IBM

IBM Enterprise Records 5.1: Automate Declaration

(Course code F182)

Student Notebook

ERC 1.0

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Contents

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Course description

IBM Enterprise Records 5.1: Automate Declaration

Duration: 1/2 day

Overview

Your company wants to automate records declaration for your IBM Enterprise Records system. In this course, you learn to configure automatic record declaration using two different methods: event subscriptions and workflow.

You work with a fully functioning IBM Enterprise Records system to practice the skills required for automating record declaration.

Audience

Anyone who administers an IBM InfoSphere Enterprise Records system.

Prerequisites

F040 - IBM FileNet P8 Prerequisite Skills or equivalent experience

F042 - IBM FileNet P8 Administration 4.5 or equivalent experience

F178 - IBM Enterprise Records 5.1: Core Skills

F179 - IBM Enterprise Records 5.1: System Configuration

F180 - IBM Enterprise Records 5.1: System Maintenance

Skills taught

After completing this course, you should be able to:

- Automate record declaration on an IBM InfoSphere Enterprise Records system.

Course outline

- Declare records with event subscriptions
- Declare records with workflow1st unit or lesson

Unit 1. IBM Enterprise Records 5.1: Automate Declaration

What this unit is about

In this unit, you learn to configure automatic record declaration using two different methods: event subscriptions and workflow. You work with a fully functioning IBM Enterprise Records system to practice the skills required for automating record declaration.

What you should be able to do

After completing this unit, you should be able to:

- In this unit you learn the skills and knowledge necessary to configure automatic record declaration by using the following methods:
- Content event subscriptions
- Workflow

How you will check your progress

- Successfully complete the lesson 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: Automate Declaration

Unit lessons

This unit contains these lessons:

- Declare records with event subscriptions
- Declare records with workflow

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Figure 1-1. Unit lessons   F1821.0

Notes:

This unit has two lessons. The second lesson relies on information and skills taught in the first lesson. For best results, do these lessons in the sequence presented.

Declare records with event subscriptions – In this lesson, you create an event action and a subscription that automatically declare a record.

Declare records with workflow – In this lesson, you create a workflow and workflow subscription that automatically declare a record.

Lesson 1.1.   Declare records with event subscriptions

Lesson
Declare records with event subscriptions

Why is this lesson important to you?

• A personnel officer is required to submit a form containing employee personal information when a new employee joins the company. The company wants these forms declared as records. You must create an event subscription that automatically declares these personnel forms as records when the documents are added to the object store.

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Figure 1-2. Declare records with event subscriptions   F1821.0

Notes:

Declare records with event subscriptions

Activities that you need to complete

- Create an event action and subscription to declare a record.

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Figure 1-3. Activities that you need to complete   F1821.0

Notes:

Declare records with event subscriptions

Review: Event subscription parameters

- Event subscriptions direct the Content Engine to perform an action when something happens (trigger) to an object (of a class).

Event Subscription

Class — Include subclasses or not

Expressions limit scope

Trigger — Triggers: add, checkout, delete, and so forth

Action — Actions include launching, filing, deleting
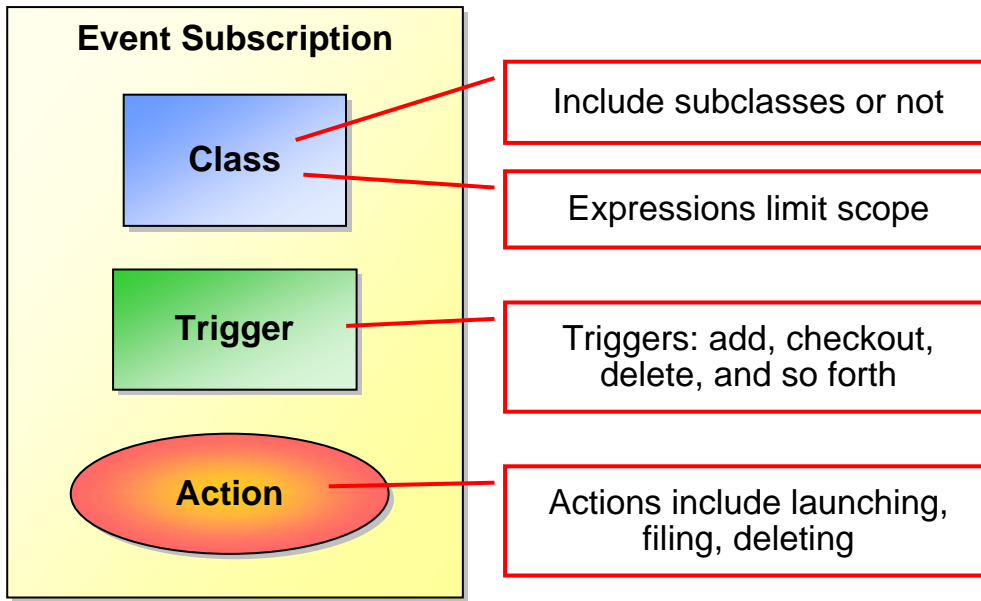
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Figure 1-4. Review: Event subscription parameters   F1821.0

Notes:

Help path

- IBM FileNet P8 Version 5.0 Information Center > Administering IBM FileNet P8 > Administering Content Engine > Events and subscriptions > Concepts: event actions and subscriptions

The diagram shows the parts of event subscription, which is covered in other IBM FileNet P8 administration courses.

Some trigger examples are the following: Create, Check in, Check out, Update, Manual Delete, Promote version, and Demote version.

Some action examples are the following: launch a workflow, file a document, unfile a document, create a folder, send an email message.

Declare records with event subscriptions

Review: Example event subscription

- The specified event on a class object triggers a subscription that starts a specified action or workflow.

Event:
Customer
places an
order

Event Subscription:
Starts an event action

Event Action:
Launches a workflow
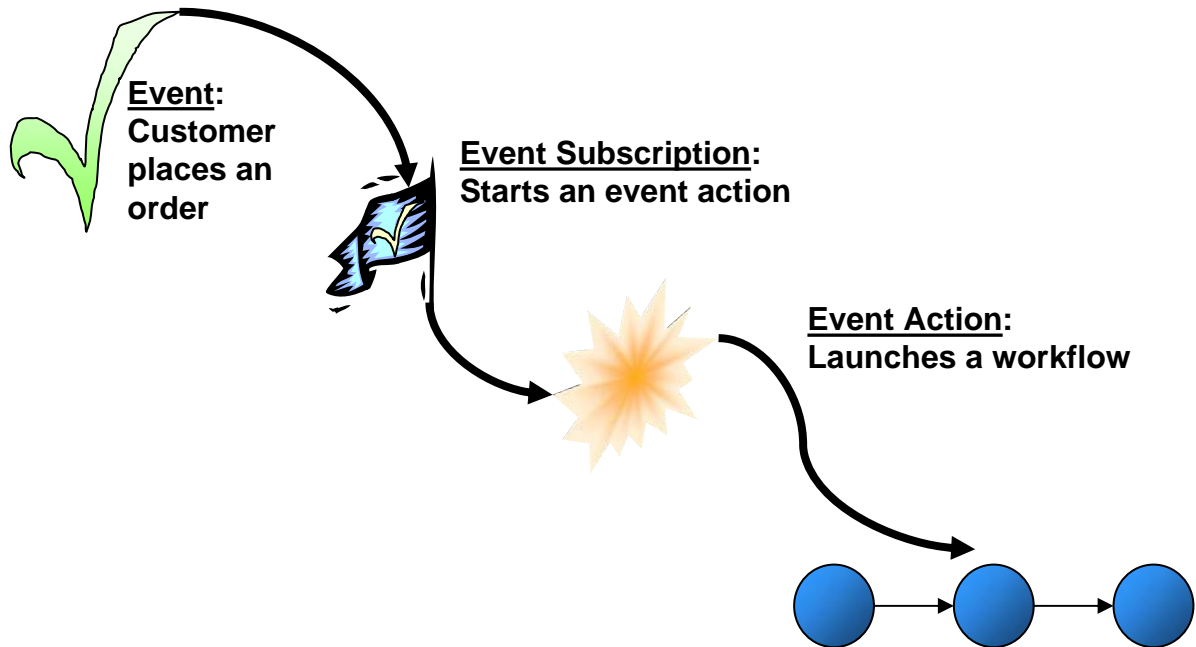
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Figure 1-5. Review: Example event subscription   F1821.0

Notes:

The diagram shows the relationship between an event, an event subscription, and an event action. The event occurs. The event subscription links the event to the event action. The event action launches the workflow.

Declare records with event subscriptions

RM event action files

- The installation files include the following event files:
  - RMAutoDeclare
  - RMAutoSynchronizeProperties
  - RMUpdateDateDeclared
  - RMLastretrievalOfRecord
  - RMSecurityPropagation
  - RMSendEmailOnSupercede
- Java files are provided as samples.
- You must import each RM event into the target object store where the RM event is going to execute.
  - Use Enterprise Manager to perform the import.

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Figure 1-6. RM event action files   F1821.0

Notes:

Help path

- IBM FileNet P8 Version 5.0 Information Center > Working with documents > Working with records > Work with event handlers > Configure autodeclaration of records

- IBM Enterprise Records (IER) is an add-on component of the IBM FileNet P8 suite of products. You can use IBM Enterprise Records to manage records of any type, regardless of the storage media or format. Understanding IBM Enterprise Records depends on understanding what a record is and why you use a records management (RM) system. The prerequisite courses for this course cover IBM FileNet P8 and IER concepts.

The IER installation files include several sample events. The sample event handler jar files are stored as code modules in the target object store. The advantage is that you can add or update the event handler by checking in a new version without restarting the application server.

The RMAutoDeclare event handler code is included with IER as sample code that programmers can use as a model for their own custom code.

The Root Folder > CodeModules folder must exist in the object store before the event is imported into the object store.

RMAutoDeclare.properties is a configuration file that is used by the RMAutoDeclare event action code to automate record declaration.

You must import each RM event into the target object store where the RM event will execute. For example, when you import the RMAutoDeclareImport.xml using Enterprise Manager the system performs the following actions:

- Creates the RMAutoDeclare CodeModule (document) and files it in the CodeModules folder
- Creates the RM Samples folder.
- Creates the RMAutoDeclare.properties document and files it in RMSamples folder.
- Creates the RMAutoDeclare Event Action that uses RMAutoDeclare code module.

Declare records with event subscriptions

Customize RMAutoDeclare.properties file

- The RMAutoDeclare.properties configuration file must be customized.
    - Three properties must be assigned values in the file.
- Two variables specify information required by the RMAutoDeclare event:
    - The record class symbolic name of the record that is going to be declared: recordClassSymName
    - The file plan location where the record is going to be filed: recordFileInFolder
- Create a property template on the RDOS for each of these two variables.
    - Specify the **exact** property names in RMAutoDeclare.properties.
- Add the FPOS name to the RMAutoDeclare.properties file.

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Figure 1-7. Customize RMAutoDeclare.properties file   F1821.0

Notes:

The RMAutoDeclare.properties file can be used to declare documents only after you configure the file as specified on the next page. In the activity for this lesson, you edit the RMAutoDeclare.properties file.

You determine the property names. The example names given on this page (recordClassSymName and recordFileInFolder) are used in the first activity for this lesson.

Important: The property names that you specify in the RMAutoDeclare.properties file must match **exactly** the property names that you add to any document class you configure for auto declaration.

Declare records with event subscriptions

Configure the declaration properties

- Specify the property values at the template or class level.
  - Example: EmployeeRecord for recordClassSymName
  - Example: FPOS1/Human Resources/Employees for recordFileInFolder
- Add both properties to the document class to be used for declaration.
  - You can configure multiple document classes for automatic record declaration.
- In each document class, set the values of the two properties based on the type of document being declared.
  - The record class can be a base or custom record class.
  - Specify the file plan location designated for that document type.
- When you set the class values, you can hide these properties from users.

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Figure 1-8. Configure the declaration properties   F1821.0

Notes:

You leave the values in the property templates blank so that you can use the templates in multiple classes.

When you add the properties to a document class, you specify the property values for that class.

Declare records with event subscriptions

Steps to automate record declaration

1. Import the RMAutoDeclare event action to the RDOS.
2. Create the properties for automatic declaration on the RDOS.
   - recordClassSymName
   - recordFileInFolder
3. Add these properties to the document class to be used for declaration.
4. Add these properties and the FPOS name to the RMAutoDeclare.properties file.
5. Add an RMAutoDeclare event subscription to the configured document class.
6. Unless you want to declare every checked-in version as a record, limit declaration by adding a filter expression.

   Example: Declare a record only when a document is added.
   ```
   MajorVersionNumber=0 AND MinorVersionNumber=1 OR
   MajorVersionNumber=1 AND MinorVersionNumber=0
   ```

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Figure 1-9. Steps to automate record declaration   F1821.0

Notes:

When you import the event action to the RDOS (Record-enabled Document Object Store), two items are imported:

- The event action to Root Folder > CodeModules
- The RMAutoDeclare.properties to Root Folder > RM Samples

When you configure RMAutoDeclare.properties, you specify the following items:

- Properties for automatic declaration
- FPOS (File Plan Object Store) name

When you configure the subscription, you select the following items:

- The Check in event as the trigger
- The RMAutoDeclare event action

Declare records with event subscriptions

Declaration and synchronization

- If you create a record in the base ElectronicRecordInfo class, RMAutoDeclare creates a record without custom property values.
  - Document Title and Reviewer are the only synchronized properties.
- To automatically synchronize property values from a document to its record, you must create a custom event handler.
  - Sample code is provided with Enterprise Records.
- Do not specify the custom properties in the record class as required properties.
  - Otherwise, the initial record creation fails.

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Figure 1-10. Declaration and synchronization   F1821.0

Notes:

The RMAutoDeclare event does not synchronize custom properties between the document and record when you configure RMAutoDeclare.properties to declare records using a custom record class. RMAutoDeclare does synchronize two system properties of the default electronic record class: Document Title and Reviewer. In order to synchronize other, custom properties, you must create a custom event handler to synchronize the properties. You can modify the code samples provided with Enterprise Records. How to accomplish this custom coding is beyond the scope of this course.

For more information about how to create and customize event actions, see the *Records Manager 5.1 Event Handler ReadMe* document that is contained on the Enterprise Records installation media.

Declare records with event subscriptions

RMAutoSynchronizeProperties

- Event handler that synchronizes custom properties when they are updated

- You can configure property synchronization:
  - From document object to record object
  - From record object to document object
  - Not both ways

- Only for properties using the same symbolic name

Employee Document Object	Update Status	Employee Document Object	Update	Employee Document Record
dboon		<no change>		<no change>
Dan Boon		<no change>		<no change>
active		retired		retired
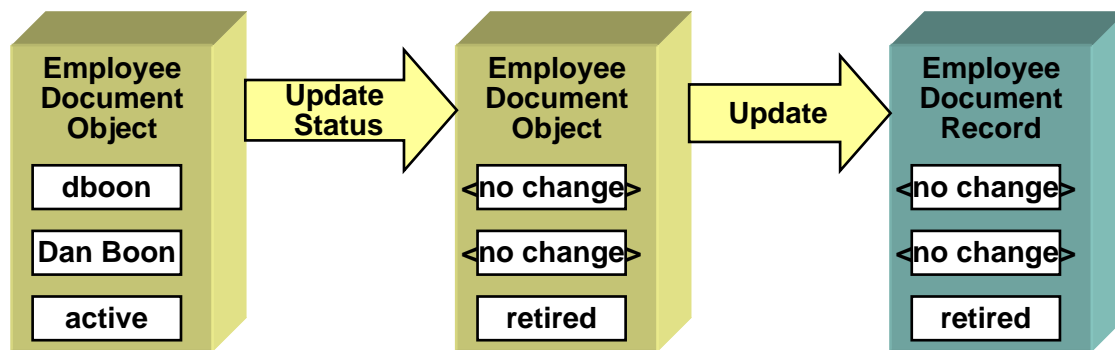
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Figure 1-11. RMAutoSynchronizeProperties   F1821.0

Notes:

Help path

- IBM FileNet P8 Version 5.0 Information Center > Working with documents > Working with records > Work with event handlers > Configure property synchronization

The diagram shows how update events are used to synchronize the property values between document objects and records.

The RMAutoSynchronizeProperties event handler allows you to synchronize properties of records and their associated documents to ensure that when a property value is updated for one, it is updated for the other as well. The event handler works for properties that use the same symbolic name. You can synchronize from document to record or from record to document, but not both.

Import the RMAutoSynchronizeProperties event action to the RDOS and use RMAutoSynchronizeProperties in a subscription with an Update event action on the document class. When an update to a property on a document of this class occurs, then the Update event action occurs. As a result, the property values that were changed for the

document object are changed for corresponding property values in the record object. Property values that were not changed are not affected.

For example, a personnel officer changes the Status of Employee Dan Boon from active to retired. The Status property is updated on the document object. The RMAutoSynchronizeProperties event updates the corresponding Status property value in the associated record. All other property values for the associated record remain the same.

Declare records with event subscriptions

Bulk Declaration Service (BDS)

- Java APIs that allow for bulk declaration and creation of the following objects on RDOS and FPOS:
  - New physical records
  - New electronic records for existing Content Engine documents
  - New Content Engine documents and new records for these documents
  - New Content Engine documents
- BDS requires custom development.
- Communicate with your developer on how to use tools created with BDS.

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Figure 1-12. Bulk Declaration Service (BDS)   F1821.0

Notes:

Help path

- IBM FileNet P8 Version 5.0 Information Center > Developing IBM FileNet P8 applications > IBM Enterprise Records Developer's Guide> Bulk Declaration Service Java API Reference

The IBM FileNet P8 Records Manager Bulk Declaration Service is a Java API set that provides the following capabilities:

- Bulk declaration of new physical records
- Bulk declaration of new electronic records for existing Content Engine documents
- Bulk creation of new Content Engine documents and bulk declaration of new records for these documents
- Bulk creation of new Content Engine documents

The Bulk Declaration Service uses a batch operation to enable bulk declaration and creation.

Declare records with event subscriptions

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
              Automate Declaration

- Lesson: Declare records with event subscriptions

- Activities:

  – Create an event action and subscription to declare a record.

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Figure 1-13. Activities   F1821.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.2.   Declare records with workflow

Lesson
Declare records with workflow

Why is this lesson important to you?

- The Human Resources department creates new policy documents that affect all employees. Management wants each new policy to be declared as a record. You must create a simple workflow to automatically declare a policy document as a record when the document is added to the object store.

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Figure 1-14. Declare records with workflow   F1821.0

Notes:

This lesson assumes some knowledge of workflow and the Process Engine, which is covered by the *IBM FileNet P8 Prerequisite Skills* course.

Declare records with workflow

Activities that you need to complete

- Create a workflow and workflow subscription to declare a record.

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Figure 1-15. Activities that you need to complete   F1821.0

Notes:

Declare records with workflow

Declaration using a workflow step

- You can use a workflow step to automatically declare a record.

  1. Create a new or modify an existing workflow.

  2. Add a component step to the workflow to perform record declaration.

  3. Save and transfer the workflow.

- After the workflow is launched, the record is declared when the component step is processed.

- Other steps might occur before and after the component step is processed, such as an Approve step.
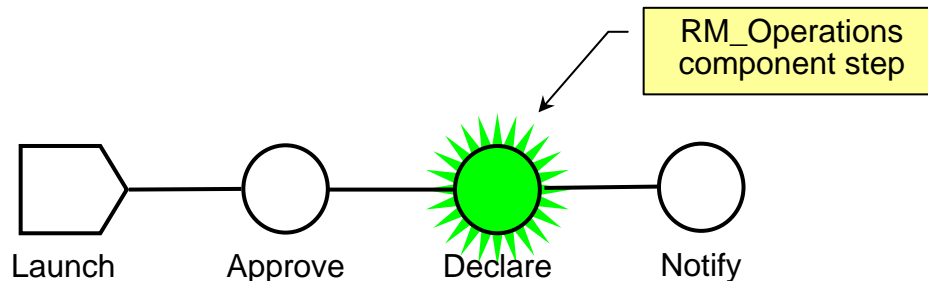
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Figure 1-16. Declaration using a workflow step   F1821.0

Notes:

Help paths

- IBM FileNet P8 Version 5.0 Information Center > Developing IBM FileNet P8 applications > IBM Enterprise Records Developer's Guide > Developer's Guide > Designing and customizing Records Manager processes

- IBM FileNet P8 Version 5.0 Information Center > Developer Help > IBM Enterprise Records Development > Developer's Guide > Designing and Customizing IBM Enterprise Records Processes > Customizing IBM Enterprise Records Workflows

The diagram on this page shows an example workflow process containing an RM_Operations component step that performs record declaration, called Declare. In this example, an Approve step is processed before the Declare step and a Notify step is processed after the Declare step.

Declare records with workflow

RM_Operations component queue

- To perform RM operations in a workflow, you must use a component step.
  - Configure the component step with an operation from the RM_Operations component queue.
  - RM_Operations is a system-provided component queue.
- Examples of operations provided in RM_Operations:
  - declareRecord
  - setProperties
  - destroy
- Use the Process Configuration Console to configure and view component queues.
- Use the Process Designer to define workflows that use RM_Operations.

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Figure 1-17. RM_Operations component queue   F1821.0

Notes:

Declare records with workflow

RM_Operations parameters

- Each operation of RM_Operations includes parameters.
  - These parameters are required to perform the component operation.
  - Example: The Folder parameter of the declareRecord operation holds the location in which to file the new record object.
- You assign these parameters in the component step using the workflow fields defined in the workflow.

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Figure 1-18. RM_Operations parameters   F1821.0

Notes:

Help path

- IBM FileNet P8 Version 5.0 Information Center > Developing IBM FileNet P8 applications > IBM Enterprise Records Developer's Guide > Developer's Guide > Designing and customizing Records Manager processes > Customizing RM workflows > Customizing component steps

Declare records with workflow

Workflow fields

- Workflow fields are global variables in a workflow.
  - You define workflow fields and set their default values in the Workflow Properties window in the Process Designer tool.
  - You specify which fields can be used in a step by assigning step parameters.
  - The field values can change during workflow processing as each step is completed.
  - The value of each field is limited to the current instance of the workflow.
  - Examples: RecordID (string field), DocumentToDeclare (attachment)
- You can set workflow fields from document properties.
  - Use CE_Operations component step in a workflow to get or set document properties of a Content Engine document.
  - Use a workflow subscription and subscription property mapping to set the values of fields in the Launch step.

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Figure 1-19. Workflow fields   F1821.0

Notes:

Help paths

- IBM FileNet P8 Version 5.0 Information Center > Integrating workflow into document management > Process Designer > Define workflow properties > Workflow properties - General

- IBM FileNet P8 Version 5.0 Information Center > Integrating workflow into document management > Process Designer > Define workflow properties > Workflow properties – data fields

Declare records with workflow

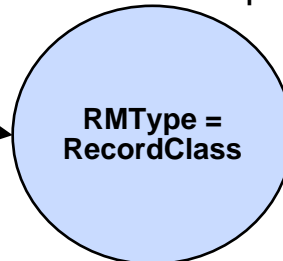# Example: Set a parameter value using a data field

- RecordClass is a workflow data field.
- RMType is an operation parameter in the Declare step.

1. Set the initial, default value for the workflow data field.

RecordClass = "ElectronicRecordInfo"

2. When the step is processed, the data field value is passed to the parameter as defined in the workflow step.

Declare step

RMType = RecordClass

4. The declareRecord operation uses the value to set the record class when declaring the record.

Class = Electronic Record

3. The value "ElectronicRecordInfo" is assigned to the RMType parameter in the declareRecord operation.

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Figure 1-20. Example: Set a parameter value using a data field   F1821.0

Notes:

The diagram on this page shows an example of setting a parameter. In this example, you create a workflow data field called RecordClass.

In this case, you assign the default, initial value of RecordClass to be "ElectronicRecordInfo".

In the Declare step, you associate the data field RecordClass with the operation parameter RMType, which the declareRecord component requires for record declaration. In this case, you set the RMType parameter to get the value from the RecordClass data field. The value of RecordClass is "ElectronicRecordInfo".

In the FPOS, the Electronic Record class is a subclass of the Record class. The symbolic name of the Electronic Record class is ElectronicRecordInfo. When the component step performs the declareRecord operation, a record of the class Electronic Record is declared.

Declare records with workflow

Using workflow subscriptions

- You can use a Content Engine workflow subscription to launch a workflow based on a Content Engine event.
  - Example: Launch workflow on document creation.
- Use the workflow subscription to pass the document and its property values to workflow data fields.
  - These values are used as parameters in a declaration step.
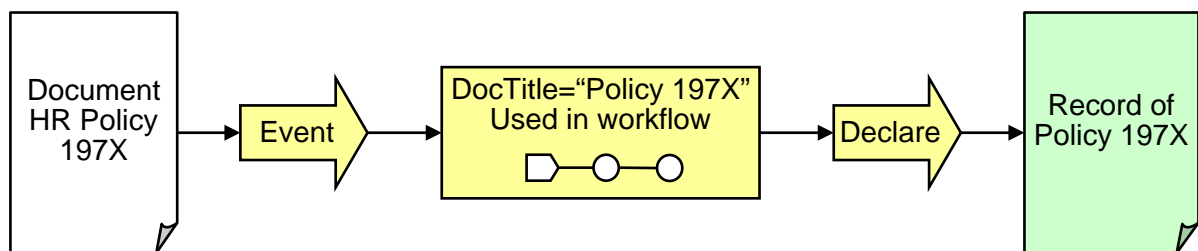
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Figure 1-21. Using workflow subscriptions   F1821.0

Notes:

Help paths

- IBM FileNet P8 Version 5.0 Information Center > Administering IBM FileNet P8 > Administering Content Engine > Events and subscriptions > Implementing workflow subscriptions

- IBM FileNet P8 Version 5.0 Information Center > Working with documents > Working with documents with Workplace > Tools > Workflow subscriptions > Workflow Subscription wizard

The diagram shows the process of a document entry event launching a workflow that declares the document as a record.

The workflow subscription launches the workflow and passes the document property value to a workflow field. The field is used in the workflow component step to set a parameter in the declare operation. As a result, the record is declared using a property value from the document.

Declare records with workflow

Lesson exercise overview

- Create a Policy document class to use in a workflow subscription.

- Create a workflow definition.
  - Define workflow data fields and attachments with default values for record class and filing location.
  - Add an RM_Operations component step.
  - Assign workflow data fields to declareRecord component step parameters.
  - Save and transfer the workflow.

- Create a workflow subscription that launches the workflow.
  - Map the Policy document class properties to workflow data fields.

- Add a Policy document to the RDOS to test record declaration.

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Figure 1-22. Lesson exercise overview   F1821.0

Notes:

These are the tasks you perform in the lesson activity.

Declare records with workflow

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
                Automate Declaration

- Lesson: Declare records with workflow

- Activities:

  – Create a workflow and workflow subscription to declare a record.

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Figure 1-23. Activities   F1821.0

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 InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere Enterprise Records, a disposition

schedule has one or more disposition phases. Disposition schedules are created in IBM InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere Enterprise Records, a container that contains record volumes. *See also* volume.

H

hold
See disposition hold.

hold sweep
See sweep processes.

I

IBM InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere Enterprise Records Installation and Upgrade* guide, RDOS is called ROS. For the IBM InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere Enterprise Records security role, the duties of which include setting up security, object stores, document and record classes, and metadata.

records reviewer
An IBM InfoSphere 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 InfoSphere 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 InfoSphere 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 InfoSphere Enterprise Records uses the Default Declassification Timeframe to declassify these records.

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 InfoSphere Enterprise Records Transfer tool includes this file when importing or exporting IBM InfoSphere 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 InfoSphere 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 InfoSphere Content Collector can direct IBM InfoSphere Enterprise Records to declare e-mail messages as records automatically.

IBM