IBM

*IBM Enterprise Records 5.1:
System Maintenance*

(Course code F180)

Student Exercises

ERC 1.0

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Unit 1. IBM Enterprise Records 5.1: System Maintenance

Unit overview

Lessons

Skill levels

Select one of these skill levels to perform the activities.

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

Unit dependencies

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 1.1.   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 1-5
- Configure multiple Disposition Sweep profiles: Walkthrough, page 1-7
- Configure a Hold Sweep profile: Challenge, page 1-13
- Configure a Hold Sweep profile: Walkthrough, page 1-15

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 1-7

Procedure 2, Obtain the Category IDs, page 1-7

Procedure 3, Create new profiles of Disposition Sweep, page 1-8

Procedure 4, Configure a Sweep profile for Legal category, page 1-9

Procedure 5, Create Disposition Sweep batch files, page 1-10

Procedure 6, Schedule the Sweeps, page 1-11

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:

a. Repeat steps 2a through 2c.

b. Click Browse and select the C:\Program Files\FileNet\RM\RecordsManagerSweep\ LegalSweep.bat file.

c. Verify that the name of the Task is LegalSweep.

d. Schedule Disposition Sweep to run weekly starting 2 minutes after the time that you scheduled the first task.

4. Verify the Disposition Sweep programs:

a. 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.

b. 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

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

6. 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 1.2. 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 1-23
- Configure automatic destruction of records: Walkthrough, page 1-25

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 1-25

Procedure 2, Create a disposition schedule, page 1-25

Procedure 3, Apply a disposition schedule to a container, page 1-26

Procedure 4, Add a test record, page 1-28

Procedure 5, Perform the Auto Destroy action, page 1-29

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 1.3. 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 1-33
- Configure automatic volume creation: Walkthrough, page 1-35

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

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.

ℹ 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 1.4. 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 1-43
- Configure auditing: Walkthrough, page 1-47

User accounts

Type	User ID	Password
Administrators	Administrator	filenet

Note

Passwords are always case-sensitive.

Configure auditing: Challenge

Challenges

Challenge 1, page 1-43

Challenge 2, page 1-44

Challenge 3, page 1-45

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	• Success • Failure • Apply to Subclasses
Creation	• Success • Apply to Subclasses
Update	• Success • Failure • Apply to Subclasses

Data 2b

Audit Event	Audit Event Settings
Deletion	• Success • Failure
Get Content	• Success • Failure

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	• Phase name: Destroy • Phase action: Destroy • Screening required: False • Phase retention Period: 0, 0, 0

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

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.

> **ℹ️ 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.

Audit Event	Audit Event Settings
RM Audit	• Success • Failure • Apply to Subclasses
Creation	• Success • Apply to Subclasses
Update	• Success • Failure • Apply to Subclasses

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	• Success • Failure
Get Content	• Success • Failure

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	• Phase Name: Destroy • Phase Action: Destroy • Is Screening Required: False • Default Retention: 0, 0, 0

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 1.5.   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 1-57

- View and export audit logs: Walkthrough, page 1-59

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 1-57

Challenge 2, page 1-58

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	• Condition A • Condition • Value	• AuditActionType • Equal To • Destroy

Data 1b

Prompt		Select from list or enter data
Select From Table		Get Content Event
Select Columns		Accept the default value (*)
Criteria	• Condition A • Condition • Value	• Source Class Id • Equal To • The value of the Order document class ID

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	• Condition A • Condition • Value	• AuditActionType • Equal To • Destroy

Verification 2

After enabling the Meta Data Filter, verify that the update events are displayed only for the properties that you selected for the filer.

Verify that export file is created after the export.

View and export audit logs: Walkthrough

Procedures

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	• Condition A • Condition • Value	• AuditActionType • Equal To • Destroy

   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	• Condition A • Condition • Value	• Source Class Id • Equal To • The value of the Order document class ID

    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	• RM Audit
Condition A	• DateCreated • Less Than • <Date for tomorrow>

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_CEExport_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 1.6. 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 1-69
- Manage record metadata: Walkthrough, page 1-71

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

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.

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