IBM

IBM Enterprise Records 5.1: Core Skills

(Course code F178)

Student Notebook

ERC 1.0

Trademarks

IBM® and the IBM logo are registered trademarks of International Business Machines Corporation.

The following are trademarks of International Business Machines Corporation, registered in many jurisdictions worldwide:

 FileNet®

Other product and service names might be trademarks of IBM or other companies.

Contents

Trademarks

The reader should recognize that the following terms, which appear in the content of this training document, are official trademarks of IBM or other companies:

IBM® and the IBM logo are registered trademarks of International Business Machines Corporation.

The following are trademarks of International Business Machines Corporation, registered in many jurisdictions worldwide:

 FileNet®

Other product and service names might be trademarks of IBM or other companies.

Course description

IBM Enterprise Records 5.1: Core Skills

Duration: 1 day

Purpose

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 knowledge and skills that are needed in more advanced IBM Enterprise Records courses.

Audience

Anyone who manages records using IBM Enterprise Records or administers an IBM Enterprise Records system.

Prerequisites

Either one of the following courses or equivalent experience:

F040 - IBM FileNet P8 Prerequisite Skills 4.5.

F141 - IBM FileNet P8 5.0 Prerequisite Skills using Workplace XT.

Skills taught

After completing this course, you should be able to:

- Declare and manage records using basic configurations.

Course outline

- 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

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:

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

Figure 1-1. Unit lessons   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-2. Lesson: Introduction to IBM Enterprise Records   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-3. Activities that you need to complete   F1781.0

Notes:

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

Introduction to IBM Enterprise Records
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

© Copyright IBM Corporation 2011

Figure 1-4. Records management compliance issues   F1781.0

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.

Introduction to IBM Enterprise 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

© Copyright IBM Corporation 2011

Figure 1-5. What is IBM Enterprise Records? F1781.0

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.

Figure 1-6. IBM Enterprise Records overview   F1781.0

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

© Copyright IBM Corporation 2011

Figure 1-7. IBM Enterprise Records capabilities (1)   F1781.0

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

© Copyright IBM Corporation 2011

Figure 1-8. IBM Enterprise Records capabilities (2)   F1781.0

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 a 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.
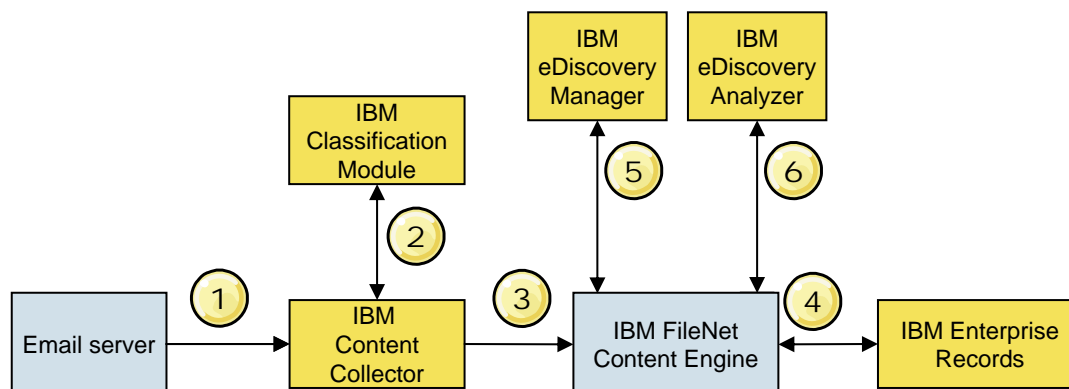
© Copyright IBM Corporation 2011

Figure 1-9. Example enterprise compliance solution   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-10. Activities   F1781.0

Notes:

Use your Student Exercises to perform the activities listed.

Lesson 1.2.   Explore a file plan

**Course materials may not be reproduced in whole or in part
without the prior written permission of IBM.**

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.

Figure 1-11. Lesson: Explore a file plan   F1781.0

Notes:

Explore a file plan

Activities that you need to complete

- Explore a file plan.

Figure 1-12. Activities that you need to complete   F1781.0

Notes:

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

Explore a file plan

What is a file plan?

File Plan
- Customer Support
  - Case retention
  - Order retention
- Human Resources
  - Current policies
    - Policy retention
  - Employee files
    - Employee file retention
- Legal
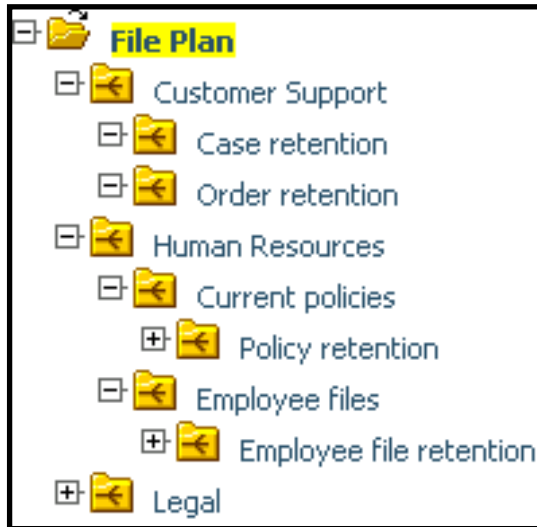
- A hierarchy of containers that defines the organization of records
  – The file plan determines the security, retention, and disposition of the records.
- Types of electronic containers:
  – Category
  – Folder
  – Volume
- Disposition schedules are configured on containers.
  – Disposition schedules apply to contained entities.

© Copyright IBM Corporation 2011

Figure 1-13. What is a file plan? F1781.0

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

	File plan	Contains	Categories	
	Category	Contains	Categories Folders Records	
	Folder	Contains	Volumes	
	Volume	Contains	Records	
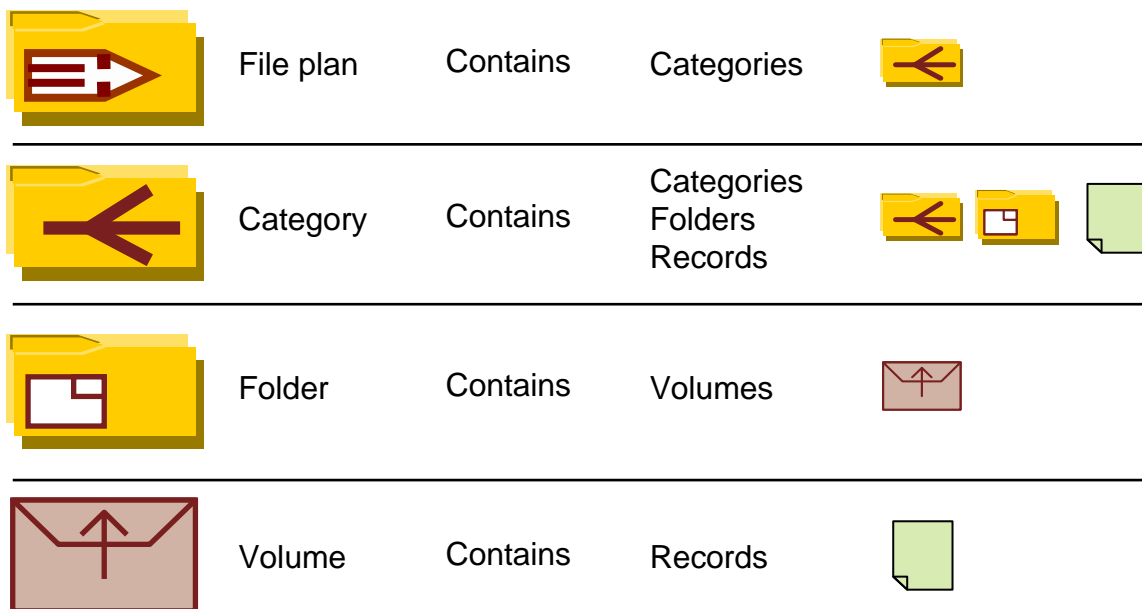
© Copyright IBM Corporation 2011

Figure 1-14. Containers in a file plan   F1781.0

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
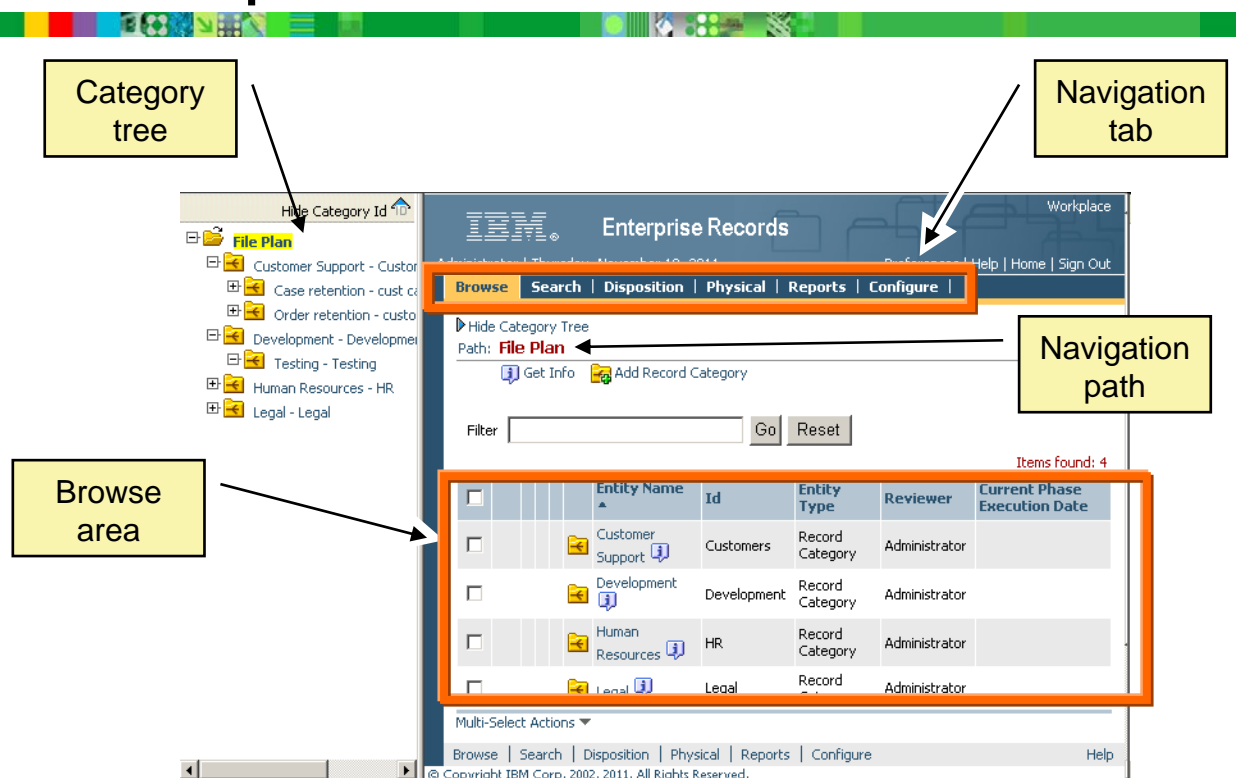
© Copyright IBM Corporation 2011

Figure 1-15. IBM Enterprise Records interface   F1781.0

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
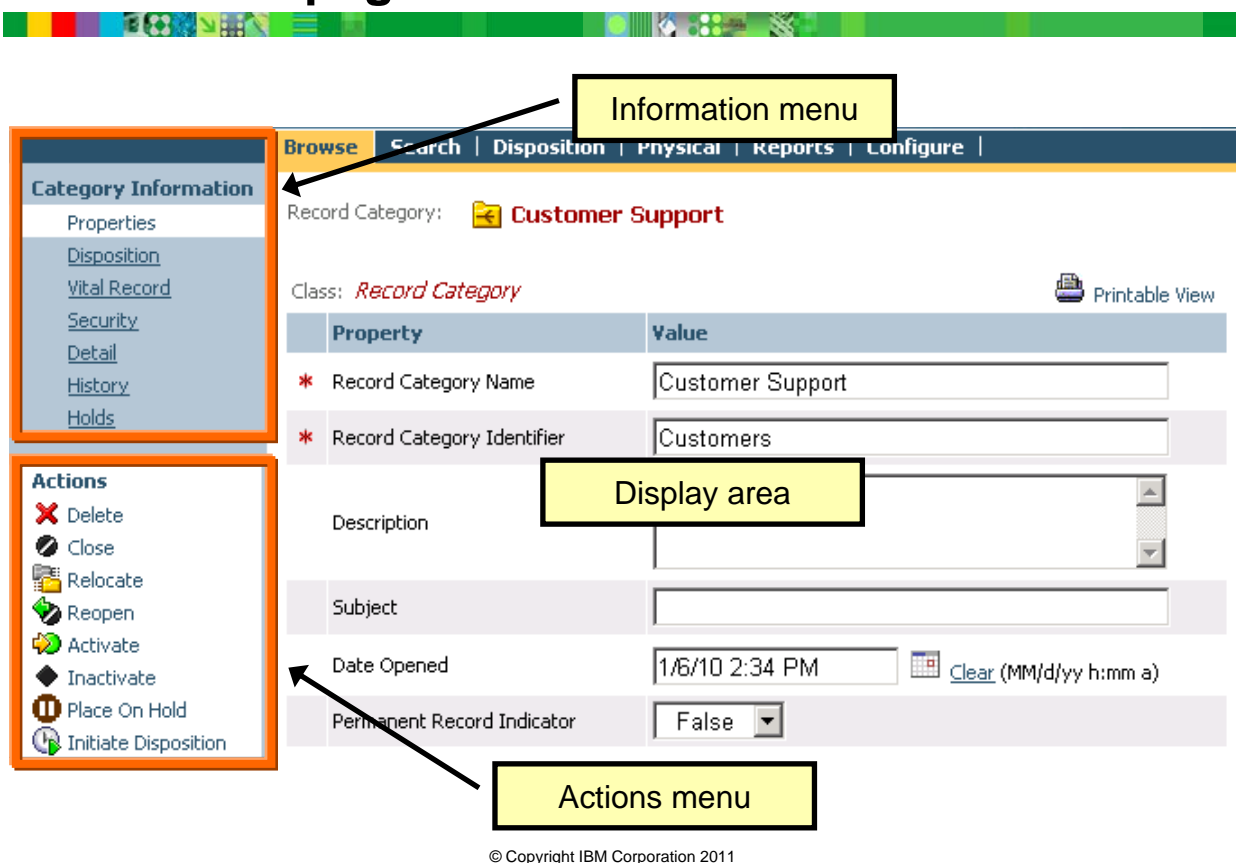
Figure 1-16. Information page   F1781.0

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.

Figure 1-17. What is disposition?   F1781.0

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.

Figure 1-18. What is a disposition schedule?   F1781.0

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
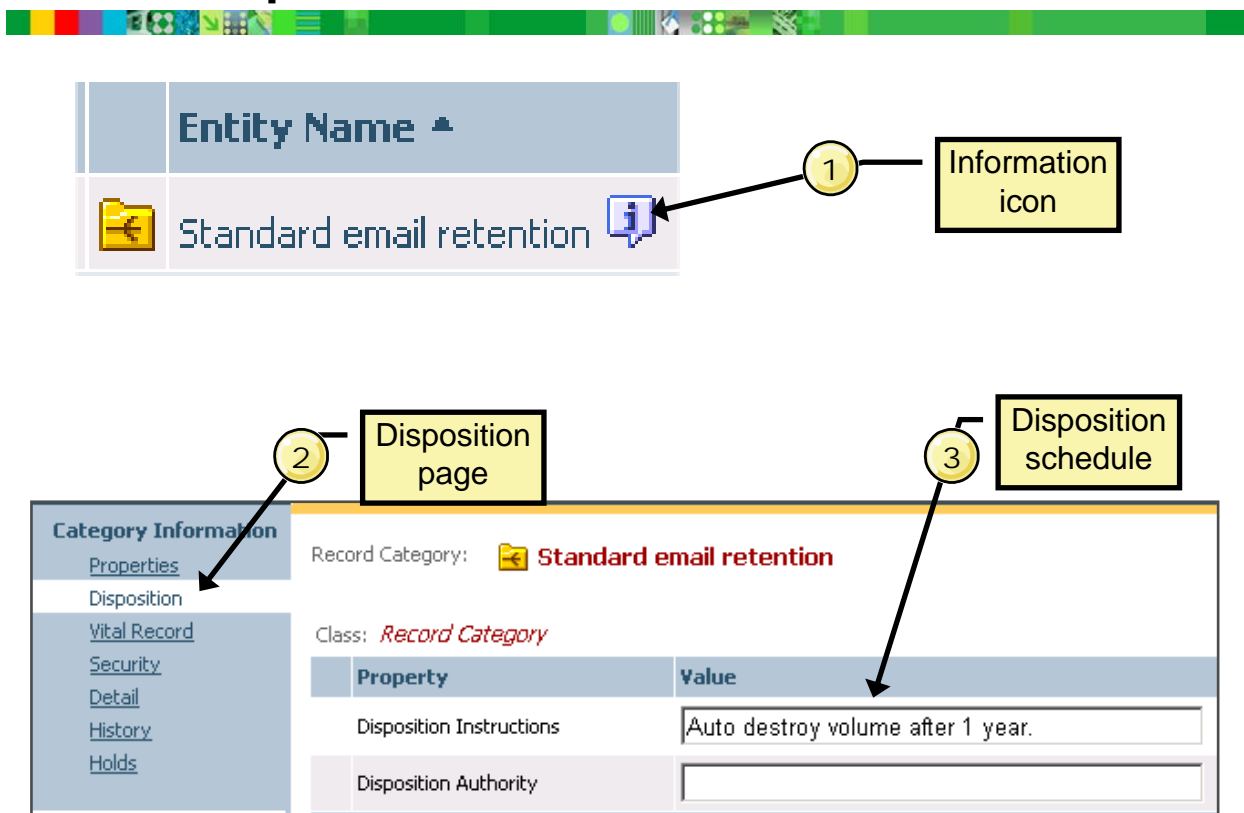
Figure 1-19. Locate disposition schedules   F1781.0

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.

Figure 1-20. Activities   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-21. Lesson: Initiate disposition   F1781.0

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.

Figure 1-22. Activities that you need to complete   F1781.0

Notes:

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

Initiate disposition

Record lifecycle

Time

Active Use

Retention Period

Event Trigger
Dec 31

℁ Cutoff Jan 15
Workflow Optional

Phases of Disposition
—
3 Phases
—
5-Year Schedule

Declare and Catalog Yearly Timesheets

Offset period and cutoff approval (or optional change of cutoff date)

℁ *Export to Accounting after 30 days*
Workflow

℁ *Interim Transfer to HQ Offline after 2 years*
Workflow

℁ *Destroy after 5 years*
Workflow

℁ Workflow symbol

© Copyright IBM Corporation 2011

Figure 1-23. Record lifecycle   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-24. The cutoff process   F1781.0

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
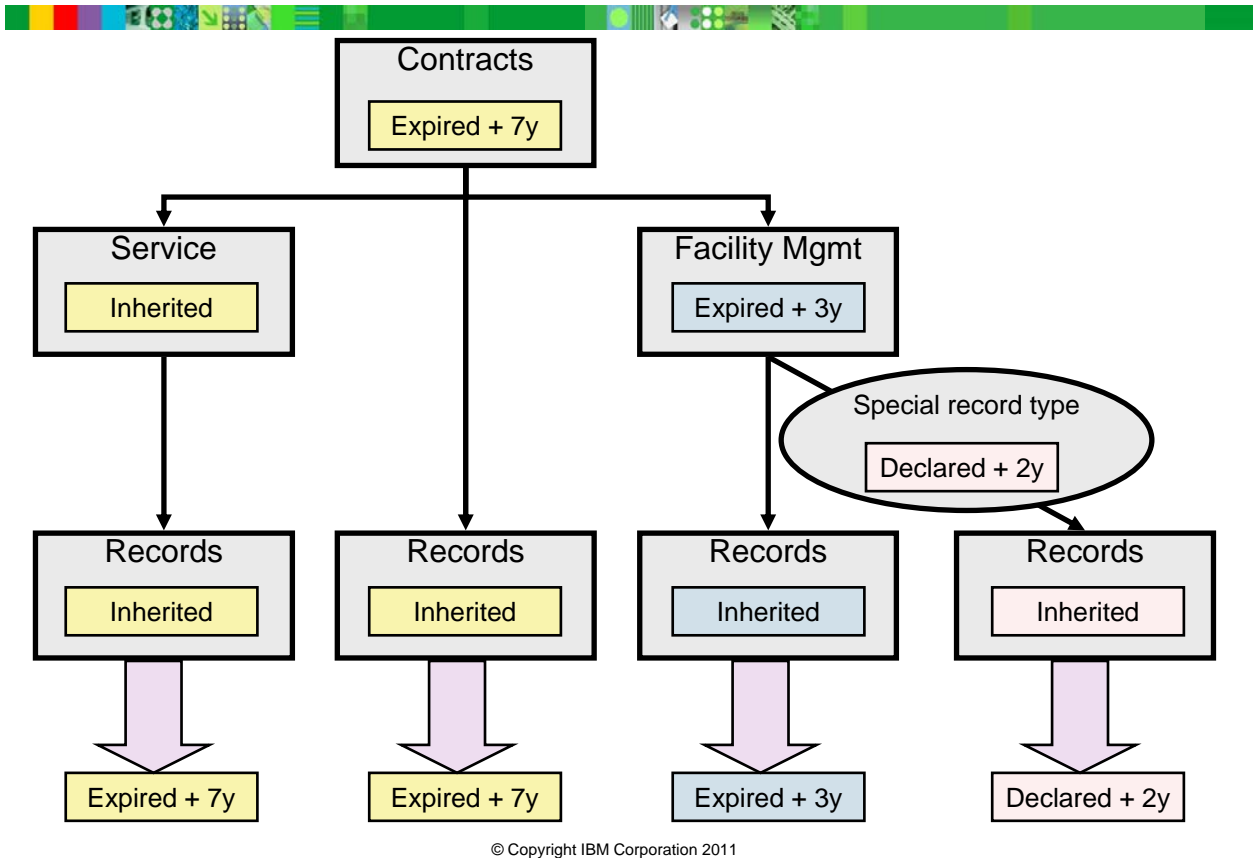
Figure 1-25. Disposition inheritance

F1781.0

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

© Copyright IBM Corporation 2011

Figure 1-26. Status icons   F1781.0

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.

Figure 1-27. How to initiate disposition   F1781.0

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

© Copyright IBM Corporation 2011

Figure 1-28. Search template requirements   F1781.0

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.

Figure 1-29. Overview of tasks   F1781.0

Notes:

Initiate disposition

Demonstrations

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

Figure 1-30. Demonstrations   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-31. Activities   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-32. Lesson: Declare electronic records   F1781.0

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.

Figure 1-33. Activities that you need to complete   F1781.0

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.
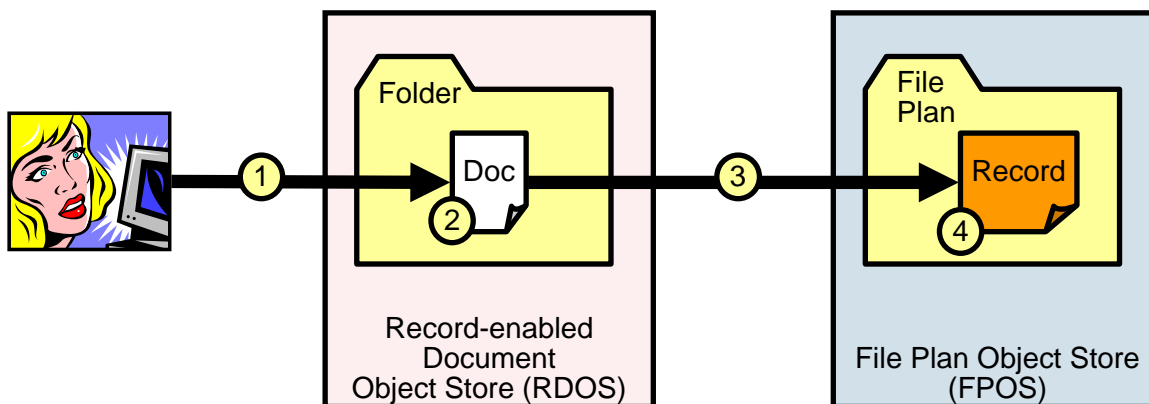
© Copyright IBM Corporation 2011

Figure 1-34. Adding and declaring   F1781.0

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)

DO: Document Object

RO: Record Object

© Copyright IBM Corporation 2011
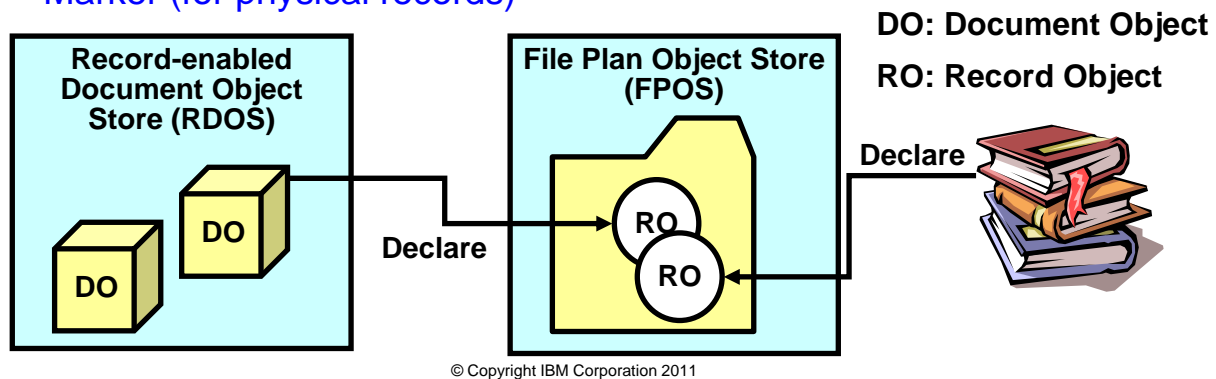
Figure 1-35. Record creation   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-36. Required information for declaration   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-37. Manual declaration (without a template)   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-38. Document entry templates   F1781.0

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

© Copyright IBM Corporation 2011

Figure 1-39. Declare as Record templates   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-40. Combine declare with document entry templates   F1781.0

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.
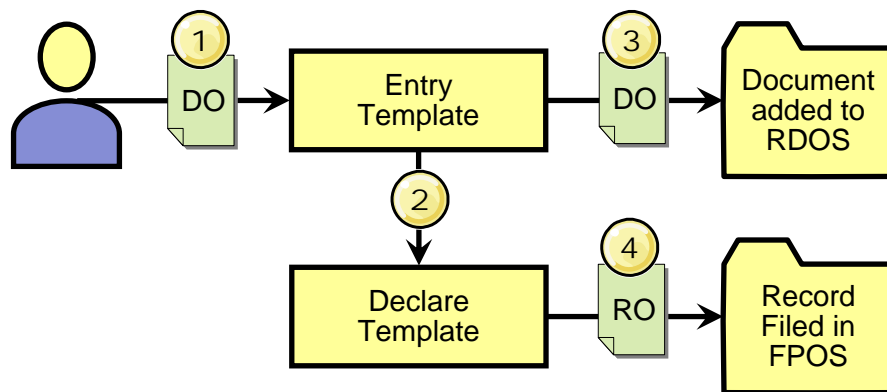
© Copyright IBM Corporation 2011

Figure 1-41. Entry template with record declaration   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-42. Template creation   F1781.0

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
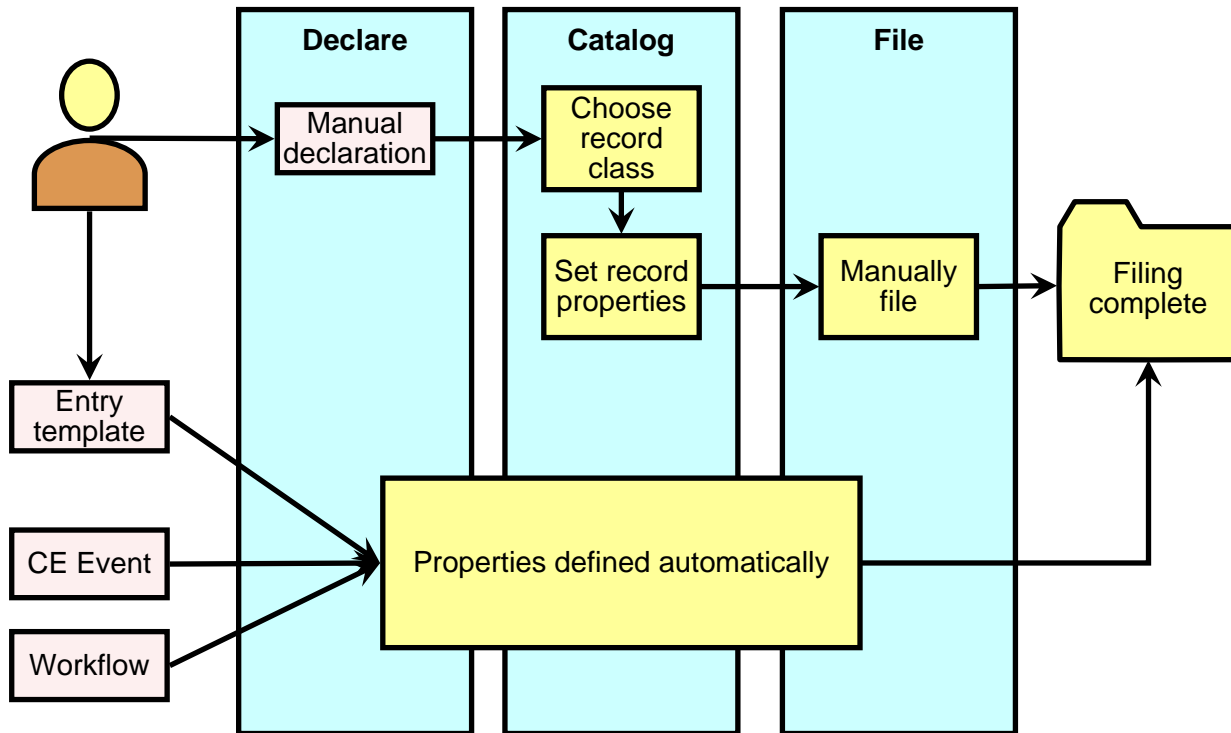
© Copyright IBM Corporation 2011

Figure 1-43. Summary of Declaration Options   F1781.0

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

© Copyright IBM Corporation 2011

Figure 1-44. Demonstrations   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-45. Activities   F1781.0

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.

Figure 1-46. Lesson: Create a disposition schedule   F1781.0

Notes:

Create a disposition schedule

Activities that you need to complete

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

Figure 1-47. Activities that you need to complete   F1781.0

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)

© Copyright IBM Corporation 2011

Figure 1-48. Disposition schedule creation overview   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-49. What is an event trigger?   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-50. What is aggregation?   F1781.0

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 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

If the disposition schedule is applied to a parent container …

Category

Disposition propagates to child containers …

Folder

Aggregation level determines what is affected.

Volume

Record

Aggregation Level = Record
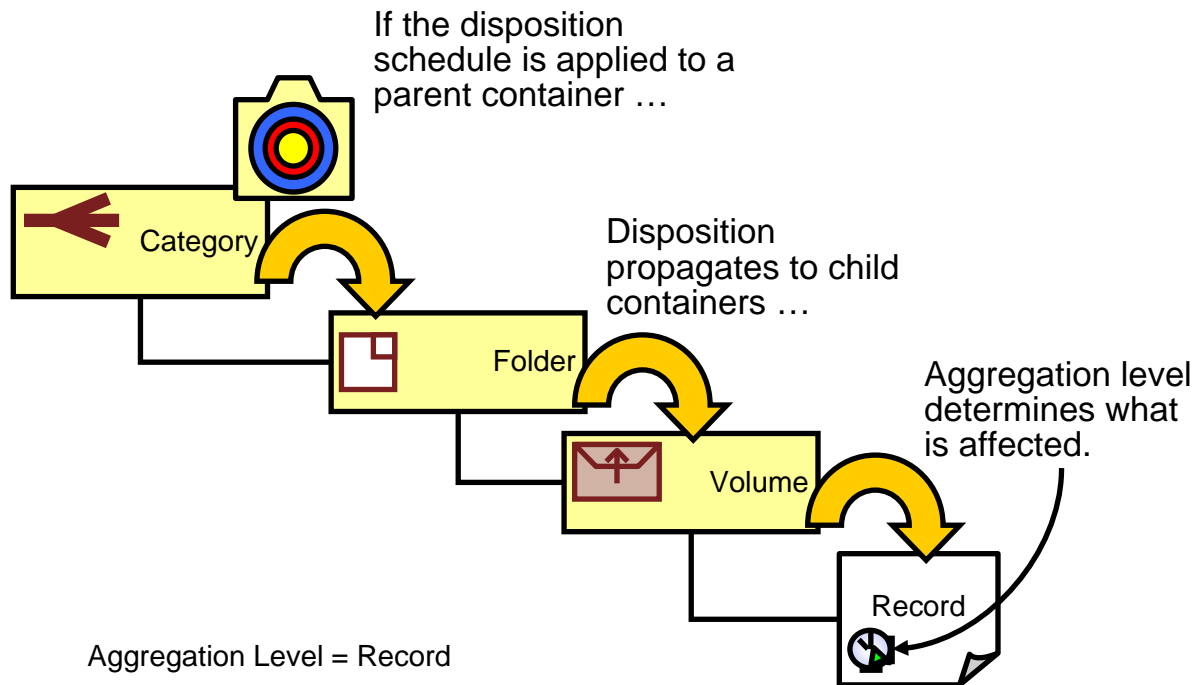
© Copyright IBM Corporation 2011

Figure 1-51. Disposition inheritance and aggregation   F1781.0

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.
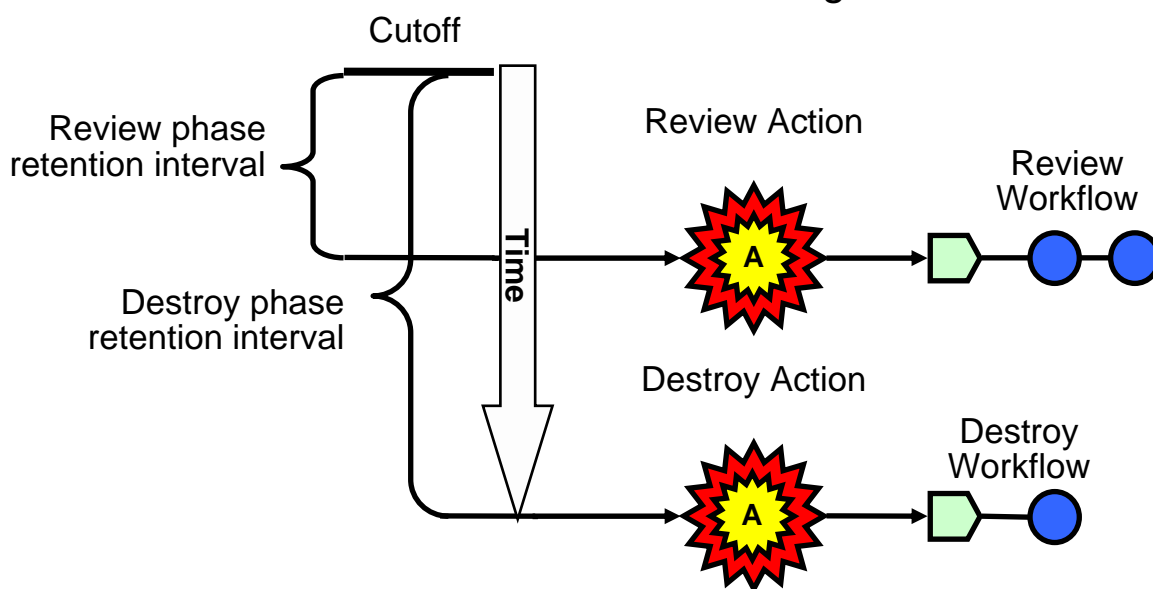
© Copyright IBM Corporation 2011

Figure 1-52. Disposition phase actions   F1781.0

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

© Copyright IBM Corporation 2011

Figure 1-53. Defining disposition parameters   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-54. What is Disposition Sweep?   F1781.0

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
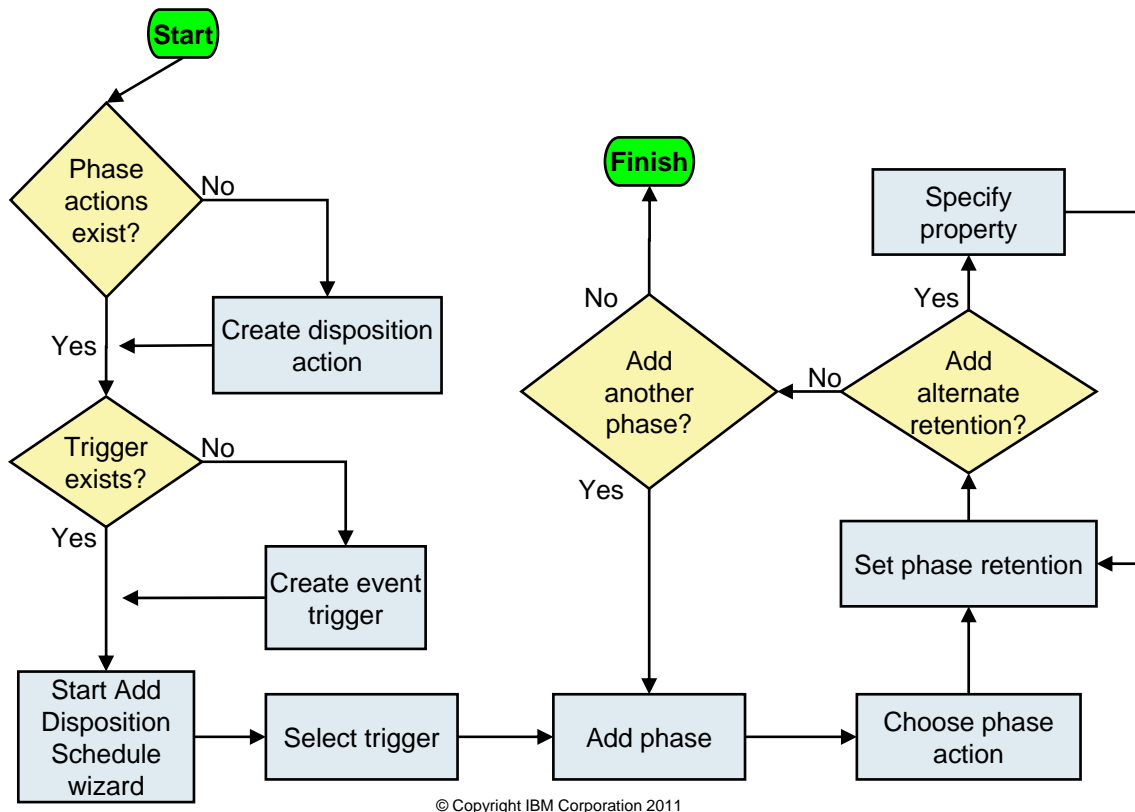
Figure 1-55. Disposition schedule creation flowchart   F1781.0

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 in the 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.
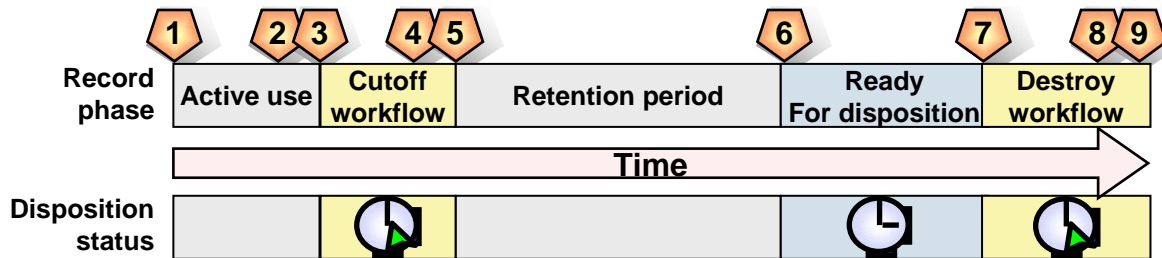
© Copyright IBM Corporation 2011

Figure 1-56. Disposition schedule timeline (example)   F1781.0

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.

1. The record is declared and filed.

2. 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.

3. Disposition Sweep then launches the cutoff approval workflow. The record status changes to In Progress.

4. A work item goes to the records manager approval queue. A records manager or reviewer either approves cutoff or specifies a new cutoff date.

5. 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

© Copyright IBM Corporation 2011

Figure 1-57. Disposition creating wizard settings   F1781.0

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

© Copyright IBM Corporation 2011

Figure 1-58. Demonstrations   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-59. Activities   F1781.0

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.

Figure 1-60. Lesson: Add alternate retentions   F1781.0

Notes:

Add alternate retentions

Activities that you need to complete

- Add alternate retentions.

Figure 1-61. Activities that you need to complete   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-62. Multiple alternate retentions   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-63. Guidelines   F1781.0

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.

Figure 1-64. Modifying a disposition schedule   F1781.0

Notes:

Help path

- Search for "modify_a_disposal_schedule.htm".

Add alternate retentions

Demonstrations

- Add alternate retentions to a disposition phase

© Copyright IBM Corporation 2011

Figure 1-65. Demonstrations   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-66. Activities   F1781.0

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.

Figure 1-67. Lesson: Work with file plan containers   F1781.0

Notes:

Work with file plan containers

Activities that you need to complete

- Work with file plan containers.

Figure 1-68. Activities that you need to complete   F1781.0

Notes:

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

Work with file plan containers

Review: Electronic record containers

Categories

Sales
Administration

Categories are used to group records that share functional attributes.

Folders

Tour Orders
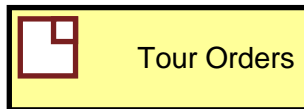
Folders are used for subdividing records into volumes.

Volumes

Tour
Orders-00001

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

© Copyright IBM Corporation 2011

Figure 1-69. Review: Electronic record containers   F1781.0

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.

Figure 1-70. Add a record category   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-71. Add a record folder   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-72. Add a record volume   F1781.0

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
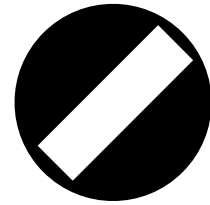
Closed
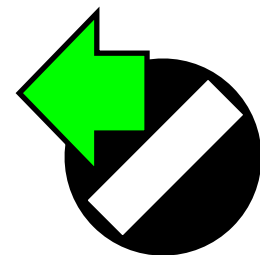
Reopened

© Copyright IBM Corporation 2011

Figure 1-73. Close and reopen containers   F1781.0

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.
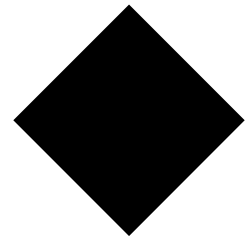
Inactive

Figure 1-74. Inactive and active containers   F1781.0

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.
>
> © Copyright IBM Corporation 2011

Figure 1-75. Activities   F1781.0

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.

Figure 1-76. Lesson: Work with holds   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-77. Activities that you need to complete   F1781.0

Notes:

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

Work with holds

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.

On Hold

© Copyright IBM Corporation 2011

Figure 1-78. What is a disposition hold?   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-79. What are conditional holds?   F1781.0

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 phase "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.

© Copyright IBM Corporation 2011

Figure 1-80. Hold Sweep   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-81. Creating holds   F1781.0

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.

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.

© Copyright IBM Corporation 2011

Figure 1-82. Placing and removing holds   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-83. Propagation of holds   F1781.0

Notes:

Work with holds

Demonstrations

• Create a conditional hold

Figure 1-84. Demonstrations   F1781.0

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.

© Copyright IBM Corporation 2011

Figure 1-85. Activities   F1781.0

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.

IBM®