



## *IBM Enterprise Records 5.1: System Administration*

(Course code F175)

### Student Exercises

ERC 1.0

Authorized



| **Training**

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# Contents

<b>Trademarks</b>	<b>vii</b>
<b>Unit 1. IBM Enterprise Records 5.1: Core Skills</b>	<b>1-1</b>
Lesson 1.1. Introduction to IBM Enterprise Records	1-3
Identify the records management capabilities of IBM Enterprise Records: Written exercise	1-5
Describe the role of IBM Enterprise Records in the context of an enterprise compliance solution: Written exercise	1-7
Lesson 1.2. Explore a file plan	1-9
Activity: Explore a file plan	1-11
Lesson 1.3. Initiate disposition	1-13
Activity: Locate the disposition schedule that applies to a record	1-15
Activity: Identify the status of an entity	1-17
Search for entities that are ready for disposition: Challenge	1-19
Search for entities that are ready for disposition: Walkthrough	1-21
Initiate disposition: Challenge	1-23
Initiate disposition: Walkthrough	1-25
Lesson 1.4. Declare electronic records	1-27
Declare an electronic record without a template: Challenge	1-29
Declare an electronic record without a template: Walkthrough	1-31
Create a declare template: Challenge	1-33
Create a declare template: Walkthrough	1-35
Create a document entry template with record declaration: Challenge	1-39
Create a document entry template with record declaration: Walkthrough	1-41
Lesson 1.5. Create a disposition schedule	1-45
Create and test a disposition schedule: Challenge	1-47
Create and test a disposition schedule: Walkthrough	1-49
Use a transfer action: Challenge	1-59
Use a transfer action: Walkthrough	1-61
Lesson 1.6. Add alternate retentions	1-67
Add alternate retentions: Challenge	1-69
Add alternate retentions: Walkthrough	1-71
Lesson 1.7. Work with file plan containers	1-75
Work with file plan containers: Challenge	1-77
Work with file plan containers: Walkthrough	1-79
Lesson 1.8. Work with holds	1-85
Place and remove holds: Challenge	1-87
Place and remove holds: Walkthrough	1-89
Place and remove conditional holds: Challenge	1-93
Place and remove conditional holds: Walkthrough	1-95
Make holds inactive and delete holds: Challenge	1-101
Make holds inactive and delete holds: Walkthrough	1-103

<b>Unit 2. IBM Enterprise Records 5.1: System Configuration</b>	<b>2-1</b>
Lesson 2.1. Configure an object store for record declaration	2-3
Create the Finance category in the file plan: Activity	2-5
Configure an object store for record declaration: Challenge	2-7
Configure an object store for record declaration: Walkthrough	2-9
Lesson 2.2. Create a record class	2-13
Create a record class that allows property mapping: Challenge	2-15
Create a record class that allows property mapping: Walkthrough	2-17
Lesson 2.3. Create links	2-23
Enable editable link classes: Challenge	2-25
Enable editable link classes: Walkthrough	2-27
Create and use a new link class: Challenge	2-31
Create and use a new link class: Walkthrough	2-33
Lesson 2.4. Modify security	2-37
Configure security groups: Activity	2-39
Modify security on a category: Challenge	2-41
Modify security on a category: Walkthrough	2-43
Control access to assets and functionality from Workplace: Challenge	2-47
Control access to assets and functionality from Workplace: Walkthrough	2-49
Lesson 2.5. Use security markings	2-53
Create and use a new marking set: Challenge	2-55
Create and use a new marking set: Walkthrough	2-57
Lesson 2.6. Export and import a file plan	2-65
Edit fileplantool.bat: Activity	2-67
Export and import a file plan: Challenge	2-69
Export and import a file plan: Walkthrough	2-71
<b>Unit 3. IBM Enterprise Records 5.1: System Maintenance</b>	<b>3-1</b>
Lesson 3.1. Configure sweep processes	3-3
Configure multiple Disposition Sweep profiles: Challenge	3-5
Configure multiple Disposition Sweep profiles: Walkthrough	3-7
Configure a Hold Sweep profile: Challenge	3-13
Configure a Hold Sweep profile: Walkthrough	3-15
Lesson 3.2. Configure automatic destruction	3-21
Configure automatic destruction of records: Challenge	3-23
Configure automatic destruction of records: Walkthrough	3-25
Lesson 3.3. Configure automatic volume creation	3-31
Configure automatic volume creation: Challenge	3-33
Configure automatic volume creation: Walkthrough	3-35
Lesson 3.4. Configure auditing	3-41
Configure auditing: Challenge	3-43
Configure auditing: Walkthrough	3-47
Lesson 3.5. View and export audit logs	3-55
View and export audit logs: Challenge	3-57
View and export audit logs: Walkthrough	3-59
Lesson 3.6. Manage record metadata	3-67
Manage record metadata: Challenge	3-69
Manage record metadata: Walkthrough	3-71

<b>Unit 4. IBM Enterprise Records 5.1: Automate Declaration . . . . .</b>	<b>4-1</b>
Lesson 4.1. Declare records with event subscriptions . . . . .	4-3
Create an event action and subscription to declare a record: Challenge . . . . .	4-5
Create an event action and subscription to declare a record: Walkthrough . . . . .	4-9
Lesson 4.2. Declare records with workflow . . . . .	4-19
Create a workflow and workflow subscription to declare a record: Challenge . . .	4-21
Create a workflow and workflow subscription to declare a record: Walkthrough .	4-23



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# Unit 1. IBM Enterprise Records 5.1: Core Skills

## Unit overview

This unit contains these lessons.

## Lessons

Lesson 1.1, Introduction to IBM Enterprise Records, p. 1-3

Lesson 1.2, Explore a file plan, p. 1-9

Lesson 1.3, Initiate disposition, p. 1-13

Lesson 1.4, Declare electronic records, p. 1-27

Lesson 1.5, Create a disposition schedule, p. 1-45

Lesson 1.6, Add alternate retentions, p. 1-67

Lesson 1.7, Work with file plan containers, p. 1-75

Lesson 1.8, Work with holds, p. 1-85

## 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

The activities in this unit must be performed in the given order.

This unit is dependent upon completing the following course:

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.



## Lesson 1.1. Introduction to IBM Enterprise Records

### Overview

#### 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.

### Activities

- Identify the records management capabilities of IBM Enterprise Records: Written exercise, p. 1-5
- Describe the role of IBM Enterprise Records in the context of an enterprise compliance solution: Written exercise, p. 1-7



## Identify the records management capabilities of IBM Enterprise Records: Written exercise

For each question, indicate the correct answer.

1. What is the primary compliance advantage of ZeroClick?
  - a. It reduces the amount of work people need to do.
  - b. It reduces the reliance on people to declare records.
  - c. It prevents records from being destroyed too soon.
  - d. It applies alternate rule-based retentions where needed.
2. What is the primary compliance advantage of using IBM FileNet business processes?
  - a. Fast and efficient work routing
  - b. An advanced security model changes with record disposition
  - c. The ability to declare records without additional mouse clicks
  - d. The ability to trace work to the person who is responsible for it
3. How does IBM Enterprise Records manage physical records?
  - a. It represents them as electronic objects in the same hierarchical filing system.
  - b. It uses a separate filing system where it stores bar codes.
  - c. It tracks them using an embedded chip with a GPS transponder.
  - d. It includes printable requisition forms, which can be filed in a filing cabinet.
4. How does record federation apply to compliance?
  - a. Documents can be transferred to a single repository and then declared as records.
  - b. Each repository can have its own filing system in its own format.
  - c. Record federation allows native search utilities to quickly find records in disparate systems.
  - d. Documents can be managed as records in a single filing system regardless of their format or repository.



## **Describe the role of IBM Enterprise Records in the context of an enterprise compliance solution: Written exercise**

For each question, indicate the correct answer.

1. How can you automate the declaration of emails as records?
  - a. Use IBM eDiscovery Manager to declare the emails.
  - b. Create a workflow that monitors the email server.
  - c. Configure IBM Content Collector to declare email as records.
  - d. Use IBM Classification Module to declare email as records.
  
2. What must happen to the email before it can be declared as a record?
  - a. The email must be added to the IBM FileNet Content Engine repository.
  - b. The email must be analyzed by IBM eDiscovery Analyzer to determine whether it needs to be declared.
  - c. The email must be collected by eDiscovery Manager and added to a case.
  - d. The email must be classified by IBM Classification Module.





## Lesson 1.2. Explore a file plan

### Overview

### 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. You are going to be declaring records. You need to know how the file plan is organized.

### Activities

- Activity: Explore a file plan, p. 1-11

### User accounts

Type	User ID	Password
System administrator	Administrator	filenet



## Activity: Explore a file plan

### Introduction

In this exercise, you browse a file plan in order to find out where disposition schedules are applied. Some categories do not have schedules in order for you to create them at a later time. This exercise provides experience browsing a file plan and procedures for determining which disposition schedules are applied to containers.

### Procedures

Procedure 1, Sign in to IBM Enterprise Records, p. 1-11

Procedure 2, Explore the Category Tree, p. 1-11

Procedure 3, Locate and list disposition schedules, p. 1-12

#### ***Procedure 1: Sign in to IBM Enterprise Records***

1. Start Internet Explorer using the desktop icon. The Welcome page opens.
2. Go to the IBM Enterprise Records Web page:  
<http://hqdemo1:9080/RecordsManager>
3. Sign in to IBM Enterprise Records:
  - Name: Administrator
  - Password: filenet

#### ***Procedure 2: Explore the Category Tree***

IBM Enterprise Records is open and you can see the top level categories. To see the entire hierarchy of the file plan, you can use the Category Tree.

1. Click the Show Category Tree link.
2. Expand each category. Each category that has subcategories expands to display those subcategories.
3. Continue to expand all of the categories.

**Procedure 3: Locate and list disposition schedules**

Disposition information is available for each category. Some categories do not have disposition schedules associated with them yet, so they have blank Disposition Instruction fields.

1. In the Browse area, click the Information Icon for the first category, Customer Support. The Properties page opens.
2. From the Information menu, click the Disposition link. The Disposition page opens.
3. If the Disposition Instructions property has a value, make a note of this value. If not, proceed to the next step.
4. Click Exit to close the Information page.
5. Perform steps 1 through 4 on all of the categories in the file plan.
6. Use the *Categories and disposition schedules* table to verify the values of the Disposition Instructions property.

**Categories and disposition schedules**

Category name	Disposition schedule
Customer support	None
Case retention	None
Order retention	Customer order retention
Human resources	None
Development	None
Testing	None
Current policies	None
Policy retention	None
Employee files	None
Employee file retention	Employee file retention
Legal	None
Case files	None
Case retention	Legal case retention
Email compliance	None
Standard email retention	Auto destroy volume after 1 year
Reports	None
Report retention	None

## Lesson 1.3. Initiate disposition

### Overview

#### 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.

### Activities

- Activity: Locate the disposition schedule that applies to a record, p. 1-15.
- Activity: Identify the status of an entity, p. 1-17
- Search for entities that are ready for disposition: Challenge, p. 1-19
- Search for entities that are ready for disposition: Walkthrough, p. 1-21
- Initiate disposition: Challenge, p. 1-23
- Initiate disposition: Walkthrough, p. 1-25

### User accounts

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



## Activity: Locate the disposition schedule that applies to a record

### Introduction

In this exercise, you search for records and then determine which disposition applies to the record based on its file plan location. In a previous exercise, you completed a list of categories and their associated disposition schedules. You can use that list to help you complete this exercise.

### Procedures

Procedure 1, Search for records, p. 1-15

Procedure 2, Locate the disposition schedule for a record, p. 1-15

Procedure 3, Locate the disposition schedule for a record in a volume, p. 1-16

#### ***Procedure 1: Search for records***

1. Sign in to IBM Enterprise Records as Administrator.
  - Name: Administrator
  - Password: filenet
2. Click the Search tab. The Search page opens.
3. Click Records.
4. Type `order` in the Document Title field.
5. Click the Search button. The results area displays three records.

#### ***Procedure 2: Locate the disposition schedule for a record***

1. Click the Information icon for order 55511. The Properties page for order 55511 opens.
2. Click the Filed In link in the Record Information area. The Filed In page displays the Order retention category. Remember from the previous lesson that this category does have an associated disposition schedule.
3. Click the Information icon for the Order retention category. The Order retention Properties page opens.
4. Click the Disposition link in the Category Information area. Verify that the disposition schedule associated with this category is Customer order retention.

5. Click the Exit button. You are returned to the Filed In page for order 55511.
6. Click the Exit button. You are returned to the Search page.

***Procedure 3: Locate the disposition schedule for a record in a volume***

1. Search for a record with the title *allegro* using the same procedure that you used to search for orders.
2. Click the Information page for *allegro*. The Properties page for *allegro* opens.
3. Click the Filed In link in the Record Information area. The Filed In page displays a volume.
4. Use the *Categories and disposition schedules* Table on page 1-12 to identify the category in this path that has a disposition schedule associated with it.

**Tip:** Two categories are named "Case retention," so you must use the full path to determine which disposition schedule applies.

5. Verify that the *Legal case retention* disposition schedule applies to *allegro*.



## Activity: Identify the status of an entity

### Introduction

IBM Enterprise Records displays icons to provide information about the current state of an entity: whether it is ready for disposition, in the process of disposition, or on hold. In this exercise, you identify the state of entities by inspecting their status icons.

### Procedures

Procedure 1, Identify the status of entities, p. 1-17

#### ***Procedure 1: Identify the status of entities***

1. Sign in to IBM Enterprise Records as Administrator if you are not already signed in.
  - Name: Administrator
  - Password: filenet
2. In IBM Enterprise Records, click the Browse tab. The Browse page opens.
3. Go to Legal > Case files > Case retention. Four folders with different icons are displayed.
4. Use the information that is displayed by the status icons to complete the following table. Write **Yes** or **No** in the appropriate box. For example, if the entity is On Hold, write **Yes** in the On Hold box. Otherwise, write **No**.

### Entity status

Entity	Ready for disposition	Disposition in progress	On Hold	Container closed
Case20100110				
Case20100111				
Case20100112				
Case20100121				



## Search for entities that are ready for disposition: Challenge

### Challenge

Use Search Designer to create a search that meets the following requirements:

- The search returns all entities (records and containers) that are ready for disposition.
- The search does not return entities that are on hold.
- The search is executed within the IBM Enterprise Records application.



#### Hint

Do not forget to add “RM” to the application field when you add your search to the repository.

You cannot see the disposition status of the entities if you run the search from within Workplace.

### Verification

Your search produces the following results.

Entity name	Entity type	Disposition status
7897	Record	In progress
3567	Record	Ready
Case20100110	Folder	In progress
Case20100111	Folder	Ready



## Search for entities that are ready for disposition: Walkthrough

Disposition can begin only after a records manager initiates it. In this exercise, you are going to use Workplace to create a search template in order to locate those entities. Simple searches can find only one type of object: a record, or a folder, or category. If you want to locate different types of entities that are ready for disposition, you need to create a search template. You need to create a search for any entity with a Current Phase Execution Date less than or equal to the current date that excludes entities that are on hold.

### Procedures

Procedure 1, Start Search Designer, p. 1-21

Procedure 2, Create a search, p. 1-21

Procedure 3, Test the search, p. 1-22

### ***Procedure 1: Start Search Designer***

1. In Internet Explorer, go to <http://hqdemo1:9080/Workplace>.
2. Sign in to Workplace as Administrator.
  - Name: Administrator
  - Password: filenet
3. Go to Author > Advanced Tools, and then click Search Designer. Search Designer opens.

### ***Procedure 2: Create a search***

1. Select object stores:
  - a. Select the FPOS1 object store
  - b. Click the green arrow to move it to the Selected Object Stores field.
2. Select object types:
  - a. Click the Object Types tab.
  - b. Select the Folder check box. Both Document and Folder are selected.
3. Create the search criteria:
  - a. Click the Search Criteria tab. The Search Criteria tab opens.
  - b. In the search criteria design area, select the following values.

View	Property	Operator	Value
Required	Current Phase Execution Date	Is less than or equal to	<leave blank>
Read Only	On Hold	is equal to	False

4. Save the search:
  - a. Click File > Add New.
  - b. Click the Browse button.
  - c. Go to FPOS1 > Records Management > Templates and then click the Select button.
  - d. Click Next.
  - e. In the Document Title field, type *Entities Ready for Disposition*.
  - f. In the Application Name field type *RM*. This value is needed in order to access the search template from the IBM Enterprise Records application.
  - g. Click Finish.
  - h. Click File > Exit.
  - i. Close the Search Designer window.
5. Sign out from Workplace.

### ***Procedure 3: Test the search***

1. Sign in to IBM Enterprise Records as records manager Sue.
  - Name: *rmsue*
  - Password: *filenet*
2. Click the Search tab.
3. Click Search Templates and Stored Searches.
4. Click *Entities Ready for Disposition*. The search template opens.
5. Use the calendar to select the current date for the Current Phase Date field.
6. Click Search. Several entities display.
7. Verify that your search produced the following results.

Entity name	Entity type	Disposition status
7897	Record	In progress
3567	Record	Ready
Case20100110	Folder	In progress
Case20100111	Folder	Ready

## Initiate disposition: Challenge

### Challenge

Initiate disposition on any entities that are ready for disposition. Note the reason for any failures. Approve disposition for the entity.

### Verification

Verify that you can see the icon change from Ready for Disposition to In Progress for the record 7897.

Verify that Case20100110 cannot be processed for disposition at this time.





# Initiate disposition: Walkthrough

## Introduction

In this exercise, you initiate disposition on an entity. The *Entities ready for disposition* search template is open and displays four entities, two of which are ready for disposition.

## Procedures

- Procedure 1, Initiate disposition, p. 1-25

### ***Procedure 1: Initiate disposition***

1. Select the entities that are ready for disposition.
2. Click Multi-Select Actions > Initiate Disposition.
3. Verify that you can see the icon change from Ready for Disposition to In Progress for the record 3567.
4. Verify that Case20100110 cannot be processed for disposition at this time.
5. Click the Hold icon to view the error message.

Although the search does not return entities on hold, a container might contain an entity that is on hold. You can verify this possibility by investigating the containers.
6. Click Exit after reading the error message.
7. Open the folder and the contained volume.
8. Verify that the volume contains a record that is on hold.



#### **Information**

In this exercise, you created a search that finds entities that are ready for disposition, but excludes entities that are on hold. The search returned an entity that is ready for disposition but which contains an entity that is on hold. Because the contained entity is on hold, and because the entire folder must be disposed of at the same time, you cannot initiate disposition on the folder.



## Lesson 1.4. Declare electronic records

### Overview

#### 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.

### Activities

Declare an electronic record without a template: Challenge, p. 1-29

Declare an electronic record without a template: Walkthrough, p. 1-31

Create a declare template: Challenge, p. 1-33

Create a declare template: Walkthrough, p. 1-35

Create a document entry template with record declaration: Challenge, p. 1-39

Create a document entry template with record declaration: Walkthrough, p. 1-41

### User accounts

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



## Declare an electronic record without a template: Challenge

### Challenge

Sign in to Workplace as rmsue.

Add a document to the RDOS1 object store and declare the document as a record using the given settings.

Use any document in the Exercise Files folder on your desktop for the content element.

### Document data

Document parameter	Value
Document class	Order
Document title	Order 11111
Order number	11111
Current	True

### Record data

Record parameter	Value
Record class	order record
File plan location	Customer Support > Order retention
Reviewer	rmsue

### Verification

In Workplace, verify that Order 11111 is displayed in the Customer orders folder and that it has a value in the Record Information column.

In IBM Enterprise Records, verify that Order 11111 is filed correctly in the Customer Support > Order retention category.



# Declare an electronic record without a template: Walkthrough

## Introduction

In this exercise, you add a new record to the RDOS and declare it as a record without using a template.

## Procedures

Procedure 1, Add a new customer order to the RDOS1 object store, p. 1-31

Procedure 2, Declare the document as a record, p. 1-32

### ***Procedure 1: Add a new customer order to the RDOS1 object store***

1. Sign in to Workplace as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to RDOS1 > Customer orders.
3. Click Add Document. The Add Document wizard opens.
4. Click Change Class. The Select Class menu opens.
5. Click the Order class. You are returned to the Add Document wizard. The properties have changed to those that belong to the Order class.
6. Type or select the following property values.

Property	Value
Document Title	Order 11111
Order number	11111
Current	True

7. Click Next. The Set Security page opens.
8. Accept the security settings and click Next.
9. Click Browse to browse for a file to add as content.
10. Go to Desktop > Exercise Files.
11. Select any of the files in this folder and then click Open.
12. Click Finish. The Add Confirmation page opens. Do **not** click OK on the Add Confirmation page.

## ***Procedure 2: Declare the document as a record***

1. Click Declare as Record.
2. Click Accept to declare the document without a template. The Declare Records wizard opens to the Catalog Record page.
3. Click Select Class to select a record class. The Select Class page opens.
4. Expand FPOS1 > Record > Electronic Record to display the subclasses of the Electronic Record class.
5. Click the *order record* class. You are returned to the Catalog Record step of the Declare Records wizard. The order record class is displayed in the Record Class area.
6. Click Select File Plan Location. The Select File Plan Locations page opens.
7. On the Select File Plan Locations page, go to Customer Support.
8. Select the Order retention check box.
9. Click Add to Selection.
10. Click Accept. You are returned to the Catalog Record step of the Declare Records wizard. The Order retention category is displayed in the File Plan Locations area.
11. Click Next. The Set Properties page opens. This page is where you specify the property values for the record object.

Some of the properties are already populated. These values were automatically mapped from the document object.
12. Type `rmsue` in the Reviewer field.
13. Click Finish.
14. Click OK.
15. Verify that Order 11111 is displayed in the Customer orders folder and that it has a value in the Record Information column.



## Create a declare template: Challenge

### Scenario

All customer orders are declared using the same settings. Customer orders must all be filed in the same category, and their property values are derived directly from the originating document. The process of declaring these records can be automated. To automate the process, you are going to create a Declare as Record template. The declare template minimizes the amount of work that the user needs to do in order to declare the record consistently and correctly. The only user-entered value that is necessary for this application is the Reviewer property. All other values for all orders are identical so they can be hidden or read-only.

### Challenge

Use Workplace to create a declare template that meets the following criteria:

- Declares Order documents as Order records.
- Files the records in the Order retention category.
- Requires the user to enter only the Reviewer property value.
- Does not show the user any unnecessary Declaration wizard pages.

### Verification

Add a new Order document to the RDOS1 object store. Use the declare template to declare the document as a record.

Ensure that the following statements are true:

- The only page that you see during declaration is the Set Properties page.
- The only property value that you must enter is the Reviewer property.
- The document title and Order number properties are automatically populated from the originating document.



# Create a declare template: Walkthrough

## Introduction

In this exercise, you use Workplace Advanced Tools to create a declare template. The purpose of this template is to consistently declare and file customer orders and to minimize the amount of work that is required of the user. To do this, you are going to configure the template to show only the properties page and to allow the user to enter only the Reviewer property value.

## Procedures

Procedure 1, Open the Define Declare Record wizard, p. 1-35

Procedure 2, Design the declare record template, p. 1-35

Procedure 3, Add a customer order document, p. 1-37

Procedure 4, Declare the record using the new declare template, p. 1-37

### ***Procedure 1: Open the Define Declare Record wizard***

You are signed in to Workplace as rmsue.

1. Go to Author > Advanced Tools > Add Entry Template.
2. Click *Select* under *Declare as Record Entry Template*. The Define Declare Record wizard opens.

### ***Procedure 2: Design the declare record template***

1. Select the record class:
  - a. Click Select Class.
  - b. Click FPOS1 > Record > Electronic Record > order record.
2. Select the file plan location:
  - a. Click Select File Plan Location under File Plan Locations.
  - b. Go to Customer Support
  - c. Select the check box for Order retention and then click Add to Selection.
  - d. Click Accept.
  - e. Select the Hide Record File Plan Locations step option.
  - f. Click Next.

3. Set the access levels for the record properties. Configure the following settings.

Property	Default value	Access level
Document title	<leave blank>	Read only
Description	<leave blank>	Hide
Location	<leave blank>	Hide
Format	<leave blank>	Hide
From	<leave blank>	Hide
To	<leave blank>	Hide
Cc	<leave blank>	Hide
Subject	<leave blank>	Hide
Sent on	<leave blank>	Hide
received on	<leave blank>	Hide
Reviewer	rmsue	Editable
Originating Organization	<leave blank>	Hide
Supersedes	<leave blank>	Hide
Current	True	Read Only
Order number	<leave blank>	Read Only



### Information

In the preceding table, you set most of the nonapplicable properties to Hide because they are not used with customer records. These properties are inherited from the Record object class, but are not used in this application. The *Current* property has a default value of True because all newly declared records are current. It is Read Only so that the user cannot inadvertently change it to False, which immediately triggers disposition. The Order number property is also Read Only. This property is mapped to the originating document property so the value derives directly from the originating document.

4. Click Next.
5. Save the template:
  - a. Go to RDOS1 > Templates > Declaration Templates.
  - b. Click Next.
6. Set the template properties:
  - a. Type `Declare Customer Orders` in the Document Title field.
  - b. Click Next.
7. Set template security:
  - a. Review the security settings, but do not make any changes.

- b. Click Finish. A confirmation page opens to inform you that the add succeeded for Declare Customer Orders.
8. Click OK.

### ***Procedure 3: Add a customer order document***

Add a new customer order to test the declare template you just created. You are still logged in to Workplace as rmsue.

1. In Workplace, click Browse and then go to RDOS1 > Customer orders.
2. Click Add Document. The Add Document wizard opens.
3. Click Change Class.
4. Select the *Order* class.
5. On the Set Properties page, enter the following property values.

Property	Value
Document Title	Order 22222
Order number	22222
Current	True

6. Click Next.
7. On the Set Security page click Next.
8. On the Select File page, click Browse and then select any document in the Exercise Files folder.
9. Click Open
10. Click Finish. Do **not** click OK on the confirmation page.

### ***Procedure 4: Declare the record using the new declare template***

Test the new declare template.

1. Click the Declare as Record button.
2. Click Select to select a declare template.
3. Go to RDOS1 > Templates > Declaration templates
4. Click the Select link under Declare Customer Orders. You are returned to the Declare As Record page. Declare Customer Orders is the selected template.
5. Click Accept. The Set Properties page opens.

6. Verify that the record property values are correct.
  - Document title: Order 22222
  - Reviewer: rmsue
  - Current: true
  - Order number: 22222
7. Click Finish.
8. Click OK.
9. Verify that Order 22222 is displayed in the Customer orders folder and that it has a value in the Record Information column.

## Create a document entry template with record declaration: Challenge

### Scenario

Because the customer order documents are all filed the same way, you want to be able to automate this part of the process as well. If the declare template is linked to the entry template, document entry and declaration can both be accomplished at the same time. You are going to create a document entry template to automate some of the work during the initial document entry that uses the declare template to declare the document as a record.

Customer orders are all filed in the same folder, have the same security, and are always declared as records. Users need to enter values for the following properties only:

- Document Title
- Order number

### Challenge

Create a document entry template that meets the following criteria:

- Adds an Order document.
- Declares the Order document as an order record automatically.
- Eliminates unnecessary user steps.

### Verification

Use the entry template to add a new Order document to the RDOS1 object store.

Ensure that the user must supply values for only the following properties:

- Document Title
- Order Number
- Reviewer

Ensure that the record is correctly filed in Customer Support > Order Retention.





# Create a document entry template with record declaration: Walkthrough

## Introduction

The declare template makes declaring the document easier. However, users must correctly add the document. In this exercise, you are going to create an entry template to automate most of the work during the initial document add. By linking the document entry template to the declare template, you can automate both adding and declaring the document.

## Procedures

Procedure 1, Create the entry template, p. 1-41

Procedure 2, Add and declare a document using the entry template, p. 1-42

Procedure 3, Verify that the templates worked properly, p. 1-43

### ***Procedure 1: Create the entry template***

You are signed in to Workplace as rmsue.

1. Start the Add Entry Template wizard:
  - a. Go to Author > Advanced Tools.
  - b. Click Add Entry Template
  - c. Click *Select* under *Document Entry Template*.
2. Select the folder for documents to be added with this template:
  - a. Go to RDOS1 > Customer orders.
  - b. Click Hide Select Folder step.
  - c. Click Next.
3. Select the class:
  - a. Click Change Class.
  - b. Click the Order class. The Order class metadata is displayed.
4. Define default property values and access levels using this table.

Property	Default value	Access level
Document Title	<leave blank>	Editable
Order number	<leave blank>	Editable

Property	Default value	Access level
Current	True	Hide
Compound Document	No	Hide
Add as major version	Yes	Hide

5. Click Next. The Set Security page opens.
6. Hide the security page:
  - a. Select the Hide Set Security step option.
  - b. Click Set Declare Records.
7. Select the Declare template:
  - a. Click Browse/Search for Declare Record Template.
  - b. Go to RDOS1 > Templates > Declaration templates.
  - c. Click *Select* under *Declare Customer Orders*.
  - d. Select the Always declare a record option.
  - e. Click Next.
8. Save the template:
  - a. Go to RDOS1 > Templates > Entry templates.
  - b. Click Next.
9. Set the template properties:
  - a. In the Document Title field, type Add and Declare Customer Order.
  - b. Click Next. The Set Security page opens.
10. Click Finish.
11. Click OK to confirm that the add succeeded for Add and Declare Customer Order.

## ***Procedure 2: Add and declare a document using the entry template***

1. In Workplace, click Browse to open the Browse page.
2. Go to RDOS1 > Templates > Entry Templates.
3. Click Add and Declare Customer Order.
4. Type the following property values.

Property	Value
Document title	Order 33333
Order number	33333

5. Click Next.

6. On the Select File page, click Browse.
7. Select any file in the Exercise Files folder, and then click Open.
8. Click Finish.
9. Click OK.

***Procedure 3: Verify that the templates worked properly***

1. In Workplace, go to RDOS1 > Customer Orders.
2. Verify that Order 33333 exists and that a value is displayed in the Record Information column.
3. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
4. Go to Customer Support > Order retention.
5. Verify that the Order 33333 record is in this category.



## Lesson 1.5. Create a disposition schedule

### Overview

#### 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.

### Activities

Create and test a disposition schedule: Challenge, p. 1-47

Create and test a disposition schedule: Walkthrough, p. 1-49

Use a transfer action: Challenge, p. 1-59

Use a transfer action: Walkthrough, p. 1-61

### User accounts

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



## Create and test a disposition schedule: Challenge

### Challenge

- Create an event trigger that initiates cutoff when the *Current* property of a record is set to False. Aggregate at the record level.
- Create a disposition schedule for customer case records that includes a review after 30 days and destruction after 90 days. Apply this schedule to the Customer Support > Case retention category.
- Declare a case record.
- Trigger cutoff by changing the *Current* property value to false.
- Run Disposition Sweep.
- Set the system clock forward to after the current phase execution date.
- Perform the review on the record.
- Set the system clock forward to after the second phase execution date.
- Perform the destroy approval.
- Verify that the document and record are destroyed.



### 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.

### Data

Prompt	Information
Internal event trigger	Not Current
File plan location	Customer Support > Case retention
Case document class	Case
Record class	Case Record
Cutoff trigger	<i>Current</i> property is set to False
Location of records manager work items	Tasks > Public Inboxes > RecordsManagerApproval

### Verification

You were able to process the review workflow step after the 30-day retention interval.

The test record was destroyed after you processed the destruction approval step after the 90-day retention interval.



# Create and test a disposition schedule: Walkthrough

## Introduction

In this exercise, you create a disposition schedule and apply it to a container. Then, you declare a record and process disposition in order to test your configuration.



### 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.

## Procedures

Procedure 1, Create an event trigger, p. 1-50

Procedure 2, Verify that the disposition phase actions exist, p. 1-51

Procedure 3, Create a disposition schedule, p. 1-51

Procedure 4, Associate the disposition schedule with a container, p. 1-52

Procedure 5, Declare a record to the Case retention category, p. 1-53

Procedure 6, Trigger cutoff, p. 1-54

Procedure 7, Run Disposition Sweep, p. 1-54

Procedure 8, Observe the change in the record, p. 1-55

Procedure 9, Set the system clock for the future, p. 1-55

Procedure 10, Initiate disposition, p. 1-55

Procedure 11, Process the Review phase, p. 1-56

Procedure 12, Observe change in the disposition status, p. 1-56

Procedure 13, Set the system clock for the future, p. 1-56

Procedure 14, Initiate disposition and process the Destroy phase, p. 1-57

**Procedure 1: Create an event trigger**

The event trigger is the condition that triggers the cutoff of the record. Before you create a disposition schedule, you need to define the condition that signals to the system that the entity is ready for cutoff and begins disposition. You can reuse existing triggers with different disposition schedules.

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to the Configure page.
3. Click Internal Event Triggers.
4. Click Add Internal Event.
5. Set properties:
  - a. In the Disposal Trigger Name field, type `My Trigger`.
  - b. In the Description field, type the following:  
`Record level aggregation. Current property is false.`
  - c. Select Record from the Aggregation menu.
  - d. Click Next. The Set Condition page opens.
6. Set Condition:
  - a. Click Change on the Set Condition page.
  - b. Select Current from the Property {1} menu.
  - c. Click Accept Changes.
  - d. Select equals (=) from the Operator menu.
  - e. Select False from the Property Value menu.
7. Click Finish.
8. Click OK.

**Information**

An event trigger can be used for multiple disposition schedules, so it is useful to include information about the trigger event and the level of aggregation in the description field.

**Procedure 2: Verify that the disposition phase actions exist**

Phase actions are usually created by the installer.

1. Go to the Configure page.
2. Click Actions.
3. Verify that the Review and the Destroy actions exist.
4. Click the Information icon next to the Destroy action.
5. Verify that the Action Type is Destroy and the associated workflow is the Destroy workflow.
6. Click Exit.
7. Click the Information icon next to the Review action.
8. Verify that the Action Type is Review and the associated workflow is Disposition Review Workflow.
9. Click Exit.

**Procedure 3: Create a disposition schedule**

You are signed in to IBM Enterprise Records as rmsue.

1. Go to the Disposition page.
2. Click Disposition Schedules.
3. Click Add Disposition Schedule. The Add Disposition Schedule wizard opens.
4. Name and describe the schedule:
  - a. Type the following data.

Property	Value
Schedule name	Customer Case schedule
Description	Review after 30 days. Destroy after 90 days.

- b. Click Next.
5. Set the trigger:
  - a. Select Not Current from the Internal Event menu.
  - b. Click Next.
6. Add a review phase:
  - a. Click Add New.

- b. Enter the following data.

Property	Value
Phase Name	Review
Description	Review the customer case.
Phase Action	Review
Is Screening Required	False
Default Retention	30 days

- c. Click Accept.

7. Add a destroy phase:

- a. Click Add New.  
b. Enter the following data.

Property	Value
Phase Name	Destroy
Description	Destroy with approval step.
Phase Action	Destroy
Is Screening Required	False
Default Retention	90 days

8. Click Accept.  
9. Click Finish.  
10. Click OK. The Customer Case schedule is listed among the other disposition schedules.

#### ***Procedure 4: Associate the disposition schedule with a container***

1. Go to the Browse page > Customer Support.
2. Click the Information icon next to Case retention.
3. Click the Disposition link in the Category Information menu.
4. Click Browse Schedule.
5. Click *Select* under *Customer Case schedule*.
6. Verify that the disposition schedule is propagated to all inheriting entities.
7. Click Apply. The Customer Case schedule is associated with the Case retention category.
8. Click Exit.
9. Sign out from IBM Enterprise Records.

### ***Procedure 5: Declare a record to the Case retention category***

To test the disposition schedule, you need to declare a record into the Case retention category.

1. Sign in to Workplace as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to RDOS1 > Case files.
3. Add a new customer case document:
  - a. Click Add Document.
  - b. Click Change Class.
  - c. Click the Case class.
  - d. Type the following data.

Property	Value
Document Title	Customer Case 1
Current	True

- e. Click Select File. The Select File page opens.
  - f. Click Browse. Select any document in Desktop > Exercise Files and then click Open.
  - g. Click Finish.
4. Declare the record:
  - a. Click Declare as Record.
  - b. Click Accept to declare the record without a template.
  - c. Using skills you have learned, enter the record properties using the following data.

Property	Value
Record class	FPOS1 > Record > Electronic Record > Case Record
File Plan Location	Customer Support > Case retention
Reviewer	rmsue

5. Verify that the document has record information in the Record Information column.
6. Sign out from Workplace.

**Procedure 6: Trigger cutoff**

Remember that the condition for the cutoff trigger is for the Current property to be false. You are going to change the property value of the customer case record to False in order to trigger cutoff.

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to Customer Support > Case retention. One record is in this category.
3. Verify that no date is in the Current Phase Execution Date column.
4. Click the Information icon for the record.
5. Change the value of the Current property to False.
6. Click Apply.
7. Click Exit.
8. Sign out from IBM Enterprise Records.

**Procedure 7: Run Disposition Sweep**

When a disposal event occurs, nothing happens to the record until the next time that Disposition Sweep processes it. In this procedure, you run Disposition Sweep in order to observe the record status change.

1. Open a command prompt window.
2. Type `cd C:\Program Files\FileNet\RM\RecordsManagerSweep` and then press Enter.
3. Type `RecordsManagerSweep.bat -DispositionSweep` and then press Enter. Disposition Sweep runs.
4. Wait for Disposition Sweep to end before proceeding. When Disposition Sweep ends, it prints the following message: `END DISPOSITION SWEEP`.
5. Close the command prompt window.

**Hint**

To save time, you can use the Run Disposition Sweep batch file on your desktop.

**Procedure 8: Observe the change in the record**

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to Customer Support > Case retention.
3. Verify that a date exists in the Current Phase Execution Date column for the record.
4. Make a note of this date in order to use it later in this exercise.
5. Sign out from IBM Enterprise Records.

**Procedure 9: Set the system clock for the future**

You have created a disposition schedule that affects records after 30 days. To see the effects of 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 that you wrote down. It is now 31 days in the future.
3. Run Disposition Sweep using the desktop batch file and wait for it to finish.

**Procedure 10: Initiate disposition**

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to Customer Support > Case retention
3. Verify that the record has a clock icon indicating that it is ready for disposition.
4. Initiate disposition:
  - a. Right-click the record and click Initiate Disposition.
  - b. Click OK.
  - c. Verify that the clock icon has changed to indicate that the record disposition is in progress.

### ***Procedure 11:Process the Review phase***

The first disposition phase is a review. When you approved disposition, a new work item was displayed in the RecordsManagerApproval queue. Open this work item to review the record.

1. Sign in to Workplace as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to Tasks > Public Inboxes > RecordsManagerApproval.
3. Click *Review: Customer Case 1* to open the work item.
4. Read the review instructions.
5. Type a comment in the Review Comments field, such as *This looks fine.*
6. Click Complete.

### ***Procedure 12:Observe change in the disposition status***

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to Customer Support > Case retention.
3. Verify that the record is no longer in process. No disposition status icon is displayed.
4. Verify that the Current Phase Execution Date is 90 days from when it achieved cutoff.
5. Make a note of this date in order to use it later in this exercise.
6. Sign out from IBM Enterprise Records.

### ***Procedure 13:Set the system clock for the future***

The second phase of disposition is the destroy phase, which happens at 90 days after cutoff. To see this effect, you are going to set the system clock forward 90 days to observe the record destruction.

1. Double-click the clock on your student system.
2. Set the date of your student system to 1 day after the most recent Current Execution Date of the record. It is now 91 days in the future.
3. Run Disposition Sweep using the desktop batch file and wait for it to finish.



***Procedure 14: Initiate disposition and process the Destroy phase***

1. Initiate disposition:
  - a. Sign in to IBM Enterprise Records as rmsue.
    - Name: rmsue
    - Password: filenet
  - b. Go to Customer Support > Case retention.
  - c. Verify that the record is ready for disposition.
  - d. Initiate disposition on the record using skills that you have learned.
2. Process the Destroy phase:
  - a. Sign in to Workplace as rmsue.
    - Name: rmsue
    - Password: filenet
  - b. Go to Tasks > Public Inboxes > RecordsManagerApproval
  - c. Approve the destruction of Customer Case 1 using the skills that you have learned.
3. Verify that the record is destroyed:
  - a. Sign in to Workplace as rmsue.
    - Name: rmsue
    - Password: filenet
  - b. Go to Browse > RDOS1 > Case files.
  - c. Verify that Customer Case 1 is gone.
  - d. Sign in to IBM Enterprise Records as rmsue.
    - Name: rmsue
    - Password: filenet
  - e. Go to Customer Support > Case retention.
  - f. Verify that the record is gone. The record has been destroyed according to the disposition schedule that you created.



## Use a transfer action: Challenge

### Scenario

Legal reports are filed in volumes within folders and are maintained until the volume is closed. After the volume is closed, the reports are transferred to an offsite location. You need to create a disposition schedule with a transfer action in which the transfer occurs immediately when the volume is closed.

The two-step transfer workflow requires a records manager to complete two work items before the transfer is complete. The first work item exports the entities to a file system location. The second work item prompts the records manager to verify that the export was successful, and if so, destroys the entity on the local file plan.

### Challenge

- Create a file system folder for the transfer files, such as C:\Transfer.
- Create a disposition schedule with a transfer action immediately after the volume is closed.
- Apply the schedule to the Legal > Reports > Report retention category.

### Data

Data	Information
Internal event trigger	volume closed
Aggregation	volume
Container to apply the schedule to	Legal > Reports > Report retention

### Verification

- Create a folder within the Report retention category.
- Declare a record into this folder
- Trigger cutoff by closing the volume.
- Initiate and process disposition.
- Successfully complete the export approval step, the destroy approval step, and the transcript step.
- Verify that the XML files are exported to the location you specify and that the volume and all contents are deleted upon destruction.



# Use a transfer action: Walkthrough

## Introduction

In this exercise, you create a disposition schedule with a transfer action and then apply the schedule to a category. You then test the schedule using a test record and processing its disposition.

## Scenario

Legal reports are filed in volumes within folders and are maintained until the volume is closed. After the volume is closed, they are transferred to an offsite location. You need to create a disposition schedule with a transfer action in which the transfer occurs immediately when the volume is closed.

The two-step transfer workflow requires a records manager to complete two work items before the transfer is complete. The first work item exports the entities to a file system location. The second work item prompts the records manager to verify that the export was successful, and if so, destroys the entity on the local file plan.

## Procedures

Procedure 1, Prepare the environment, p. 1-61

Procedure 2, Create and associate the disposition schedule, p. 1-62

Procedure 3, Create a new folder, p. 1-62

Procedure 4, Declare a record, p. 1-63

Procedure 5, Trigger cutoff, p. 1-63

Procedure 6, Initiate and process disposition, p. 1-64

Procedure 7, Verify destruction, p. 1-64

Procedure 8, Procedure: Review transcript, p. 1-65

### ***Procedure 1: Prepare the environment***

You need to create a folder to receive transfer XML files. You also need to create a folder in RDOS1 to store the documents that you are going to declare. Finally, you need to create a folder in FPOS1 to declare the records into.

1. Create a new folder on root level of your student system:
  - a. Name the folder C:\Transfer.

2. Create a folder for new report documents:
  - a. Sign in to Workplace as rmsue.
    - Name: rmsue
    - Password: filenet
  - b. Go to RDOS1.
  - c. Add a new folder named Legal Reports.

### ***Procedure 2: Create and associate the disposition schedule***

1. Sign in to IBM Enterprise Records as rmsue:
  - Name: rmsue
  - Password: filenet
2. Create a new disposition schedule using the following information.

Data	Information
Schedule name	Transfer Reports
Description	Transfer immediately after cutoff.
Internal event trigger	Volume closed
Phase name	Transfer
Phase Action	Transfer
Is Screening Required	False
Export Destination	C:\Transfer
Retention	0 Years, 0 Months, 0 Days

3. Associate the disposition schedule with the Report retention category:
  - a. In Enterprise Records, open the Browse page.
  - b. Go to File Plan > Legal > Reports.
  - c. Open the Information page of the Report retention category.
  - d. Using skills you learned in the previous lesson, associate the Transfer Reports disposition schedule with this category. Propagate the schedule to all inheriting entities.

### ***Procedure 3: Create a new folder***

You create a new folder in the Report retention category after you apply the disposition schedule so that the new folder inherits the schedule.

1. Go to Legal > Reports > Report retention.
2. Add a new record folder
  - a. Click Add Record folder.

- b. Click the Electronic Record Folder class.
- c. In the Record Folder Name field, type `Reports 2010`.
- d. In the Folder Unique Identifier, type `Reports 2010`.
- e. Click Next.
- f. Verify that the Disposition Instructions field already has the value `Transfer Reports`. This value is inherited from the category.
- g. Click Finish and then click OK.

#### ***Procedure 4: Declare a record***

1. Sign in to Workplace as rmsue.
  - Name: `rmsue`
  - Password: `filenet`
2. Add a document to `RDOS1 > Legal Reports` and declare it as a record using the following information.

Object	Property	Value
Document	Document title	Test report
	Select file	Any file in Desktop > Exercise Files
Record	Record Class	FPOS1 > Record > Electronic Record
	File plan location	Legal > Reports > Report retention > Reports 2010
	Reviewer	rmsue

#### ***Procedure 5: Trigger cutoff***

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: `rmsue`
  - Password: `filenet`
2. Go to `Legal > Reports > Report retention > Reports 2010`.
3. Right-click the `Reports 2010-00001` volume and click Close.
4. Type `Test` in the Reason for Close field.
5. Click Close.
6. Click OK.

## ***Procedure 6: Initiate and process disposition***

1. Run Disposition Sweep.
2. Initiate disposition on the Reports 2010-00001 volume.
3. Complete the Transfer Reports 2010-00001 work item.
  - a. Sign in to Workplace as rmsue.
    - Name: rmsue
    - Password: filenet
  - b. Go to Tasks > Public Inboxes > RecordsManagerApproval.
  - c. Click the following work item: Transfer: Reports 2010-00001.
  - d. Complete the work item.
  - e. Sign out from Workplace. An XML file is generated that contains all of the record information to be imported to a new file plan.
4. Inspect the exported files:
  - a. Go to C:\Transfer.
  - b. Inspect the exported files. These files can be imported to another repository.
5. Complete the next work item
  - a. Sign in to Workplace as rmsue.
    - Name: rmsue
    - Password: filenet
  - b. Go to tasks > Public Inboxes > RecordsManagerApproval.
  - c. Click the following work item: Transfer: Reports 2010-00001.
  - d. Select the following from the Responses menu:  
Successfully Exported. Destroy Now.
  - e. Click Complete.

## ***Procedure 7: Verify destruction***

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to Legal > Reports > Report Retention > Reports 2010.
3. Verify that the volume has been deleted from the Reports 2010 folder.



**Procedure 8: Procedure: Review transcript**

IBM Enterprise Records generates an XML transcript of the transfer. Your last task is to review the transcript and complete the work item.

1. Sign in to Workplace as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to Tasks > Public Inboxes > RecordsmanagerApproval.
3. Click the following work item: Transfer: Reports 2010-00001.
4. Click the TranscriptFile icon.
5. Click the link to the XML file in order to open and review the data.
6. Close the XML file.
7. Click Complete.

**Important**

The two-step transfer workflow prompts you to perform the transfer operation, but does not transfer the record itself. You are responsible for moving the exported files to the new repository.



## Lesson 1.6. Add alternate retentions

### Overview

#### 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.

### Activities

- Add alternate retentions: Challenge, p. 1-69
- Add alternate retentions: Walkthrough, p. 1-71

### User accounts

Type	User ID	Password
Records manager	rmsue	filenet



## Add alternate retentions: Challenge

### Challenge

Add two alternate retentions to the Customer order retention disposition schedule using the data provided.

### Data

Originating Organization	Retention interval	Record
Swindelle Inc.	1 year	order 55511
Krumfast Corporation	2 years	order 65771

### Verification

- Change the Originating Organization value for two of the three records in the Customer Support > Order retention category according to the data provided.
- Trigger cutoff on the three records by setting the Current property value to False.
- Run Disposition Sweep.
- Verify that the record retentions are correct according to the schedule provided in the Data topic.



# Add alternate retentions: Walkthrough

## Introduction

In this exercise, you add alternate retentions to a disposition schedule.

## Procedures

Procedure 1, Add alternate retentions, p. 1-71

Procedure 2, Change record properties, p. 1-72

Procedure 3, Run disposition sweep, p. 1-73

Procedure 4, Verify alternate retentions, p. 1-73

### ***Procedure 1: Add alternate retentions***

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Edit a disposition schedule:
  - a. Click Disposition > Disposition Schedules.
  - b. Open the information page of the Customer order retention disposition schedule.
  - c. On the Reason page, type the following Reason for Change:  
Added alternate retentions.
  - d. Click the Phases link to go to the Disposition Phases page.
  - e. Click the title of the *auto destroy* phase.
3. Add alternate retentions:
  - a. In the Alternate Retentions area of the Phase Properties window, click Add New.

- b. Add two new alternate retentions using the data provided in the table, and then click Accept.

Alternate phase number	Property	Value
1	Property name	Originating Organization(RI)
	Operator	LIKE
	Property Value	Swindelle
	Retention Base	Cut Off Date
	Retention Period Days	1 years, 0 months, 0 days
2	Property name	Originating Organization(RI)
	Operator	LIKE
	Property Value	Krumfast
	Retention Base	Cut Off Date
	Retention Period Days	2 years, 0 months, 0 days

- c. Click Accept.  
d. Click Apply and then click Exit.



### Information

The LIKE operator is useful for evaluating manually entered property values because it allows for variability. For example, *LIKE Swindelle* evaluates as true whether the data is entered as “Swindelle,” “Swindelle Inc.,” or “Swindelle Corporation.” The LIKE operator requires more processing time than other operators, so if the property value comes from a choice list, it is more efficient to use operators such as IS EQUAL, or IS NOT EQUAL.

## Procedure 2: Change record properties

To see the effects of the alternate retentions, you are going to trigger the cutoff of three records by changing the Current property value to False. You are also going to change the Originating Organization of some of the records so that they are under alternate retentions. You are signed into IBM Enterprise Records as rmsue.

1. Go to the Browse page.
2. Go to Customer Support > Order retention.
3. Change the indicated property values for each record:
  - a. Open the properties page.



- b. Change the indicated property values using this data table.

Record	Current	Originating Organization
order 39022	False	<Leave Blank>
order 55511	False	Swindelle Inc.
order 65771	False	Krumfast Corporation

- c. Apply the change and exit.

4. Sign out from IBM Enterprise Records.

### ***Procedure 3: Run disposition sweep***

The changes that you made to the disposition schedule do not take effect until after Disposition Sweep runs. Run Disposition Sweep to reset disposition properties.

1. Run Disposition Sweep using the desktop batch file and wait for it to finish.

### ***Procedure 4: Verify alternate retentions***

After running Disposition Sweep, the records that were scheduled for immediate destruction are reassessed using the new disposition schedule that includes alternate retentions. Use the following procedure to verify that the alternate retentions were applied.

- Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
- Go to Customer Support > Order retention.
- Verify that only order 39022 is ready for disposition.
- Examine the Current Phase Execution Date column.
- Verify that the column displays the following information.

Record	Current phase execution date
order 39022	[Current date on your system]
order 55511	[1 year from the current date]
order 65771	[2 years from the current date]



#### **Hint**

Recall that in prior exercises you set the system date forward by a few months.

6. Sign out of IBM Enterprise Records.



## Lesson 1.7. Work with file plan containers

### Overview

#### 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.

### Activities

- Work with file plan containers: Challenge, p. 1-77
- Work with file plan containers: Walkthrough, p. 1-79

### User accounts

Type	User ID	Password
Records administrator	Administrator	filenet
Records manager	rmsue	filenet



## Work with file plan containers: Challenge

### Scenarios

- You need to create a new volume within a folder. When you create the new volume, the previously open volume closes.
- You close a case folder, but then discover a record that needs to be filed into this folder. You must reopen the folder in order to file the record. Remember to close the folder as soon as you are finished filing.
- You discover a record that was misfiled. The volume that the record belongs in is already closed. You must not reopen the volume because you want to prevent other records from being declared into it. You need to move the record into the closed folder without reopening it.
- You need to create a container but not allow record declaration into it until a later time. You need to make the container inactive. Later, you need to activate the container and all of its child containers.

### Challenges

- Add a new volume to a folder.
- Close and reopen a folder. Declare a record into the reopened folder.
- Move a record into a closed volume without reopening it.
- Use the Inactivate command to render a category unavailable. After you do this task, make the category active again. Activate any child folders that were made inactive.

### Data

The Legal > Case files > Case retention category contains several folders with volumes and records that you can use for this exercise.

### Verification

- Closed containers must display the closed icon.
- Verify that records cannot be declared into closed containers.
- Reopened containers must display the reopened icon.
- Verify that records can be declared into reopened containers.
- Verify that you are able to successfully move a file into a closed volume without reopening the volume.
- Inactive containers must display the inactive icon.



# Work with file plan containers: Walkthrough

## Introduction

In this exercise, you perform several operations on file plan containers, including the following:

- Add a new volume
- Close a folder
- Reopen a folder
- Declare a record into a reopened folder
- Move a file into a closed volume
- Close the reopened folder
- Create a new folder
- Inactivate a container
- Activate a container

## Procedures

Procedure 1, Add a new volume, p. 1-79

Procedure 2, Close a folder, p. 1-80

Procedure 3, Reopen the folder, p. 1-80

Procedure 4, Declare a record into a reopened folder, p. 1-81

Procedure 5, Move a file into a closed volume, p. 1-81

Procedure 6, Close the reopened folder, p. 1-82

Procedure 7, Create a new case folder, p. 1-83

Procedure 8, Make a container inactive, p. 1-83

Procedure 9, Activate a container, p. 1-84

### ***Procedure 1: Add a new volume***

When you create a new volume, the previously open volume closes.

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to Legal > Case files > Case retention > Case20100121.
3. Add a new volume:
  - a. Click Add Volume.
  - b. Click Set Security.

- c. Click Finish and then click OK.
4. Verify that the previous volume is closed. If you declare new records into this folder, they are automatically filed into the new volume.

### ***Procedure 2: Close a folder***

When you close a container, it is fundamentally changed. It can never be *open* again (*reopened* is not the same state as *open*). A closed folder cannot automatically receive new record declarations. Some cutoff triggers are based on the closing of the container. Therefore, closing a container prematurely can have serious consequences. In this scenario, you close a case folder because you believe that all work on the case is finished.

You are signed into IBM Enterprise Records as rmsue.

1. Go to Legal > Case files > Case retention.
2. Close the folder named Case20100121:
  - a. Right-click the folder named Case20100121 and click Close.
  - b. Type *Case closed* in the *Reason for Close* field.
  - c. Click Close.
  - d. Click OK.
3. Verify that the Case20100121 has a Closed icon.

### ***Procedure 3: Reopen the folder***

After you closed the folder, you discover an email that contains an attachment that belongs to the case. You need to reopen the case folder in order to file the record into it. When you reopen the folder, it does not automatically reopen the volume, so you must also reopen the volume before you can file the record.

1. Reopen the folder:
  - a. Right-click the Case20100121 folder and click Reopen.
  - b. Click OK.
2. Verify that folder has a Reopened icon.
3. Open the Case20100121 folder.
4. Verify that both volumes within the folder are still closed. Even though you have reopened the folder, you cannot declare a record into it because no volumes are open.
5. Reopen the Case20100121-00002 volume:
  - a. Right-click the Case20100121-00002 volume and click Reopen.



- b. Click OK.
6. Sign out from IBM Enterprise Records.

### ***Procedure 4: Declare a record into a reopened folder***

When you declare a record into a folder, the record is filed in the currently open (or reopened) volume.

1. Sign in to Workplace as rmsue.
  - Name: rmsue
  - Password: filenet
2. Go to RDOS1 > Case files.
3. Add a new legal case document and declare it as a record using the following data.

Object	Property	Value
Document	Document title	Late case file
	Select file	Any file in Desktop > Exercise Files
Record	Record Class	FPOS1 > Record > Electronic Record
	File plan location	Legal > Case files > Case Retention > Case20100121 > Case20100121-00002
	Reviewer	rmsue

4. Verify that the record is in the reopened volume:
  - a. Sign in to IBM Enterprise Records as rmsue.
    - Name: rmsue
    - Password: filenet
  - b. Go to Legal > Case files > Case retention > Case20100121 > Case20100121-00002.
  - c. Verify that the volume contains the *Late case file* record.
  - d. Sign out of IBM Enterprise Records.

### ***Procedure 5: Move a file into a closed volume***

In this scenario, you discover that the late record has been misfiled. You need to move the record into another volume, but that volume is closed. Although you cannot declare a record into a closed volume unless it has been reopened, you can move a misfiled record into a closed volume within the same folder. To prevent declarations into the closed

volume, you are going to move the record into the volume without reopening it. Only administrators and records managers can move files into closed volumes.

1. Sign in to IBM Enterprise Records as Administrator.
  - Name: Administrator
  - Password: filenet
2. Go to Legal > Case files > Case retention > Case20100121 > Case20100121-00002.
3. Right-click the *Late case file* record and click Move.
4. Click Case20100121-00002 to select it as the source volume to move the record from.
5. Type `Correcting misfile` in the Reason for Relocation field.
6. Click Next.
7. Set the destination:
  - a. Go to Legal > Case files > Case retention > Case20100121 > Case20100121-00001. A warning is displayed to remind you that the volume is closed.
  - b. Click Move.
  - c. Click OK.
8. Go to Legal > Case files > Case retention > Case20100121 > Case20100121-00001 to verify that it contains the *Late case file* record.

### ***Procedure 6: Close the reopened folder***

You must close the reopened folder when you have completed the filing so that it does not remain open to other new files. When you close a folder, the volumes it contains also close.

You are already signed in to IBM Enterprise Records as Administrator.

1. Go to Legal > Case files > Case retention.
2. Close the Case20100121 folder.
  - a. Right-click Case20100121 and click Close.
  - b. Type `Case closed` in the Reason for Close field.
  - c. Click Close.
  - d. Click OK.
3. Go to the Case20100121 folder.

4. Verify that all of the volumes in this folder are closed.

### ***Procedure 7: Create a new case folder***

A new legal case has been initiated, so you must create a new case folder to contain the records for it. The folder inherits the disposition schedule of the category that contains it.

You are signed in to IBM Enterprise Records as Administrator.

1. Go to Legal > Case files > Case retention.
2. Click Add Record Folder.
3. Select the *Case Folder* class.
4. Type the following property values.

Property	Value
Record Folder Name	Case20100319
Folder Unique Identifier	Case20100319

5. Click Next.
6. Verify that this folder inherits the Legal case retention disposition schedule.
7. Click Finish.
8. Click OK.

### ***Procedure 8: Make a container inactive***

You need to temporarily prevent declaration into the Case retention category. You do not want to close the category, however, because closing the category can be a trigger for cutoff. You are going to make the category inactive instead. Records cannot be filed into an inactive container. Unlike a closed container, an inactive container has not undergone a permanent change to the container status. Volumes cannot be made inactive.

You are signed in to IBM Enterprise Records as Administrator.

1. Go to Legal > Case files.
2. Inactivate the Case retention category.
  - a. Right-click the Case retention category and click Inactivate.
  - b. Type `maintenance` in the Reason for Inactivate field.
  - c. Click Inactivate.
  - d. Click OK.
3. Verify that the category displays the Inactive icon.

4. Go to Legal > Case files > Case retention.
5. Verify that all of folders in the category also display the Inactive icon.

### **Procedure 9: Activate a container**

While a container is inactive, no records can be declared into it. You need to activate the container to allow declaration. When you made the *Case files* category inactive, the folders it contained were also made inactive. You must also activate the folders in the category if you want to declare records into them. You can use a Multi-Select action to activate the folders simultaneously.

You are signed in to IBM Enterprise Records as Administrator.

1. Go to Legal > Case files.
2. Activate the Case retention category.
  - a. Right-click the Case retention category and click Activate.
  - b. Click OK.
3. Go to Legal > Case files > Case retention. Inside the Case retention category, the folders are still inactive.
4. Activate the folders:
  - a. Select the check box at the top of the check box column. All of the rows are selected.
  - b. Click Multi-Select Actions > Activate.
  - c. Click OK.
  - d. Verify that none of the folders displays an inactive icon.



#### **Information**

Volumes cannot be made inactive, so you do not need to open each folder to activate the volumes.

## Lesson 1.8. Work with holds

### Overview

#### 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.

### Activities

Place and remove holds: Challenge, p. 1-87

Place and remove holds: Walkthrough, p. 1-89

Place and remove conditional holds: Challenge, p. 1-93

Place and remove conditional holds: Walkthrough, p. 1-95

Make holds inactive and delete holds: Challenge, p. 1-101

Make holds inactive and delete holds: Walkthrough, p. 1-103

### User accounts

Type	User ID	Password
Records manager	rmsue	filenet



## Place and remove holds: Challenge

### Scenario

Three employees with employee numbers 5001, 5002, and 5003, are suddenly terminated. They have initiated a wrongful termination lawsuit against the company, so their employee records must be placed on hold. The company is pursuing a separate legal matter against employee 5002, so employee record 5002 must be placed on a second hold for the purpose of the second case. Later, the wrongful termination case is resolved, so this hold must be removed from the affected employee records. However, the separate case involving employee 5002 continues, so this hold must remain in place.

### Challenge

- Change the Employee status property value to Terminated for records 5001, 5002, and 5003. Then run Disposition Sweep in order to flag these records as ready for disposition.
- Create two legal holds. Create one hold for the wrongful termination suit, and the other hold for the separate legal matter involving only employee 5002.
- Place records 5001, 5002, and 5003 on the first hold. Place record 5002 only on the second hold.
- Attempt to initiate disposition on these records.
- Remove the first hold from all three records and attempt initiation.

### Data

Employee records are in Human Resources > Employee files > Employee file retention.

### Verification

Successfully demonstrate the following:

- The hold icon is displayed for all three records after you place them on hold.
- Holds prevent disposition.
- If a record is on two holds and one hold is removed, the remaining hold prevents disposition.





# Place and remove holds: Walkthrough

## Introduction

In this exercise, you place holds on several records. Then you remove the holds.

## Scenario

Three employees with employee numbers 5001, 5002, and 5003, are suddenly terminated. They have initiated a wrongful termination lawsuit against the company, so their employee records must be placed on hold. The company is pursuing a separate legal matter against employee 5002, so employee record 5002 must be placed on a second hold for the purpose of the second case. Later, the wrongful termination case is resolved, so this hold must be removed from the affected employee records. However, the separate case involving employee 5002 continues, so this hold must remain in place.

## Procedures

Procedure 1, Trigger cutoff for employee records, p. 1-89

Procedure 2, Create two holds, p. 1-90

Procedure 3, Place entities on hold, p. 1-91

Procedure 4, View hold information, p. 1-91

Procedure 5, Test holds, p. 1-92

Procedure 6, Remove one hold, p. 1-92

Procedure 7, Verify that the hold was removed, p. 1-92

### ***Procedure 1: Trigger cutoff for employee records***

You are going to place records on hold to prevent disposition. To see the effects of the holds, the records must be ready for disposition. You are going to trigger cutoff for three records in order to prepare them for disposition.

1. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Trigger cutoff for record 5001:
  - a. Go to Human Resources > Employee files > Employee file retention.
  - b. Click the Information icon for record 5001.

- c. Select Terminated from the Employee status menu.
  - d. Click Apply.
  - e. Click Exit.
3. Use the previous step as a guide to trigger the cutoff of records 5002 and 5003.
  4. Sign out from IBM Enterprise Records.
  5. Run Disposition Sweep using the desktop batch file and wait for it to finish.
  6. Sign in to IBM Enterprise Records as rmsue.
    - Name: rmsue
    - Password: filenet
  7. Go to Human Resources > Employee files > Employee file retention.
  8. Verify that records 5001, 5002, and 5003 are ready for disposition.

## ***Procedure 2: Create two holds***

Three employees (employee records 5001, 5002, and 5003) have recently been terminated and are suing the company for wrongful termination. You must place a hold on these three employee records.

Patrick Secundus (employee record 5002) is suing the company for a separate legal matter. You must place a second hold on the employee record of Mr. Secundus.

You are signed in to IBM Enterprise Records as rmsue.

1. Click the Disposition tab.
2. Click the Holds link. The Holds page opens.
3. Create the first hold:
  - a. Click Add Hold.
  - b. Type *Termination suit* in the Hold Name field.
  - c. Type *Legal* in the Hold Reason field.
  - d. Select *Litigation* from the Hold Type menu.
  - e. Select *True* from the Active menu.
  - f. Click Finish.
  - g. Click OK.
4. Create the second hold:
  - a. Click Add Hold.
  - b. Type *Secundus suit* in the Hold Name field.

- c. Type *Legal* in the Hold Reason field.
- d. Select *Litigation* from the Hold Type menu.
- e. Select *True* from the Active menu.
- f. Click Finish.
- g. Click OK.

### ***Procedure 3: Place entities on hold***

1. Click Browse.
2. Go to Human Resources > Employee files > Employee file retention.
3. Select the check boxes for the following records:
  - a. 5001
  - b. 5002
  - c. 5003
4. Click Multi-Select Actions > Place On Hold
5. Select the check box for the Termination suit hold.
6. Click Hold.
7. Click OK.
8. Place a second hold on record 5002:
  - a. Right-click 5002 and click Place On Hold.
  - b. Select the check box for the Secundus suit hold.
  - c. Click Hold.
  - d. Click OK. Record 5002 has two holds placed on it.

### ***Procedure 4: View hold information***

You can tell that an entity is on hold by observing the hold icon. However, the icon does not show which holds apply or how many holds have been placed on that entity. You can view the holds from the information page in order to see which holds apply to an entity.

1. Click the information icon for record 5002.
2. Click Holds in the Record Information area to open the Holds information page.
3. Verify that both holds are listed.
4. Click Exit.

### ***Procedure 5: Test holds***

You are going to initiate disposition on the Employee file retention category in order to test the hold.

1. Go to Human Resources > Employee files.
2. Right-click the Employee file retention category and click Initiate Disposition. A failure message is displayed.
3. Click the Hold icon to view the error information.
4. Click Exit.
5. Click OK.

### ***Procedure 6: Remove one hold***

The first hold is no longer necessary, so you must remove the hold from affected entities. You can remove a hold either from the information page of the entity itself or from the hold information page. Because the hold must be removed from all affected entities, you are going to remove the hold from the hold information page.

1. Click the Disposition tab.
2. Click Holds.
3. Click the Information icon for the Termination Suit hold.
4. Click Entities On Hold in the Hold Information area to display a list of entities on this hold.
5. Click Search.
6. Select all of the entities that the search returns.
7. Click the Remove Hold button.
8. Click OK.
9. Click Exit.

### ***Procedure 7: Verify that the hold was removed***

1. Click Browse tab.
2. Go to Human Resources > Employee files > Employee file retention.
3. Verify that only record 5002 is currently on hold.

## Place and remove conditional holds: Challenge

### Scenarios

- Case1234. This case involves all records that were declared by Record Reviewer Joe (rrjoe) during the month of January 2010. Create a conditional hold for all records that meet these conditions. After the matter is settled, the hold must be removed. You submit a Remove Hold Request to remove the hold.
- Model 200 recall. A recall suit has been initiated for Model 200. You must put a hold on all records that include the phrase "Model 200".

### Challenge

- Configure Hold Sweep for your system.
- Create a conditional hold that meets the requirements of the Case1234 scenario.
- Run Hold Sweep to apply the conditional hold.
- Initiate a Remove Hold request, and then run Hold Sweep again to remove the holds.
- Create a conditional hold that meets the requirements of the Model 200 recall scenario.

### Hold Sweep configuration data

Property	Value
CE server name*	hqdemo1
Port number*	9080
File Plan Object Store Name	FPOS1
User ID	Administrator
Password	filenet

### Verification

- The Case1234 hold affects 10 records, all of which were created by rrjoe during the month of January 2010.
- After the Remove Hold Request is processed by Hold Sweep, no records are on the conditional hold.
- The Model 200 recall hold affects one record named *theta*.



# Place and remove conditional holds: Walkthrough

## Introduction

In this exercise, you create and place a conditional hold. Then, you configure Hold Sweep and run it. Hold Sweep places applicable records on hold. You then remove the hold by initiating a Remove Hold Request.

## Scenarios

- Case1234. This case involves all records that were declared by Record Reviewer Joe (rrjoe) during the month of January 2010. Create a conditional hold for all records that meet these conditions. After the matter is settled, the hold must be removed. You submit a Remove Hold Request to remove the hold.
- Model 200 recall. A recall suit arises for Model 200. You must put a hold on all records that include the phrase "Model 200."

## Procedures

Procedure 1, Configure Hold Sweep, p. 1-95

Procedure 2, Create a conditional hold, p. 1-96

Procedure 3, Apply and verify the conditional hold, p. 1-97

Procedure 4, Remove a conditional hold, p. 1-98

Procedure 5, Verify conditional hold removal, p. 1-98

Procedure 6, Place a content-based conditional hold, p. 1-98

Procedure 7, Apply and test the conditional hold, p. 1-99

### ***Procedure 1: Configure Hold Sweep***

Conditional holds require Hold Sweep to place affected records on hold. You must configure Hold Sweep before you run it for the first time.

1. Open a command prompt and type the following:

```
cd C:\Program Files\FileNet\RM\RecordsManagerSweep
```

2. Type `RecordsManagerSweep -holdswEEP -configure` and then press Enter. The Dynamic Holds Sweep Configuration Console opens.

3. In the Dynamic Holds Sweep Configuration Console, enter the following data.

Property	Value
CE server name	hqdemo1
Port number	9080
File Plan Object Store Name	FPOS1
User ID	Administrator
Password	filenet

4. Click Configure.
5. Click OK. Hold Sweep is configured.
6. Close the command window.



### Information

To run Hold Sweep, use the same command without the `-configure` flag. For convenience, you can also use the desktop batch file.

## Procedure 2: Create a conditional hold

For Case1234, you must create a hold for all records declared by Record Reviewer Joe during the month of January 2010.

You are already signed in to IBM Enterprise Records as rmsue.

1. Sign in to IBM Enterprise Records as records manager Sue.
  - Name: rmsue
  - Password: filenet
2. Go to Disposition > Holds.
3. Click Add Hold.
4. On the Set properties page, type the following values.

Property	Value
Hold name	Case1234
Hold reason	Legal
Hold type	Litigation
Active	True

5. Click Next.



## 6. Add a condition:

- a. Click the Change button in the Set Record Condition area. The Add Dynamic Hold Criteria page opens.
- b. Select *Creator\** from the Property {1} menu.
- c. Select *Date Created\** from the Property {2} menu.
- d. Select *Date Created\** from the Property {3} menu.

Because you need to set beginning and end dates, you use the *Date Created\** property twice.

- e. Click Accept Changes. The Add Dynamic Hold Criteria page closes. The properties that you selected are displayed in the Set Record Condition area.

## 7. Set the property values using this table.

Property name	Operator	Property Value	Join Type
Creator	=	Records Reviewer Joe	AND
Date Created	> OR =	1/1/10	
Date Created	< OR =	1/31/10	

## 8. Click Finish.

## 9. Click OK.

**Procedure 3: Apply and verify the conditional hold**

Conditional holds take effect when Hold Sweep runs. To ensure that your conditional hold works, you are going to run Hold Sweep and then verify that the records placed on hold satisfy the conditions of the hold.

1. Double-click the Run holdsweep.bat desktop icon.
2. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
3. Go to Disposition > Holds.
4. Open the Information page for the Case1234 hold.
5. Use skills that you have previously learned to verify that there are 10 entities that are on this hold.
6. Inspect the properties of any of these records to verify that the hold was correctly applied:
  - a. All records were created by Record Reviewer Joe (rrjoe).

- b. All records were created during the month of January 2010.



### Hint

The Date Created property is shown on the Detail information page in the Additional Record Details area.

### ***Procedure 4: Remove a conditional hold***

Conditional holds cannot be removed manually, as other holds can be. To remove a conditional hold, you must initiate a Remove Hold request. After you initiate the request, the hold is removed the next time that Hold Sweep runs. Use the following procedure to remove the conditional hold.

You are signed in to IBM Enterprise Records as rmsue.

1. Go to Disposition > Holds.
2. Right-click the Case1234 hold and click Initiate Remove Hold Request.
3. Click Accept.
4. Sign out from IBM Enterprise Records.

### ***Procedure 5: Verify conditional hold removal***

You have initiated a Remove Hold Request. The changes do not take place until after Hold Sweep runs again.

1. Double-click the Run Hold Sweep.bat icon on your desktop.
2. Sign in to IBM Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
3. Go to Disposition > Holds.
4. Use skills that you have previously learned to verify that no records are currently under the hold for Case1234.

### ***Procedure 6: Place a content-based conditional hold***

A recall suit for Model 200 has been initiated. You must place records on hold that mention this product. Records can be placed on hold based on words or phrases in the content element of the originating document. In this procedure, you create a hold that applies to

records with the phrase “Model 200” in the content element. You are signed in to IBM Enterprise Records as rmsue.

1. Go to Disposition > Holds.
2. Click Add Hold.
3. On the Set properties page, type the following values.

Property	Value
Hold Name	Model 200 recall
Hold Reason	Legal
Hold Type	Litigation
Active	True

4. Click Next.
5. On the Set Conditions page, do the following:
  - a. Type `Model 200` in the Content Contains field.
  - b. Select Content from the menu in the Content Contains area.
6. Click Finish
7. Click OK.

### ***Procedure 7: Apply and test the conditional hold***

You have created a conditional hold based on a phrase that might be in one of the record content elements. When you run Hold Sweep, all of the records that meet this condition are placed on hold. Use skills that you have previously learned to verify these conditions.

1. Run Hold Sweep.
2. Use skills that you have learned to verify that one record named *theta* was placed on the Model 200 recall hold.



#### **Note**

If you declared the Model 200 document in any of the previous exercises, then those records have also been placed on hold.



## Make holds inactive and delete holds: Challenge

### Scenario

The current Termination case has been closed, but it is likely that a similar case might open again in the future. This hold cannot be currently used, but it might be used again in the future. You need to make the hold inactive so that it cannot be currently used, but remains in the system to be used at a future time.

Case1234 can be deleted because it is no longer needed.

You attempt to delete the Secundus suit hold, but a record is currently on this hold.

### Challenge

- Inactivate the Termination suit hold
- Delete the Case1234 hold.
- Demonstrate that you cannot delete a hold if there is a record that is on that hold. To do this, attempt to delete the Secundus suit hold.

### Verification

- Attempt to place a record on the Termination suit hold, and verify that the system does not allow you to place inactive holds on entities.
- The Case1234 hold is deleted.
- The Secundus suit hold cannot be deleted.



# Make holds inactive and delete holds: Walkthrough

## Introduction

In this exercise, you make a hold inactive and delete a hold.

## Scenario

The current Termination case has been closed, but it is likely that a similar case might open again in the future. This hold cannot be currently used, but it might be used again in the future. You need to make the hold inactive so that it cannot be currently used, but remains in the system to be used at a future time.

Case1234 can be deleted because it is no longer needed.

You attempt to delete the Secundus suit hold, but a record is currently on this hold.

## Procedures

Procedure 1, Make a hold inactive, p. 1-103

Procedure 2, Test the inactive hold, p. 1-103

Procedure 3, Delete a hold, p. 1-104

### ***Procedure 1: Make a hold inactive***

You are signed in to IBM Enterprise Records as rmsue.

1. Sign in to IBM Enterprise Records as rmsue:
  - Name: rmsue
  - Password: filenet
2. Go to Disposition > Holds.
3. Click the Information icon for the Termination suit hold.
4. Change the Active property value to False.
5. Click Apply.
6. Click Exit.

### ***Procedure 2: Test the inactive hold***

1. Click Browse.

2. Go to Human Resources > Employee files > Employee file retention.
3. Right-click record 3567 and click Place On Hold.
4. Select the check box for the Termination suit hold.
5. Click Hold. An error message is displayed. The hold was not applied because it is an inactive hold.
6. Click Return.
7. Click OK.

### ***Procedure 3: Delete a hold***

You can delete holds if you no longer need them, but only if no entities are on that hold. Perform the following steps to remove holds and observe the results.

You are signed in to IBM Enterprise Records as rmsue.

1. Go to Disposition > Holds.
2. Delete the Case1234 hold:
  - a. Right-click the Case1234 hold and click Delete.
  - b. Click Accept.
3. Attempt to delete the Secundus suit hold.
  - a. Right-click the Secundus suit hold and click Delete.
  - b. Click Accept. An error message is displayed. An entity is on this hold, so you cannot delete it.
  - c. Click Return.
  - d. Click Exit.



# Unit 2. IBM Enterprise Records 5.1: System Configuration

## Unit overview

### Lessons

Lesson 2.1 - Configure an object store for record declaration, page 2-3

Lesson 2.2 - Create a record class, page 2-13

Lesson 2.3 - Create links, page 2-23

Lesson 2.4 - Modify security, page 2-37

Lesson 2.5 - Use security markings, page 2-53

Lesson 2.6 - Export and import a file plan, page 2-65

### 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

The activities in this unit must be performed in the given order.

### 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.



## Lesson 2.1. Configure an object store for record declaration

### Overview

### Why is this lesson important?

You are helping the records manager add a new department to the file plan. The department has its own object store from which they declare records. In order for them to declare records, you must first configure their object store for record declaration.

### Activities

- Create the Finance category in the file plan: Activity, page 2-5
- Configure an object store for record declaration: Challenge, page 2-7
- Configure an object store for record declaration: Walkthrough, page 2-9

### User accounts

	User name	Password
	Administrator	filenet



#### Note

Passwords are always case-sensitive. User names are not case-sensitive.



## Create the Finance category in the file plan: Activity



### Important

This activity is required for both skill levels.

Before you begin the next exercise, you must create the Finance category in the FPOS1 file plan.

### ***Procedure 1: Create the Finance category***

Use skills that you have previously acquired to create the Finance category and two subcategories.

1. Start Internet Explorer on your student system.
2. Go to <http://hqdemo1:9080/RecordsManager>.

**Tip:** A browser shortcut called IBM Enterprise Records has been provided for your convenience.

3. Sign in to IBM Enterprise Records:
  - Name: Administrator
  - Password: filenet
4. Create the Finance category and subcategories using the following structure (category IDs are in parenthesis):

File Plan

Finance (FI)

Contracts (FI-001)

Invoices (FI-002)

5. Sign out from IBM Enterprise Records.

### ***Procedure 2: Edit default instance security***

You need to change the default instance security on the Electronic Record class before you declare records.

1. Start the FileNet Enterprise Manager Administration Tool:
  - a. Click Start > Programs > IBM FileNet P8 Platform > FileNet Enterprise Manager Administration Tool.
  - b. Click Connect. The User name and password are saved so that you do not need to enter credentials.
2. In Enterprise Manager, go to FPOS1 > Document Class > Record > Electronic Record.

3. Open the properties for the Electronic Record class definition.
4. Click the Default Instance Security tab.
5. Remove each of the following groups by selecting its row and then clicking the Remove button:
  - RMAdminG
  - RMManagerG
  - RMReviewerG
  - RMUserG
  - RMPhysicalKeepersG
6. Click OK.
7. Close FileNet Enterprise Manager.

## Configure an object store for record declaration: Challenge

### Challenge

Use the IBM Enterprise Records web application, Workplace, and Enterprise Manager to complete the following tasks.

- Configure the Finance object store to be a record-enabled document object store (RDOS) using the Base data model.
- Configure the Document class and the Email and Invoice subclasses on the Finance object store to be declarable.
- Configure Workplace to allow record declaration from the Action menu for documents in the Finance object store.



#### Note

**Reminder:** The user interface and documentation use the term ROS to refer to a record-enabled document object store. Your course materials use the term RDOS instead.

### Verification

In Workplace, add a document to the Finance object store and declare it as a record. Verify that the record is successfully added to the file plan.





# Configure an object store for record declaration: Walkthrough

## Introduction

In this exercise, you enable the Finance object store for record declaration.

## Procedures

Procedure 1, Configure the object store as an RDOS, page 2-9

Procedure 2, Set the Can Declare property to True, page 2-10

Procedure 3, Enable record declaration from Workplace, page 2-10

Procedure 4, Test record declaration from Workplace, page 2-11



### Note

**Reminder:** The user interface and documentation use the term ROS to refer to a record-enabled document object store. Your course materials use the term RDOS instead.

### ***Procedure 1: Configure the object store as an RDOS***

To enable an object store for record declaration, you must configure it as an RDOS. You do this task using the IBM Enterprise Records web application.

1. Start the Enterprise Records web application.
  - a. Go to the following web address: <http://hqdemo1:9080/RecordsManager>
  - b. Sign in to IBM Enterprise Records:
    - Name: Administrator
    - Password: filenet
2. Click the Configure tab and then click Object Store Configuration.
3. Configure the object store.
  - a. Click Configure Object Store.
  - b. Click the Finance object store name.
  - c. Select ROS as the object store type.
  - d. Click Finish.
  - e. Click OK when the configuration process is done.
4. Sign out from IBM Enterprise Records.

## ***Procedure 2: Set the Can Declare property to True***

When an object store is record-enabled, the Can Declare property is added to the Document class and its subclasses. The value of the property is False by default. Use the following procedure to set the Can Declare property to True on the Document class and two of its subclasses.

1. Sign in to Enterprise Manager as Administrator.

**Tip:** A shortcut for Enterprise Manager is on the Windows Taskbar and in the Administration Tools folder on your student system desktop.

2. In Enterprise Manager, locate the root Document class on the Finance object store.
3. Select the Document class and open its Properties window.
4. Set the Can Declare property definition default value to True.
  - a. Click the Property Definitions tab.
  - b. Select the Can Declare property and click Edit.
  - c. Click the More tab.
  - d. Set the Default Value setting to True and click OK.
  - e. Click OK to close the Properties window.
  - f. When the Propagate Metadata Changes window opens, verify that the Can Declare check box is cleared.
  - g. Click OK to prevent propagating this change to all of the Document subclasses.
5. Use the technique learned in step 4 to set the Can Declare property definition default value to True for the Email and Invoice document subclasses.
6. Close Enterprise Manager.

**Tip:** For these two classes, you need to show the inherited properties to see the Can Declare property.

## ***Procedure 3: Enable record declaration from Workplace***

You have enabled declaration for the document classes that you want to declare. However, you must also enable declaration at the object store level in Workplace in order to declare records using the Action menu. Use the following procedure to enable record declaration on an object store in Workplace.

1. Start the Workplace web application.
  - a. Go to the following web address:

<http://hqdemo1:9080/Workplace>

**Tip:** A browser shortcut called IBM FileNet Workplace has been provided for your convenience.

- b. Sign in as Administrator.
  - Name: Administrator
  - Password: filenet
2. Click Admin > Site Preferences > Object Stores > Finance.
3. Under the Records Management section, change the Support Declare Records value to Yes.
4. Click Apply and then exit Site Preferences.

#### ***Procedure 4: Test record declaration from Workplace***

You have configured an object store to allow record declaration. To be sure that you did this correctly, you need to declare a record from it. You also need to test each class for which you enabled declaration in order to ensure that they are all declarable.

1. If necessary, sign in to Workplace as Administrator.
  - Name: Administrator
  - Password: filenet
2. Add a folder to the Finance object store.
  - a. Browse to the Finance object store.
  - b. Start the Add Folder wizard.
  - c. Name the folder Test.
  - d. Configure the security to allow all of the Finance groups listed to file documents in this folder. Accept the default security for non-Finance groups.
  - e. Complete the wizard.
3. Add a document to the folder that you created.
  - a. Accept the default Document class.
  - b. Name the document TestDeclareDoc.



#### **Important**

You must name the document TestDeclareDoc. The name of this document is used in a subsequent exercise.

- c. Add the document as a major version.
- d. Accept the default security settings.
- e. For content, choose any file from the Exercise Files folder on your student system desktop.

- f. Click Finish, but do **not** click OK. Continue to the next step.
4. Declare the document as a record without a template.
  - a. Click Declare as Record.
  - b. Click Accept to continue declaring an unclassified record without a template.
  - c. Click Select Class and then click FPOS1 > Record > Electronic Record.
  - d. File the record in File Plan > Finance > Invoices.
    - i. Click Select File Plan Location.
    - ii. Click Finance [Finance].
    - iii. Select the Invoices [Invoices] check box, and click Add to selection.
    - iv. Click Accept.
  - e. Click Next.
  - f. Enter `Administrator` in the Reviewer field and complete the wizard.
5. Use the following data to add and declare an Email document and an Invoice document as records. Type `Administrator` in the Reviewer field for both records.

Document class	Record class	File Plan location
Email	FPOS1 > Email Record	Finance > Invoices
Invoice	FPOS1 > Record > Electronic Record	Finance > Invoices

- a. Provide any property values that you want for the required fields and accept the default security settings.
  - b. For content, choose any files from the Exercise Files folder on your student system desktop.
6. Sign out of Workplace.
7. Sign in to Enterprise Records as Administrator and verify that the records were added to the Finance > Invoices category.
8. Close Enterprise Records.

## Lesson 2.2. Create a record class

### Overview

### Why is this lesson important?

Users in your company need to declare product documents as records. They need custom document property values to populate the record object automatically. Your task is to create a record class with custom properties that take the values of the originating document.

### Activities

- Create a record class that allows property mapping: Challenge, page 2-15
- Create a record class that allows property mapping: Walkthrough, page 2-17

### User accounts

	User name	Password
	Administrator	filenet



#### Note

Passwords are always case-sensitive. User names are not case-sensitive.



## Create a record class that allows property mapping: Challenge

### Challenge

Use Enterprise Manager and Workplace to complete the following tasks.

- Identify the custom property templates in the Product document class on the Development object store.
- Import these property templates into the FPOS1 object store.
- Make these property templates declarable on FPOS1.
- Create a new record class on FPOS1 named ProductRecord that includes the custom property templates from the Product class.

### Verification

Add a document using the Product class to Development > Products > Luxury Models.

Declare it as a record using the ProductRecord class.

Verify that the custom property values on the document are assigned to the record when it is declared.





# Create a record class that allows property mapping: Walkthrough

## Introduction

In this exercise, you create a record class with custom properties that correspond to those of a particular document class, so that when these kinds of documents are declared as records, the records take the specified property values of the originating document.

## Procedures

Procedure 1, Import property templates, page 2-17

Procedure 2, Configure properties for declaration, page 2-19

Procedure 3, Create a record class, page 2-19

Procedure 4, Test the new record class, page 2-20

### ***Procedure 1: Import property templates***

In order for properties to be automatically mapped during declaration from the source document to the record object, the symbolic names of the properties on the document class and the record class must be identical. One way to make sure that they are identical is to export the property templates from the RDOS and import them to the FPOS. Use the following procedure to export and import custom properties used by the Product class.

1. Prepare to export the property templates.
  - a. If necessary, sign in to Enterprise Manager as Administrator.
    - Name: Administrator
    - Password: `filenet`
  - b. Make sure that the export manifest for the Development object store is empty.
    - i. Click Object Stores > Development > Export Manifest.
    - ii. Click Action.
    - iii. If the Remove All Objects command is available from the menu, click it. If not, go to the next step.
2. Browse to the Product document class node on the Development object store.
3. Verify that the Product class has the following custom properties:
  - `model_code`
  - `product_id`
  - `style`
4. Locate these three property templates in Development > Property Templates.

5. Add the three property templates that you found in the previous steps to the export manifest.
  - a. Select each property template, and then click Action > Add to Export Manifest. In each case, accept the default settings on the Include Options window and click OK.
6. Export the three property templates.
  - a. Select the Development > Export Manifest node.
  - b. Click Action > Export All Objects.
  - c. Accept the default Export File Location value.

A value is not required for the Content Folder field, but you can leave the default value of *content* for convenience.
  - d. Click OK.
  - e. Allow the system to create folders for you if you are prompted.
  - f. Overwrite an existing file if you are prompted to do so.
  - g. Click OK to close the Export Status window.
7. Import the property templates to the FPOS1 object store.
  - a. Click FPOS1 > Action > All Tasks > Import All.
  - b. In the FPOS1 Import Helper window, browse to C:\ and select the export manifest file that you created.

If you accepted the default values in step 6, you do not have to change any paths or file names.

You do not have to specify a value for the External Content Path field because no content is being imported.
  - c. In addition to the default Standard Options, select the Retry Failed Imports check box.
  - d. Click Import.
  - e. After the import operation is successful, click Exit to close the Import Status window, and then close the Import Helper window.
8. Verify that the three property templates are now on FPOS1 and that the Create Date column for each shows the current date and time.

**Tip:** Sort the items by the Create Date column value. The three properties are listed together as the most recent items.

## ***Procedure 2: Configure properties for declaration***

Properties must be configured in order for them to be displayed in the user interface during declaration. Use the following procedure to make each property declarable.

1. In Enterprise Manager, go to FPOS1 > Property Templates.
2. For each of the following property templates, add the word *declare* to the Description field.
  - model\_code
  - product\_id
  - style
  - a. Follow these guidelines for adding the word *declare* to the description:
    - The Description field is on the General tab of the Properties page.
    - Use lowercase letters only.
    - If the Description field contains a comment, use a comma to separate *declare* from the rest of the comment.
    - Do **not** include a space after the comma.

Example: model\_code,declare
  - b. Click OK to accept and save each change.

## ***Procedure 3: Create a record class***

You have imported and configured the property templates that you are going to use for record declaration. Now you can create the record class. Use the following procedure to create the record class.

1. In Enterprise Manager, create a new subclass of the Electronic Record class on FPOS1.
  - a. Go to FPOS1 > Document Class > Record > Electronic Record.
  - b. Click Action > New Class.
  - c. Name the new class ProductRecord.
  - d. On the Select Properties page, add the following properties to the Selected column:
    - model\_code
    - product\_id
    - style
  - e. Finish creating the ProductRecord class using default values.
2. Close Enterprise Manager.

### ***Procedure 4: Test the new record class***

Test the new record class by declaring a record and observing the outcome. If your preceding record class creation was successful, all three custom properties are displayed in the record declaration interface, and each of the custom properties is automatically populated with values from the originating document.

Use the following procedure to add a document to the Development object store.

1. Stop and restart the Workplace application to clear the metadata cache.
  - a. Start the IBM WebSphere Application Server Administrative Console.
    - i. Go to the following web address:  
`https://hqdemo1:9043/ibm/console`  
**Tip:** A browser shortcut link called WebSphere Administrative Console has been provided for your convenience.
  - b. Sign in as Administrator.
    - Name: Administrator
    - Password: filenet
  - c. Click Applications > Enterprise Applications.
  - d. Select the check box for Workplace and click Stop.
  - e. After the application stops, select the check box for Workplace and click Start.
  - f. After the application restarts, sign out of the WebSphere Administrative Console.

2. Sign in to Workplace as Administrator and add a new document to the following location:

- Name: Administrator
- Password: filenet

Development > Products > Luxury Models

- a. Use the data from the following table to populate the document property values. Use default values where not specified.

Document property	Value
Document class	Product
Document title	TestProductDoc
product_id	L42001
model_code	420
style	Luxury
Local File	Desktop > Exercise Files/In Planning Luxury Model 420.doc

- b. Click Finish, but do **not** click OK. Continue to the next step.

3. Declare TestProductDoc as an unclassified record without a template. Use the data in the following table to specify the record class and location.

Record property	Value
Record class	FPOS1 > Record > Electronic Record > ProductRecord
File plan location	Development > Testing

4. Verify that the following properties are automatically populated. Do not change any of these property values.
  - Document Title
  - model\_code
  - product\_id
  - style
5. Enter rmsue for the Reviewer property and finish the Declare Records wizard.
6. Sign in to Enterprise Records as Administrator and locate the record that you declared. Inspect the property values and confirm that they are the same values that you assigned to the source document.
  - Name: Administrator
  - Password: filenet
7. Sign out of IBM Enterprise Records.



## Lesson 2.3. Create links

### Overview

#### Why is this lesson important?

The records manager at your company needs a way to associate product description document records with their technical specifications and marketing documents. When she attempts to create a link, however, she receives a message stating that the link class is read-only. Your task is to enable editable IBM Enterprise Records link classes so that she can add links.

Your company performs various tests on each product before releasing it. Each test has its own detailed results record. Additionally, all of the test results for a product are tabulated in a single, summary record. Your task is to allow the individual test result records to be linked to the summary record so that all the components of the test package can be found easily.

### Activities

- Enable editable link classes: Challenge, page 2-25
- Enable editable link classes: Walkthrough, page 2-27
- Create and use a new link class: Challenge, page 2-31
- Create and use a new link class: Walkthrough, page 2-33

### User accounts

	User name	Password
	Administrator	filenet
	rmsue	filenet



#### Note

Passwords are always case-sensitive. User names are not case-sensitive. Many user names use only lowercase letters on the student system.





## Enable editable link classes: Challenge

### Challenge

Use Workplace and the Enterprise Records web application to complete the following tasks.

- Enable editable link classes on the FPOS1 object store.
- Declare two records.
- Create a Record See Also Link between them.

### Verification

For each record, view the links from the Record Information page. Verify that each record displays a link to the other record.



# Enable editable link classes: Walkthrough

## Introduction

In this exercise, you enable and test existing link classes in Enterprise Records. Then you create and test a new link class.

## Procedures

Procedure 1, Enable editable Enterprise Records link classes, page 2-27

Procedure 2, Create two records for linking, page 2-28

Procedure 3, Create a Record See Also link, page 2-28

Procedure 4, Inspect the link, page 2-29

### ***Procedure 1: Enable editable Enterprise Records link classes***

You must first enable editable Enterprise Records link classes in Workplace Site Preferences before these links can be created. Use the following procedure to enable editable link classes.

1. Sign in to Workplace as Administrator.
  - Name: Administrator
  - Password: filenet
2. Click Admin > Site Preferences > Object Stores > FPOS1.
3. Add Enterprise Records link classes.
  - a. Scroll down to the Editable Link Classes section.
  - b. Click Add Link Class.
  - c. Click RM Link.
  - d. Verify that RM Link is displayed under Editable Link Classes on the Site Preferences page.
4. Select the Include Subclasses check box for the RM Link class.
5. Apply the changes.
6. Exit Site Preferences and sign out of Workplace.

**Procedure 2: Create two records for linking**

Use the following procedure to declare two records so that you can create a link between them.

1. Sign in to Workplace as rmsue:
  - Name: rmsue
  - Password: filenet
2. Declare a product record.
  - a. Browse to Development > Products > Completed Tests.
  - b. Declare the document Testing Status Basic Model A.doc as a record without a template.
    - i. Use the ProductRecord record class, a subclass of Electronic Record, from the FPOS1 object store.
    - ii. Specify the file plan location as Development > Testing.
    - iii. Enter rmsue in the Reviewer field and finish the record declaration process.
3. Use Workplace to add a new document to Development > Products > Completed Tests.
  - a. Use the default Document class.
  - b. Enter the Document title User Manual for Basic Model A.
  - c. Use the User Manual for Basic Model A.doc in the Exercise Files folder on the desktop as the source document.
  - d. Accept defaults for all other values.
4. Declare this new document as a record without a template.
  - a. Specify FPOS1 > Electronic Record as the record class.
  - b. Specify the file plan location as Development > Testing.
  - c. Enter rmsue in the Reviewer field and finish the record declaration process.
5. Sign out of Workplace.

**Procedure 3: Create a Record See Also link**

Use the following procedure to create a Record See Also Link between two records.

1. Sign in to Enterprise Records as rmsue.
  - Name: rmsue
  - Password: filenet
2. Open the Record Information page of the first record that you declared in the previous procedure in the file plan.
  - a. Browse to File Plan > Development > Testing.

- b. Click the *Get info* icon next to the Testing Status Basic Model A record.
3. Create a Record See Also Link to the second record that you declared.
  - a. In the Actions menu, click Create Link.
  - b. Click Change Class near the top of the page and then click Record See Also Link.
  - c. Click Select Value next to the Link To property.
  - d. Browse to the following location in the file plan:  
Records Management > File Plan > Development > Testing.
  - e. Click Select Current Version under the User Manual for Basic Model A record.
  - f. Enter `Link between User Manual and Testing Status Record` as the link name, accept the default security, and then complete the wizard.
  - g. Review the summary information on the Add Confirmation page and click OK.
  - h. Click Exit to close the Record Information page of the record.
  - i. Leave Enterprise Records open for the next procedure.

#### ***Procedure 4: Inspect the link***

Inspect the link and observe the results of your actions. Each record now has a link to the other record.

1. In Enterprise Records, open the Information page of the Testing Status Basic Model A record.
2. View the Links page.
  - a. In the Record Information menu, click Links.
3. Examine the details of the link.
  - a. Click Record See Also Link.
  - b. Verify that the User Manual for Basic Model A is listed as the record that the link points to.
4. Examine the Link Info Page.
  - a. Click Link Info Page under the user manual record.
  - b. Verify that the Link From value near the top of the page refers to the record from which you created the link.
  - c. Verify that User Manual for Basic Model A is listed as the value of the Link To field.
  - d. Verify that the Link Name field contains the value that you entered in the previous procedure.
  - e. Close the Link Information page and the Record Information page.

5. View the link information on the User Manual for Basic Model A record.
  - a. Open the Information page of the User Manual for Basic Model A record.
  - b. In the Record Information menu, click Links.
  - c. Click Record See Also Link.
  - d. Click Link Info Page under the Testing Status Basic Model A record.
  - e. Verify that the Link From and Link To fields contain the expected values. Note that these values are reversed from what was displayed when you examined the link information starting from the other record.
  - f. Verify that the Link Name field contains the value that you entered.
  - g. Close the Link Information page and the Record Information page.
6. Sign out of Enterprise Records.

## Create and use a new link class: Challenge

### Challenge

Use Enterprise Manager, Workplace, and the Enterprise Records web application to complete the following tasks.

- Create a new link class as a subclass of RM Link with a custom property that uses the Testing Status choice list.
- Declare three records, one as a master and two as supporting records.
- Link each of the supporting records to the master record using the new link class that you created. Set the value on the custom property that uses the Testing Status choice list.

### Verification

Verify that each record displays a link to the appropriate record, and confirm that you can see the Testing Status value on the link from each of the records.





# Create and use a new link class: Walkthrough

## Introduction

In the previous exercise, you created links using an existing link class. In this exercise, you create a new link class with a custom property to hold status information about the records that are linked. Then you declare and link records together to test your new link class.

## Procedures

Procedure 1, Create a new link class, page 2-33

Procedure 2, Test the new link class, page 2-34

### ***Procedure 1: Create a new link class***

Use the following procedure to create a new link class with a custom property.

1. Create a new property template for the new link class.
  - a. If necessary, sign in to Enterprise Manager as Administrator.
    - Name: Administrator
    - Password: `filenet`
  - b. Create a new property template on FPOS1 that meets the following requirements:
    - Property name: Testing Status
    - Data type: String
    - Choice list: Testing Status
    - Single- or multi-value property: Single
2. Create a new link class that uses the new property template.
  - a. In the FPOS1 object store, click Other Classes > Link > RM Link > Action > New Class.
  - b. Name the class Testing Status Link.
  - c. Add the Testing Status property to this class.
  - d. Accept the default values as you complete the Create a Class wizard.
3. Close Enterprise Manager.
4. Stop and restart the Workplace application to clear the metadata cache.
  - a. Sign in to the IBM WebSphere Application Server Administrative Console:
    - Name: Administrator
    - Password: `filenet`
  - b. Click Applications > Enterprise Applications.

- c. Select the check box for Workplace and click Stop.
- d. After the application stops, select the check box for Workplace and click Start.
- e. After the application restarts, sign out of the WebSphere Administrative Console.

## ***Procedure 2: Test the new link class***

In this procedure, you declare a master record that contains the testing status for one product. Then you create links to two of the manuals that are used in the testing of that product. When you create the links between the master record and the manuals, you include the testing status information for each manual using the Testing Status custom property that you created for the new link class.

1. Sign in to Workplace:
  - Name: Administrator
  - Password: filenet
2. Add three new Product documents to Development > Products > Completed Tests. On the final step of the Create Document wizard, declare the documents as records.

Use the data in the following table to create the documents and records. Accept default values for any items not specified in the table.

Property	Value
Document Class	Product
Document Title	<ul style="list-style-type: none"><li>• Document 1: Testing Status Basic Model B</li><li>• Document 2: Service Manual for Basic Model B</li><li>• Document 3: User Manual for Basic Model B</li></ul>
product_id	B00B01
model_code	B
style	Basic
Local File	Get files from the Exercise Files folder on your desktop. <ul style="list-style-type: none"><li>• Document 1: Testing Status Basic Model B.doc</li><li>• Document 2: Service Manual for Basic Model B.doc</li><li>• Document 3: User Manual for Basic Model B.doc</li></ul>
Record Class	FPOS1 > Record > Electronic Record > ProductRecord
File Plan Location	Development > Testing
Reviewer	rmsue

3. Sign out of Workplace.
4. Create Testing Status links between the master Testing Status record and both of the other new records.
  - a. Sign in to Enterprise Records:
    - Name: Administrator
    - Password: filenet
  - b. Browse to File Plan > Development > Testing.
  - c. Use the knowledge that you gained about creating links from the previous exercise to create a Testing Status link between the User Manual for Basic Model B record and the Testing Status Basic Model B record. Use the data in the following table to create the links. Accept default values for any items not specified in the table.

Item	Value
Record to start from	User Manual for Basic Model B
Link Class	RM Link > Testing Status Link
Link To	Records Management > File Plan > Development > Testing > Testing Status Basic Model B > Select Current Version
Link Name	Link for User Manual
Testing Status	Pass

- d. Create a link between the Service Manual for Basic Model B record and Testing Status Basic Model B. Use the data in the following table to create the links. Accept default values for any items not specified in the table.

Property	Value
Record to start from	Service Manual for Basic Model B
Link Class	RM Link > Testing Status Link
Link To	Records Management > File Plan > Development > Testing > Testing Status Basic Model B > Select Current Version
Link Name	Link for Service Manual
Testing Status	Pass

5. Examine the links on the “master” Testing Status record.
  - a. Open the Record Information page for the Testing Status Basic Model B record and click Links.
  - b. Click Testing Status Link to see all of the Testing Status type links for this record.

**Tip:** If you do not see the Testing Status Link option, click All Links instead.

- c. Confirm that the two records that you linked to the master record are listed.
6. Examine the properties of the record links.
  - a. Click Link Info Page under the Service Manual for Basic Model B record.
  - b. Verify that the Link To, Link Name, and Testing Status fields all have the expected values.
7. Verify that you can open the linked record.
  - a. Click the *Get info* icon in the Link To field.
  - b. Click the record name near the top of the Record Information page and then open the source document.
  - c. Close the source document.
8. Close all open browser windows and sign out of Enterprise Records.

## Lesson 2.4. Modify security

### Overview

### Why is this lesson important?

The records manager at your company has a list of security requirements for different record categories that she needs you to implement. Your task is to make security changes to meet these requirements.

You also need to limit who has access to the FPOS and who can declare records from IBM FileNet Workplace.

### Activities

- Configure security groups: Activity, page 2-39
- Modify security on a category: Challenge, page 2-41
- Modify security on a category: Walkthrough, page 2-43
- Control access to assets and functionality from Workplace: Challenge, page 2-47
- Control access to assets and functionality from Workplace: Walkthrough, page 2-49

### User accounts

	User name	Password	Member of group
	Administrator	filenet	P8Admins
	Carol	filenet	Finance Clerks
	rupat	filenet	RMUserG
	Paul	filenet	ProductDev



#### Note

Passwords are always case-sensitive. User names are not case-sensitive. Many user names use only lowercase letters on the student system.



## Configure security groups: Activity



### Important

This activity is required for both skill levels.

## Introduction

This activity setup **must** be completed before performing either the Challenge or Walkthrough activities in this lesson.

The following lesson on security markings also relies on this setup being completed.



### Note

Active Directory was installed in Mixed Mode on your student system. Because Active Directory must function with older Windows NT directories, you cannot add global security groups to other security groups. So you need to add individual members to each group. This constraint might not exist in a production environment.

## Procedures

Procedure 1, Configure security groups, page 2-39

### ***Procedure 1: Configure security groups***

Use the following procedure to configure the security groups for this lesson.

1. Open the Active Directory Users and Computers tool.
  - a. Click Start > Programs > Administrative Tools > Active Directory Users and Computers.

- b. If necessary, expand the tree in the left pane to the following location:

hqdemo1dom.filenet.com > P8OU > Users

2. Add Finance group members to the records user security groups using the following table.

Records user group	Add members	Finance group membership
RMManagerG	<ul style="list-style-type: none"><li>• Mark</li><li>• May</li></ul>	Finance Managers
RMReviewerG	<ul style="list-style-type: none"><li>• Richard</li><li>• Roberta</li></ul>	Finance Reviewers
RMUserG	<ul style="list-style-type: none"><li>• Carol</li><li>• Charles</li></ul>	Finance Clerks

For **each** records user group, do the following:

- Double-click the group name.
  - Click the Members tab.
  - Click Add.
  - Click Advanced.
  - In the Name field, type the first letter of the names of the users to add to the group.  
For example, because you need to add user names that begin with the letter *m* to the RMManagerG group, type *m*.
  - Click Find Now.
  - In the Search results pane, select both user names specified in the table and click OK. **Tip:** Press the Ctrl key while selecting each user name.
  - Verify that the desired user names are displayed in the lower pane of the Select Users, Contacts, or Computers window and click OK.
  - Confirm that the new users are listed in the group properties window and click OK.
3. After you have added the specified users to all three groups, close the Active Directory Users and Computers tool.



## Modify security on a category: Challenge

### Challenge

Use the Enterprise Records web application and Workplace to complete the following tasks.

- Confirm that Carol, a member of the RMUserG group, can access the TestDeclareDoc record that you added in a previous exercise both by browsing and searching in the Enterprise Records web application.
- Confirm that Carol can access the source document for the record by searching in Workplace.
- Use the Enterprise Records web application to change the security on the Finance category so that the RMUserG group is denied all access.



#### Hint

The TestDeclareDoc record is filed at File Plan > Finance > Invoices, and the source document is in the Finance object store.

### Verification

Verify that Carol cannot access the TestDeclareDoc record by browsing or searching in the Enterprise Records web application.

Verify that Carol cannot access the source document for the record by searching for it in Workplace.



#### Important

Set the security on the Finance category back to what it was originally so that the RMUserG group has access. This security configuration is critical for successful completion of the next lesson.



# Modify security on a category: Walkthrough

## Introduction

In this exercise, you change the security on the Finance record category and observe the change in security for the records that are filed in that category. The security on the documents associated with the records is also affected.

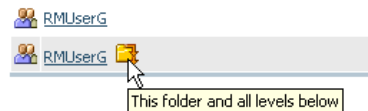
## Procedures

Procedure 1, Modify security on a category, page 2-43

### ***Procedure 1: Modify security on a category***

1. Explore initial security access to records and documents within the Finance category.
  - a. Sign in to Enterprise Records as Carol, a member of the RMUserG group.
    - Name: Carol
    - Password: filenet
  - a. Browse to File Plan > Finance > Invoices.
  - b. Verify that you can see the TestDeclareDoc record that you added in a previous exercise.
2. Do a search for the record to demonstrate that it can be found.
  - a. Go to the Search tab and click Records to display the My Search page for records.
  - b. Select the *Include subclasses* check box to make sure that the search includes all record types.
  - c. Enter the following search criteria:  
Document Title like testdeclare
  - d. Click Search.
  - e. Verify that the TestDeclareDoc record is returned by the search.
  - f. Right-click the TestDeclareDoc record and then click Get Info > Filed In.
  - g. Confirm that the record is filed in the Finance > Invoices category.
3. Close the Record Information page and sign out of Enterprise Records.
4. Search for the source document in Workplace.
  - a. Sign in to Workplace as Carol.
    - Name: Carol
    - Password: filenet
  - b. Go to the Search tab and set the Search In field to the Finance object store.

- c. Enter the following search criteria:  
Document Title contains testdeclare
  - d. Click Search.
  - e. Confirm that the TestDeclareDoc document is listed in the search results.
5. Sign out of Workplace.
6. Change the security on the Finance category so that the RMUserG group is denied access.
- a. Sign in to Enterprise Records as Administrator.
    - Name: Administrator
    - Password: filenet
  - b. Click the *Get info* icon to the right of the Finance category and go to the Security page.
  - c. Click RMUserG security group name that applies to *this folder and all levels below*.



- d. Select all of the check boxes in the Deny column and click Accept.
  - e. If you see a message about Deny entries taking priority over Allow entries, click Accept.
  - f. Click Apply.
7. Click Exit and sign out of Enterprise Records.
8. Test access to the Finance category again by the same RMUserG member to see that they cannot see the Finance category in Enterprise Records.
- a. Sign in to Enterprise Records as Carol.
    - Name: Carol
    - Password: filenet
  - b. On the Browse page, verify that the Finance category is not listed.
  - c. Perform the same search as you did in step 4 and verify that the TestDeclareDoc record is not returned this time.
    - i. Go to the Search tab and click Records.
    - ii. Select the *Include subclasses* check box.
    - iii. Enter the following criteria:  
Document Title like testdeclare
    - iv. Click Search.

- d. Sign out of Enterprise Records.
9. Verify that access to the source document has been restricted.
  - a. Sign in to Workplace as Carol.
    - Name: Carol
    - Password: `filenet`
  - b. Go to the Search page and set the Search In field to the Finance object store.
  - c. Enter the following search criteria:  
Document Title contains `testdeclare`
  - d. Click Search.
  - e. Confirm that the TestDeclareDoc document is not listed in the search results this time.
10. Sign out of Workplace.



### Information

You have verified that the security of the record is inherited from the category, and that the source document security is set through the record object.

As you can see, changing the security on a category can potentially affect the access to many records and documents very quickly.

11. Reset the security on the Finance category so that the RMUserG group has access for the next lesson.
  - a. Sign in to Enterprise Records as Administrator.
    - Name: Administrator
    - Password: `filenet`
  - b. Click the *Get info* icon to the right of the Finance category and go to the Security page.
  - c. Click the RMUserG security group name.
  - d. Clear the Owner Control check box in the Deny column.
  - e. Select the following check boxes in the Allow column:
    - Modify Properties
    - Create Subfolder
    - File In Folder
    - View Properties
  - f. Click Accept.
  - g. Click Apply.

- h. Click Exit.
- i. Sign out of Enterprise Records.



**Important**

You must reset the security on the Finance category as described in the last step to be able to successfully complete the next lesson.

# Control access to assets and functionality from Workplace: Challenge

## Challenge

Use Workplace to complete the following tasks.

- Create two Workplace access roles using the data in the following table.
- Confirm that the user rupert, a member of the RMUserG group, can use Workplace to browse to FPOS1 > Records Management > File Plan.
- Apply the FPOS Users access role to the Object Store Access site preference for the FPOS1 object store.
- Confirm that the user Paul, a user who is not a member of any Enterprise Records security group, can use Workplace actions to declare a record from the Products > Deluxe Models folder of the Development object store.
- Apply the Record Declarers access role to the Actions site preferences for the Declare As Record and Declare Versions As Record actions.

## Data

Access role name	Description	Access role members
FPOS Users	These users need access to the FPOS from Workplace.	RMAdminG
Record Declarers	These users need to be able to declare records from Workplace.	RMAdminG RMManagerG RMPhysicalKeepersG RMReviewerG RMUserG

## Verification

- Sign in to Workplace as rupert and verify that the FPOS object store is not listed on the Browse page.
- Sign in to Workplace as Paul and browse to Development > Products > Deluxe Models. Right-click one of the documents and verify that the Declare As Record and Declare Versions As Record actions are not listed in the menu.





# Control access to assets and functionality from Workplace: Walkthrough

## Introduction

In this exercise, you create and use access roles to restrict who can see the FPOS object store in Workplace, and who can declare records from Workplace.

## Procedures

Procedure 1, Create two Workplace access roles, page 2-49

Procedure 2, Use access roles to limit access to the FPOS in Workplace, page 2-50

Procedure 3, Use access roles to control who can declare records, page 2-51

### ***Procedure 1: Create two Workplace access roles***

Use the following data in step 1.

Access role name	Description	Access role members
FPOS Users	These users need access to the FPOS from Workplace.	RMAAdminG
Record Declarers	These users need to be able to declare records from Workplace.	RMAAdminG RMManagerG RMPhysicalKeepersG RMReviewerG RMUserG

1. Create the two new Workplace access roles listed in the preceding table.
  - a. Sign in to Workplace as Administrator.
    - Name: Administrator
    - Password: filenet
  - b. Click Admin > Site Preferences > Access Roles.
  - c. Use existing knowledge to add the two access roles with the membership indicated in the preceding table.

**Important**

You must remove the #AUTHENTICATED-USERS group from each of these access roles.

2. After creating the access roles on the Site Preferences page, click Apply.
3. Click Exit and then sign out of Workplace.

***Procedure 2: Use access roles to limit access to the FPOS in Workplace***

1. Verify that a user can view the FPOS and the category structure in Workplace.
  - a. Sign in to Workplace as rupert, a member of the RMUserG group.
    - Name: rupert
    - Password: filenet
  - b. Verify that you can browse to FPOS1 > Records Management > File Plan.
2. Sign out of Workplace.
3. Apply the access role to the object store.
  - a. Sign in to Workplace as Administrator.
    - Name: Administrator
    - Password: filenet
  - b. Click Admin > Site Preferences > Object Stores > FPOS1.
  - c. Click *Select access roles* under the Object Store Access heading near the top of the page.
  - d. Click the FPOS Users role and then click Accept.
  - e. Click Apply.
  - f. Click Exit.
4. Sign out of Workplace.
5. Test access to the object store.
  - a. Sign in to Workplace as rupert.
    - Name: rupert
    - Password: filenet
  - b. Verify that the FPOS object store is not listed on the Browse page.
  - c. Sign out of Workplace.

**Procedure 3: Use access roles to control who can declare records**

1. Test initial access from Workplace as a user who is not a member of any Enterprise Records security group.
  - a. Sign in to Workplace as Paul.
    - Name: Paul
    - Password: `filenet`
  - b. Browse to Development > Products > Deluxe Models.
  - c. Right-click one of the documents listed and verify that the *Declare As Record* and *Declare Versions As Record* actions are listed in the menu. Do **not** declare a record.
2. Sign out of Workplace.
3. Configure the records declaration actions so that only users in the appropriate access roles can declare records from Workplace.
  - a. Sign in to Workplace as Administrator.
    - Name: Administrator
    - Password: `filenet`
  - b. Click Admin > Site Preferences > Actions.
  - c. Click *Select access roles* under the *Declare As Record* action.
  - d. Click the Record Declarers access role and click Accept.
  - e. Repeat steps 3c and 3d for the *Declare Versions As Record* action.
  - f. Verify that the *Declare As Record* and *Declare Versions As Record* actions have the Record Declarers access role listed.
  - g. Click Apply.
  - h. Click Exit.
4. Sign out of Workplace.
5. Test access to the record declaration actions.
  - a. Sign in to Workplace again as Paul.
    - Name: Paul
    - Password: `filenet`
  - b. Browse to Development > Products > Deluxe Models.
  - c. Right-click the same document as before and verify that the *Declare As Record* and *Declare Versions As Record* actions are **not** listed in the menu.
6. Sign out of Workplace.



## Lesson 2.5. Use security markings

### Overview

### Why is this lesson important?

The records manager and solution designer at your company have determined that marking sets are going to be used in implementing security in your records management system. Your task is to create and implement the marking sets to meet their requirements.

### Activities

- Create and use a new marking set: Challenge, page 2-55
- Create and use a new marking set: Walkthrough, page 2-57

### User accounts

	User name	Password	Member of group
	Administrator	filenet	P8Admins
	rmsue	filenet	RMAdminG, RMManagerG
	May	filenet	Finance Managers, RMManagerG
	Roberta	filenet	Finance Reviewers, RMReviewerG
	Carol	filenet	Finance Clerks, RMUserG



#### Note

Passwords are always case-sensitive. User names are not case-sensitive. Many user names use only lowercase letters on the student system.



## Create and use a new marking set: Challenge

### Challenge

Use Enterprise Manager, Workplace, and the Enterprise Records web application to complete the following tasks.

- Create a hierarchical marking set called Finance Security Set using the data in the following table.
- Create a property template called Finance Level on the FPOS1 object store for a string data type that uses the values of the marking set. The property must be visible in the record declaration wizard.
- Create a subclass of the Electronic Record class called Financial Record that uses the new property, with the default value of the marking property set to Finance Only.
- Sign in to Workplace as May, a member of the Finance Managers group, add a document, and declare it as a Financial Record filed in File Plan > Finance > Invoices.

### Data

General tab	Constraint Mask tab	Security tab
Marking Value: <ul style="list-style-type: none"> <li>• Finance Managers Only</li> </ul>	Deny all rights (all are selected)	Full Control level for <ul style="list-style-type: none"> <li>• Administrator</li> <li>• Finance Managers</li> </ul>
Marking Value: <ul style="list-style-type: none"> <li>• Finance Reviewers Only</li> </ul>	Deny all rights except the following: <ul style="list-style-type: none"> <li>• View all properties</li> <li>• Read permissions</li> </ul>	Full Control level for <ul style="list-style-type: none"> <li>• Finance Reviewers</li> </ul>
Marking Value: <ul style="list-style-type: none"> <li>• Finance Only</li> </ul>	<b>Allow</b> all rights except the following: <ul style="list-style-type: none"> <li>• Modify all properties</li> <li>• Modify permissions</li> <li>• Modify owner</li> <li>• View content</li> <li>• Publish</li> </ul>	Full Control level for <ul style="list-style-type: none"> <li>• Finance Clerks</li> </ul>

## Verification

- Sign in to Enterprise Records as rmsue, who is not a member of any Finance group, and verify that you can see but not change the property values of the record.
- Sign in to Enterprise Records as May and verify that you can change the property values of the record.
- Change the marking value on the record to Finance Managers Only. Then sign in to Enterprise Records as rmsue and verify that you cannot see the record.
- Change the marking value on the record to Finance Reviewers Only. Then sign in to Enterprise Records as Roberta and verify that you can change the marking value only to its current setting or the level below it in the hierarchy.



# Create and use a new marking set: Walkthrough

## Introduction

In this exercise, you configure a marking set to allow only records managers in a specific department to have access to the records of that department.

You also verify that the security of the record controls access to the originating document by proxy. When you change security on the record, it changes the access to the document in real time.

## Procedures

Procedure 1, Create a marking set, page 2-57

Procedure 2, Create a record class with a marking property, page 2-59

Procedure 3, Test the default marking security, page 2-60

Procedure 4, Test the Finance Managers Only marking, page 2-62

Procedure 5, Test the Finance Reviewers Only marking, page 2-63

### ***Procedure 1: Create a marking set***

Use the following procedure to create a marking set that restricts users who are not allowed to see financial documents.

1. Create a hierarchical marking set.
  - a. If necessary, sign in to Enterprise Manager as Administrator.
  - b. Browse to Enterprise Manager [p8demodom] > Marking Sets.
  - c. Click Action > New Marking Set.
  - d. On the second page of the Create a Marking Set wizard, select the Hierarchical option and then click Next.
  - e. On the third page of the wizard, type `Finance Security Set` in the Marking Set Name field.

Use the following data in step 2.

General tab	Constraint Mask tab	Security tab
Marking Value: <ul style="list-style-type: none"> <li>Finance Managers Only</li> </ul>	Deny all rights (all are selected)	Full Control level for <ul style="list-style-type: none"> <li>Administrator</li> <li>Finance Managers</li> </ul>
Marking Value: <ul style="list-style-type: none"> <li>Finance Reviewers Only</li> </ul>	Deny all rights except the following: <ul style="list-style-type: none"> <li>View all properties</li> <li>Read permissions</li> </ul>	Full Control level for <ul style="list-style-type: none"> <li>Finance Reviewers</li> </ul>
Marking Value: <ul style="list-style-type: none"> <li>Finance Only</li> </ul>	<b>Allow</b> all rights except the following: <ul style="list-style-type: none"> <li>Modify all properties</li> <li>Modify permissions</li> <li>Modify owner</li> <li>View content</li> <li>Publish</li> </ul>	Full Control level for <ul style="list-style-type: none"> <li>Finance Clerks</li> </ul>

2. Add three new marking values, using the data in the preceding table and the following instructions.
  - a. For each marking value, click New Marking.
  - b. For the General and Constraint Mask tabs, use the data provided in the table.
  - c. On the Security tab, click Add to add the groups listed with Full Control access level allowed.
  - d. Do not make any changes on the Properties tab.
  - e. After each new marking value is defined, click OK.
 

**Tip:** If you need to make changes to the marking value after you click OK, select the marking value and click Edit.
  - f. After all three marking values are added, make sure that the marking values are listed in the order shown in the table. This set is a hierarchical marking set, and the order is significant.
  - g. Complete the wizard and verify that the marking set is listed in the right pane of Enterprise Manager.

## Procedure 2: Create a record class with a marking property

For a marking set to affect document security, a property on that document class must be associated with the marking. Use the following procedure to create the Finance Level property template to use for marking values.

1. Use Enterprise Manager to create a new property template on the FPOS1 object store.
  - a. Go to FPOS1 > Property Templates and click Action > New Property Template.
  - b. Use the data in the following table for entering the first few values in the wizard.

Property	Value
Name	Finance Level
Description	declare
Data type	String
Marking set	Finance Security Set

**Tip:** You must add `declare` to the description to make the property visible in the record declaration wizard.

- c. On the Select a Choice List page, select the Assign marking set option, and then select the Finance Security Set marking set that you created.
- d. On the Single or Multi-Value page, click More.
- e. Select the Value Required check box.
- f. Type `Finance Only` in the Default Value field and click OK.



### Important

You must type the default marking value **exactly** as you defined it in the previous procedure. The value is case-sensitive. If you do not enter the default value correctly, the marking value is not set automatically when a record is declared using this class.

- g. Complete the Create a Property Template wizard.
2. Create a new record class that uses the new property.
  - a. Create a new subclass of Electronic Record called `Financial Record`.
  - b. Add the Finance Level property to the class.
  - c. Accept the default values for all other class properties.
3. Close Enterprise Manager.

4. Stop and restart the Workplace application to clear the metadata cache.
  - a. Start the IBM WebSphere Application Server Administrative Console and sign in as Administrator.
    - Name: Administrator
    - Password: filenet
  - b. Go to Applications > Enterprise Applications.
  - c. Select the check box for Workplace and click Stop.
  - d. After the application stops, select the check box for Workplace and click Start.
5. After the application restarts, sign out of the WebSphere Administrative Console.

### ***Procedure 3: Test the default marking security***

You have created the marking set and applied markings to a record class, so you need to test the markings by declaring records and observing the effects of marking changes. When someone declares a record using the Financial Record class, the default marking is applied. In this case, the marking value is the least restrictive setting. Use the following steps to add and declare a new financial document to observe the default marking security.

1. Sign in to Workplace as May, a member of the Finance Managers group.
  - Name: May
  - Password: filenet
2. Create a new folder on RDOS1 called Financial Documents. Accept default values for the folder class and security.
3. Add a new document to this folder.
  - a. Use the default document class.
  - b. Name the document Doc for markings lesson.
  - c. Choose any content from the sample files.
  - d. Accept defaults for values not provided.
4. Declare the document as a record without a template.
  - a. Declare the record using the new Financial Record record class.
  - b. Add the record to the file plan at Finance > Invoices.
  - c. Enter rmsue for the Reviewer property.
  - d. Confirm that the Finance Level marking property is set to Finance Only, which is the default value that you specified on the property template.

**Hint**

If the value of the Finance Level property is not set, an incorrect value might have been typed when the default value was specified. For this exercise, manually set the Finance Level property to Finance Only if necessary.

- e. Finish the Declare Records wizard.
5. Sign out of Workplace.
6. View the properties of the new record as a user who is not in the Finance department.
  - a. Sign in to Enterprise Records as rmsue, who is not a member of any Finance group, and browse to File Plan > Finance > Invoices.
    - Name: rmsue
    - Password: filenet
  - b. Open the properties page of the record that you declared and verify that you can see the property values.
7. Sign out of Enterprise Records.
8. Check access to the source document by the same user.
  - a. Sign in to Workplace as rmsue and browse to RDOS1 > Financial Documents.
    - Name: rmsue
    - Password: filenet
  - b. Verify that the source document is listed in the folder.

**Information**

Remember that the constraint mask of the Finance Only marking allows users who are not in the Finance department to access the record (and document), but not to modify the properties.

9. Sign out of Workplace.
10. View the record properties as May, a member of the Finance Managers group.
  - a. Sign in to Enterprise Records as May.
    - Name: May
    - Password: filenet
  - b. View the record properties of the *Doc for markings lesson* record.

- c. Verify that you can edit the properties, but do **not** change the value of the Finance Level marking value.

11. Sign out of Enterprise Records.

#### ***Procedure 4: Test the Finance Managers Only marking***

In this procedure, you change the security marking value on the record to Finance Managers Only and observe the changes.

1. Change the marking value to the most restrictive marking in the set.
  - a. Sign in to Enterprise Records as Administrator.
    - Name: Administrator
    - Password: filenet
  - b. Browse to Finance > Invoices and open the properties page of the *Doc for markings lesson* record.
  - c. Change the value of the Finance Level property to Finance Managers Only and save the change.
2. Sign out of Enterprise Records.
3. Observe the changes to the record security caused by the new marking value.
  - a. Sign in to Enterprise Records as rmsue and browse to Finance > Invoices.
    - Name: rmsue
    - Password: filenet
  - b. Confirm that you cannot see the record that you added.
  - c. Sign out from Enterprise Records.
4. Verify that the source document security has also been affected by the new marking value.
  - a. Sign in to Workplace as rmsue.
    - Name: rmsue
    - Password: filenet
  - b. Browse to RDOS1 > Financial Documents.
  - c. Verify that the document is not listed.
  - d. Sign out of Workplace.
5. Verify that users with lower access in the marking hierarchy cannot see the record.
  - a. Sign in to Enterprise Records as Carol, a member of the Finance Clerks group, and browse to Finance > Invoices.
    - Name: Carol
    - Password: filenet

- b. Confirm that you cannot see the record.
- 6. Sign out of Enterprise Records.

### ***Procedure 5: Test the Finance Reviewers Only marking***

Finance Reviewers are the middle security group between Finance Clerks and Finance Managers. They can view content and modify properties, but their access is limited.

1. Change the marking value to the middle marking in the set.
  - a. Sign in to Enterprise Records as May, a Finance Manager.
    - Name: *May*
    - Password: *filenet*
  - b. Browse to Finance > Invoices and open the properties page of the *Doc for markings lesson* record.
  - c. Change the value of the Finance Level property to Finance Reviewers Only and save the change.
2. Sign out of Enterprise Records.
3. Sign in to Enterprise Records as Roberta, a member of the Finance Reviewers group.
  - Name: *Roberta*
  - Password: *filenet*
4. Explore the access to the record.
  - a. Open the properties page of the *Doc for markings lesson* record and verify that you can edit the properties.

Do **not** make any changes to the record properties.
  - b. Confirm that only two of the three security marking values are available in the Finance Level property choice list.

Only the current marking value and those below it in the hierarchy are available.
5. Sign out of Enterprise Records.
6. Test the access to the source document.
  - a. Sign in to Workplace as Roberta, a member of the Finance Reviewers group.
    - Name: *Roberta*
    - Password: *filenet*
  - b. Browse to RDOS1 > Financial Documents and confirm that you can open the document.
  - c. Sign out of Workplace.

- d. Sign in to Workplace as rmsue, who is not a member of any Finance groups, and attempt to open the same document.
    - Name: rmsue
    - Password: filenet
  - e. Verify that you can see the source document listed, but cannot view the content.
7. Sign out from Workplace.



## Lesson 2.6. Export and import a file plan

### Overview

### Why is this lesson important?

The company records manager has created a file plan on a development system and has verified that it works as designed. You must now move the file plan into a production environment. You use the File Plan Import and Export tool to do this task.

### Activities

- Edit fileplantoole.bat: Activity, page 2-67
- Export and import a file plan: Challenge, page 2-69
- Export and import a file plan: Walkthrough, page 2-71

### User accounts

	User name	Password
	Administrator	filenet



#### Note

Passwords are always case-sensitive. User names are not case-sensitive



## Edit fileplantool.bat: Activity



### Important

This activity is required for both skill levels.

## Scenario

The fileplantool.bat file is a batch file on your system that you can use to export and import file plans. The File Plan Tool is usually configured during the installation of Enterprise Records. However, on your system, it has not been configured. Before you can run the File Plan Tool, you must edit the batch file to configure File Plan Tool to run on your system.

## Procedures

Procedure 1, Edit fileplantool.bat, page 2-67

### ***Procedure 1: Edit fileplantool.bat***



### Important

Always back up configuration files before you edit them.

1. In Windows Explorer, go to C:\Program Files\FileNet\RM\FilePlanImportExportTool.
2. Make a copy of fileplantool.bat.
3. Open fileplantool.bat using Notepad:
  - a. Right-click the file.
  - b. Select Edit.
4. Verify that the web application server is WebSphere:
  - a. Locate the line that begins *set APP\_SERVER*.
  - b. Verify that the APP\_SERVER value is WebSphere.
5. Scroll down to the line that reads *:WebSphere*.

The WebSphere section begins with the line that begins with *:WebSphere*. The text in this section is only executed if the web application server is set to WebSphere.

6. Locate the following line in the WebSphere section:

```
set NAMING_PROVIDER_URL=iiop://<CE Server>:<port>
```

7. Replace <CE Server>:<port> with hqdemo1:2809

8. Save the file.

9. Close Notepad.

## Export and import a file plan: Challenge

### Challenge

Use the File Plan Tool, the Enterprise Records web application, and Workplace to complete the following tasks.

- Configure the File Plan Tool using the settings in Data table 1.
- Run the File Plan Tool to export the metadata from the file plan object store to an XML file.
- Run the File Plan Tool to export the file plan data to an XML file.
- Use the values in Data table 2 to configure the TestFPOS object store as an FPOS with the Base data model.
- Use the Enterprise Records web application to set security on the TestFPOS object store according to the entries in Data table 3.
- Configure the File Plan Tool to use the TestFPOS object store and to operate in Import mode.
- Run the File Plan Tool to import the object store metadata.
- Run the File Plan Tool to import the file plan.

**Data table 1**

Property	Value
CE Server Name	hqdemo1
File Plan Object Store Name	FPOS1
Mode	Export
Reimport Option	Skip
User name	Administrator
Password	filenet
Web Service URL	http://hqdemo1:9080
EJB URL	iiop://hqdemo1:2809

**Data table 2**

Property	Value
Object store	TestFPOS
Object store type	FPOS
Datamodel	Base
Include RM Sample Templates?	Yes
Include NARA Properties?	No

**Data table 3**

Security role	Participants for the selected role
Records Administrator	RMAdminG
Records Manager	RManagerG
Records Privileged User	RMReviewerG
Records User	RMUserG

**Hint**

The File Plan Tool is located in the following directory:

C:\Program Files\FileNet\RM\FilePlanImportExportTool

After importing the metadata into the TestFPOS object store, wait 5 minutes before importing the file plan to let the metadata cache refresh.

**Verification**

Sign in to Workplace as Administrator and go to TestFPOS > Records Management > File Plan. Confirm that all of the record categories that are in FPOS1 now exist in TestFPOS.

# Export and import a file plan: Walkthrough

## Introduction

In this exercise, you use the File Plan Tool to export existing metadata and the file plan from FPOS1. You then import the data into a new object store that has been configured as an FPOS.

## Procedures

Procedure 1, Configure the File Plan Tool, page 2-71

Procedure 2, Export the object store metadata, page 2-72

Procedure 3, Export the file plan, page 2-73

Procedure 4, Configure the target object store as an FPOS, page 2-73

Procedure 5, Set security on the target object store, page 2-74

Procedure 6, Import the metadata, page 2-75

Procedure 7, Import the file plan, page 2-76

### ***Procedure 1: Configure the File Plan Tool***

You must configure the File Plan Tool before you use it. Also, if you set some properties as default in the tool, you do not need to type them in the command line. Use the following procedure to configure the File Plan Tool.

1. Prepare to run the File Plan Tool.
  - a. Open a command prompt window
  - b. Change directories to the FilePlanImportExportTool folder using the following command:

```
cd C:\Program Files\FileNet\RM\FilePlanImportExportTool
```

Use the following data in step 2. Accept default values for any items not specified in the table.

Property	Value
CE Server Name	hqdemo1
File Plan Object Store Name	FPOS1
Mode	Export
Reimport Option	Skip
User name	Administrator
Password	filenet
Web Service URL	http://hqdemo1:9080
EJB URL	iiop://hqdemo1:2809

2. Configure the File Plan Tool using the command line:
  - a. Enter the following command:

```
fileplantool -mode configure
```
  - b. Configure the tool using the data in the preceding table.
  - c. Click Configure. Wait for the configuration completion notice before you continue.
  - d. Click OK.
3. Leave the command prompt window open for the next procedure.

### ***Procedure 2: Export the object store metadata***

Because the file plan has a several custom properties, you must export the metadata and import it before you can import the file plan. Use the following procedure to export the metadata from the existing File Plan.

1. Run the File Plan Tool to export the object store metadata.
  - a. Run the File Plan Tool using the following command:

```
Fileplantool -fileplan "File Plan" -o C:\properties.xml -scope metadata
```

**Tip:** Make sure that you type a space between `properties.xml` and `-scope`.
  - b. Wait for the File Plan Export End message to be displayed.
2. Verify that the data was exported to the file specified in the command line.
  - a. In Windows Explorer, go to C:\.
  - b. Verify the properties.xml file is listed. You can inspect the file, but do not alter it.
3. Leave the command prompt window open for the next procedure.



**Information**

You do not need to include `--mode export` in this command because you have already set the mode to export using the configuration panel.

***Procedure 3: Export the file plan***

You can now export the file plan. The export process creates an XML file that you use later to import the file plan. Use the following procedure to export the file plan.

1. Run the File Plan Tool to export the file plan.
  - a. Run the File Plan Tool using the following command:  

```
Fileplantool -fileplan "File Plan" -o C:\fileplan.xml
```
  - b. Wait for the `File Plan Export End` message to be displayed.
2. Verify that the data was exported to the file specified in the command line.
  - a. In Windows Explorer, go to `C:\`.
  - b. Verify the `fileplan.xml` file is listed.  
You can inspect the file, but do not change it.
  - c. Leave the command prompt window open for the next procedure.

***Procedure 4: Configure the target object store as an FPOS***

The imported file plan and the exported file plan must be hosted on an object store with the same data model. FPOS1 has the Base data model, so you need to configure TestFPOS with the Base data model. Use the following procedure to import the Base data model to the TestFPOS object store.

1. Sign in to Enterprise Records as Administrator:
  - Name: Administrator
  - Password: `filenet`
2. Click `Configure > Object Store Configuration`.
3. Click `Configure Object Store`.

Use the following data in step 3.

Property	Value
Object store	TestFPOS
Object store type	FPOS
Datamodel	Base
Include RM Sample Templates?	Yes
Include NARA Properties?	No

4. Configure the TestFPOS object store as an FPOS using the values in the preceding table.
5. After entering the configuration values, click Finish.



### Important

The configuration can take several minutes. When configuration completes, do **not** click OK.

## ***Procedure 5: Set security on the target object store***

You have configured the TestFPOS object store as an FPOS. Now you must configure the security for the FPOS.

1. On the Configure Object Store Confirmation page, click Set Security.



### Hint

If you clicked OK to close the Configure Object Store Confirmation page, perform the following steps:

1. Click Configure > Object Store Configuration.
2. Right-click TestFPOS and click Run Security Script.

Continue with the following steps.

Use the following data in step 2.

Security role	Participants for the selected role
Records Administrator	RMAAdminG
Records Manager	RMManagerG
Records Privileged User	RMReviewerG
Records User	RMUserG

2. Use the same technique as you did when creating Workplace access roles to add members to the Enterprise Records groups. Use the values in the preceding table.
  - a. After defining the Enterprise Records roles, click Finish.
  - b. Click OK after the process is completed.
3. Sign out of Enterprise Records.

### ***Procedure 6: Import the metadata***

The new object store is now ready to accept the information that you exported from FPOS1. You must import the metadata before you can import the file plan. Use the following procedure to import the file plan metadata.

1. Configure the File Plan Tool to use the new FPOS.
  - a. If necessary, open a command prompt window and go to C:\Program Files\FileNet\RM\FilePlanImportExportTool.
  - b. Run the File Plan Tool using the following command:  

```
Fileplantool -mode configure
```
  - c. Enter the following values in the configuration window. Do **not** change any other values.
    - File Plan Object Store Name: TestFPOS
    - Mode: Import
    - Password: filenet
  - d. Click Configure, and then click OK when the completion message is displayed.
2. Import the object store metadata that you exported in a previous procedure.
  - a. Run the File Plan Tool using the following command:  

```
fileplantool -f c:\properties.xml
```
3. Wait 5 minutes before proceeding in order to allow the metadata cache to refresh.

**Note**

You do not need to specify the scope when you import because the XML tags provide the information about the type of file to be imported.

***Procedure 7: Import the file plan***

Now that you have imported the metadata, you can import the file plan itself. Use the following procedure to import the file plan.

1. Use the File Plan Tool to import the file plan.
  - a. If necessary, open a command prompt window and go to C:\Program Files\FileNet\RM\FilePlanImportExportTool.
  - b. Run the File Plan Tool using the following command:  

```
fileplantool -f c:\fileplan.xml
```
  - c. Wait for the File Plan Import End message to be displayed and then close the command prompt window.
2. Verify that the import was successful.
  - a. Sign in to Workplace as Administrator and go to TestFPOS > Records Management > File Plan.
    - Name: Administrator
    - Password: filenet
  - b. Confirm that all of the record categories that are in FPOS1 now exist in TestFPOS.

# Unit 3. IBM Enterprise Records 5.1: System Maintenance

## Unit overview

### Lessons

- Lesson 3.1 - Configure sweep processes, page 3-3
- Lesson 3.2 - Configure automatic destruction, page 3-21
- Lesson 3.3 - Configure automatic volume creation, page 3-31
- Lesson 3.4 - Configure auditing, page 3-41
- Lesson 3.5 - View and export audit logs, page 3-55
- Lesson 3.6 - Manage record metadata, page 3-67

### 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

The activities in this unit must be performed in the given order.

This unit is dependent upon completing the following courses:

- F141 - IBM FileNet P8 5.0: Prerequisite Skills using Workplace XT
- F178 - IBM Enterprise Records 5.1: Core Skills
- F179 - IBM Enterprise Records 5.1: System Configuration

### 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.



## Lesson 3.1. Configure sweep processes

### Overview

#### Why is this lesson important?

Your company file plan has become too large for your file plan sweep processes to finish within the allotted time frame. You can manage this load by setting up multiple sweep processes to work on parts of the file plan at different times.

You must configure multiple profiles of Disposition Sweep so that each one processes a different area of the file plan. Then you schedule each process to run on a different night of the week.

Hold Sweep assigns and removes conditional holds. The file plan has too many dynamic holds to be processed within the allotted time. Unlike Disposition Sweep, Hold Sweep must run every night. To manage the load, you need to configure multiple Hold Sweep processes to run simultaneously on different servers. Each process must work on a subset of the holds.

### Activities

- Configure multiple Disposition Sweep profiles: Challenge, page 3-5
- Configure multiple Disposition Sweep profiles: Walkthrough, page 3-7
- Configure a Hold Sweep profile: Challenge, page 3-13
- Configure a Hold Sweep profile: Walkthrough, page 3-15

### User accounts

	Group/Type	User ID	Password
	Administrators	Administrator	filenet



#### Note

Passwords are always case-sensitive.





# Configure multiple Disposition Sweep profiles: Challenge

## Introduction

In this activity, you are going to configure multiple profiles of Disposition Sweep to process different file plan areas.

## Challenge

Complete the following tasks using the data in the table:

- Configure two profiles of Disposition Sweep.
- Obtain the GUIDs for Customer Support and Legal categories.
- Configure a profile of Disposition Sweep to process only the Customer Support category.
- Create another profile of Disposition Sweep to process only the Legal category.
- Schedule the Customer Support Disposition Sweep to run weekly starting 5 minutes from the current time.
- Schedule the Legal Disposition Sweep two minutes after the first one.

## Data

Field	Value
Directory where Sweep command is located	C:\Program Files\FileNet\RM\RecordsManagerSweep
Command to open Configuration Console	RecordsManagerSweep -DispositionSweep -configure -profile CustomerSupport
CE Server Name	hqdemo1
File Plan Object Store Name	FPOS1
Run For RecordTypes	false
Container GUID	GUID that you copied
User ID	Administrator
Password	filenet
Update Batch Size	1000
Retrieval Batch Size	1000
Log File Name	IERActivity.txt

## Verification

- Observe that Disposition Sweep starts automatically both times according to schedule. Separate DOS windows open and close when each batch file runs.
- Check the error logs to see if any errors occurred. The log files are called IERActivity.txt and are in the same directories as the batch files that you created.



### Hint

At the end of the log file, you see a line that shows Error count: <number of errors>.

# Configure multiple Disposition Sweep profiles: Walkthrough

## Introduction

In this activity, you are going to configure multiple profiles of Disposition Sweep to process different file plan areas.

## Procedures

Procedure 1, Configure Disposition Sweep, page 3-7

Procedure 2, Obtain the Category IDs, page 3-7

Procedure 3, Create new profiles of Disposition Sweep, page 3-8

Procedure 4, Configure a Sweep profile for Legal category, page 3-9

Procedure 5, Create Disposition Sweep batch files, page 3-10

Procedure 6, Schedule the Sweeps, page 3-11

### ***Procedure 1: Configure Disposition Sweep***

Disposition Sweep is initially configured by the installation team. Before you create new profiles of Disposition Sweep, you first inspect the current configuration and make edits to the configuration.

1. Open the Disposition Sweep Configuration Console:
  - a. Open a Command Prompt window.
  - b. At the prompt, type `cd C:\Program Files\FileNet\RM\RecordsManagerSweep\`.
  - c. Run the following command by typing it at the prompt:  
`RecordsManagerSweep -DispositionSweep -configure`
2. Verify and enter the value `FPOS1` for the File Plan Object Store Name field.
3. Verify and select `false` from the list for the Run For RecordTypes field.
4. Enter the Administrator password (filenet).
5. Change the value for the Log File Name to `IERActivity.log`.
6. Click Configure.
7. Click OK when prompted on the Configuration Information window.

### ***Procedure 2: Obtain the Category IDs***

For extremely large file plans, you configure Disposition Sweep to check one category each night. To configure Disposition Sweep to sweep a single category, you need to have the category ID or GUID.

In this procedure, you are going to obtain the GUID for the Customer Support category.

1. Start the FileNet Enterprise Manager Administrator tool:
  - a. Open the Administration Tools folder on the desktop.
  - b. Double-click the shortcut.
  - c. In the FileNet P8 Logon window, select the “hqdemo1” entry in the list and click Connect.
2. Expand and select FPOS1 > Root Folder > Records Management > File Plan > Customer Support.
3. Copy the ID property value:
  - a. Open the Properties page of the Customer Support category.
  - b. Click the Properties tab.
  - c. On the Properties tab, select the Custom & System Properties option.
  - d. Click the ellipsis (...) next to the ID property value.
  - e. In the Display/Edit Value window, right-click the selected GUID and click Copy.
  - f. Click Cancel to close the window and go back to the Properties window.
  - g. Click Cancel to close the Properties window.
4. Copy the ID property value to a temporary text file on the desktop. Within the file, label the GUID as Customer Support.
5. Repeat the steps 2 and 3 to copy the category ID of the Legal category to the text file. Be sure to clearly label which GUID belongs to each category.
6. Save the text file and keep it open.
7. Close Enterprise Manager by clicking File > Exit.

### ***Procedure 3: Create new profiles of Disposition Sweep***

Occasionally, you might need to sweep two top-level categories in one night, but you do not want to wait for the first sweep to finish before starting the second sweep. To automate this process, you can create two (or more) profiles of Disposition Sweep, each dedicated to a different category.

In this procedure, you are going to configure a profile to process only the Customer Support category and its children.

1. Open the Disposition Sweep Configuration Console:
  - a. Open a Command Prompt window.
  - b. At the prompt, type `cd C:\Program Files\FileNet\RM\RecordsManagerSweep`.

- c. Run the following command by typing it at the prompt:

```
RecordsManagerSweep -DispositionSweep -configure -profile CustomerSupport
```

The Disposition Sweep Configuration Console opens.

2. Configure Customer Support Sweep to process a single category:
  - a. In the console window, verify and enter the values for the fields using the following table.
  - b. Copy the value of the Customer Support category ID (including the braces) from the text file that you created in procedure 2 and paste it into the Container GUID field.

Field	Value
CE Server Name	hqdemo1
File Plan Object Store Name	FPOS1
Run For RecordTypes	false
Container GUID	ID that you copied in procedure 2
User ID	Administrator
Password	filenet
Update Batch Size	1000
Retrieval Batch Size	1000
Log File Name	IERActivity.txt

3. Click Configure.
4. Click OK when prompted in the Configuration Information window.
5. Verify that an XML file with the name CustomerSupport\_RMSweepConfiguration.xml is created under the C:\Program Files\FileNet\RM\RecordsManagerSweep\lib\config folder.
6. Optionally, open the XML file to view the configurations settings of the profile.

### ***Procedure 4: Configure a Sweep profile for Legal category***

In this procedure, you are going to configure a profile to process only the Legal category and its children.

1. Open the Disposition Sweep Configuration Console:
  - a. Open a Command Prompt window.
  - b. At the prompt, type `cd C:\Program Files\FileNet\RM\RecordsManagerSweep`.
  - c. Run the following command by typing it at the prompt:

```
RecordsManagerSweep -DispositionSweep -configure -profile Legal
```

The Disposition Sweep Configuration Console opens.

2. Configure Legal Sweep to process a single category:
  - a. In the console window, verify and enter the values for the fields using the following table.
  - b. Copy the value of the Legal category ID (including the braces) from the text file that you created in procedure 2 and paste it into the Container GUID field.

Field	Value
CE Server Name	hqdemo1
File Plan Object Store Name	FPOS1
Run For RecordTypes	false
Container GUID	ID that you copied in procedure 2
User ID	Administrator
Password	filenet
Update Batch Size	1000
Retrieval Batch Size	1000
Log File Name	IERActivity.txt

3. Click Configure.
4. Click OK when prompted in the Configuration Information window.
5. Verify that an XML file with the name Legal\_RMSweepConfiguration.xml is created under the C:\Program Files\FileNet\RM\RecordsManagerSweep\lib\config folder.
6. Optionally, open the XML file to view the configurations settings of the profile.

### ***Procedure 5: Create Disposition Sweep batch files***

In this procedure, you are going to create two new batch files to run Disposition Sweep.

1. Using the data from the table, create two .bat files:
  - a. Create a new blank text document.
  - b. Save the file with the name from the table in the given folder.
  - c. Edit the file in a text editor (Notepad) by entering the text from the table.
  - d. Save the file.

2. Repeat the steps 1a through 1d for the second file.

Field	Value
Folder where the .bat files are created	C:\Program Files\FileNet\RM\RecordsManagerSweep
Name of the first .bat file	CustomerSupportSweep.bat
Content for the first .bat file	echo on RecordsManagerSweep –DispositionSweep -profile CustomerSupport
Name of the second .bat file	LegalSweep.bat
Content for the second .bat file	echo on RecordsManagerSweep –DispositionSweep -profile Legal

3. Verify that you have created the following files:

- C:\Program Files\FileNet\RM\RecordManagerSweep\CustomerSupportSweep.bat
- C:\Program Files\FileNet\RM\RecordManagerSweep\LegalSweep.bat

### ***Procedure 6: Schedule the Sweeps***

Now you have two profiles of Disposition Sweep that are configured to sweep different areas of the file plan. You must schedule them to run at different times. In a production environment, you schedule them to run on different nights of the week. For this exercise, however, you are going to schedule them to run a few minutes apart in order to watch them run. Use the following procedure to schedule two profiles of Disposition Sweep to run at different times.

1. Open Scheduled Tasks:
  - a. Click Start > Settings > Control Panel.
  - b. In the Control Panel, double-click Scheduled Tasks.
2. Add a new scheduled task to run CustomerSupportSweep:
  - a. Double-click Add Scheduled Task.  
The Scheduled Task Wizard opens.
  - b. Click Next.
  - c. In the Scheduled Task Wizard window, click Browse.
  - d. In the Select Program to Schedule window, find and then select the C:\Program Files\FileNet\RM\RecordsManagerSweep\CustomerSupportSweep.bat file.
  - e. Click Open.
  - f. Verify that the name of the Task is CustomerSupportSweep.

- g. Schedule Disposition Sweep to run weekly starting 5 minutes from the current time.



### Note

You can schedule more or less than 5 minutes, depending on how fast you can finish the rest of this exercise. The goal is to be able to have both sweeps scheduled to run after you finish your configurations but not to require you to wait too long to see them run.

- h. Click Next and enter the Administrator password (filenet).
3. Add a new Scheduled Task to run LegalSweep:
- Repeat steps 2a through 2c.
  - Click Browse and select the C:\Program Files\FileNet\RM\RecordsManagerSweep\LegalSweep.bat file.
  - Verify that the name of the Task is LegalSweep.
  - Schedule Disposition Sweep to run weekly starting 2 minutes after the time that you scheduled the first task.
4. Verify the Disposition Sweep programs:
- Wait to observe that the two Disposition Sweep programs run at their first scheduled times. Separate DOS windows open and close when each batch file runs.
  - Check the error logs to see if any errors occurred. The log files are called IERActivity.txt and are in the same directories as the batch files that you created.



### Hint

At the end of the log file, you see a line that shows Error count: <number of errors>.



# Configure a Hold Sweep profile: Challenge

## Introduction

In this activity, you are going to configure a Hold Sweep profile to process a specified conditional hold.

## Challenge

- Configure Hold Sweep using the data in the Data 1 table.
- Create a conditional hold using the data in the Data 2 and Data 3 tables.
- Run Hold Sweep and view records that were placed on hold based on the conditions that you specified in the conditional hold.
- Initiate Remove Hold Request and verify that this action removes conditional holds on records.
- Schedule Hold Sweep to run weekly starting 2 minutes from the current time.

## Data 1

Item	Value
Directory where Sweep command is located	C:\Program Files\FileNet\RM\RecordsManagerSweep
Command to open Configuration Console	RecordsManagerSweep -HoldSweep -configure -profile Hold1
CE Server Name	hqdemo1 (no spaces)
Port Number	9080
FPOS Name	FPOS1
User ID	Administrator
Password	filenet

## Data 2

Property	Value
Hold Name	Hold Fennel records
Hold Reason	Testing conditional holds
Hold Type	Audit
Active	True

## Data 3

Property Name	Operator	Property Value
Family name	Like	Fennel

## Verification

- Verify that the record is placed on hold.
- Observe that Hold Sweep starts automatically, according to the scheduled time.

# Configure a Hold Sweep profile: Walkthrough

## Introduction

In this activity, you are going to configure a Hold Sweep profile to process a specified conditional hold.

## Procedures

Procedure 1, Configure Hold Sweep, page 3-15

Procedure 2, Create a conditional hold, page 3-16

Procedure 3, Search for records, page 3-16

Procedure 4, Run Hold Sweep, page 3-17

Procedure 5, Observe Holds, page 3-17

Procedure 6, Initiate Remove Hold Request, page 3-18

Procedure 7, Create Hold Sweep batch file, page 3-18

Procedure 8, Schedule Hold Sweep, page 3-19

### ***Procedure 1: Configure Hold Sweep***

1. Open the Hold Sweep Configure Console:

- a. Open a command prompt.
- b. At the prompt, type `cd C:\Program Files\FileNet\RM\RecordsManagerSweep`.
- c. Run the following command by typing it at the prompt:

```
RecordsManagerSweep -holdsweep -configure -profile Hold1
```

2. Configure Hold Sweep using the data in the following table.

- a. Verify the value for each field and enter the values as needed.

Field	Value
CE Server Name	hqdemo1 (no spaces)
WSI Port Number	9080
FPOS Name	FPOS1
User ID	Administrator
Password	filenet

3. Click Configure.

4. Click OK when prompted in the Configuration Information window.

**Procedure 2: Create a conditional hold**

In this procedure, you are going to create a conditional hold so that you can observe the effects of Hold Sweep.

1. In Internet Explorer browser, sign in to IBM Enterprise Records as Administrator (password: filenet).
2. Create a new hold.
  - a. Go to Disposition > Holds.
  - b. Click Add Hold.
3. In the Add Holds Event page at the Set Properties step, enter the data provided in the following table.

Property	Value
Hold Name	Hold Fennel records
Hold Reason	Testing conditional holds
Hold Type	Audit
Active	True

- a. Click Next.
4. In the Add Holds Event page at the Set Conditions step, click the Change button at the right side end in the Document Title area.
  - a. In the Property Criteria Settings page, set `Property{2}` to Family name.
  - b. Click Accept Changes.
5. In the Add Holds Event page at the Set Conditions step, type the data provided in the following table.

Property Name	Operator	Property Value
Family name	Like	Fennel

- a. Click Finish at the end of the page.
  - a. In the Add Confirmation page, click OK.

**Procedure 3: Search for records**

View record properties to see which records might be affected before you put any records on hold.

1. In Inter Explorer browser, sign into IBM Enterprise Records.
  - a. Go to the Search page.
  - b. Click Records.

- c. Select *Include subclasses* in the search.
2. Set the search criteria:
  - a. Click the Change button on the right side at the bottom of the page.
  - b. In the My Search page > Property Criteria Settings section, select `Family name` from the list as the value of the Property Name field for the `Property{4}`.
  - c. Click Accept Changes.
  - d. In the main search page, set the search criteria as Family name like Fennel.
3. Perform a search for the records by clicking the Search button.
4. Verify that the item in the search results is not on hold.
  - a. View the properties of the 3567 record and verify that the Family name property value is Fennel.

After executing the Hold Sweep command, this record is going to be put on hold.

### ***Procedure 4: Run Hold Sweep***

You have configured Hold Sweep and created a conditional hold to test it. Now you can run Hold Sweep to observe the effects of conditional holds. In this procedure, you are going to manually run Hold Sweep.

1. Open a command prompt.
  - a. At the prompt, type `cd C:\Program Files\FileNet\RM\RecordsManagerSweep`.
2. Run Hold Sweep by typing the following command:

```
RecordsManagerSweep -holdsweep -profile Hold1
```

The Console opens and displays the details of the Hold Sweep.

### ***Procedure 5: Observe Holds***

You have manually run Hold Sweep. Now view records that were placed on hold based on the conditions that you specified in the conditional hold.

1. In IBM Enterprise Records, go to the Search page.
2. Perform a search for the records:
  - a. Click Records.
  - b. Select *Include subclasses* in the search.
  - c. Set the search criteria as Family name like Fennel.
  - d. Click Search.
3. Verify that the item in the search results has a hold.

The Hold icon is displayed to the left of the record.

- a. Inspect the property values of the records on hold
- b. Verify that the Family name property value is Fennel.

### ***Procedure 6: Initiate Remove Hold Request***

Conditional holds cannot be removed manually. In order to remove conditional holds, IBM Enterprise Records must initiate a Remove Hold Request. This action removes conditional holds on records the next time that Hold Sweep runs. Use the following procedure to initiate a hold request in order to clear the holds that you placed on records for testing purposes.

1. In IBM Enterprise Records, open the “Hold Fennel records” Information page.
  - a. Click Disposition > Holds > Hold Fennel records > Get Info.
2. Click Initiate Remove Hold Request in the Actions section in the left pane.
  - a. Click Accept.
3. Open a command prompt and manually run Hold Sweep.
  - a. At the prompt, type `cd C:\Program Files\FileNet\RM\RecordsManagerSweep`.
  - b. Run Hold Sweep by typing the following command:  

```
RecordsManagerSweep -holdswEEP -profile Hold1
```
4. Use the Search page to verify that the records that satisfy the conditions of “Hold Fennel records” are no longer on hold.
  - a. Set the search criteria as Document Title like 3567.
  - b. Verify that the record in the search results does not have the hold icon.

### ***Procedure 7: Create Hold Sweep batch file***

In this procedure, you are going to create a new batch file so that you can schedule Hold Sweep.

1. Create a new blank text document in the C:\Program Files\FileNet\RM\RecordsManagerSweep folder.
  - a. Name the file `HoldSweep.bat`.
2. Edit the text file by entering the following text.  

```
echo on  
RecordsManagerSweep -holdswEEP -profile Hold1
```
3. Save the file.

**Procedure 8: Schedule Hold Sweep**

In this procedure, you are going to schedule Hold Sweep to run automatically.

1. Open Scheduled Tasks:
  - a. Click Start > Settings > Control Panel > Scheduled Tasks.
2. Add a new scheduled task to run Hold Sweep:
  - a. Double-click Add Scheduled Task.
  - b. In the Scheduled Task Wizard window, click Next.
  - c. Click Browse, go to C:\Program Files\FileNet\RM\RecordsManagerSweep, and select the Holdsweep.bat file.
  - d. Schedule Hold Sweep to run weekly starting 2 minutes from the current time.  
The password for Administrator is filenet.
3. Observe that Hold Sweep automatically runs one time.





## Lesson 3.2. Configure automatic destruction

### Overview

### Why is this lesson important?

Your company keeps security camera surveillance files on record for 90 days, after which time these records are automatically destroyed unless a matter arises in which the files could be used. Normally, nobody reviews these files before destruction because it would be too time-consuming. You must configure a sweep process to perform automatic destruction of these files.

### Activities

- Configure automatic destruction of records: Challenge, page 3-23
- Configure automatic destruction of records: Walkthrough, page 3-25

### User accounts

	Type	User ID	Password
	Administrators	Administrator	filenet



#### Note

Passwords are always case-sensitive.



## Configure automatic destruction of records: Challenge

### Challenge

Sign in to IBM Enterprise Records as Administrator (password: filenet) and do the following tasks.

- Create an Auto Destroy action using the Data 1 table.
- Create a disposition schedule using the Data 2 table.
- Create a new record category in the File Plan and apply the disposition schedule to the category using the Data 3 table.
- Add a document and declare it as a record using the Data 4 table.
- Perform the Auto Destroy action using the Data 5 table.

### Data 1

Field	Value
Action Name	Auto Destroy Docs
Action Description	Destroy documents records without manual approval
Action Type	Auto Destroy

### Data 2

Step	Field	Value
1. Describe Schedule	Schedule Name	Auto Destroy Documents
	Description	Automatically destroy expired document records
	Disposition Authority	Administrator
2. Set Trigger	Trigger	Internal Event: Not Current
3. Set Phases	Phase Name	Auto Destroy Phase
	Phase action	Auto Destroy Documents
	Is Screening Required	False
	Phase Retention Period	0 years, 0 months, 0 days

**Data 3**

Field	Value
Record Category Name	Auto Destroy Test Area
Record Category Identifier	ADTA
Reviewer	Administrator
Disposition schedule	Auto Destroy Documents

**Data 4**

Object	Field	Value
Document	Document Class	Document
	Document Title	Auto Destroy Test Document
	Content file	Use any file from the Exercise Files folder.
Record	Record Class	FPOS1 > Record > Electronic Record > employee record
	File Plan location	File Plan > Auto Destroy Test Area
	Reviewer	richard
	Employee status	terminated
	Current	False

**Data 5**

Field	Value
Disposition Sweep bat file name	Run DispositionSweep.bat
Disposition Sweep bat file name to destroy the record	Run autodestroy.bat

**Verification**

- Verify that the document that you added is deleted using Workplace.
- Verify that the record that you declared is deleted using IBM Enterprise Records.
- View the IERActivity.txt log file located in the C:\Program Files\FileNet\RM\RecordsManagerSweep\ folder and verify that it displays information about the automatic destruction of the record.

# Configure automatic destruction of records: Walkthrough

## Procedures

Procedure 1, Create an Auto Destroy action, page 3-25

Procedure 2, Create a disposition schedule, page 3-25

Procedure 3, Apply a disposition schedule to a container, page 3-26

Procedure 4, Add a test record, page 3-28

Procedure 5, Perform the Auto Destroy action, page 3-29

### ***Procedure 1: Create an Auto Destroy action***

In order to use the Auto Destroy feature, you need to create an Auto Destroy action that can be used in a disposition schedule.

1. Sign in to IBM Enterprise Records as Administrator (password: filenet).
2. Create a disposition action:
  - a. Go to Configure > Actions.
  - b. Click Add Action.
  - c. Use the data in the following table and enter the values in the fields.

Field	Value
Action Name	Auto Destroy Docs
Action Description	Destroy documents records without manual approval
Action Type	Auto Destroy

Note that when you select Auto Destroy as the action type, the link to set an associated workflow is disabled.

- d. Click Finish.
- e. Click OK in the Add Confirmation window.
- f. Verify that the action that you created is listed in the Configure > Actions page.
- g. Leave the IBM Enterprise Records window open for the next procedure.

### ***Procedure 2: Create a disposition schedule***

In this procedure, you are going to create a disposition schedule that uses the Auto Destroy action from procedure 1 to automatically destroy expired document records.

1. In IBM Enterprise Records, go to Add Disposition Schedule:
  - a. Click Disposition tab > Disposition Schedules.

- b. Click Add Disposition Schedule.
2. In the Add Disposition Schedule window, use the data in the following table to complete the Describe Schedule step.

Field	Value
Schedule Name	Auto Destroy Documents
Description	Automatically destroy expired document records
Disposition Authority	Administrator

- c. Click Next.
3. Set the trigger:
  - a. Select the Internal Event option for the Trigger column.
  - b. Select Not Current as the value from the list.
  - c. Click Next.
4. Complete the Set Phases step:
  - a. Click Add New to add a phase.
  - b. Configure the phase properties using the data in the table.

Field	Value
Phase Name	Auto Destroy Phase
Description	Auto Destroy Phase
Phase action	Auto Destroy Docs
Is Screening Required	False
Default Retention	0 years, 0 months, 0 days

- c. Click Accept.
  - d. Verify the details displayed for the Auto Destroy Phase.
  - e. Click Finish to create the disposition schedule.
  - f. Click OK in the Add Confirmation window.
  - g. Verify that the Auto Destroy Documents disposition schedule is listed.
  - h. Leave the IBM Enterprise Records window open for the next procedure.

### ***Procedure 3: Apply a disposition schedule to a container***

In this procedure, you are going to apply the disposition schedule that you created in the previous procedure to a container. This action disposes all of the records within that container (unless special exemptions occur) according to the schedule when the events occur.

1. In the IBM Enterprise Records window, click the Browse tab.

2. Add a new, top-level record category in the File Plan:
  - a. Click the Add Record Category icon.
3. In the Add Record Category window, use the data in the following table to set the properties.
  - a. Accept default values for the other fields.

Field	Value
Record Category Name	Auto Destroy Test Area
Record Category Identifier	ADTA
Reviewer	Administrator

- b. Click Next.
4. For Set Disposition step, choose the disposition schedule:
  - a. Click Browse Schedule.
  - b. Click Select link next to the Auto Destroy Documents disposition schedule.
  - c. Verify that the Disposition Instructions and Disposition Authority fields have values.
  - d. Click Next.
5. For Set Vital Record step, accept the defaults and click Next.
6. For Set Security step, accept the defaults.
7. Click Finish.
8. Click OK in the Add Confirmation window.
9. Verify that Auto Destroy Test Area record category is listed.
10. Leave the IBM Enterprise Records window open for the next procedure.

**Procedure 4: Add a test record**

To test disposition, you need to add a test record. The record inherits the disposition schedule of the Auto Destroy Test Area container. The record class needs to have the Employee Status property in order to use the specified trigger. The trigger event occurs when the value of the Current property is False, so you need to set this property when you declare the record.

1. Go to Workplace by clicking the link at the right top of the IBM Enterprise Records page.
2. In Workplace, add a new document to the RDOS1 > Customer orders folder.
  - a. Use the data from the table.

Property	Value
Class	Document
Document Title	Auto Destroy Test Document
Content file	Use any file from the Exercise Files folder on the desktop.

3. Click Finish.
4. In the Add Confirmation window, click Declare as Record.
5. In the Declare As Record window, click Accept to declare the document as a record without a template.
  - a. Use the data from the table.

Item	Value
Record Class	FPOS1 > Record > Electronic Record > employee record
File Plan location	File Plan > Auto Destroy Test Area
Reviewer	Administrator
Employee status	terminated
Current	False

**Hint**

In the *Declare Records - Select File plan Locations* window, do the following:

- Select the file plan location.
- Click Add to Selection.
- Click Accept.
- Click Next.



6. At the Set Properties step, set the Current property value to False.
  - a. Set Reviewer and Employee status properties using the data in the table.
  - b. Click Finish.
  - c. At the Declare Record Confirmation page, click OK.
7. Verify Document and Record Creation:
  - a. In Workplace, go to RDOS1 > Customer orders and verify that the test document with the Auto Destroy Test Document title is listed.
  - b. In IBM Enterprise Records, go to File Plan > Auto Destroy Test Area and verify that the test record object with the Auto Destroy Test Document title is listed.

8. Prepare the Record for Disposition:

You have made the test record ready for disposition by setting the Current property value to False, but it is not marked Ready for Disposition until Disposition Sweep runs. Use the following procedure to run Disposition Sweep so that the record is properly flagged.



**Important**

Disposition Sweep must be configured from the first lesson in this unit.

- a. Run the Disposition Sweep by double clicking the `Run Disposition Sweep.bat` icon on your desktop.
9. Verify the record:
  - a. In IBM Enterprise Records, go to the Auto Destroy Test Area category.
  - b. Refresh the contents of the Auto Destroy Test Area category.
  - c. Verify that the test record displays the Ready for Disposition icon.

### ***Procedure 5: Perform the Auto Destroy action***

Use the following procedure to run Disposition Sweep so that the record and source document are destroyed without using a workflow to manually approve and perform the destruction. Then verify that the record and the source document are deleted.

1. Run Disposition Sweep to destroy the record and delete the document:
  - a. Double-click the *Run autodestroy.bat* icon on your desktop.
2. In IBM Enterprise Records, verify that the record was deleted:
  - a. Go to File Plan > Auto Destroy Test Area
  - b. Refresh the contents of the Auto Destroy Test Area category.

- c. Verify that the test record object is no longer there.
3. In Workplace, verify that the test document was deleted.
  - a. Go to RDOS1 > Customer orders.
  - b. Refresh the contents of the folder.
  - c. Verify that the test document is no longer there.
4. Review the DispositionSweep log file:
  - a. Go to C:\Program Files\FileNet\RM\RecordsManagerSweep.
  - b. Open the file that you specified to log the activity (IERActivity.log).
  - c. View the section near the end of the log file that corresponds to the most recent running of Disposition Sweep.
  - d. Verify that the summary displays the information about the Auto Destroy process:

```
INFO ,2011-08-24 20:05:26,578, ---- Summary Info:
INFO ,2011-08-24 20:05:26,578, Total number of records processed for
auto-destroy processing: 1
INFO ,2011-08-24 20:05:26,578, Error count: 0
INFO ,2011-08-24 20:05:26,578, ---- END DISPOSITION SWEEP ----
```



### Information

You can execute both the Disposition Sweep and the Auto Destroy action in one step by adding the following commands in a single batch file. The following commands use default profiles:

```
cd C:\Program Files\FileNet\RM\RecordsManagerSweep
RecordsManagerSweep.bat -DispositionSweep
RecordsManagerSweep.bat -DispositionSweep -autodelete
```

## Lesson 3.3. Configure automatic volume creation

### Overview

### Why is this lesson important?

Your organization uses a retention model file plan. The records and their retention period containers are destroyed using the Auto Destroy process as defined in the Disposition schedule. New retention period containers must be created at regular intervals (example: monthly) for the high volume of incoming records. You need to configure automatic volume creation. You are going to complete this task using the Auto Volume Creation workflow provided with the IBM Enterprise Records software.

### Activities

- Configure automatic volume creation: Challenge, page 3-33
- Configure automatic volume creation: Walkthrough, page 3-35

### User accounts

	Type	User ID	Password
	Administrators	Administrator	filenet



#### Note

Passwords are always case-sensitive.



## Configure automatic volume creation: Challenge

### Challenge

Sign in to IBM Enterprise Records as Administrator (password: filenet) and do the following tasks using the data in the tables.

- Transfer the workflow and add it to the object store folder using the Data 1 table.
- Create a subcategory and a record folder using the Data 2a and 2b tables.
- Launch the workflow and set properties for the workflow item using the Data 3 table.
- Pause or restart or terminate the auto volume creation using the Process Administrator.

### Data 1

Field	Value
Name of the workflow definition file	AutoVolumeCreation.pep
Location of the file	C:\Program Files\IBM\EnterpriseRecords\Samples\Workflow
Object store location to store the file	FPOS1> Records Management > Workflows
Document Title for the workflow	AutoVolumeCreationWorkflow

### Data 2a

Field	Value
Location for the folder to be created	FPOS1 Object store > Records Management > File Plan > Legal > Email Compliance > 60-Day Retention category
Record Folder class	Electronic Record Folder
Record Folder Name	2001
Folder Unique Identifier	AVF
Reviewer	Administrator

**Data 2b**

Field	Value
Location for the sub-category to be created	FPOS1 Object store > Records Management > File Plan > Legal > Email Compliance category
Object class	Record Category
Record category name	60-Day Retention
Record category Identifier	60DR
Reviewer	Administrator

**Data 3**

Field	Value
BeginDate_BeginTime	Yesterday's date and current time
Frequency_In_Days	1
Frequency_In_Months	0
Frequency_In_Years	0
Prefix_VolumeName	IERLab
Reviewer	Administrator
ParentFolder	FPOS1 Object store > Records Management > File Plan > Legal > Email Compliance > 60-Day Retention > 2011 folder

**Verification**

- In IBM Enterprise Records, go to the Browse page.
- Go to the File Plan > Legal > Email Compliance > 60-Day Retention > 2011 folder.
- Verify that the volumes are created with the following format:
  - IERLab-<DateTime>

# Configure automatic volume creation: Walkthrough

## Procedures

Procedure 1, Install the workflow, page 3-35

Procedure 2, Create a subcategory and a record folder, page 3-36

Procedure 3, Launch the workflow and set properties, page 3-37

Procedure 4, Verify the auto volume creation, page 3-38

Procedure 5, Pause or restart the auto volume creation, page 3-38

Procedure 6, Terminate the auto volume creation, page 3-39

### ***Procedure 1: Install the workflow***

In this procedure, you are going to validate, transfer the workflow and add it to the Content Engine.

1. Open the Process Designer:

- a. Sign in to Workplace as Administrator (password: filenet).
- b. Go to Author > Advanced Tools.
- c. From the right panel, click the Process Designer link.

The Process Designer opens.

2. Validate the workflow:

- a. Click File > Open.
- b. Go to the C:\Program Files\IBM\EnterpriseRecords\Samples\Workflow\AutoVolumeCreation.pep file.

The workflow map is displayed. View the workflow steps.

- c. Click Action > Validate Workflow.
- d. Click Close at the success message window prompt.

3. Transfer the workflow and save it to an object store:

- a. Click File > Transfer Workflow Collection.  
Click OK at the prompt to save the workflow.
- b. In the Save the workflow definition to an object store window, click Browse.
- c. Go to FPOS1> Records Management > Workflows directory and click Select.
- d. Click Next.
- e. Type AutoVolumeCreationWorkflow in the Document Title field and click Finish.
- f. In Transfer Workflow window, click Close when prompted.

- g. Click File > FileNet > FileNet Cancel Checkout.
  - h. Close the Process Designer window.
4. Leave Workplace opened for the next procedure.

## ***Procedure 2: Create a subcategory and a record folder***

In this procedure, you create a subcategory and a record folder to be used for the next activity.

1. Create a subcategory:
  - a. Sign in to IBM Enterprise Records as Administrator (password: filenet).
  - b. Go to FilePlan > Legal > Email Compliance category.
  - c. Click the Add Record Category link.
  - d. Use the data in the table to complete the wizard. Leave the other fields blank or with the default values.

Field	Value
Object class	Record Category
Record category name	60-Day Retention
Record category Identifier	60DR
Reviewer	Administrator

- e. In the Add Record Category window, click Next.
  - f. Accept the defaults for the fields and click Finish.
  - g. Click OK at the Add Confirmation window.
2. Verify that a record category is created with the name that you specified in step 1d.
  - a. Leave IBM Enterprise Records open for the next step.



### **Information**

For the purpose of this exercise, you are going to create only the category and the folder needed for the volume creation. But to complete the entire configuration, you also need to create a Disposition Schedule and associate it with the category with volume level aggregation.

3. Add a parent folder to be used for the workflow:
  - a. In IBM Enterprise Records, go to the FilePlan > Legal > Email Compliance > 60-Day Retention category that you created in the previous procedure.
  - b. Click Add Record Folder link.



- c. Use the data in the following table to complete the wizard. Leave the other fields blank or with the default values.

Field	Value
Record Folder class	Electronic Record Folder
Record Folder Name	2011
Folder Unique Identifier	AVF
Reviewer	Administrator

- d. In the Add Record Folder window, click Next.
- e. Accept the defaults for the fields and click Finish.
- f. Click OK at the Add Confirmation window.
4. Verify that a record folder is created with the name that you specified in step 3c.



### Note

The first volume is automatically created with the name: 2011-00001 inside this folder. You are going to use the workflow to create successive volumes in the next procedure.

## Procedure 3: Launch the workflow and set properties

In this procedure, you launch the Auto Volume Creation workflow from Workplace and set properties for auto volume creation. You need to be a Records Manager or a Records Administrator to access the workflow queue.

1. Launch the workflow:
  - a. In Workplace, go to the Browse page.
  - b. Go to the FPOS1 Object store > Records Management > Workflows folder.
  - c. Right-click AutoVolumeCreationWorkflow and select Launch.
  - d. Click Launch below the AutoVolumeCreationWorkflow on the Launch Workflow page.
  - e. On the Launch page, you can change the Workflow subject if needed.
  - f. Click Launch.
2. Open the Auto Volume Creation work item:
  - a. In Workplace, go to Tasks > Public Inboxes.
  - b. Click the RecordsManagerApproval queue.
  - c. Click the Auto Volume Creation link or the workflow subject that you provided in step 1e in the Launch step. The step name is Set Properties For Volume.

## 3. Set Properties:

- a. Use the data in the following table to enter the values for the properties on the Set Properties For Volume page. At the top of the page, you can view the instructions for completing the set properties for volume creation.
- b. For the purpose of this exercise, you are going to enter yesterday's date, so that you can verify that the volume being created. The workflow creates make-up volumes for the time passed between the launch date and start date.

Field	Value
BeginDate_BeginTime	Yesterday's date and current time
Frequency_In_Days	1
Frequency_In_Months	0
Frequency_In_Years	0
Prefix_VolumeName	IERLab
Reviewer	Administrator

## 4. Set Parent Folders:

- a. Expand the ParentFolders attachment by clicking the link.
- b. Click the Assign link.
- c. Expand FPOS1 Object store > Records Management > File Plan > Legal > Email Compliance > 60-Day Retention > 2011 folder.
- d. Click the Select 2011 link.
- e. Verify that the ParentFolders has 2011 assigned to it.

The new volumes are created in this folder. You can add more than one folder.

- f. Click Complete.

**Procedure 4: Verify the auto volume creation**

1. In Enterprise Records, go to the Browse page.
2. Go to the File Plan > Legal > Email Compliance > 60-Day Retention > 2011 folder.
3. Verify that volumes are created with the following format:
  - IERLab-<DateTime>

**Procedure 5: Pause or restart the auto volume creation**

In this procedure, you use the Process Administrator tool to pause or restart the auto volume creation process.

1. Launch Process Administrator.
  - a. In Workplace, go to Admin page and click Process Administrator in the right pane.  
Process Administrator opens.

2. Locate the work item:
  - a. In Process Administrator, select Edit (all fields) for the Search mode.
  - b. Click Find Now.
  - c. Locate the work item for Auto Volume Creation, or the item with the subject you provided in the Launch section.
3. Set the HaltAutoProcess property value:
  - a. Scroll to the right.
  - b. Set the value of HaltAutoProcess to True for that row. (When prompted, click YES to lock the work item and edit) by typing the value and press Enter.

**Note**

To restart the automation process, set the value of HaltAutoProcess to False.

***Procedure 6: Terminate the auto volume creation***

In this procedure, you use the Process Administrator tool to terminate the auto volume creation process.

1. In Process Administrator, select Edit (all fields) for the Search mode.
  - a. Click Find Now.
2. Locate and select the work item for Auto Volume Creation, or the item subject you provided in the Launch section.
3. From the Tasks, select Delete Work.
  - a. Click OK when you are prompted for Delete confirmation.
4. Close the Process Administrator.
5. Sign out of the Workplace and close the browser.



## Lesson 3.4. Configure auditing

### Overview

### Why is this lesson important?

Your company policy is to destroy video records on schedule and to provide proof that the records were destroyed. You need to show someone from the legal department the audit log that proves that the records were destroyed on schedule.

An inspector is investigating a case and needs to know when certain documents have been accessed or deleted. You must audit the document content access and deletion events and send a compiled report to the inspector.

### Activities

- Configure auditing: Challenge, page 3-43
- Configure auditing: Walkthrough, page 3-47

### User accounts

	Type	User ID	Password
	Administrators	Administrator	filenet



#### Note

Passwords are always case-sensitive.



# Configure auditing: Challenge

## Challenges

Challenge 1, page 3-43

Challenge 2, page 3-44

Challenge 3, page 3-45

## Challenge 1

Sign in to Content Engine Enterprise Manager Administrator tool and enable audit logging for the FPOS1 and RDOS1 object stores.

Sign in to IBM Enterprise Records as Administrator (password: filenet) and use the data in the table to complete the following tasks.

- Relocate a category using the Data table.
- View audit history.

## Data 1

Item	Value
Category to relocate	File Plan > HR-Human Resources > Current Policies
Reason for Relocation	Management decision
Destination	File Plan > Legal
Category to relocate again	File Plan > Legal > Current Policies
Reason for Relocation	Another Management decision
Destination	File Plan > Human Resources

## Verification 1

- Verify that the Current Policies subcategory was moved to Legal category after the first relocation.
- Verify that the Current Policies subcategory was moved back to HR - Human Resources category after the second relocation.
- Verify that the audit history information is displayed after the relocating the category.

## Challenge 2

Sign in to Content Engine Enterprise Manager Administrator tool and do the following tasks:

- Enable audit logging for the FPOS1 object store > Document Class > Record class using the Data 2a table.
- Configure audits for the initiating document classes for the records using the Data 2b table.

### Data 2a

Audit Event	Audit Event Settings
RM Audit	<ul style="list-style-type: none"><li>• Success</li><li>• Failure</li><li>• Apply to Subclasses</li></ul>
Creation	<ul style="list-style-type: none"><li>• Success</li><li>• Apply to Subclasses</li></ul>
Update	<ul style="list-style-type: none"><li>• Success</li><li>• Failure</li><li>• Apply to Subclasses</li></ul>

### Data 2b

Audit Event	Audit Event Settings
Deletion	<ul style="list-style-type: none"><li>• Success</li><li>• Failure</li></ul>
Get Content	<ul style="list-style-type: none"><li>• Success</li><li>• Failure</li></ul>

## Verification 2

Verify that the Audit events are added to the Record and Document classes.



## Challenge 3

Sign in to IBM Enterprise Records as Administrator (password: filenet) and use the data in the table to complete the following tasks.

- Create a new Disposition Schedule using the Data 3a table.
- Apply the Disposition Schedule to a new Category using the Data 3b table.
- Create two new records in the Category that you created in the previous step using the Data 3c and Data 3d tables.

### Data 3a

Step	Item	Data
Describe Schedule	Schedule Name	Destroy Expired Data
Set Trigger	Internal Event	Not Current
Set Phases	New Disposition Phase	<ul style="list-style-type: none"> <li>• Phase name: Destroy</li> <li>• Phase action: Destroy</li> <li>• Screening required: False</li> <li>• Phase retention Period: 0, 0, 0</li> </ul>

### Data 3b

Field	Value
Record Category Name	Customer Data
Record Category Identifier	CDA
Reviewer	Administrator

### Data 3c

Item	Value
Class	Order
Folder	Customer orders
Document Titles	AuditLab1, AuditLab2
Order numbers	Order1, Order2
Current	False
Content file	Use any file from the Desktop > Exercise Files folder.

**Data 3d**

Item	Value
Class	FPOS1 > Record > Electronic Record > employee record
File Plan location	File Plan > Customer Support > Customer Data
Reviewer	Administrator

**Note**

Verification:

You are going to view the audits logs for the objects created and export the audit logs in the next lesson.

# Configure auditing: Walkthrough

## Procedures

Procedure 1, Enable audit logging on the object stores, page 3-47

Procedure 2, Relocate a category, page 3-48

Procedure 3, View audit history, page 3-48

Procedure 4, Enable audit logging on the record classes, page 3-49

Procedure 5, Enable event audits on RDOS classes, page 3-50

Procedure 6, Create a new disposition schedule, page 3-50

Procedure 7, Apply disposition schedule to a category, page 3-51

Procedure 8, Add records, page 3-52

### ***Procedure 1: Enable audit logging on the object stores***

In this procedure, you are going to enable audit logging on the FPOS for the record objects and on the RDOS for the originating documents.

1. Open the Filenet Enterprise Manager Administrator tool:
  - a. From the desktop, open the Administrator Tools folder and double-click the Filenet Enterprise Manager Administrator tool.
  - b. Select the hqdemo1 row and click Connect.
2. Enable auditing on the FPOS1:
  - a. Right-click the FPOS1 object store and click Properties.  
The FPOS1 Properties window opens.
  - b. On the General tab, select Auditing Enabled and then click OK to save your changes and close the window.
3. Repeat step 2 to enable auditing on the RDOS1 object store.



#### **Information**

##### Effects of Automatic RM Audit Logging

After audit logging is enabled on a record-enabled object store, users can view the audit history for entities using the History view. To see some auditable IBM Enterprise Records events, you are going to move an entity, and then view its audit history.

## ***Procedure 2: Relocate a category***

1. Open the category:
  - a. Sign in to IBM Enterprise Records as Administrator (password: filenet).
  - b. Go to File Plan > Human Resources.
  - c. Open the Information page for the Current Policies category by clicking the information icon next to Current Policies.
2. Relocate the Category:
  - a. Click the Relocate link from the Actions pane on the left.
  - b. In the Relocate page, type *Management decision* in the Reason for Relocation field.
  - c. Click Next.
  - d. For the Set Destination step, select File Plan > Legal by clicking the Legal link.
  - e. Click Relocate.
  - f. Click OK in the Status window.
3. Refresh the HR - Human Resources category in the Category Tree to verify that the Current Policies subcategory was moved.
4. Repeat steps 1 and 2 to relocate the Current Policies category from the File Plan > Legal category back to the HR - Human Resources category.
  - Reason for Relocation field value: Another management decision.

## ***Procedure 3: View audit history***

You have relocated a category, which is an auditable event. In this procedure, you are going to view the audit history of the category that you just relocated.

1. In the IBM Enterprise Records window, go to FilePlan > Human Resources.
2. Open the History page:
  - a. Click the Get Info icon for the Current Policies category.
  - b. Click the History link in the left pane.
3. Search for all events:
  - a. Select Events.

Note that when you select Events, RM Audit is automatically selected.
  - b. Click Search. The relocation events are displayed.
  - c. Verify that each action was a success.
4. View the Information page for the RM Audit events.
  - a. Click the Get Info icon of one of the events displayed.

- b. View the reason for the action.
- c. View the description of the action. Note that the Description is recorded only for Relocation events.
- d. Click Exit to close the RM Audit event Information page.
- e. Click Exit to close the Current Policies Information page.

#### ***Procedure 4: Enable audit logging on the record classes***

When you log the RM Audit events, certain IBM Enterprise Records operations are automatically logged. The auditing does not log Creation events. In order to use metadata filtering, you must enable Update events. So in addition to RM Audit events, you are going to log Creation events and Update events.

In this procedure, you are going to add audit definitions to the Record class and all subclasses.

1. Open the Record class Properties window:
  - a. Sign in to the FileNet Enterprise Manager Administrator tool.
  - b. Expand the FPOS1 object store > Document Class > Record.
  - c. Right-click the Record node and click Properties.
2. Add three new Audit Definitions using the data in the table.
  - a. In the Record Class Properties window, click the Audit Definitions tab.
  - b. For the Event field, select an audit event (given in the table) from the list.
  - c. Select the settings specified in the table.
  - d. Click Add.
  - e. Repeat steps 2b and 2c for the other audit events.

<b>Audit Event</b>	<b>Audit Event Settings</b>
RM Audit	<ul style="list-style-type: none"> <li>• Success</li> <li>• Failure</li> <li>• Apply to Subclasses</li> </ul>
Creation	<ul style="list-style-type: none"> <li>• Success</li> <li>• Apply to Subclasses</li> </ul>
Update	<ul style="list-style-type: none"> <li>• Success</li> <li>• Failure</li> <li>• Apply to Subclasses</li> </ul>

3. Click OK to save your changes and close the Properties window.
4. Leave the Content Engine Enterprise Manager Administrator tool open for the next procedure.

**Procedure 5: Enable event audits on RDOS classes**

In this procedure, you are going to configure audits for the initiating document classes for the records.

1. Open the Order Document class Properties window:
  - a. In the Content Engine Enterprise Manager, expand RDOS1 object store > Document Class > Order.
  - b. Right-click the Order node and click Properties.
2. Add two new Audit Definitions using the data in the table.
  - a. In the Order Class Properties window, click the Audit Definitions tab.
  - b. For the Event field, select an audit event (given in the table) from the list.
  - c. Select the settings specified in the table.
  - d. Click Add.
  - e. Repeat steps 2b and 2c for the other audit event.

Audit Event	Audit Event Settings
Deletion	<ul style="list-style-type: none"><li>• Success</li><li>• Failure</li></ul>
Get Content	<ul style="list-style-type: none"><li>• Success</li><li>• Failure</li></ul>

3. Click OK to save your changes and close the Properties window.

**Procedure 6: Create a new disposition schedule**

In this procedure, you are going to create a disposition schedule to apply to a category.

1. Create a new Disposition Schedule:
  - a. Sign in to IBM Enterprise Records as Administrator (password: filenet).
  - b. Click Disposition tab > Disposition Schedules.
  - c. Click Add Disposition Schedule.
  - d. Complete the wizard using the data in the table.

Step	Item	Data
Describe Schedule	Schedule Name	Destroy Expired Data
Set Trigger	Internal Event	Not Current
Set Phases	New Disposition Phase	<ul style="list-style-type: none"><li>• Phase Name: Destroy</li><li>• Phase Action: Destroy</li><li>• Is Screening Required: False</li><li>• Default Retention: 0, 0, 0</li></ul>

2. For the Set Phases step, create a new Depositions Phase:
  - a. Click Add New.
  - b. In the Phase Properties window, enter the values from the table.
  - c. Click Accept and then click Finish to complete the wizard.
3. Leave the IBM Enterprise Records window open for the next procedure.

### ***Procedure 7: Apply disposition schedule to a category***

In this procedure, you are going to apply the disposition schedule that you created in the previous procedure to a category. This action disposes of all of the records within that container (unless special exemptions occur) according to the schedule when the events occur.

1. In the IBM Enterprise Records window, click the Browse tab.
  - a. Go to the File Plan > Customer support.
2. Add a new record category:
  - a. Click the Add Record Category icon.
  - b. In the Add Record Category window, use the data in the following table to set the properties.
  - c. Accept default values for the other fields.

Field	Value
Record Category Name	Customer Data
Record Category Identifier	CDA
Reviewer	Administrator

- d. Click Next.
3. Select the Disposition Schedule:
  - a. In the Set Disposition step, click Browse Schedule.
  - b. In the Select Disposition Schedule window, click the Select link below the Destroy Expired Data Disposition Schedule that you created.
  - c. Verify that the Disposition Instructions field has value.
  - d. Click Finish.
4. Click OK in the Add Confirmation window.
5. Verify that Customer Data record category is listed.
6. Leave the IBM Enterprise Records window open for the next procedure.

**Procedure 8: Add records**

1. In Workplace, add a new document to the RDOS1 object store > Customer orders folder.
  - a. Use the data from the table for the given fields and accept defaults for the other fields.

Item	Value
Folder	Customer orders
Class	Order
Document Title	AuditLab1
Order number	101
Current	False
Add as major version	Yes
Content file	Use any file from the Desktop > Exercise Files folder.

- b. Leave the Add Confirmation window open for the next step.
2. Declare the document as a record:
  - a. In the Add Confirmation window, click Declare as Record.
  - b. Accept the default (No template selected) and click Accept.
  - c. Use the data from the table to complete the wizard.

Item	Value
Class	FPOS1 > Record > Electronic Record > order record
File Plan location	File Plan > Customer Support > Customer Data
Document Title	AuditLab1
Reviewer	Administrator

**Hint**

In the *Declare Records - Select File plan Locations* window, do the following:

- Select the file plan location.
- Click Add to Selection.
- Click Accept.
- Click Next.

- d. Click Finish to complete the wizard.
  - e. Click OK to close the Declare Record Confirmation window.



3. Verify Document and Record Creation:
  - a. In Workplace, go to RDOS1 > Customer orders and verify that the test document with the AuditLab1 Document title is listed.
  - b. In IBM Enterprise Records, go to File Plan > Customer Support > Customer Data and verify that the test record object with the AuditLab1 Document title is listed.
4. Repeat steps 1 through 5 to add one more record:
  - a. Use AuditLab2 for the Document title.
  - b. Use Order2 for the Order number.

**Note**

You are going to view the audits logs for the objects created and then export the audit logs in the next lesson.



## Lesson 3.5. View and export audit logs

### Overview

### Why is this lesson important?

Your company maintains audit logs for records. The audit logs take up too much space on the server. The audit logs need to be archived to save space. You need to export the audit logs for archival purposes.

### Activities

- View and export audit logs: Challenge, page 3-57
- View and export audit logs: Walkthrough, page 3-59

### User accounts

	Type	User ID	Password
	Administrators	Administrator	filenet



#### Note

Passwords are always case-sensitive.



# View and export audit logs: Challenge

## Challenges

Challenge 1, page 3-57

Challenge 2, page 3-58

## Challenge 1

- View the content of the AuditLab1 document that you created in the previous lesson and then view the Get Content audits in the History page of the document using Workplace.
- Destroy the AuditLab1 and AuditLab2 records using the Disposition Sweep and Workflow.
- Search the RM audit log for record destruction using the Data 1a table.
- View Get Content audits of deleted documents using the Data 1b table.

## Data 1a

Prompt		Select from list or enter data
Select From Table		RM Audit
Select Columns		Accept the default value (*)
Criteria	<ul style="list-style-type: none"> <li>• Condition A</li> <li>• Condition</li> <li>• Value</li> </ul>	<ul style="list-style-type: none"> <li>• AuditActionType</li> <li>• Equal To</li> <li>• Destroy</li> </ul>

## Data 1b

Prompt		Select from list or enter data
Select From Table		Get Content Event
Select Columns		Accept the default value (*)
Criteria	<ul style="list-style-type: none"> <li>• Condition A</li> <li>• Condition</li> <li>• Value</li> </ul>	<ul style="list-style-type: none"> <li>• Source Class Id</li> <li>• Equal To</li> <li>• The value of the Order document class ID</li> </ul>

## Verification 1

Verify that History page displays Get Content audits after your view the document.

Verify that the search results show the record destruction logs and Get Content audits of the deleted documents after you deleted the records.

## Challenge 2

- Enable the Meta Data Filter and test the filter settings.
- Export the audit logs and delete them after the Export using the Data 2 table.

## Data 2

Prompt		Select from list or enter data
Select From Table		RM Audit
Select Columns		Accept the default value (*)
Criteria	<ul style="list-style-type: none"><li>• Condition A</li><li>• Condition</li><li>• Value</li></ul>	<ul style="list-style-type: none"><li>• AuditActionType</li><li>• Equal To</li><li>• Destroy</li></ul>

## Verification 2

After enabling the Meta Data Filter, verify that the update events are displayed only for the properties that you selected for the filter.

Verify that export file is created after the export.

# View and export audit logs: Walkthrough

## Procedures

Procedure 1, View Get Content audits, page 3-59

Procedure 2, Destroy AuditLab records, page 3-60

Procedure 3, Search the RM Audit log for record destruction, page 3-61

Procedure 4, View Get Content audits of deleted documents, page 3-62

Procedure 5, Enable the Meta Data Filter, page 3-63

Procedure 6, Test the Meta Data Filter settings, page 3-63

Procedure 7, Export audit logs, page 3-64

### ***Procedure 1: View Get Content audits***

In this procedure, you are going to view the Get Content event audits before you destroy the documents. If someone views the content of the document, a Get Content event is logged.

1. View the document content:
  - a. Sign in to Workplace as Administrator (password: filenet).
  - b. Go to Object stores > RDOS1 > Customer orders folder.
  - c. View the content of the AuditLab1 document by clicking the document Title link.
  - d. Close the document content window.
2. View the document history by searching for all events.
  - a. Go to the Information page of the AuditLab1 document.
  - b. Click the History link in the left pane.
  - c. In the right pane, select Events. Notice that all the events that are listed are selected.
  - d. Click Search.

In the results display, the Event Date column lists the date and time that the content was accessed, and Initiated By column lists who downloaded the content.
  - e. Leave the Information page open for the next step.
3. Obtain the object ID of the document:
  - a. In the Information page, click the Properties link in the left pane.
  - b. Click the Show System Properties link in the right pane.

- c. Copy the value for the ID property of AuditLab1 to a temporary text file on your desktop.

Example: {A2294E3B-5827-4F6C-978C-C3B12D5E2B75}

- d. Click Exit to close the Information page.

## ***Procedure 2: Destroy AuditLab records***

In order to observe the audit logs for record destruction, you need to trigger the event that Disposition Sweep uses to flag entities that are ready for disposition. In this case, the event occurs when the Current property is False. You have already set this value on the records. You are going to run Disposition Sweep and initiate disposition.

1. Run Disposition Sweep using the batch file on your desktop.
2. After Disposition Sweep runs, verify that the two AuditLab records are ready for disposition.
  - a. In IBM Enterprise Records, go to the location of the AuditLab records: File Plan > Customer Support > Customer Data
  - b. Notice a Ready for Disposition (clock) icon next to each record.
  - c. If you do not see the icons, refresh the contents of the Customer Data category.
3. Initiate disposition for AuditLab1 and AuditLab2 records:
  - a. In IBM Enterprise Records, go to the location of the AuditLab records: File Plan > Customer Support > Customer Data
  - b. Select both records.
  - c. Click the Multi-Select Actions link and select Initiate Disposition from the list.
  - d. Click OK on the status page.

Notice that the Disposition icon has changed to a clock with a green arrow in it.

4. Approve Destruction of the records:
  - a. Sign in to Workplace as Administrator (password: filenet).
  - b. Go to Tasks > Public Inboxes > RecordsManagerApproval queue.
  - c. Open the task with the name Destroy: AuditLab1, AuditLab2.
  - d. In the Approve Step window, under the Review Decision column, select Approve from the list for both AuditLab1 and AuditLab2.
  - e. Click Complete to complete the work item.
5. Sign out from Workplace and sign in again to IBM Enterprise Records. Observe that the two records have been destroyed.

You might need to wait a few minutes and then refresh the contents of the Customer Data category to see that the records were destroyed.



### Procedure 3: Search the RM Audit log for record destruction

1. Open the FileNet Enterprise Manager Administrator tool:
  - a. From the desktop, open the Administrator Tools folder and double-click the FileNet Enterprise Manager Administrator tool.
  - b. Select the hqdemo1 row and click Connect.
2. Create and run a new search for destroyed records:
  - a. In Content Engine Enterprise Manager, select Object Stores > FPOS1 > Search Results.
  - b. Right-click and click New Search.
  - c. In the Content Engine Query Builder window, use the search criteria shown in the data table.

Prompt		Select from list or enter data
Select From Table		RM Audit
Select Columns		Accept the default value (*)
Criteria	<ul style="list-style-type: none"> <li>• Condition A</li> <li>• Condition</li> <li>• Value</li> </ul>	<ul style="list-style-type: none"> <li>• AuditActionType</li> <li>• Equal To</li> <li>• Destroy</li> </ul>

- d. Click OK to run the search.
  - e. In the Query Status window, click OK.
  - f. In the main window, in the right pane, confirm that the audit log entries are listed for the two AuditLab records.
3. Display the properties for one of the audit events.
    - a. Double-click one of the items from the list.
    - b. In the Audit Event Properties window, click the Properties tab.
    - c. Select the Custom & System Properties option in the *Filter the properties displayed* area.
    - d. Notice the following property values:
      - The ID refers to the RM Audit object.
      - The Source Object Id refers to the destroyed record object.
    - e. Leave the Content Engine Enterprise Manager Administration Tool open for the next procedure.

**Procedure 4: View Get Content audits of deleted documents**

Audit logs remain after the documents and records are destroyed. You have already viewed the Get Content events of the AuditLab1 document while the document was still in the object store. Now you are going to view the same log entry after the original document has been destroyed.

1. Obtain the ID (a system property) for the document class:
  - a. In Content Engine Enterprise Manager, expand RDOS1 object store > Document class > Order.
  - b. Right-click the Order document class and click Properties.
  - c. On the Properties page, click the Properties tab and select the Custom & System Properties option.
  - d. Copy the value for the ID (a system property) and paste it into the same temporary text file that you used in procedure 1.

Example: {08512817-A7FA-45D9-9891-0FACD00B82C6}

2. Create and run a new search for deleted documents:
  - a. Select Object Stores > RDOS1 > Search Results.
  - b. Right-click and click New Search.
  - c. In the Content Engine Query Builder window, use the search criteria shown in the data table.

Prompt		Select from list or enter data
Select From Table		Get Content Event
Select Columns		Accept the default value (*)
Criteria	<ul style="list-style-type: none"><li>• Condition A</li><li>• Condition</li><li>• Value</li></ul>	<ul style="list-style-type: none"><li>• Source Class Id</li><li>• Equal To</li><li>• The value of the Order document class ID</li></ul>

- d. Click OK to run the search.
  - e. In the Query Status window, click OK.
  - f. In the main window, in the right pane, confirm that the audit log entries are listed for the AuditLab documents.
3. Display the properties for one of the Get Content events.
  - a. Double-click one of the items from the list.
  - b. In the Audit Event Properties window, click the Properties tab.
  - c. Select the Custom & System Properties option in the *Filter the properties displayed* area.

- d. Notice the following property values:
  - The ID refers to the Get Content event object.
  - The Source Class Id refers to the Document class.
  - The Source Object Id refers to the deleted document object.
4. Compare the Source Object Id to the Auditlab1 document ID that you copied (in procedure 1) to the temporary text file on your desktop. Although the document name is no longer available, the ID remains in the log entry.



### Note

In this activity, you have demonstrated the following items:

- RM Audit events can prove when a record was destroyed.
- You can use Get Content events to show when document content was accessed.
- You can use Content Engine Enterprise Manager to obtain event log information for objects that have been destroyed.

## ***Procedure 5: Enable the Meta Data Filter***

You have already set the Update property as one of the events to audit, so you can now enable the Meta Data Filter using IBM Enterprise Records to view only events that pertain to a particular property.

1. Enable the Meta Data Filter:
  - a. Sign in to IBM Enterprise Records as Administrator (password: filenet).
  - b. Go to Configure > Audit Configuration.
  - c. Select the Enable Meta Data Filter option.
2. Select the property for the filter:
  - a. Click the Show Details icon for the Record item.
  - b. Sort the properties by clicking the Property column heading.
  - c. Select the Current property from the list of properties.
  - d. Click Apply (at the end of the page) to save the settings.
  - e. Click Exit to close the Audit Configuration page.
  - f. Leave IBM Enterprise Records open for the next procedure.

## ***Procedure 6: Test the Meta Data Filter settings***

1. Open the Information page for the record:
  - a. In IBM Enterprise Records, go to Browse > Customer Support > Order retention.

- b. Open the Information page of the order 39022 record.
2. Make two property updates in two separate steps:
  - a. Change Current property value to False.
  - b. Click Apply to save the changes.
  - c. Enter or change the Order number value to ODN101.
  - d. Click Apply to save the changes.
  - e. Leave the Information page open for the next step.
3. View the event history:
  - a. In the Information page, click the History link in the left pane.
  - b. Search for all events. Notice that only one update event is displayed, although you made two property updates.
  - c. View the Information page of the Update event to verify that the property updates were filtered to display only the Current property change (and not the Order number property).

### ***Procedure 7: Export audit logs***

In this procedure, you are going to search for all audit logs that are older than date for tomorrow (which includes audit entries today) and export them. Because the RM Audit event is an object, you use the DateCreated property to indicate the date when that event took place.

1. In Content Engine Enterprise Manager, create a new search for audit logs:
  - a. Select Object Stores > FPOS1 > Search Results.
  - b. Right-click and click New Search.
  - c. In the Content Engine Query Builder window, enter the search criteria shown in the data table.
  - d. Do **not** execute it yet.

Prompt	Enter Data
Select From Table	<ul style="list-style-type: none"><li>• RM Audit</li></ul>
Condition A	<ul style="list-style-type: none"><li>• DateCreated</li><li>• Less Than</li><li>• &lt;Date for tomorrow&gt;</li></ul>

2. Select Add to Export Manifest on the Actions tab.
3. Save the search:
  - a. Click File > Save.
  - b. Type RMAuditSearchLesson4 for the file name of the search.

- c. Click Save.
4. Execute the search by clicking OK.
5. In Include Options window, select the Include all associated objects option and click OK.

Note that you are prompted more than once for this step.

Objects are added to the export manifest.

6. Click OK in the Query Status window.
7. Verify that a list of items returned in the search results window.
8. Export all objects in the Export Manifest:
  - a. Select FPOS1 > Export Manifest.
  - b. Click Action > Export All Objects from the main menu.
  - c. In the Export Options window, accept the defaults and click OK.
  - d. In the Export Status window, note the export file name and location and click OK.
  - e. Open and view the export XML document.  
Example: C:\Set1\_CEEExport\_Group7\_1.xml
  - f. Verify that the objects have been exported.
9. Delete the audit logs:
  - a. Reopen the search that you saved in step 4 by right-clicking Search results and selecting Open Existing Search.
  - b. Select your Search template (RMAuditSearchLesson4) and click Open.
  - c. Run the same search again, but this time select the Delete Objects action on the Actions tab.
  - d. In Query Status window, notice that the number of objects processed and click OK.
  - e. Verify that the items are cleared in the search results.



## Lesson 3.6. Manage record metadata

### Overview

#### Why is this lesson important?

Your company policy is to destroy records on schedule and to retain metadata on those records for 5 years. You need to enable metadata retention.

After 5 years, the metadata needs to be archived to another location for safekeeping and removed from the production server. You need to export the metadata for archival and, after doing this, delete the retained metadata from the system.

You also need to export to provide the metadata information for some of the deleted records to your company.

### Activities

- Manage record metadata: Challenge, page 3-69
- Manage record metadata: Walkthrough, page 3-71

### User accounts

	Type	User ID	Password
	Administrators	Administrator	filenet



#### Note

Passwords are always case-sensitive.





## Manage record metadata: Challenge

### Challenge

- Enable metadata retention using the Content Engine Enterprise Manager.
- Add a document using the Data 1 table and declare it a record using the Data 2 table.
- Delete the record that you created.
- View the retained metadata for the deleted record using the Content Engine Query Builder and the Data 3 table.
- Export the retained metadata to XML and text formats.
- Remove the Retained Metadata.

### Data 1

Item	Value
Folder to file	Customer orders
Document Class	Order
Document Title	RetainMetaData
Content file	Any document from the Desktop >Exercise Files folder
Order number	1001

### Data 2

Item	Value
Class	FPOS1 > Record > Electronic Record > employee record
File Plan location	File Plan > Customer Support > Order retention
Reviewer	rmsue
Current	False

### Data 3

Column	Condition	Value
Is Deleted	Equal To	TRUE

## **Verification**

Verify that the metadata for the deleted record is retained using the Content Engine Query Builder.

Verify that the export files contains the metadata for the deleted records.

## Manage record metadata: Walkthrough

### Procedures

Procedure 1, Enable metadata retention, page 3-71

Procedure 2, Declare a record and delete the record, page 3-72

Procedure 3, View retained metadata, page 3-73

Procedure 4, Export retained metadata to XML format, page 3-74

Procedure 5, Export retained metadata to text format, page 3-74

Procedure 6, Remove Retained Metadata, page 3-75

### ***Procedure 1: Enable metadata retention***

The Retain Metadata property controls whether or not metadata is retained after a record is deleted. In this exercise, you are going to change the value of this property to enable the retention of record metadata on the File Plan.

1. Open the Filenet Enterprise Manager Administrator tool:
  - a. From the desktop, open the Administrator Tools folder and double-click the Filenet Enterprise Manager Administrator tool.
  - b. Select the hqdemo1 row and click Connect.
2. Open the properties of the FPOS1 File Plan:
  - a. Expand and select FPOS1 > Root Folder > Records Management > File Plan folder.
  - b. Click Action > Properties from the top menu.

The File Plan Properties window opens.
  - c. In the File Plan Properties window on the Properties tab, change the value of Retain Metadata to 0.
  - d. Click OK to apply the change and close the Properties window.
3. Leave the Content Engine Enterprise Manager open for the procedure 3.

**Procedure 2: Declare a record and delete the record**

1. Add a new document:
  - a. Sign in to Workplace as Administrator (password: filenet).
  - b. Add a new document to the RDOS1 object store > Customer orders folders using the data in the table.

Item	Value
Folder to add the document	Customer orders
Document Class	Order
Document Title	RetainMetaData
Order number	1001
Content file	Any document from the Desktop > Exercise Files folder

- c. Click Finish.
2. Declare the document as a record:
  - a. In the Add Confirmation window, click Declare as Record.
  - b. In Declare As Record window, click Accept to declare the document as a record without a template.
  - c. Use the data from the table to complete the wizard.

Item	Value
Class	FPOS1 > Record > Electronic Record > employee record
File Plan location	File Plan > Customer Support > Order retention
Reviewer	rmsue
Current	False

**Hint**

In the *Declare Records - Select File plan Locations* window, do the following:

- Select the file plan location.
- Click Add to Selection.
- Click Accept.

- d. Click Finish.

3. Delete the new record.
  - a. Sign in to IBM Enterprise Records as Administrator (password: filenet).
  - b. Go to File Plan > Customer Support > Order retention.
  - c. Delete the new record using the Get Info link.

### ***Procedure 3: View retained metadata***

1. Open the Content Engine Query Builder.
  - a. In Content Engine Enterprise Manager window, select the FPOS1 object store.
  - b. Right-click and click Search.
2. Create a new search for deleted records.
  - a. In the Content Engine Query Builder window, select Electronic Record from the list for the Select From Table field.
  - b. Set the criteria in the Criteria section on the right pane using the following table to return the deleted items.

Column	Condition	Value
Is Deleted	Equal To	TRUE

3. Save the search before execute it.
  - a. In the Content Engine Query Builder window, click File > Save.
  - b. In the Save As window, type DeletedRecordMetadataSearch for the file name field.
  - c. Click Save.
4. View the retained metadata for the deleted record.
  - a. In the Query Builder window, execute the search by clicking OK.
  - b. In the Query Status window, click OK.
  - c. Verify that the entity that you deleted is listed in the search results window.
  - d. Select the entity that you deleted, right-click, and click Properties.
  - e. In the Properties window, click the Properties tab and view the properties of the record:  
 Property Names to check: Reviewer, Current
  - f. Note that, although the object has been deleted, the property values are retained.
5. Leave the search results open for the next procedure.
  - a. In the Properties window, click OK.

**Procedure 4: Export retained metadata to XML format**

In this procedure, you are going to export the retained metadata to an XML file.

1. In the search results window, select the returned items.
2. Click Action > All Tasks > Add to Export Manifest.
  - a. Select the “Do not include any associated objects” option.
  - b. Click OK.
3. Export all objects in the Export Manifest:
  - c. Select the FPOS1 object store > Export Manifest node in the left pane.
  - d. Click Action > Save Export Manifest To File.
  - e. Enter a name for the export file: `RetainedMetadata.xml`.
  - f. Click OK when prompted with the message that file is saved.
4. Verify that the RetainedMetadata XML file is in the folder that you specified.

**Procedure 5: Export retained metadata to text format**

In this procedure, you are going to export metadata to a comma-separated value (CSV) text file and view it using Microsoft Excel.

1. Open the Content Engine Query Builder.
  - a. In Content Engine Enterprise Manager window, select the FPOS1 object store.
  - b. Right-click and click Search.
2. Open and run the search that you just created:
  - a. In the Query Builder window, open the DeletedRecordMetadataSearch.sch file.
  - b. Click OK to run the search.
  - c. Close the Query Status window by clicking OK.
3. Export the search results to a CSV file.
  - a. In the Enterprise Manger main window, right-click the Search Results node in the tree view pane on the left.
  - b. Select Export List.
  - c. Use the data table to complete the save operation.

Field	Value
Save in location	My Documents
Save as type	Text (Comma Delimited)(*.csv)
File name	DeletedRecords.csv

4. View the exported metadata using Microsoft Excel.
  - a. Expand the columns, if needed, to view the property values.

### ***Procedure 6: Remove Retained Metadata***

In the previous procedure, you backed up the retained metadata. In this procedure, you are going to delete it.

1. Open and run the search that you just created:
  - a. In the Query Builder window, open the DeletedRecordMetadataSearch.sch file.
2. Delete the entities:
  - a. Select Delete Objects on the Actions tab.
  - b. Run the search by clicking OK.
  - c. Click Yes to confirm the delete operation.
  - d. Close the Query Status window by clicking OK.
3. Verify that the objects are removed from the system:
  - a. Open the search in step 1 and run the search.
  - b. Notice that no items are returned in the results.





# Unit 4. IBM Enterprise Records 5.1: Automate Declaration

## Unit overview

### Lessons

Lesson 4.1 - Declare records with event subscriptions, page 4-3

Lesson 4.2 - Declare records with workflow, page 4-19

### Skill levels

Select one of these skill levels to perform the activities.

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

### Requirements

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

### Unit dependencies

The lesson activities in this unit must be performed in the given order.



## Lesson 4.1. Declare records with event subscriptions

### Overview

### Why is this lesson important?

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 whenever the documents are added to the object store.

### Activities

- Create an event action and subscription to declare a record: Challenge, page 4-5
- Create an event action and subscription to declare a record: Walkthrough, page 4-9

### User accounts

Type	User ID	Password
Administrator	Administrator	filenet
IBM WebSphere administrative console	Administrator	filenet



#### Note

Passwords are always case-sensitive.



## Create an event action and subscription to declare a record: Challenge

### Challenge

Use the data in the following tables to complete this lesson.

- Create an event subscription to automatically declare an *employee record* type of record when a user adds an Employee document.
- Add a filter to the record declaration subscription to limit record declaration to declaration of the first major or first minor version of the document.

### Data

Use this data throughout this activity.

Object Store	Class	Object
RDOS1	Employee	Document
FPOS1	employee record	Record

Use this task information and the following data tables to create a declaration subscription.

Declaration task	Notes
Create declaration properties on RDOS	<ul style="list-style-type: none"> <li>• recordClassSymName</li> <li>• recordFileInFolder</li> <li>• Use the data in the following, associated table.</li> </ul>
Add declaration properties to document class	<ul style="list-style-type: none"> <li>• Add properties to document class on RDOS.</li> <li>• Clear Hidden check box on the More tab.</li> </ul>
Import RMAutoDeclare event action to RDOS	<ul style="list-style-type: none"> <li>• Click Actions &gt; All Tasks &gt; Import All.</li> <li>• Accept default values for all other values not included in the data tables.</li> </ul>
Add declare configuration properties to the RMAutoDeclare.properties file on RDOS	<ul style="list-style-type: none"> <li>• Use WordPad.</li> <li>• Use the data in the following, associated table.</li> <li>• Delete the space after the default record class name when you replace it with the variable name.</li> </ul>
Create a subscription for record declaration	<ul style="list-style-type: none"> <li>• Subscription name: DeclareEmployeeRecord</li> <li>• Use the data in the following, associated table.</li> </ul>
Test the record declaration	<ul style="list-style-type: none"> <li>• Use Administrator account that has RM access.</li> </ul>
Add filter expression	<ul style="list-style-type: none"> <li>• Test original and changed declaration results.</li> <li>• Add filter in the following, associated table.</li> </ul>

Use this data to create the properties for configuration of record declaration.

Property name	Type	Length	Value
recordClassSymName	String	64	<Leave blank.>
recordFileInFolder	String	256	<Leave blank.>

Use this data to import the code for the Records Manager event actions.

Prompt	Value
Import manifest file	C:\Documents and Settings\Administrator\Desktop\Infosphere enterprise records\IER install\Events\RMAutoDeclareImport.xml
External content path	C:\Documents and Settings\Administrator\Desktop\Infosphere enterprise records\IER install\Events\lib

Use this data to edit the RMAutoDeclare.properties file with WordPad.

Variable	Value
RecordClassPropertySymname	recordClassSymName
RecordFiledInFolderPropertySymname	recordFileInFolder
TargetObjectStoreName	FPOS1

Use this data to create a subscription.

Subscription Type	Subscription name	Action	Event Type
Record declaration	DeclareEmployeeRecord	RMAutoDeclare	Checkin

Use this expression in the Configuration tab of the record declaration subscription.

Filter Expression
MajorVersionNumber=0 AND MinorVersionNumber=1 OR MajorVersionNumber=1 AND MinorVersionNumber=0

## Verification

- Add a new Employee document to the RDOS1 > Human Resources > Employee folder.
- Verify that an employee record was declared and that the Document Title from the document is the same as the Title of the record object.

- Check out the new Employee document and check in a minor version of the document.
- Verify that a second employee record is **not** declared.





# Create an event action and subscription to declare a record: Walkthrough

## Introduction

In this exercise, you are going to enable automatic declaration of a record object of the *employee record* class when a document is added as a new Employee document object to the RDOS1 object store.

## Procedures

Procedure 1, Create properties to customize declaration, page 4-9

Procedure 2, Add the declare properties to a document class, page 4-10

Procedure 3, Import the declaration event action, page 4-11

Procedure 4, Edit the file for automatic record declaration, page 4-12

Procedure 5, Create a record declaration subscription, page 4-13

Procedure 6, Test the automatic record declaration, page 4-13

Procedure 7, Limit record declaration with a filter, page 4-15

### ***Procedure 1: Create properties to customize declaration***

To automate record declaration, the following two properties are needed on the source RDOS:

- A property to specify the record class of the record that is going to be created
- A property to specify the folder location in the file plan where the record is going to be filed

1. Start FileNet Enterprise Manager Administration Tool.

- a. Click Start > Programs > IBM FileNet P8 Platform > FileNet Enterprise Manager Administration Tool.

**Tip:** A shortcut to the tool in the Exercises folder is located on the Desktop of the student machine and another shortcut on the taskbar.

- b. Click Connect.

2. Create the property that is used to specify the record class.

- a. Select Object Stores > RDOS1 > Property Templates.
- b. Click Action > New Property Template.

- c. Complete the wizard and use the following data to create a new property template:
  - Name: recordClassSymName
  - Type: String
  - All other fields: <Accept the default value.>
3. Create the property used to specify the file plan location for the record.
  - a. Select RDOS1 > Property Templates.
  - b. Click Action > New Property Template.
  - c. Complete the wizard and use the following data to create a new property template:
    - Name: recordFileInFolder
    - Type: String
    - Maximum String Length: 256
    - Tip:** Click More on the Single or Multi-Value page in order to set the Maximum String Length field. Be sure to click OK.
    - All other items: <Accept the default value.>
4. Refresh the RDOS1 object store.

### ***Procedure 2: Add the declare properties to a document class***

After you create recordClassSymName and recordFileInFolder, you must add these properties to the document class on the source RDOS. These properties are going to be used by the event action and subscription that declare a record for each document of the subscribed document class.

1. In Enterprise Manager, select RDOS1 > Document Class > Employee.
2. Add the properties to the class.
  - a. Right-click Employee and click Properties.
  - b. On the Property Definitions tab, click Add/Remove.
  - c. Move recordClassSymName and recordFileInFolder into the Selected column.
  - d. Click OK.
3. In the Employee Class Properties window, configure the recordClassSymName property.
  - a. On the Property Definitions tab, select recordClassSymName and click Edit.
  - b. On the More tab, clear the Value Required and the Hidden check boxes if they are selected.
  - c. Type `employeerecord` in the Default Value field.
  - d. Click OK.
4. In the Employee Class Properties window, configure the recordFileInFolder property.
  - a. On the Property Definitions tab, select recordFileInFolder and click Edit.

- b. On the More tab, clear the Value Required and the Hidden check boxes if they are selected.
  - c. Type /File Plan/Human Resources/Employee files/Employee file retention in the Default Value field.
  - d. Click OK.
5. Apply the changes to the Employee document class and close its Properties window.
6. Refresh the RDOS1 object store.

### ***Procedure 3: Import the declaration event action***

You must run the import script from Enterprise Manager to create the declaration event action on the source RDOS. The import script adds the following files to the RDOS:

- RMAutoDeclare event action to the Events > Action folder
  - RMAutoDeclare code module to the Root Folder > CodeModules folder
  - RMAutoDeclare.properties configuration file to Root Folder > RM Samples folder
1. In Enterprise Manager, verify that the RDOS1 > Root Folder > CodeModules folder exists.  
  
If CodeModules does not exist, follow the instructions in the *FileNet P8 Platform Installation and Upgrade Guide* to create the CodeModules folder.
  2. Import the RMAutoDeclareImport.xml file.
    - a. Select RDOS1.
    - b. Click Action > All Tasks > Import All.
    - c. In the Import Manifest File field, browse and select the following file: C:\Documents and Settings\Administrator\Desktop\Infosphere enterprise records\IER install\Events\RMAutoDeclareImport.xml
    - d. Click Open.
    - e. In the External Content path field, browse and select the following folder: C:\Documents and Settings\Administrator\Desktop\Infosphere enterprise records\IER install\Events\lib
    - f. Click OK.
    - g. Click Import.
    - h. Wait to see the Import Successful message and then click Exit.
    - i. Click Exit in the RDOS1 Import Helper window.
  3. Verify results.
    - a. Expand RDOS1 > Root Folder > CodeModules and verify the RMAutoDeclare module exists.

- b. Verify that RDOS1 > Root Folder > RM Samples folder exists and contains the RMAutoDeclare.properties file.
- c. Verify that RDOS1 > Events > Event Action folder contains the RMAutoDeclare action.

#### ***Procedure 4: Edit the file for automatic record declaration***

You must customize the RMAutoDeclare configuration file by adding declaration information.

1. Sign in to Workplace as Administrator.
2. Check out and edit the RMAutoDeclare.properties file.
  - a. Browse to the RDOS1 > RM Samples folder.
  - b. Check out and download the RMAutoDeclare.properties file to the Desktop of your student machine.
  - c. Open the RMAutoDeclare.properties file on the Desktop in WordPad.
  - d. Find each item listed in the following table, and change the existing value for the variable (to the right of the equals sign) with the value listed in the table.

Item	Value
rmevent.declare.RecordClassPropertySymname	recordClassSymName
rmevent.declare.RecordFiledInFolderPropertySymname	recordFileInFolder
rmevent.declare.FPOSObjectStoreName	FPOS1

- e. Delete the space after the first existing value when you replace it with recordClassSymName.
  - f. Verify that the values are spelled correctly and that there are no extra spaces.
  - g. Save your changes and close the file.
3. Check in RMAutoDeclare.properties file.
  - a. In Workplace, right-click RMAutoDeclare.properties and click Check In.
  - b. Check in the file as a major version.
  - c. Do **not** declare the file as a record.
  - d. Open RMAutoDeclare.properties from Workplace and verify that the file contains the changes you made.
  - e. Sign out of Workplace.

### ***Procedure 5: Create a record declaration subscription***

You create a subscription that uses the declaration event action that you imported and modified in the previous procedure.

1. In Enterprise Manager, select RDOS1 > Document Class > Employee.
2. Click Action > Add Subscription.
3. Complete the wizard using the data in the following table to add a new subscription.

Wizard page	Prompt	Value
Name and Describe the Subscription	Name	DeclareEmployeeRecord
Specify the Type of Object	What type of object does the subscription act on	Applies to all instances of class Employee
Specify Triggers	Subscribed Events	Checkin Event
Specify the Event Action	Select an Event Action	RMAutoDeclare
Specify Additional Properties	State	Enabled Initial State: Selected Include Subclasses: Cleared Synchronous: Cleared

4. Verify results.
  - a. Select RDOS1 > Events > Subscriptions.
  - b. Verify that the DeclareEmployeeRecord subscription is listed in the right pane, that the Enabled value is True, and that the Synchronous value is False.
  - c. Open the Properties window for this subscription and verify that RMAutoDeclare is selected in the Event Action field.
  - d. Close the Properties window.
5. Refresh the RDOS1 object store.

### ***Procedure 6: Test the automatic record declaration***

You test the event subscription in Workplace to verify that the subscription works. First use the Administrator account and inspect the record.

1. Refresh the Content Engine cache for Workplace.
  - a. Log in to the WebSphere administrative console.
  - b. Click Applications and then click Enterprise Applications.
  - c. Stop the Workplace application and then restart it.
  - d. Log out of the WebSphere administrative console.

2. Add a new Employee document in Workplace.
  - a. Sign in to Workplace as Administrator.
  - b. Browse to RDOS1 > Human Resources > Employee files.
  - c. Add a new document to the Employee files folder using the following information. Accept all other default values
    - Class: Employee
    - Document Title: 9999
    - For Family name, Given name, and Status, enter any values you choose.
    - Add as a major version.
    - Use any content of your choice. The content of the document is unimportant.
    - Do **not** click Declare as Record.
3. View the document information in the Browse page.
  - a. Refresh the folder list and locate the new document with title 9999.
  - b. Notice that the document has data in the Record Information column.

**Tip:** If the Record Information column for document 9999 is blank, wait a few minutes and refresh the folder list again. This column remains blank if a record was not created.
  - c. Under Record Information, notice the following items:
    - The GUID of the record that was created for the document
    - The object store and name of the record, which is the same as the Document Title
    - The GUID of the container where the record is filed is listed
4. View the document properties.
  - a. Click the Get info icon for the document.
  - b. Notice the class default value for the recordClassSymName and recordFileInFolder properties.
  - c. Click Show System Properties.
  - d. Notice the Record Information in the system properties list.
5. View the record properties.
  - a. Click the Record Information icon (hand holding a sheet of paper) at the bottom of the system properties.
  - b. View the record properties and notice that the value of Document Title is the same value that you specified for the document.
  - c. Notice that the custom property values listed at the bottom for Family name, Given name, and Employee status are blank.



## Information

The blank values for the custom record properties are expected because you have not created a subscription to synchronize the property values between the document class and the record class. This type of subscription requires custom coding of the event action handler, which is beyond the scope of this course.

- d. Click the Get info icon beside Record Information at the bottom of system properties.  
The Record Information window opens.
  - e. Notice that the Records Manager Properties page includes editable value fields.
  - f. Notice that the Records Manager Properties page has an Actions list on the left that has different actions than those in the list for the document.
6. View the record security.
    - a. Click the Security link for the Records Manager Properties page.
    - b. Notice that only members of Records Manager groups can access the record. Administrator is a member of RMAAdminG.
    - c. Notice that the record inherits its security from the folder. This relationship is indicated by the folder with an up arrow beside it.
    - d. Notice the security message: Additional permissions due to markings are being applied. The above permissions may be overridden.
    - e. Exit the Record Information window.
  7. View the document security.
    - a. Click the Security link for the document.
    - b. Notice that the document security is the same as the record security.
    - c. Notice the security message: The above permissions are being defined by a security proxy.
    - d. Exit the document Information page.

### ***Procedure 7: Limit record declaration with a filter***

You limit automatic record declaration to the first check-in (creation) of an Employee document by specifying a filter that allows record declaration only when the document version is 1.0 or 0.1. Otherwise, each time a new version (major or minor) of the document

is checked in, an additional record is declared. You add the filter to the event action subscription for record declaration.

1. Verify multiple declarations.
  - a. Browse to RDOS1 > Human Resources > Employee files.
  - b. Check out the 9999 document.
  - c. Check in the 9999 document as a minor version, but do **not** click Declare as Record.
  - d. Click the Get info icon for the checked in 9999 document and click Versions.
  - e. Click the Get info icon for the minor version of the document.
  - f. Click Show System Properties.
  - g. Notice that the document version is identified as Version 1.1 and that associated record information is provided.
  - h. Click Exit to close document Information page.
  - i. Click Records Manager to open Enterprise Records.
  - j. Browse to Human Resources > Employee files > Employee file retention.
  - k. Notice that two records named 9999 are listed.
  - l. Close Enterprise Records.
  - m. Sign out of Workplace.
2. Add a filter expression to the record declaration subscription.
  - a. In Enterprise Manager, select RDOS1 > Events > Subscriptions.
  - b. Open the Properties window for the DeclareEmployeeRecord subscription.
  - c. On the Configuration tab, type the following value in Filter Expression:  
`MajorVersionNumber=0 AND MinorVersionNumber=1 OR MajorVersionNumber=1  
AND MinorVersionNumber=0`
  - d. Click Apply.
  - e. Close the Properties window.
  - f. Refresh the RDOS1 object store.
  - g. Close Enterprise Manager.
3. Verify the filter expression.
  - a. Sign in to Workplace as Administrator.



- b. Use the following information to add a new document to RDOS1 > Human Resources > Employee files:
    - Class: Employee
    - Document Title: 1111
    - For Family name, Given name, and Status, enter any values you choose.
    - Add as a major version.
    - Use any content of your choice. The content of the document is unimportant.
    - Do **not** click Declare as Record.
  - c. Verify that the Record Information column for document 1111 contains record data.
  - d. Check out document 1111.
  - e. Check in document 1111 as a minor version, but do **not** click Declare as Record.
  - f. Click the Get info icon for the 1111 document and click Versions.
  - g. Click the Get info icon for the minor version 1.1.
  - h. Click the Show System Properties link.
  - i. Click the Record Information icon.
  - j. Verify that there is no data in the Record Information area and that the message Value Not Defined is displayed.
  - k. Click Exit to close the Information page.
4. Sign out of Workplace.



## Lesson 4.2. Declare records with workflow

### Overview

### Why is this lesson important?

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.

### Activities

- Create a workflow and workflow subscription to declare a record: Challenge, page 4-21
- Create a workflow and workflow subscription to declare a record: Walkthrough, page 4-23

### Lesson dependencies

This lesson is dependent upon completion the previous lesson in this unit.

### User accounts

Type	User ID	Password
Administrator	Administrator	filenet
IBM WebSphere administrative console	Administrator	filenet



#### Note

Passwords are always case-sensitive.



## Create a workflow and workflow subscription to declare a record: Challenge

### Challenge

Use the data in the following tables to complete this lesson.

- On the RDOS, create a Policy document class that is a subclass of Document. Create and assign to the Policy class two property templates: PolicyPurpose (String) and PolicyType (String).
- On the FPDOS, create a PolicyRecord record class that is a subclass of Electronic Record. Create and assign to the PolicyRecord class two property templates: PolicyPurpose (String) and PolicyType (String).
- Create a workflow definition that uses a Policy document as the initiating attachment and includes a declare step. The Document Title, PolicyPurpose, and PolicyType properties must be synchronized with the record object properties.
- Create a workflow subscription on the Policy document class that launches the workflow you created.

### Data

Use this data when you create workflow data fields.

Data field name	Type	Expression
RecordClass	String	"PolicyRecord"
RecordID	String	""
PropertyNames	String	{" "}
PropertyValues	String[]	{" "}
wfl_PolicyPurpose	String	""
wfl_PolicyType	String	""

Use this data when you create the workflow.

Attachment Name	Value	Description
DocToDeclare	<leave blank>	Document that will be declared
RMContainer	<leave blank>	Folder or category in the file plan where the record will be declared

Use this data when you create the declaration parameters on the component step.

Operation parameters	Expression
Folder	RMContainer
Document	DocToDeclare
RMTYPE	RecordClass
DocumentID	RecordID

Configure the RMContainer using the following value, which defines where to file the record object.

Item	Value
RMContainer	FPOS1 > Records Management > File Plan > Human Resources > Current policies > Policy retention

Use these settings to map the document properties to workflow fields.

Name	Expression
PropertyNames	{"DocumentTitle", "PolicyPurpose", "PolicyType"}
PropertyValues	{DocTitle, wfl_PolicyPurpose, wfl_PolicyType}

## Verification

- Add a Policy document to RDOS1 > Human Resources > Policies folder. If this folder does not exist, create it.
- After the workflow executes, ensure that the document was declared as a record to FPOS1 > Records Management > File Plan > Human Resources > Current policies > Policy retention and that the Document Title, PolicyPurpose, and PolicyType property values from the document are correctly mapped to the record object.

# Create a workflow and workflow subscription to declare a record: Walkthrough

## Introduction

In this exercise, you create two versions of a simple workflow that declares a record when a Policy document is added to the object store. In the first version of the workflow, you add an Approve step before the Declare step to allow for user approval of the document before the record is declared. In the second version of the workflow, you remove the Approve step so that the workflow automatically declares the record with no user interaction. You create a workflow subscription that launches the workflow when a new Policy document is created.

## Procedures

Procedure 1, Create a Policy document class on the RDOS, page 4-23

Procedure 2, Create a PolicyRecord class on the FPOS, page 4-24

Procedure 3, Verify that workflow services are started, page 4-26

Procedure 4, Explore RM\_Operations and add parameter descriptions, page 4-26

Procedure 5, Create a workflow definition to approve and declare records, page 4-27

Procedure 6, Validate the workflow, page 4-31

Procedure 7, Launch and process the workflow, page 4-31

Procedure 8, Modify the workflow to remove the Approve step, page 4-32

Procedure 9, Add a workflow subscription, page 4-33

Procedure 10, Test the workflow subscription, page 4-33

### ***Procedure 1: Create a Policy document class on the RDOS***

You create a Policy document class. Only documents of this class are going to be configured to launch the workflow that declares a record.

1. Start the FileNet Enterprise Manager Administration Tool.
2. Create two new property templates on RDOS.
  - a. Select RDOS1 > Property Templates.
  - b. Click Action > New Property Template.

- c. Complete the wizard and use the following information.

Field	Value
Name and Symbolic Name	PolicyPurpose
Data Type	String
Single or Multi Value	Single
All other fields	<Accept default values.>

- d. Click Action > New Property Template.

- e. Complete the wizard and use the following information.

Field	Value
Name and Symbolic Name	PolicyType
Data Type	String
Single or Multi Value	Single
All other fields	<Accept default values.>

3. Create a new document class and assign the new property templates.

- a. Select RDOS1 > Document Class.  
b. Click Action > New Class.  
c. Complete the wizard and use the following information.

Field	Value
Name and Symbolic Name	Policy
Selected Properties	PolicyPurpose PolicyType
All other fields	<Accept default values.>

## ***Procedure 2: Create a PolicyRecord class on the FPOS***

You create a PolicyRecord class that is a subclass of Electronic Record on the FPOS. The workflow that you build in a later procedure is used to declare new Policy documents as records of the type PolicyRecord class.

1. Create two new property templates on the FPOS.  
a. Select FPOS1 > Property Templates.  
b. Click Action > New Property Template.



- c. Complete the wizard and use the following information.

Field	Value
Name and Symbolic Name	PolicyPurpose
Data Type	String
Single or Multi Value	Single
All other fields	<Accept default values.>

- d. Click Action > New Property Template.

- e. Complete the wizard and use the following information.

Field	Value
Name and Symbolic Name	PolicyType
Data Type	String
Single or Multi Value	Single
All other fields	<Accept default values.>

2. Create a new record class and assign the new property templates.

- Select FPOS1 > Document Class > Record > Electronic Record.
- Click Action > New Class.
- Complete the wizard and use the following information.

Field	Value
Name and Symbolic Name	PolicyRecord
Selected Properties	PolicyPurpose PolicyType
All other fields	<Accept default values.>

- d. Close Enterprise Manager.

3. Refresh the Content Engine cache for Workplace.

- Log in to the WebSphere administrative console.
- Click Applications and then click Enterprise Applications.
- Stop the Workplace application and then restart it.
- Log out of the WebSphere administrative console.

4. Create a folder for workflows and documents for testing.

- Sign in to Workplace as Administrator.

- b. Add a new folder to RDOS1 object store named `Workflows`.
- c. Use the following information to add a new Policy document to the RDOS1 > Human Resources > Policies folder.
  - Document Class: `Policy`
  - Document Title: `Policy 1`
  - PolicyPurpose: `Travel`
  - PolicyType: `T401`
  - Add as a major version.
  - Use any content of your choice. The content of the document is unimportant.
  - Do **not** click Declare as Record.
- d. Sign out of Workplace.

### ***Procedure 3: Verify that workflow services are started***

Process Service, the component managers, and components must be running before you can use workflow services. This procedure is a standard FileNet P8 Administration procedure, so you are expected to be familiar with it.

1. Check status of Process Engine and Component Manager.
  - a. Click Start > Programs > IBM FileNet P8 Platform > Process Task Manager.
  - b. Verify that `hqdemo1` Process Engine Server is running. If it is not running, start it.
  - c. Verify that the `PEConnection.ALL` component manager and all its components are running. If they are not running, start component manager and components.
2. Close Process Task Manager.

### ***Procedure 4: Explore RM\_Operations and add parameter descriptions***

Records Manager provides a set of operations used in workflows. These operations are performed by component steps, which use the `RM_Operations` component queue. You inspect the `RM_Operations` component queue and determine the parameters that are used for record declaration. You add parameter descriptions to the `declareRecord` operation in order to learn the use for each parameter.

1. Sign in to Workplace as Administrator.
2. Start the Process Configuration Console from the Admin page.
3. Select `PEConnection[1]` and click Action > Connect.
4. View `RM_Operations` queue properties and add descriptions.
  - a. Expand the Component Queue node.
  - b. Right-click `RM_Operations` and click Properties.
  - c. Select the Operations tab.
  - d. Select the `declareRecord` operation to view the parameters.

- e. For each parameter listed in the following table, type its description in the Description field.

**Tip:** Press Enter after typing each description to ensure that the entry is accepted.

Name	Type	Description
Folder	Attachment	Container where the record is to be filed
Document	Attachment	Document to be declared as a record
RMTType	String	Symbolic name for record class to be used for declaration
PropertyNames	String[]	Array of property names to be set for the record
Property Values	String[]	Matching array of property values
DocumentID	String	ID of record that is declared

- f. Click OK.
  - g. Right-click PEConnection[1] node and click Commit Changes.
  - h. Click Continue.
  - i. Click Close.
5. Click File > Exit and close the Process Configuration Console window.

### ***Procedure 5: Create a workflow definition to approve and declare records***

1. Start the Process Designer from the Author > Advanced Tools page.
2. Define workflow properties.
  - a. Click Action > Workflow Properties to open the Workflow Properties window.
  - b. On the General tab, type the following property values:
    - Workflow Name: Simple Record Declaration
    - Subject: Policy Declaration
  - c. Select the Data Fields tab.

- d. Add new data fields using the following information. Accept default values for all field not listed.

**Tip:** Press Enter after typing the last data field to ensure that the entry is accepted.

Name	Type	Expression
RecordClass	String	"PolicyRecord"
RecordID	String	"
DocTitle	String	"
PropertyNames	String[]	{""}
PropertyValues	String[]	{""}
wfl_PolicyPurpose	String	"
wfl_PolicyType	String	"

- e. Click the Attachments tab.
- f. Add two new attachments using the following information. Accept default values for all fields not listed.

**Tip:** Press Enter after typing the last field to ensure that the entry is accepted.

Name	Value	Description
DocToDeclare	<Leave blank.>	Document to be declared
RMContainer	<Leave blank.>	Folder or category in the file plan where the record is to be declared

- g. Select the DocToDeclare field and click the Initiating Attachment icon (the triangle icon) in the Attachments toolbar.
- h. Verify that the Initiating Attachment symbol is displayed to the left of DocToDeclare.
- i. Double-click the Value column of the RMContainer field.
- j. In the *Browse for item* window, select the following location: FPOS1 > Records Management > File Plan > Human Resources > Current policies > Policy retention.
- k. Click Close to close the Workflow Properties window.
3. Save your work.
- a. Click File > Save As.
- b. Save the file in My Documents using the default file name.
- Tip:** It is a good practice to periodically save your workflow definition file as you work on it.
4. Configure the Launch step.
- a. Select LaunchStep on the Workflow main map.

- b. In the properties pane, select the Parameters tab.
- c. Under Selected Parameters, select DocToDeclare.
- d. Under Access Rights, verify that Read/Write is displayed. If it is not, select Read/Write in the Access Rights field.
- e. On the Parameters tab, move the following parameters to the list of Selected Parameters.
  - DocTitle
  - RMContainer
  - wfl\_PolicyPurpose
  - wfl\_PolicyType
- f. Verify that all parameters have Read/Write access.
- g. Select the Assignments tab.
- h. Use the following information to add two field assignments.

**Tip:** Type these expressions **exactly** as they are listed in the table. Notice that the PropertyValues do not have quotation marks.

Name	Expression
PropertyNames	{"DocumentTitle","PolicyPurpose","PolicyType"}
PropertyValues	{DocTitle,wfl_PolicyPurpose,wfl_PolicyType}

5. Add an Activity step.
  - a. Drag an Activity step from the BPM Palette to the right of the LaunchStep.
  - b. In the Name field, type the following value: Approve
  - c. In the Properties pane General tab, click the Modify (pencil) icon in the Participants area.
  - d. Search for and select the Administrator user and move the user to the Selected Participants list.
  - e. Click OK to close the Participant Selection window.
  - f. On the Parameters tab, move the following parameters to the list of Selected Parameters.
    - DocTitle
    - DocToDeclare
    - RMContainer
    - wfl\_PolicyPurpose
    - wfl\_PolicyType
  - g. Verify that all parameters have Read/Write access.

h. On the Routing tab, add the following Responses:

- Approve for Declaration
- Reject

**Tip:** Add the response by clicking in the Name field and typing in the Response name. Press Enter after typing each response to ensure that the entry is accepted.

i. On the map, draw a route from LaunchStep to the Approve step.

6. Add a Component step.

- Drag a Component step from the BPM Palette and place it to the right of the Approve step.
- In the Name field, type the following value: `Declare`
- In the Properties pane, click Add (the icon that resembles a sheet of paper) next to Operations on the General tab.
- In the Component field, select `RM_Operations`.
- Select the `declareRecord` operation and click OK.
- For each Operation Parameter, click the field in the Expression column and select the expression listed in the following table.

**Tip:** The `PropertyNames` and `PropertyValues` fields are automatically populated. If you do not see values in these fields, make sure that you have defined the data fields in step 2d.

Operation Parameters	Expression
Folder	<code>RMContainer</code>
Document	<code>DocToDeclare</code>
<code>RMType</code>	<code>RecordClass</code>
<code>DocumentId</code>	<code>RecordID</code>

- Draw a route from the Approve step to the Declare step.
- In the route properties, select Condition under Conditional Routing.
- On the Response tab, select the following values:
  - Condition: ALL
  - Response: Approve for Declaration
  - Operator: `<Inactive>`
  - Value: `<Leave blank.>`
- Click Insert.
- Click File > Save to save your work.

### **Procedure 6: Validate the workflow**

1. Click File > Validate Workflow Collection.
2. If a message is displayed that says validation was successful, click Close. Otherwise, use the Validation Results window to investigate and correct errors and warnings that are displayed before you proceed.
3. Verify that your workflow map looks similar to the following diagram.



### **Procedure 7: Launch and process the workflow**

You launch the workflow and test the approval and record declaration steps. You verify that that the workflow synchronized the Document Title property of the initiating document with the record object property.

1. Launch the workflow and complete the add document wizard.
  - a. Click File > Launch Main Workflow.
  - b. In the wizard, browse to RDOS1 > Workflows.
  - c. Type Simple Record Declaration for the Document Title.
  - d. Click Finish.
2. Complete the Launch step.
  - a. Type the following values in the fields:
    - Subject: First Workflow Test
    - DocTitle field: Policy 1
    - wfl\_PolicyPurpose: Travel
    - wfl\_PolicyType: T401
  - b. To add a DocToDeclare value, click the icon to the left of the DocToDeclare and click Assign.
  - c. Browse to locate RDOS1 > Human Resources > Policies > Policy 1.
  - d. Click Select Current Version for Policy 1.
  - e. Click Launch.
  - f. In Process Designer, click File > FileNet > FileNet Cancel Checkout.
  - g. Close Process Designer.
3. Process the Approve step.
  - a. Open the First Workflow Test item found in Tasks > My Inbox.
  - b. Verify that DocToDeclare is assigned with Policy 1.

- c. Verify that the RMContainer is assigned with Policy retention.
  - d. Select the Approve for Declaration response.
  - e. Click Complete.
4. Verify the record declaration.
  - a. Click Records Manager to open Enterprise Records.
  - b. Find the new record in File Plan > Human Resources > Current policies > Policy retention.
  - c. Click the Get info icon for the Policy 1 record.
  - d. Verify that the value of Document Title is `Policy 1`, PolicyPurpose is `Travel`, and PolicyType is `T401`.
  - e. Click Exit to close the Record Information window.
  - f. Sign out from Enterprise Records and close the window.

### ***Procedure 8: Modify the workflow to remove the Approve step***

You remove the Approve step from your workflow definition so that the record is declared automatically without any user intervention required.

1. Return to the Workplace window.
2. In Process Designer, check out the workflow definition.
  - a. Start the Process Designer from the Author > Advanced Tools page.
  - b. Click File > FileNet Open/Checkout.
  - c. Browse to locate and open the following file: `RDOS1 > Workflows > Simple Record Declaration`.
3. Remove the Approve step.
  - a. On the workflow map, right-click Approve and click Delete.
  - b. Draw a route from LaunchStep to Declare.
  - c. Click File > Validate Workflow Collection and correct any validation errors before proceeding.
4. Transfer the workflow definition.
  - a. Click File > Transfer Workflow Collection.
  - b. In the wizard, click Next to use the current document title.
  - c. Click Finish and click Close.
  - d. Click File > Exit.
  - e. When you are prompted, select Cancel the Checkout and click OK.
  - f. Click No.



- g. Close the Process Designer application window.

### ***Procedure 9: Add a workflow subscription***

You create a workflow subscription to launch the workflow and map the properties of the originating document to workflow fields. The fields populate the properties of the record object when the workflow launches. All these actions happen automatically when a new Policy document is added to the system.

1. Ensure that Simple Record Declaration is checked in.
  - a. Browse to RDOS1 > Workflows.
  - b. Verify that the workflow definition, Simple Record Declaration, is not checked out.
2. Add a workflow subscription on the Policy class.
  - a. Click Author > Advanced Tools > Add Workflow Subscription.

**Tip:** You must be signed in as an Administrator.

- b. Use the information in the following table to complete the wizard steps. Accept default values for any fields not provided in the table.

**Tip:** On the Set Property Map step, select the data field and the property name, and then click the plus (+) button to add the property mapping to the property map field.

Step	Property	Value
Select Target	Target Class	RDOS1 > Document > Policy
Select Workflow	Workflow	RDOS1 > Workflows > Simple Record Declaration > Select from Versions > [Select latest version.]
Set Properties	Name	Declare Policy
	Description	Launch Simple Record Declaration on Policy creation.
	Subscribed Events	Creation Event
Set Property Map	Data Field Name = Property Name	DocTitle = Document Title wfl_PolicyPurpose = PolicyPurpose wfl_PolicyType = PolicyType

### ***Procedure 10: Test the workflow subscription***

You add a new Policy document to the RDOS1 object store to test the workflow subscription. The subscription launches the workflow and maps the Document Title to the

DocTitle field. The workflow declares the record and synchronizes the Document Title of the initiating document with the record object property.

1. Add a new Policy document.
  - a. Use the following information to add a new Policy document to the RDOS1 > Human Resources > Policies folder.
    - Document Class: Policy
    - DocTitle field: Policy 2
    - PolicyPurpose: Holiday
    - PolicyType: H415
    - Add as a major version.
    - Use any content of your choice. The content of the document is unimportant.
    - Do **not** declare the document as a record.
  - b. Verify that the Policy 2 document is listed in the Policies folder.
2. Verify that the record was created with correct Document Title.
  - a. Click Records Manager to open Enterprise Records.
  - b. Find the new record in File Plan > Human Resources > Current policies > Policy retention.
  - c. Click the Get info icon for the Policy 2 record.
  - d. Verify that the value of Document title is Policy 2, PolicyPurpose is Holiday, and PolicyType is H415.
  - e. Click Exit to close the Record Information window.
  - f. Sign out from Enterprise Records and close the window.
3. Sign out of Workplace.



