IBM Enterprise Records 5.1: Records Management

(Course code F174)

Student Exercises

ERC 1.0

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Unit 1. IBM Enterprise Records 4.5.1: Core Skills

Unit overview

This unit contains these lessons.

Lessons

Skill levels

Select one of these skill levels to perform the activities:

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

Unit dependencies

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

This unit is dependent upon completing the following course:

F040 - IBM FileNet P8 Prerequisite Skills 4.5

Requirements

The activities in this unit assume that you have access to the student system configured for these activities.

System check

Perform a system check whenever you start up an IBM FileNet P8 system or start working on a system that is in an unknown state. These activities assume that you have performed a system check when you begin an activity session.

Lesson 1.1. Introduction to IBM Enterprise Records

Overview

Why is this lesson important to you?

One of your new job responsibilities is going to be working with IBM Enterprise Records. You are seeing the product for the first time. You need to be able to identify its capabilities.

IBM Enterprise Records is part of a compliance solution for your organization. You are going to be using IBM Enterprise Records with other products in this solution. You need to know how IBM Enterprise Records works with other IBM compliance products.

Activities

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

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

For each question, indicate the correct answer.

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

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

For each question, indicate the correct answer.

1. How can you automate the declaration of emails as records?
   a. Use IBM eDiscovery Manager to declare the emails.
   b. Create a workflow that monitors the email server.
   c. Configure IBM Content Collector to declare email as records.
   d. Use IBM Classification Module to declare email as records.

2. What must happen to the email before it can be declared as a record?
   a. The email must be added to the IBM FileNet Content Engine repository.
   b. The email must be analyzed by IBM eDiscovery Analyzer to determine whether it needs to be declared.
   c. The email must be collected by eDiscovery Manager and added to a case.
   d. The email must be classified by IBM Classification Module.

Lesson 1.2. Explore a file plan

Overview

Why is this lesson important to you?

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

Activities

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

User accounts

Type	User ID	Password
System administrator	Administrator	filenet

Activity: Explore a file plan

Introduction

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

Procedures

Procedure 1: Sign in to IBM Enterprise Records

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

Procedure 2: Explore the Category Tree

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

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

Procedure 3: Locate and list disposition schedules

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

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

Categories and disposition schedules

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

Lesson 1.3. Initiate disposition

Overview

Why is this lesson important to you?

Each record goes through different stages in its lifecycle, from declaration to disposal. You notice that some records have icons in front of them that indicate which state the record is in. You need to be able to recognize each record state so that you know which actions to perform on it, if any.

Entities across the enterprise are ready for disposition. Unless you approve disposition, the entities cannot be disposed of. You need to search for entities that are ready and initiate disposition.

Activities

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

User accounts

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

Activity: Locate the disposition schedule that applies to a record

Introduction

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

Procedures

Procedure 1: Search for records

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

Procedure 2: Locate the disposition schedule for a record

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

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

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

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

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

Activity: Identify the status of an entity

Introduction

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

Procedures

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

Procedure 1: Identify the status of entities

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

Entity status

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

Search for entities that are ready for disposition: Challenge

Challenge

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

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

Hint

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

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

Verification

Your search produces the following results.

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

Search for entities that are ready for disposition: Walkthrough

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

Procedures

Procedure 1: Start Search Designer

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

Procedure 2: Create a search

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

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

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

Procedure 3: Test the search

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

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

Initiate disposition: Challenge

Challenge

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

Verification

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

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

Initiate disposition: Walkthrough

Introduction

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

Procedures

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

Procedure 1: Initiate disposition

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

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

Information

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

Lesson 1.4. Declare electronic records

Overview

Why is this lesson important to you?

Some documents need to be declared as records so that they can be retained and disposed of according to the requirements of your organization. Declare records and file them correctly into the file plan.

Customer orders have a consistent format and are always declared and filed in the same location. You can save time by automating their declaration. Configure a declaration template to automatically declare these documents as records.

Activities

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

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

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

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

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

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

User accounts

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

Declare an electronic record without a template: Challenge

Challenge

Sign in to Workplace as rmsue.

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

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

Document data

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

Record data

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

Verification

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

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

Declare an electronic record without a template: Walkthrough

Introduction

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

Procedures

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

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

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

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

Property	Value
Document Title	Order 11111
Order number	11111
Current	True

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

Procedure 2: Declare the document as a record

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

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

Create a declare template: Challenge

Scenario

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

Challenge

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

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

Verification

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

Ensure that the following statements are true:

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

Create a declare template: Walkthrough

Introduction

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

Procedures

Procedure 1: Open the Define Declare Record wizard

You are signed in to Workplace as rmsue.

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

Procedure 2: Design the declare record template

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

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

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

Information

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

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

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

8. Click OK.

Procedure 3: Add a customer order document

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

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

Property	**Value**
Document Title	Order 22222
Order number	22222
Current	True

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

Procedure 4: Declare the record using the new declare template

Test the new declare template.

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

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

Create a document entry template with record declaration: Challenge

Scenario

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

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

- Document Title
- Order number

Challenge

Create a document entry template that meets the following criteria:

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

Verification

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

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

- Document Title
- Order Number
- Reviewer

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

Create a document entry template with record declaration: Walkthrough

Introduction

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

Procedures

Procedure 1: Create the entry template

You are signed in to Workplace as rmsue.

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

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

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

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

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

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

Property	Value
Document title	Order 33333
Order number	33333

5. Click Next.

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

Procedure 3: Verify that the templates worked properly

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

Lesson 1.5. Create a disposition schedule

Overview

Why is this lesson important to you?

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

Activities

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

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

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

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

User accounts

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

Create and test a disposition schedule: Challenge

Challenge

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

Important

In this activity, you simulate the passage of time by changing the time on your student system clock. On a production system, the system clock must always be set to the correct time.

Data

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

Verification

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

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

Create and test a disposition schedule: Walkthrough

Introduction

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

Important

In this activity, you simulate the passage of time by changing the time on your student system clock. On a production system, the system clock must always be set to the correct time.

Procedures

Procedure 1: Create an event trigger

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

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to the Configure page.
3. Click Internal Event Triggers.
4. Click Add Internal Event.
5. Set properties:
   a. In the Disposal Trigger Name field, type `My Trigger`.
   b. In the Description field, type the following:

      ```
      Record level aggregation. Current property is false.
      ```

   c. Select Record from the Aggregation menu.
   d. Click Next. The Set Condition page opens.
6. Set Condition:
   a. Click Change on the Set Condition page.
   b. Select Current from the Property {1} menu.
   c. Click Accept Changes.
   d. Select equals (=) from the Operator menu.
   e. Select False from the Property Value menu.
7. Click Finish.
8. Click OK.

Information

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

Procedure 2: Verify that the disposition phase actions exist

Phase actions are usually created by the installer.

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

Procedure 3: Create a disposition schedule

You are signed in to IBM Enterprise Records as rmsue.

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

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

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

b. Enter the following data.

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

c. Click Accept.

7. Add a destroy phase:
   a. Click Add New.
   b. Enter the following data.

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

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

Procedure 4: Associate the disposition schedule with a container

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

Procedure 5: Declare a record to the Case retention category

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

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

Property	Value
Document Title	Customer Case 1
Current	True

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

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

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

Procedure 6: Trigger cutoff

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

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

Procedure 7: Run Disposition Sweep

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

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

Hint

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

Procedure 8: Observe the change in the record

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

Procedure 9: Set the system clock for the future

You have created a disposition schedule that affects records after 30 days. To see the effects of the disposition schedule, you are going to set the clock on your student system ahead.

1. Double-click the clock on your student system.
2. Set the date of your student system to one day after the date in the Current Phase Execution Date that you wrote down. It is now 31 days in the future.
3. Run Disposition Sweep using the desktop batch file and wait for it to finish.

Procedure 10:Initiate disposition

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

Procedure 11:Process the Review phase

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

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

Procedure 12:Observe change in the disposition status

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

Procedure 13:Set the system clock for the future

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

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

Procedure 14:Initiate disposition and process the Destroy phase

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

Use a transfer action: Challenge

Scenario

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

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

Challenge

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

Data

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

Verification

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

Use a transfer action: Walkthrough

Introduction

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

Scenario

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

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

Procedures

Procedure 1: Prepare the environment

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

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

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

Procedure 2: Create and associate the disposition schedule

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

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

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

Procedure 3: Create a new folder

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

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

b. Click the Electronic Record Folder class.

c. In the Record Folder Name field, type `Reports 2010`.

d. In the Folder Unique Identifier, type `Reports 2010`.

e. Click Next.

f. Verify that the Disposition Instructions field already has the value Transfer Reports. This value is inherited from the category.

g. Click Finish and then click OK.

Procedure 4: Declare a record

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

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

Procedure 5: Trigger cutoff

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

Procedure 6: Initiate and process disposition

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

      Successfully Exported. Destroy Now.
   e. Click Complete.

Procedure 7: Verify destruction

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

Procedure 8: Procedure: Review transcript

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

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

Important

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

Lesson 1.6. Add alternate retentions

Overview

Why is this lesson important to you?

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

Activities

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

User accounts

Type	User ID	Password
Records manager	rmsue	filenet

Add alternate retentions: Challenge

Challenge

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

Data

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

Verification

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

Add alternate retentions: Walkthrough

Introduction

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

Procedures

Procedure 1: Add alternate retentions

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Edit a disposition schedule:
   a. Click Disposition > Disposition Schedules.
   b. Open the information page of the Customer order retention disposition schedule.
   c. On the Reason page, type the following Reason for Change:

      `Added alternate retentions.`

   d. Click the Phases link to go to the Disposition Phases page.
   e. Click the title of the *auto destroy* phase.
3. Add alternate retentions:
   a. In the Alternate Retentions area of the Phase Properties window, click Add New.

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

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

c. Click Accept.

d. Click Apply and then click Exit.

Information

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

Procedure 2: Change record properties

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

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

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

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

c. Apply the change and exit.

4. Sign out from IBM Enterprise Records.

Procedure 3: Run disposition sweep

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

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

Procedure 4: Verify alternate retentions

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

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

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

Hint

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

6. Sign out of IBM Enterprise Records.

Lesson 1.7. Work with file plan containers

Overview

Why is this lesson important to you?

You attempt to declare a record into the reports folder for the last month, but receive an error because the folder has been closed, which triggered cutoff.

You need to create a new folder, but you do not want anyone to declare records into it until a later date.

You need to know how to use containers to effectively manage records.

Activities

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

User accounts

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

Work with file plan containers: Challenge

Scenarios

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

Challenges

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

Data

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

Verification

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

Work with file plan containers: Walkthrough

Introduction

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

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

Procedures

Procedure 1: Add a new volume

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

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

c. Click Finish and then click OK.

4. Verify that the previous volume is closed. If you declare new records into this folder, they are automatically filed into the new volume.

Procedure 2: Close a folder

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

You are signed into IBM Enterprise Records as rmsue.

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

Procedure 3: Reopen the folder

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

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

b. Click OK.

6. Sign out from IBM Enterprise Records.

Procedure 4: Declare a record into a reopened folder

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

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

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

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

Procedure 5: Move a file into a closed volume

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

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

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

Procedure 6: Close the reopened folder

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

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

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

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

Procedure 7: Create a new case folder

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

You are signed in to IBM Enterprise Records as Administrator.

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

Property	Value
Record Folder Name	Case20100319
Folder Unique Identifier	Case20100319

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

Procedure 8: Make a container inactive

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

You are signed in to IBM Enterprise Records as Administrator.

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

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

Procedure 9: Activate a container

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

You are signed in to IBM Enterprise Records as Administrator.

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

Information

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

Lesson 1.8. Work with holds

Overview

Why is this lesson important to you?

Employee records are usually destroyed 10 years after termination. A legal matter has occurred that involves several employees that have been terminated. These employee records must be placed on hold until the legal matter is resolved.

Several records must be placed on hold. All of the records were created by Record Reviewer Joe during the month of January.

You need to be able to place and remove holds according to legal requirements.

Activities

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

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

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

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

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

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

User accounts

Type	User ID	Password
Records manager	rmsue	filenet

Place and remove holds: Challenge

Scenario

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

Challenge

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

Data

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

Verification

Successfully demonstrate the following:

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

Place and remove holds: Walkthrough

Introduction

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

Scenario

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

Procedures

Procedure 1: Trigger cutoff for employee records

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

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

c. Select Terminated from the Employee status menu.

d. Click Apply.

e. Click Exit.

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

Procedure 2: Create two holds

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

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

You are signed in to IBM Enterprise Records as rmsue.

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

c. Type `Legal` in the Hold Reason field.

d. Select *Litigation* from the Hold Type menu.

e. Select *True* from the Active menu.

f. Click Finish.

g. Click OK.

Procedure 3: Place entities on hold

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

Procedure 4: View hold information

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

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

Procedure 5: Test holds

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

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

Procedure 6: Remove one hold

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

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

Procedure 7: Verify that the hold was removed

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

Place and remove conditional holds: Challenge

Scenarios

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

Challenge

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

Hold Sweep configuration data

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

Verification

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

Place and remove conditional holds: Walkthrough

Introduction

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

Scenarios

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

Procedures

Procedure 1: Configure Hold Sweep

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

1. Open a command prompt and type the following:

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

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

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

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

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

Information

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

Procedure 2: Create a conditional hold

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

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

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

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

5. Click Next.

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

      Because you need to set beginning and end dates, you use the *Date Created** property twice.
   e. Click Accept Changes. The Add Dynamic Hold Criteria page closes. The properties that you selected are displayed in the Set Record Condition area.
7. Set the property values using this table.

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

8. Click Finish.
9. Click OK.

Procedure 3: Apply and verify the conditional hold

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

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

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

Hint

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

Procedure 4: Remove a conditional hold

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

You are signed in to IBM Enterprise Records as rmsue.

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

Procedure 5: Verify conditional hold removal

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

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

Procedure 6: Place a content-based conditional hold

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

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

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

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

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

Procedure 7: Apply and test the conditional hold

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

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

Note

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

Make holds inactive and delete holds: Challenge

Scenario

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

Case1234 can be deleted because it is no longer needed.

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

Challenge

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

Verification

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

Make holds inactive and delete holds: Walkthrough

Introduction

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

Scenario

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

Case1234 can be deleted because it is no longer needed.

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

Procedures

Procedure 1: Make a hold inactive

You are signed in to IBM Enterprise Records as rmsue.

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

Procedure 2: Test the inactive hold

1. Click Browse.

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

Procedure 3: Delete a hold

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

You are signed in to IBM Enterprise Records as rmsue.

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

Unit 2. File Plan Design

Unit overview

This unit contains these lessons.

Lessons

Skill levels

Select one of these skill levels to perform the activities.

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

Unit dependencies

This unit is dependent upon completing the following units.

- F178 - IBM Enterprise Records 5.1: Core Skills
- F040 - IBM FileNet P8 Prerequisite Skills 4.5

Requirements

The activities in this unit assume that you have access to the student system configured for these activities.

System check

Perform a system check whenever you start up an IBM FileNet P8 system or start working on a system that is in an unknown state. These activities assume that you have performed a system check when you begin an activity session.

User Accounts

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

Lesson 2.1. Coordinate file plan development

Overview

Why is this lesson important to you?

Your company has installed IBM Enterprise Records. You are the records manager who is responsible for designing and creating the records management file plan that is going to be used for filing all of the records across the enterprise. You are going to work with a records administrator who is an IBM FileNet P8 Content Engine administrator, a programmer, and a database administrator who are tasked with helping you implement a file plan. Because you are the main authority on records management requirements, you must coordinate the file plan creation effort.

Activities

- Coordinate file plan development: Written activity, page 2-5

Coordinate file plan development: Written activity

For each question, indicate the correct answer or the best answer.

1. Why must you coordinate with other roles in order to design your file plan?
   a. Other roles have valid ideas for file plan design.
   b. The file plan is part of a records management system.
   c. The file plan must support database administration.
   d. Collaboration produces superior file plan designs.

2. Who decides which data model to use when designing a file plan?
   a. The Content Engine administrator
   b. The records users
   c. The database administrator
   d. The records manager

3. Who specifies custom metadata that is needed to support a file plan?
   a. The records manager
   b. The records administrator
   c. The Content Engine administrator
   d. The database administrator

4. Who creates the metadata for the file plan object store?
   a. The records manager
   b. The records administrator
   c. The programmer
   d. The database administrator

5. In which order are these objects created?
   a. Object stores, triggers, disposition schedules, properties
   b. Object stores, properties, triggers, disposition schedules
   c. Disposition schedules, object stores, properties, triggers
   d. Disposition schedules, object stores, triggers, properties

Lesson 2.2. Core file plan design concepts

Overview

Why is this lesson important to you?

You configured a file plan for you company. The file plan worked well in development, but when it was deployed to production, the system was unable to keep up with demands. The system had to be shut down. You have been given the opportunity to create a new file plan that is capable of keeping up with demands. You need to apply core design principles to your design in order to ensure that the system performs well in the production environment.

Activities

- Examine core file plan concepts: Written activity, page 2-9

Examine core file plan concepts: Written activity

Introduction

Read the following scenario, and then, for each question, indicate the correct answer or the best answer.

Scenario

Your company declares 100,000 records per day, 200 days per year. The records are destroyed after 5 years when Disposition Sweep and Auto Destroy run sequentially at quarterly intervals, using record-level aggregation. The system has been running for 6 years.

Questions

1. How many records are declared per year?
   a. 2,000,000
   b. 20,000,000
   c. 200,000,000
   d. 36,500,000

2. How many records are in the system?
   a. 120,000,000
   b. 1,200,000,000
   c. 100,000,000
   d. 200,000,000

3. How many records are destroyed each time Auto Destroy runs?
   a. 5,000,000
   b. 20,000,000
   c. 4,000,000
   d. 25,000,000

4. How many records are queried each time Disposition Sweep runs?
   a. 5,000,000
   b. 100,000,000
   c. 200,000,000
   d. 105,000,000

5. What is the ratio of records queried to records destroyed when Auto Destroy runs?
   a. 10:1
   b. 11:1
   c. 20:1
   d. 21:1

6. If no records are on hold, what is the ratio of records queried to records destroyed if the Auto Destroy sweep process sweeps one container that contains all of the records that are ready for disposition for that quarter?
   a. 1:1
   b. 10:1
   c. 11:1
   d. 20:1

7. Which database table is the largest?
   a. RCR table
   b. DocVersion table
   c. Container table
   d. RecordID table

8. Which table is queried when you run Disposition Sweep for record-level aggregation?
   a. RCR table
   b. DocVersion table
   c. Container table
   d. RecordID table

Lesson 2.3. Create a functional classification file plan

Overview

Why is this lesson important to you?

You are responsible for designing the file plan for your organization. You need a file plan that is flexible and that is consistent with ISO recommendations. You have decided that the functional classification file plan scheme is the best choice for your organization. You must now create the file plan on an object store.

Activities

User accounts

Type	User ID	Password
System Administrator	Administrator	filenet
Records Manager	rmsue	filenet

Do this first: Change the default File Plan

Your student system is currently configured to use the FPOS1 file plan as the default file plan. Before you can begin the exercises in this lesson, you must change the default file plan settings.

Procedures

Procedure 1: Change site preferences

Use this procedure to change the default file plan used by the IBM Enterprise Records application and the default file plan used by the Declare As Record action in Workplace.

1. Start Internet Explorer
2. Click the IBM FileNet Workplace link.
3. Sign in to Workpace as Administrator.
   - Name: `Administrator`
   - Password: `filenet`
4. Go to Admin > Site Preferences.
5. Configure Default file plan:
   a. On the General page, scroll down to the bottom.
   b. Click the Default File Plan link.
   c. Click DevFPOS.
   d. Click File Plan.
   e. Click Accept.
6. Set Default file plan for the Declare As Record wizard:
   a. Click Object Stores.
   b. Click DevFPOS
   c. Scroll down to the Records Management area.
   d. Click Default File plan.
   e. Verify that the Path shows Object Stores > DevFPOS > File Plan.
   f. Click File Plan.
   g. Click Accept.

7. Click Apply.
8. Sign out from Workplace.

Procedure 2: Configure File Plan object store in IBM Enterprise Records

1. Click the IBM Enterprise Records shortcut link to go to IBM Enterprise Records.
2. Sign into IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
3. Click Configure.
4. Click Set Default File Plan under File Plans.
5. Click DevFPOS.
6. Click File Plan.
7. Click Accept.
8. Sign out from IBM Enterprise Records.

Procedure 3: Configure Disposition Sweep

Disposition Sweep is currently configured to sweep the FPOS1 object store. In order to properly dispose of records on the DevFPOS object store, you must reconfigure Disposition Sweep to sweep the DevFPOS object store.

1. Open a command prompt:
   - Click the command prompt icon in the quickstart menu.
2. In the command prompt, type:

   ```
   cd C:\Program Files\FileNet\rm\RecordsManagerSweep
   ```
3. Type this command to configure sweep:

   ```
   recordsmanagersweep.bat -dispositionsweep -configure
   ```
4. Change the File Plan Object Store Name property to DevFPOS.
5. In the Password field, type the password: `filenet`.
6. Click Configure.
7. Click OK.

Information

Your student system is now configured to perform the exercises in this unit.

Diagram the file plan hierarchy: Written activity

Introduction

You are going to create a diagram of the file plan in preparation for creating the file plan on your student system.

Directions

Read the following scenario. On a separate sheet of paper, create an outline of the file plan that meets the requirements of the scenario. The file plan must show functional classification scheme structure, and categories must include category ID information. For category ID information, use HR for Human Resources and OPS for Operations.

Scenario

You are designing a file plan for an insurance company. The company deals with auto claims, home claims, and life claims. All of these claims have different retentions, but fall under the general functional area of Operations. In addition to these operations, there are two other kinds of operational records: policies and procedures. Policies and procedures have separate retention periods. The other major functional area that you need to plan is Human Resources. Human Resources includes personnel information and payroll information. Personnel files include applications for employment and employee evaluations. Payroll includes checks, salary history, and time reports.

Create a functional classification file plan: Challenge

Challenge

Create a file plan hierarchy for this insurance company that follows functional classification guidelines.

Create and apply disposition schedules to employee applications and employee evaluations.

Data

- File plan
  - Human Resources - HR01
    - Personnel - HR01-01
      - Employment applications - HR01-01-001
      - Employee evaluations - HR01-01-002
    - Payroll - HR01-02
      - Checks - HR01-02-001
      - salary history - HR01-02-002
      - Time reports - HR01-02-003
  - Operations - OPS01
    - Claims - OPS01-01
      - Auto claims - OPS01-01-001
      - Home claims - OPS01-01-002
      - Life claims - OPS01-01-003
    - Policies - OPS01-02
    - Procedures - OPS01-03

Record series	Active	Inactive	Retention total
Applications	Until termination	3 days	Termination + 3 days
Evaluations	Until termination	30 days	Termination + 30 days

Object	Data
File plan to use	DevFPOS > File Plan (the default file plan)
Record class to use	employee record
Property to use for disposal trigger	Employee status (Terminated)

Note

For testing your retentions, you are going to set the system clock forward on your student system. Setting the clock too far forward, however, can affect some software license expirations. Therefore, in this course, all retentions are set to days instead of years.

Important

In this activity, you simulate the passage of time by changing the time on your student system clock. On a production system, the system clock must always be set to the correct time.

Hint

Personnel files are few in number and can be managed as individual records without creating a noticeable performance impact.

Create a diagram of the file plan before you begin to create containers.

Include disposition instructions in the description field of the containers to which you associate disposition schedules.

Verification

1. Create and declare two documents as employee records.
2. File the first record in the Employment applications category.
3. File the second record in the Employee evaluations category.
4. Terminate both employees by changing the employee status property value to *terminated*.
5. Run Disposition Sweep.
6. Set the system clock forward 3 days to verify that the first record is ready for disposition.
7. Set the clock forward 30 days to verify that the second record is ready for disposition.

Create a functional classification file plan: Walkthrough

Introduction

In this exercise, you create the file plan hierarchy that you designed in the written exercise for this lesson. You also create two disposition schedules in order to apply them to two of the categories.

Procedures

Procedure 1: Create the trigger for cutoff

Because termination of the employee is the basis for cutoff for both evaluations and applications, you need to create only one trigger. You can use the same trigger for both disposition schedules.

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Click the Configure tab. The Configure page opens.
3. Click Internal Event Triggers.
4. Click Add Internal Event. The Add Internal Event wizard opens.
5. Set properties:
   a. In the Disposal Trigger Name field, type `Termination`.
   b. In the Description field, type `Employee termination`.

c. In the Aggregation field, select `Record`.

d. Click Next. The Set Condition page opens.

6. Set Condition:

a. Click Change. The Property Criteria Settings page opens.

b. Select Employee status from the Property {1} menu.

c. Click Accept Changes. You are returned to the Set Condition page.

d. Select equals (=) from the Operator menu.

e. Select terminated from the Property Value menu.

7. Click Finish.

8. Click OK.

Procedure 2: Create the employment applications disposition schedule

1. In IBM Enterprise Records, click the Disposition tab.

2. Click Disposition Schedules.

3. Click Add Disposition Schedule.

4. Name and describe the schedule.

a. Type the following data.

Property	Value
Schedule name	Employment application disposition
Description	Retain until termination + 3 days, then destroy.

b. Click Next.

5. Set the trigger:

a. Select Termination from the Internal Event menu.

b. Click Next.

6. Set Phases.

a. Click Add New.

b. Enter the following data.

Property	Value
Phase name	Auto destroy
Description	Automatic destruction.
Phase Action	Auto destroy
Is Screening Required	False
Default Retention	0 years, 0 Months, 3 Days.

c. Click Accept.

d. Click Finish.

7. Click OK. The disposition schedule was successfully added.

Procedure 3: Create the employee evaluations disposition schedule

1. Click Add Disposition Schedule.
2. Name and describe the schedule.
   a. Type the following data.

Property	Value
Schedule name	Employee evaluation disposition
Description	Retain until termination + 30 days

   b. Click Next.
3. Set the trigger:
   a. Select Termination from the Internal Event menu.
   b. Click Next.
4. Set Phases.
   a. Click Add New.
   b. Enter the following data.

Property	Value
Phase name	Auto destroy
Description	Automatic destruction.
Phase Action	Auto destroy
Is Screening Required	False
Default Retention	0 years, 0 Months, 30 Days.

   c. Click Accept.
   d. Click Finish.
5. Click OK. The disposition schedule was successfully added.

Procedure 4: Create the first category

You are ready to create the file plan hierarchy.

1. In IBM Enterprise Records, click the Browse tab. The Browse page opens.
2. Click Add Record Category.
3. Set properties.
   a. In the Record Category Name field, type `Human Resources`.
   b. In the Record Category Identifier field, type `HR01`.

   c. Click Set Security.
4. Set Security
   a. Review the security settings.
   b. Click Finish.
5. Click OK. You have created the Human Resources category.

Procedure 5: Create a child category

1. Click the Human Resources category. The Human Resources category opens.
2. Click Add Record Category.
3. Set properties.
   a. In the Record Category Name field, type `Personnel`.
   b. In the Record Category Identifier field, type `HR01-01`.
   c. Click Set Security.
4. Set Security
   a. Review the security settings.
   b. Click Finish.
5. Click OK. You have created the Personnel child category.

Procedure 6: Add a category with a disposition schedule

1. Click the Personnel category.
2. Click Add Record Category.
3. Set properties.
   a. In the Record Category Name field, type `Employment applications`.
   b. In the Record Category Identifier field, type `HR01-01-001`.
   c. In the Description field, type `Retain until termination + 3 days`.
   d. Click Set Disposition.
4. Set Disposition.
   a. Click Browse Schedule.
   b. Click Select under Employment application disposition.
   c. Click Finish.
5. Click OK. You have created the Employment applications child category with a disposition schedule.

Procedure 7: Complete the file plan hierarchy

Start with the Employee evaluations category, and use the procedures you have just performed in order to complete the following file plan hierarchy. Remember to add the disposition schedule to the Employee evaluations category.

- File plan
  - Human Resources - HR01
    - Personnel - HR01-01
      - Employment applications - HR01-01-001
      - Employee evaluations - HR01-01-002
    - Payroll - HR01-02
      - Checks - HR01-02-001
      - Salary history - HR01-02-002
      - Time reports - HR01-02-003
  - Operations - OPS01
    - Claims - OPS01-01
      - Auto claims - OPS01-01-001
      - Home claims - OPS01-01-002
      - Life claims - OPS01-01-003
    - Policies - OPS01-02
    - Procedures - OPS01-03

Procedure 8: Declare two records

You have created the file plan. The file plan has only two disposition schedules. You must test these disposition schedules by declaring records into the associated containers and then triggering disposition.

1. Sign in to Workplace as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to RDOS1 > Test.
3. Add a document to the Test folder.
   a. Click Add Document.
   b. Click Change Class.
   c. Select the Employee document class.
   d. Enter the following information.

Property	Value
Document title	Employee 1
Family name	Galt
Given name	Winston
Employee status	terminated

e. Click Select File.

f. Click Browse.

g. Select any document in the Exercise Files folder.

h. Click Open.

i. Click Finish. Do **not** click OK.

4. Declare the document as a record.

a. Click Declare as Record.

b. Click Accept to declare the record without a template.

c. Click Select Class to select a record class.

d. On the Select Class page, select the DevFPOS > Record > Electronic Record > employee record class.

Important

Be sure to select the DevFPOS object store.

e. Click *Select File Plan Location*.

f. Click Human Resources > Personnel.

g. Select the Employment applications check box.

h. Click Add to Selection. The Employment applications category is displayed in the Selected File Plan Locations area.

i. Click Accept.

j. Click Next.

k. On the Set Properties page, verify that the property values that you entered when you created the document are displayed in the record property fields.

l. Click Finish.

5. Click OK. The add and declare operations have succeeded.

6. Verify that the Employee 1 document is in the test folder and that it has data in the Record Information column.

7. Add and declare another employee document using the same procedure with the following values.

Property	Value
Document class	Employee
Document title	Employee 2
Family name	Saito
Given name	Kei
Employee status	terminated
Record class	DevFPOS > Record > Electronic Record > employee record
File plan location	Human Resources > Personnel > Employee evaluations

8. Verify that Employee 1 and Employee 2 are both displayed in the test folder and both have data in the Record Information column.
9. Sign out from Workplace.

Procedure 9: Run Disposition Sweep

You added the employee records with the terminated value. When you run Disposition Sweep, cutoff occurs, and the records are scheduled for destruction when their retention intervals end.

1. Double-click the Run Disposition Sweep.bat icon on your desktop.
2. Wait for Disposition Sweep to finish. The records are ready for disposition.
3. Sign in to IBM Enterprise Records as rmsue if you are not already signed in.
   - Name: `rmsue`
   - Password: `filenet`
4. In IBM Enterprise Records, go to Human Resources > Personnel > Employment applications.
5. For the Employee 1 record, verify that a date exists in the Current Phase Execution Date column.
6. Make a note of this date to use it later in this exercise.
7. Sign out from IBM Enterprise Records.

Procedure 10:Test the Employment application disposition

You have created a disposition schedule that destroys records after 3 days. To test the disposition schedule, you are going to set the clock on your student system ahead.

1. Double-click the clock on your student system.
2. Set the date of your student system to one day after the date in the Current Phase Execution Date of the Employee 1 record.

3. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
4. Double-click Run autodestroy.bat on your desktop. The Employee 1 record is automatically destroyed.
5. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
6. Go to Human Resources > Personnel > Employment applications.
7. Verify that the Employee 1 record has been destroyed.

Procedure 11:Test the employee evaluation disposition

In this procedure, you set the clock ahead 30 days to verify that the employee evaluation disposition schedule is working. You are signed in to IBM Enterprise Records as rmsue.

1. In IBM Enterprise Records, go to Human Resources > Personnel > Employee evaluations.
2. For the Employee 2 record, verify that a date exists in the Current Phase Execution Date column.
3. Make a note of this date in order to use it later in this exercise.
4. Sign out from IBM Enterprise Records.
5. Double-click the clock on your student system.
6. Set the date of your student system to one day after the date in the Current Phase Execution Date for the Employee 2 record.
7. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
8. Double-click Run autodestroy.bat on your desktop. The Employee 2 record is automatically destroyed.
9. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
10. Go to Human Resources > Personnel > Employee evaluations.
11. Verify that the Employee 2 record has been destroyed.

Lesson 2.4. Create a retention model file plan

Overview

Why is this lesson important to you

You are responsible for designing the file plan for your organization. The primary goal of your records management system is to retain data for a set period of time. You expect a high volume of record declarations and dispositions. In this situation, you decide that a retention model is the most appropriate choice. You must use retention model concepts to create your file plan.

Activities

- Create a retention model file plan: Challenge, page 2-29
- Create a retention model file plan: Walkthrough, page 2-31

Lesson dependency

This lesson depends on successful completion of all activities in Lesson 2.3 - Create a functional classification file plan, page 2-11.

User accounts

Type	User ID	Password
Records Manager	rmsue	filenet

Create a retention model file plan: Challenge

Challenge

The Payroll area of the file plan has a high volume of record declarations. You need to use the retention model to manage this part of the file plan. The Payroll category is divided into checks, salary history, and time reports. The containers must remain open for the first day so that records can be filed into them.

Create disposition schedules for checks. Be sure to aggregate at the container level.

Develop the Checks category of the file plan using retention model principles.

Data

Record series	Active	Total retention
Checks	1 day	7 days

Hint

Remember to use the appropriate container type in order to avoid disposing of parent containers.

Use the Date Closed property for the container as the cutoff trigger.

Use the Date Closed property as the cutoff base.

Verification

1. Create a volume for one day's worth of checks.
2. Ensure that you can declare a record into the new volume.
3. Create a new volume, closing the existing one.
4. Set the clock forward 8 days and run Disposition Sweep and Auto Destroy Sweep.
5. Verify that the container representing that day's worth of checks is destroyed.

Create a retention model file plan: Walkthrough

Introduction

The Payroll area of the file plan has a high volume of record declarations. You need to use the retention model to manage this part of the file plan. The Payroll category is divided into checks, salary history, and time reports. The containers must remain open for the first day so that records can be filed into them. You are going to create the area for checks.

Procedures

Procedure 1: Create the internal event trigger

In the retention model, the *checks* application is represented by a category. The retention period is going to be determined by the disposition schedule. The retention period is going to be represented by a record folder. The retention group is going to be represented by volumes, so the disposition schedule is going to be aggregated at the volume level. The trigger for the retention period is the date that the volume is created.

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to Configure > Internal Event Triggers.
3. Click Add Internal Event.
4. Set Properties:
   a. Enter the following properties.

Property	Value
Disposal Trigger Name	Date Closed
Description	The date that the volume is closed
Aggregation	Volume

b. Click Next.

5. Set Condition:
   a. Click Change. The Property Criteria Settings page opens.
   b. Select Date Closed from the Property {1} menu.
   c. Click Accept Changes. You are returned to the Set Condition page.
   d. Select IS NOT NULL from the Operator menu.
   e. Click Finish.
   f. Click OK.

Procedure 2: Create the disposition schedule for checks

The checks must be kept for a total of 7 days. The first day is active use, so the disposition schedule must have a 6-day retention period after the date that the volume is closed.

1. Go to Disposition > Disposition Schedules.
2. Click Add Disposition Schedule.
3. Name and describe the schedule:
   a. Type the following data.

Property	Value
Schedule name	Checks disposition
Description	Active for 1 day. Destroy after 7 days.

   b. Click Next.
4. Set Trigger:
   a. Select Date Closed from the Internal Event menu.
   b. Select Date Closed(RC, RF, VOL) from the CutOff Base menu.
   c. Click Next.
5. Set Phases:
   a. Click Add New.
   b. Enter the following data.

Property	Value
Phase Name	Auto destroy
Description	Automatic destruction.
Phase Action	Auto destroy
Is Screening Required	False
Default Retention	0 Years, 0 Months, 6 Days

   c. Click Accept.

d. Click Finish.

6. Click OK. The Checks disposition schedule has been created.

Procedure 3: Create a retention period folder

1. Go to Browse > Human Resources > Payroll > Checks.
2. Click Add Record Folder.
3. Click the Electronic Record Folder class. The Set Properties page opens.
4. Set Properties:
   a. Enter the following data.

Property	Value
Record Folder Name	7 days
Folder Unique Identifier	HR01-02-001-001
Description	Active for 1 day. Retain for Date Closed + 6 days

   b. Click Next.
5. Set Disposition:
   a. Click Browse Schedule.
   b. Click Select under Checks disposition.
6. Click Finish, then click OK. The record folder is created. Inside the record folder, the first volume is created.
7. Open the *7 days* folder.
8. Verify that the folder contains a single volume. The volume name is *7 Days-00001*.

Procedure 4: Declare a record into the retention group

1. Sign in to Workplace as rmsue. You can optionally use the Workplace link in the top right of IBM Enterprise Records.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to RDOS1 > test.
3. Add a document to the test folder and declare it as a record using the following data.

Object	Property	Value
Document	Document class	Document
	Document title	Check 1
	Select file	Any file in the Exercise Files folder
Record	Record class	DevFPOS > Record > Electronic record
	File plan location	Human Resources > Payroll > Checks > 7 days

Procedure 5: Create a retention group volume

The creation of the volumes is usually automated by custom code in the final production. However, in order to test the system, you need to create a volume manually. When you create a new volume, the previously open volume closes automatically, triggering cutoff.

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to Human Resources > Payroll > Checks > 7 days.
3. Add a new volume to the folder.
   a. Click Add Volume.
   b. Click Set Security.
   c. Click Finish.
   d. Click OK. You have added a new volume. The second volume name is *7 Days-00002*. The first volume, *7 Days-00001*, is closed.
4. Sign out from IBM Enterprise Records.

Procedure 6: Run Disposition Sweep

Cutoff is triggered when a volume is closed, but nothing happens until you run Disposition Sweep.

1. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
2. View the current phase execution date for the *7 days-00001* volume.
   a. Sign in to IBM Enterprise Records as rmsue.
      - Name: `rmsue`
      - Password: `filenet`
   b. Go to Human Resources > Payroll > Checks > 7 days.
   c. Verify that the volume named *7 Days-00001* displays a date in the Current Phase Execution Date column.
   d. Make a note of the Current Phase Execution Date in order to use it later in this exercise.
   e. Sign out from IBM Enterprise Records.

Procedure 7: Destroy the retention group

You are now going to set the system clock forward in order to test the disposition of the retention group.

1. Double-click the clock on your student system.

2. Set the date of your student system to one day after the date in the Current Phase Execution Date for the *7 Days-00001* volume.
3. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
4. Double-click the Run autodestroy.bat icon on your desktop. The *7 days-00001* volume is automatically destroyed.
5. Verify that the volume is destroyed:
   a. Sign in to IBM Enterprise Records as rmsue.
      - Name: `rmsue`
      - Password: `filenet`
   b. Go to Human Resources > Payroll > Checks > 7 days.
   c. Verify that the *7 days-00001* volume has been destroyed and that the *7 days-00002* volume remains.
6. Sign out from IBM Enterprise Records.

Note

This exercise has been simplified to save time. To see how this process might look in a production environment, you need to create a new volume for each day and set the system clock forward one day each time. By the time you see the destruction of the *7 days-00001* volume on day 8, the folder contains seven volumes, six of which are closed. If you have extra time, you can perform this optional exercise.

Lesson 2.5. Create a case model file plan

Overview

Why is this important to you?

You are responsible for designing the file plan for your organization. Your organization works with many individual cases, each of which consists of several files that must be kept together. The case files are all related to one another by a custom case number property. Case files have different formats, are reviewed at different times, might be stored in different locations or different object stores, and might be ready for declaration at different times. You decide that the Case Model is the most appropriate choice for your file plan design. You must use Case Model concepts to create your file plan.

Activities

- Create a case model file plan: Challenge, page 2-39
- Create a case model file plan: Walkthrough, page 2-41

Lesson dependency

This lesson depends on successful completion of all acivities in Lesson 2.3 - Create a functional classification file plan, page 2-11.

User accounts

Type	User ID	Password
Records Manager	rmsue	filenet

Create a case model file plan: Challenge

Challenge

Auto claim case files are collections of different records that are declared at different times throughout the case. The case is active as long as it is open. When the case is closed, all of the records are disposed of at the same time at the end of the retention interval. For auto claims, this interval is 6 days. You need to create the part of the file plan that handles auto claim records.

- Create a trigger and disposition schedule to destroy auto claim case folders 6 days after the case is closed.
- Create a retention period category in the auto claim category.
- Create a retention group folder within the retention period. You can optionally file records into this retention group.

Data

- Use the Case folder class for the container for case files.
- The Case folder class has a binary property named Current. Use this property as the internal event trigger.
- Case files must be kept for 6 days after the Current property is set to False.

Verification

1. Set the Current property to False on the case folder to close the case.
2. Run Disposition Sweep.
3. Set the system clock on your student system to one day after the Current Phase Execution Date of the case folder.
4. Run Disposition Sweep and Auto Destroy.
5. Verify that the case folder has been destroyed.

Create a case model file plan: Walkthrough

Introduction

Auto claim case files are collections of different records that are declared at different times throughout the case. The case is active as long as it is open. When the case is closed, all of the records are disposed of at the same time at the end of the retention interval. For auto claims, this interval is 6 days. You need to create the part of the file plan that handles auto claim records.

Procedures

Procedure 1: Create the auto claim closed trigger

1. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
2. Go to Configure > Internal Event Triggers.
3. Click Add Internal Event.
4. Set Properties:
   a. Enter the following data.

Property	Volume
Disposition Trigger Name	Auto claim closed
Description	The auto claim case is closed. Uses folder-level aggregation.
Aggregation	Record Folder.

   b. Click Next.
5. Set Condition:
   a. Click Change. The Property Criteria Settings page opens.

b. Select Current from the Property {1} menu.

c. Click Accept Changes. You are returned to the Set Condition page.

d. Select equals (=) from the Operator menu.

e. Select FALSE from the Property Value menu.

f. Click Finish.

6. Click OK. You have created the Auto claim closed event trigger.

Procedure 2: Create the auto claim disposition schedule

1. Go to Disposition > Disposition Schedules.
2. Click Add Disposition Schedule.
3. Name and Describe the schedule:
   a. Enter the following data.

Property	Value
Schedule name	Auto claim disposition
Description	Retain until case closed date + 6 days.

   b. Click Next.
4. Set Trigger:
   a. Select Auto claim closed from the Internal Event menu.
   b. Click Next.
5. Set Phases:
   a. Click Add New.
   b. Enter the following data.

Property	Value
Phase Name	Auto destroy
Description	Automatic destruction
Phase Action	Auto destroy
Is Screening Required	False
Default Retention	0 Years, 0 Months, 6 Days

   c. Click Accept.
   d. Click Finish.
   e. Click OK. You have created the Auto claim disposition schedule.

Procedure 3: Associate the auto claim disposition schedule with a container

The auto claim disposition schedule applies to all auto claim folders. You can associate the schedule to the parent category. All auto claim case folders that are created in this parent category inherit the schedule. The schedule is aggregated at the folder level so that it affects the folders, but not the parent category.

1. Go to Browse > Operations > Claims > Auto claims.
2. Click Get Info.
3. Click the Disposition link in the Category Information area.
4. Click Browse Schedule.
5. Click Select under the Auto claim disposition schedule. A menu opens showing propagation options. Do not change the default propagation option.
6. Click Apply.
7. Click Exit. The Auto claims category has been associated with the Auto claims disposition schedule.

Procedure 4: Create an auto claim folder

1. Go to Browse > Operations > Claims > Auto claims.
2. Click Add Record Folder.
3. Click Case Folder to select the Case Folder class. The Set Properties page opens. Notice that the Case Folder class has a property named Current. This property triggers cutoff.
4. Set properties
   a. Enter the following data.

Property	Value
Record Folder Name	Galt, Winston 2010-1
Folder Unique Identifier	Case-0001
Current	True

   b. Click Next.
5. Set Disposition:
   a. Verify that the Auto claim disposition schedule is inherited from the parent category.
   b. Click Finish.
   c. Click OK.

Procedure 5: Close the auto claim

The claim remains open until all work is done. When the case is closed, the records manager changes the Current property to False, so after that point, cutoff is achieved when Disposition Sweep runs. You are signed into IBM Enterprise Records as rmsue. You are in Operations > Claims > Auto claims.

1. Click the Information icon for the folder named *Galt, Winston 2010-1*.
2. Select False from the Current menu.
3. Click Apply.
4. Click Exit.
5. Sign out from IBM Enterprise Records.

Procedure 6: Run Disposition Sweep

1. Double-click the Run Disposition Sweep.bat icon on your desktop.
2. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`
3. Go to Operations > Claims > Auto claims.
4. Verify that the *Galt, Winston 2010-1* folder is closed and that it has a Current Phase Execution Date.
5. Make a note of this date to use later in this exercise.
6. Sign out from IBM Enterprise Records.

Procedure 7: Destroy the case folder

The case folder is scheduled to be destroyed on the day of the Current Phase Execution Date. You must verify that the system destroys this folder by setting the clock forward and then running the sweep processes.

1. Double-click the clock on your student system.
2. Set the date of your student system to one day after the date in the Current Phase Execution Date for the *Galt, Winston 2010-1* folder.
3. Double-click the Run Disposition Sweep.bat icon on your desktop. Disposition properties are updated.
4. Double-click Run autodestroy.bat on your desktop. The *Galt, Winston 2010-1* folder is automatically destroyed.
5. Sign in to IBM Enterprise Records as rmsue.
   - Name: `rmsue`
   - Password: `filenet`

6. Go to Operations > Claims > Auto claims.
7. Verify that the *Galt, Winston 2010-1* folder has been destroyed.