	Category name	Category ID
Function	Finance	FI
Activity	Contracts	FI-01
Transaction	Service Contracts	FI-01-0001

Figure 2-30. Category names and IDs F1741.0

Notes:

Table contents:

Level,Category name,Category ID

Function,Finance,FI,

Activity,Contracts,FI-01,

Transaction,Service Contracts,FI-01-0001

Create a functional classification file plan

Steps to creating the file plan

1. Design the file plan hierarchy.
   - Base the design on your retention schedule and types of records.
   - Include the name and ID for each category.
2. Create the event triggers.
   - The trigger determines the aggregation level.
   - You might also need to create disposition actions if they do not exist.
3. Create disposition schedules using the triggers and actions.
4. Create the file plan hierarchy.
5. Apply disposition schedules to the categories as you create them.
   - Disposition schedules are inherited from parent containers to child containers when you create them.

Figure 2-31. Steps to creating the file plan F1741.0

Notes:

Before you can create the event triggers, you must be certain that the record classes and properties exist. Because record classes and properties are created by the Content Engine or records administrator, you need to make sure that these tasks have been done before you begin.

You create event triggers on the Configuration page in Enterprise Records. When you create internal event triggers, you determine the aggregation level that applies to the disposition schedule to which the trigger is added. Therefore, you must decide on the aggregation before you create the trigger. Disposition actions are usually created during the installation and initial configuration of Enterprise Records. However, if they do not exist, you must create them before you create the disposition schedule.

You might decide to create the file plan hierarchy before you create the disposition schedules. This approach can be used for the top levels of the hierarchy that do not use disposition schedule inheritance.

Create a functional classification file plan

Activities

In your Student Exercises

- Unit: Unit name
- Lesson: Lesson name
- Activities:
  - Diagram the file plan hierarchy.
  - Create a functional classification file plan.

Figure 2-32. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 2.4. Create a retention model file plan

Lesson

Create a retention model file plan

Why is this lesson important to you?

- You are responsible for designing the file plan for your organization. The primary goal of your records management system is to retain data for a set period of time. You expect a high volume of record declarations and dispositions. In this situation, you decide that a retention model is the most appropriate choice. You must use retention model concepts to create your file plan.

Figure 2-33. Create a retention model file plan F1741.0

Notes:

Create a retention model file plan

Activities that you need to complete

- Create a retention model file plan.

Figure 2-34. Activities that you need to complete F1741.0

Notes:

These are the activities that you need to complete.

Create a retention model file plan

What is the retention model?

- The retention model is a file plan organizing principle.
- Hierarchical structure based on grouped retention policy:
  - Level 1: Application (or transaction)
  - Level 2: Retention period
  - Level 3: Retention group
- Retention period containers are associated with disposition schedules.
  - Example: Destroy after 2 years
- Retention period containers are permanent.
  - The disposition schedule does not apply to the retention period container itself.
- Child containers inherit these disposition schedules.
  - Disposition schedules apply to the child containers.
  - Records are filed into child containers for the time interval represented by the retention group.
  - Child containers are destroyed using the Auto Destroy process.

Figure 2-35. What is the retention model? F1741.0

Notes:

The hierarchical structure of the retention model has three main levels.

Application

The application level is used to group all of the containers for a particular application of the retention model. For example, if email originating from the Human Resources department needs to be handled separately from the email originating from the Billing department, you need to create separate record category hierarchies for each. In this course, the application level of the retention hierarchy corresponds to the transaction level of the functional classification scheme.

Retention period

The retention period level is used to group all of the containers that have a similar retention period. For example, if some records need to be kept for 30 days, some for 60 days, and some for 90 days, you need to create three retention period containers at this level of the hierarchy.

Retention group

The third and lowest level in the hierarchy is used to group all records that need to be destroyed on the same day. Use a naming convention that includes a date for the containers at this level of the hierarchy. For example, you might use a container for every day of the year so that all records declared on a specific day are filed into the same container. The name of this container is based on the date that the records were declared.

Create a retention model file plan

Retention model structure

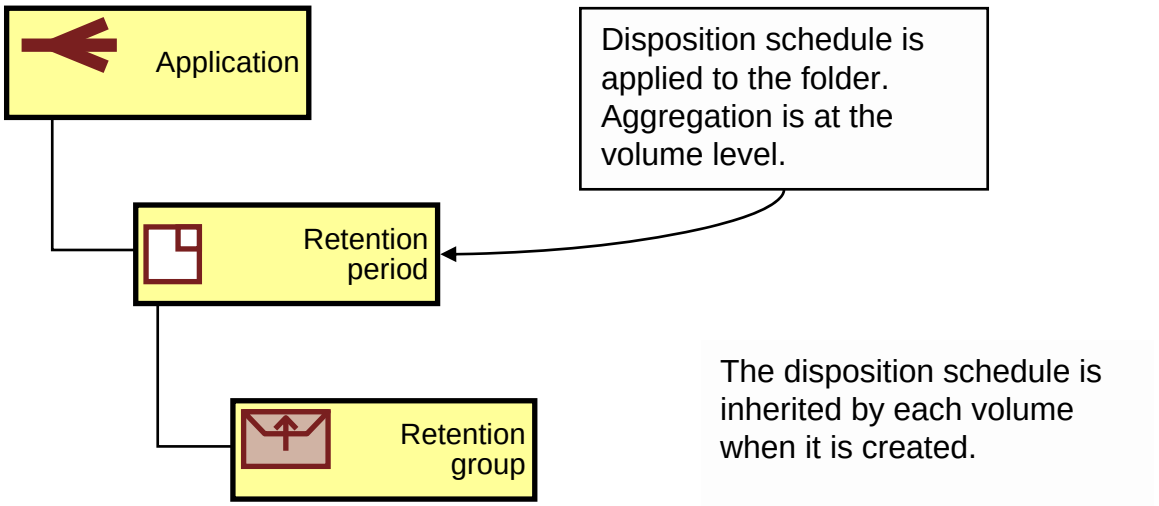


Figure 2-36. Retention model structure F1741.0

Notes:

The diagram shows the general structure of the retention model hierarchical file plan structure. It shows an application as a record category, a retention period folder, and a retention group volume. The disposition schedule is based on a time frame, for example 2 years. The disposition schedule is inherited by child volumes. The disposition schedule is aggregated at the volume level, so each volume is destroyed at the end of the retention period.

Container types

You can use categories for all levels in this model, but the category class must be include properties on which to base the event trigger. If you can determine that processing categories is faster than processing volumes, then you might choose to use all categories. But you must manage them correctly because the aggregation level of the event trigger does not distinguish between categories that are used for retention period containers and categories used for retention group containers if they are all categories.

For example, if you create a category for records to be kept for 1 year and attach a disposition schedule that destroys categories after 1 year, then the retention period

category is destroyed at the same time as the first retention group category! To avoid this problem, you must create disposition schedules that are triggered by events that are never true for the retention period-level containers.

Create a retention model file plan

Automatic Volume Creation workflow

- To implement a retention model using volumes requires the creation of volumes on a regular basis.
- The Automatic Volume Creation workflow creates volumes automatically at specified intervals.
  - Example: You set the start time and date, and then specify a frequency of 1 month. A new volume is generated at the same time each month.
- The workflow sample and documentation are installed with IBM Enterprise Records.
  - On your student system, you can find this information in C:\Progam Files\IBM\EnterpriseRecords\Samples\Workflow.

Figure 2-37. Automatic Volume Creation workflow F1741.0

Notes:

Help path

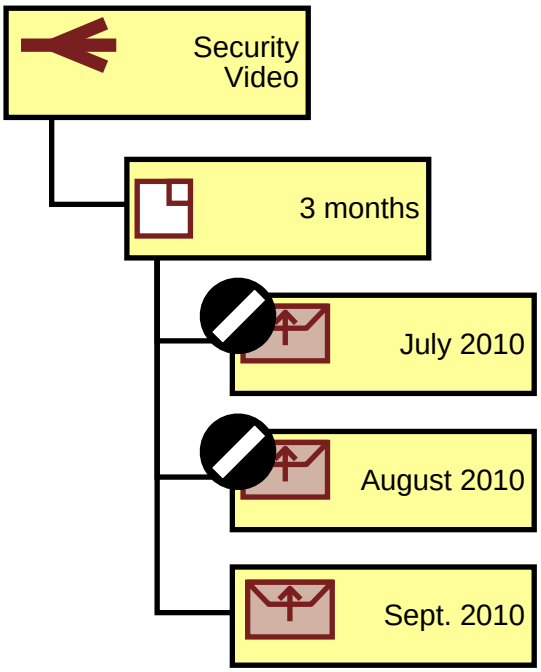
IBM FileNet P8 Documentation > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > (Optional) Configuring IBM Enterprise Records after installation > Installing the Auto Volume Creation workflow

Auto Volume Creation workflow

The Auto Volume Creation workflow is a sample workflow in the IBM Enterprise Records installation package. After you launch the workflow, volumes are created automatically at the frequency of the days, weeks, or months that you set. The Auto Volume Creation workflow is useful for a retention model file plan.

Create a retention model file plan

Retention model example



At the end of each month, a workflow automatically creates a new volume. The previously open volume closes, triggering cutoff.

Retention is 3 months after cutoff.

The volume for the entire month is destroyed using the Auto Destroy sweep process.

Figure 2-38. Retention model example F1741.0

Notes:

The diagram shows an example of a retention model. A category named Security Video is the activity. The next level is the retention period. The retention period is a folder. Within the retention period folder are several retention group volumes. Each volume represents 1 month. It is reasonable to configure Disposition Sweep and Auto Destroy to run on a monthly schedule.

At the end of each month, the workflow automatically creates a new volume. When a new volume is opened, the previously open volume closes automatically, triggering cutoff.

Retention is 3 months after cutoff.

The volume for the entire month is destroyed using the Auto Destroy sweep process.

Create a retention model file plan

When to use the retention model

- The retention model is a good choice when the following statements are true:
  - The primary goal is to retain information for a set period of time.
  - There are no additional requirements regarding how or where the records are filed.
  - Retention period is known when the record is declared.

Figure 2-39. When to use the retention model F1741.0

Notes:

Create a retention model file plan

Automation

- To use the retention model, you must reliably create and dispose of containers according to a schedule.
- The most reliable way to do this task is to automate the creation of containers.
- You need to have custom programming to automatically generate containers according to this schedule.
  - Container generation can also be based on a property of the record, such as Sent Date for emails.
- The process is most successful if you use volume-level aggregation because the previous volume closes automatically when a new volume is created in a folder.

Figure 2-40. Automation F1741.0

Notes:

Create a retention model file plan

Choose the cutoff base

- The cutoff base determines the date when cutoff occurs.
  - You configure the cutoff base when you create the disposition schedule.
- The default value is *event date*.
  - Event date is when Disposition Sweep runs *after* the event occurs.
  - Event date is not the date that the event actually occurred.

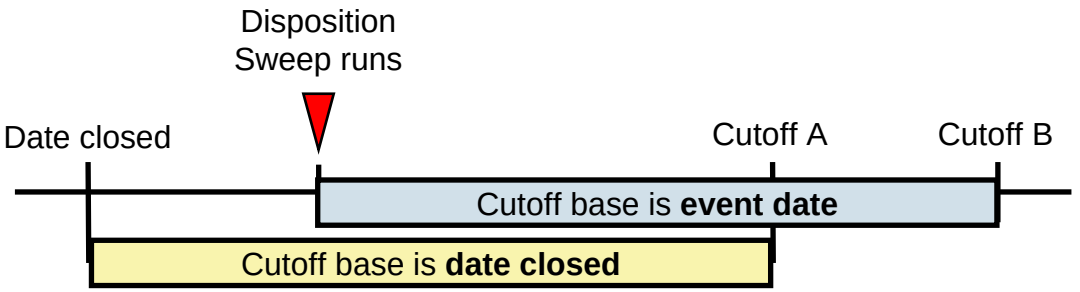


Figure 2-41. Choose the cutoff base F1741.0

Notes:

The diagram shows how the cutoff date is determined by the cutoff base. The cutoff trigger is the closing of a container. If the date the container that is closed is used as the cutoff base, then cutoff occurs 1 year after the container is closed (Cutoff A), regardless of when Disposition Sweep runs within that interval. If the event date is used for the cutoff base, then cutoff occurs 1 year after Disposition Sweep registers that the container as closed (Cutoff B).

Using the cutoff base

Sometimes, you might want to set the Date Closed property as the cutoff base. The cutoff base determines the cutoff date. If the cutoff base is based on the Date Closed property, then cutoff is determined by the date when the container is closed, no matter when Disposition Sweep runs. If the cutoff base is the event date, then cutoff is determined by the date when Disposition Sweep runs after the event trigger has occurred. If there is a long delay between when the event trigger occurs and the time when Disposition Sweep runs, the cutoff date is still determined by when Disposition Sweep runs.

Example

Fred is terminated on 6 July 2010. Records are supposed to be destroyed 7 years after termination.

Disposition Sweep runs on 1 January 2011. During the sweep, Fred's employment status is flagged as terminated.

If the *event date* is the cutoff base, then Fred's records are destroyed on 1 January 2018.

If the *Date Terminated* property is the cutoff base, then Fred's records are destroyed on 6 July 2017.

The cutoff *trigger value* is the same in both cases: Date Terminated IS NOT NULL. Only the cutoff *base* has changed. If you are running Disposition Sweep often enough, the difference is negligible. However, there might arise a case in which you need to update the cutoff base. If the cutoff base has a date value, then you can change the date to a new date. When Disposition Sweep runs, the Current Phase Execution Date is updated according to the new value. However, the event date is a system property that cannot be changed.

Create a retention model file plan

Record year model

- Variation of the retention model
- Three-level hierarchy:
  - Level 1: Business function or application
  - Level 2: Document or record type
  - Level 3: Year of record
- Aggregation occurs at level 3.
  - Disposition schedule inherits from level 2.
- Use when the following conditions are true:
  - The primary retention requirement is based on the year of the record.
  - You can group all of the same type of records together for each year.
- Requires automation:
  - Automatic record declaration
  - Creation of the level 3 containers and setting appropriate trigger date

Figure 2-42. Record year model F1741.0

Notes:

The record year model is a variant of the retention model. It can be used in situations in which the primary retention requirement is for records of a given type to be destroyed based on the year of record.

The records are declared automatically into the appropriate year based on the level 1 and level 2 attributes of the record plus the year of record as determined by some date value or other attribute of the record at the time of declaration.

For example, correspondence or finance might be declared into the appropriate year of record based on either the date scanned (for paper) or the date received (for email). For some applications, you can use the Date Created property on the RDOS.

The trigger date value is assigned only to the record year containers (level 3). Level 1 and level 2 categories must not have a trigger date value. The trigger date property is a custom property that must be added to the container class to be used for the level 3 containers.

Create a retention model file plan

Delayed aggregation model

- Delayed aggregation is an alternative to record-level aggregation models.
  - Use in scenarios that might otherwise call for record-level aggregation.
  - Individual records are moved into another container for disposition.
- You can use delayed aggregation in the following circumstances:
  - The event that qualifies a record for disposition occurs sometime after declaration.
  - After the event that qualifies a record for disposition, the record can be grouped with other records that follow the same disposition cycle.
- Because the records can be grouped by a common property value when the event occurs, they can be moved to a container that uses container-level aggregation.
- Custom programming
  - Move records from one record category to the other category.

Figure 2-43. Delayed aggregation model F1741.0

Notes:

Record-level aggregation is often used in cases in which some property of the document or record itself is the trigger for the beginning of disposition. However, record-level aggregation is inefficient. One way to circumvent the inefficiency of record-level aggregation in these cases is to use a delayed aggregation model.

In the delayed aggregation model, records are initially filed into a container that does not have a disposition schedule. These records are in the active state until the event occurs that triggers the beginning of the retention period. In this case, though, the triggering event is not used as the cutoff trigger. Instead, the event is used as a trigger to move the record into a different container. The new container has a disposition schedule associated with it that is aggregated at the container level.

For example, a record has a trigger-date value that has a null value and is declared into an Active Records container. At some point afterward, the record is no longer active, so the trigger-date value is set to a non-null value. A custom program then moves the record into a container that is scheduled to be destroyed on a specific date. All of the records that are moved into this container can then be destroyed at the same time.

In some circumstances, this model is actually less efficient than record-level aggregation because the time needed to move records into a different container might exceed the time required to process the records individually without moving them.

Consider the cost of creating containers and moving the records against the cost of using record level aggregation. For example, if it is necessary to create several containers, which will contain only a few records, then using this model can result in higher processing costs than using the record-level aggregation.

Create a retention model file plan

Activities

In your Student Exercises

- Unit: Unit name
- Lesson: Lesson name
- Activities:
  - Create a retention model file plan.

Figure 2-44. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 2.5. Create a case model file plan

Lesson

Create a case model file plan

Why is this lesson important to you?

- You are responsible for designing the file plan for your organization. Your organization works with many individual cases, each of which consists of several files that must be kept together. The case files are all related to one another by a custom case number property. Case files have different formats, are reviewed at different times, might be stored in different locations or different object stores, and might be ready for declaration at different times. You decide that the Case Model is the most appropriate choice for your file plan design. You must use Case Model concepts to create your file plan.

Figure 2-45. Create a case model file plan F1741.0

Notes:

Create a case model file plan

Activities that you need to complete

- Create a case model file plan hierarchy.

Figure 2-46. Activities that you need to complete F1741.0

Notes:

These are the activities that you need to complete.

Create a case model file plan

What is the case model?

- The case model groups together records on a related subject that must be destroyed together
  - Example: All documents related to a specific loan
- A single case folder is created to hold all records related to a specific case.
  - Aggregation is at this folder level.
- Hierarchical structure levels:
  - Level 1: Transaction or type of case
  - Level 2: Case folder
- A custom property associates the records with the folder.
  - Examples: loan number, case number

Figure 2-47. What is the case model? F1741.0

Notes:

Create a case model file plan

Case model structure

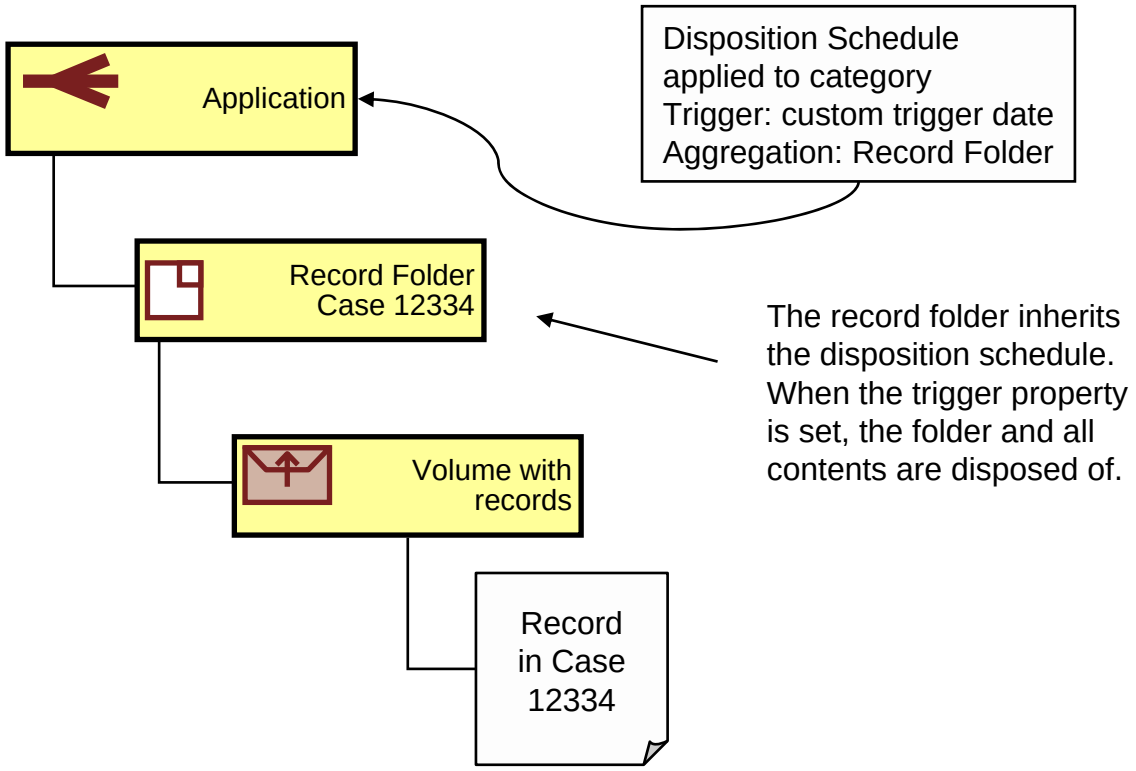


Figure 2-48. Case model structure F1741.0

Notes:

The diagram shows the structure of the case model file plan design. An application category is associated with a disposition schedule. The category contains a record folder, which inherits the disposition schedule. The schedule is aggregated at the folder level. The folder has a volume that has one or more records in it. Each record has a custom property value, such as a case number, that matches the identifier of the case folder.

Records that are declared in a case model typically have a custom property that is used to identify which folder to file the record into.

Create a case model file plan

Optimize the case model

- Use a single phase for Auto Destroy.
- Set the disposition offset event in the schedule to a non-zero value.
  - Records can be filed into the case folder after the cutoff trigger has occurred.
- Custom programming can be used to do the following:
  - Automatically create folders for new cases.
  - Detect when case documents are ready to be declared as records.
  - Initiate disposition by updating a property on the record folder.

Figure 2-49. Optimize the case model F1741.0

Notes:

Create a case model file plan

Cutoff triggers

- Avoid using the Date Closed IS NOT NULL event as a cutoff trigger if possible.
  - When the Date Closed has a value, it cannot be made null again.
  - If the folder is accidentally closed, the cutoff date is set, even if the folder is reopened.
- Use a custom property for a cutoff trigger.
  - If the custom property is changed accidentally, it can be changed back without triggering cutoff if Disposition Sweep has not run.
  - You might base a cutoff trigger on two properties joined by an AND connector.
- Example: Claim Status can be Active or Inactive.
  - If you change the Status to Inactive, cutoff is triggered when Disposition Sweep runs.
  - If you change the Status back to Active *before Disposition Sweep runs* then cutoff is not triggered.

Figure 2-50. Cutoff triggers F1741.0

Notes:

When using the case model, use caution when planning the cutoff trigger. If you use the Date Closed IS NOT NULL event as the trigger, then cutoff occurs when the folder is closed. The drawback to this approach is that someone might mistakenly close the folder. The folder can be reopened, but the Date Closed property is still not null, so cutoff is triggered regardless of whether the folder is reopened.

If you use a custom property, such as a binary property, as a cutoff trigger, then if the value changes and then changes back before Disposition Sweep runs, the cutoff is not triggered.

Cutoff base

You need to carefully consider the cutoff base as well as the cutoff trigger. Instead of the event date, you might select a custom trigger date. The trigger date might be updated after cutoff, which can affect the Current Phase Execution Date.

Create a case model file plan

Activities

In your Student Exercises

- Unit: Unit name
- Lesson: Lesson name
- Activities:
  - Create a case model file plan hierarchy.

Figure 2-51. Activities F1741.0

Notes:

Use your Student Exercises to perform the activities listed.

Glossary

A

action
See disposition action.

aggregation
Part of an internal event trigger that determines which type of IBM Enterprise Records entity is affected by the disposition action. For example, depending on the aggregation level, a disposition schedule can destroy a single record or an entire folder at one time. When the aggregation level is a container, the action affects all of the entities at that level or below.

alternate retention
An alternate retention period applied to entities that meet specified conditions. In IBM Enterprise Records, multiple alternate retentions can be defined in the same disposition phase. For example, if records are kept in multiple countries, each country might have different laws regarding retention. Records can be retained in each country using a retention interval based on a country property.
See also disposition schedule and disposition phase.

auto destroy
Permanently deletes or destroys records without the use of a workflow. The record removal is immediate when it has reached the end of the retention schedule.

B

box
A container that provides a mechanism to model physical entities that contain other physical entities. Derives from the PhysicalContainer class.
See PhysicalContainer.

C

catalog
When declaring a record, the step in which the record class and file plan location are specified.

charge-out
In physical records management, the checking out of a physical record from its home location. This action is handled by the Physical Record Management (PRM) workflow.

charge-in
In physical records management, the checking in of a physical record to its home location.
See also charge-out.

classification guide
Security classification guides (SCG) are available only in a DoD Classified data model. Persons with Original Classification Authority can delegate the authority to classify information by creating guidelines to be used by authorized derivative classifiers. Only users assigned to the Classification Guide Administrator security role can create or modify security classification guides.

classified
When using the DoD Classified data model, a record can be defined as a classified record upon declaration. Classified records have special access restrictions in addition to normal record security.

compliance
Acting in accordance with certain accepted standards, laws, and guidelines.

conditional hold
See dynamic hold.

container
An IBM FileNet P8 folder. In IBM Enterprise Records, a container can be a folder, category, box, volume, or hybrid folder. All of these containers are subclasses of the RM Folder class, which is a subclass of Folder.
See folder.

cutoff
The event that signifies the end of the active period of an entity and the start of disposition.

Cut Off workflow
A workflow that is launched by the cutoff event. The purpose of the Cut Off workflow is to ensure that the records manager reviews the entity after the cutoff trigger and approves the cutoff date. The different phases of the disposition schedule start only after approval of the cutoff date.

D

data model
A template for a file plan object store, to be compliant with certain records management standards. The data model can include metadata and security features. When a new file plan object store is created, a data model must be chosen. Four data models are available:
Base: Satisfies the requirements of most corporations.
Department of Defense (DoD): Includes the properties required by version 2 of the DoD standard (DoD 5015.2)
Department of Defense Classified (DoD Classified): Includes the properties required by version 2 of the DoD Classified standard (DoD 5015.2) for managing classified records
Public Records Office (PRO): Includes the properties required by the PRO 2002 standard.

declare
The act of creating a record object. Declaration and cataloging happen simultaneously. Declaration can be manual or automatic.

declassification review sweep
See sweep processes.

default retention
The phase retention period that applies if either no alternate retentions are specified or if the entity does not meet any alternate retention conditions.

destruction
The removal of the record and the object of the record from the system. For electronic documents, both the record object and the document object are deleted. For physical objects, the record object is deleted. Optionally, the metadata of destroyed records can be retained after the record itself is destroyed, providing a record of the destruction of the record.

discovery
In law, the pretrial phase in a lawsuit in which each party can request documents and other evidence from other parties or compel the production of documents and other evidence using the legal system.

disposal phase
A part of a disposition schedule that controls the retention of entities in a particular state for a specified time period and the disposition action that is performed at the end of the retention period. Also called a phase or a disposition phase. Each phase has a phase retention period and a phase action.

disposition phase
See disposal phase.

disposition
Actions performed on a record after cutoff. Disposition is applied through disposition schedules that are created in IBM Enterprise Records and associated with containers. Disposition includes one or more disposal phases. Each phase has a phase retention period and a disposition action that occurs at the end of that retention period.

disposition action
An action performed on entities after the cutoff is reached or when their retention period in a disposal phase is over. For vital records, it is a periodic review. Disposition actions are created in IBM Enterprise Records. Each action is associated with a workflow. Some examples of actions include Destroy, Review, Export, Transfer, and Vital Review. Actions need to be initiated manually when the retention period of the phase is over. Each phase has an associated disposition action. Each disposition action (except auto destroy) is associated with a disposition workflow. Also called phase action.

disposition hold
A temporary suspension of disposition processing. A hold can be created and then applied to an entity or group of entities. Each hold is for a specific use and can be applied to several entities at one time. In addition, an entity can be placed on several holds at the same time.

disposition schedule
Disposition instructions that specify how long to keep the entity and how to dispose of it. In IBM Enterprise Records, a disposition schedule has one or more disposition phases. Disposition schedules are created in IBM Enterprise Records and associated with containers. The disposition schedule is inherited by all contained elements within the container, but applies only to the entity type specified by the aggregation.

disposition sweep
See sweep processes.

disposition workflow
A workflow that is associated with a disposition action that automates that part of the disposition process. IBM Enterprise Records comes with several workflows. Examples of disposition workflows include Destroy, Export, and Interim Transfer.
See also disposition action.

document
An object saved in an object store that has properties and security and can additionally have content, versions, lifecycles, and subscriptions. Documents are instances of the Document class or one of its subclasses.

dynamic hold
Refers to the ability to specify conditions for entities to be placed on hold. A scheduled Hold Sweep process determines if any entities meet the conditions of the holds. If so, the hold is applied automatically. Also called Conditional hold.

E

electronic record folder
A folder used for declaring records having electronic data.

entity
A generic term that can apply to a record object or an IBM Enterprise Records container.

event
In IBM FileNet Content Engine, a change in the metadata that, when specified in an event subscription, initiates an event action. For example, an event can be the addition of a document to a folder. The event action might be to declare that document as a record. In IBM Enterprise Records, an event is used to trigger the start of the disposition process or, in the case of vital record review, to trigger the vital review action.
See also event action, event subscription, and event trigger.

event action
In IBM FileNet Content Engine, a script or workflow that the Content Engine runs, as defined in a subscription. Event actions can be used to launch workflows and to declare records.

event subscription
In IBM FileNet Content Engine, a definition of conditions required to initiate an event action. An event subscription specifies the class to which the subscription applies, the event that must occur (such as adding a document or changing a property value), and the event action that is triggered.
See also event action.

event trigger
In IBM Enterprise Records, an event that triggers the start of the disposition process. Each event trigger has a condition. When an event occurs that meets the condition, Disposition Sweep marks the entity as being ready for disposition. Several types of event triggers can be configured in IBM Enterprise Records: internal events, external events, recurring events, and predefined date events. In addition, a calendar date in the disposition schedule can be defined to be the cutoff trigger. Also called a trigger, cutoff trigger, or disposal trigger.

external event
An event that occurs outside the system, but that can directly impact the cutoff and disposition of entities. For example, a change in administration might delay disposing of unnecessary or old records. External event triggers are similar to predefined date events, except that the date field is not a required property, which means that the trigger can be created without knowing the future date of the event.

F

file plan
In IBM Enterprise Records, a container hierarchy that defines the organization of records. The file plan also determines the security and disposition of contained entities. Entities can inherit security and disposition from the parent container in the file plan.

file plan object store (FPOS)
An object store that hosts a file plan. The administrator must create an FPOS by importing the appropriate data models and performing other configurations. After the FPOS is configured, the records manager can create the file plan on it.

FPOS
See file plan object store.

folder
In IBM FileNet Content Engine, an object that can contain other objects. In IBM Enterprise Records, a container that contains record volumes. *See also* volume.

H

hold
See disposition hold.

hold sweep
See sweep processes.

I

IBM Enterprise Records
An add-on product to the FileNet P8 system that has special record management capabilities. A records management application (RMA) as defined in the DoD standard 5015.2.

interim transfer
Temporarily transfers records to some other location. The original record remains in the IBM Enterprise Records system until final disposition occurs.

interim transfer workflow
A workflow that ensures that the home location of a physical entity and location of an electronic entity are changed to the specified location at the end of the retention period of a phase. The records manager must approve the interim transfer of each entity. Before approving the interim transfer of a physical entity, the records manager must ensure that the physical entity has been manually transferred to the new location.

internal event
An event trigger that refers to a change in the metadata of an entity. These events are triggered automatically when the specified condition is fulfilled. For example, the system can track when a volume closes and trigger cut off and disposition at that time. An internal event acts on the type of entity specified in the aggregation field.
See also event trigger.

N

naming pattern
Specifies rules used to automatically generate names when new containers are added to a file plan. For example, a container naming pattern can be used to automatically ensure that each new container has a unique category ID. Naming patterns consist of one or more pattern levels that apply to an entire level in the file plan hierarchy (for example, the tree diagram of the file plan).
See also record pattern.

O

offset
An optional time gap between the event trigger and cutoff.

P

permanent record
A record that has been identified as having sufficient historical or other value to warrant continued preservation by the organization beyond the time that it is normally required for administrative, legal, or fiscal purposes.

phase
See disposal phase.

PhysicalContainer
A container used for declaring records for physical items.

physical record
Metadata describing a physical object like paper, tapes, compact disks, and so on.

physical record folder
A container used for declaring records for physical items, such as paper records. A physical folder is a virtual entry for a paper folder.

predefined date event trigger
In IBM Enterprise Records, an external event trigger with a required date field.

R

RDOS
See record-enabled document object store.

record
A file that references and contains information about another electronic file (document) or a physical object. A record is created to place the document or physical object under corporate or governmental control. The record specifies how the document or object is to be stored, accessed, and, optionally, disposed of. A record is metadata.

record-enabled document object store (RDOS)
An object store that has been configured to allow record declaration. Electronic documents on an object store that is not configured as an RDOS cannot be declared as records.
Note: Do not confuse the RDOS and the FPOS. In ecm_help and in the *IBM Enterprise Records Installation and Upgrade* guide, RDOS is called ROS. For the IBM Enterprise Records courseware, the word *document* was added to emphasize the distinction between the RDOS, in which documents are stored, and the FPOS, in which record objects are stored.

record pattern
Used to constrain the names of new records to a pattern that is associated with the container. It is similar to a naming pattern except that it does not generate names, only constrains them. Users must be careful when adding records to a container with a record pattern because the pattern does not allow declaration if the record name is not compliant with the pattern. Care must be exercised when using record patterns with automated declaration.
See also naming pattern.

records manager
An IBM Enterprise Records security role, the duties of which include setting up the file plan, triggers, and disposition schedules. Sometimes referred to as a records management professional, or records officer.

records management system
Any system for managing records. In the IBM Enterprise Records courses, a records manager system includes the file plan, disposition schedules, naming patterns, record classes and properties, locations, workflows, and anything else that can be created for records management.

records administrator
An IBM Enterprise Records security role, the duties of which include setting up security, object stores, document and record classes, and metadata.

records reviewer
An IBM Enterprise Records security role (in the PRO data model), the duties of which include reviewing entities that are ready for disposition, declaring records, and performing basic record-related operations, such as filing or copying records. In the DoD and Base data models, this person is called a Privileged User.

records user
A IBM Enterprise Records security role, the duties of which include declaring and viewing records.

retention period
At a high level, how long to keep a record. In IBM Enterprise Records, a part of a disposition phase that specifies the length of time between cutoff and the phase action. A disposition schedule can have several phases of retention, each with its own retention period. Total retention time is equal to the retention period of the final phase of disposition. The retention period is always relative to cutoff, not to the end of a prior phase. For example, if a review phase is set for one year after cutoff and the second phase is set for a year after the review, then the phase retention period for the second phase is two years (after cutoff).

retention schedule
See disposition schedule.

record types
A categorization of records that has a unique disposition schedule. Record types are used when a group of records existing in a record container needs to have a disposition schedule that is different from the one currently associated with the container. Usually, record types are used when some records must be destroyed before the rest of the records in the container. If a record type has a longer retention than other records in the container, the container is placed on hold until all the records are ready for disposition.

recurring event
Events that recur automatically after a specified time interval. They are used to trigger periodic reviews of vital records. For example, a recurring event called Monthly review with a specified frequency of one month can be created to cause a monthly review of the associated entity.
See also Vital records.

ROS
See record-enabled document object store.

S

screening workflow
A workflow that prompts a reviewer to decide if the disposition of an entity should proceed before executing workflows associated with its disposition phase. Screening is optional and is specified when a disposition phase is created.

spoliation
The willful or accidental destruction of a record prior to its scheduled destruction.

sweep processes
Daemon processes that are scheduled to run at appropriate times in the business day. Sweeps carry out automatic operations, depending on their configurations.
Disposition Sweep calculates disposition-related properties, launches the Vital Review workflow,

and launches the Cut Off workflow where applicable. Disposition Sweep can optionally be configured to perform the auto destroy action.
Hold Sweep finds entities that satisfy the conditions for dynamic holds and applies the hold to those entities.
Declassification review sweep applies only to classified records for which the Declassify On Date or Declassify On Event values are not specified. IBM Enterprise Records uses the Default Declassification Timeframe to declassify these records.

sweep profile
A customized configuration for a sweep process that is saved as a separate file. Multiple sweep profiles provide a way to run sweep processes using different configuration settings without having to reconfigure the sweep process each time.

T

transfer
The act or process of moving records from one location to another, especially from the location the record is used to offsite storage facilities or NARA (National Archives and Records Administration).

transfer mapping file
An XML file that maps IBM FileNet Content Engine property names to XML property names. IBM Enterprise Records Transfer tool includes this file when importing or exporting IBM Enterprise Records entities. When you transfer records and record folders while they are still active, the transfer mapping capability tracks the entities by the organizations receiving and originating the entities.

trigger
See event trigger.

V

vital records
Records that are deemed by an organization as important enough to require periodic review. Whenever a recurring review event occurs, the vital records review workflow associated with the event is launched.

volume
A volume (also record volume) serves as a logical subdivision of a record folder. A folder can contain one or any number of volumes. A volume has no existence independent of the folder. A volume cannot contain a subfolder or another volume.

W

workflow
A business process to accomplish a task. In IBM FileNet BPM (Business Process Management), workflows are automated managed by the IBM FileNet Process Engine. IBM Enterprise Records includes several workflow definitions for performing records management tasks, including the following: screening, cutoff, and disposition actions.

workflow definition
An electronic representation of the activities and resources required to accomplish a business process. The workflow definition acts as a processing template that the IBM FileNet Process Engine uses each time the workflow runs, routing the work to the specified participants, along with data, attachments, and other information needed to complete the activities.

Z

ZeroClick
Describes the ability to automatically declare records without user involvement. Example: a document is declared as a record automatically when it is added to an IBM FileNet Content Engine folder. A record can also be declared as part of a workflow. IBM Content Collector can direct IBM Enterprise Records to declare e-mail messages as records automatically.