



IBM Enterprise Records 5.1: System Administration

(Course code F175)

Student Notebook

ERC 1.0

Authorized



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November 2011 edition

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Course description

[IBM Enterprise Records 5.1: System Administration

Duration: 4 days

Overview

This course is for those who administer and maintain an IBM Enterprise Records system.

You work with a fully functioning IBM Enterprise Records system to practice the skills required for system configuration, administration, and system maintenance.

Audience

This course is for anyone who is planning to configure, maintain, or administer an IBM Enterprise Records system.

Prerequisites

F040: IBM FileNet P8 Prerequisite Skills 4.5

F042: IBM FileNet P8 Administration 4.5

Skills taught

Acquire the knowledge and skills necessary to administer, configure, and maintain an IBM Enterprise Records system.

Course outline

- Identify the capabilities of IBM Enterprise Records.
- Identify the role of IBM Enterprise Records in an enterprise compliance solution.
- Identify and search for records that are ready for disposition
- Initiate disposition.
- Declare electronic records.
- Create a disposition schedule.
- Add alternate retentions.
- Work with file plan containers.

- Work with holds.
- Configure an object store for record declaration.
- Create a record class that allows property mapping from document to record.
- Enable editable link classes.
- Create and use a new link class.
- Modify security on a category.
- Control access to IBM Enterprise Records assets and functionality from IBM FileNet Workplace.
- Create and use a new marking set.
- Export and import a file plan.
- Configure multiple instances of Disposition Sweep.
- Configure an instance of Hold Sweep.
- Configure automatic destruction of records.
- Enable and configure auditing.
- View and export audit logs.
- Enable metadata retention on the file plan.
- Export and delete retained metadata from the production system.
- Automate record declaration.

Unit 1. IBM Enterprise Records 5.1: Core Skills

What this unit is about

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

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

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

What you should be able to do

After completing this unit, you should be able to:

- Identify the capabilities of IBM Enterprise Records
- Identify the role of IBM Enterprise Records in an enterprise compliance solution
- Identify and search for records that are ready for disposition
- Declare electronic records
- Create and apply disposition schedules
- Apply alternate retentions
- Work with file plan containers
- Place and remove holds

How you will check your progress

- Successfully complete the student exercises.

References

IBM Enterprise Records 5.1 Information Center:

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

When searching for terms found in this book, be sure to search for the exact string shown, including quotation marks.

IBM Enterprise Records 5.1: Core Skills

Unit lessons



This unit contains the following lessons:

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

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Figure 1-1. Unit lessons

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Notes:

Lessons in this unit

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

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

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

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

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

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

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

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

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

Lesson 1.1. Introduction to IBM Enterprise Records

Lesson: Introduction to IBM Enterprise Records

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

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

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Notes:

Introduction to IBM Enterprise Records

Activities that you need to complete



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

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Figure 1-3. Activities that you need to complete

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Notes:

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

Records management compliance issues



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

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Figure 1-4. Records management compliance issues

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Notes:

Volume of electronic records

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

Disparate information sources

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

Unreliability of users

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

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

Enforcement

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


Security

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

Retrieval

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

What is IBM Enterprise Records?

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

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Figure 1-5. What is IBM Enterprise Records?

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Notes:

Help path

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

The prebuilt data models include the following:

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

Introduction to IBM Enterprise Records

IBM Enterprise Records overview



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

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Figure 1-6. IBM Enterprise Records overview

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Notes:

Create a file plan

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

Users declare records


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

Security and retention

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

Introduction to IBM Enterprise Records

IBM Enterprise Records capabilities (1)

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

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

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Notes:**Automatic record declaration**

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

Security

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

Automatic retention and disposition

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

Integration with IBM FileNet P8 BPM

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

Introduction to IBM Enterprise Records

IBM Enterprise Records capabilities (2)

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

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

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Notes:**Holds**

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

Searches

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

Electronic and physical records management

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

Record federation

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

Customizable reports

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

Multilingual support

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

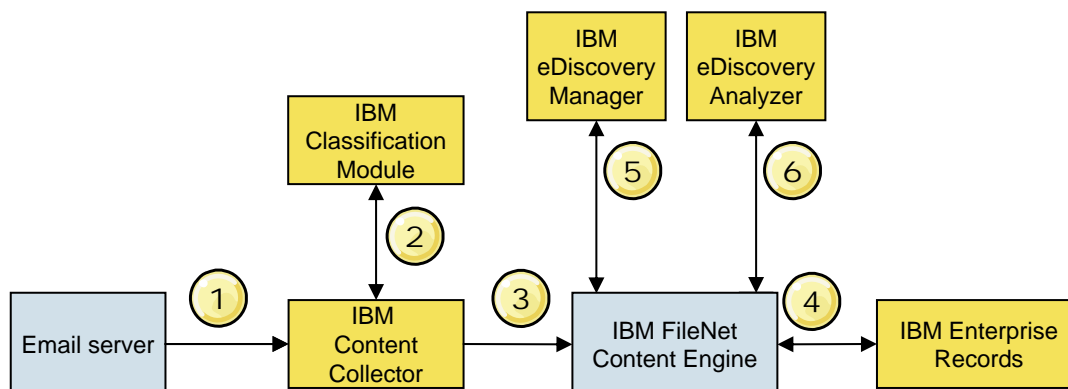
Classified records management

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

Introduction to IBM Enterprise Records

Example enterprise compliance solution

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



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Figure 1-9. Example enterprise compliance solution

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Notes:

Compliance solution

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

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

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

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

Introduction to IBM Enterprise Records

Activities

In your Student Exercises

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

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Figure 1-10. Activities


F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.2. Explore a file plan

Lesson: Explore a file plan

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

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Figure 1-11. Lesson: Explore a file plan

F1751.0

Notes:

Explore a file plan

Activities that you need to complete



- Explore a file plan.

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Figure 1-12. Activities that you need to complete

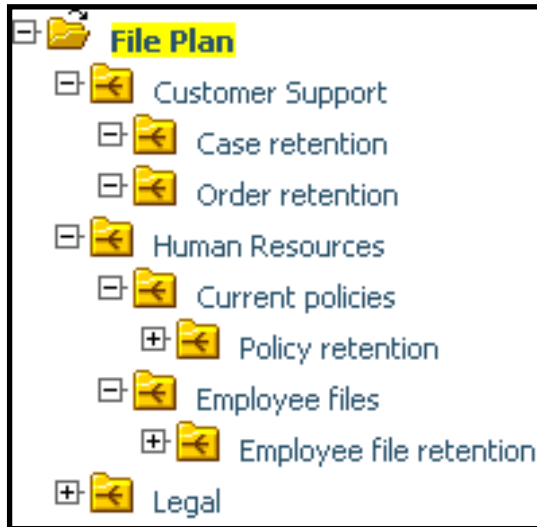
F1751.0

Notes:

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

Explore a file plan

What is a file plan?



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

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Figure 1-13. What is a file plan?

F1751.0

Notes:

Help path

- Search for "file_plans.htm".

The screen capture shows a file plan hierarchy tree.

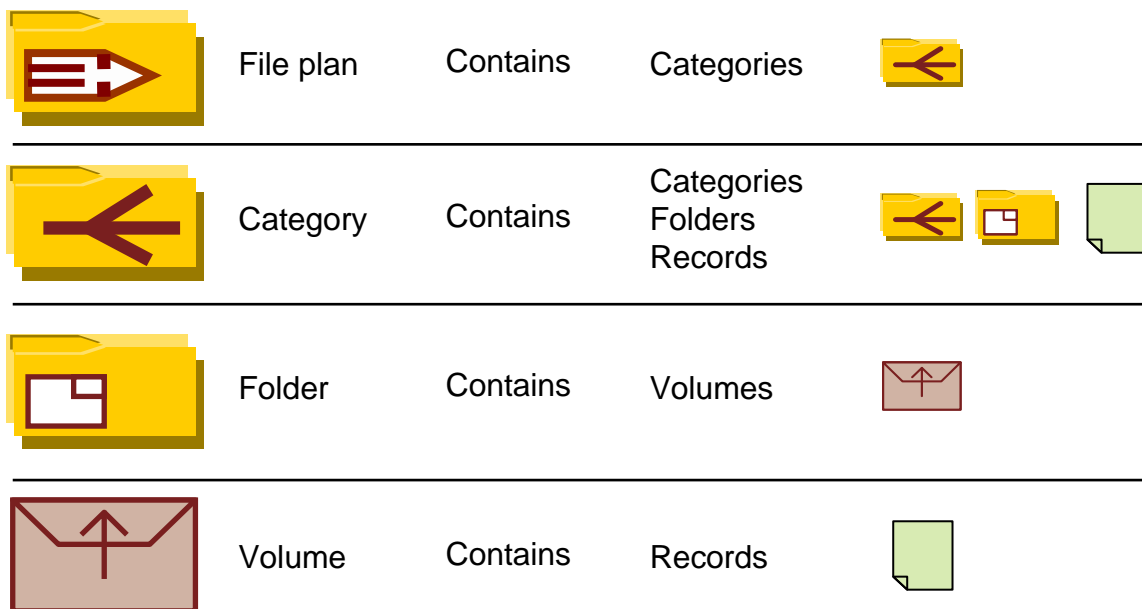
The purpose of the file plan is to organize records. Records are filed in the file plan according to the retention and disposition that they require. In IBM Enterprise Records, the file plan is a container hierarchy to which the disposition schedules are associated.

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

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

Explore a file plan

Containers in a file plan



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Figure 1-14. Containers in a file plan

F1751.0

Notes:

Help path

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

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

File plan

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

Record category

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

Record folder

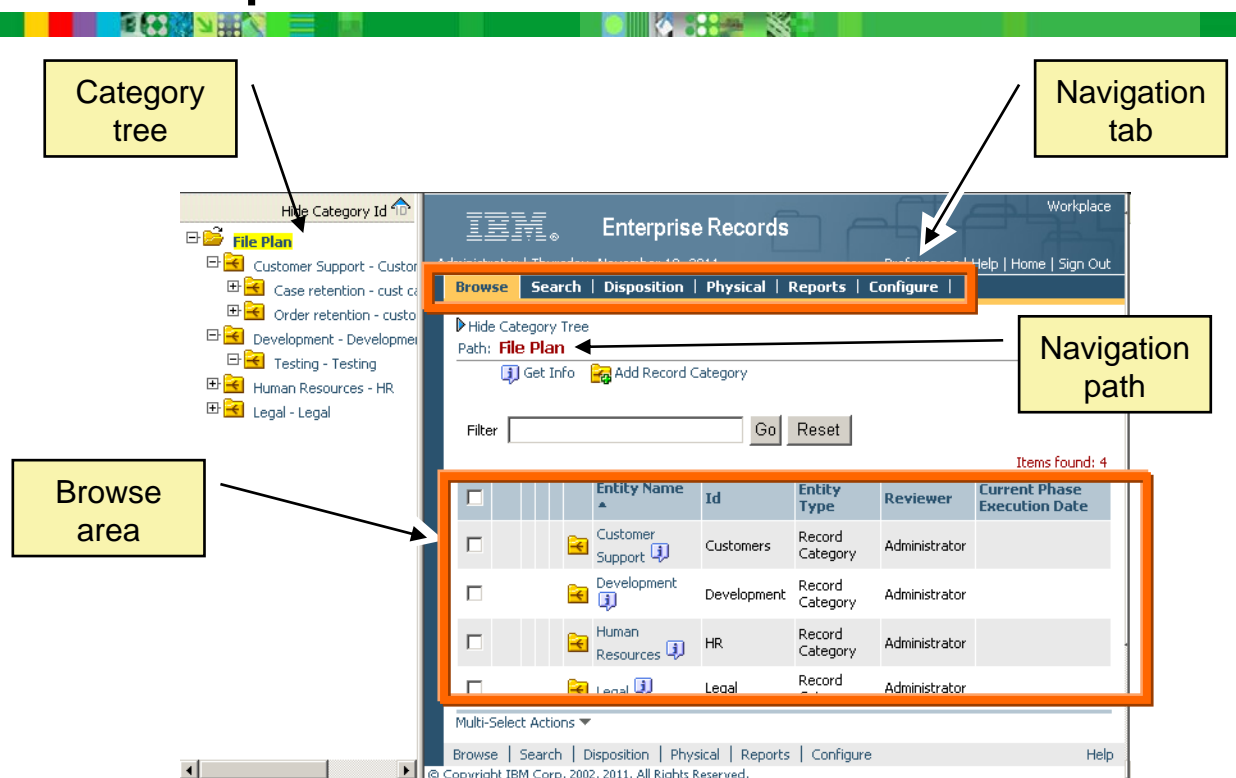
Record folders are often used to aggregate records that need to be disposed of at the same time. Records can be declared into categories, but they are always filed into a volume within the category. No record can exist directly inside a record folder.

Volume

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

Explore a file plan

IBM Enterprise Records interface



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Figure 1-15. IBM Enterprise Records interface

F1751.0

Notes:

IBM Enterprise Records interface

The screen capture shows the IBM Enterprise Records interface.

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

Navigation tabs

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

Browse: Allows you to browse the file plan.

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

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

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

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

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

Category tree

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

Browse area

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

Navigation path

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

Explore a file plan

Information page

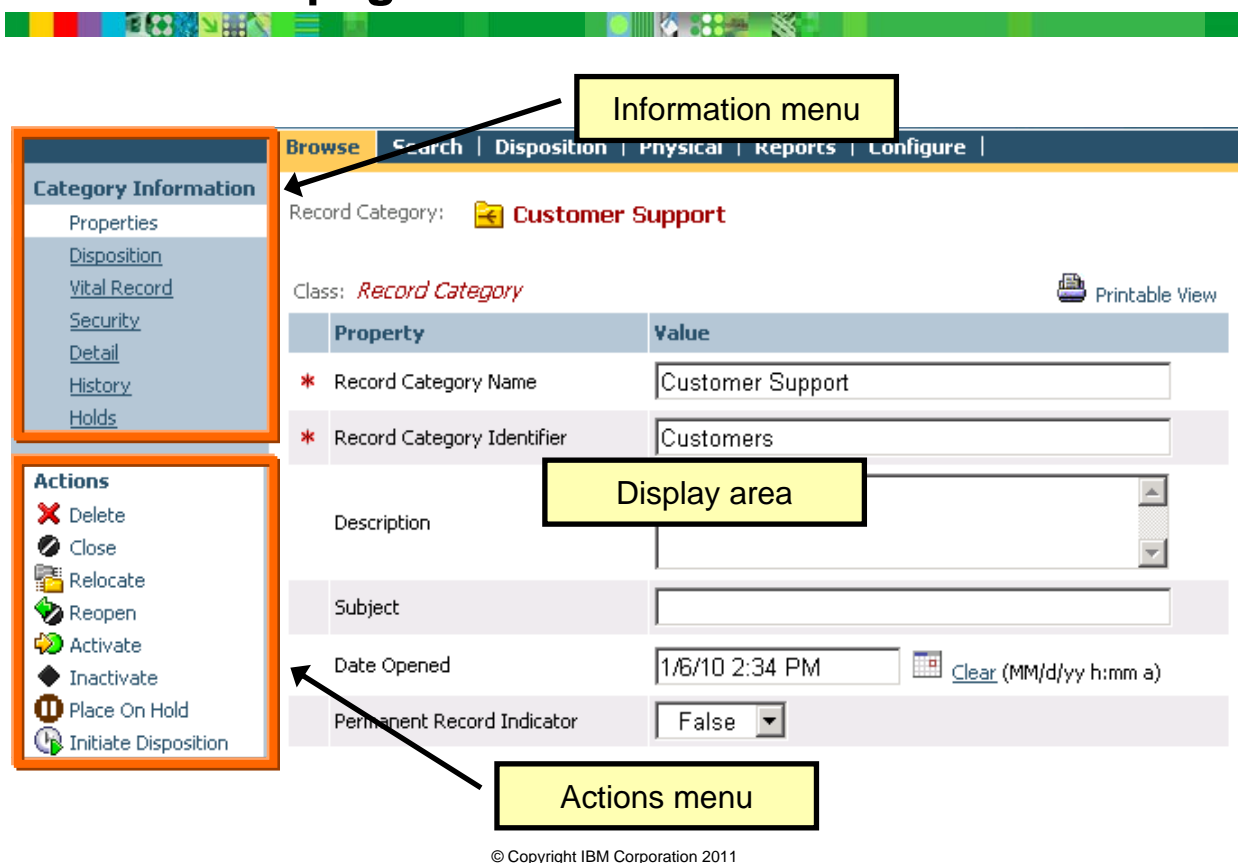


Figure 1-16. Information page

F1751.0

Notes:

Help path

- Search for "rm_information_views.htm".

Information page

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

Information menu

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

Display area

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

Actions menu

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

Explore a file plan

What is disposition?



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

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Figure 1-17. What is disposition?

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Notes:

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

Explore a file plan

What is a disposition schedule?



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

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Figure 1-18. What is a disposition schedule?

F1751.0

Notes:

Help path

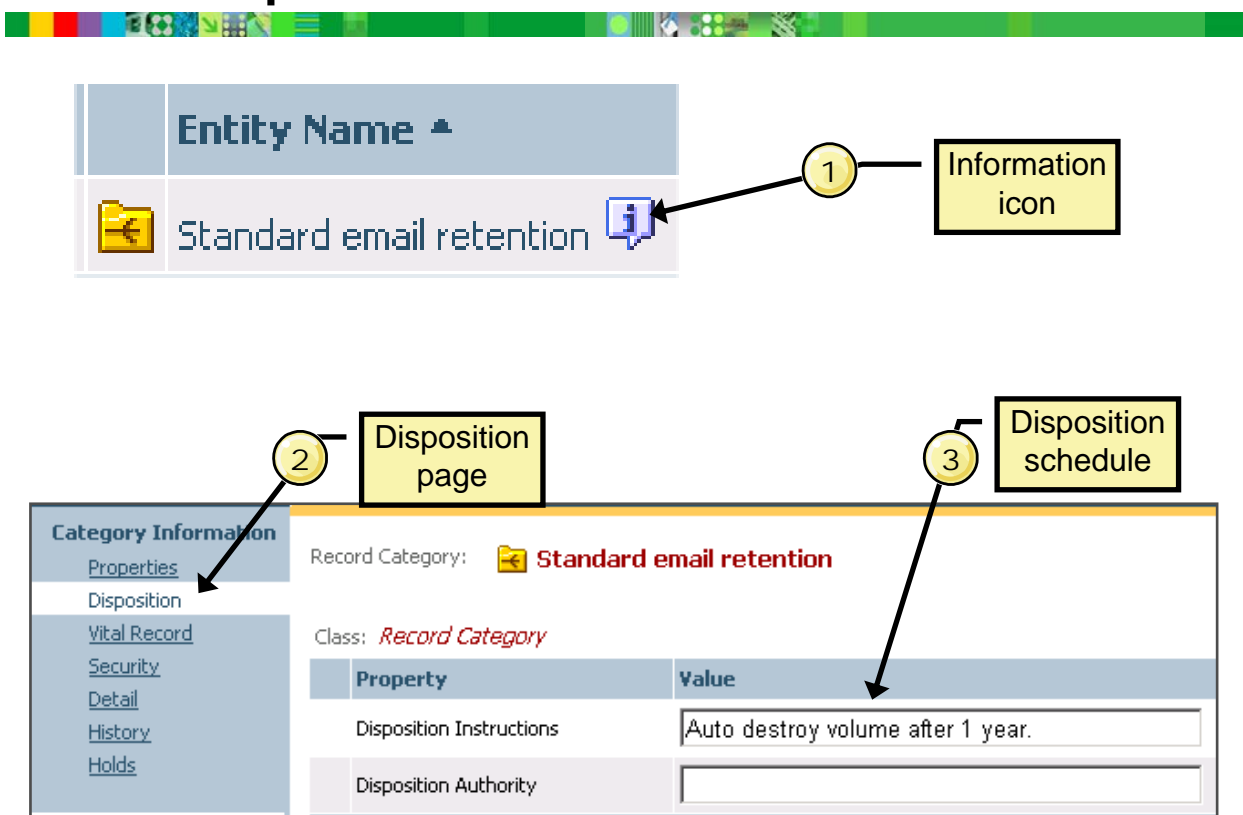
- Search for "retention_and_disposal.htm".

Disposition phases

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

Explore a file plan

Locate disposition schedules



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Figure 1-19. Locate disposition schedules

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Notes:


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

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

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

Explore a file plan

Activities



In your Student Exercises

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

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Figure 1-20. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.3. Initiate disposition

Lesson: Initiate disposition

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

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Figure 1-21. Lesson: Initiate disposition

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Notes:

Initiate disposition

Activities that you need to complete



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

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Figure 1-22. Activities that you need to complete

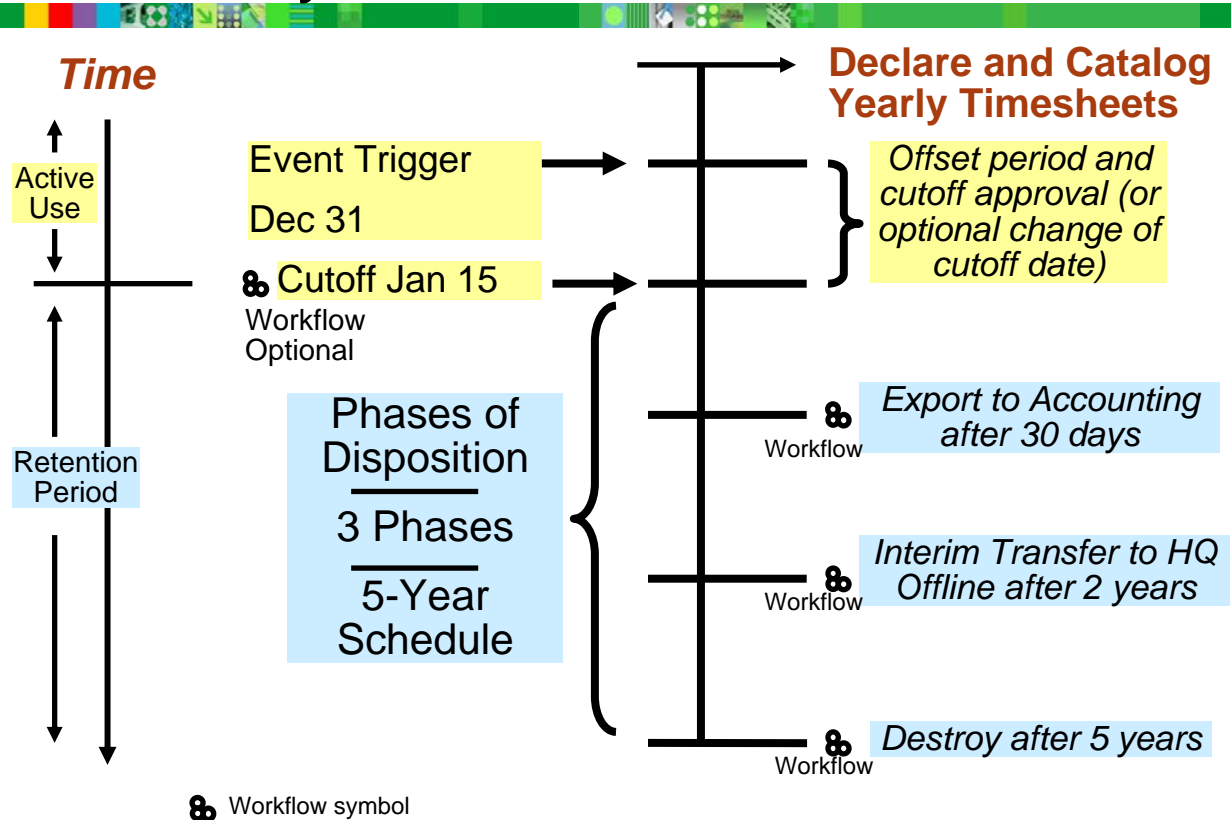
F1751.0

Notes:

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

Initiate disposition

Record lifecycle



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Figure 1-23. Record lifecycle

F1751.0

Notes:

Help path

- Search for "retention_and_disposal.htm".

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

Declaration

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

Active use

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

Event trigger

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

Cutoff

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

Disposition

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

Offset period

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

Initiate disposition

The cutoff process



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

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Figure 1-24. The cutoff process

F1751.0

Notes:

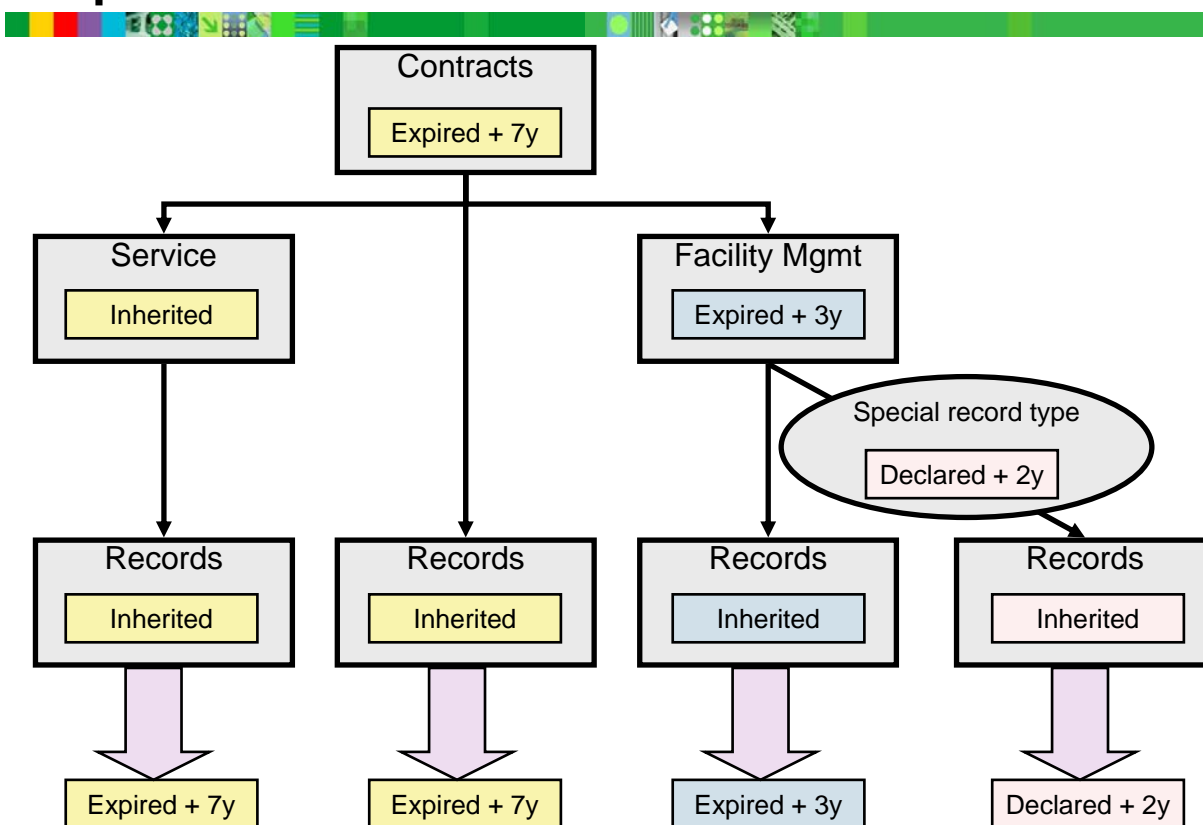
Help paths

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

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

Initiate disposition

Disposition inheritance



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Figure 1-25. Disposition inheritance

F1751.0

Notes:

Help paths

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

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

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

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

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

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

Initiate disposition

Status icons



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



Ready for Disposition



Disposition in Progress



On Hold

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



Closed

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Figure 1-26. Status icons

F1751.0

Notes:

Help path

- Search for "execute_a_disposal_schedule.htm".

Ready for Disposition

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

Disposition in Progress

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

On Hold

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

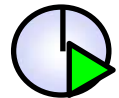
Closed

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

Initiate disposition

How to initiate disposition

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



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Figure 1-27. How to initiate disposition

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Notes:**Help path**

- Search for "execute_a_disposal_schedule.htm".

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

Initiate disposition

Search template requirements

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

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Figure 1-28. Search template requirements

F1751.0

Notes:

Help path

- Search for "use_stored_searches_and_search_templates.htm".

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


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

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

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

Initiate disposition

Overview of tasks

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

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Figure 1-29. Overview of tasks

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Notes:

Initiate disposition

Demonstrations



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

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Figure 1-30. Demonstrations

F1751.0

Notes:

Demonstration notes

Create a search for records that are ready for disposition

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


Initiate and process disposition

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

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

Initiate disposition

Activities



In your Student Exercises

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

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Figure 1-31. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.4. Declare electronic records

Lesson: Declare electronic records

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

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Figure 1-32. Lesson: Declare electronic records

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Notes:

Declare electronic records

Activities that you need to complete



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

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Figure 1-33. Activities that you need to complete

F1751.0

Notes:

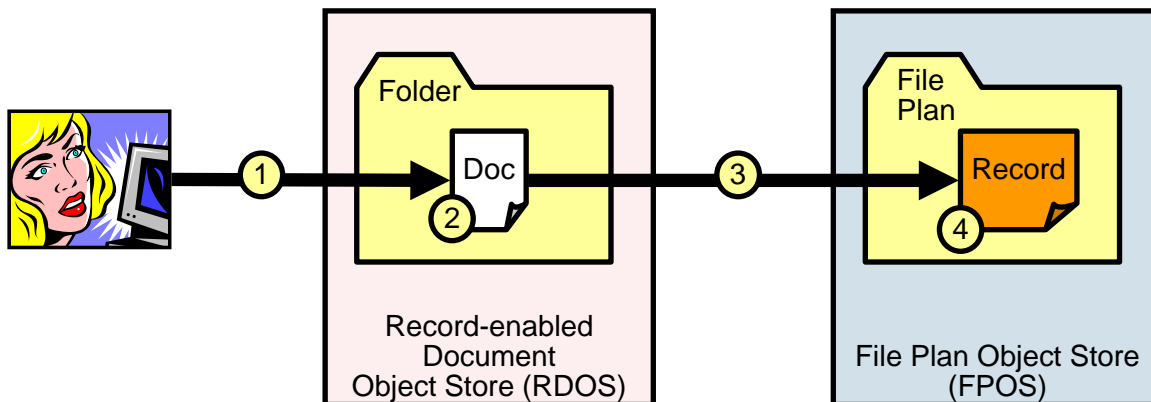
These are the activities that you are going to perform in this lesson.

Declare electronic records

Adding and declaring

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

Note: Each step can be automated.



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Figure 1-34. Adding and declaring

F1751.0

Notes:

Help path

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

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

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

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

Declare electronic records

Record creation

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

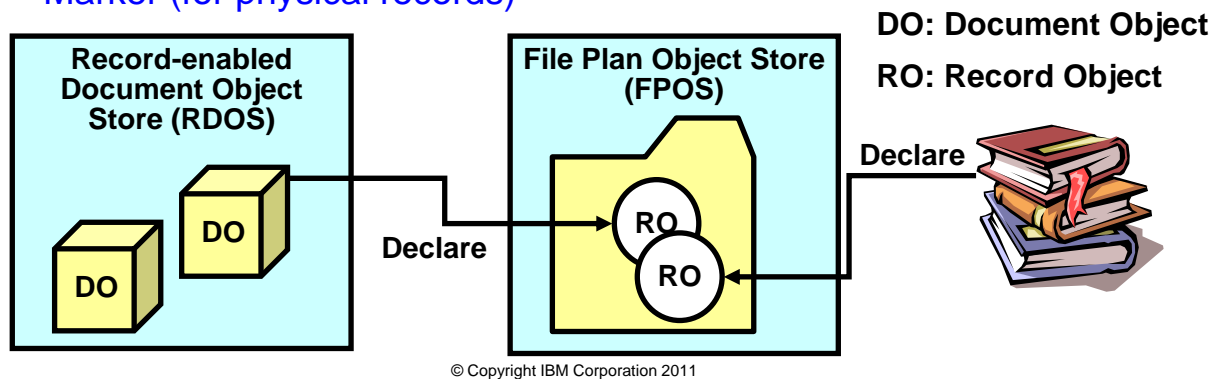


Figure 1-35. Record creation

F1751.0

Notes:

Help path

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

What is a record object?

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

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

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

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

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

Undeclare

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

Declare electronic records

Required information for declaration



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

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Figure 1-36. Required information for declaration

F1751.0

Notes:

Help path

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

Declare electronic records

Manual declaration (without a template)



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

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

F1751.0

Notes:

Declare electronic records

Document entry templates



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

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Figure 1-38. Document entry templates

F1751.0

Notes:

Help path

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

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

Declare electronic records

Declare as Record templates



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

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Figure 1-39. Declare as Record templates

F1751.0


Notes:

Help paths

- Search for "create_entry_template.htm".

Declare electronic records

Combine declare with document entry templates

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

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Figure 1-40. Combine declare with document entry templates

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Notes:

Help path

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

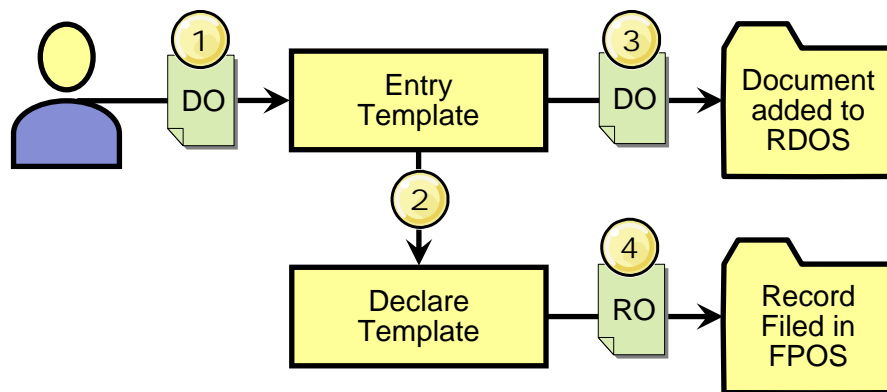
Use an entry template with an attached declare template to allow one-step document entry and declaration. The user provides values only for required fields, such as the document title and content file location. This restriction ensures that the document is efficiently added to the right document class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

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

Declare electronic records

Entry template with record declaration

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



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Figure 1-41. Entry template with record declaration

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Notes:

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

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

Property mapping

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

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

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

Declare electronic records

Template creation



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

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Figure 1-42. Template creation

F1751.0

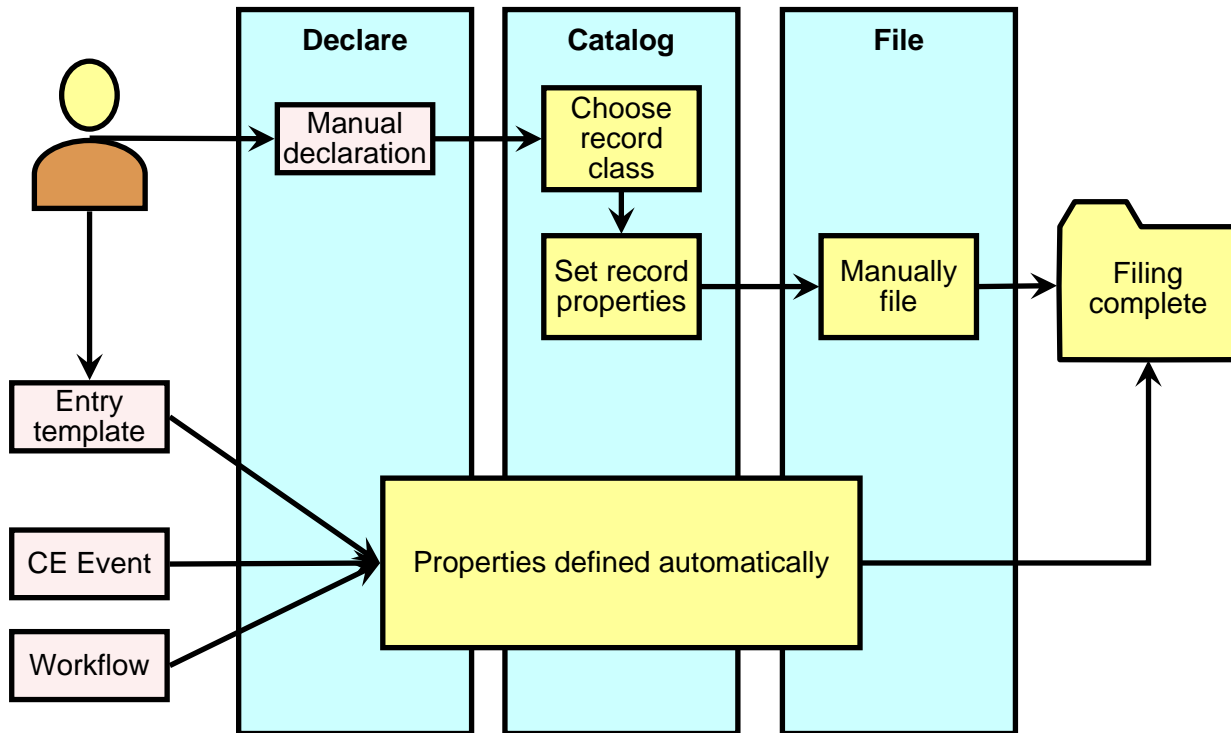
Notes:

Help paths

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

Declare electronic records

Summary of Declaration Options



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Figure 1-43. Summary of Declaration Options

F1751.0

Notes:

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

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

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

Declare electronic records

Demonstrations



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

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Figure 1-44. Demonstrations

F1751.0

Notes:

Demonstration notes

Add and declare a record without a template


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

Add and declare a record with a template

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

Declare electronic records

Activities



In your Student Exercises

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

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Figure 1-45. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.5. Create a disposition schedule

Lesson: Create a disposition schedule

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

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Figure 1-46. Lesson: Create a disposition schedule

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Notes:

Create a disposition schedule

Activities that you need to complete



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

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Figure 1-47. Activities that you need to complete

F1751.0

Notes:

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

Create a disposition schedule

Disposition schedule creation overview



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

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Figure 1-48. Disposition schedule creation overview

F1751.0

Notes:

Help path

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

Disposal triggers

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

Disposition phase actions

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

Define the disposition schedule

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

Apply disposition schedule

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

Create a disposition schedule

What is an event trigger?



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

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Figure 1-49. What is an event trigger?

F1751.0

Notes:

Help path

- Search for "manage_events.htm".

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

Internal events

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

External events

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

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

Recurring events

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

Create a disposition schedule

What is aggregation?



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

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Figure 1-50. What is aggregation?

F1751.0

Notes:

Help path

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

Aggregation

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

Trigger and aggregation level

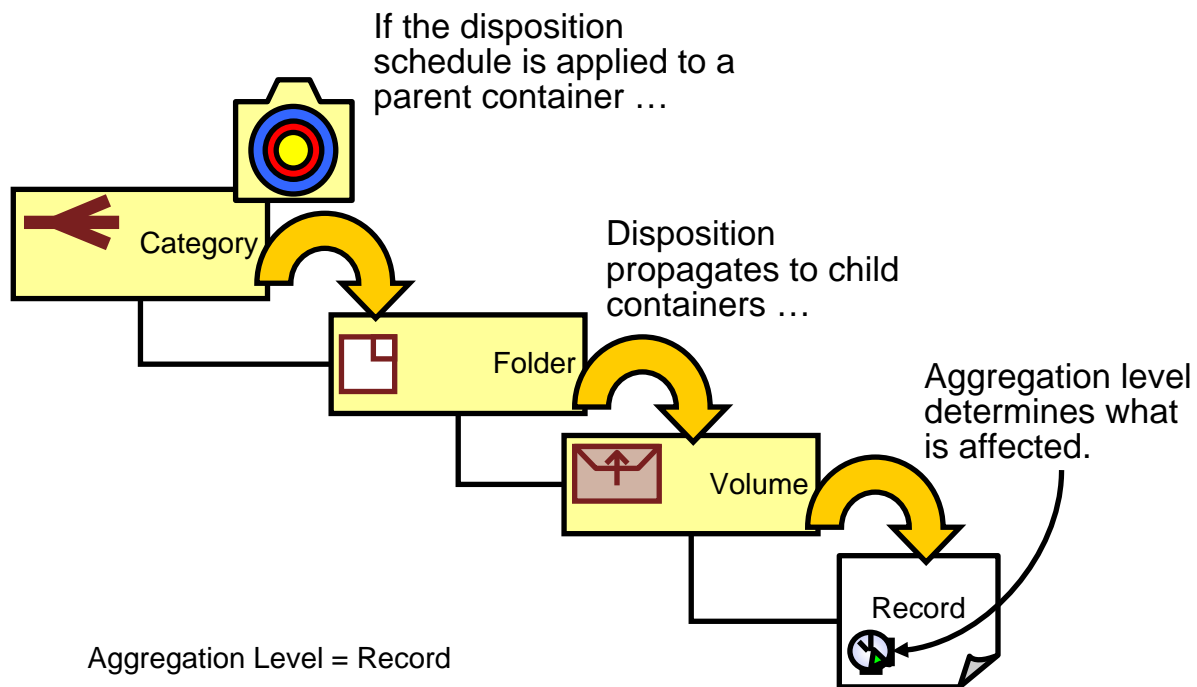
The trigger event and aggregation level are interdependent. If you want a record property to trigger cutoff, then aggregation is going to be at the record level. If you want the aggregation to be at the folder level, then the event trigger must be based on a folder property.

Aggregate for efficiency

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

Create a disposition schedule

Disposition inheritance and aggregation



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Figure 1-51. Disposition inheritance and aggregation

F1751.0

Notes:

Help path

- Search for "retention_and_disposal.htm".

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

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

Create a disposition schedule

Disposition phase actions

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

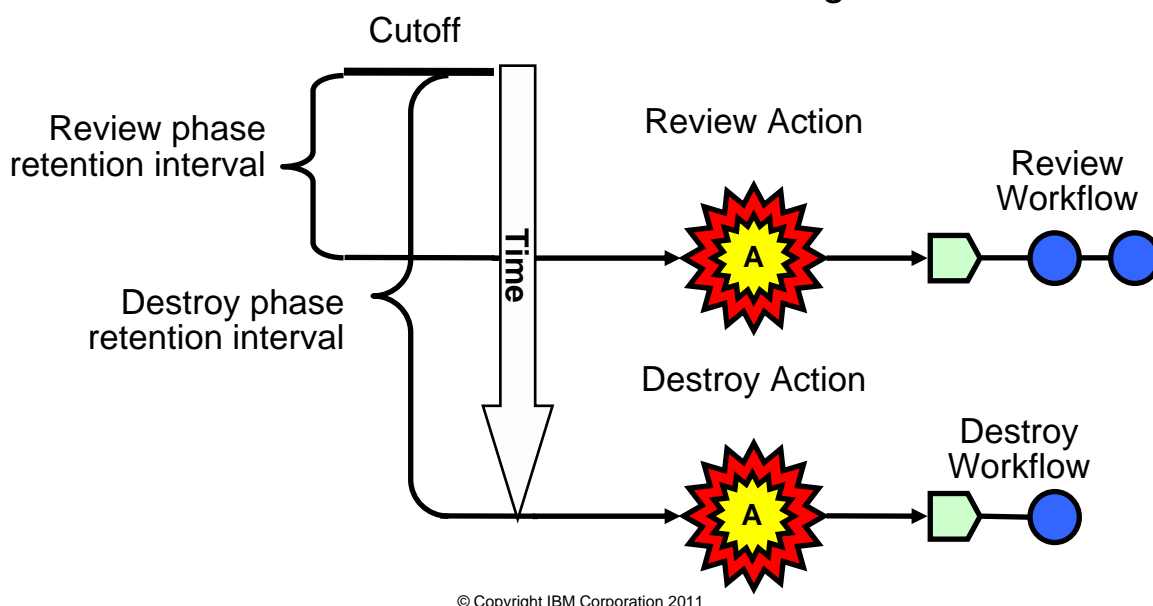


Figure 1-52. Disposition phase actions

F1751.0

Notes:

Help path

- Search for "manage_actions.htm".

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

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

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

Action types

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

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

Disposition phases can use any of the following action types:

Cut Off

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

Destroy

This action destroys the record and any associated electronic content.

Review

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

Export

This action copies the record to another repository.

Export with mapping

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

Interim Transfer

This action temporarily transfers records to another location.

Interim Transfer with mapping

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

Transfer

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

Vital Record Review


This action facilitates the periodic review of vital records.

Auto Destroy

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

Create a disposition schedule

Defining disposition parameters

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

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Figure 1-53. Defining disposition parameters

F1751.0

Notes:

Help path

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

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

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

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

Create a disposition schedule

What is Disposition Sweep?



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

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Figure 1-54. What is Disposition Sweep?

F1751.0

Notes:

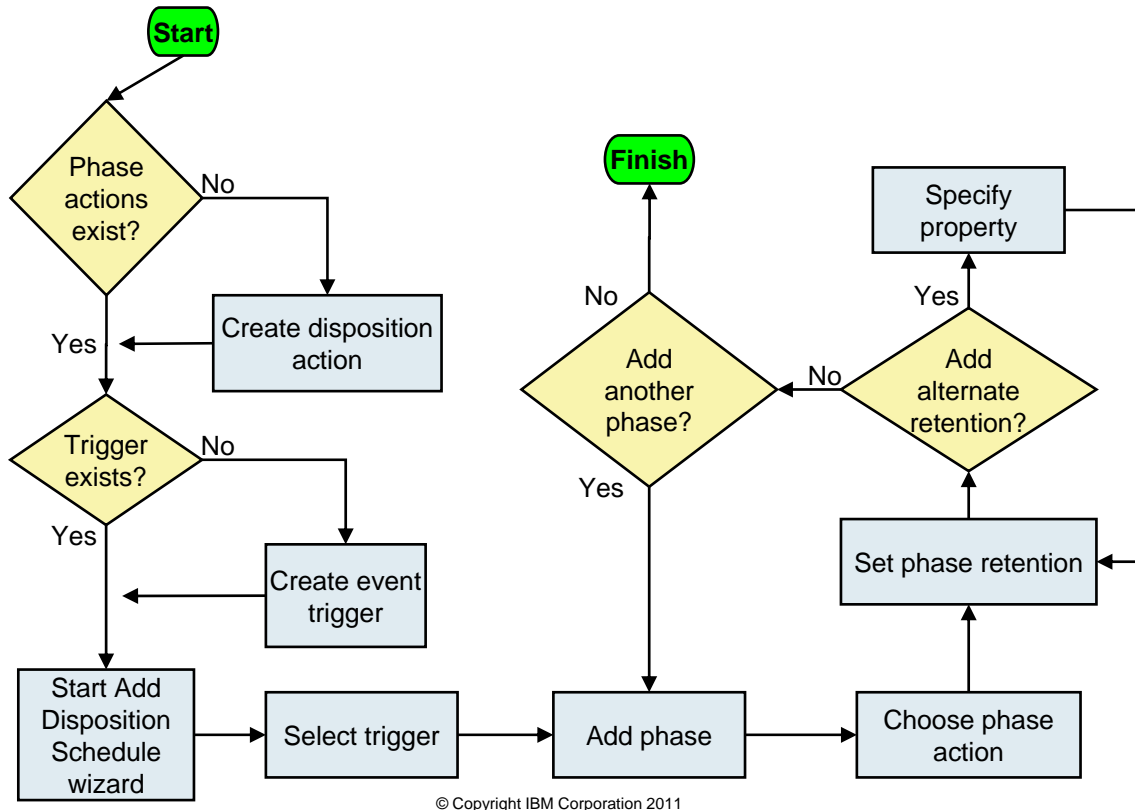
Help path

- Search for "sweep_processes.htm".

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

Create a disposition schedule

Disposition schedule creation flowchart



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Figure 1-55. Disposition schedule creation flowchart

F1751.0

Notes:

This diagram shows the order of disposition creation.

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

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

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

Name the disposition authority.

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

Set an event trigger.

The trigger must be defined before you create the schedule.

You can set a disposition event offset (optional).

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

Default: 0 years, 0 months, 0 days

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

Set disposition phases.

Disposition action

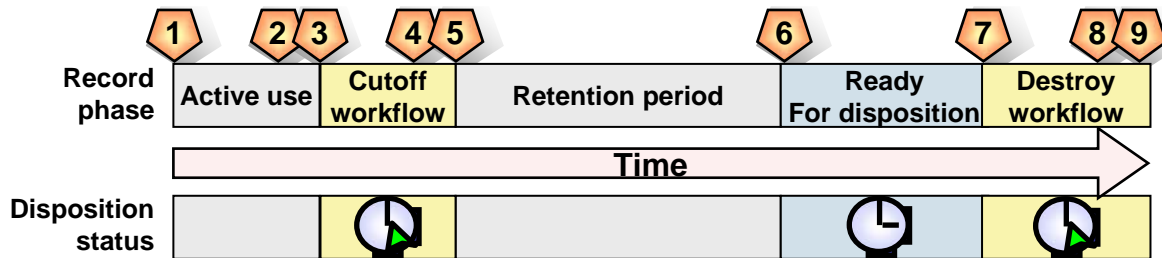
Retention period

Screening flag

Create a disposition schedule

Disposition schedule timeline (example)

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



Ready for disposition



In Progress

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Figure 1-56. Disposition schedule timeline (example)

F1751.0

Notes:

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

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

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

Notes:

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

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

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

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

Create a disposition schedule

Disposition creating wizard settings

Simple

Add Disposition Schedule

Steps: 1. Describe Schedule (active), 2. Set Trigger

Class: **Disposal Schedule**

| Trigger | Value |
|--------------------------------------|---|
| <input type="radio"/> Internal Event | [Dropdown] Show Details |

Disposition Event Offset

Disposition Event Offset: [] Years [] Months [0] Days

Disposition Cutoff Action

* CutOff Base: [Dropdown]

Detailed

Add Disposition Schedule

Steps: 1. Describe Schedule, 2. Set Trigger, 3. Set Phases

Class: **Disposal Schedule**

| Trigger | Value |
|---|---|
| <input type="radio"/> Calendar Date | [Text] Clear (MM/d/yy h:mm a) |
| <input type="radio"/> Predefined Date | [Dropdown] Show Details |
| <input checked="" type="radio"/> Internal Event | My Trigger Show Details |
| <input type="radio"/> External Event | [Dropdown] Show Details |
| <input type="radio"/> Recurring Event | [Dropdown] Show Details |

Disposition Event Offset

Disposition Event Offset: [] Years [] Months [0] Days

Disposition Cutoff Action

Disposition Cutoff Action: [Dropdown]

CutOff Base: [Event Date]

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Figure 1-57. Disposition creating wizard settings

F1751.0

Notes:

Help path

- Search for "rm__user_preferences.htm".

Disposition schedule wizard settings

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

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

Changing the dispositions schedule wizard settings

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

Create a disposition schedule

Demonstrations



- Create a disposition schedule

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Figure 1-58. Demonstrations

F1751.0

Notes:

Demonstration notes

Create a disposition schedule

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

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

Create a disposition schedule

Activities

In your Student Exercises

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

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Figure 1-59. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.6. Add alternate retentions

Lesson: Add alternate retentions

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

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Figure 1-60. Lesson: Add alternate retentions

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Notes:

Add alternate retentions

Activities that you need to complete



- Add alternate retentions.

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Figure 1-61. Activities that you need to complete

F1751.0

Notes:

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

Add alternate retentions

Multiple alternate retentions



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

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Figure 1-62. Multiple alternate retentions

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Notes:

Help path

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

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

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

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

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

Add alternate retentions

Guidelines



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

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Figure 1-63. Guidelines

F1751.0

Notes:

Help path

- Search for "retention_and_disposal.htm".

Add alternate retentions

Modifying a disposition schedule



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

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Figure 1-64. Modifying a disposition schedule

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Notes:

Help path

- Search for "modify_a_disposal_schedule.htm".

Add alternate retentions

Demonstrations



- Add alternate retentions to a disposition phase

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Figure 1-65. Demonstrations

F1751.0

Notes:

Demonstration notes

Add alternate retentions to a disposition phase

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

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


- VOL, for volume

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

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

Add alternate retentions

Activities



In your Student Exercises

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

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Figure 1-66. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.7. Work with file plan containers

Lesson:

Work with file plan containers

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

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

F1751.0

Notes:

Work with file plan containers

Activities that you need to complete



- Work with file plan containers.

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Figure 1-68. Activities that you need to complete

F1751.0

Notes:

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

Work with file plan containers

Review: Electronic record containers

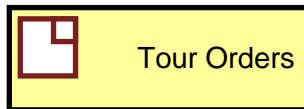


Categories



Categories are used to group records that share functional attributes.

Folders



Folders are used for subdividing records into volumes.

Volumes



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

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Figure 1-69. Review: Electronic record containers

F1751.0

Notes:

Help path

- Search for "containers.htm".

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

Work with file plan containers

Add a record category



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

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Figure 1-70. Add a record category

F1751.0

Notes:

Help path

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

Work with file plan containers

Add a record folder



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

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Figure 1-71. Add a record folder

F1751.0

Notes:

Help paths

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

Folder types

Four types of record folders are available:

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

New folder creation

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

Create folder workflow

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

Work with file plan containers

Add a record volume



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

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Figure 1-72. Add a record volume

F1751.0

Notes:

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

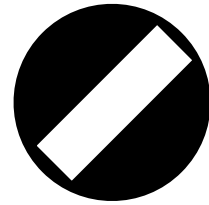
You can configure the volume-naming scheme in the Configuration page of IBM Enterprise Records.

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

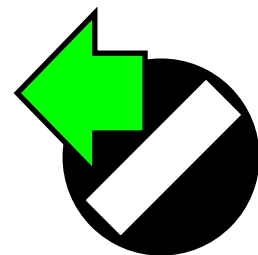
Work with file plan containers

Close and reopen containers

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



Closed



Reopened

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Figure 1-73. Close and reopen containers

F1751.0

Notes:

Help path

- Search for "open_and_close_volumes.htm".

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

Closing a container

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

Reopening a container

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

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

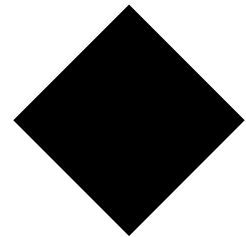
Moving records into closed volumes

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

Work with file plan containers

Inactive and active containers

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



Inactive

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Figure 1-74. Inactive and active containers

F1751.0

Notes:

Help path

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

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

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

Example use case for inactivating a container

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

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

Work with file plan containers

Activities



In your Student Exercises

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

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Figure 1-75. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.8. Work with holds

Lesson: Work with holds

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

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Figure 1-76. Lesson: Work with holds

F1751.0

Notes:

Work with holds

Activities that you need to complete



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

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Figure 1-77. Activities that you need to complete

F1751.0

Notes:

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

What is a disposition hold?

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



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Figure 1-78. What is a disposition hold?

F1751.0

Notes:

Help path

- Search for "disposition_holds.htm".

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

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

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

Work with holds

What are conditional holds?



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

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Figure 1-79. What are conditional holds?

F1751.0

Notes:

Conditional holds

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

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

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

Holding new records

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

Work with holds

Hold Sweep



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

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Figure 1-80. Hold Sweep

F1751.0

Notes:

Help paths

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

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

Run Hold Sweep

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

```
RecordsManagerSweep -HoldSweep
```


Work with holds

Creating holds



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

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Figure 1-81. Creating holds

F1751.0

Notes:

Help path

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

Active and inactive holds

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

Work with holds

Placing and removing holds



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

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Figure 1-82. Placing and removing holds

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Notes:**Help paths**

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

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

Work with holds

Propagation of holds



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

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Figure 1-83. Propagation of holds

F1751.0

Notes:

Work with holds

Demonstrations



- Create a conditional hold

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Figure 1-84. Demonstrations

F1751.0

Notes:


Demonstration notes

Create a conditional hold

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

Work with holds

Activities



In your Student Exercises

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

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Figure 1-85. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Unit 2. IBM Enterprise Records 5.1: System Configuration

What this unit is about

This unit is for anyone who is planning to configure an IBM Enterprise Records system for use by records managers and users.

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

What you should be able to do

After completing this unit, you should be able to:

- Configure an object store for record declaration
- Create a record class that allows property mapping
- Enable editable link classes
- Create and use a new link class
- Modify security on a category
- Control access to IBM Enterprise Records assets and functionality from IBM FileNet Workplace
- Create and use a new marking set
- Export and import a file plan

How you will check your progress

- Successfully complete the activities in the Student Exercises book.

References

<http://publib.boulder.ibm.com/infocenter/p8docs/v5r1m0/index.jsp>

Note: for search terms, type the term exactly as shown, including quotation marks.

IBM Enterprise Records 5.1 Installation and Upgrade Guide can be downloaded from the following location:

<http://www-05.ibm.com/e-business/linkweb/publications/servlet/pbi.ws?s?CTY=US&FNC=SRX&PBL=GC19-3248-00>

Unit lessons

This unit contains these lessons:

- Configure an object store for record declaration
- Create a record class
- Create links
- Modify security
- Use security markings
- Export and import a file plan

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Figure 2-1. Unit lessons

F1751.0

Notes:

Lessons in this unit

This unit has 6 lessons. After the first lesson, each lesson relies on information and skills taught in the prior lessons. For best results, do these lessons in the sequence presented.

Configure an object store for record declaration – In this lesson, you configure an object store for record declaration.

Create a record class – In this lesson, you create a record class that allows property mapping from document to record.

Create links – In this lesson, you enable editable link classes and create and use a new link class.

Modify security – In this lesson, you modify security on a record category and control access to Enterprise Records assets and functionality from Workplace.

Use security markings – In this lesson, you create and use a new marking set.

Export and import a file plan – In this lesson, you export and import a file plan.

Lesson 2.1. Configure an object store for record declaration

Lesson

Configure an object store for record declaration



Why is this lesson important to you?

- 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.

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Figure 2-2. Configure an object store for record declaration

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Notes:

Configure an object store for record declaration

Activities that you need to complete

- Configure an object store for record declaration.

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Figure 2-3. Activities that you need to complete

F1751.0

Notes:

Configure an object store for record declaration

Overview: configure an object store as an RDOS



- An object store must be record-enabled in order to declare its documents as records.
- Tasks to be completed:
 - Configure the object store as an RDOS.
 - Set the Can Declare property to True for all document classes to be declared.
 - Configure Site Preferences to allow declaring records on the RDOS.

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Figure 2-4. Overview: configure an object store as an RDOS

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Notes:

Help reference

- Search for "gs_configuring.htm"

Reference

You can download the IBM Enterprise Records 5.1 Installation Guide.pdf (the URL is provided at the beginning of this unit).

The meaning of ROS and RDOS

The Enterprise Records product and associated documentation use the term ROS, which stands for Record Object Store. However, records are **not** stored in an ROS, and this can lead to confusion with the file plan object store (FPOS), which is where the record objects are actually stored.

So in this course, an ROS is referred to as an RDOS, which stands for Record-enabled Document Object Store, to emphasize that **documents** are stored on it, not record objects.

File names and references in the product documentation, however, refer to ROS, so be aware of the different terms.

Configure an object store for record declaration

Configure an object store as an RDOS



Using IBM Enterprise Records web application:

1. IBM Enterprise Records > Configure > Object Store Configuration
2. Choose the object store.
3. Select ROS or both FPOS and ROS.

Using IBM Enterprise Records Configuration Manager

1. Locate and start configmgr.exe.
2. Create a new installation profile > object store configuration profile.
3. Connect to the Content Engine.
4. Edit the Configure Record Object Store task.
5. Run the task.

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Figure 2-5. Configure an object store as an RDOS

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management

You can use either the IBM Enterprise Records web application or the IBM Enterprise Records Configuration Manager to configure object stores for records management.

Configure an object store for record declaration

Set the Can Declare property to True

- Can Declare is a Boolean property of the Document class.
 - Added when you configure the object store as an RDOS
 - False by default
- This property must be set to True for each document class that you want to be declarable.
 - For efficiency, set only the needed document subclasses.
 - If a document parent class is configured, all subclasses can be set to inherit the configuration if desired.
- Configuration Manager always applies the Can Declare setting to subclasses.
 - Use the Configuration Manager only if you want the Can Declare property set to True for the specified class and all subclasses

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Figure 2-6. Set the Can Declare property to True

F1751.0

Notes:

Help reference

- Search for "gs_configuring.htm"

On the RDOS, any document class must be made declarable in order to declare documents in that class. All of the documents that are added to the system that are part of that class are undeclarable until you make the class declarable. Then you can declare any of the documents in that class. To do this, you need to make changes to the class definition on the RDOS. When you configure an RDOS, a Can Declare property is added to the Document class and is inherited by all subclasses. By default, the default value of the Can Declare property is false. You must set the value to true on each class that you want to make declarable.

Limit the Document subclasses that are declarable

When you change the Can Declare property value, you have the option to propagate the change to all subclasses. If you set the Can Declare property to True on the root Document class, then all of the Document subclasses become declarable. Generally, however, it is

better to allow declaration only for those classes that are going to be declared. There are many configuration-related objects in an RDOS that you might not want to declare as records, such as search templates and workflow definitions. Be selective as to which classes you enable for record declaration.

Existing documents not declarable as records

When an object store is configured to be an RDOS and the RecordsManager add-on is added to the object store, additional records-related properties are added to existing objects. For instance, the Can Declare property is added to existing documents, but the value of that property does not get set. Because it is a read-only property, these documents can never be declared as records because this property must be set to True in order for documents to be declared.

Configuration Manager

Configuration Manager does not allow you to complete the object store configuration until you choose a document class to make declarable. With the other method (using the Enterprise Records web application) you can configure the object store without making any document classes declarable. You use Content Engine Enterprise Manager to specify each class that you want to make declarable later. If you configure the object store using Configuration Manager, the Can Declare property value is applied to that class and all subclasses automatically. This method can save time if you want all subclasses of a specified document class to be declarable. However, if you do not want all of the subclasses to be declarable, do not use Configuration Manager to configure the RDOS. Instead, use the Enterprise Records web application to configure the RDOS. You can then configure the Can Declare property for each specific document class using Enterprise Manager.

Configure an object store for record declaration

Enable declaration from IBM FileNet Workplace

- Purpose: Allow declaration from the object store in IBM FileNet Workplace.
 - In IBM FileNet Workplace, the Declare as Record task is in the Actions menu.
 - This option is available only if the object store is configured as an RDOS in IBM FileNet Workplace.
 - You must configure this setting in Site Preferences.
- Where you enable declaration:
 - Site Preferences > Object Stores > *[your RDOS]* > Support Declare Records

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Figure 2-7. Enable declaration from IBM FileNet Workplace

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Notes:

Help reference

- Search for "rm_site_preferences.htm"

Configure an object store for record declaration

Demonstrations



- Set the Can Declare property on document classes.

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Figure 2-8. Demonstrations

F1751.0

Notes:

Demonstration notes

Set the Can Declare property on document classes

1. In Enterprise Manager, set the Can Declare property on the base Document class of the Finance object store.
 - a. Do not propagate the change to the subclasses.
 - b. Remember that you must choose which document classes to enable explicitly.
2. Set the Can Declare property on the Email document class.
 - a. Because the Can Declare property is inherited from the root Document class, you need to select Inherited Properties in order to see that property listed.
 - b. Because there are no subclasses of the Email class, you are not asked if you want to propagate the changes to the subclasses.

Configure an object store for record declaration

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
System Configuration
- Lesson: Configure an object store for record declaration
- Activities:
 - Configure an object store for record declaration.

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Figure 2-9. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 2.2. Create a record class

Lesson

Create a record class

Why is this lesson important to you?

- 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.

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Figure 2-10. Create a record class

F1751.0

Notes:

Create a record class

Activities that you need to complete

- Create a record class that allows property mapping.

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Figure 2-11. Activities that you need to complete

F1751.0

Notes:

Create a record class

Overview



- To create a record class with properties that map to the original document, do the following:
 1. Create property templates on the FPOS so that they map to properties on the RDOS.
 2. Configure property templates to be visible during declaration.
 3. Create a record class using these property templates.

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Figure 2-12. Overview

F1751.0

Notes:**Help path**

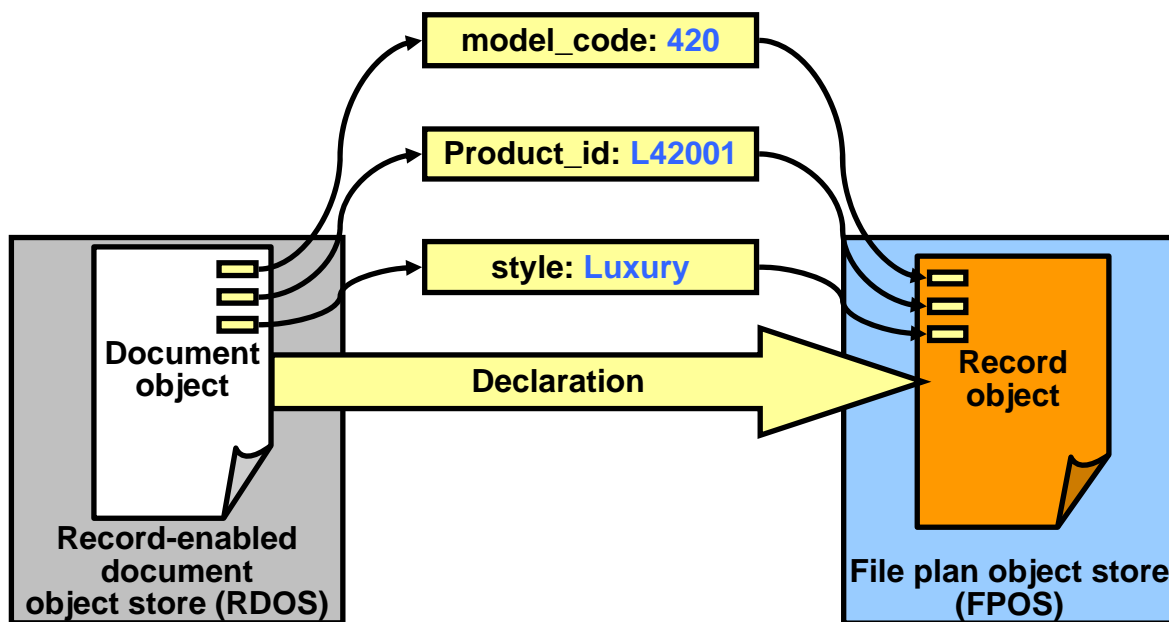
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Declaring records > Declare a record

Record properties with the same symbolic names as the properties of the originating document are automatically populated with the document values when the record is declared.

Create a record class

What is property mapping?

- You can map record properties so that they take the values of the originating document when the record is declared.



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Figure 2-13. What is property mapping?

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Configuring IBM Enterprise Records system > Configuring property synchronization

If an object store is enabled for records declaration, the documents stored in it can be declared as records. When a document is declared as a record, a new object is created in a special kind of object store called a File Plan Object Store (FPOS). This record object is then managed by the records management rules, disposition schedules, and other requirements of your company.

Property mapping is ordinarily done by IBM FileNet Workplace during declaration. If you are using a custom application for declaration, however, you need to configure the property mappings yourself.

Diagram


The diagram shows how document property values can be copied into the corresponding record properties during declaration.

Properties not synchronized between records and documents

Property mapping allows values to be passed from an originating document to a record during declaration. After a record is declared, the default behavior is that changes to property values on either the originating document or the record have no effect on the other object. This behavior can be modified by configuring property synchronization, which is described in the help path topic.

Create a record class

Configure property mapping

- 
- IBM FileNet Workplace maps matching symbolic names automatically.
 - One way to configure property mapping is to export the property templates on the RDOS and import them to the FPOS.
 - This procedure ensures that symbolic names are the same.

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Figure 2-14. Configure property mapping

F1751.0

Notes:

Create a record class

Set properties to be visible during record declaration



- New property templates on the FPOS are not automatically visible in the Workplace record declaration wizard.
 - When you declare a document in IBM FileNet Workplace, new record properties are not visible by default, so their values cannot be set manually.
- Use Enterprise Manager to make a property visible during manual declaration.
 - Locate the property template in the FPOS.
 - Add *declare* to the property template Description field.
 - Separate *declare* from the rest of description with a comma.

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Figure 2-15. Set properties to be visible during record declaration

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Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Managing classes and properties > Adding properties to classes
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Managing classes and properties > Customizing the display of properties

You do not need to enable declaration on property templates that existed when you initially configured the object store and record classes, but it is necessary to enable declaration for new custom record classes and property templates.

Adding *declare* to the property template description

A comma is needed to separate the word *declare* from other comments. If no other comments are listed in the Description field, you do not need the comma.

Both of the following formats allow the property template to be used during record declaration:

- Property_description,declare
- declare,Property_description

Create a record class

Create a record class



- The Record class is a subclass of Document on the FPOS.
- Two subclasses of Record exist:
 - Electronic Record
 - Marker Record (used for physical records only)
- To create a new record class, do the following:
 - Create a subclass of the Electronic Record class for electronic records.
 - Create a subclass of the Marker Record class for physical records.
 - Ensure that required properties are visible, if needed.
 - Ensure that record properties are mapped to the document properties if applicable.

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Figure 2-16. Create a record class

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Notes:**Help path**

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Managing classes and properties > Creating subclasses

You can use Enterprise Manager to create a new subclass of the Record, RecordFolder, or RecordCategory class and associate various properties with the subclass. However, the newly created subclass is not visible in the Enterprise Records user interface.

Create a record class

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
System Configuration
- Lesson: Create a record class
- Activities:
 - Create a record class that allows property mapping.

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Figure 2-17. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 2.3. Create links

Lesson

Create links



Why is this lesson important to you?

- 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.

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Figure 2-18. Create links

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Notes:

Create links

Activities that you need to complete

- Enable editable link classes.
- Create and use a new link class.

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Figure 2-19. Activities that you need to complete

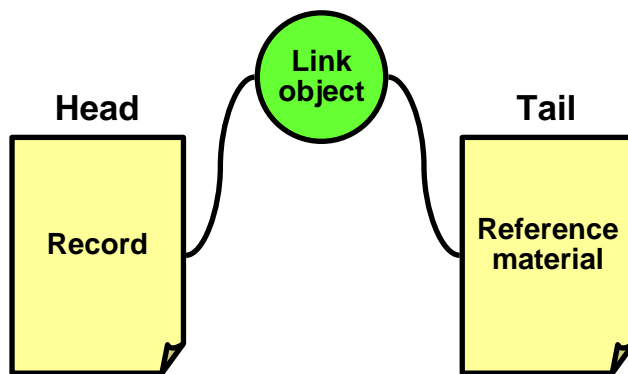
F1751.0

Notes:

Create links

What are links?

- A link is an object that represents a relationship between two other objects.
 - Use links to reference or associate related records and information.
 - Examples: Notes, attachments, source documents
- A link can have its own properties.
 - Example: The link properties can give information about the relationship between the linked objects.
 - Security can be set to control access to the link object.
- A link has head and tail properties.
 - The head and tail point to different objects.
 - Example: The head of a link can reference a record while the tail references a document.
 - You can get to the head or tail from the other object through the link.



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Figure 2-20. What are links?

F1751.0

Notes:

Help reference

Search for: "manage_links.htm"

You can create links between IBM Enterprise Records entities and other Content Engine objects in Workplace. A record can share links with other records, documents, and record folders.

Only authorized users are allowed to change or delete links.

Create links

Link classes and their uses (1)

- The Links class is a subclass of *Other Classes*
- Link subclasses include the following:
 - Extract Link: Used for referencing sources of document extracts.
 - Record See Also Link: Relates records with related content.
 - Record Folder See Also Link: Establishes a link between two related folders or a record and a folder.
 - Reference Link: Associates records with their references.
 - Rendition Link: Associates records with renditions of documents in different software formats.
 - Hybrid Folder Link: Establishes a relationship between a hybrid folder and a physical or electronic folder.
 - Record Copy Link (for internal use only): Establishes an association between the original record and different copies of the original.

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Figure 2-21. Link classes and their uses (1)

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Notes:

Help reference

- Search for: "class_descriptions.htm"

Link retention and deletion

When a linked record is deleted, all associated links of that record are also deleted.


When you relocate, transfer, or export records, all links between records are retained.

Other internal link types

Record Hold Link: Record Hold Link is a subclass of the RM Link class. It establishes an association between a record entity that is on hold and the hold itself. This link is used for internal processing and is not visible in the Enterprise Records user interface.

RM Folder Hold Link: RM Folder Hold Link is a subclass of the RM Link class. It establishes an association between an Enterprise Records folder entity that is on hold and the hold itself. This link is used for internal processing and is not visible in the Enterprise Records user interface.

Create links

Link classes and their uses (2)


| Link name | Head | Tail |
|-----------------------------|----------------|----------------|
| Extract Link | Record | Document |
| Hybrid Folder Link | Generic object | Generic object |
| Record Copy Link | Record | Record |
| Record Folder See Also Link | Generic object | Generic object |
| Record Hold Link | Record | Record Hold |
| Record See Also Link | Record | Record |
| Reference Link | Record | Document |
| Rendition Link | Generic object | Generic object |
| RM Folder Hold Link | RM Folder | Record Hold |

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Figure 2-22. Link classes and their uses (2)

F1751.0

Notes:

The target head or tail class can be a class or its subclasses. Therefore, it is possible to use a Reference Link between two record objects because Record is a subclass of the Document class.

Predefined link types and their respective head and tail object types

For the Extract Link type, the head is a Record object and the tail is a Document object.

For the Hybrid Folder Link type, the head is a generic object and the tail is a generic object.

For the Record Copy Link type, the head is a Record object and the tail is a Record object.

For the Record Folder See Also Link type, the head is a generic object and the tail is a generic object.

For the Record Hold Link type, the head is a Record object and the tail is a Record Hold object.

For the Record See Also Link type, the head is a Record object and the tail is a Record object.

For the Reference Link type, the head is a Record object and the tail is a Document object.

For the Rendition Link type, the head is a generic object and the tail is a generic object.

For the RM Folder Hold Link type, the head is an RM Folder object and the tail is a Record Hold object.

Create links

Enable editable link classes



- Enable editable link classes so that users can add links.
- Enable them in IBM FileNet Workplace Site Preferences:
 - Site Preferences > Object Stores > *file plan object store*
 - Add Link Class > RM Link > *link subclass*
- Use these link class settings to configure user access:
 - Include Subclasses
 - Allow Create
 - Allow Modify
 - Allow Delete

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Figure 2-23. Enable editable link classes

F1751.0

Notes:**Help reference**

- Search for: "set_add_link_class_pref.htm"

Create links

Create links



- Create links in Enterprise Records using the Action menu of the selected object.
- Set properties.
 - Choose the link class.
 - Choose object to link to.
 - Name and describe the link.
 - Set link property values, if applicable.
- Set security.

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Figure 2-24. Create links

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Notes:

Help reference

- Search for: "create_a_see_also_link.htm"

When choosing an object to link to, you can use My Search from within the Create Link wizard.

Create links

Create a new link class



- Create new link classes in Enterprise Manager.
- Create a subclass of Other Classes > Link > RM Link.
- Add properties and define default values.

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Figure 2-25. Create a new link class

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Notes:

Create links

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
System Configuration
- Lesson: Create links
- Activities:
 - Enable editable link classes.
 - Create and use a new link class.

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Figure 2-26. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 2.4. Modify security

Lesson

Modify security



Why is this lesson important to you?

- 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.

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Figure 2-27. Modify security

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Notes:

Modify security

Activities that you need to complete

- Modify security on a category.
- Control access to assets and functionality from Workplace.

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Figure 2-28. Activities that you need to complete

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Notes:

Modify security

Enterprise Records security



- Enterprise Records uses security features from the Content Engine.
 - Default instance security determines the initial security settings for a container or record.
 - The Enterprise Records data models assign inheritable default instance security to categories.
 - Records inherit security settings from a security parent, allowing security to be controlled from the category level.
 - Record objects serve as security proxies for the original electronic documents.
 - Supplemental security markings can be configured and used to secure access to individual records.

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Figure 2-29. Enterprise Records security

F1751.0

Notes:

Help reference

- Search for: "managing_security.htm"

Record objects as security proxies for the source document

When a document is declared as a record, the record object takes over security on the original document by adding additional proxy security settings on the document object. These proxy security settings are evaluated when the document object is accessed.

Some security proxies can conflict with IBM Enterprise Records. Before you declare documents as records, remove any security proxies that are already in effect on the document.

Strategies for controlling access to records

Determine security requirements during the planning phase.

- Set default instance security before file plan creation.

Start by securing the categories.

- Categories are the primary mechanism for controlling access.
- Modify security on each category to control the access to the records in that category.

You can use markings to further restrict access to individual records.

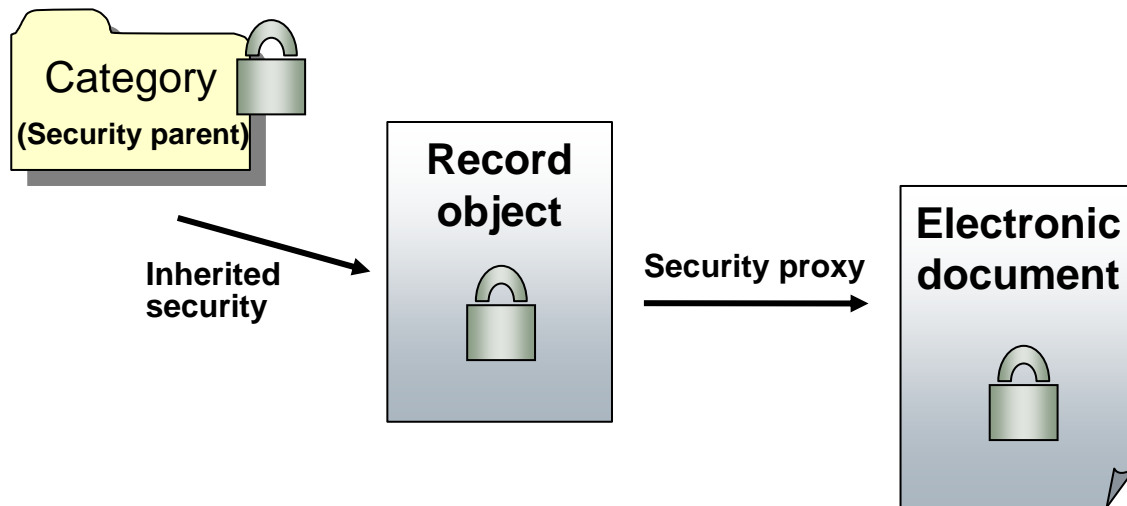
- Security markings are covered in the next lesson.

To learn more about design considerations for setting up security on a records management system, refer to the chapter on security in the IBM Redbooks publication *Understanding IBM FileNet Records Manager*. This publication is available through the IBM support website and on your student system at C:\Reference Materials\.

Modify security

Enterprise Records uses Content Engine security

- Records are primarily secured by category.



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Figure 2-30. Enterprise Records uses Content Engine security

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Notes:**Help reference**

- Search for: "object_security.htm"

Record security

When the declaration process files a record into a container, the record inherits the security of the parent container, known as the security parent. If you use Workplace to declare the record into multiple containers, the security parent is the first record container that is selected.

The post-import script FPOS_PostImport_datamodel.vbs, which is run when importing a data model into an object store, sets the Default Instance Owner for the Record class, and its subclasses Electronic, Email, and Marker, to NULL. When a user declares a record with the Record class or a subclass, the record inherits the Default Instance Owner property of the class, which is set to NULL. When the Owner property is NULL, Enterprise Records does not grant any special access rights to any user. Therefore, a record creator does not have administrative rights to the record and cannot modify the security of the record.

You can use Enterprise Manager to change the owner to a specific user or group by modifying the Default Instance Owner on the Record class or a subclass. However, Enterprise Records applies the change only to records created after the change. The change is not applied to any existing records.

Modify security

Modify security on a category



- Access to records in the category is restricted based on the security settings of the category.
- You can modify the direct security on a category:
 - When adding a new category, use the page that allows you to set security.
 - On an existing category, modify security by using the property page for security.
- Changes to security at the category level are propagated to all inheriting children.
 - Record security is computed only when the record is accessed.
 - Therefore, because the security on a record is inherited, security changes to the category affect the security of the inheriting records the next time that they are accessed.

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Figure 2-31. Modify security on a category

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Notes:

Modify security

Control who can declare records from Workplace

1. Go to Workplace Site Preferences > Access Roles.
2. Create an access role that contains only the security groups that need to declare records from Workplace.
 - Be sure to remove the default group #AUTHENTICATED-USERS from the access role.
3. Go to Workplace Site Preferences > Actions.
4. Assign the access role to the record declaration actions.
 - These actions are not available in the Action menus for users who do not belong to the access role.
- Be sure to configure both actions that declare records.
 - Declare as Record
 - Declare Versions as Record

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Figure 2-32. Control who can declare records from Workplace

F1751.0

Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Working with documents with Workplace XT > Site preferences > Access roles preferences
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Working with documents with Workplace XT > Site preferences > Actions preferences

Modify security

Limit access to the FPOS from Workplace



1. Go to Workplace Site Preferences > Access Roles.
2. Create an access role that contains only the security groups that need access to the file plan object store in Workplace.
3. Go to Workplace Site Preferences > Object Stores > *[object store]*.
4. Under Object Store Access, click *Select access roles*.
5. Click the access role that you defined.
- Result:
 - The object store is not available in Workplace for users who are not members of the access role.

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Figure 2-33. Limit access to the FPOS from Workplace

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Notes:

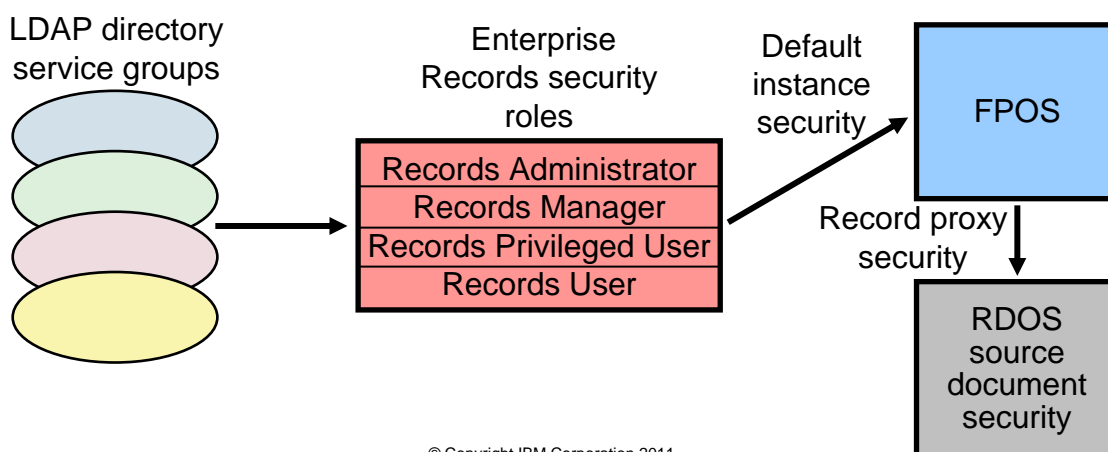
Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Working with documents with Workplace XT > Site preferences > Object store preferences > Object store access

Modify security

Enterprise Records security roles

- Directory service security groups are mapped to Enterprise Records security roles.
- Enterprise Records security roles are used to set default instance security on categories and records in the FPOS.
- Security is applied to documents in the RDOS by the records.



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Figure 2-34. Enterprise Records security roles

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Notes:

Help reference

- Search for: "rm_security_roles.htm"

Help path

- IBM FileNet P8 Version 5.1 Information Center > Install additional IBM FileNet P8 products > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Configuring IBM Enterprise Records after installation > Configuring security for the file plan object store (FPOS)

Diagram

The diagram shows the relationship between LDAP directory service groups and Enterprise Records security roles, and how those roles are applied to objects in the FPOS and RDOS.

When a data model is applied, required properties and classes are added to an FPOS to make it compliant with a particular standard.

The security roles shown are for the Base data model. These four standard roles represent the most common, broad access levels required by most organizations.

Enterprise Records security roles

Enterprise Records security roles provide a convenient way of mapping common roles to functional access rights. The predefined roles are based on records management standard practices.

Security roles are defined by the data model specified when defining an FPOS. When the roles are applied, the default instance security is configured on the FPOS.

Managing the roles

- Use directory service tools to administer the groups that have been mapped to the Enterprise Records security roles. Because security is computed only when an object is accessed, changes made to the LDAP group membership apply to the affected objects immediately (except for possible directory service caching delays).
- Use the Security Script Wizard to change the mappings to the LDAP groups. Changes of this kind apply only to the Enterprise Records classes and new objects. Existing record objects and containers are not affected.

Location of role names in Enterprise Records and IBM FileNet Content Manager

- You see the security role names in the Security Script Wizard in the Enterprise Records web application.
- In all other places, you see the LDAP group names associated with the roles instead of security role names.

Important: Enterprise Records security roles are not the same as Workplace access roles.

Modify security

Security roles provide varying access levels

- User roles are mapped to specific security settings.
 - The roles for the Base data model are shown.
 - DoD Classified data model also has Classification Guide Administrator role.

| Role | Summary of access rights |
|--------------------------------|---|
| Records Administrator | Full access including access to administrative functions in Workplace and Enterprise Manager |
| Records Manager | Full control, which includes deleting records and containers, modifying properties, and configuring all aspects of a file plan |
| Records Privileged User | Privileged access, which includes modifying properties of records and folders and adding new folders and volumes |
| Records User | Limited access which typically includes record declaration and retrieval, and filing records into other categories or folders |

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Figure 2-35. Security roles provide varying access levels

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Notes:

Help reference

Search for "rm_security_roles.htm"

Help path

- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Planning IBM Enterprise Records installation > IBM Enterprise Records security > IBM Enterprise Records security roles

Base data model roles and access rights

Note: This list of all the capabilities of each role is not comprehensive.

Records Administrator – Members in this role have full access including access to administrative functions in Workplace and Enterprise Manager.

Records Manager – Members in this role have full control, which includes deleting records and containers, modifying properties, and configuring all aspects of a file plan.

Records Privileged User – Members in this role have privileged access, which includes modifying properties of records and folders and adding new folders and volumes.

Records User – Members in this role have limited access which typically includes record declaration and retrieval, and filing records into other categories or folders.

Important: Do not assign more than one Enterprise Records security role to a user. When you are explicitly denying permissions to a user, the assignment of more than one role to a user results in the role with the least access taking priority. For the same reasons, do not assign a user to multiple groups that have different Enterprise Records security roles. Do not assign #AUTHENTICATED-USERS to the Records User role because it negates the permissions needed by users assigned as Records Managers, Records Reviewers, and Records Administrators.

The access rights granted to users in these roles vary slightly based on the data model. You assign groups (and possibly users) to security roles as part of configuring each FPOS in your environment.

Modify security

Use Security Script Wizard to modify security roles

- The Security Script Wizard allows the security role mappings to be modified on an FPOS.
 - The FPOS infrastructure, including default instance security and security on classes, is modified.
 - Security on existing record objects and containers is **not** modified by running the Security Script Wizard.
- Run the Security Script Wizard in Enterprise Records to do the following:
 - Update the security of all the Enterprise Records-related classes in the FPOS.
 - Define the default instance security for the Enterprise Records-related classes.
 - Assign the selected users and groups the access rights available to the security role to which they are mapped.
- Only a GCD administrator can run the Security Script Wizard.

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Figure 2-36. Use Security Script Wizard to modify security roles

F1751.0

Notes:**Help path**

- Install additional IBM FileNet P8 products > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Configuring IBM Enterprise Records after installation > Configuring security for the file plan object store (FPOS)

Modify security

Using other Content Engine security features



- You can combine other Content Engine security features.
 - Example: Direct security on entities other than categories
 - Example: Security policies
- You can modify direct security on entities other than categories.
 - Directly on folders or volumes
 - Directly on record objects
- Be aware of the possible complexity.
 - Try to use category security and markings if possible.
 - Use direct security on folders only if needed.
 - Avoid manipulating direct security on records if possible.

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Figure 2-37. Using other Content Engine security features

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Notes:**Help path**

- IBM FileNet P8 Version 5.1 Information Center > Security > IBM FileNet P8 security > Security overview

Modify security

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
System Configuration
- Lesson: Modify security
- Activities:
 - Modify security on a category.
 - Control access to assets and functionality from Workplace.

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Figure 2-38. Activities

F1751.0

Notes:

Use your Student Exercises book to perform the activities listed.

Lesson 2.5. Use security markings

Lesson

Use security markings

Why is this lesson important to you?

- 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.

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Figure 2-39. Use security markings

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Notes:

Use security markings

Activities that you need to complete

- Create and use a new marking set.

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Figure 2-40. Activities that you need to complete

F1751.0

Notes:

Use security markings

What are security markings?



- Security markings are an optional feature.
 - They are used only to provide additional constraints to the regular security settings on an object.
 - Markings are used by Enterprise Records.
- Markings are special property values that control access to individual objects.
 - Marking values have associated security constraint masks.
 - Users can access an object if they meet the criteria set by the instance security and the constraint mask of the marking value.
- A marking set is a collection of mutually exclusive marking values.
- Markings are used to model security in terms of codes, levels, or categories.
 - Hierarchical marking set example: Top Secret, Secret, Confidential, Unclassified

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Figure 2-41. What are security markings?

F1751.0

Notes:

Help references

- IBM FileNet P8 Version 5.1 Information Center >Security > IBM FileNet P8 security > Authorization > Markings
- Search for "security_markings.htm"

Help path

- Install additional IBM FileNet P8 products > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Planning IBM Enterprise Records installation > IBM Enterprise Records security > Security markings

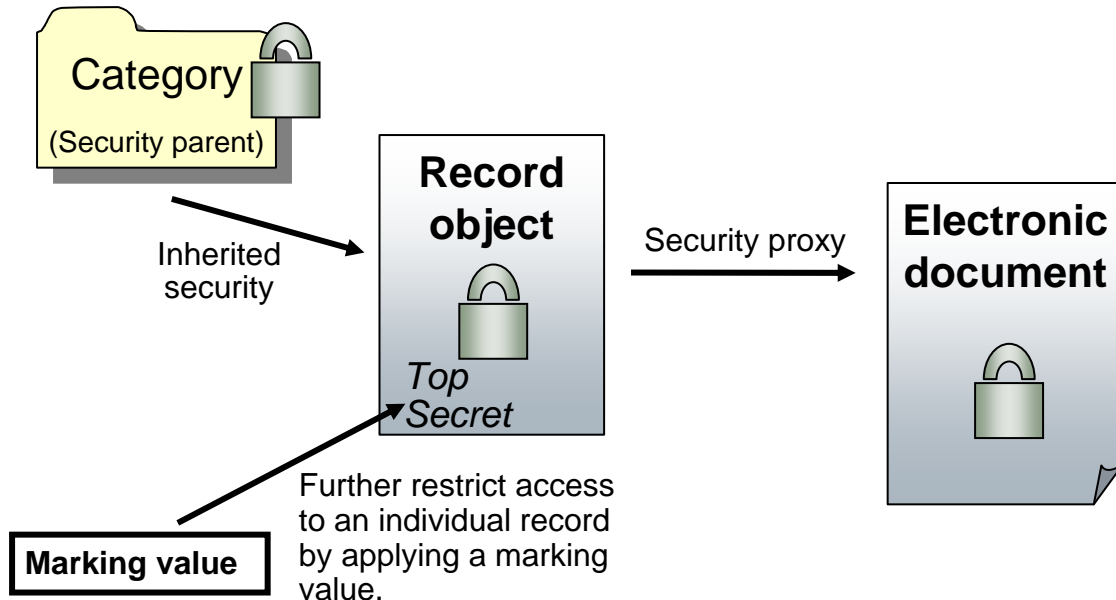
Markings are objects that combine metadata behavior with access control behavior in a way that allows access rights to an object to change by changing a property value.

Markings are defined at the FileNet P8 domain level in Enterprise Manager.

Use security markings

Marking values on records

- A marking value further restricts access to a record.



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Figure 2-42. Marking values on records

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Notes:

Markings do not replace conventional access permissions on a record, but are used in conjunction with them in determining access rights.

A category, acting as a security parent, is generally the primary control mechanism for records within that category. However, marking values can be assigned to records on an individual basis to further restrict access.

If a record has one or more markings applied to it, then access to that record is granted only if it is granted by both the Access Control List (ACL) permissions and by the markings. Remember that the ACLs of records generally include permissions inherited from the records category.

Access checking process

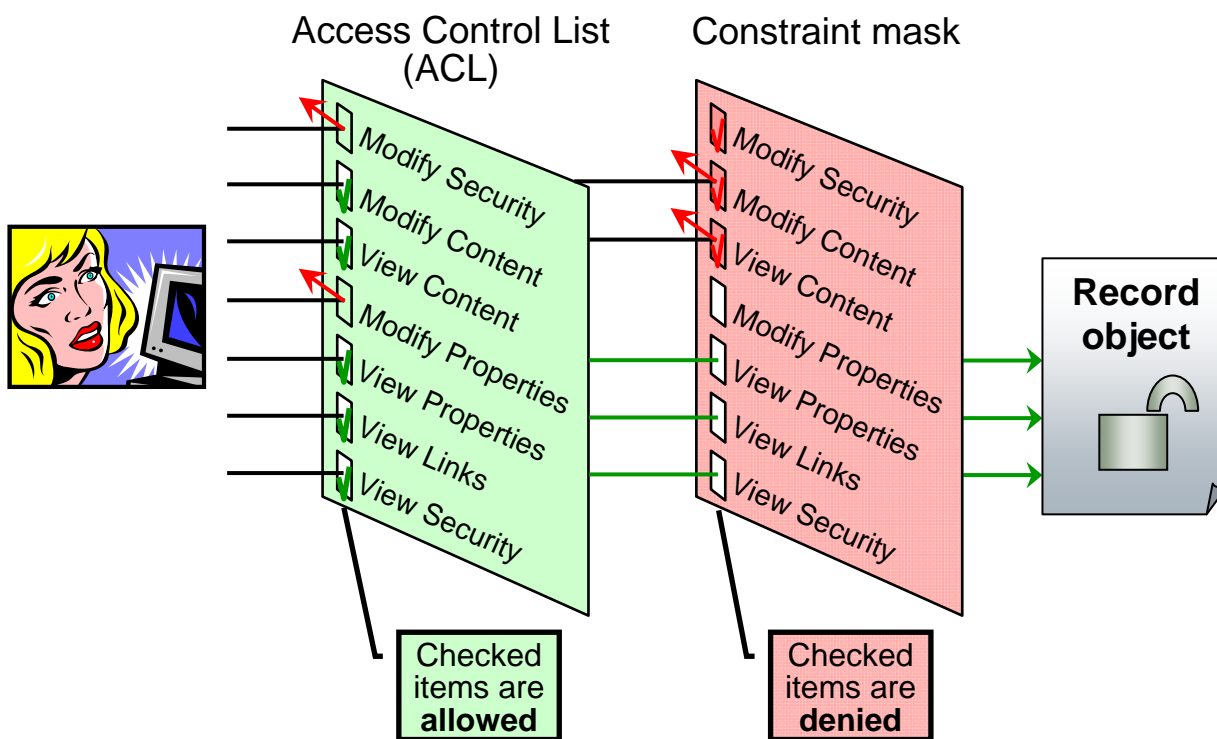
1. A user or process tries to access an object.
2. The Content Engine resolves the ACL of the object to determine who can access the object and what those users can do.

3. If a user has access based on the ACL, the Content Engine then determines whether that user has access based on the marking security definition and constraint mask.

Although it is possible to create markings on folders and categories, the containers do not pass marking security on to contained objects. The result is that, although you cannot see an area of the file plan to which you are denied by markings, you can still search for and potentially retrieve the contained records.

Use security markings

Constraint masks and ACLs



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Figure 2-43. Constraint masks and ACLs

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Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Security > IBM FileNet P8 security > Authorization > Markings > Constraint Mask

Diagram

The diagram shows an example of evaluating security for a user who does not have the Use Marked Objects permission for a marking value. Some individual security rights are allowed by the ACL of the record. Then the restrictions imposed by the constraint mask are applied. For a user to be able to access the record, the user must be allowed access by both the ACL and the constraint mask.

For security principals that have the Use Marked Objects right granted for that marking value, the constraint mask is ignored.

Constraint mask analogy

Think of a constraint mask as a barrier with holes in it. The holes allow users who have access to an unmarked object to continue to have access. You can plug those holes by

checking the items in the constraint mask, thus denying them access that they might otherwise be granted by the ACL.

It is important to remember that check marks mean different things in different interfaces. In the ACL, check marks are permissions. In the constraint mask, they are denials

Note that marking sets work only to deny access, which is why the constraint mask uses the Deny approach, and the checked rights are denied.

Use security markings

How markings work with records

- The use of markings requires adding a marking property to the record class.
- The property holds a marking value that is defined as part of a marking set.
- When the marking value is assigned to the object, the particular constraint mask associated with that marking value is applied to the object.
 - Users listed in the specific marking value who have been given Use Marked Objects permission are exempt from its constraint mask.
 - Everyone else is subject to the constraint mask.
- Marking property values can be assigned only by users authorized by the associated marking.
 - Example: A user with Secret level access to a record cannot set the marking value to Top Secret.

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Figure 2-44. How markings work with records

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Notes:

For a marking set to affect record security, a property on that record class must be associated with the marking.

How markings work

1. A marking set is defined, containing several possible values called markings.
2. Each marking value contains a set of access permissions that define who can assign that specific value to an object property, who can modify or remove that specific value, and, when it is assigned, who has access to the object it is assigned to.
3. The marking set is assigned to a property definition on a class such that the value of that property must be one of the markings defined by the marking set.
4. Values can be assigned only by users authorized by the associated marking, and access to the object is restricted based on the marking when it is applied.
5. A marking property on a record contains one value from a marking set, which specifies the constraint mask and which users, if any, are exempt from that mask.

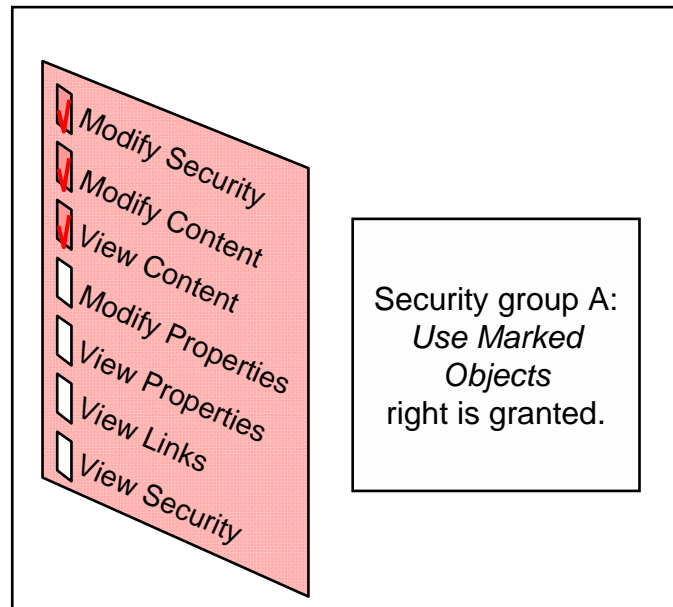
Multiple marking properties can be assigned to a single class, and they are all used to determine the final access to the object. The collection of all markings actually being applied to a particular object is displayed by Enterprise Manager as the *active markings* for the object.

Use security markings

A closer look at a marking value

- A marking value identifies both a constraint mask and a list of security principals.
- In this example, security group A is granted the Use Marked Objects permission.
- Group A is exempt from the constraint mask when a record has a property with this marking value.
- All other users are subject to the constraint mask.

A marking value



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Figure 2-45. A closer look at a marking value

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Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Security > IBM FileNet P8 security > Authorization > Markings > Marking security: Add, Remove, Use

Diagram

A marking value contains both a constraint mask and a list of security principals who might be exempt from that constraint mask. The constraint mask for that marking value is ignored for the security principals who are granted the Use Marked Objects right on the Security tab.

Bypassing markings and the Use Marked Objects right

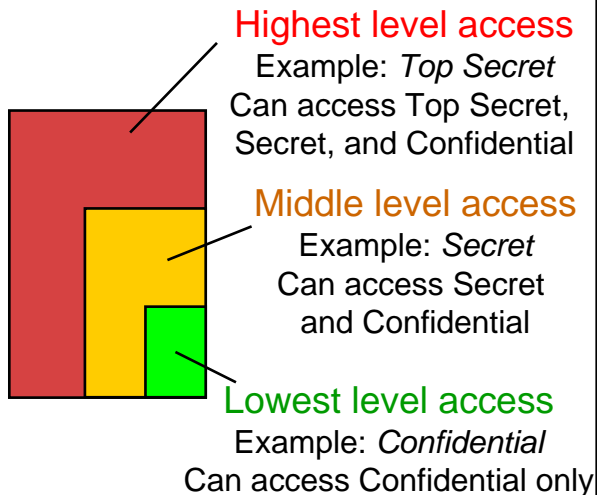
The Use Marked Objects access right is set on the Security tab of the of the Property page of a marking value and determines whether the presence of the marking on a record constrains access to that record for a user. If a user has Use Marked Objects permission for the marking value, access to the record is not constrained by that marking.

Use security markings

Hierarchical and list marking sets

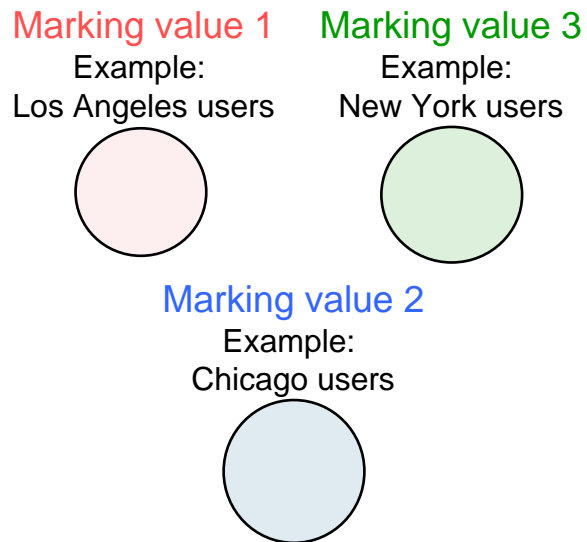
- Hierarchical marking sets

- Security principals given access in a marking value have access to the lower levels in the hierarchy.



- List marking sets

- Each marking has its own, independent access.



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Figure 2-46. Hierarchical and list marking sets

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Security > IBM FileNet P8 security > Authorization > Markings > Hierarchical and Non-hierarchical

Hierarchical marking sets can be assigned only to single-valued properties.

Nonhierarchical marking sets, also called list marking sets, can be assigned to either single or multi-valued properties.

Hierarchical marking permission rules

1. *Allow* permissions affect markings downward in the hierarchy. That is, an *Allow* permission placed on a superior marking is implicitly present on inferior markings.
2. *Deny* permissions affect markings upward in the hierarchy. That is, a *Deny* permission placed on an inferior marking is implicitly present on superior markings.
3. *Deny* permissions take precedence over *Allow* permissions.

Diagram

In the hierarchical marking set example, the Top Secret group has the highest level of access. Members can access Top Secret records, as well as all levels below. The Secret group has the middle level of access, and can access only the Secret and Confidential records. The Confidential group has the lowest level of access, and can access only the Confidential records.

In the list marking set example, the three marking values control access independently of the other marking values. The Los Angeles users group is allowed access by Marking value 1, the Chicago users group is allowed access by Marking value 2, and the New York users group is allowed access by marking value 3.

Use security markings

Marking sets included in Enterprise Records



- These marking sets are created for the entire FileNet P8 domain when an object store is configured as an FPOS.
 - Prevent IBM Enterprise Records Entity Deletion (DoD and Base data models)
 - Supplemental Marking (DoD and PRO data models)
 - Security Categories (DoD Classified data model)
 - Security Categories (PRO data model)
- You specify the data model when you configure the FPOS.

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Figure 2-47. Marking sets included in Enterprise Records

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Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management (See Types of IBM Enterprise Records Installations)

A data model is an Enterprise Records component that you configure or import into an FPOS. It adds required properties and classes to an FPOS to make it compliant with a particular standard.

Prevent RM Entity Deletion


For Base and DoD installations, the Prevent RM Entity Deletion hierarchical marking set prevents users who are not in the Records Administrators or Records Managers security roles from deleting entities, including file plans, record categories, record folders, volumes, and records. Because the Prevent RM Entity Deletion marking set is used internally by Enterprise Records, do **not** modify this marking set.

The marking set includes the following marking values:

- **Default:** This marking value is the default marking that Enterprise Records applies to file plans, record categories, record folders, volumes, and records.
- **Prevent Delete:** Enterprise Records applies this marking when an entity is placed on hold. When this marking is applied, the entity cannot be deleted by anyone, including members of the Records Administrators and Records Managers security roles. (These groups do not have the Use Marked Objects permission.)

Use security markings

How to create and use markings

- 
- Create and name the marking set in Enterprise Manager.
 - To create or modify markings, you must have GCD administrator access.
 - Designate the marking set as a list or hierarchical type.
 - Name and define the possible marking values within the set.
 - Define the constraint mask for each value.
 - Set the security parameters for each value.
 - Create a new marking property for that marking set and add it to a record class.
 - When a record is added using that class, assign the desired marking value to the marking property of the record.

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Figure 2-48. How to create and use markings

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Notes:

Markings are defined at the FileNet P8 domain level in Enterprise Manager.

To create or modify markings, you must have GCD administrator access. After a marking set is created, it is potentially available for use with all object stores in the domain. However, properties that use the marking set are specific to their object store.

Use security markings

Demonstrations



- Examine the marking set used for records on hold.
- Create a list type marking set.

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Figure 2-49. Demonstrations

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Notes:

Demonstration notes

Examine the marking set used for records on hold

1. Open the Properties page of the Prevent RM Entity Deletion marking set in Enterprise Manager.
2. Select the Prevent Delete value and click Edit. This value is the marking value used when records are on hold.
3. Go to the Constraint Mask tab and verify that only the Delete right is denied.
4. Go to the Security tab and verify that the groups listed do not have the Use Marked Objects permission. Therefore, even these administrative users cannot delete an object that has this marking value.
5. Click Edit for the Default marking value. Verify that administrative records users have the Use Marked Objects permission. Verify that other record users do not have the Use Marked Objects permission.

6. Look at a record that is not on hold and confirm that it has the Default marking value.
7. Place the record on hold and verify that the marking value is set to Prevent Delete.

Create a list type marking set

1. Create a list marking set with three marking values.
 - a. For each value, set the constraint mask to deny users from making any modifications to properties or content.
 - b. Set the security to give members of a particular security group full control on the marking value.
 - c. Allow the Administrator full control on each marking value.
2. Create a property template of String type that uses the new marking set.
 - a. Be sure to add the word *declare* to the Description property so that the property is visible during declaration.
 - b. Make the property a multi-valued property, and select the *Unique and unordered values* option.
3. Create a record class that is a subclass of Electronic Record. Add the new marking property that you created to the class.
4. Test the marking.
5. Declare a document as a record using the new record class.
 - a. Assign one marking value to the marking property.
 - b. Sign in to the IBM Enterprise Records web application as a user who is a member of the security group that was granted Use Marked Objects permission for the marking value that you assigned to the property. Verify that this user can modify properties of the record. Note that the user **cannot** change the marking property to any other marking value.
 - c. Sign in to the IBM Enterprise Records web application as a user who is **not** a member of the security group that was granted Use Marked Objects permission for the marking value that you assigned to the property. Verify that this user **cannot** modify properties of the record.
6. Sign in to Enterprise Records as Administrator and add a second marking value to the marking property.
7. Sign in to Enterprise Records as a user who is a member of both of the security groups that are associated with the two marking values. Verify that you can modify properties of the record.
8. Sign in to Enterprise Records as a user who is a member of only one of the security groups that are associated with the two marking values. Verify that you **cannot** modify properties of the record.

Use security markings

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
System Configuration
- Lesson: Use security markings
- Activities:
 - Create and use a new marking set.

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Figure 2-50. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 2.6. Export and import a file plan

Lesson

Export and import a file plan

Why is this lesson important to you?

- 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 need to use the File Plan Import and Export tool to do this task.

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Figure 2-51. Export and import a file plan

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Notes:

Export and import a file plan

Activities that you need to complete

- Export and import a file plan.

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Figure 2-52. Activities that you need to complete

F1751.0

Notes:

Export and import a file plan

What is the File Plan Tool?



- The File Plan Import and Export Tool is a Java program for importing and exporting file plans.
 - Also called the File Plan Tool
 - Does not support records, volumes, security information
- File Plan Tool uses an XML file to complete the import and export processes.
- The tool can be run the following ways:
 - Start the tool from a command line Java executable.
 - Start the tool with either the FilePlanTool.bat (Windows) or FilePlanTool.sh (UNIX) command file.

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Figure 2-53. What is the File Plan Tool?

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Notes:

Help reference

- Search for "fileplan_import_export.htm"

Export and import a file plan

Overview of tasks



1. Configure the File Plan Tool.
2. Export the file plan data.
 - Export the metadata.
 - Export the file plan.
3. Configure an object store.
 - Configure the object store as an FPOS.
 - Configure the security.
4. Import the file plan data.
 - Import the metadata.
 - Wait 5 minutes for the custom class and property metadata to be refreshed.
 - Import the file plan.

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Figure 2-54. Overview of tasks

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Notes:

Export and import a file plan

File Plan Tool modes



- **Configure**
 - This mode opens a window that allows you to specify required information, such as the server name and administrator password.
- **Export**
 - This mode is used to create a compatible and compliant XML file that you can import to another environment.
- **Import or Update**
 - These modes import a specified XML file into an environment.
- **Validate**
 - This mode is used to verify that an XML file is compatible with the IBM FileNet P8 XML schema and complies with the XML standard.

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Figure 2-55. File Plan Tool modes

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Notes:

You can run the tool in Update mode to make minor modifications after the initial import of a file plan, and you can distinguish subsequent updates from the initially imported XML files.

Export and import a file plan

Configure the File Plan Tool

- The first time that you run the File Plan Tool, you must configure it.
`FilePlanTool -mode configure` (Windows)
- Set the following required configuration options.
 - CE server name
 - File plan object store name
 - Mode (Export, Import, or Update)
 - Web URL
 - EJB URL
- If File Plan Tool fails to run, open `fileplantool.bat` using a text editor and verify the following settings are correct:
 - Web Application Service provider (WebSphere, WebLogic, JBoss)
 - `NAMING_PROVIDER_URL` has the correct CE server and port.
 - `EXT_DIRS` includes the correct JRE path.

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Figure 2-56. Configure the File Plan Tool

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Notes:

Web Service URL

Specify the Content Engine Web services web address in this field in the format `http://<content engine server>:<port>`. Example: `http://hqdemo1:9080`

EJB URL

Specify the web address of the Enterprise Java Bean transport to the Content Engine in this field. See the help path listed for the different format required for each supported web application server.

When you configure the File Plan Tool, entries in certain fields define default values that are used the next time the tool is run. For example, when you enter the file plan object store name, the File Plan Tool performs the subsequent actions on that object store.

Export and import a file plan

Target object store configuration requirements



- Create the target object store first.
- The correct data model must be imported to the object store.
 - The data model must match the data model of the exported file plan.
 - The National Archives Records Administration (NARA) properties must exist on the destination object store if they exist on the source object store.
- Assign security roles on the object store before importing.
- Export and import custom properties and classes in a separate XML file before you import the rest of the file plan.

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Figure 2-57. Target object store configuration requirements

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Notes:

When you configure an object store to be an FPOS, you can select whether or not to install National Archive Records Administration (NARA) properties. If you select yes, additional electronic record subclasses are installed. If you export a file plan with NARA properties to an FPOS for which NARA properties do not exist, the import fails. If you are not sure whether the file plan has the NARA properties installed, you can look at the installed add-ons on the source object store using Enterprise Manager. Select the object store and click All Tasks > Install AddOn to see which of the add-ons are installed on that object store.

Export and import a file plan

Commands to export a file plan

- If you have custom properties, export the metadata.

```
FilePlanTool -mode export -fileplan "File Plan" -o  
c:\metadata.xml -scope metadata
```

- Export the file plan.

```
FilePlanTool -mode export -fileplan "File Plan" -o  
c:\fileplan.xml
```

- Use the **scope** option if you are exporting metadata or if you are exporting only part of a file plan.
- Guidelines
 - Use double quotation marks around the file plan name if it includes spaces.
 - Use file names that indicate whether the XML file is for the file plan or the exported metadata.

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Figure 2-58. Commands to export a file plan

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Notes:

The **-scope metadata** option is not the same thing as a standard metadata export using Enterprise Manager. You must use the **-scope metadata** option if you have custom properties to export with the File Plan Tool.

Export and import a file plan

Export scope options



- You can select a scope for the file plan export in order to do the following:
 - Separate a large file plan into smaller pieces.
 - View and edit smaller export files.
 - Import a large file plan incrementally.
- Scope options
 - metadata
 - robject
 - includecategory
 - excludecategory
 - includecategories
 - excludecategories

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Figure 2-59. Export scope options

F1751.0

Notes:

Use the full path for the record category name. For example: `"/Cat0/Cat01/Cat03"` for Cat03

`Includecategory` specifies which record category is to be exported.

Use `Includecategories` to export multiple record categories.

Use `Excludecategory` to exclude the record category from the export.

Use `Excludecategories` to exclude record categories from the export.

Use the inclusion options to define the initial scope from which you can use the exclusion options.

Category scope options do not export the Enterprise Records objects. You must use the `robject` option to export Enterprise Records custom objects.

You can use a combination of include and exclude scope options.

Export and import a file plan

Importing a file plan

- If you have custom properties, first import the metadata.

```
FilePlanTool -mode import -f c:\metadata.xml
```

- **Important:** Wait 5 minutes after you import the metadata before you continue to allow the metadata cache to be cleared.

- Import the file plan.

```
FilePlanTool -mode import -f c:\fileplan.xml
```

- When importing, you can set the **-reimportoption** value.
 - Skip: Skip over any existing entities.
 - Replace: Replace any existing entities.
 - None: Like Skip except that it reports a warning in the exception log.
 - Default value is None.

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Figure 2-60. Importing a file plan

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Notes:

After you import the metadata, you must wait 5 minutes before you import the file plan because the old metadata is still cached. The cache time-to-live is 5 minutes, after which time the cache is cleared.

Reimport option

Use the **-reimportoption** value to specify the behavior of the add action in the XML file. The option determines what happens when the File Plan Tool adds an object that already exists. During the initial import, use the **Skip** option. In case of failure and during the second attempt at importing the same file plan, use the **Skip** option to avoid reimporting entities that have been successfully imported. If the second attempt fails, you might want to use the **Replace** option.

Scope mechanism not used during import

In Import mode, the tool does not use the scope mechanism, but looks at an XML tag to determine what to import.

Export and import a file plan

Updating a file plan



- Use the update mode to make minor changes after the initial importation of a file plan.

```
FilePlanTool -mode update -f c:\fileplan.xml  
-reimportoption replace
```

- You must specify Update as the InputMode attribute of the FilePlan tag in the XML file.

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Figure 2-61. Updating a file plan

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Notes:

Help path

- Search for "file_plan_import_export_tips.htm"

In this example, the `reimportoption` value is set to `replace`. This setting causes existing objects to be replaced with new ones. If your update to the file plan does not replace existing data but adds more data to it, you might choose to use another reimport option, such as `Skip` in order to save time.

Export and import a file plan

File Plan Tool limitations

- You must first export and then import custom properties in a separate XML file before you import the rest of the file plan.
- The File Plan Tool does not support exporting or importing the following objects:
 - Records
 - Volumes
 - Documents
 - Security information, markings
 - Workflow definitions
- No rollback mechanism is supported.
- The tool does not support exporting and importing properties with a null value.
- The data model in the target object store must be the same as the one in the source object store.

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Figure 2-62. File Plan Tool limitations

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Notes:

Security on the new file plan

The security of the imported file plan is based on default instance security.

Workflow definitions

If you have workflow definitions that are used by other objects, you need to export the workflow definitions first.

File Plan Tool export file format

The File Plan Tool can use only XML files in a specific format. This format does not match the XML files generated by Enterprise Manager during metadata exports, so you cannot use these XML files with the tool.

Exporting and importing properties with a null value

Properties with a null value cannot be imported. For example, if a phase of a disposition schedule with no retention period is exported and then the disposition schedule is imported into another object store, the retention period is **not** updated to null.

Manually creating XML files

You can manually create and import an XML file that includes schedule inheritance, alternate retentions, disposal triggers, and dynamic or conditional holds. You can find more information about this subject by following the *File Plan XML Schema* link in the help path.

Export and import a file plan

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
System Configuration
- Lesson: Export and import a file plan
- Activities:
 - Export and import a file plan.

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Figure 2-63. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Unit 3. IBM Enterprise Records 5.1: System Maintenance

What this unit is about

This unit describes how to configure sweep processes, automatic destruction of records, automatic volume creation, auditing, export audit logs and how to manage record metadata.

What you should be able to do

After completing this unit, you should be able to:

- Configure multiple Disposition Sweep profiles.
- Configure a Hold Sweep profile.
- Configure automatic destruction of records.
- Configure automatic volume creation
- Enable and configure auditing.
- View and export audit logs.
- Manage record metadata.

How you will check your progress

- Successfully complete the activities in the Student Exercises book.

References

<http://publib.boulder.ibm.com/infocenter/p8docs/v5r1m0/> (IBM FileNet P8 Version 5.1 Information Center root URL)

Unit lessons

This unit contains these lessons:

- Configure sweep processes
- Configure automatic destruction
- Configure automatic volume creation
- Configure auditing
- View and export audit logs
- Manage record metadata

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Figure 3-1. Unit lessons

F1751.0

Notes:

Lessons in this unit

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

Configure sweep processes – In this lesson, you are going to configure multiple Disposition Sweep profiles and configure a Hold Sweep profile.

Configure automatic destruction – In this lesson, you are going to configure automatic destruction of records.


Configure automatic volume creation – In this lesson, you are going to configure automatic creation of volumes using a workflow.

Configure auditing – In this lesson, you are going to enable and configure auditing.

View and export audit logs – In this lesson, you are going to view and export audit logs.

Manage record metadata – In this lesson, you are going to retain, archive, and purge metadata.

Lesson 3.1. Configure sweep processes

Lesson:**Configure sweep processes**

Why is this lesson important to you?

- 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 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.

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Figure 3-2. Configure sweep processes

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Notes:

Configure sweep processes

Activities that you need to complete

- Configure multiple Disposition Sweep profiles.
- Configure a Hold Sweep profile.

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Figure 3-3. Activities that you need to complete

F1751.0

Notes:

Configure sweep processes

About Sweep profiles



- Store a set of configurations for a sweep in a profile.
 - Allows unlimited profiles.
- Run sweeps under different configurations using profiles:
 - Does not require reconfiguring the sweep each time.
 - Defaults to the original one if profile parameters are not used.
- Create a new profile or edit an existing profile:
 - Run the configure command with the profile name.
 - Creates a new configuration XML file under the following Windows folder:

<Installation location>\RM\RecordsManagerSweep\lib\config

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Figure 3-4. About Sweep profiles

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Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Configuring IBM Enterprise Records after installation > Configuring the IBM Enterprise Records tools > Configuring the Disposition Sweep tool > Configuring the Disposition Sweep tool for your environment
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Configuring Disposition Sweep

Configure sweep processes

About Disposition Sweep



- Disposition Sweep is a system component.
 - Designed to be run automatically on a scheduled basis (for example, once every week)
 - Computes disposition-related properties
 - Launches cutoff and vital review workflows
 - Launches Auto Destroy action
- Disposition Sweep is configured and managed by the system administrator.
 - Normally invisible to regular users
- Schedule Disposition Sweep to run during nonpeak business hours.
 - In Windows, use Scheduled Tasks.
 - In UNIX, use Cron jobs.

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Figure 3-5. About Disposition Sweep

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Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Configuring IBM Enterprise Records after installation > Configuring the IBM Enterprise Records tools > Configuring the Disposition Sweep tool > Configuring the Disposition Sweep tool for your environment
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Configuring Disposition Sweep

Sweep processes

Disposition Sweep is used to find records that are ready to start moving through the various phases of their Disposition Schedules.

The key files installed for the Sweep processes are located in the <ier_install_path>/RecordsManagerSweep/ directory or one of its subdirectories.

- RecordsManagerSweep directory contains a lib directory, the RecordsManagerSweep batch or shell file, and the log4j.properties file. This directory is used to run the Sweep processes.
- RecordsManagerSweep/lib contains the .jar files required by both Disposition Sweep and Hold Sweep processes.
- RecordsManagerSweep/lib/config directory contains RMSweepConfiguration.xml and RMHoldSweepConfiguration.xml files, which are used to configure the Disposition Sweep and the Hold Sweep processes.

To run a sweep process, ensure that the JVM that you have installed on the machine running the process is JRE 1.4 or later.

Configure sweep processes

Configure Disposition Sweep profiles

1. Access the server where you installed the Disposition Sweep tool.
2. With a command prompt, navigate to the following directory:
<ier_install_path>\RecordsManagerSweep
3. Open the Configuration settings page for the Disposition Sweep tool by running the following command:
 - **UNIX**
`./RecordsManagerSweep.sh -DispositionSweep -configure -profile <profile name>`
 - **Windows**
`RecordsManagerSweep.bat -DispositionSweep -configure -profile <profile name>`
4. In the Configuration settings page, enter the appropriate values for your environment.
5. Click Configure to start the configuration.

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Figure 3-6. Configure Disposition Sweep profiles

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Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Configuring IBM Enterprise Records after installation > Configuring the IBM Enterprise Records tools > Configuring the Disposition Sweep tool > Configuring the Disposition Sweep tool for your environment
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Configuring Disposition Sweep

Sweep profiles are stored in separate XML configuration files.

When you run the Disposition Sweep tool, an error log is created for troubleshooting.

You can have several computers with Disposition Sweep installed, or you can have several profiles of Disposition Sweep on one computer. These sweeps can be configured to process different areas of the file plan. For instance, if you have 15 areas to process, you

can set up 15 profiles of Disposition Sweep on one server and have a few of them set to sweep simultaneously, depending on anticipated load.

Limit Disposition Sweep to a single file plan or part of a file plan.

- Index properties.

If you must sweep the entire file plan every night and the file plan is extremely large, you can install Disposition Sweep on different servers and have them as dedicated sweep machines. You also need to have several Content Engines, with one sweeper for each Content Engine. Although it might be possible to have several sweep machines pointing to a single Content Engine, you run the risk of the Content Engine becoming a bottleneck.

To install the Disposition Sweep program on another server, you need to use the IBM Enterprise Records Installation disk.

- Select the custom install.
- Select **only** the sweep component.

If you try to schedule two instances of DispositionSweep in Task Scheduler, it responds that it already has DispositionSweep scheduled and prompts you to replace it. To prevent this error, rename the batch files.

Configure sweep processes

Configuration settings for Disposition Sweep



- Content Engine server name
 - Specify the server where the records are stored.
- Port number
 - Specify the port number used by the Content Engine.
- Entity GUID
 - Specify the Records entity GUID on which to perform the sweep.
- User ID and password
 - Specify the user ID to log on to Content Engine and Process Engine.
- Process Engine Connection Point
- Activity Log File Name
 - By default, a file called ErrorFile is created.

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Figure 3-7. Configuration settings for Disposition Sweep

F1751.0

Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Configuring IBM Enterprise Records after installation > Configuring the IBM Enterprise Records tools > Configuring the Disposition Sweep tool > Configuring the Disposition Sweep tool for your environment
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Configuring Disposition Sweep

Specify the appropriate values for the following fields. You can clear existing values by clicking Reset.

CE Server Name

Specify the name or IP address of the Content Engine server (where the records are stored) to sweep.

Port Number

Provide the Web Services Interface or EJB port number used by your Content Engine server.

- If http or https is selected in the Connection field, you must specify a WSI port number like 7001 for WebLogic Server, 9080 for WebSphere, and 8080 for JBoss Application Server.
- If any of the EJB protocols is selected in the Connection field, you must specify the default EJB port number for the application server you are using, for example, 2809 for WebSphere.

URL Path

Provide the user-defined path to the URL that the tool is configured to use to communicate with the Content Engine server. For example, /wsi is the path generally used and is the default value.

If any of the EJB protocols is selected, the default URL is FileNet/Engine.

File plan Object Store name (optional)

Provide the name of the file plan object store (FPOS) on which you want to run Disposition Sweep. If you do not provide a value, the Disposition Sweep process runs on all the file plan object stores associated with the specified Content Engine server.

Restriction: A value for the object store name is required for running Declassification Sweep.

Run for Record Types (optional)

When you specify the value as True, if the Disposition Schedule of any record type is modified, the Disposition Sweep process updates all the entities that are associated with that record type.

When you specify the value as False, by default, record types are not processed.

Entity GUID (optional)

Provide the GUID of the IBM Enterprise Records entity (Classification Scheme, Record Category, or Record Folder) for which you want to run the Disposition Sweep process. The Disposition Sweep process will run against the specified entity and all of its children. By default, this node is empty and all entities are processed.

User ID

Provide the user name that Disposition Sweep uses to log on to Content Engine for performing calculations and to log on to the Process Engine for launching workflows. The user must be assigned the Records Administrator role, be a member of the Content Engine Administrators group, and be an object store administrator for the FPOS.

Password

Provide the password for the user ID.

Process Engine connection point

Enter the name of the connection point used by Application Engine or Workplace XT. When configured to process only Auto Destroy actions, this field is not required and can be left blank.

Update Batch Size (optional)

By default, IBM Enterprise Records stores a maximum of 1,000 entities in a batch for update.

Read Batch Size (optional)

By default, IBM Enterprise Records stores a maximum of 10,000 entities in a batch for read.

Thread Count (optional)

Enter the number of processing threads that IBM Enterprise Records uses during the disposition sweep process. The best practice is to specify one thread for each logical CPU on the Content Engine server. For example, enter 8 if there are eight logical CPUs on your Content Engine server. The default is 1.

Activity Log File Name (optional)

Provide the name and path of the error file to be created by the Disposition Sweep process.

By default, a file is created in the *ier_install_path/RecordsManagerSweep* folder by the Disposition Sweep process. If the process runs without error, the error file is 0 (zero) bytes in length.

Default Name: DispositionSweepActivity.log

Run For Vital (optional)

Select **True** to check all record categories, record folders, volumes, and records for any modifications made to the associated vital metadata. If the Disposition Schedule of any entity is modified, the Disposition Sweep process updates all the entities accordingly.

Select **False** to ignore the vital metadata. By default, vital metadata is not selected.

Configure sweep processes

Run Disposition Sweep profiles



- Disposition Sweep is a Java program that is usually initiated using a batch file.
 - Run the batch file using command line options (not case-sensitive).
- Command to start Disposition Sweep:

```
RecordsManagerSweep.bat -DispositionSweep -profile  
<profile name>
```

- Command to stop Disposition Sweep:

```
RecordsManagerSweep.bat -DispositionSweep -stop  
-profile <profile name>
```

- Command to generate a report :

```
RecordsManagerSweep.bat -DispositionSweep -Report  
-profile <profile name>
```

```
RecordsManagerSweep.bat -DispositionSweep  
-interimtransfer "dueDate" -o reportname -profile  
<profile name>
```

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Figure 3-8. Run Disposition Sweep profiles

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Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Configuring IBM Enterprise Records after installation > Configuring the IBM Enterprise Records tools > Configuring the Disposition Sweep tool > Configuring the Disposition Sweep tool for your environment
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Running Disposition Sweep

Verify that the Disposition Sweep tool ran correctly by viewing the log file at `ier_install_path/RecordsManagerSweep/DispositionSweepActivity.log`. If the Error count is 0, the Disposition Sweep process was successful.

To run the Disposition Sweep tool in UNIX, execute the following command:

UNIX (From a Cron job or command prompt)

```
./RecordsManagerSweep.sh -DispositionSweep
```


Configure sweep processes

About Hold Sweep



- Hold Sweep is a program that does the following:
 - Finds records that meet conditions specified in conditional holds.
 - Places those records on hold.
- New entities, added after the hold was created, are placed on hold if they meet the conditions of the hold.
- Remove the conditional holds by initiating a Remove Hold Request and then running the Hold Sweep.
- Like Disposition Sweep, Hold Sweep runs as a scheduled process.
 - Schedule to run Hold Sweep during nonpeak business hours.
 - In Windows, use Scheduled Tasks.
 - In UNIX, use Cron jobs.

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Figure 3-9. About Hold Sweep

F1751.0

Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running hold sweeps > Configuring Hold Sweep
- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > Configuring IBM Enterprise Records after installation > Configuring the IBM Enterprise Records tools > Configuring the Hold Sweep tool
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running hold sweeps > Running Hold Sweep

Hold Sweep is a Java program that is usually started using a batch file.

You can run the batch file using command line options.

Command to configure Hold Sweep:

```
RecordsManagerSweep -HoldSweep -configure
```

Command to start Hold Sweep:

```
RecordsManagerSweep -HoldSweep
```

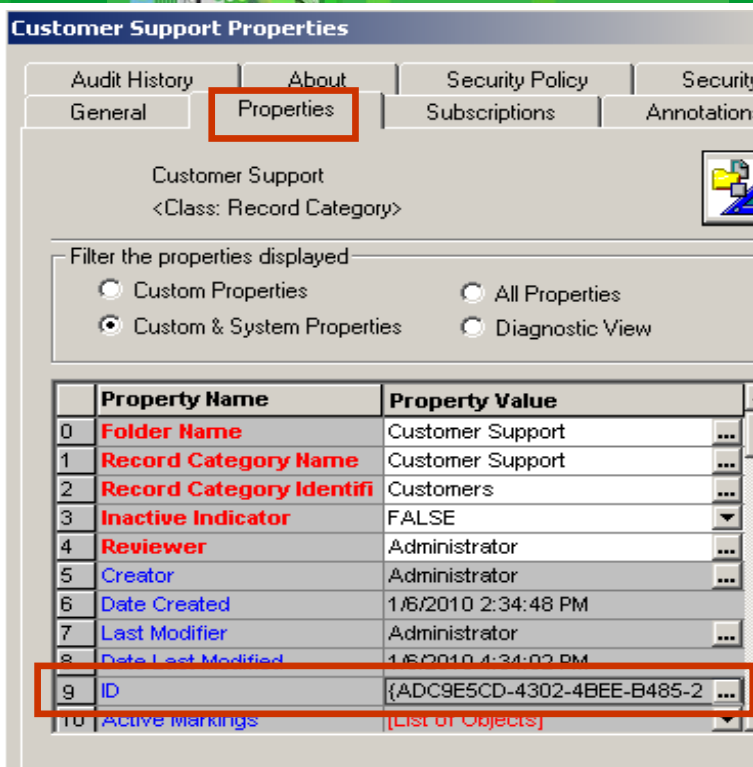
Command to stop Hold Sweep:

```
RecordsManagerSweep -HoldSweep -stop
```

Configure sweep processes

Get the GUID for a container

- In the Enterprise Manager application, select the container that you want.
 - Open the Properties page.
 - Select Custom & System Properties.
 - Copy the ID property value.



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Figure 3-10. Get the GUID for a container

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Notes:

The diagram shows the Property page for a container. The ID property name and its value are highlighted.

Configure sweep processes

Get the GUID for a Hold

- In the IBM Enterprise Records application, select the Disposition tab.
 - Click the Holds link.
 - Click the Get Info icon for the specified Hold from the list.
 - Click the Detail link in the Hold Information pane.
 - Copy the GUID value.

Administrator | Monday, August 22, 2011

Browse | Search | **Disposition** | Physical | Reports | Configure

Hold Information

[Properties](#)
[Conditions](#)
[Security](#)
Detail
[History](#)
[Entities On Hold](#)

Actions
✖ Delete

Hold: **Rach vs. corp.**

Class: *Record Hold (readonly)*

| Property | Value |
|--------------------|---|
| Creator | Administrator |
| Date Created | 1/21/10 12:55 PM |
| Last Modifier | Administrator |
| Date Last Modified | 1/21/10 12:55 PM |
| ID | {749B4741-2676-40B7-B84C-9D9E96EDED6A} |
| Active Markings | |

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Figure 3-11. Get the GUID for a Hold

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Notes:

The diagram shows the Information page for a Hold. The ID property name and its value are highlighted.

Configure sweep processes

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1: System Maintenance
- Lesson: Configure sweep processes
- Activities:
 - Configure multiple Disposition Sweep profiles.
 - Configure a Hold Sweep profile.

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Figure 3-12. Activities

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Notes:

Use your Student Exercises to perform the activities listed.

Lesson 3.2. Configure automatic destruction

Lesson:

Configure automatic destruction

Why is this lesson important to you?

- 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 might 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.

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Figure 3-13. Configure automatic destruction

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Notes:

Configure automatic destruction

Activities that you need to complete

- Configure automatic destruction of records.

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Figure 3-14. Activities that you need to complete

F1751.0

Notes:

Configure automatic destruction

Features of automatic destruction



- Auto Destroy is bulk destruction of the following entities:
 - Records
 - IBM Enterprise Records containers
- Increased records-destruction performance.
 - No workflow is launched.
 - No manual approval step is required.
 - Multithreaded batch operations are supported.
- Existing disposition process is used.
 - Auto Destroy uses Disposition Sweep.
- All necessary validations are done before deletion.
 - On-hold and multiple-filing validations
 - Schedule validation
 - DoD validation

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Figure 3-15. Features of automatic destruction

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Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Running Disposition Sweep for an Auto Destroy action

The regular Auto Destroy action uses IBM Enterprise Records workflows and requires manual review and approval steps. Workflows affect system performance and scalability.

With automatic destruction, the system immediately and automatically destroys all entities having the Auto Destroy action, which are ready for disposition and which are not on hold.

If an entity is filed in multiple containers, it is unfiled from the container targeted by the sweep. It is not destroyed until it is removed from the last parent container.

The Auto Destroy feature is able to destroy a large volume of records efficiently while continuing to do all necessary validations.

A public API is provided in order to delete or destroy records without using an IBM Enterprise Records schedule or Disposition Sweep. A business might have its own disposition requirement and does not need Disposition Sweep to run.

Advantages of Auto Destroy

- Avoids the overhead of launching and completing a workflow.
- Avoids the need to customize the Auto Destroy workflow.
- Achieves faster processing by directly destroying entities instead of relying on workflow and component integration to complete the record destruction.

Configure automatic destruction

Set up automatic destruction



- Define Auto Destroy action in IBM Enterprise Records.
 - [Configure > Action](#)
 - No approval workflow is specified.
- Use normal Disposition Schedule setup.
 - [Specify cutoff trigger condition and phase.](#)
 - [Additional step: Schedule must assign the Auto Destroy action to its destruction phase.](#)
- You can modify any existing Disposition Schedules to use the automatic destruction functionality.
 - [Replace phase in schedule that uses regular Destroy action with Auto Destroy action.](#)

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Figure 3-16. Set up automatic destruction

F1751.0

Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Running Disposition Sweep for an Auto Destroy action
- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Creating a file plan > Defining a disposition schedule
- Search for "Update schedules to use auto destroy"
- Search for "Modifying a disposition schedule"

Configure automatic destruction

Auto Destroy configuration interface

- Select Auto Destroy action type.

| Property | Value |
|---------------------|---------------------|
| * Action Name | Auto Destroy Action |
| Action Description | |
| * Action Type | Auto Destroy |
| Associated workflow | |

- Use Auto Destroy action in Disposition Schedule.

| Phase No. | Title | Phase Action | Phase Retention Period |
|-----------|-------------------|---------------------|-------------------------|
| 1 | Final Disposition | Auto Destroy Action | 1 Years 0 Months 0 Days |

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Figure 3-17. Auto Destroy configuration interface

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Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Creating a file plan > Adding an action

The diagram shows the user interface for selecting Auto Destroy action type and using Auto Destroy action in Disposition Schedule.

When you select Auto Destroy for the Action Type, the Associated Workflow field is disabled.

Assign the Enterprise Records action to a phase in the Disposition Schedule.

Configure automatic destruction

Run an Auto Destroy process



- Steps to automatically destroy entities:
 1. Define an Auto Destroy action.
 2. Run Disposition Sweep to process disposition for the schedule (prior to Auto Destroy).
 3. At end of disposition period, run Disposition Sweep again with **autodelete** parameter to automatically destroy the records.


```
RecordsManagerSweep -DispositionSweep -autodelete  
[-profile "profile name"]
```
 4. Verify the activity log for the Disposition Sweep.
- Auto Destroy process
 - No user interface is displayed.
 - Records are automatically destroyed, without requiring approval.
 - Disposition Sweep calls the bulk destroy API and logs the results.

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Figure 3-18. Run an Auto Destroy process

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Running Disposition Sweep for an Auto Destroy action

Running Disposition Sweep with the **autodelete** parameter performs **only** the Auto Destroy function. No disposition processing is done. Disposition processing is done when the regular Disposition Sweep command is issued.

Configure automatic destruction

Disposition Sweep for an Auto Destroy action



- Disposition Sweep for an Auto Destroy action
 - Deletes the records that are marked for Auto Destroy immediately.
 - Unfiles the record from the container that is targeted by the sweep (for a record that is filed in multiple locations).
 - Leaves the record in other containers that are not associated with the sweep.
 - Requires that the records are already tagged with an Auto Destroy action.
 - Requires the Disposition Schedule to use Auto Destroy value in the Phase properties.

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Figure 3-19. Disposition Sweep for an Auto Destroy action

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Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Running Disposition Sweep for an Auto Destroy action

Configure automatic destruction

Auto Destroy report

- 
- Disposition Sweep is enhanced to generate reports:
 - Reports contain a list of entities that are due for Auto Destroy.
 - Reports are saved as text files in the RecordsManagerSweep folder.
 - Command:
 - `RecordsManagerSweep -DispositionSweep -Autodelete "auto destroy due date" [-o "output filename"] [-profile "profile name"]`
 - output filename
 - The name of a file where Disposition Sweep saves the output of the report.
 - Defaults to report.txt if parameter value not defined.

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Figure 3-20. Auto Destroy report

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Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Running Disposition Sweep
- Command for UNIX:

```
./RecordsManagerSweep.sh -DispositionSweep -Autodelete "auto destroy due date" [-o "output filename"] [-profile "profile name"]
```
- Command for Windows:

```
RecordsManagerSweep.bat -DispositionSweep -autodelete "auto destroy due date" [-o "output filename"] [-profile "profile name"]
```


auto destroy due date

A specific date on which entities are due to be auto destroyed. The format of the date parameter is determined by localization. The format must be "JULY 25, 2011", 07-25-2011, or 07-25-11, depending on how the local environment is set up. Use quotation marks if there are spaces in the parameter values.


profile name

If you are generating a report with multiple profiles, you need to provide a *profile name*. Profile names are composed of characters, numbers, periods, underscores, or dashes and are constrained by what is allowed as a file name on the current operating system. In addition, file names cannot contain two or more consecutive periods.

The default profile is used if no value is provided.

Configure automatic destruction

Auto Destroy transcript

- 
- Format for Auto Destroy transcript file:
 - "AutoDestroy" plus the date and time to run auto destroy.
 - Example: AutoDestroy_2011_12_3_14_13_30.log
 - Information provided in the transcript file:
 - Time
 - RM entity type (record or container)
 - ID
 - Success or Failure of the deletion (including the reason for failure)
 - Location of the transcript file:
 - <Installation location>\RM\RecordsManagerSweep folder.
 - Performance:
 - Run the Disposition Sweep command without generating a transcript file to minimize impact.

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Figure 3-21. Auto Destroy transcript

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Running disposition Sweeps > Running Disposition Sweep for an Auto Destroy action

By default, Disposition Sweep for an Auto Destroy action generates a transcript file with the name "AutoDestroy" plus the date and time to run Auto Destroy.

For example, if you run RecordsManagerSweep.bat -DispositionSweep -autodelete on 12/03/2011 at 14:13:30, then the AutoDestroy_2011_12_3_14_13_30.log file is located in the RecordsManagerSweep folder.

Performance

No other entity information can be added or customized to minimize impact on performance.

Generating an Auto Destroy transcript can cause some performance degradation.

The following command can run Disposition Sweep without generating a transcript file

UNIX:

```
./RecordsManagerSweep.sh -DispositionSweep -autodelete -notranscript  
[-profile "profile name"]
```


Windows:

```
RecordsManagerSweep.bat -DispositionSweep -autodelete -notranscript  
[-profile "profile name"]
```

Note: When the record deletion succeeds and because the transcript shows only the GUID, there is no way to get any detailed information about the deleted record. Therefore, run and save an Auto Destroy report before running the autodelete with transcript.

Configure automatic destruction

Activities



In your Student Exercises

- Unit: IBM Enterprise Records 5.1: System Maintenance
- Lesson: Configure automatic destruction
- Activities:
 - Configure automatic destruction of records.

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Figure 3-22. Activities

F1751.0


Notes:

Use your Student Exercises to perform the activities listed.

Lesson 3.3. Configure automatic volume creation

Lesson:

Configure automatic volume creation



Why is this lesson important to you?

- 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.

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Figure 3-23. Configure automatic volume creation

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Notes:

Configure automatic volume creation

Activities that you need to complete

- Configure automatic volume creation.

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Figure 3-24. Activities that you need to complete

F1751.0

Notes:

Configure automatic volume creation

Auto Volume Creation workflow

- 
- A sample workflow is provided in the IBM Enterprise Records installation package.
 - Workflow allows volumes to be automatically created.
 - Daily, weekly, or monthly in multiple record folders.
 - File is located in the <Installation>\Samples\Workflow folder.
 - Name of the file: AutoVolumeCreation.pep.
 - Launch the workflow from Application Engine or Workplace XT:
 - Auto Volume Creation request is displayed as a work item.
 - The work item is in the Tasks >RecordsManagerApproval Public Inbox.
 - A Records Manager or Records Administrator can process the work item.

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Figure 3-25. Auto Volume Creation workflow

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > (Optional) Configuring IBM Enterprise Records after installation > Installing the Auto Volume Creation workflow

Configure automatic volume creation

Install Auto Volume Creation workflow



- Do the following steps to install the workflow from Workplace:
 1. Verify that the workflow file exists in the IBM Enterprise Records installation directory.
 2. Sign in to Application Engine (Workplace) with an account that is a member of the PWDesigner access role.
 3. Open the Author > Advanced Tools > Process Designer.
 4. Open the /Samples/Workflow/*filename*.pep file.
 5. Validate and transfer the *filename*.pep file.
 6. Add the file to the Root Folder/Records Management/Workflows folder in the FPOS.

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Figure 3-26. Install Auto Volume Creation workflow

F1751.0

Notes:

Help paths

- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > (Optional) Configuring IBM Enterprise Records after installation > Installing the Auto Volume Creation workflow
- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > (Optional) Configuring IBM Enterprise Records after installation > Installing the Auto Volume Creation workflow > Installing the sample workflow in Application Engine
- IBM FileNet P8 Version 5.1 Information Center > Installing additional IBM FileNet P8 products > IBM Enterprise Records Installation and Upgrade > (Optional) Configuring IBM Enterprise Records after installation > Installing the Auto Volume Creation workflow > Installing the sample workflow in Workplace XT

After installing and configuring IBM Enterprise Records, you can install and transfer the Auto Volume Creation sample workflow, AutoVolumeCreation.

Configure automatic volume creation

Set properties for auto volume creation



- Complete the following steps to set properties for the volume creation work item:
 - Select the date and time to start the recurring workflow.
 - Enter the frequency to run the recurring workflow.
 - Set the properties for the new volumes.
 - Prefix_VolumeName (optional)
 - Reviewer. Required property
 - VitalRecordIndicator (optional)
 - VitalRecordReviewAction (optional)
 - VitalRecordReviewandUpdateCycle (optional)
 - Select the parent folders where the workflow will create the volumes.

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Figure 3-27. Set properties for auto volume creation

F1751.0

Notes:

Help path

- Refer to the Readme - Auto Volume Creation workflow.pdf file located in <installation Directory>\Samples\Workflow folder.
- In the student system, it is located in C:\Program Files\IBM\EnterpriseRecords\Samples\Workflow folder.

Complete the following instructions to set properties for volume creation:

Select the date and time to start the recurring workflow.

The workflow will start creating volumes at the next interval after this starting date. For example, if the start is set as August 31, 2011, 23:00:00, and Frequency Month is set as 1, Frequency Year and Frequency Day are 0, then the first volume creation time will be September 31, 2011, 23:00:00. If the date is already in the past, the workflow creates make-up volumes for the time passed between the launch date and start date.

Enter the frequency to run the recurring workflow.

Frequency can be set by the day, month, or year. It must be a whole, positive number.

Set the properties for the new volumes:

- a. Prefix_VolumeName (optional). If it is null, the system uses the default volume naming pattern. Otherwise, the volume name will be Prefix_VolumeName plus volume creation date and time in UTC in format [YYYY][MM][DD]T[hh][mm][ss]Z (for example, 20110521T054531Z).
- b. Reviewer. Required property. The default value is the workflow originator.
- c. VitalRecordIndicator (optional). Set to True if you are setting a value for a vital records volume. The default value is False.
- d. VitalRecordReviewAction (optional). Enter the ID of vital record review action. This field is required if VitalRecordIndicator is True.
- e. VitalRecordReviewandUpdateCycle (optional). Enter the ID of the recurring event trigger. This field is required if VitalRecordIndicator is True.

Select the parent folders where the workflow will create the volumes.

Configure automatic volume creation

Parameter validation error – troubleshooting



- Workflow verifies the provided property values after Set Properties step is complete.
 - If there is a parameter validation error, the volume creation process stops.
 - RecordsManagerApproval queue receives a notice for Verification Failure Review.
 - The work item contains the properties verification errors in the value of the ParameterVerifyResult property.
 - Step has the options for you to modify the values or stop the workflow.

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Figure 3-28. Parameter validation error - troubleshooting

F1751.0

Notes:

Help path

- Refer to the Readme - Auto Volume Creation workflow.pdf file located in <installation Directory>\Samples\Workflow folder.
- In the student system, it is located in C:\Program Files\IBM\EnterpriseRecords\Samples\Workflow folder.

Configure automatic volume creation

Auto Volume Creation – troubleshooting



- Auto Volume Creation failure:
 - If a failure occurs during volume creation, the process continues.
 - The RecordsManagerApproval queue receives a notice.
- Troubleshooting steps:
 - Review the volume creation errors.
 - Manually create the missed volumes.
- Example scenario:
 - The failure occurs if the Record Folder is set to Inactivate.
 - Activate the folder and create the missed volume manually.

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Figure 3-29. Auto Volume Creation - troubleshooting

F1751.0

Notes:

Help path

- Refer to the Readme - Auto Volume Creation workflow.pdf file located in <installation Directory>\Samples\Workflow folder.
- In the student system, it is located in C:\Program Files\IBM\EnterpriseRecords\Samples\Workflow folder.

Configure automatic volume creation

Pause, restart, or terminate the auto volume creation



- Use the Process Administrator tool to manage the process.
- Set the value of HaltAutoProcess property of the work item:
 - True to pause the process.
 - False to restart the process.
- From the Tasks menu, select Delete Work to terminate the process.

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Figure 3-30. Pause, restart, or terminate the auto volume creation

F1751.0

Notes:

Help path

- Refer to the Readme - Auto Volume Creation workflow.pdf file located in <installation Directory>\Samples\Workflow folder.
- In the student system, it is located in C:\Program Files\IBM\EnterpriseRecords\Samples\Workflow folder.


Steps to manage the auto volume creation process:

1. Launch Process Administrator.
 - From Application Engine, select the Admin tab and click Process Administrator.
 - From Workplace XT, navigate to Tools > Administration > Process Administrator.
2. Search 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.
- 3. Set the value of HaltAutoProcess to True to pause the process.
- 4. Set the value of HaltAutoProcess to False to restart the process.
- 5. From the Tasks menu, select Delete Work to terminate the process.

Configure automatic volume creation

Activities



In your Student Exercises

- Unit: IBM Enterprise Records 5.1: System Maintenance
- Lesson: Configure automatic volume creation
- Activities:
 - Configure automatic volume creation.

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Figure 3-31. Activities

F1751.0


Notes:

Use your Student Exercises to perform the activities listed.

Lesson 3.4. Configure auditing

Lesson:

Configure auditing



Why is this lesson important to you?

- Your company policy is to destroy video records on schedule and to provide proof that the records were destroyed. You need to show the audit log that proves that the records were destroyed on schedule to someone from the legal department .
- 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.

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Figure 3-32. Configure auditing

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Notes:

Configure auditing

Activities that you need to complete

- Configure auditing.

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Figure 3-33. Activities that you need to complete

F1751.0

Notes:

Configure auditing

Auditing in IBM Enterprise Records



- Auditing is enabled for certain predefined IBM Enterprise Records events:
 - Events that are performed on the Records entities
- Additional Records events can be audited using regular Content Engine system auditing.
 - Example: Record-level auditing
- Records auditing is enabled at the object store level using Enterprise Manager.
- Auditing is either on or off for these predefined IBM Enterprise Records events.
- Auditing generates read-only audit logs.

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Figure 3-34. Auditing in IBM Enterprise Records

F1751.0


Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing

Configure auditing

Objects and actions that can be audited

- 
- Entities that can be audited using the RM Audit custom event class:
 - Category, Folder, Volume, and Record
 - Entities that are automatically enabled:
 - Category, Folder, and Volume
 - Record-level auditing must be manually enabled using standard Content Engine system auditing.
 - RM Audit events that are automatically audited when any auditing is enabled:
 - Delete
 - Relocate
 - Destroy
 - Transfer
 - Interim Transfer
 - Export
 - Review (in a disposition phase)

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Figure 3-35. Objects and actions that can be audited

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing

Category, Folder, and Volume auditing is automatically enabled when any auditing is enabled on a file plan object store.


Auditing at the Record level must be manually enabled using standard Content Engine system auditing on each of the Record classes, because it can impact performance.

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.

Destroying a record is not the same thing as deleting it. In order to destroy a record, the record must go through a destruction disposition phase.

Configure auditing

Information provided by audits

- 
- When you enable and configure audit logging on an object store, the system generates audit log entries.
 - These entries exist as a table in a database in the object store.
 - The audit log stores the following information:
 - The entity on which the action is performed
 - The user performing the action
 - The date and time of the action
 - Whether the action succeeded or failed
 - The reason for performing the action (RM Audit events only)

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Figure 3-36. Information provided by audits

F1751.0

Notes:**Help path**

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing

Configure auditing

RM Audit events



- Import an IBM Enterprise Records data model into an object store.
 - The RM Audit event is added to the object store.
 - The event is automatically subscribed to RecordCategory, RecordFolder, and Volume classes.
 - Can manually configure this event for the Record class.
- The RM Audit event records an audit entry whenever any of the following actions are performed on an entity:
 - Delete
 - Relocate (does not apply to volumes)
 - Destroy
 - Transfer
 - Interim Transfer
 - Export
 - Review (in a Disposition phase)

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Figure 3-37. RM Audit events

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing


When an IBM Enterprise Records data model is imported into an object store, the RM Audit event is added to the object store. In addition, the event is automatically subscribed to for the RecordCategory, RecordFolder, and Volume classes of an FPOS, and you can manually configure this event for the Record class. Note, however, that auditing is not automatically enabled for the object store.

In addition to recording audit events for the IBM Enterprise Records actions that are listed in the page, you can configure auditing for the system events supplied with Content Engine.

For more information on the list of system events, refer to the documentation.

Configure auditing

Auditing features

- 
- Audit specific events
 - Example: An entity is created, moved, or destroyed.
 - Specify which types of entities should be audited.
 - Example: Record Categories
 - Search for and display audit events.
 - Your search can include all audit events or a subset.
 - Examine the audit events generated for a specific entity.
 - Generate and print reports on user activity.
 - Create custom audit history reports.
 - Declare a snapshot of audit events as an IBM Enterprise Records record.
 - All or a subset of audit events

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Figure 3-38. Auditing features

F1751.0

Notes:**Help path**

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing

Configure auditing

Enable audits for record objects



- Task overview
 - Enable RM Event auditing on the FPOS.
 - Add audit definitions to selected IBM Enterprise Records classes in Enterprise Manager.
- Optional
 - Add system audit events to selected Document classes on the RDOS.
 - Example: If you are interested in logging the Get Content event, you need to audit the Document class on the RDOS.

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Figure 3-39. Enable audits for record objects

F1751.0

Notes:**Help path**

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing

Configure auditing

Enable audits for documents



- The records manager is interested in auditing not only the records but also the source documents:
 - Information about when the document content is retrieved.
 - Confirmation when the document content is deleted.
- To audit events on IBM Enterprise Records entities, enable auditing on the FPOS that contains the entities.
- To audit events on declared documents, enable auditing on the RDOS that contains the documents.

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Figure 3-40. Enable audits for documents

F1751.0

Notes:**Help path**

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Enabling or disabling auditing

Steps to audit:

1. Log on to Enterprise Manager as System Administrator.
2. Expand the node of the object store for which you want to configure audit events.
3. Navigate to the class you want to configure
 - a. For the Record Category class, navigate to Other Classes > Folder > RMFolder > Record Category.
 - b. For the Record class, navigate to Document Class > Record.
4. Right-click the class and click Properties.
5. Click the Audit Definitions tab.

6. From the Event list, select the event that you want to set and then select Success, or Failure, or both to specify if you want to log successful or failed actions. **Note:** To audit Transfer and Destroy events, select RMAudit.
7. Select “Apply to subclasses” if you want the event to also be configured for subclasses of this class.
8. Click Add.
9. Repeat steps 5 and 6 for each event that you want to configure for the class.
10. Click Apply and then click OK to save the changes made.

Configure auditing

Hold and Remove Hold auditing on entities



- Hold auditing uses the following mechanisms:
 - The standard Content Engine audit mechanism.
 - RMAudit event - to record an audit entry like other IER actions such as Delete, Relocate, Destroy.
- Do the following steps to configure Hold auditing:
 - Configure RMAudit event on class (Record, Record Category, RecordFolder, Volume).
 - Enable auditing for Object Store.
- View the audit log entries using the following methods:
 - Use Enterprise Manager.
 - Use the IBM Enterprise Records History View.
 - Use the IBM Enterprise Records Reports.

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Figure 3-41. Hold and Remove Hold auditing on entities

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Enabling or disabling auditing

IER data model automatically subscribes the RMAudit event for RecordCategory, RecordFolder and Volume classes.


View the audit log entries using the following methods:

- Using Enterprise Manager:
 - Use Content Engine Query Builder to search for RMAudit object.
 - Specify the search criteria to include Audit Action Type with the condition Equal To Hold or Remove Hold.
- Using the IBM Enterprise Records History View:
 - Click the History link of an information page, and then select the check box for RM Audit event.

- Using the IBM Enterprise Records Reports:

Configure auditing

Activities



In your Student Exercises

- Unit: IBM Enterprise Records 5.1: System Maintenance
- Lesson: Configure auditing
- Activities:
 - Configure auditing.

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Figure 3-42. Activities

F1751.0


Notes:

Use your Student Exercises to perform the activities listed.

Lesson 3.5. View and export audit logs

Lesson:

View and export audit logs



Why is this lesson important to you?

- 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.

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Figure 3-43. View and export audit logs

F1751.0

Notes:

View and export audit logs

Activities that you need to complete

- View and export audit logs.

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Figure 3-44. Activities that you need to complete

F1751.0

Notes:

View and export audit logs

View audit history

- View audit entries for an entity using the History view in the Information page on the entity.



The screenshot shows the IBM InfoSphere Enterprise Records interface. The top navigation bar includes 'Browse', 'Search', 'Disposition', 'Physical', 'Reports', and 'Configure'. The left sidebar contains 'Record Information' (with links for Properties, Vital Record, Security, Filed In, Detail, Links, History, and Holds) and 'Actions' (with File and Copy options). An orange arrow points to the 'History' link in the sidebar. The main content area displays 'Record: order 39022' and 'History Events: Show Criteria'. Below this is a table of events.

| Event Name | Action Type | Event Date ▼ |
|----------------|-------------|-----------------|
| Update Event ⓘ | | 12/3/10 7:11 PM |
| Update Event ⓘ | | 12/3/10 7:09 PM |
| Update Event ⓘ | | 12/3/10 7:06 PM |

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Figure 3-45. View audit history

F1751.0

Notes:

The diagram shows the Information page and History view for a record entity.

View and export audit logs

View audit logs for destroyed records



- View audit logs in Content Engine Enterprise Manager.
 - Use the auditing-related Saved Searches that are included.
 - Run a new search using the Query builder.
- Audit data for the RM Audit event class is stored in a database table called RM Audit.
 - This table is separate from the Events table where all other Content Engine audit events are stored.

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Figure 3-46. View audit logs for destroyed records

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing

Although the records are destroyed, you can still obtain audit information about them. Audit data for the IBM Enterprise Records RM Audit event class is stored in a database table called RM Audit. This table is separate from the Events table where all other Content Engine audit events are stored. You can view the Audit Log using Enterprise Manager to search the RM Audit table or the Events table for audited events that have occurred in the object store.

View and export audit logs

View audit event properties

- View the audit properties for an event using the Information page on the event.



The screenshot shows the IBM InfoSphere Enterprise Records interface. The top navigation bar includes the IBM logo, the title 'InfoSphere Enterprise Records', and a user/role indicator 'Administrator | Friday, December 3, 2010'. Below this is a secondary navigation bar with links: 'Browse', 'Search', 'Disposition', 'Physical', 'Reports', and 'Configure'. The main content area is divided into a left sidebar and a right pane. The sidebar has a tab labeled 'Information' and a sub-tab 'RM Audit Properties'. The right pane displays the event details for 'RM Audit'.

Event: **RM Audit**

Folder:  **Current policies**

| Modified Properties | Value |
|---------------------|--|
| Audit Action Type: | Relocate |
| Reason For Action: | Another management decision |
| Description: | RM entity 'Current policies' moved from source '/Reco destination '/Records Management/File Plan/Human F |
| Event Status: | Success |

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Figure 3-47. View audit event properties

F1751.0

Notes:

The diagram shows the Information page of RM Audit event.

View and export audit logs

Metadata filtering



- You can filter the History view to show only the metadata that you are interested in.
- Do the following steps to enable metadata filtering:
 1. Enable auditing on the object store in Enterprise Manager.
 2. Add events to be audited to the class.
 3. In IBM Enterprise Records, click **Configure > Audit Configuration**.
 4. Select the properties for the object class that you want to display in the History page.
- Only authorized users (IBM Enterprise Records Administrators by default) can enable metadata filtering.

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Figure 3-48. Metadata filtering

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing

By default, the History page shows all metadata Update events. However, at times, the records manager wants to view only events that pertain to a particular property. To allow this, you must enable the Meta Data Filter.

You can filter the History view to show only the metadata that you are interested in.

Example: You want to see Update events on the Record Status property of Record class objects only.

To enable metadata filtering, do the following:

- a. Enable auditing on the object store.
- b. Use Enterprise Manager to add events to be audited to the class.
 - i. Add “Update” event to audit changes made to the object metadata.

- c. In IBM Enterprise Records, click Configure > Audit Configuration.
 - i. Select the properties for the object class that you want to display in the History page.

View and export audit logs

Export audit logs



- You can use the Content Engine Query Builder to export audit logs to an XML file.
 - The XML file can be used in a reporting tool.
 - The XML file can be used to create a new document that is declared as a record.
- To export audit logs:
 - Search for desired audit log entries with the Add to Export Manifest action selected.
 - Verify that the XML file contains the objects to be exported.
 - Optional: Rerun the same search with the Delete Objects action selected to remove the audits from the system.
- You can also export the information to either a tab-separated value or comma-separated value (CSV) text file, which can be opened as a spreadsheet.

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Figure 3-49. Export audit logs

F1751.0

Notes:

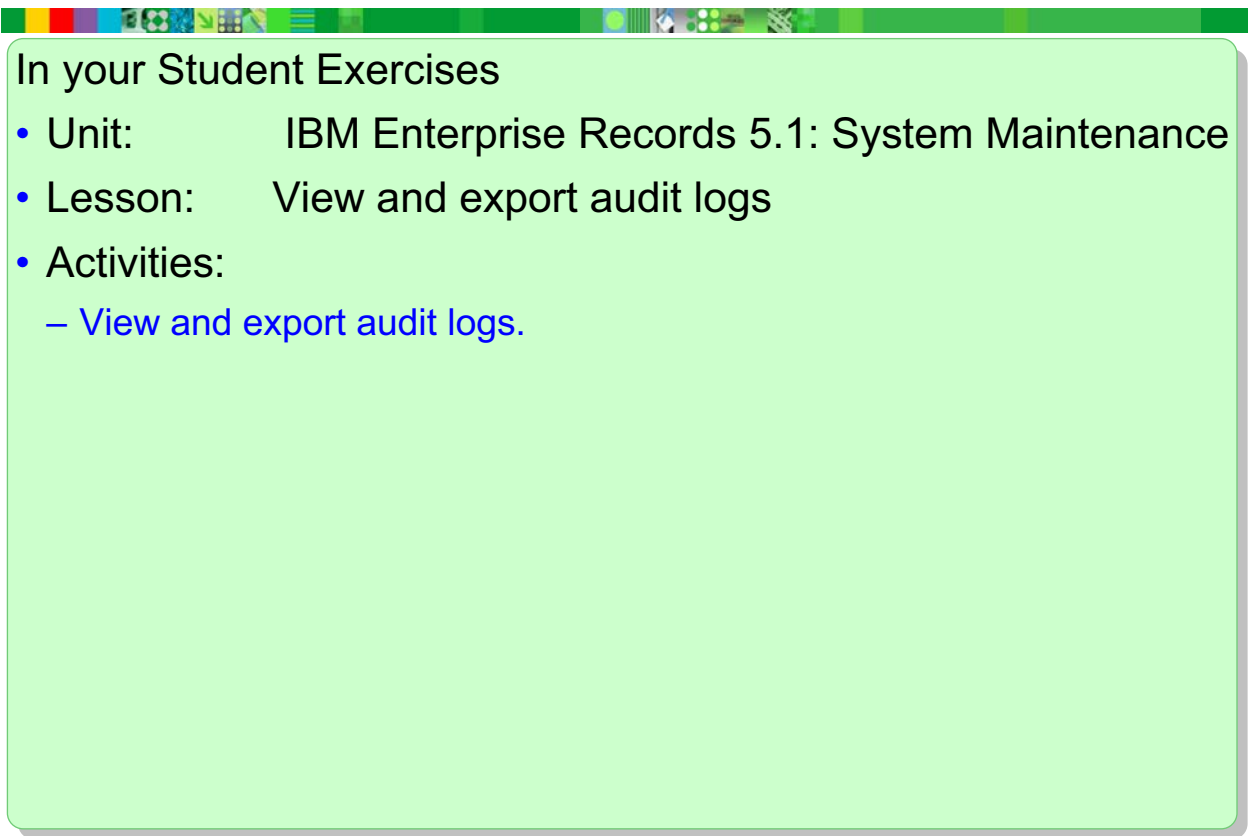
Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Performing auditing tasks > Auditing

You might be required to save old audit logs for legal reasons. One technique is to export them to an XML file and then delete them from the local system. Normally, you do this for audit logs older than some specified date. Because the RM Audit event is an object, you can use the DateCreated property to indicate the date when that event took place.

View and export audit logs

Activities



In your Student Exercises

- Unit: IBM Enterprise Records 5.1: System Maintenance
- Lesson: View and export audit logs
- Activities:
 - View and export audit logs.

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Figure 3-50. Activities

F1751.0


Notes:

Use your Student Exercises to perform the activities listed.

Lesson 3.6. Manage record metadata

Lesson:

Manage record metadata



Why is this lesson important to you?

- 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 then 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.

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Figure 3-51. Manage record metadata

F1751.0

Notes:

Manage record metadata

Activities that you need to complete

- Manage record metadata.

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Figure 3-52. Activities that you need to complete

F1751.0

Notes:

What is retained metadata?



- When an entity is deleted, it is permanently removed from the object store.
 - Default option
- For compliance, companies must retain metadata of the deleted entities.
- The system administrator can configure the system:
 - To retain the metadata for each deleted entity
- If you have enabled retain metadata, following is the status of an entity when it is deleted:
 - Logically deleted from the system.
 - Not visible in the IBM Enterprise Records application.
 - Continues to persist in the object store.
 - The Is Deleted property value is set to True.

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Figure 3-53. What is retained metadata?

F1751.0

Notes:

Help path

- Search for "Retain metadata".

If a container is deleted and the system is configured to retain metadata, then the metadata of any contained entities is also retained with one exception: if the contained entity is a record and the record is filed in more than one container, then the record is simply unfiled from the deleted container.

You configure the retain metadata option at the file plan level, so the configured setting applies to all entities in the file plan. Note that all metadata for an entity is retained, including metadata that specifies links and any audit log entries. The system administrator can export these deleted entities and all their metadata for historical purposes, and then permanently delete the entities from the object store.

Manage record metadata

Reasons to retain metadata



- Use metadata to verify the following facts:
 - The entity existed at one time.
 - The entity has been destroyed or deleted.
- Export retained metadata for the following reasons:
 - Backup
 - Retained metadata requests from a records manager
- Archive the retained metadata of deleted entities.
 - After archival, you can remove the metadata from the production system.

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Figure 3-54. Reasons to retain metadata


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Notes:**Help path**

- Search for "Retain metadata".

Manage record metadata

Enable metadata retention

- 
- Retain metadata in Content Engine Enterprise Manager
 - Retain Metadata is a property of a file plan object.
 - A file plan is a folder under the Root Folder > Records Management > File Plan folder in file plan object store.
 - Configure retaining metadata
 - Set the Retain Metadata property value:
 - Property value = 1 means do not retain metadata (disabled).
 - Property value = 0 means retain metadata (enabled).
 - By default, the value is set to 1.

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Figure 3-55. Enable metadata retention

F1751.0

Notes:**Help path**

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Configuring IBM Enterprise Records system > Configuring retaining metadata

Values for the Retain Metadata property:

1 —Specifies that the system must delete both the record metadata and the declared document.

0 — Specifies that the system must retain metadata for deleted documents.

Manage record metadata

View retained metadata of a deleted entity



- Search for deleted entities.
 - Use Query Builder in Content Engine Enterprise Manager application.
 - Select IsDeleted = TRUE for the search criteria condition.
- View the retained metadata for an entity.
 - Search displays all the deleted entities belonging to the selected type.
 - View the properties for the entity.
- IBM Enterprise Records can also be used to view the metadata that is retained.
 - Use the Search feature.
 - Select IsDeleted = TRUE for the search criteria condition.
 - Click the Get Info icon of an entity (from the results) that you want to view.

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Figure 3-56. View retained metadata of a deleted entity

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Configuring IBM Enterprise Records system > Exporting retained metadata

When an entity is deleted, you can view its retained metadata if you have configured the option to retain metadata.


To view retained metadata for deleted entities:

1. Click the Search tab.
2. Select the appropriate type of search based on the entity whose retained metadata you want to view.
3. Select the Is Deleted property. You might have to add it to the search criteria as follows:
 - a. Click Change.
 - b. Select Is Deleted from the list of the next available property.

- c. Click Accept Changes.
- 4. Specify True as the value for the Is Deleted property and click Search.
IBM Enterprise Records displays all the deleted entities belonging to the selected type.
- 5. Click the Get Info icon for the entity whose retained metadata you want to view.

Manage record metadata

Export retained metadata

- 
- Search logically deleted entities in Enterprise Manager.
 - Use the Query Builder.
 - Select the type of entity class for the export.
 - Select IsDeleted = TRUE for the search criteria condition.
 - Export the entities.
 - Select all the entities in the list from the details pane.
 - Perform the Add to Export Manifest task.
 - Perform the Export All Objects task on the Export Manifest folder.

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Figure 3-57. Export retained metadata

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Configuring IBM Enterprise Records system > Exporting retained metadata

If the retained metadata is requested by the records manager, you want to export the data so that it can be viewed.

Formats for the exported retained metadata



- XML format
 - Export the data to an XML file.
 - Use an XSL file to parse the XML information.
- Crystal Report
 - Display the information in a custom Crystal Report.
- Text format
 - Export the data to one of the following file formats to view as spreadsheets:
 - Tab-separated value text file
 - Comma-separated value (CSV) text file

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Figure 3-58. Formats for the exported retained metadata

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Notes:

Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Configuring IBM Enterprise Records system > Exporting retained metadata

The XML output from the retained metadata export is not easy to read. For this reason, you need to present this information in a more meaningful format.

Option 1. Have a programmer create an XSL file to parse the output.

Option 2. Use Crystal Reports to display this information.

Option 3. Export the list in text format. You are going to use this option for the lab exercise.

Manage record metadata

Delete retained metadata



- Search logically deleted entities in Enterprise Manager.
 - Use the Query Builder.
 - Select the type of entity class for the export.
 - Select IsDeleted = TRUE for the search criteria condition.
- Export the entities.
- Delete the entities.
 - Select all the entities in the list from the details pane.
 - Perform the Delete Objects bulk operation.

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Figure 3-59. Delete retained metadata

F1751.0

Notes:


Help path

- IBM FileNet P8 Version 5.1 Information Center > Working with documents > Records management > Configuring IBM Enterprise Records system > Exporting retained metadata

If you plan to permanently delete the entities that you just exported, do not perform another query or shut down Enterprise Manager until you have performed the delete operation, because you need to perform the delete operation on the same search result set that you generated for the export operation.

Manage record metadata

Activities



In your Student Exercises

- Unit: IBM Enterprise Records 5.1: System Maintenance
- Lesson: Manage record metadata
- Activities:
 - Manage record metadata.

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Figure 3-60. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Unit 4. IBM Enterprise Records 5.1: Automate Declaration

What this unit is about

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

What you should be able to do

After completing this unit, you should be able to:

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

How you will check your progress

- Successfully complete the lesson exercises.

References


IBM Enterprise Records 5.1 Information Center:

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

When searching for terms found in this book, be sure to search for the exact string shown, including quotation marks.

IBM Enterprise Records 5.1: Automate Declaration

Unit lessons



This unit contains these lessons:

- Declare records with event subscriptions
- Declare records with workflow

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Figure 4-1. Unit lessons

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Notes:

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

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

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

Lesson 4.1. Declare records with event subscriptions

Lesson

Declare records with event subscriptions



Why is this lesson important to you?

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

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Figure 4-2. Declare records with event subscriptions

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Notes:

Declare records with event subscriptions

Activities that you need to complete

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

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Figure 4-3. Activities that you need to complete

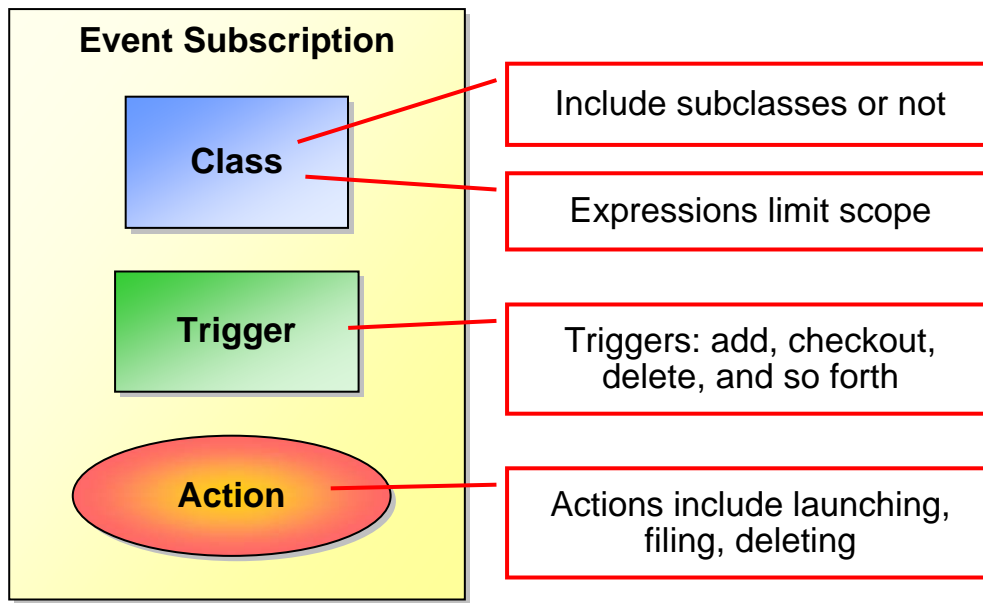
F1751.0

Notes:

Declare records with event subscriptions

Review: Event subscription parameters

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



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Figure 4-4. Review: Event subscription parameters

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Notes:

Help path

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

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

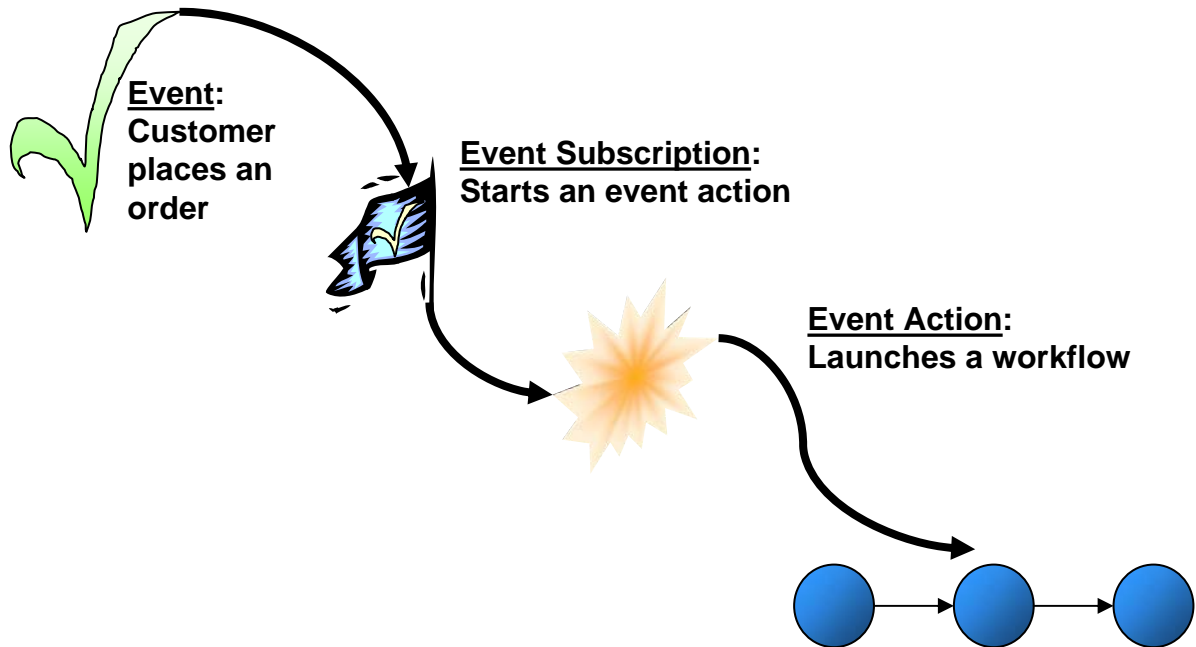
Some trigger examples are the following: Create, Check in, Check out, Update, Manual Delete, Promote version, and Demote version.

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

Declare records with event subscriptions

Review: Example event subscription

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



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Figure 4-5. Review: Example event subscription

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Notes:

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

Declare records with event subscriptions

RM event action files



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

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Figure 4-6. RM event action files

F1751.0

Notes:

Help path

- IBM FileNet P8 Version 5.0 Information Center > Working with documents > Working with records > Work with event handlers > Configure autodeclaration of records
- IBM Enterprise Records (IER) is an add-on component of the IBM FileNet P8 suite of products. You can use IBM Enterprise Records to manage records of any type, regardless of the storage media or format. Understanding IBM Enterprise Records depends on understanding what a record is and why you use a records management (RM) system. The prerequisite courses for this course cover IBM FileNet P8 and IER concepts.

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

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

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

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

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

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

Declare records with event subscriptions

Customize RMAutoDeclare.properties file



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

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Figure 4-7. Customize RMAutoDeclare.properties file

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Notes:

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

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

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

Declare records with event subscriptions

Configure the declaration properties

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

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Figure 4-8. Configure the declaration properties

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Notes:

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

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

Declare records with event subscriptions

Steps to automate record declaration



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

Example: Declare a record only when a document is added.

```
MajorVersionNumber=0 AND MinorVersionNumber=1 OR  
MajorVersionNumber=1 AND MinorVersionNumber=0
```

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Figure 4-9. Steps to automate record declaration

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Notes:

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

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

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

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

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

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

Declare records with event subscriptions

Declaration and synchronization

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

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Figure 4-10. Declaration and synchronization

F1751.0

Notes:

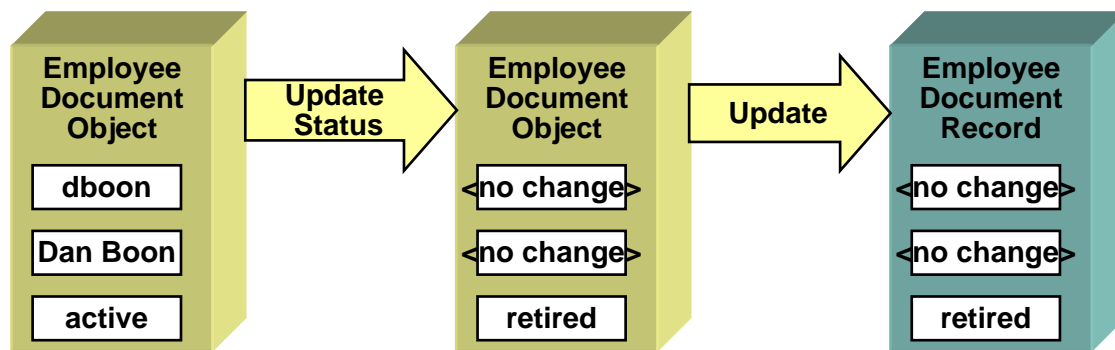
The `RMAutoDeclare` event does not synchronize custom properties between the document and record when you configure `RMAutoDeclare.properties` to declare records using a custom record class. `RMAutoDeclare` does synchronize two system properties of the default electronic record class: Document Title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

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

Declare records with event subscriptions

RMAutoSynchronizeProperties

- Event handler that synchronizes custom properties when they are updated
- You can configure property synchronization:
 - From document object to record object
 - From record object to document object
 - Not both ways
- Only for properties using the same symbolic name



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Figure 4-11. RMAutoSynchronizeProperties

F1751.0

Notes:

Help path

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

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

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

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

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

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

Declare records with event subscriptions

Bulk Declaration Service (BDS)



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

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Figure 4-12. Bulk Declaration Service (BDS)

F1751.0

Notes:

Help path

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

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

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

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

Declare records with event subscriptions

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
Automate Declaration
- Lesson: Declare records with event subscriptions
- Activities:
 - Create an event action and subscription to declare a record.

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Figure 4-13. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 4.2. Declare records with workflow

Lesson

Declare records with workflow

Why is this lesson important to you?

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

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Figure 4-14. Declare records with workflow

F1751.0

Notes:

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

Declare records with workflow

Activities that you need to complete

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

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Figure 4-15. Activities that you need to complete

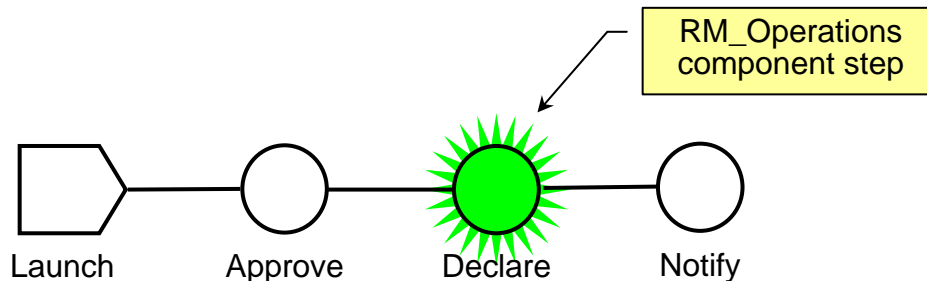
F1751.0

Notes:

Declare records with workflow

Declaration using a workflow step

- You can use a workflow step to automatically declare a record.
 1. Create a new or modify an existing workflow.
 2. Add a component step to the workflow to perform record declaration.
 3. Save and transfer the workflow.
- After the workflow is launched, the record is declared when the component step is processed.
- Other steps might occur before and after the component step is processed, such as an Approve step.



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Figure 4-16. Declaration using a workflow step

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Notes:

Help paths

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

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

Declare records with workflow

RM_Operations component queue



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

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Figure 4-17. RM_Operations component queue

F1751.0

Notes:

Declare records with workflow

RM_Operations parameters



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

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Figure 4-18. RM_Operations parameters

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Notes:

Help path

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

Declare records with workflow

Workflow fields



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

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Figure 4-19. Workflow fields

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Notes:

Help paths

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

Declare records with workflow

Example: Set a parameter value using a data field

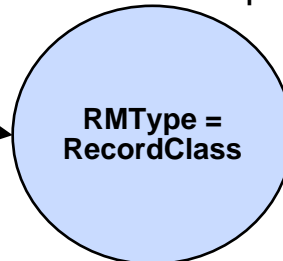
- RecordClass is a workflow data field.
- RMTYPE is an operation parameter in the Declare step.

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

**RecordClass =
"ElectronicRecordInfo"**

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

Declare step



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

**Class =
Electronic Record**

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

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Figure 4-20. Example: Set a parameter value using a data field

F1751.0

Notes:

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

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

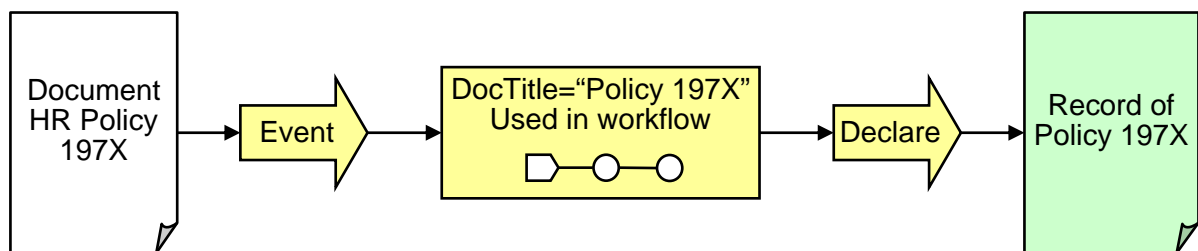
In the Declare step, you associate the data field RecordClass with the operation parameter RMTYPE, which the declareRecord component requires for record declaration. In this case, you set the RMTYPE parameter to get the value from the RecordClass data field. The value of RecordClass is "ElectronicRecordInfo".

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

Declare records with workflow

Using workflow subscriptions

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



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Figure 4-21. Using workflow subscriptions

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Notes:

Help paths

- IBM FileNet P8 Version 5.0 Information Center > Administering IBM FileNet P8 > Administering Content Engine > Events and subscriptions > Implementing workflow subscriptions
- IBM FileNet P8 Version 5.0 Information Center > Working with documents > Working with documents with Workplace > Tools > Workflow subscriptions > Workflow Subscription wizard

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

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

Declare records with workflow

Lesson exercise overview



- Create a Policy document class to use in a workflow subscription.
- Create a workflow definition.
 - Define workflow data fields and attachments with default values for record class and filing location.
 - Add an RM_Operations component step.
 - Assign workflow data fields to declareRecord component step parameters.
 - Save and transfer the workflow.
- Create a workflow subscription that launches the workflow.
 - Map the Policy document class properties to workflow data fields.
- Add a Policy document to the RDOS to test record declaration.

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Figure 4-22. Lesson exercise overview

F1751.0

Notes:

These are the tasks you perform in the lesson activity.

Declare records with workflow

Activities

In your Student Exercises

- Unit: IBM Enterprise Records 5.1:
Automate Declaration
- Lesson: Declare records with workflow
- Activities:
 - Create a workflow and workflow subscription to declare a record.

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Figure 4-23. Activities

F1751.0

Notes:

Use your Student Exercises to perform the activities listed.

Glossary

A

action

See disposition action.

aggregation

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

alternate retention

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

See also disposition schedule and disposition phase.

auto destroy

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

B

box

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

C

catalog

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

charge-out

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

charge-in

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

classification guide

Security classification guides (SCG) are available only in a DoD Classified data model. Persons with Original Classification Authority can delegate the authority to classify information by creating guidelines to be used by authorized derivative

classifiers. Only users assigned to the Classification Guide Administrator security role can create or modify security classification guides.

classified

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

compliance

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

conditional hold

See dynamic hold.

container

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

See folder.

cutoff

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

Cut Off workflow

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

D

data model

A template for a file plan object store, to be compliant with certain records management standards. The data model can include metadata and security features. When a new file plan object store is created, a data model must be chosen. Four data models are available:

Base: Satisfies the requirements of most corporations.

Department of Defense (DoD): Includes the properties required by version 2 of the DoD standard (DoD 5015.2)

Department of Defense Classified (DoD Classified): Includes the properties required by version 2 of the DoD Classified standard (DoD 5015.2) for managing classified records

Public Records Office (PRO): Includes the properties required by the PRO 2002 standard.

declare

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

declassification review sweep

See sweep processes.

default retention

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

destruction

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

discovery

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

disposal phase

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

disposition phase

See disposal phase.

disposition

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

disposition action

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

disposition hold

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

disposition schedule

Disposition instructions that specify how long to keep the entity and how to dispose of it. In IBM Enterprise Records, a disposition schedule has

one or more disposition phases. Disposition schedules are created in IBM Enterprise Records and associated with containers. The disposition schedule is inherited by all contained elements within the container, but applies only to the entity type specified by the aggregation.

disposition sweep

See sweep processes.

disposition workflow

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

See also disposition action.

document

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

dynamic hold

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

E

electronic record folder

A folder used for declaring records having electronic data.

entity

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

event

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

event action

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

event subscription

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

See also event action.

event trigger

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

external event

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

F**file plan**

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

file plan object store (FPOS)

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

FPOS

See file plan object store.

folder

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

H**hold**

See disposition hold.

hold sweep

See sweep processes.

I**IBM Enterprise Records**

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

interim transfer

Temporarily transfers records to some other

location. The original record remains in the IBM Enterprise Records system until final disposition occurs.

interim transfer workflow

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

internal event

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

N**naming pattern**

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

O**offset**

An optional time gap between the event trigger and cutoff.

P**permanent record**

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

phase

See disposal phase.

PhysicalContainer

A container used for declaring records for physical items.

physical record

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

physical record folder

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

predefined date event trigger

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

R**RDOS**

See record-enabled document object store.

record

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

record-enabled document object store (RDOS)

An object store that has been configured to allow record declaration. Electronic documents on an object store that is not configured as an RDOS cannot be declared as records.

Note: Do not confuse the RDOS and the FPOS. In *ecm_help* and in the *IBM Enterprise Records Installation and Upgrade* guide, RDOS is called ROS. For the IBM Enterprise Records courseware, the word *document* was added to emphasize the distinction between the RDOS, in which documents are stored, and the FPOS, in which record objects are stored.

record pattern

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

See *also* naming pattern.

records manager

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

records management system

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

records administrator

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

records reviewer

An IBM Enterprise Records security role (in the PRO data model), the duties of which include reviewing entities that are ready for disposition, declaring records, and performing basic

record-related operations, such as filing or copying records. In the DoD and Base data models, this person is called a Privileged User.

records user

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

retention period

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

retention schedule

See disposition schedule.

record types

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

recurring event

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

See *also* Vital records.

ROS

See record-enabled document object store.

S**screening workflow**

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

spoliation

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

sweep processes

Daemon processes that are scheduled to run at appropriate times in the business day. Sweeps carry out automatic operations, depending on their configurations.

Disposition Sweep calculates disposition-related properties, launches the Vital Review workflow,

and launches the Cut Off workflow where applicable. Disposition Sweep can optionally be configured to perform the auto destroy action.

Hold Sweep finds entities that satisfy the conditions for dynamic holds and applies the hold to those entities.

Declassification review sweep applies only to classified records for which the Declassify On Date or Declassify On Event values are not specified. IBM Enterprise Records uses the Default Declassification Timeframe to declassify these records.

sweep profile

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

T

transfer

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

transfer mapping file

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

trigger

See event trigger.

V

vital records

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

volume

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

W

workflow

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

following: screening, cutoff, and disposition actions.

workflow definition

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

Z

ZeroClick

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

