IBM Enterprise Records 5.1: File Plan Design

(Course code F181)

Student Exercises

ERC 1.0

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Unit 1. File Plan Design

Unit overview

This unit contains these lessons.

Lessons

Skill levels

Select one of these skill levels to perform the activities.

- Challenge: Minimal guidance
- Walkthrough: More guidance, with step-by-step directions

Unit dependencies

This unit is dependent upon completing the following units.

- F178 - IBM Enterprise Records 5.1: Core Skills
- F040 - IBM FileNet P8 Prerequisite Skills 4.5

Requirements

The activities in this unit assume that you have access to the student system configured for these activities.

System check

Perform a system check whenever you start up an IBM FileNet P8 system or start working on a system that is in an unknown state. These activities assume that you have performed a system check when you begin an activity session.

User Accounts

Type	User ID	Password
System Administrator	administrator	filenet
Records Manager	rmsue	filenet

Lesson 1.1. Coordinate file plan development

Overview

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 P8 Content Engine administrator, a programmer, and a database administrator who are tasked with helping you implement a file plan. Because you are the main authority on records management requirements, you must coordinate the file plan creation effort.

Activities

- Coordinate file plan development: Written activity, page 1-5

Coordinate file plan development: Written activity

For each question, indicate the correct answer or the best answer.

1. Why must you coordinate with other roles in order to design your file plan?
   a. Other roles have valid ideas for file plan design.
   b. The file plan is part of a records management system.
   c. The file plan must support database administration.
   d. Collaboration produces superior file plan designs.

2. Who decides which data model to use when designing a file plan?
   a. The Content Engine administrator
   b. The records users
   c. The database administrator
   d. The records manager

3. Who specifies custom metadata that is needed to support a file plan?
   a. The records manager
   b. The records administrator
   c. The Content Engine administrator
   d. The database administrator

4. Who creates the metadata for the file plan object store?
   a. The records manager
   b. The records administrator
   c. The programmer
   d. The database administrator

5. In which order are these objects created?
   a. Object stores, triggers, disposition schedules, properties
   b. Object stores, properties, triggers, disposition schedules
   c. Disposition schedules, object stores, properties, triggers
   d. Disposition schedules, object stores, triggers, properties

Lesson 1.2. Core file plan design concepts

Overview

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 keep up with demands. The system had to be shut down. You have been given the opportunity to create a new file plan that is capable of keeping up with demands. You need to apply core design principles to your design in order to ensure that the system performs well in the production environment.

Activities

- Examine core file plan concepts: Written activity, page 1-9

Examine core file plan concepts: Written activity

Introduction

Read the following scenario, and then, for each question, indicate the correct answer or the best answer.

Scenario

Your company declares 100,000 records per day, 200 days per year. The records are destroyed after 5 years when Disposition Sweep and Auto Destroy run sequentially at quarterly intervals, using record-level aggregation. The system has been running for 6 years.

Questions

1. How many records are declared per year?
   a. 2,000,000
   b. 20,000,000
   c. 200,000,000
   d. 36,500,000

2. How many records are in the system?
   a. 120,000,000
   b. 1,200,000,000
   c. 100,000,000
   d. 200,000,000

3. How many records are destroyed each time Auto Destroy runs?
   a. 5,000,000
   b. 20,000,000
   c. 4,000,000
   d. 25,000,000

4. How many records are queried each time Disposition Sweep runs?
   a. 5,000,000
   b. 100,000,000
   c. 200,000,000
   d. 105,000,000

5. What is the ratio of records queried to records destroyed when Auto Destroy runs?
   a. 10:1
   b. 11:1
   c. 20:1
   d. 21:1

6. If no records are on hold, what is the ratio of records queried to records destroyed if the Auto Destroy sweep process sweeps one container that contains all of the records that are ready for disposition for that quarter?
   a. 1:1
   b. 10:1
   c. 11:1
   d. 20:1

7. Which database table is the largest?
   a. RCR table
   b. DocVersion table
   c. Container table
   d. RecordID table

8. Which table is queried when you run Disposition Sweep for record-level aggregation?
   a. RCR table
   b. DocVersion table
   c. Container table
   d. RecordID table

Lesson 1.3. Create a functional classification file plan

Overview

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.

Activities

User accounts

Type	User ID	Password
System Administrator	Administrator	filenet
Records Manager	rmsue	filenet

Do this first: Change the default File Plan

Your student system is currently configured to use the FPOS1 file plan as the default file plan. Before you can begin the exercises in this lesson, you must change the default file plan settings.

Procedures

Procedure 1: Change site preferences

Use this procedure to change the default file plan used by the IBM Enterprise Records application and the default file plan used by the Declare As Record action in Workplace.

1. Start Internet Explorer
2. Click the IBM FileNet Workplace link.
3. Sign in to Workpace as Administrator.
   - Name: `Administrator`
   - Password: `filenet`
4. Go to Admin > Site Preferences.
5. Configure Default file plan:
   a. On the General page, scroll down to the bottom.
   b. Click the Default File Plan link.
   c. Click DevFPOS.
   d. Click File Plan.
   e. Click Accept.
6. Set Default file plan for the Declare As Record wizard:
   a. Click Object Stores.
   b. Click DevFPOS
   c. Scroll down to the Records Management area.
   d. Click Default File plan.
   e. Verify that the Path shows Object Stores > DevFPOS > File Plan.
   f. Click File Plan.
   g. Click Accept.

7. Click Apply.
8. Sign out from Workplace.

Procedure 2: Configure File Plan object store in IBM Enterprise Records

1. Click the IBM Enterprise Records shortcut link to go to IBM Enterprise Records.
2. Sign into IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
3. Click Configure.
4. Click Set Default File Plan under File Plans.
5. Click DevFPOS.
6. Click File Plan.
7. Click Accept.
8. Sign out from IBM Enterprise Records.

Procedure 3: Configure Disposition Sweep

Disposition Sweep is currently configured to sweep the FPOS1 object store. In order to properly dispose of records on the DevFPOS object store, you must reconfigure Disposition Sweep to sweep the DevFPOS object store.

1. Open a command prompt:
   - Click the command prompt icon in the quickstart menu.
2. In the command prompt, type:

   ```
   cd C:\Program Files\FileNet\rm\RecordsManagerSweep
   ```
3. Type this command to configure sweep:

   ```
   recordsmanagersweep.bat -dispositionsweep -configure
   ```
4. Change the File Plan Object Store Name property to DevFPOS.
5. In the Password field, type the password: `filenet`.
6. Click Configure.
7. Click OK.

Information

Your student system is now configured to perform the exercises in this unit.

Diagram the file plan hierarchy: Written activity

Introduction

You are going to create a diagram of the file plan in preparation for creating the file plan on your student system.

Directions

Read the following scenario. On a separate sheet of paper, create an outline of the file plan that meets the requirements of the scenario. The file plan must show functional classification scheme structure, and categories must include category ID information. For category ID information, use HR for Human Resources and OPS for Operations.

Scenario

You are designing a file plan for an insurance company. The company deals with auto claims, home claims, and life claims. All of these claims have different retentions, but fall under the general functional area of Operations. In addition to these operations, there are two other kinds of operational records: policies and procedures. Policies and procedures have separate retention periods. The other major functional area that you need to plan is Human Resources. Human Resources includes personnel information and payroll information. Personnel files include applications for employment and employee evaluations. Payroll includes checks, salary history, and time reports.

Create a functional classification file plan: Challenge

Challenge

Create a file plan hierarchy for this insurance company that follows functional classification guidelines.

Create and apply disposition schedules to employee applications and employee evaluations.

Data

- File plan
  - Human Resources - HR01
    - Personnel - HR01-01
      - Employment applications - HR01-01-001
      - Employee evaluations - HR01-01-002
    - Payroll - HR01-02
      - Checks - HR01-02-001
      - salary history - HR01-02-002
      - Time reports - HR01-02-003
  - Operations - OPS01
    - Claims - OPS01-01
      - Auto claims - OPS01-01-001
      - Home claims - OPS01-01-002
      - Life claims - OPS01-01-003
    - Policies - OPS01-02
    - Procedures - OPS01-03

Record series	Active	Inactive	Retention total
Applications	Until termination	3 days	Termination + 3 days
Evaluations	Until termination	30 days	Termination + 30 days

Object	Data
File plan to use	DevFPOS > File Plan (the default file plan)
Record class to use	employee record
Property to use for disposal trigger	Employee status (Terminated)

Note

For testing your retentions, you are going to set the system clock forward on your student system. Setting the clock too far forward, however, can affect some software license expirations. Therefore, in this course, all retentions are set to days instead of years.

Important

In this activity, you simulate the passage of time by changing the time on your student system clock. On a production system, the system clock must always be set to the correct time.

Hint

Personnel files are few in number and can be managed as individual records without creating a noticeable performance impact.

Create a diagram of the file plan before you begin to create containers.

Include disposition instructions in the description field of the containers to which you associate disposition schedules.

Verification

1. Create and declare two documents as employee records.
2. File the first record in the Employment applications category.
3. File the second record in the Employee evaluations category.
4. Terminate both employees by changing the employee status property value to *terminated*.
5. Run Disposition Sweep.
6. Set the system clock forward 3 days to verify that the first record is ready for disposition.
7. Set the clock forward 30 days to verify that the second record is ready for disposition.

Create a functional classification file plan: Walkthrough

Introduction

In this exercise, you create the file plan hierarchy that you designed in the written exercise for this lesson. You also create two disposition schedules in order to apply them to two of the categories.

Procedures

Procedure 1: Create the trigger for cutoff

Because termination of the employee is the basis for cutoff for both evaluations and applications, you need to create only one trigger. You can use the same trigger for both disposition schedules.

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Click the Configure tab. The Configure page opens.
3. Click Internal Event Triggers.
4. Click Add Internal Event. The Add Internal Event wizard opens.
5. Set properties:
   a. In the Disposal Trigger Name field, type `Termination`.
   b. In the Description field, type `Employee termination`.

c. In the Aggregation field, select `Record`.

d. Click Next. The Set Condition page opens.

6. Set Condition:

a. Click Change. The Property Criteria Settings page opens.

b. Select Employee status from the Property {1} menu.

c. Click Accept Changes. You are returned to the Set Condition page.

d. Select equals (=) from the Operator menu.

e. Select terminated from the Property Value menu.

7. Click Finish.

8. Click OK.

Procedure 2: Create the employment applications disposition schedule

1. In IBM Enterprise Records, click the Disposition tab.

2. Click Disposition Schedules.

3. Click Add Disposition Schedule.

4. Name and describe the schedule.

a. Type the following data.

Property	Value
Schedule name	Employment application disposition
Description	Retain until termination + 3 days, then destroy.

b. Click Next.

5. Set the trigger:

a. Select Termination from the Internal Event menu.

b. Click Next.

6. Set Phases.

a. Click Add New.

b. Enter the following data.

Property	Value
Phase name	Auto destroy
Description	Automatic destruction.
Phase Action	Auto destroy
Is Screening Required	False
Default Retention	0 years, 0 Months, 3 Days.

c. Click Accept.

d. Click Finish.

7. Click OK. The disposition schedule was successfully added.

Procedure 3: Create the employee evaluations disposition schedule

1. Click Add Disposition Schedule.
2. Name and describe the schedule.
   a. Type the following data.

Property	Value
Schedule name	Employee evaluation disposition
Description	Retain until termination + 30 days

   b. Click Next.
3. Set the trigger:
   a. Select Termination from the Internal Event menu.
   b. Click Next.
4. Set Phases.
   a. Click Add New.
   b. Enter the following data.

Property	Value
Phase name	Auto destroy
Description	Automatic destruction.
Phase Action	Auto destroy
Is Screening Required	False
Default Retention	0 years, 0 Months, 30 Days.

   c. Click Accept.
   d. Click Finish.
5. Click OK. The disposition schedule was successfully added.

Procedure 4: Create the first category

You are ready to create the file plan hierarchy.

1. In IBM Enterprise Records, click the Browse tab. The Browse page opens.
2. Click Add Record Category.
3. Set properties.
   a. In the Record Category Name field, type `Human Resources`.
   b. In the Record Category Identifier field, type `HR01`.

   c. Click Set Security.
4. Set Security
   a. Review the security settings.
   b. Click Finish.
5. Click OK. You have created the Human Resources category.

Procedure 5: Create a child category

1. Click the Human Resources category. The Human Resources category opens.
2. Click Add Record Category.
3. Set properties.
   a. In the Record Category Name field, type `Personnel`.
   b. In the Record Category Identifier field, type `HR01-01`.
   c. Click Set Security.
4. Set Security
   a. Review the security settings.
   b. Click Finish.
5. Click OK. You have created the Personnel child category.

Procedure 6: Add a category with a disposition schedule

1. Click the Personnel category.
2. Click Add Record Category.
3. Set properties.
   a. In the Record Category Name field, type `Employment applications`.
   b. In the Record Category Identifier field, type `HR01-01-001`.
   c. In the Description field, type `Retain until termination + 3 days`.
   d. Click Set Disposition.
4. Set Disposition.
   a. Click Browse Schedule.
   b. Click Select under Employment application disposition.
   c. Click Finish.
5. Click OK. You have created the Employment applications child category with a disposition schedule.

Procedure 7: Complete the file plan hierarchy

Start with the Employee evaluations category, and use the procedures you have just performed in order to complete the following file plan hierarchy. Remember to add the disposition schedule to the Employee evaluations category.

- File plan
  - Human Resources - HR01
    - Personnel - HR01-01
      - Employment applications - HR01-01-001
      - Employee evaluations - HR01-01-002
    - Payroll - HR01-02
      - Checks - HR01-02-001
      - Salary history - HR01-02-002
      - Time reports - HR01-02-003
  - Operations - OPS01
    - Claims - OPS01-01
      - Auto claims - OPS01-01-001
      - Home claims - OPS01-01-002
      - Life claims - OPS01-01-003
    - Policies - OPS01-02
    - Procedures - OPS01-03

Procedure 8: Declare two records

You have created the file plan. The file plan has only two disposition schedules. You must test these disposition schedules by declaring records into the associated containers and then triggering disposition.

1. Sign in to Workplace as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to RDOS1 > Test.
3. Add a document to the Test folder.
   a. Click Add Document.
   b. Click Change Class.
   c. Select the Employee document class.
   d. Enter the following information.

Property	Value
Document title	Employee 1
Family name	Galt
Given name	Winston
Employee status	terminated

e. Click Select File.

f. Click Browse.

g. Select any document in the Exercise Files folder.

h. Click Open.

i. Click Finish. Do **not** click OK.

4. Declare the document as a record.

a. Click Declare as Record.

b. Click Accept to declare the record without a template.

c. Click Select Class to select a record class.

d. On the Select Class page, select the DevFPOS > Record > Electronic Record > employee record class.

Important

Be sure to select the DevFPOS object store.

e. Click *Select File Plan Location*.

f. Click Human Resources > Personnel.

g. Select the Employment applications check box.

h. Click Add to Selection. The Employment applications category is displayed in the Selected File Plan Locations area.

i. Click Accept.

j. Click Next.

k. On the Set Properties page, verify that the property values that you entered when you created the document are displayed in the record property fields.

l. Click Finish.

5. Click OK. The add and declare operations have succeeded.

6. Verify that the Employee 1 document is in the test folder and that it has data in the Record Information column.

7. Add and declare another employee document using the same procedure with the following values.

Property	Value
Document class	Employee
Document title	Employee 2
Family name	Saito
Given name	Kei
Employee status	terminated
Record class	DevFPOS > Record > Electronic Record > employee record
File plan location	Human Resources > Personnel > Employee evaluations

8. Verify that Employee 1 and Employee 2 are both displayed in the test folder and both have data in the Record Information column.
9. Sign out from Workplace.

Procedure 9: Run Disposition Sweep

You added the employee records with the terminated value. When you run Disposition Sweep, cutoff occurs, and the records are scheduled for destruction when their retention intervals end.

1. Double-click the Run Disposition Sweep.bat icon on your desktop.
2. Wait for Disposition Sweep to finish. The records are ready for disposition.
3. Sign in to IBM Enterprise Records as rmsue if you are not already signed in.
   - Name: `rmsue`
   - Password: `filenet`
4. In IBM Enterprise Records, go to Human Resources > Personnel > Employment applications.
5. For the Employee 1 record, verify that a date exists in the Current Phase Execution Date column.
6. Make a note of this date to use it later in this exercise.
7. Sign out from IBM Enterprise Records.

Procedure 10:Test the Employment application disposition

You have created a disposition schedule that destroys records after 3 days. To test the disposition schedule, you are going to set the clock on your student system ahead.

1. Double-click the clock on your student system.
2. Set the date of your student system to one day after the date in the Current Phase Execution Date of the Employee 1 record.

3. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
4. Double-click Run autodestroy.bat on your desktop. The Employee 1 record is automatically destroyed.
5. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
6. Go to Human Resources > Personnel > Employment applications.
7. Verify that the Employee 1 record has been destroyed.

Procedure 11:Test the employee evaluation disposition

In this procedure, you set the clock ahead 30 days to verify that the employee evaluation disposition schedule is working. You are signed in to IBM Enterprise Records as rmsue.

1. In IBM Enterprise Records, go to Human Resources > Personnel > Employee evaluations.
2. For the Employee 2 record, verify that a date exists in the Current Phase Execution Date column.
3. Make a note of this date in order to use it later in this exercise.
4. Sign out from IBM Enterprise Records.
5. Double-click the clock on your student system.
6. Set the date of your student system to one day after the date in the Current Phase Execution Date for the Employee 2 record.
7. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
8. Double-click Run autodestroy.bat on your desktop. The Employee 2 record is automatically destroyed.
9. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
10. Go to Human Resources > Personnel > Employee evaluations.
11. Verify that the Employee 2 record has been destroyed.

Lesson 1.4. Create a retention model file plan

Overview

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.

Activities

- Create a retention model file plan: Challenge, page 1-29
- Create a retention model file plan: Walkthrough, page 1-31

Lesson dependency

This lesson depends on successful completion of all activities in Lesson 1.3 - Create a functional classification file plan, page 1-11.

User accounts

Type	User ID	Password
Records Manager	rmsue	filenet

Create a retention model file plan: Challenge

Challenge

The Payroll area of the file plan has a high volume of record declarations. You need to use the retention model to manage this part of the file plan. The Payroll category is divided into checks, salary history, and time reports. The containers must remain open for the first day so that records can be filed into them.

Create disposition schedules for checks. Be sure to aggregate at the container level.

Develop the Checks category of the file plan using retention model principles.

Data

Record series	Active	Total retention
Checks	1 day	7 days

Hint

Remember to use the appropriate container type in order to avoid disposing of parent containers.

Use the Date Closed property for the container as the cutoff trigger.

Use the Date Closed property as the cutoff base.

Verification

1. Create a volume for one day's worth of checks.
2. Ensure that you can declare a record into the new volume.
3. Create a new volume, closing the existing one.
4. Set the clock forward 8 days and run Disposition Sweep and Auto Destroy Sweep.
5. Verify that the container representing that day's worth of checks is destroyed.

Create a retention model file plan: Walkthrough

Introduction

The Payroll area of the file plan has a high volume of record declarations. You need to use the retention model to manage this part of the file plan. The Payroll category is divided into checks, salary history, and time reports. The containers must remain open for the first day so that records can be filed into them. You are going to create the area for checks.

Procedures

Procedure 1: Create the internal event trigger

In the retention model, the *checks* application is represented by a category. The retention period is going to be determined by the disposition schedule. The retention period is going to be represented by a record folder. The retention group is going to be represented by volumes, so the disposition schedule is going to be aggregated at the volume level. The trigger for the retention period is the date that the volume is created.

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to Configure > Internal Event Triggers.
3. Click Add Internal Event.
4. Set Properties:
   a. Enter the following properties.

Property	Value
Disposal Trigger Name	Date Closed
Description	The date that the volume is closed
Aggregation	Volume

b. Click Next.

5. Set Condition:
   a. Click Change. The Property Criteria Settings page opens.
   b. Select Date Closed from the Property {1} menu.
   c. Click Accept Changes. You are returned to the Set Condition page.
   d. Select IS NOT NULL from the Operator menu.
   e. Click Finish.
   f. Click OK.

Procedure 2: Create the disposition schedule for checks

The checks must be kept for a total of 7 days. The first day is active use, so the disposition schedule must have a 6-day retention period after the date that the volume is closed.

1. Go to Disposition > Disposition Schedules.
2. Click Add Disposition Schedule.
3. Name and describe the schedule:
   a. Type the following data.

Property	Value
Schedule name	Checks disposition
Description	Active for 1 day. Destroy after 7 days.

   b. Click Next.
4. Set Trigger:
   a. Select Date Closed from the Internal Event menu.
   b. Select Date Closed(RC, RF, VOL) from the CutOff Base menu.
   c. Click Next.
5. Set Phases:
   a. Click Add New.
   b. Enter the following data.

Property	Value
Phase Name	Auto destroy
Description	Automatic destruction.
Phase Action	Auto destroy
Is Screening Required	False
Default Retention	0 Years, 0 Months, 6 Days

   c. Click Accept.

d. Click Finish.

6. Click OK. The Checks disposition schedule has been created.

Procedure 3: Create a retention period folder

1. Go to Browse > Human Resources > Payroll > Checks.
2. Click Add Record Folder.
3. Click the Electronic Record Folder class. The Set Properties page opens.
4. Set Properties:
   a. Enter the following data.

Property	Value
Record Folder Name	7 days
Folder Unique Identifier	HR01-02-001-001
Description	Active for 1 day. Retain for Date Closed + 6 days

   b. Click Next.
5. Set Disposition:
   a. Click Browse Schedule.
   b. Click Select under Checks disposition.
6. Click Finish, then click OK. The record folder is created. Inside the record folder, the first volume is created.
7. Open the *7 days* folder.
8. Verify that the folder contains a single volume. The volume name is *7 Days-00001*.

Procedure 4: Declare a record into the retention group

1. Sign in to Workplace as rmsue. You can optionally use the Workplace link in the top right of IBM Enterprise Records.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to RDOS1 > test.
3. Add a document to the test folder and declare it as a record using the following data.

Object	Property	Value
Document	Document class	Document
	Document title	Check 1
	Select file	Any file in the Exercise Files folder
Record	Record class	DevFPOS > Record > Electronic record
	File plan location	Human Resources > Payroll > Checks > 7 days

Procedure 5: Create a retention group volume

The creation of the volumes is usually automated by custom code in the final production. However, in order to test the system, you need to create a volume manually. When you create a new volume, the previously open volume closes automatically, triggering cutoff.

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to Human Resources > Payroll > Checks > 7 days.
3. Add a new volume to the folder.
   a. Click Add Volume.
   b. Click Set Security.
   c. Click Finish.
   d. Click OK. You have added a new volume. The second volume name is *7 Days-00002*. The first volume, *7 Days-00001*, is closed.
4. Sign out from IBM Enterprise Records.

Procedure 6: Run Disposition Sweep

Cutoff is triggered when a volume is closed, but nothing happens until you run Disposition Sweep.

1. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
2. View the current phase execution date for the *7 days-00001* volume.
   a. Sign in to IBM Enterprise Records as rmsue.
      - Name: `rmsue`
      - Password: `filenet`
   b. Go to Human Resources > Payroll > Checks > 7 days.
   c. Verify that the volume named *7 Days-00001* displays a date in the Current Phase Execution Date column.
   d. Make a note of the Current Phase Execution Date in order to use it later in this exercise.
   e. Sign out from IBM Enterprise Records.

Procedure 7: Destroy the retention group

You are now going to set the system clock forward in order to test the disposition of the retention group.

1. Double-click the clock on your student system.

2. Set the date of your student system to one day after the date in the Current Phase Execution Date for the *7 Days-00001* volume.
3. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
4. Double-click the Run autodestroy.bat icon on your desktop. The *7 days-00001* volume is automatically destroyed.
5. Verify that the volume is destroyed:
   a. Sign in to IBM Enterprise Records as rmsue.
      - Name: `rmsue`
      - Password: `filenet`
   b. Go to Human Resources > Payroll > Checks > 7 days.
   c. Verify that the *7 days-00001* volume has been destroyed and that the *7 days-00002* volume remains.
6. Sign out from IBM Enterprise Records.

Note

This exercise has been simplified to save time. To see how this process might look in a production environment, you need to create a new volume for each day and set the system clock forward one day each time. By the time you see the destruction of the *7 days-00001* volume on day 8, the folder contains seven volumes, six of which are closed. If you have extra time, you can perform this optional exercise.

Lesson 1.5. Create a case model file plan

Overview

Why is this 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.

Activities

- Create a case model file plan: Challenge, page 1-39
- Create a case model file plan: Walkthrough, page 1-41

Lesson dependency

This lesson depends on successful completion of all acivities in Lesson 1.3 - Create a functional classification file plan, page 1-11.

User accounts

Type	User ID	Password
Records Manager	rmsue	filenet

Create a case model file plan: Challenge

Challenge

Auto claim case files are collections of different records that are declared at different times throughout the case. The case is active as long as it is open. When the case is closed, all of the records are disposed of at the same time at the end of the retention interval. For auto claims, this interval is 6 days. You need to create the part of the file plan that handles auto claim records.

- Create a trigger and disposition schedule to destroy auto claim case folders 6 days after the case is closed.
- Create a retention period category in the auto claim category.
- Create a retention group folder within the retention period. You can optionally file records into this retention group.

Data

- Use the Case folder class for the container for case files.
- The Case folder class has a binary property named Current. Use this property as the internal event trigger.
- Case files must be kept for 6 days after the Current property is set to False.

Verification

1. Set the Current property to False on the case folder to close the case.
2. Run Disposition Sweep.
3. Set the system clock on your student system to one day after the Current Phase Execution Date of the case folder.
4. Run Disposition Sweep and Auto Destroy.
5. Verify that the case folder has been destroyed.

Create a case model file plan: Walkthrough

Introduction

Auto claim case files are collections of different records that are declared at different times throughout the case. The case is active as long as it is open. When the case is closed, all of the records are disposed of at the same time at the end of the retention interval. For auto claims, this interval is 6 days. You need to create the part of the file plan that handles auto claim records.

Procedures

Procedure 1: Create the auto claim closed trigger

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to Configure > Internal Event Triggers.
3. Click Add Internal Event.
4. Set Properties:
   a. Enter the following data.

Property	Volume
Disposition Trigger Name	Auto claim closed
Description	The auto claim case is closed. Uses folder-level aggregation.
Aggregation	Record Folder.

   b. Click Next.
5. Set Condition:
   a. Click Change. The Property Criteria Settings page opens.

b. Select Current from the Property {1} menu.

c. Click Accept Changes. You are returned to the Set Condition page.

d. Select equals (=) from the Operator menu.

e. Select FALSE from the Property Value menu.

f. Click Finish.

6. Click OK. You have created the Auto claim closed event trigger.

Procedure 2: Create the auto claim disposition schedule

1. Go to Disposition > Disposition Schedules.
2. Click Add Disposition Schedule.
3. Name and Describe the schedule:
   a. Enter the following data.

Property	Value
Schedule name	Auto claim disposition
Description	Retain until case closed date + 6 days.

   b. Click Next.
4. Set Trigger:
   a. Select Auto claim closed from the Internal Event menu.
   b. Click Next.
5. Set Phases:
   a. Click Add New.
   b. Enter the following data.

Property	Value
Phase Name	Auto destroy
Description	Automatic destruction
Phase Action	Auto destroy
Is Screening Required	False
Default Retention	0 Years, 0 Months, 6 Days

   c. Click Accept.
   d. Click Finish.
   e. Click OK. You have created the Auto claim disposition schedule.

Procedure 3: Associate the auto claim disposition schedule with a container

The auto claim disposition schedule applies to all auto claim folders. You can associate the schedule to the parent category. All auto claim case folders that are created in this parent category inherit the schedule. The schedule is aggregated at the folder level so that it affects the folders, but not the parent category.

1. Go to Browse > Operations > Claims > Auto claims.
2. Click Get Info.
3. Click the Disposition link in the Category Information area.
4. Click Browse Schedule.
5. Click Select under the Auto claim disposition schedule. A menu opens showing propagation options. Do not change the default propagation option.
6. Click Apply.
7. Click Exit. The Auto claims category has been associated with the Auto claims disposition schedule.

Procedure 4: Create an auto claim folder

1. Go to Browse > Operations > Claims > Auto claims.
2. Click Add Record Folder.
3. Click Case Folder to select the Case Folder class. The Set Properties page opens. Notice that the Case Folder class has a property named Current. This property triggers cutoff.
4. Set properties
   a. Enter the following data.

Property	Value
Record Folder Name	Galt, Winston 2010-1
Folder Unique Identifier	Case-0001
Current	True

   b. Click Next.
5. Set Disposition:
   a. Verify that the Auto claim disposition schedule is inherited from the parent category.
   b. Click Finish.
   c. Click OK.

Procedure 5: Close the auto claim

The claim remains open until all work is done. When the case is closed, the records manager changes the Current property to False, so after that point, cutoff is achieved when Disposition Sweep runs. You are signed into IBM Enterprise Records as rmsue. You are in Operations > Claims > Auto claims.

1. Click the Information icon for the folder named *Galt, Winston 2010-1*.
2. Select False from the Current menu.
3. Click Apply.
4. Click Exit.
5. Sign out from IBM Enterprise Records.

Procedure 6: Run Disposition Sweep

1. Double-click the Run Disposition Sweep.bat icon on your desktop.
2. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
3. Go to Operations > Claims > Auto claims.
4. Verify that the *Galt, Winston 2010-1* folder is closed and that it has a Current Phase Execution Date.
5. Make a note of this date to use later in this exercise.
6. Sign out from IBM Enterprise Records.

Procedure 7: Destroy the case folder

The case folder is scheduled to be destroyed on the day of the Current Phase Execution Date. You must verify that the system destroys this folder by setting the clock forward and then running the sweep processes.

1. Double-click the clock on your student system.
2. Set the date of your student system to one day after the date in the Current Phase Execution Date for the *Galt, Winston 2010-1* folder.
3. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
4. Double-click Run autodestroy.bat on your desktop. The *Galt, Winston 2010-1* folder is automatically destroyed.
5. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`

6. Go to Operations > Claims > Auto claims.
7. Verify that the *Galt, Winston 2010-1* folder has been destroyed.