OpenText™ Documentum™ Content Management

Governance and Compliance Admin Console Guide

Create and apply retention policies on records and control the aging process through lifecycles, retention markups, disposition strategies, and so on.

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OpenText™ Documentum™ Content Management
Governance and Compliance Admin Console Guide
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Chapter 1

Overview

The Governance and Compliance module in OpenText Documentum Content Management (CM) Admin Console provides a unified solution for administering Records products. This module leverages the strengths of OpenText Documentum CM and consists of the following Records products:

- Retention Policy Services

The Governance and Compliance module applies records management discipline and Enterprise Content Management (ECM) capabilities to business records and messages to:

- Reduce the risk of non-compliance and litigation by enforcing uniform, standards-compliant policies for retention, access, and disposition.
- Control the cost of managing large volumes of records and messages in accordance with legal requirements and established business practices.
- Manage physical records across one or more warehouses.

1.1 Landing page

From the **Home** page, you can navigate to the **Retention policy services** Landing page by clicking **Governance and compliance** under **Modules**. The goal of the Landing page is to provide you with easy access to the functionality that is specific to your needs. You can also navigate to the Landing page by clicking the **Governance and compliance** module in the **Home** sidebar.

The **Governance and compliance** module consists of the following submodules:

Table 1-1: Modules under Governance and compliance

Module	Description
Retention policy services	Create, modify, and delete Retention Policy Services components, retention policies, and retention markups.
Compliance managers	Administer retention policies that are applied to objects in the repository by promoting, qualifying, and disposing them after a scheduled time period.
Compliance reports	Use various reports to obtain information on retained objects and if required, perform actions one or more of the reported objects.

For more information about the basic features, common UI elements, and navigation, see *OpenText Documentum Content Management - Admin Console Help (EDCADC-H-AGD)*.

1.2 Access the tiles

The Landing page for each submodule is made up of several smaller sections, called *tiles*. You can access the tiles either from the Landing page or the sidebar menu by clicking **Modules** > **Governance and compliance** > <*module name*> > <*tile name*>:

Chapter 2

Retention Policy Services

Retention Policy Services allows you to manage records by applying retention policies as well as applying litigation holds to manage the controlled aging process. Using this module, Retention Managers can perform various administrative tasks on policies, such as configuring the administration components for the policies, creating and applying retention policies and markups on objects, and generating compliance reports.

2.1 Overview

Retention Policy Services manages object retention, specifically a sysobject or sysobject subtype, in a OpenText Documentum Content Management (CM) repository. Using Retention Policy Services, you can create retention policies and apply them to objects in a OpenText Documentum CM repository to control their aging and disposition within a lifecycle. Retention Policy Services also includes capabilities to apply retention markups, for example, applying a hold to halt the aging process until legal matters are resolved.

2.1.1 Retention policies and lifecycles

A retention policy retains one or more objects, such as cabinets, folders and documents, according to conditional, chronological, or a mix of both settings using lifecycles. The lifecycle determines the length of time an object is kept in a repository according to operational, legal, regulatory, fiscal or internal requirements. The object remains in a repository for the duration of its applied retention policy and cannot be deleted, nor can the original content be modified. A retention policy can be applied numerous times to different objects in a repository or file plan. The policy cannot be deleted while it is referenced; however, it can be modified, though the changes would only affect future objects to which it is applied.

Retention policy template
A retention policy defines the template that contains all of the rules around how an object is managed according to a lifecycle defined for the policy. It can protect documents from potential or inadvertent deletion and to force them to undergo aging in a controlled manner.

Lifecycles
Lifecycles determine the period of time an object is retained in a repository according to operational, legal, regulatory, fiscal or internal requirements. A retention policy template is made up of a lifecycle that defines the phases, durations, and what happens at the end, in the policy. The following are the default lifecycles:

- 1 Phase + final

- 2 Phase + final
- 3 Phase + final
- 4 Phase + final
- 5 Phase + final
- 6 Phase + final

The lifecycle moves an object through various phases of its life to the final phase for disposition treatment. Although the number of phases defined for a lifecycle can vary, all lifecycles have a final phase for disposition. Treatment and destruction of content and metadata along with export instructions if any, is based on the disposition strategy setting.

Note: A lifecycle supporting a retention policy must not be deleted or renamed.

Phases

The defined stages or states of a retention policy are called *phases*. The final phase is required in all retention policy lifecycles. Phases 1 through 6 are respectively labeled as follows:

- Active
- Semi-Active
- Semi-Dormant
- Dormant
- Inactive_1
- Inactive_2

Each phase in the six Phase + final, for example, are named in the preceding sequence. Each phase can have a duration. All of the phases together determine the period of time an object will age.

Disposition strategies

Disposition of the object is determined by the following actions chosen for the *disposition strategy*:

- Unknown
- Review
- Export All, Destroy All
- Destroy All
- Export All
- Export All, Destroy Content
- Destroy Content

The following National Archives and Records Administration (NARA) strategies are available if Records Manager and the Department of Defense (DoD) Standard DAR are installed:

- NARA transfer, Destroy content
- NARA transfer, Destroy all

Note: The NARA transfer strategies are DoD specific and only appear if you install the Standard DoD DAR, `RM-DoD5015v3-Standard-Record.dar`. Although the DoD DARs are optional, the Standard DAR is mandatory for declaring DoD formal records whereas the Classified DAR is optional and required only if it is necessary to declare DoD classified formal records.

For more information about the disposition strategies, see “Disposition strategies” on page 70.

2.1.2 Retention strategy

Retention policies are applied using one of two retention strategies:

Linked
: Objects in the folder age together with the folder if the retention policy applied to the folder is linked. Only one retainer is spawned when a retention policy is applied to the container object, that is, a folder whereby the contents age against the retainer on the folder (children do not have retainers and therefore age with the parent retainer).

Individual
: Each object in the folder age independently with their own separate retainers if the retention policy applied to the folder is individual. The folder itself is non-aging in this case. The rate at which the objects age depends either on the configured base date of the folder (for chronological aging) or the event date of the folder (for conditional aging). A base date value is mapped to each document or folder type using a base date utility. For more information, see “Configure base dates” on page 25. Multiple retainers are spawned when retention is applied to the folder, whereby all contents inherit their own retainers to age independently of the folder (children inherit retainers from the parent and age individually).

Retention is applied to an object either through direct application of a retention policy or by inheritance through retention cascade. Retention policies cannot be applied to renditions of an object under retention. If you want to protect renditions with the parent retention policy, use the **Parent Rendition Rule** in the retention policy and set it to **All Renditions**.

Note: Any policy that is directly applied to an object moves with the object whereas, any policy that is inherited is stripped from the object if it is moved to a new location. The new folder can have a different retention policy applied to it or none. Although Retention Managers can move retained documents from one folder to another, users with specific move capabilities can be added to the following non-administrative move roles when necessary:

- Move to Unretained Folder (dmc_rps_move_unretain_folder)
- Move to Any Retained Folder (dmc_rps_move_any_retain_folder)
- Move to Same Retained Folder (dmc_rps_move_same_retain_folder)

2.1.3 Retention cascade

Retention is inherited throughout the entire folder structure in a cascading manner. When retention is applied to a container object, all subfolders and contained objects inherit retention based on the type of retention applied. Retention cascade occurs under the following conditions:

- Applying retention directly to a container
- Moving objects into a container under retention
- Creating objects within a container under retention
- Importing objects into a container under retention
- Linking objects to a container under retention
- Copying objects into a container under retention
- Dragging and dropping objects into a container under retention

2.1.4 Retainers

A retainer is created when a retention policy is applied directly to an object or when the object inherits the policy. It is the retainer that protects the object from deletion and the one that ages and moves from one phase to the next rather than the object under retention. Each retainer that is created points to its respective retention policy. Therefore, a policy can have multiple retainers referencing it. However, the creation of a single or multiple retainers depends on the retention strategy setting of the policy. Objects in a folder for example, can age individually with their own individual retainers or all together against one shared retainer based on the option selected for the retention strategy. Child objects in a container object typically inherit retention, Linked or Individual, from the parent unless, retention is applied directly to the content instead of the container. If an Individual or Linked type of policy is applied directly to a non-containing object, a direct retainer is applied. This setting takes effect only when retention is applied to container objects, to determine the inheritance strategy for aging the content.

A retainer is created and directly attached to the document, regardless of the retention strategy setting, if retention is directly applied to the document in a folder. Retention, however, when applied directly to a container object, folder for example, relies on the retention strategy setting to determine whether content inherit their own retainers to age individually or age against one commonly shared retainer.

A valid authority is mandatory for each phase to start the aging process of the retainer.

Disabling the retention policy does not affect existing retainers and removes it from the list of available retention policies to choose from.

2.1.5 Lifecycle actions

Lifecycle actions such as email notifications can be triggered on phase exit or phase entry when the retainer of an object is promoted. Regardless of the retention strategy specified for a retention policy, lifecycle actions work on retainers. Although disposition actions are performed only in the final phase, the object can only be disposed of when its retainer is in the final phase.

2.2 Roles and functional access

Retention Policy Services is role-based and therefore, functional access is limited by the role to which a user is assigned as a member.

2.2.1 Roles

The following table describes the different roles used in Retention Policy Services:

Table 2-1: Roles

Role	Description
Role Administrator	Administer and modify role membership. There is no Retention Policy Services function access for this role. The only capability provided for this role is to modify role membership.

Role	Description
Retention Manager	Create, maintain, and apply retention policies. The Retention Manager has sufficient permissions to perform disposition, apply a permanent markup, and perform a privileged delete. Retention managers can remove retention policies or unlink items from a retained folder and cause the inherited retention to be removed or reset aging. Retention managers are granted permission to see the metadata on every item in the repository regardless of the ACL on the item. The Retention Manager has all the rights of the Compliance Officer, Power User, and Contributor, as well as the overriding rights of disposition and privileged delete. **Note:** The Retention Policy Services Retention Manager (`dmc_rps_retentmanager`) role is not the same as the `dm_retention_manager`role, which grants different privileges for items under retention.
Compliance Officer	Apply, edit, and remove holds. Typically, the Compliance Officer is part of the organizational group that is aware of impending or ongoing investigations and must ensure that information is not prematurely destroyed or accidentally removed from the system. However, the Compliance Officer does not have any disposition rights. Compliance officers can have retention applied through inheritance by linking into a retained folder because they are members of the Contributor role.
Power User	Assign retention directly to an object as well as the basic permissions of the Contributor, such as putting an object into a folder that has a retention policy applied. The Power User also has the ability to perform limited functionality within the retention policies, including the ability to apply event dates. Power Users do not have the ability to apply holds or invoke dispositions and cannot change conditions. Power users can have retention applied through inheritance by linking into a retained folder because they are members of the Contributor role.

Role	Description
Contributor	Move objects into a folder that has a retention policy applied to it. A Contributor may not be aware that the folder has retention applied to it, or that by moving objects into a folder with retention applied, they are applying retention to an object. A member that is only in the Contributor role cannot move items out of a retained folder. All Retention Policy Services roles require that the user has at least Contributor client capability.

Notes

- You cannot link into a retained folder (causing retention to be inherited) unless you are in the Contributor role. Most users must be made members of that role.
- Internal roles, considered atomic roles, for the system must never be modified or deleted. Customers must ignore internal roles.
- Internal roles specific to Retention Policy Services are prefixed with `dmc_rps_i`.
- Internal roles specific to OpenText™ Documentum™ Content Management Records Manager are prefixed with `dmc_rm_i`. Internal roles specific to OpenText™ Documentum™ Content Management Physical Records Transformation Services are prefixed with `dmc_prm_i`.
- Internal roles specific to Records Manager Commonwealth Edition (RMCE) are prefixed with `dmc_rmc_i`.
- Only Records Managers can delete an object before it reaches disposition.

2.2.2 Access permissions

The following table lists the access control list (ACL) names and ranking .

Table 2-2: Access permissions list

Access Permission (permit name)	Ranking
None	1
Browse	2
Read	3
Relate	4
Version	5
Write	6

Access Permission (permit name)	Ranking
Delete	7

2.2.3 Access control list names

The following table lists the corresponding Retention Policy Services roles and rights. The numbers in parentheses represent the ranking of the rights from 1-7, where 7 represents the permission with the most rights. These numbers are required to set rights in a repository or through a DAR file.

Table 2-3: ACL names and roles

Object ACL name	Retention Manager	Compliance Officer	Power User	Contributor	Work Order Administrator	Work Order User
rps_systemconfig_acl	delete (7)	browse (2)	browse (2)	browse (2)	browse (2)	browse (2)
rps_retentionpolicy_acl	delete+ (7)	browse (2)	browse (2)	browse (2)	browse (2)	browse (2)
rps_condition_acl	delete+ (7)	browse (2)	browse (2)	browse (2)	browse (2)	browse (2)
rps_retainer_acl	delete+ (7)	relate+ (4)	write+ (6)	relate+ (4)	browse (2)	browse (2)
rps_event_acl	delete+ (7)	relate (4)	write+ (6)	relate (4)	browse (2)	browse (2)
rps_authority_acl	delete+ (7)	browse (2)	write+ (6)	browse (2)	browse (2)	browse (2)
rps_retention_markup_acl	delete+ (7)	delete+ (7)	browse (2)	browse (2)	browse (2)	browse (2)
rps_contact_acl	delete+ (7)	browse (2)	browse (2)	browse (2)	browse (2)	browse (2)
rps_basedate_acl	delete+ (7)	browse (2)	browse (2)	browse (2)	browse (2)	browse (2)
*dmc_rps_childstrategy_acl	delete (7)	browse (2)	browse (2)	browse (2)	browse (2)	browse (2)
*dmc_rps_dispositionmethod_acl	delete (7)	browse (2)	browse (2)	browse (2)	browse (2)	browse (2)

Object ACL name	Retention Manager	Compliance Officer	Power User	Contributor	Work Order Administrator	Work Order User
dmc_rps_work_order_acl	delete+ (7)	none+ (1)	none+ (1)	none+ (1)	delete (7)	none+ (1)
*dmc_rps_work_order_config_acl	delete (7)	browse (2)	browse (2)	browse (2)	delete (7)	browse (2)
*dmc_rps_work_order_host_fdr_acl	delete (7)	browse (2)	browse (2)	browse (2)	delete (7)	browse (2)

Note: + denotes the ability of a role or group to create an object of this type.

* denotes an object that cannot be manipulated.

2.2.4 Functional access for roles

The following table provides a list of function access names and their corresponding Retention Policy Services roles.

Table 2-4: Roles attributes

Functions	Role attribute
Retention Manager	`dmc_rps_retentionmanager`
Power User	`dmc_rps_poweruser`
Compliance Officer	`dmc_rps_complianceofficer`
Vital Records Administrator	`dmc_rps_vitalrecordsadministrator`
Contributor	`dmc_rps_contributor`
Disposition Configurator	`dmc_rps_disp_configurator`
Work Order Administrator	`dmc_rps_work_order_admin`
Work Order User	`dmc_rps_work_order_user`
Role Administrator	`dmc_rps_roleadministrator`
Role Architect	`dmc_rps_rolearchitect`
Owner Delete	`dmc_rps_ownerdelete`
Close Folder	`dmc_rps_close_folder`
Re-open Foder	`dmc_rps_reopen folder`

Functions	Role attribute
Move to Unretained Folder	dmc_rps_move_unretain_folder
Move to Any Retained Folder	dmc_rps_move_any_retain_folder
Move to Same Retained Folder	dmc_rps_move_same_retain_folder

Note: The Move to Unretained Folder, Move to Any Retained Folder, and Move to Same Retained Folder concerns moving a retained object, that is currently inheriting its retention, to another location where:

- The target location does not have a retention policy associated with it
- The target location has any retention policy associated to it
- The target location has the same retention policy as the original source location.

In all cases, when the object is moved, the original inherited policies are removed.

Table 2-5: Roles and functional access

Functions	Retention Manager	Power User	Compliance Officer	Vital Records Administrator	Contributor	Role Architect
Administration actions						
Create/ Modify/Delete Base Dates	Yes	No	No	No	No	No
Create/ Modify/Delete Contacts	Yes	No	No	No	No	No
Create/ Modify/Delete Authorities	Yes	No	No	No	No	No
Create/ Modify/Delete Conditions	Yes	No	No	No	No	No
Create/ Modify/Delete Retention Policies	Yes	No	No	No	No	No

Functions	Retention Manager	Power User	Compliance Officer	Vital Records Administrator	Contributor	Role Architect
Create/ Modify/Delete Retention Markups **Note:** CO role cannot create, delete, apply, or remove permanents.	Yes	No	*Yes	Yes (vital and review only)	No	No
Create/ Modify/Delete Addresses **Note:** PRM Inventory Managers can also affect addresses if they have Link permissions on the folder.	Yes	No	No	No	No	No
Link into Retention Policy or Retention Markup managed folders	Yes	Yes	Yes	Yes	Yes	No

Functions	Retention Manager	Power User	Compliance Officer	Vital Records Administrator	Contributor	Role Architect
Apply Retention Directly **Note:** PU role can do all, except folders.	Yes	*Yes, see side note	No	No	No	No
Apply Retention through Inheritance	Yes	Yes	Yes	No	Yes	No
Remove Retention	Yes	No	No	No	No	No
Apply/Remove Retention Markups **Note:** CO role cannot create, delete, apply, or remove permanents. This operation implies applying a retention markup directly to the selected object or removing it directly from the selected object.	Yes	No	*Yes, see side note.	Yes (review only)	No	No
Validate Authorities	Yes	Yes	No	No	No	No

Functions	Retention Manager	Power User	Compliance Officer	Vital Records Administrator	Contributor	Role Architect
Qualification	Yes	No	No	No	No	No
Promote to Next Phase	Yes	Yes	No	No	No	No
Disposition	Yes	No	No	No	No	No
Privileged Delete	Yes	No	No	No	No	No
View Retention List	Yes	Yes	Yes	Yes	No	No
View Retention Markup List	Yes	No	Yes	Yes	No	No
*Apply/ Remove Condition to Phase	Yes	No	No	No	No	No
Apply/Remove Authority to Phase	Yes	No	No	No	No	No
Apply/Remove Action to Phase	Yes	No	No	No	No	No
Apply/Remove Contact to Retention Markup	Yes	No	Yes	Yes	No	No
Apply/Remove Contact to Event	Yes	Yes	No	No	No	No
Apply Remove Contact to Authority	Yes	Yes	No	No	No	No
Apply Remove Contact to Action	Yes	Yes	No	No	No	No
Retention Markup Reports	Yes	No	Yes	Yes	No	No
Audit Reports	Yes	Yes	No	No	No	No
Retention Reports	Yes	Yes	No	No	No	No

Functions	Retention Manager	Power User	Compliance Officer	Vital Records Administrator	Contributor	Role Architect
Notification Reports (Administrative)	Yes	No	No	No	No	No
Notification Reports (User)	Yes	Yes	Yes	Yes	Yes	No
Retention Markup Review Report (Administrative)	Yes	No	No	No	No	No
Retention Markup Review Report (User)	Yes	Yes	Yes	Yes	Yes	No
Modify Aggregate Role Membership	No	No	No	No	No	Yes
Modify Atomic Role Membership	No	No	No	No	No	No
**Move to Unretained Folder	Yes	No	No	No	No	No
**Move to Any Retained Folder	Yes	No	No	No	No	No
**Move to Same Retained Folder	Yes	No	No	No	No	No

Functions	Retention Manager	Power User	Compliance Officer	Vital Records Administrator	Contributor	Role Architect
Close Folder **Note:** The Retention Manager and the Power User roles are added to the Close Folder and to the Re-open Folder roles during installation. Only members in Retention Manager and Power User roles can close/re-open/revert a folder.	Yes	Yes	No	No	No	No
Re-open Folder	Yes	Yes	No	No	No	No

Functions	Retention Manager	Power User	Compliance Officer	Vital Records Administrator	Contributor	Role Architect
Revert Folder **Note:** Members in the respective close and re-open folder role can undo their action if they did it accidentally, as long as they remain in that role. Only Retention Managers and Power Users can otherwise perform any of these actions.	Yes	Yes	No	No	No	No

<table>
<tr><th>Functions</th><th>Retention Manager</th><th>Power User</th><th>Compliance Officer</th><th>Vital Records Administrator</th><th>Contributor</th><th>Role Architect</th></tr>
<tr><td colspan="7">*Applies only if the retention policy is not referenced (in use).

** Regardless of which move to operation is performed, when a retained object with inherited retention is moved, the original inherited policies are removed. The operations are defined as follows:
• Move to Unretained Folder implies that the target location does not have a retention policy associated with it.
• Move to Any Retained Folder implies that the target location has any retention policy associated to it.
• Move to Same Retained Folder implies that the target location has the same retention policy as the original source location.</td></tr>
</table>

Note: Users who are to be members of the Contributor role should be added to a group before they are added to the Contributor role. This approach allows for efficient management of members in the Contributor role.

2.3 Configure administration components

This section describes how to configure the following Retention Policy Services administration components that appear under the **Retention Policy Services** module:

- Base dates
- Contacts
- Authorities
- Global conditions
- Conditions

2.3.1 Configure base dates

A base date is one of the variables that is used for calculating the qualification date against an object under chronological retention. The **Base Dates** tile displays a list of base date mappings for objects under retention. You can also create and delete base dates.

A base date value is required for the calculation of the qualification date unless a base date mapping has been created for the object under retention. For more information about qualification date, see “Qualification manager” on page 61. Only those objects that have a mapping to one of their date attributes, such as the creation date, modification date, and so on, will have a base date value.

The base date is used only when a new retainer is created as a result of:

- Applying retention directly to an object.
- Inherited retention on a folder.
- Inherited retention, with individual retention strategy, on a document.

The base date is not used if the directly applied retention is set to roll over or when a structural retention is reset. If there is no base date mapping created for the object under retention or the base date value is not valid or configured, the system searches for the best match. The system looks up the object type hierarchy to find the best base date mapping and stops when a base date mapping is found. If there is none defined, the system uses the creation date (`r_creation_date`) of the object by default.

Base date mappings apply only if the retained items have their own unique retainer. For example, if Linked retention is applied to a folder, any base date mapping for the documents are ignored. Only if the documents are inheriting Individual retention or the retention policy was directly applied will the base date mappings affect the qualification calculation. Folders only use the base date mapping if Linked retention is applied, either directly or inherited.

If a base date mapping is defined and a change is made to the attribute on the item, the system automatically recalculates the qualification date. If the field had a value and was cleared out, the creation date will be used.

Note: If the base date mapping is changed to a different field, existing retainers must be requalified manually (Qualification manager, requalify). However, if the new field was changed on an item subsequently, then an automatic requalification is initiated.

2.3.1.1 Add a base date

1. On the **Base dates** page, click the **Add** button +.
2. On the **New base date** page, in the **Object types** list, select an item.
3. In the **Attribute** list, select an item. The selected attribute represents the base date for the selected object type.

   For example, if `Document (dm_document)` for the object type is mapped to the `Created (r_creation_date)` attribute, the base date will use the creation date of the document under retention. The object type for which a mapping is created will longer appear in the **Object Type** list. The selectable attributes include:

   - `Accessed (r_access_date)`
   - `Checkout Date (r_lock_date)`
   - `Created (r_creation_date)`
   - `Effective Date (a_effective_date)`
   - `Expiration Date (a_expiration_date)`

- `Last Review Date (a_last_review_date)`
- `Modified (r_modify_date)`

Note: If a base date was not created for the object type that is under retention, Retention Policy Services searches all of its super types for a base date mapping. If none of the super types have a mapping to pick from, Retention Policy Services then uses the last disposition date of the object if it has one. If that date is not available, then the creation date of the system object (`dm_sysobject`) will be used. Although the retention date (`Retained (a_retention_date)`) was a selectable attribute, which it no longer is, any previously set base date entry that uses this attribute will be ignored when retention is applied or requalification in the first phase occurs.

4. Optional In the **Description** box, provide a description.
5. Click **Save** to complete the process. Click **Cancel** to reset the values in the fields if you want to redo the creation process.

   The new base date appears in the **Base dates** table.

2.3.1.2 Edit a base date mapping

1. Edit a base date using any one of the following ways:
   - Click a base date object in the **Name** column of the table.
   - Select the check box for the base date object and click **Edit**.
   - Point to a base date and click the **Edit** button on the **Inline Action Bar**.
2. On the <*base date object*> page, update the required fields and click **Save**. Click **Reset** if you want to reset the values in the fields.

2.3.1.3 Delete a base date mapping

All existing objects that are retained according to the selected base date for a retention policy will continue to age normally after the base date mapping is deleted. However, any new objects added after the base date mapping is deleted will be retained according to the default base date mapping.

Delete a base date mapping:

1. Delete a base date mapping using any one of the following ways:
   - Select the check box for the base date object that you want to delete and click **Delete**. You can select multiple base dates.
   - Point to a row and click the **Delete** button on the **Inline Action Bar**.
   - To delete all the base dates listed in the table. select the **Select all items** check box in the header row of the **Object types** column and click **Delete**.

2. In the **Delete** confirmation box, click **Delete**. If you want to cancel the operation, click **Cancel**.

2.3.2 Configure contacts

Contacts provide an editable master list that you can access and use for the following items:

- Authorizers (for authorities)
- Approvers (for retention markups)
- Requestors (for retention markups)
- Contacts (for actions and events)

2.3.2.1 Add a contact

1. On the **Contacts** page, click the **Add** button +.
2. On the **New contact** page, in the **Name** box, type a unique name:
3. Enter values for the contact information such as **Email**, **Phone** using the respective Edit options.
4. In the **User** and **Address** boxes, click the **Browse** button and select a predefined user and address respectively.

   Note: To create a contact, either the **Email** or **User** fields must be filled.

5. Click **Save**. Click **Cancel** to reset the values in the fields if you want to redo the creation process.

   The new contact appears in the **Contacts** table.

2.3.2.2 Edit a contact

1. Edit a contact using one of the following ways:
   - Click the contact in the **Name** column of the table.
   - Select the check box for the contact and click **Edit**
   - Point to a contact name and click the **Edit** button on the **Inline Action Bar**.
2. On the contact page, update the required fields and click **Save**. Click **Reset** if you want to reset the values in the fields.

2.3.2.3 Delete a contact

1. Delete a contact using any one of the following ways:
    - Select the check box for the contact that you want to delete and click **Delete**. You can select multiple contacts.
    - Point to a row and click the **Delete** button 🗑 on the **Inline Action Bar**.
    - To delete all the contacts listed in the table. select the **Select all items** check box in the header row of the **Name** column and click **Delete**.
2. In the **Delete** confirmation box, click **Delete**. If you want to cancel the operation, click **Cancel**.

2.3.3 Configure authorities

An authority is a person or group that authorizes the promotion of objects from one phase to the next in the retention policy. You must also have an authority for the final phase when the disposition of objects occurs. All phases in a retention policy require an authority present for aging to occur. The retainers will start the aging process only when a valid authority is added.

2.3.3.1 Add an authority

1. On the **Authorities** page, click the **Add** button +.
2. In the **New authority** page, in the **Info** area, in the **Name** box, type a name for the new authority.
3. Optional In the **Description** box, provide a short description.
4. Select the **Valid** check box to add authorities as valid authorities. Retainers will not start the aging process unless the retention policy uses a valid authority.

   Each phase of a retention policy must have at least one valid authority for the object to age. Multiple authorities can be applied to a single phase. The same authority or authorities can be used for all the phases of a retention policy.
5. In the **Authorizers** area, in the list of authorizers, select the required authorizer. An authorizer is a person who is used as a reference or a contact to ensure that an authority is up to date.

   To add new authorizers to the list, click the **Add** button +.

   Authorizers are created with a master contact list. For more information about the master contact list, see “Configure contacts” on page 28.
6. Click **Save**. Click **Cancel** to reset the values in the fields if you want to redo the creation process.

   The new authority appears in the **Authorities** table.

2.3.3.2 Edit an authority

1. Edit an authority using any one of the following ways:

   - Click the authority in the **Name** column of the table.
   - Select the check box for the authority and click **Edit**
   - Point to an authority name and click the **Edit** button on the **Inline Action Bar**.

2. On the authority page, update the required fields and click **Save**. Click **Reset** if you want to reset the values in the fields.

2.3.3.3 Delete an authority

1. Delete an authority using any one of the following ways:

   - Select the check box for the authority that you want to delete and click **Delete**. You can select multiple authorities.
   - Point to a row and click the **Delete** button on the **Inline Action Bar**.
   - To delete all the authorities listed in the table. select the **Select all items** check box in the header row of the **Name** column and click **Delete**.

2. In the **Delete** confirmation box, click **Delete**.

2.3.4 Configure global conditions

A global condition causes the object to go to the last phase if it is fulfilled. This special type of condition is outside of the phases of the retention policy.

Global conditions apply to the entire policy and ages across the entire retention policy. On retainers, global conditions are called *global events*.

Global conditions may take precedence over phase conditions when both types are specified for a given retention policy. The global condition, when fulfilled, becomes the new qualification date. When the object is promoted, it goes directly to the final phase. When a global event is fulfilled, the object promotes to the final phase skipping the intermediary phases.

A retention policy can have one or more global conditions added to it in which case only the global condition with the longest date interval is acknowledged. For example, a global event that has March 23 specified is acknowledged while the global event that has March 22 specified is ignored.

Retainers continue to age whether the global condition has a global authority specified for it or not, as long as each phase has a valid authority. However, if the global event is fulfilled, then the item will not progress to the next phase until the global authority is added.

2.3.4.1 Add a global condition

1. On the **Global conditions** page, click the **Add** button +.
2. In the **New global condition** page, in the **Name** box, type a name for the global condition.
3. In the **Category** box, type or choose a category for the global condition.
4. Optional In the **Description** box, provide a short description.
5. Click **Save**. Click **Cancel** to reset the values in the fields if you want to redo the creation process.

   The new global condition appears in the **Global conditions** table.

2.3.4.2 Edit a global condition

1. Edit a global condition using any one of the following ways:
   - Click the global condition in the **Name** column of the table.
   - Select the check box for the global condition you want to edit and click **Edit**
   - Point to a global condition name and click the **Edit** button on the **Inline Action Bar**.
2. On the global condition page, update the required fields and click **Save**. Click **Reset** if you want to reset the values in the fields.

2.3.4.3 Delete a global condition

1. Delete a global condition using any one of the following ways:
   - Select the check box for the global condition that you want to delete and click **Delete**. You can select global condition.
   - Point to a row and click the **Delete** button on the **Inline Action Bar**.
   - To delete all the global condition listed in the table. select the **Select all items** check box in the header row of the **Name** column and click **Delete**.
2. In the **Delete** confirmation box, click **Delete**.

2.3.5 Configure conditions

A condition is a template for an event that is added to a retention policy for a given phase. After the policy is applied to an object, this becomes an event to which a date can be set. Once the date is set, retainers start to age. On retainers, conditions are called *events*. If you add multiple conditions, then age depends to the mixed mode rule that is set on the policy.

You can make the conditions:

- All optional
- All mandatory
- Any one is mandatory

2.3.5.1 Add a condition

1. On the **Conditions** page, click the **Add** button +.
2. In the **New condition** page, on the **Info** tab, in the **Name** box, type a name for the condition.
3. In the **Category** box, select a value from the list. To add a new category, click **Add new** and type a value.
4. Optional In the **Description** box, provide a short description.
5. Click **Save**. Click **Cancel** to reset the values in the fields if you want to redo the creation process.

   The new condition appears in the **Conditions** table.

2.3.5.2 Edit a condition

1. Edit a condition using any one of the following ways:
   - Click the condition in the **Name** column of the table.
   - Select the check box for the condition you want to edit and click **Edit**
   - Point to a condition name and click the **Edit** button on the **Inline Action Bar**.
2. On the condition page, update the required fields and click **Save**. Click **Reset** if you want to reset the values in the fields.

2.3.5.3 Delete a condition

You cannot delete a condition that is currently in use by a retention policy.

Delete a condition:

1. Delete a condition using any one of the following ways:
   - Select the check box for the condition that you want to delete and click **Delete**. You can select multiple conditions.
   - Point to a row and click the **Delete** button on the **Inline Action Bar**.
   - To delete all the conditions listed in the table. select the **Select all items** check box in the header row of the **Name** column and click **Delete**.
2. In the **Delete** confirmation box, click **Delete**.

2.3.6 Configure job filters

In this tile, you can configure the job filter criteria to optimize performance and prevent work order timeouts when processing large volumes of objects.

2.3.6.1 Configure Disposition job filters

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Retention policy services** > **Configuration**.
3. On the **Configuration** page, click **Disposition Job Filters Configuration** or the **Info** button in the **Inline Action Bar**.
4. Update the values for the attribute settings as described in the following table:

   Table 2-6: Disposition job filter attributes

Attribute	Description
In Folder	This attribute enables users to select multiple folders. The folder contents will be used for disposition.
Retention Policy	This attribute enables users to select multiple retention policies.
Qualification Date	The selected **To Date** must be later than **From Date**. Retainers whose disposition dates are within this date range will be considered by the disposition job.

5. Click **Save**. Click **Reset** if you want to reset the values in the fields.

2.3.6.2 Configure Promotion job filters

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Retention policy services** > **Configuration**.
3. On the **Configuration** page, click **Promotion Job Filters Configuration** or the **Info** button ⓘ in the **Inline Action Bar**.
4. Update the values for the attribute settings as described in the following table:

Table 2-7: Promotion job filter attributes

Attribute	Description
In Folder	This attribute enables users to select multiple folders. Objects from subfolders are also considered if **Include Sub Folders** is selected. The folder contents will be used for promotion.
Type	This attribute enables users to select multiple types. Only objects of these types will be considered for promotion.
Retention Policy	This attribute enables users to select multiple retention policies.
Authority	This attribute enables users to select multiple authorities.
Phase	This attribute enables users to select multiple phases. The job picks only those retainers whose status matches with the selected phases.
Qualification Date	The selected **To Date** must be later than **From Date**. Retainers whose disposition dates are within this date range will be considered by the promotion job.
Event Date	The selected **To Date** must be later than **From Date**. Retainers whose event dates are within this date range will be considered by the promotion job.

5. Click **Save**. Click **Reset** if you want to reset the values in the fields.

2.3.6.3 Configure Qualification job filters

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Retention policy services** > **Configuration**.
3. On the **Configuration** page, click **Qualification Job Filters Configuration** or the **Info** button in the **Inline Action Bar**.
4. Update the values for the attribute settings as described in the following table:

Table 2-8: Qualification job filter attributes

Attribute	Description
In Folder	This attribute enables users to select multiple folders. Objects from subfolders are also considered if **Include Sub Folders** is selected. The folder contents will be used for qualification.
Type	This attribute enables users to select multiple types. Only objects of these types will be considered for qualification.
Retention Policy	This attribute enables users to select multiple retention policies.
Authority	This attribute enables users to select multiple authorities.
Phase	This attribute enables users to select multiple phases. The job picks only those retainers whose status matches with the selected phases.
Allow Re-Qualification	If this option is selected, retainers that have already qualified are picked up by the job and requalified.
Qualification Date	The selected **To Date** must be later than **From Date**. Retainers whose disposition dates are within this date range will be considered by the qualification job.
Event Date	The selected **To Date** must be later than **From Date**. Retainers whose event dates are within this date range will be considered by the qualification job.

5. Click **Save**. Click **Reset** if you want to reset the values in the fields.

2.4 Manage retention policies

You can create new retention or create a copy from existing policies. Retention policies can be created to be driven in chronological mode, conditional mode, or mixed mode to use both chronological and conditional modes. Retainers do not start to age unless a valid authority is added to the retention policy.

Confirmation may or may not be mandatory for each retention policy that is created, modified, or deleted. However, you can turn off the mandatory confirmation when necessary on the rps_docbase_config file. The attribute that controls this setting is labeled Enable Mandatory Justification Field.

2.4.1 Add a retention policy

1. In Admin Console, click **Modules > Governance and compliance > Retention policy services > Retention policies** on the navigation menu.
2. On the **Retention policies** page, click the **Add** button +.
3. On the **New retention policy** page, type or select the values as described in the following table:

Field	Description
Name	Provide a unique name.
Description	*Optional*. Provide a short description on its usage, why or what it is needed for, whether it cascades or not, and so forth.

Field	Description
Enable Retention Policy	Select this check box to apply the retention policy immediately. This check box controls whether the retention policy can be applied to an object or not. Administrators can make it unavailable to prevent further usage when necessary. A policy cannot be modified once it is in use, that is, after it is applied to an object , unless it is disabled. Existing objects referencing the policy are not affected when it is disabled. A use case for this check box, depending on intent, might be for turning off the policy to commission a new version. In this case, you can disable the policy to decommission the current version and modify a copy of it to create the new version. The new version or copy can then be commissioned when necessary. Using the current version as a base copy for only a few modifications prevents unnecessary effort and possible mistakes. The need to reenter the information to create a new version of the same policy can be avoided. **Note:** Disable the policy when making a copy of it to prevent anyone from applying it while it is being modified, unless there is a reason to use both the old version and the new version.

<table>
<tr><th>Field</th><th>Description</th></tr>
<tr><td>Supersede on new version</td><td> Select this option if you want to promote the retainers on all versions, except the Current version, of the object created as a result of check-ins directly to the Final Phase, while the retainer on the Current version object continues to age normally. If this option is not selected, retainers on all versions, including the Current version of the object, will age normally. If you apply a supersede retention policy to an object and then version it and the Current version is not retained, the old version is not superseded; it becomes superseded when the Current version is retained (it can be retained by any policy and does not have to be a policy with supersede on it). If you use a linked retention policy with this option and apply the policy to a folder, the supersede functionality will NOT work because folders cannot be versioned in OpenText Documentum CM . The supersede functionality must only be used with retention policies that have Individual selected for the retention strategy. </td></tr>
<tr><td>Metadata Immutable</td><td>Select this option to make the metadata immutable. Applying a retention policy on a folder with this option selected prevents folder linking or unlinking. The folder cannot be moved (unlinked) from its existing location or linked to another folder. However, this setting does not affect the documents within the folder and therefore, they can be moved, unlinked, or linked with sufficient permissions.</td></tr>
<tr><td>Retention Strategy</td><td> Select a strategy that determines whether each object in a folder structure is associated to its own retainer object or whether the parent (folder) object and child object(s) share a common retainer. Child objects age with the parent folder in a Linked strategy or independently in an Individual strategy. When the Linked strategy is selected, all the documents in a folder age together according to the folder retainer. Otherwise, the documents age separately if the Individual strategy is selected. </td></tr>
</table>

Field	Description
Structural retention type	Select this option to retain the container object during disposition. When enabled, only the items inside the container (such as a folder or category) are disposed of during the final phase of disposition. After the container object is emptied, the retainer is reset. Any new items added to the container will begin aging from phase 1, based on their new entry date. For example, if the original entry date was 2000 and the contents were disposed of in 2005, the container begins aging again from 2005. If this option is not selected, the container is also destroyed after its contents are disposed of. This option is available only when: • **Retention Strategy** is set to **Linked** • **Disposition Strategy** does not require rollover such as, Export all, Destroy all, Destroy all, NARA transfer, and Destroy all. It is disabled if the **Retention Strategy** is set to **Individual**.
Disposition Strategy	Select a strategy to determine the action that will be applied to the retained object during Final processing by Disposition. For more information about disposition strategies, see "Disposition strategies" on page 70.

Field	Description
Rollover Retention Policy	Click the **Browse** button and select a retention policy. Rollovers are mandatory if you create a retention policy that is non-terminating, that is, whose disposition strategy retains either the metadata alone or both the metadata and the content. This option only appears if the **Disposition Strategy** specifies a non-terminating value: • **Review** • **Export all** • **Export all, Destroy content** • **Destroy content** • **NARA Transfer, Destroy content** When a rollover occurs, the rollover retention policy is applied only to objects that are managed through a single retainer. If a linked retention policy triggers a rollover, the policy applies only to the folder and its documents that are managed and aged through a single retainer. Subfolders that are managed and aged through separate retainers will not have the rollover policy applied until their respective retainer is triggered for rollover (disposition). Although rollover retention policies no longer cascade into child folders, any previously rolled over retentions will continue to follow the original inheritance pattern, that is, they are grandfathered.
Rules	
Rendition	Select **Primary Format Only** if you want only the object to which retention was applied to be protected from deletion and retained. Select **All Renditions** if you want the original object and any renditions to be retained. For example, a Word document and its PDF rendition.

Field	Description
Cascade	Select the appropriate cascade rule for the policy. **Cascade To Subfolders**: Controls whether the retention policy is inherited by subfolders. When selected, the retention policy applied to the parent folder automatically cascades to all its subfolders. **Cascade To Subcategories**: Controls whether the retention policy that is applied to a category of a taxonomy, cascades to all subcategories.
Virtual document retention	Select **Retain Root Only** to retain only the virtual document parent. Select **Retain Root and Children** to retain the virtual document and its attachments.
Snapshot retention	Select **Retain Root Only** to retain only the snapshot parent. Select **Retain Root and Children** to retain the snapshot and its attachments. Snapshots are created when a formal record is declared.
VDM/Snapshot children rendition	This option appears only if **Snapshot retention** is set to **Retain Root and Children**. Select this option to retain renditions on the snapshot. **All Renditions**: Retains the renditions of the child documents that are in a snapshot. **Primary Format Only**: Retains only the child documents and not their renditions.

<table>
<tr><th>Field</th><th>Description</th></tr>
<tr><td>Metadata immutable</td><td>This option appears only if Snapshot retention is set to Retain Root and Children.

Select this check box to enforce immutability on the metadata of child documents within a snapshot. When not selected, the original immutability setting of each child object, whether mutable or immutable, is preserved.
When selected, the metadata of child documents under retention cannot be edited, regardless of their original immutability status. The snapshot’s own metadata also becomes immutable.
When cleared, the original immutability setting of each child document is preserved, whether mutable or immutable, prior to retention.
Note: The snapshot is not affected by this setting. If you want the snapshot to a be immutable, use the Metadata Immutable option in the Strategies area.</td></tr>
<tr><td>Global Condition</td><td>Add a global condition by clicking the Add button and selecting one or more conditions. You can also add it from its properties when it is not in use (not applied). For more information about global conditions, see “Configure global conditions” on page 30.

A global condition overrides a standard condition if any are added to the Phases tab.

To delete a global condition, point to a row and click the Delete button on the Inline Action Bar. To delete multiple conditions, select the check boxes and click the Delete button .</td></tr>
</table>

Field	Description
Global Authorities	Add a global authority by clicking the **Add** button and selecting one or more authorities. For more information, see “Configure authorities” on page 29. To delete a global authority, point to a row and click the **Delete** button on the **Inline Action Bar**. To delete multiple authorities, select the check boxes and click **Remove**.

4. On the **Phases** tab, in the **Phase Selection** area, in the **Choose lifecycle** list, select the phase for the policy.

5. In the **Phase Configuration** area, click the phase for which you want to change the default values and then the **Expand** button. Configure the following settings:

Phase name
Click the **Edit** button to provide a unique name that identifies the phase. You cannot change the name once the policy is in use.

Requires approval
This check box appears for the **Final** phase only. When selected, it ensures that the record is reviewed and approved before disposition. If the check box is cleared, disposition proceeds without requiring approval.

Duration
Provide the values for **Days**, **Months**, and **Years**, which determines how long the aging process lasts once triggered. Aging begins either when a specified event occurs (conditional aging) or when a defined date is reached (chronological aging).

Cut-off period
This is *optional*. Select **Monthly**, **Quarterly**, **Semi-Annually**, or **Annually** to round the qualification date up to the specified interval.

Objects that qualify after the cut-off date are deferred to the next cut-off period. Objects that cannot qualify by the current cut-off date are also deferred to the next period.

Retained objects can be rounded up to a specific value. For example, fiscal records can begin aging from the start of the appropriate fiscal year.

Condition
Click the **Add** button and select one or more conditions.

To delete a condition, point to a row and click the **Delete** button on the **Inline Action Bar**. To delete multiple conditions, select the check boxes and click the **Delete** button.

For an added condition, update the following parameters:

- **Mixed mode rule**: Indicates how aging is calculated:
  - **Serial**: Aging is calculated from the date an event is fulfilled. The cutoff period is applied, followed by the duration. If multiple events are fulfilled, the event selection rule determines which one to use—either the earliest or latest. For conditional policies, the duration is added to the event fulfillment date.
  - **Early parallel**: This mode evaluates two paths—the chronological path and the conditional path. The qualification date is determined by selecting the earlier of the two resulting dates, allowing for a more accelerated aging calculation when conditions are met sooner.
  - **Late parallel**: Similar to Early Parallel, but the qualification date is based on the later of the two evaluated paths.

  For both parallel options, the conditional path does not add duration to the event dates.
- **Event fulfillment rule**: Determine whether all events are mandatory or optional or if any single event is sufficient.
- **Event selection rule**: Determines whether to use the earliest or the latest event date.

To understand the aging behavior based on the combination selected these rules, see "Mixed mode matrix" on page 45.

Authority

Click the **Add** button + and select one or more authorities. When you add an authority to a phase, you are prompted to add them to all phases.

To delete an authority, point to a row and click the **Delete** button on the **Inline Action Bar**. To delete multiple authorities, select the check boxes and click **Remove**.

Actions

You can add an Action Name to specify a means of communicating with or notifying the authority if specified in the policy. This is *optional*.

Click the **Add** button + and type or select the information in the following fields in the **Add action** dialog box:

- **Name**: Provide a name for the action.
- **Action type**: By default, this is set to **Notification** as the means of communication. You can also select **Folder operation** or **Record relation**.

  The **Record relation** type is used exclusively with the Suspend relationship type and a configured **Resumes aging on relationships** action on the child.

The **Folder operation** type provides a **Close Folder** and **Open Folder** action for folder operations. This appears only when **Retention Strategy** is set to **Linked**.

- **Notification type**: Specify whether the action notification must be sent through email or as an inbox notification.
- **Execution Rule**: Specify when the send the action notification, that is, at phase entry or phase exit.
- **Contact**: Select one or more recipients of the action. Only appears for the **Notification** action type.

2.4.1.1 Mixed mode matrix

The following table describes the aging behavior based on the combination selected mixed mode and event fulfillment rules:

Table 2-9: Mixed mode matrix

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Serial	Aging starts only after all events are fulfilled. Qualification date is calculated as follows: • Take the event date (defined by selection rule of either earliest or latest) • Apply the cutoff (if specified) • Add the duration	Aging continues chronologically unless an event occurs to trigger recalculation. When the first event is fulfilled, the event date is used instead of the entry date. If subsequent events are fulfilled, the event selection rule determines whether to use the earliest or latest date.	Aging does not start unless at least one event is fulfilled. When the event is fulfilled, cutoff is applied and then duration is added. If subsequent events are fulfilled, the event selection rule determines whether to use the earliest or latest date.

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Early Parallel	Aging starts only after all events are fulfilled. Qualification date is calculated as follows: • After all the events occur, apply cutoff to event date to determine the conditional path. • Apply the cutoff to the starting date, add duration, to determine the chronological path. • Choose the earlier of dates between the conditional and the chronological paths.	If no events are fulfilled, aging continues chronologically. However, when an event is fulfilled, two different paths are evaluated: • Chronological • Conditional: Use this combination when you want to normally chronologically age a certain period but have an exception event that moves up the qualification date. If the event is not fulfilled, apply the cutoff to the starting date and add the duration. If at least one event is fulfilled: • Apply cutoff to event date to determine the conditional path. • Apply the cutoff to the starting date, add duration, to determine the chronological path. • Choose the earlier of dates between the conditional and the chronological paths.	This combination is similar to the early parallel, all events are optional except that aging calculations cannot be started until at least one event is fulfilled. Qualification date is calculated as follows: • After at least one event occurs, apply cutoff to event date to determine the conditional path. • Apply the cutoff to the starting date, add duration, to determine the chronological path. • Choose the earlier of dates between the conditional and the chronological paths.

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Late Parallel	Similar to the above combination except the later of the two paths is used.	Similar to the above combination except the later of the two paths is used. This combination is useful if you want to use an event to push out the qualification date.	Similar to the above combination except the later of the two paths is used.

2.4.1.2 Examples

To understand the mixed mode rules, consider the following example:

- Assume the base date is January 1, 2010.
- Settings for the mixed mode rule and the event fulfillment rule will be varied.
- Event selection rule is set to the latest event date.

The following tables illustrate the sample scenarios where events vary for each mixed mode rule.

Example 1: No event date is set

Table 2-10: Determining qualification date when no event date set

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Serial	(none - not all events fulfilled)	Event Does not happen, only one path Duration Path Entry Date: Jan 1, 2010 Apply cutoff: Sept 15, 2010 Add Duration: 3 years Duration Path Date: Sept 15, 2013 Qualification Date: Sept 15, 2013	(none - need one event fulfilled)

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Early Parallel	(none - not all events fulfilled)	Event does not happen, only one path Duration Path Entry Date: Jan 1, 2010 Apply cutoff: Sept 15, 2010 Add Duration: 3 years Duration Path Date: Sept 15, 2013 Qualification Date: Sept 15, 2013	(none - need one event fulfilled)
Late Parallel	(none - not all events fulfilled)	Event does not happen, only one path Duration Path Date: Sept 15, 2013 Qualification Date: Sept 15, 2013	(none - need one event fulfilled)

Example 2: Set End of Employment event to May 1, 2010. Only one of the 2 event dates is set

Table 2-11: Determining qualification date example when 1 of 2 event dates set

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Serial	(none - not all events fulfilled)	Event date: May 1, 2010 Apply cutoff: Sept 15, 2010 Add duration 3 years = Qualification Date: Sep 15, 2013	Event date: May 1, 2010 Apply cutoff: Sept 15, 2010 Add duration 3 years = Qualification Date: Sep 15, 2013

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Early Parallel	(none - not all events fulfilled)	Duration Path Entry Date: Jan 1, 2010 Apply cutoff: Sept 15, 2010 Add Duration: 3 years Duration Path Date: Sept 15, 2013 Event path Event Date: May 1, 2010 Apply Cutoff: Sept 15, 2010 Earliest of two paths: Event Path: Sept 15, 2010 Qualification Date: Sept 15, 2010	Duration Path Entry Date: Jan 1, 2010 Apply cutoff: Sept 15, 2010 Add Duration: 3 years Duration Path Date: Sept 15, 2013 Event path Event Date: May 1, 2010 Apply Cutoff: Sept 15, 2010 Earliest of two paths: Event Path: Sept 15, 2010 Qualification Date: Sept 15, 2010
Late Parallel	(none - not all events fulfilled)	Latest of two paths: Duration Path: Sept 15, 2013 Qualification Date: Sept 15, 2013	Latest of two paths: Duration Path: Sept 15, 2013 Qualification Date: Sept 15, 2013

Example 3: Set Employee Retirement date to Nov 15, 2010

Table 2-12: Determining qualification date example when 2 event dates set

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Serial	Latest event date: Nov 15, 2010 Apply cutoff: Sept 15, 2011 Add Duration: 3 years = Qualification Date: Sep 15, 2014	Latest event date: Nov 15, 2010 Apply cutoff: Sept 15, 2011 Add Duration: 3 years = Qualification Date: Sep 15, 2014	Latest event date: Nov 15, 2010 Apply cutoff: Sept 15, 2011 Add Duration: 3 years = Qualification Date: Sep 15, 2014

Mixed mode rule	All events are mandatory	All events are optional	Any one event is mandatory
Early Parallel	Duration Path Entry Date: Jan 1, 2010 Apply cutoff: Sept 15, 2010 Add Duration: 3 years Duration Path Date: Sept 15, 2013 Event path Event Date: Nov 15, 2010 Apply Cutoff: Sept 15, 2011 Earliest of two paths: Event Path: Sept 15, 2011	Duration Path Entry Date: Jan 1, 2010 Apply cutoff: Sept 15, 2010 Add Duration: 3 years Duration Path Date: Sept 15, 2013 Event path Event Date: Nov 15, 2010 Apply Cutoff: Sept 15, 2011 Earliest of two paths: Event Path: Sept 15, 2011	Duration Path Entry Date: Jan 1, 2010 Apply cutoff: Sept 15, 2010 Add Duration: 3 years Duration Path Date: Sept 15, 2013 Event path Event Date: Nov 15, 2010 Apply Cutoff: Sept 15, 2011 Earliest of two paths: Event Path: Sept 15, 2011
Late Parallel	Latest of two paths: Duration Path: Sept 15, 2013	Latest of two paths: Duration Path: Sept 15, 2013	Latest of two paths: Duration Path: Sept 15, 2013

2.4.1.3 Effect of retention policy changes on objects

The following table outlines the types of changes that can be made to a retention policy after it is applied, and explains how these changes affect objects that already have the policy assigned.

Table 2-13: Retention policy changes and effect on objects that already have the policy applied

Action	Description	Next step to put change into effect
Add valid authority assuming there were no valid authorities on the current phase of the retention policy.	Changes will only go in effect for new applications of the retention policy. This includes documents that are linked into folders with individual retention or folders that are linked into folders with linked retention.	In the **Qualification** module, perform a search and qualify. The alternate method is to run the qualification job. To update the previously qualified objects, select the **Allow re-qualification** option in the **Qualification** module.

Action	Description	Next step to put change into effect
Remove all valid authorities from the current phase of the retention policy.	Changes will only go in effect for new applications of the retention policy. This includes documents that are linked into folders with individual retention or folders that are linked into folders with linked retention.	In the **Qualification** module, select **Allow re-qualification**, perform a search, and qualify.
Change duration or cut-off on the current phase of the retention policy.	Changes will only go in effect for new applications of the retention policy. This includes documents that are linked into folders with individual retention or folders that are linked into folders with linked retention.	In the **Qualification** module, select **Allow re-qualification**, perform a search, and qualify.
Change duration or cut-off on a subsequent or future phase of the retention policy.	When objects are promoted into the next phase the new values will be used to calculate the qualification date.	No manual action required.
Change the mixed mode setting of the retention policy.	Changes will only go in effect for new applications of the retention policy. This includes documents that are linked into folders with individual retention or folders that are linked into folders with linked retention.	In the **Qualification** module, select **Allow re-qualification**, perform a search, and qualify.

After the change is made, Retention Policy Services automatically tries to requalify the object if an event date is set or cleared.

2.4.2 View and edit a retention policy

To view a retention policy, click **Modules > Governance and compliance > Retention policy services > Retention policies** on the navigation menu. The list of policies appear in a tabular format on the **Retention policies** page. You can also use the **Retention** and **Retention markup** reports to view retention policies. See “Compliance reports“ on page 85.

Edit a policy:

1. Edit a retention policy using any one of the following ways:
   - Click the policy in the **Name** column of the table.
   - Select the check box for the policy you want to edit and click **Edit**

- Point to a policy name and click the **Edit** button on the **Inline Action Bar**.

2. On the **Edit retention policy** page, update the required fields and click **Save**. Click **Reset** if you want to reset the values in the fields.

2.4.3 Apply a retention policy

Users can apply retention policy on object in the OpenText Documentum CM client. See *OpenText Documentum Content Management - Smart View User Help (EDCCL-H-UGD)*.

In Admin Console, you can apply retention policies on objects using the **Retention**, **Retention markup**, and **Close folder** reports. See “Compliance reports“ on page 85.

2.4.4 Delete a retention policy

A retention policy can be deleted only when there are no retainers referencing it. Therefore, all retainers must be removed from those objects they retain before the policy can be deleted.

1. Delete a retention from the table using any one of the following ways:

   - Select the check box for the retention policy that you want to delete and click **Delete**. You can select multiple policies.
   - Point to a row and click the **Delete** button on the **Inline Action Bar**.
   - To delete all the retention policies listed in the table. select the **Select all items** check box in the header row of the **Name** column and click **Delete**.

2. In the **Delete** confirmation box, click **Delete**.

2.4.5 Privileged Delete

Privileged Delete provides users with the ability to select an object at any time. Only users with the Retention Manager role can perform the privileged delete operation. Performing a privileged delete does not delete the retention policy, however, it deletes objects before their retention policy duration has elapsed. You cannot perform a Privileged Delete against an empty container, cabinet or folder. A privileged delete performed against a container, cabinet or folder, that has content will delete everything in the container along with the container.

You can perform a Privileged Delete using the **Retention** and **Retention markup** reports. See “Compliance reports“ on page 85.

2.5 Manage retention markups

Sometimes, special circumstances such as a court order or an investigation make it necessary to prevent disposition that involves the destruction or final transfer of objects. A retention markup is applied to an object, a document or a folder, to either tag a document or documents in a folder or, to prevent any further action or processing against the document or documents in the folder.

2.5.1 Retention markup designations

The markups are created with various designations or combination of designations to prevent processing actions, such as promotion or destruction, whether it is under retention or not. Some of the designations can be applied to an object with or without a retention policy. All existing documents in the folder or any new ones added inherit the markup after it is applied to the folder, whether the markup is set to cascade to subfolders or not. Documents in subfolders however will only inherit if cascading to subfolders is allowed. Cascades to subfolders is disabled by default, to prevent propagation to subfolders.

Retention Managers can administer (create, apply, and remove) all retention markups. The Compliance Officer can also administer retention markups except the permanent.

The markup designations are as follows:

Hold
: Protects an object temporarily from being deleted or destroyed, including privileged deletes, whether it is retained or not. A hold is intended to suspend the destruction temporarily until the investigation in a legal matter is complete. All other non-destructive actions, such as transfers, will be processed for objects in the final phase. Objects under Linked retention in the final phase are not displayed for disposition; only those under Individual retention that have retainers are displayed. Qualification and promotion processes continue normally. None of the date calculations are affected when an object is placed on hold. When holds are removed, the object becomes eligible for disposition. Single and multiple holds can be applied to an object and all of them must be removed first for the disposition process to occur.

Notes

- If you are using Centera, configure the system to accept the Retention Policy Services hold. See the *Centera documentation* for more information. The Centera cluster must be configured to grant retention hold privilege. Retention hold in Centera requires an advanced retention license and is configured by the Centera administrator.
- If a child of a folder is under Hold, then the folder cannot be disposed.

Permanent
: Stops the destruction of objects. Use this option when it is necessary to preserve an object indefinitely. Permanent markups require a higher privilege to apply

than holds. This designation also prevents privileged deletes and disposition. Single and multiple permanents can be applied to an object and all of them must be removed first for the disposition process to occur.

Freeze
Stops the promotion of an object from one phase to the next. It prevents the retainers applied to the object from qualifying for promotion to the next phase in the retention lifecycle. However, it does not prevent disposition of an object that is promoted to the final phase. If the object is not under retention, applying this markup does nothing. However, if the object is placed under retention at a later time, then the markup will prevent promotion. If freeze was applied when the qualification date was passed, it affects the qualification date of the next phase after the freeze has been removed.

Review
Indicates that the object is under review whether it is retained or not. Review does not prevent promotion or disposition.

You can configure review notifications as email or inbox notifications when creating a retention markup or reconfigure from its properties. The notifications are sent periodically according to the action name and review period specified. The notification has **RPS Review** in the **Subject** field to differentiate it from other notification types. Only one markup notification is generated irrespective of whether the markup is applied to one or more objects.

Vital
Designates records as critical to day-to-day business operations. This designation allows records to be searchable but does not restrict their promotion or disposition.

None of the date calculations are affected when an object has a retention markup other than freeze.

2.5.2 Add a retention markup

A retention markup must be created before it can be applied to an object.

Create a retention markup:

1. In Admin Console, click **Modules > Governance and compliance > Retention policy services > Retention markups** on the navigation menu.
2. On the **Retention markups** page, click the **Add** button +.
3. On the **Info** tab, provide the following details:

Table 2-14: Retention markup attributes

Field	Description
Name	Type a unique name to distinguish this markup from other existing markups.

Field	Description
Description	Provide a short description.
Enable	Select this option to make the markup available for application on items in the repository. If you do not select this option, the markup will not be available for application. In other words, when you apply a retention markup, this markup is not listed in the locator when you click **Select retention markup**. The setting for this option can be changed only if this retention markup is not in use (not applied). A retention markup must be removed from all objects it is applied to before it or this option can be modified.
Cascades To Sub-folders	Select this option to propagate the markup to the subfolders.
Retention markup approved date	Specify the date when the markup was approved for usage.
Retention markup review date	Specify the date when the markup was reviewed for use. It is beneficial to review the markup regularly. A new review time can be set each time it is reviewed.
Designations	Select one or more of the markup designations.

Selecting the **Review** option for **Designations** displays additional attribute that you must specify:

Table 2-15: Review properties attributes

Attribute	Description
Period	Review notifications are sent periodically, at intervals based on one of the following choices: • Monthly • Quarterly • Semi-Annually • Annually
Month	Select the desired month if the period is set to **Quarterly**, **Semi-Annually**, or **Annually**. This field does not appear if you select **Monthly** as the **Period**. Both the **Month** and the **Day** attributes are displayed if any other value is selected for the **Period**.

Attribute	Description
Day	Select the day of the month when the notification must be sent. To know more about the month and date mapping for a selected period, see “Month and date mapping” on page 57.
Review	Provide descriptive information or instructions for the reviewer.
Action Name	Select the means by which notification is sent: • **E-mail Notification**: These notifications are sent to the inbox of the recipient's email application. • **Inbox notification**: These notifications are sent to the recipient's inbox on the Records Client application.
Notify	Specify the recipient of the notification. • Click the **Add** button + to select and add recipients. • To delete a recipient from the list, point to a row and click the **Delete** button on the **Inline Action Bar**. • To delete a single or multiple recipients, select the check boxes and click **Remove**.

4. On the **Contacts** tab, add the requestors and approvers to whom notifications must be sent:

> **Note:** Retention Policy Services retrieves the list of contacts from the **Contacts** page and makes them available for selection here. Therefore, make sure that you have added the required contacts on the **Contacts** page.

a. In the **Requestors** area, click the **Add** button + to add a requestor.

b. In the **Select requestors** dialog box, select one or more requestors and click **Select**.

c. In the **Approvers** area, click the **Add** button + to add an approver.

d. In the **Select approvers** dialog box, select one or more approvers and click **Select**.

e. To remove a contact:

- Select the check boxes for one or more contacts that you want to delete and click **Remove**.

- Point to a row and click the **Delete** button 🗑 on the **Inline Action Bar**.

f. Click **Save** to create the new retention markup.

   The new markup designation appears in the **Retention markups** table.

g. To verify that the selected markup was created, click **Retention policy services** > **Retention markups** on the navigation menu. All retention markups are listed according to:

   - Name
   - Description
   - Designation

2.5.2.1 Month and date mapping

The values that can be selected for the **Month** and **Day** fields vary depending on the value selected for **Period**.

When the Period is set to Monthly

Only a specific day of the month *1-31* must be selected.

When the Period is set to Quarterly

The **Month** allows you to select a value from *1-3*. *1* represents the first month of each quarter, *2* represents the second month of each quarter, and *3* represents the third month of each quarter. The value for the **Day** selected *1-31* represents the day within the month.

Table 2-16: Quarterly cutoff mappings to months

Value selected for Month	Corresponds To			
1	January	April	July	October
2	February	May	August	November
3	March	June	September	December

When the Period is set to Semi-Annually

The **Month** allows you to select a value from *1-6*. *1* represents the first month in each half of the year, *2* represents the second month, 3 represents the third month, and so on. The value for the **Day** selected *1-31* represents the day within the month.

Table 2-17: Semi-Annually cutoff mappings to months

Value Selected for Month	Corresponds To	
1	January	July
2	February	August
3	March	September

4	April	October
5	May	November
6	June	December

When the Period is set to Annually

The **Month** allows you to select a value from *1-12*. *1* represents the first month in each half of the year, *2* represents the second month, 3 represents the third month, and so on. The value for the **Day** selected *1-31* represents the day within the month.

Table 2-18: Annually cutoff mappings to months

Value Selected for Month	Corresponds To
1	January
2	February
3	March
4	April
5	May
6	June
7	July
8	August
9	September
10	October
11	November
12	December

2.5.3 View and edit a retention markup

To view a retention policy, click **Modules > Governance and compliance > Retention policy services > Retention markups** on the navigation menu. The list of markups appear in a tabular format on the **Retention markups** page.

Edit a markup:

1. Edit a retention markup using any one of the following ways:

   - Click the markup in the **Name** column of the table.
   - Select the check box for the markup you want to edit and click **Edit**
   - Point to a markup name and click the **Edit** button on the **Inline Action Bar**.

2. On the markup page, update the required fields and click **Save**. Click **Reset** if you want to reset the values in the fields.

2.5.4 Delete a retention markup

Before deleting a retention markup, ensure that it is not in use or applied to any retention policy object.

Delete a markup:

1. Delete a markup using any one of the following ways:
   - Select the check box for the markup that you want to delete and click **Delete**. You can select multiple markups.
   - Point to a row and on the **Inline Action Bar** that appears, click the **Delete** button 🗑.
   - To delete all the markups listed in the table, select the **Select all items** check box in the header row of the **Name** column and click **Delete**.
2. In the **Delete** confirmation box, click **Delete**.

2.5.5 Apply retention markup to an object

Retention markups are enabled by default when they are created unless they are purposely disabled. Retention policies and retention markups cannot be applied if they are disabled. You can apply retention markups through the **Promotion** and **Disposition** tiles or from the compliance reports such as **Retention**, **Retention markup**, and **Close folder** report.

To apply a retention markup:

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Compliance managers > Promotion** or **Compliance managers > Disposition**.
3. Perform a search using the desired filter options. For more information, see "Promote an object" on page 68 or "Dispose an object" on page 78.
4. In the search results, select an object and click **Apply retention markup**. You can also point to an object and click the **Apply retention markup** on the **Inline Action Bar**.
5. In the **Apply Retention Markup** panel, click **Browse** 🔍
6. In the **Choose retention markup** dialog box, select one or more markups and click **Select**.
7. In the **Description** box, describe the business reason for the application of the markup in question.

8. Click **Apply**.

Note: When selecting a retention markup to apply directly to an item, any retention markup already directly applied to the item will not be available to be selected from the locator.

2.5.6 View the applied retention markups

You can use the **Retention Markup** report to view the list of objects with retention markups applied. Additionally, you can view the applied markups in the **Retention** report. For more information, see “Compliance reports“ on page 85.

2.5.7 Remove retention markup from an object

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Compliance reports > Retention markup report**.
3. Perform a search using the desired filter options. For more information, see “Run Retention markup report” on page 89.
4. In the search results, select an object and click **Remove retention markup**.
5. In the confirmation box, click **Remove**.

Chapter 3

Compliance managers

The **Compliance managers** module comprises of the following tiles through which you can administer retention policies applied to the objects:

- Qualification
- Promotion
- Disposition

3.1 Qualification manager

Qualification of an object refers to manually qualifying or requalifying the object to make them eligible for promotion . This is determined by the qualification date that set in the retention policy.

You can use the **Qualification** tile either to manually qualify objects that are not prequalified or requalify objects that cleared the qualification date. Prequalified or qualified objects have a qualification date present when viewing the retainer. Only objects under retention that have a qualification date are eligible for promotion. The qualification dates are shown in the **Promotion** tile. For more information about qualification dates, see “Qualification date” on page 62.

The use-cases where you can run **Qualification** includes:

- When you want to qualify objects that were not prequalified.
- When you want to requalify objects with cleared qualification date. You can use the **Promotion** and **Disposition** tiles to disqualify an object and reset or clear the qualification date.

You can run **Qualification** immediately after adding a valid authority, or wait for the scheduled qualification job. To add a valid authority, see “Configure authorities” on page 29.

3.1.1 Qualification date

The qualification date is the earliest date when the retainer can be promoted to the next phase and in the final phase, the date when disposition is invoked. This date is a calculated value that can include the duration of the phase and a cut-off period added to an entry date. The qualification date is calculated:

- upon phase entry,
- whenever a retainer is created, and
- recalculated whenever promotion to the next phase occurs.

However, the qualification date is not calculated if one or more conditions specified for a phase are not met. The value for the **Qualification Date** attribute is set on the retainer and not on the retained object. Each phase can have chronological or conditional or mixed aging. Chronological aging occurs immediately whereas conditional aging does not occur until an event (condition) is fulfilled.

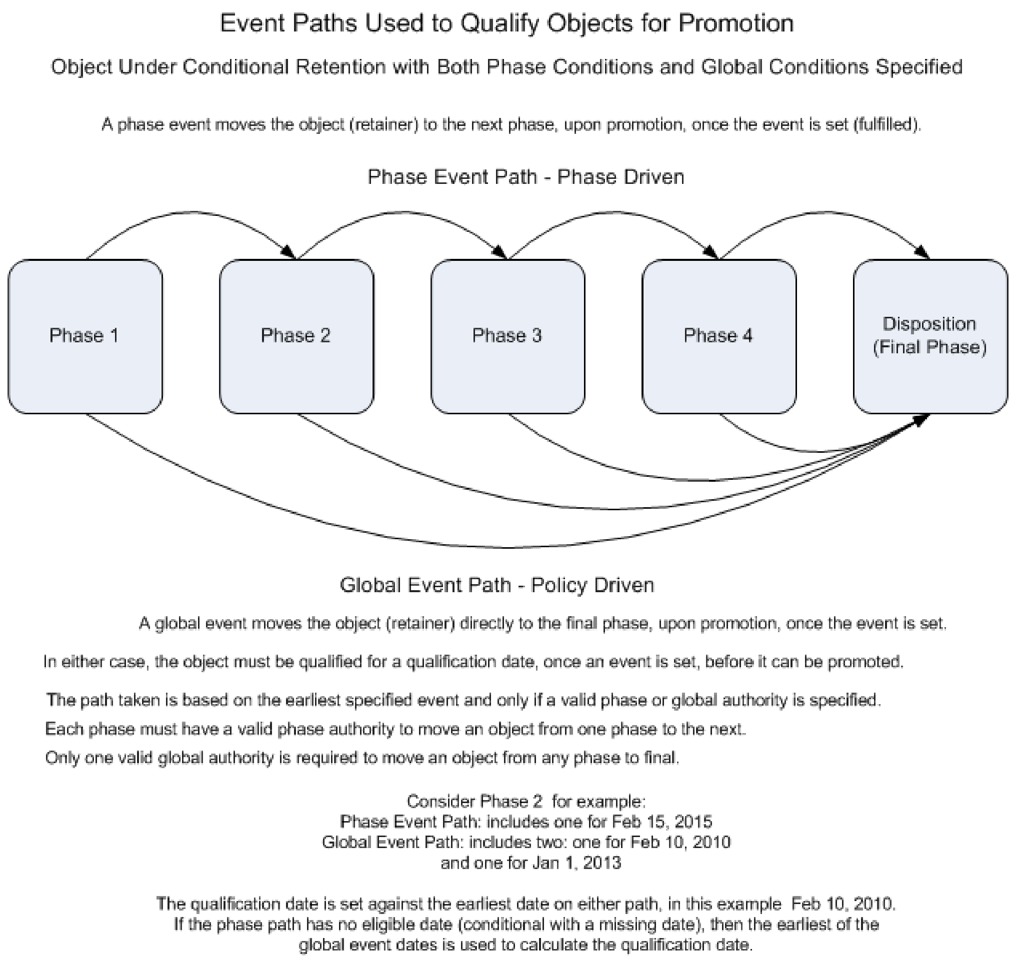
Qualification dates are calculated (against the retainer) and recalculated according to the following triggers:

- When the retainer is created as the result of applying retention to the object (chronological and mixed).
- When the retainer is suspended. When you remove a suspend relationship then the qualification date is then calculated based on the retention policy.
- When the retainer is re-qualified. If a policy phase duration is updated, then the administrator can use the qualification manager to requalify all objects that had been previously qualified.
- When the retainer is promoted (chronological and mixed).
- When an event date is fulfilled or modified (for a retainer) (chronological and mixed).

Qualification dates are NOT calculated for the following triggers:

- If the event date on the properties of a retainer is modified. All attributes are read-only unless an event is specified on the retention policy referenced by the retainer.
- It does not automatically requalify if a phase duration is changed, however it can be done automatically. This includes changes to the duration, cutoff values, and the event-based mixed mode settings.
- If a valid phase or global authority is not specified in the policy.

Calculation of the qualification date is based on one of two paths, fulfillment of a phase event or fulfillment of a global event, if both phase and global conditions are specified on the retention policy. Fulfillment of a global event takes precedence over any phase events and promotes the object (technically, its retainer) directly to the final phase, skipping any intermediary phases. The calculation, if multiple global events are attached, is based on the one which occurs earliest.



The following table further describes the path:

Table 3-1: Comparison of the Phase and Global paths for setting the qualification date

Path	Eligibility	Multiple Event Dates	Phase Actions Run
Phase	At least one valid authority on the phase (**Phases** tab)	All event dates must be set for a qualification, assuming mixed mode is not used.	Leaving the current phase Entering the next phase

Path	Eligibility	Multiple Event Dates	Phase Actions Run
Global	At least one valid authority on the retention policy (**Info** tab)	Only one event date needs to be set.	Leaving the current Enter the final (actions for intermediate phases are not run)

3.1.2 Different methods to qualify objects

Retention Policy Services supports the following ways of qualifying objects:

Automatic

Objects that are eligible for qualification during retention application are automatically *prequalified* by Retention Policy Services. This occurs only when the qualification date can be calculated and when at least one valid authority has been specified on the retention policy for the current phase. When a phase transition occurs, the entry date into the new phase is the date on which promotion takes place. If the new phase is chronological, this entry date is used to calculate the qualification date by adding the phase duration and any applicable cut-off date.

Manual

If Retention Policy Services cannot prequalify an object, you can use **Qualification** to manually qualify it after adding a valid *phase* or *global authority*.

Event-based

If an *event date* is set or cleared programmatically by using IAPI or Webservices, Retention Policy Services attempts to qualify or unqualify the retainer automatically. The qualification date calculation follows one of two paths:

- **Phase event fulfillment**: Moves the object or retainer from one phase to another when the object is promoted after the event is set.
- **Global event fulfillment**: Moves the object or retainer directly to the final phase when the object is promoted after the event is set.

If both are specified, the global event fulfillment takes precedence. If multiple global events are defined, the earliest occurring event determines the qualification date.

3.1.3 Criteria for requalification

Objects with a cleared qualification date are eligible for requalification. The qualification date may be cleared or removed if:

- The duration or cut-off period settings in the policy are modified.
- The object is disqualified from **Promotion**.

3.1.4 Retention and qualification behavior

Objects with existing retention policies retain their original qualification date (they gain legacy status) unless requalified. When retention is applied to a folder, new documents created or linked in the folder may inherit the qualification date for linked retention. Alternatively, they may age individually using new retention policy values.

Folders created or linked into retained folders also age individually for linked retention. New retainers use the updated qualification date, while existing retainers continue aging based on the original date. Legacy retainers can only have their qualification date cleared through disqualification from the **Promotion** tile.

3.1.5 Qualify an object

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Compliance managers > Qualification**.
3. On the **Qualification** page, do one or more of the following:

Table 3-2: Qualification filters

Filter name	Description
Folder	Select the folder locations within the repository and all of its subfolders. If nothing is selected, all folders are searched.
Include sub-folder	Select the check box to validate the existence of retention policies in the subfolders.
Retention Strategy	Select one of the following option: • **All**: Default setting which reports both Linked and Individual types. • **Individual**: For independent retention. • **Linked**: For shared retention. See “Retention strategy” on page 11 for more information.

Filter name	Description
Allow re-qualification	Select to permit recalculation of the qualification date for objects that have previously been qualified. Use this option after making changes to a retention policy if you want the changes to update existing applications of the retention policy. **Note:** If the retention policy Event fulfillment rule is changed to be more restrictive, the item may no longer be able to qualify and will not show up in the report if this option is selected. If the intent was for this object to no longer have a qualification date, use Promotion to disqualify the item.
Retention Policy	Select the name of the retention policy applied on the object.
Qualification date	Select the **From** and **To** date to show all the objects within the selected qualification date range. This is the earliest date on which an object (retainer on the object) can be promoted to the next phase or disposed in the final phase.
Phase	Select one or more phases.
Event date	Select the **From** and **To** date of either the phase event or global event that is set for the retention policy. It represents the event date setting on the **Phases** tab of a retention policy.
Type	The objects reported can be filtered against one or more object types. Select **dm_folder** if you want to qualify or requalify only folder objects. Results returned against the selected Type include all subtypes. For each of the selected type, you can refine the search based on a specific attribute value for that type. After you select a type, turn on the **Show advanced search** switch. In the **Advanced search** area, select a value in the **Type**, **Attribute**, and **Operator** lists. In the **Value** box, provide a specific attribute value. Use and to add or remove additional attribute values.

Filter name	Description
Authority	Select the required authority option. It filters objects with retention against one or more authorities, whether the authority on the retention policy is valid or not.

4. Click **Search** to display the list of objects that can be qualified for promotion.

5. Select one of the objects from the search results.

6. Select one of the following actions:

   - **Info**: Point to a qualification object and click the **Info** button on the **Inline Action Bar** to view the properties and phases of the qualification object.

   - **Qualify**: Qualifies the selected object. You can point to a row and on the **Inline Action Bar** that appears, click the **Qualify** button.

     You can also point to a promotion object and click the **Qualify** button on the **Inline Action Bar**.

   - **Qualify All**: Qualifies all eligible objects.

     You can also point to a qualification object and click the **Qualify All** on the **Inline Action Bar**.

Objects are removed from the list once they have been qualified and are no longer displayed.

3.2 Promotion manager

Promotion of an object under a retention policy refers to moving the object to the next phase of its lifecycle. You can use the **Promotion** tile to manage objects that are in retention by promoting those objects whose qualification date for a specific phase has passed. Additionally, you can:

- Disqualify objects returned in the search results.
- Apply a retention markup when required.

A promotion job advances the object to the next phase if the current date meets or exceeds its qualification date.

Container objects, such as folders, physical folders or boxes, categories, and so on, with individual retention policies do not appear for promotion or qualification as they do not have qualification dates. These policies do not age but instead propagate retention settings to child objects. Container objects appear for promotion and qualification only when a linked retention policy is applied.

Objects under conditional retention can be promoted or processed for disposition only if the qualification date matches the current date or precedes it.

3.2.1 Promote an object

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Compliance managers > Promotion**.
3. On the **Promotion** page, do one or more of the following:

Table 3-3: Promotion filters

Filter name	Description
Folder	Select the folder.
Include sub-folder	Select the check box to validate the existence of retention policies in the subfolders.
Retention Strategy	Select one of the following option: • All • Individual • Linked See “Retention strategy” on page 11 for more information.
Retention Policy	Select the name of the retention policy applied on the object.
Qualification date	Select the **From** and **To** date to show all the objects within the selected qualification date range.
Phase	Select one or more phase.
Cascade Rule	Select **All** or any of the available options.
Event date	Select the **From** and **To** date of either the phase event or global event that is set for the retention policy.

Filter name	Description
Type	The objects reported can be filtered against one or more object types. Select **dm_folder** if you want to qualify or requalify only folder objects. For each of the selected type, you can refine the search based on a specific attribute value for that type. After you select a type, turn on the **Show advanced search** switch. In the **Advanced search** area, select a value in the **Type**, **Attribute**, and **Operator** lists. In the **Value** box, provide a specific attribute value. Use and to add or remove additional attribute values.
Authority	Select the required authority option.

4. Click **Search** to display the list of objects that can be promoted to the next phase.

5. Select one of the objects from the search results.

6. Select one of the following actions:

    - **Info**: Point to a promotion object and click the **Info** button on the **Inline Action Bar** to view the properties and phases of the promotion object.
    - **Promote**: Promotes the selected object. Click **Promote** or **Cancel** in the dialog box.

      You can also point to a promotion object and click the **Promote** button on the **Inline Action Bar**.
    - **Disqualify**: Disqualifies the selected object.

      You can also point to a promotion object and click the **Disqualify** button on the **Inline Action Bar**.
    - **Apply retention markup**: Applies retention markup. For more information, see “Apply retention markup to an object” on page 59.

      You can also point to a promotion object and click the **Apply retention markup** on the **Inline Action Bar**.

3.3 Disposition manager

Disposition is the process of disposing objects when they reach the final phase. They can also be disposed off automatically by the disposition job according to its scheduling. You can use the **Disposition** tile to perform disposition actions based on the following:

- When one or more objects have reached the final phase of their lifecycle.
- When the qualification date has elapsed.

The content and metadata gets destroyed or transferred based on the disposition strategy. The selected object is considered destroyed only when both its content and metadata are destroyed. For non-destructive retention strategy, the object rolls over to another retention policy, and based on the retention policy specified for the rollover, that finally destroys both its content and metadata.

3.3.1 Disposition strategies

A disposition strategy determines the action that is taken for the retained object when it is processed in the final phase. The following table describes the various actions that you can select for the disposition strategy:

Table 3-4: Disposition strategy descriptions

Disposition strategy	Rollover required	Description
Unknown	Not applicable Must be resolved to another strategy.	This is a special case for which an override disposition strategy must be specified when disposition is performed. *Unknown* allows the objects to reach the final phase of retention but will not perform the disposition until the retention policy final action has been updated to one of the other disposition strategies. A rollover must also be specified if the override selected is non-terminating. Overrides are used exclusively for Unknown. Objects under this strategy cannot be destroyed, copied, or transferred to a new external directory.
Review	Yes	Review the object and specify a rollover retention policy. When the disposition is run, the object rolls over to another retention policy. It cannot be destroyed, copied, or transferred to a new external directory.

Disposition strategy	Rollover required	Description
Export all, Destroy all	No	Places a copy of the document and a copy of its associated metadata in a location on the application server, then destroys the source document including its content and metadata.
Destroy all	No	Destroys both content and metadata of the source document.
Export all	Yes	Places a copy of the document and a copy of its associated metadata in a location on the Application server, without destroying the source document. A rollover retention policy must be specified for the object as the disposition is non-terminating.
Export all, Destroy content	No	Places a copy of both the content and its associated metadata in a location on the Application server, destroying the content of the source document but not its associated metadata. A rollover retention policy must be specified for the object as the disposition is non-terminating.
Destroy content	Yes	Destroys the content of the source document but not its metadata. A rollover retention policy must be specified for the object as the disposition is non-terminating.
NARA Transfer, Destroy content	Yes	Exports the data in XML format that complies to the DoD/NARA schema. However, the metadata in the original location is not destroyed. The export operation requires confirmation before proceeding. **Note:** Records Manager raises an alert or warning, a popup message, that all PDF records to be transferred or accessioned to NARA must include embedded fonts.
NARA Transfer, Destroy all	No	Destroys both content and metadata. This operation is also called NARA Accession and is the act of transferring physical custody of documentary material to an archival institution, specifically for the NARA regulations.

The destruction methods include:

Dispose
Removes an object from the repository when the object reaches the Final phase for disposition.

Privileged delete
Provides the ability to delete an object before it reaches the disposition phase.

Digital shredding
Removes objects in shredding-enabled storage areas and renders them irretrievable. This option is available for file store storage areas. For more information, see *OpenText Documentum Content Management - Server Fundamentals Guide (EDCCS-GGD)*.

3.3.2 Disposition strategy actions

The following table lists the disposition strategy actions:

Table 3-5: Disposition strategy actions

Disposition strategy	Actions supported on Retention Policy Services only	Additional actions with OpenText™ Documentum™ Content Management Physical Records Transformation Services
Export all, Destroy all	• **Export content** • **Export metadata** • **Destroy content** • **Destroy metadata**	• **Physical Object Marked for Export** • **Physical Object Marked Shipped** • **Physical Object Exported**
Destroy all	• **Destroy content** • **Destroy metadata**	• **Physical Object Marked for Destruction** • **Physical Object Destroyed**
Export all	• **Export content** • **Export metadata**	• **Physical Object Marked for Export** • **Physical Object Marked Shipped** • **Physical Object Exported**
Export all, Destroy content	• **Export content** • **Export metadata** • **Destroy content**	• **Physical Object Marked for Export** • **Physical Object Marked Shipped** • **Physical Object Exported**

Disposition strategy	Actions supported on Retention Policy Services only	Additional actions with OpenText™ Documentum™ Content Management Physical Records Transformation Services
Destroy content	**Destroy content**	• **Physical Object Marked for Destruction** • **Physical Object Destroyed**

3.3.3 Disposition status

Status on the disposition strategies is tagged using one of following labels when you view applied retention:

- **Open**: No disposition action has been taken yet.
- **Pending**: Disposition is invoked but not yet started. It will be initiated after all the retainers on the object are set to **Pending** and all its specified disposition actions can be executed.
- **Incomplete**: Disposition processing on the object is not completed. This is not necessarily an error condition. For example, when disposing physical objects, the administrator must perform a manual action on the objects and then inform the system that it has been done (for example, marking for destruction, confirming that the items have been destroyed).
- **Processed**: Disposition processing on the object is completed. Processed only appears if the retention policy does not destroy the object. This means that a rollover to a new retention policy has occurred.
- **Terminated**: Disposition was invoked using a destructive strategy on the object but destruction of the object is delayed. It is marked to be destroyed but is protected by another retention policy until it can perform disposition.
- **Waiting**: Disposition was invoked and partially finished but could not continue processing until further user action is taken such as transfer confirmation or rejection.

Figure 3-1 illustrates the possible states for an object under disposition in the final phase of a retention policy.

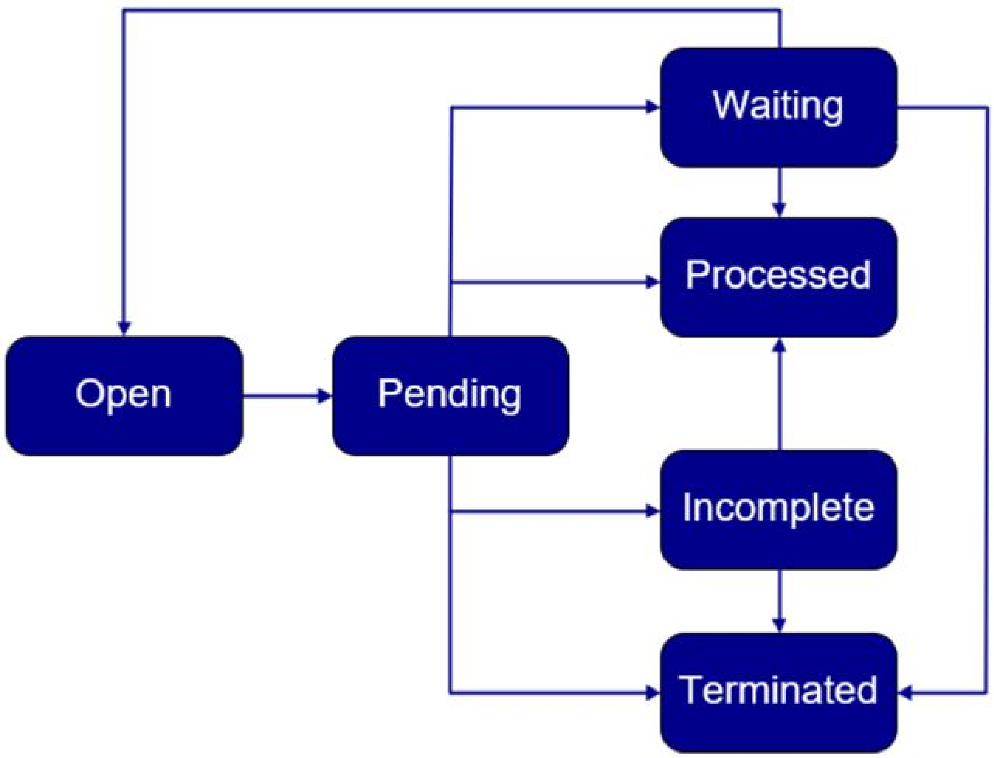


Figure 3-1: Disposition state diagram

3.3.4 Disposition on a simple object

A simple object, such as a document, a spreadsheet, and a physical document, has no children. Retainers store all the retention information. Whenever a disposition occurs for an object, all the applicable retention information is processed.

Non-destructive actions, which include all export actions, are always executed. Destructive actions are only executed if all considered retainers *agree* and if there is no Open retainer on the object.

The following table displays the different status of the retainer process:

Table 3-6: Retainer status for simple objects

Retainer status	Description
Processed	Applicable when all the actions on the retainer are executed. This is applicable for retainers that has only non-destructive actions, unless an error occurred.

Retainer status	Description
Incomplete	Applicable when all the actions on the retainer are not executed. This is also the status if any error occurred during processing.
Pending	Applicable when none of the retainers are executed. This is applicable for retainers that has only destructive actions and with Open status.

3.3.5 Disposition on a complex object

A complex object has children and can be a virtual document, formal record, snapshot, and a folder or a cabinet. The disposition rule is applicable for children only if the retention policy is set to retain root and children. The following table displays the different status of the retainer process:

Table 3-7: Retainer status for complex objects

Retainer status	Description
Processed	Applicable when all the actions on the retainer are executed. Disposition will not be held up by a child that is a member of another complex object or that has a direct retainer on it. Therefore, if a disposition action cannot be legitimately executed on a child, even if it is called for in the root, it will not affect the status of the root itself.
Incomplete	Applicable when a disposition action on a child result in an error, and it is an action that is called for the root as well, then it will cause an Incomplete status on the root's retainers that call for the failed disposition action.

3.3.6 Disposition rules

When an object is retained by more than one retainer, the **Disposition** tile applies two rules to determine disposition:

- **Destructive actions**, such as Destroy, are executed only if all retainers specify the same destructive action; The action in each retainer must agree.
- **Non-destructive actions**, such as Export, are executed if any retainer includes the action in its disposition strategy. Agreement across retainers is not required for export actions.

3.3.7 Disposition behavior with multiple retainers

This section describes how Disposition processes an object that has multiple retention policies (retainers) applied. The behavior is illustrated using a scenario with three retainers.

Initial setup:

Assume the following retainers are applied to an object:

Table 3-8: Setup for disposition processing of multiple retainers

Retainer	Type	Actions
Destroy All (DA)	Terminating	Destroy content, destroy metadata
Export All, Destroy Content (EA-DC)	Non-terminating	Export content, export metadata, destroy content, keep metadata
Export All (EA)	Non-terminating	Export content, export metadata

Run 1

All three retainers have reached the disposition phase and are eligible for processing.

- Disposition Manager gathers retainers 1, 2, and 3.
- Export actions are executed immediately. These do not require agreement across retainers.
- Destructive actions (destroy content/metadata) require consensus across all gathered retainers. Since not all retainers specify destruction, no destructive actions are performed.

Disposition statuses:

- Retainer 3: Processed (non-terminating > rolls over to Retainer 4)
- Retainer 2: Incomplete
- Retainer 1: Pending

Retainer 4 (rollover from Retainer 3) specifies Destroy Content.

Run 2

Retainers 1, 2, and 4 are now gathered.

- Export actions and Destroy Content are executed.
- Metadata is retained (not all retainers specify destruction of metadata).

Disposition statuses:

- Retainer 4: Processed (non-terminating > rolls over to Retainer 6)
- Retainer 2: Processed (non-terminating > rolls over to Retainer 5)
- Retainer 1: Incomplete

Retainer 5 specifies Destroy All.

Retainer 6 specifies Export All, Destroy All.

Run 3

Retainers 1, 5, and 6 are gathered.

- All export and destructive actions are executed.
- Consensus is achieved across all retainers for destruction.

Final outcome:

- All retainers are marked Processed.
- The object is fully destroyed—both content and metadata.

3.3.8 Terminal retention

Terminal retention is a mechanism used to indicate that an object has undergone disposition but could not be destroyed. For instance, consider a document linked to two different folders, each with its own retention policy. When disposition is executed on these folders, the **Destroy Object** action may fail because the document is linked to another folder. If the **Unlink on Dispose** setting is enabled in the RPS configuration object, the application automatically unlinks the document from the folder and a terminal retainer is applied. This allows the document to be destroyed during the disposition process.

The purpose of a terminal retainer is to ensure that if other retention policies are removed-because disposition has already been executed-the document can still be deleted. The **Terminal Retention Job** searches for documents that have terminal retention applied but no longer have Retention Policy Services retention policies in effect.

Folders with terminal retainers do not allow any new items to be created or linked to them, similar to the "close folder" functionality. This restriction exists because the folder is intended to be destroyed, and the system must prevent new content from being added.

If the disposition process is set to destroy a folder that still contains child items, a terminal retainer is applied to prevent additional items from being added. This ensures the folder remains in a state ready for destruction. However, child items may still exist in the folder for the following reasons:

- Documents are under hold.
- Documents could not be deleted.

- Folders are not eligible for disposition or were not selected.
- Folders do not have retention applied because the retention policy is not configured to cascade to the folder or its category.

For disposition strategies such as Export All, Destroy All or NARA Transfer, Destroy All, a terminal retainer is applied only if all required actions can be completed. For example, if the export location is not writable, the terminal retainer will not be applied to the folder when using linked retention.

3.3.9 Structural retention

Structural retention allows retention to be applied to a folder in such a way that, during disposition, only the contents of the folder are destroyed. If the folder contains subfolders, each subfolder must undergo disposition separately and will not be destroyed automatically. You can configure structural retention only for retention policies that use the Linked Retention strategy and for disposition strategies that do not require a rollover. Terminal retainers are not applied to structural retention policies. When a structurally retained folder is disposed successfully, the retention resets and the retainer state changes to the first phase and aging begins again.

3.3.10 Disposition workflow

Disposition workflows help manage documents that need approval before they can be deleted. If a document requires approval but has not been approved yet, the workflow routes it for manual review. After it is approved, the system will automatically delete it during the next disposition run.

Approval is required before any document can be disposed of. After approval, documents can either be deleted manually or automatically by the system.

In a disposition workflow, the group of objects collected for approval is called a **Disposition Bundle**.

3.3.11 Dispose an object

You can use the **Disposition** tile to query objects that are in the Final phase of their lifecycle and are eligible for disposition. Disposition processing will not be performed on documents or objects that have a retention policy applied with **Approval Required** selected for the Final phase on the **Phases** tab. In such cases, the document or object must be reviewed and approved before disposition can occur. The **Approval Required** option prevents disposition processing until the review process is complete.

Typical disposition actions include exporting to long-term storage, destruction, or preservation for archival purposes.

The following factors can prevent disposition:

- Folder-based objects with individual retention policies do not have a qualification date and hence not displayed in the promotion or disposition panel.
- Individual retention policies on the folders do not age but propagate retention to child objects.
- Physical boxes and folders appear only when a linked retention policy is applied.

To dispose an object:

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Compliance managers > Disposition**.
3. On the **Disposition** page, do one or more of the following:

Table 3-9: Disposition filters

Filter name	Description
Folder	Select the folder locations within the repository and all of its subfolders. If nothing is selected, all folders are searched.
Include sub-folder	Select the check box to validate the existence of retention policies in the subfolders.
Authority	Select the required authority option. It filters objects with retention against one or more authorities, whether the authority on the retention policy is valid or not.
Retention Policy	Select the name of the retention policy applied on the object.
Retention Strategy	Select one of the following option: • **All**: Default setting which reports both Linked and Individual types. • **Individual**: For independent retention. • **Linked**: For shared retention. If you select **Linked**, select one of the following **Linked strategy type**option: • **All** • **Structural** • **Nonstructural** See “Retention strategy” on page 11 for more information.

Filter name	Description
Disposition Strategy	You can **Select All** or any of the available options. For more information about disposition strategies, see “Disposition strategies” on page 70.
Cascade Rule	Select **All** or any of the available options.
Event date	Select the **From** and **To** date of either the phase event or global event that is set for the retention policy. It represents the event date setting on the **Phases** tab of a retention policy.
Type	The objects reported can be filtered against one or more object types. Select **dm_folder** if you want to qualify or requalify only folder objects. Results returned against the selected Type include all subtypes. For each of the selected type, you can refine the search based on a specific attribute value for that type. After you select a type, turn on the **Show advanced search** switch. In the **Advanced search** area, select a value in the **Type**, **Attribute**, and **Operator** lists. In the **Value** box, provide a specific attribute value. Use and to add or remove additional attribute values.
Show	Select **Open** or **Pending** or **Incomplete** or **Waiting** status. Objects in the **Processed** or **Terminated** states are not considered for disposition strategy.

4. Click **Search** to display the list of objects that are in the Final phase and that have a qualification date.

5. Select one of the objects from the search results.

6. Select one of the following actions:

   - **Info**: Point to a disposition object and click the **Info** button on the **Inline Action Bar** to view the properties and phases of the disposition object.
   - **Disqualify**: Clears the qualification date on the object and avoids disposition.

You can also point to a disposition object and click the **Disqualify** button on the **Inline Action Bar**.

- **Dispose**: Exports, transfers, or destroys the retention object.

  You can also point to a disposition object and click the **Dispose** button on the **Inline Action Bar**.

- **Apply retention markup**: Applies retention markup. For more information, see “Apply retention markup to an object” on page 59.

  You can also point to a disposition object and click the **Apply retention markup** on the **Inline Action Bar**.

- **Route for approval**: Shows the **Select Workflow** panel. For more information, see “Route for review and approval” on page 82.

An object may not appears in the Search results in **Disposition** if the retainer lacks a qualification date or has a future date, due to:

- No valid authority on the final phase.
- Unfulfilled event date.
- Manual disqualification.
- The object is checked out.
- The object has a Hold or Permanent retention markup.

3.3.12 Failed disposition

The dispose process can fail for the following reasons:

- **Unmarked physical objects**: Mark them for destruction or export before rerunning disposition.
- **Pending confirmation**: Confirm DoD records in NARA transfer folders before disposition can proceed.
- **Folder on Hold**: If a folder contains documents that are on hold or permanent retention markup not applied, the system marks the folder as Incomplete and does not transfer the documents. If a document within a folder is under hold, the retainer applied to the folder through linked retention and is marked as **Incomplete** during a NARA transfer. This occurs when one or more documents in the folder have a hold or permanent retention markup. In this case, the following occurs:
  - The affected document and its folder are not transferred.
  - The retainer is marked **Incomplete** to allow recovery from the master work order.
  - The transfer run status remains IN_PROGRESS, and confirmation of the transfer cannot be completed.

- Documents in the folder without a hold or permanent retention markup are transferred (exported) successfully.

  To complete the transfer, you must remove the hold or permanent retention markup from the affected documents. See “Remove retention markup from an object” on page 60.

- **Filestore objects**: The object is stored in a filestore that requires the force delete option (for example, some configurations of Centera) and the force delete option is not set.
- **Folder objects**: Items are still in the folder and prevent destruction for the following reasons:
  - Subfolders, if the folder contains any, were not selected. Folders displayed in disposition manger must be selected before they can be processed. Note, if the retention policy does not cascade to the subfolder, the subfolder will need to be manually deleted.
  - Subfolder is not eligible for disposition (is not in Final phase, qualification date is not set, or qualification date is set but represents a date in the future).
  - Document could not be destroyed.
  - Another retention policy may be protecting the subfolder or the document. All applied retention policies must agree that the object can be destroyed.

3.3.13 Route for review and approval

You cannot dispose of a document if it requires approval in the Final phase and has not yet been approved. The disposition job also skips such documents. If a document’s retention policy has the **Requires Approval** attribute selected, it must be approved before it can be disposed.

Using **Disposition**, you can search for documents eligible for disposition in the Final phase. These documents show as **Yes** or **No** in the **Approval Required** column. If a document requires approval and its **Approval Status** is blank, it must be routed for approval using the **Route for Approval** option before it can be disposed. You can also use **Route for Approval** manually, even if the retention policy does not require it, for one-off approvals.

Route an object for approval:

1. On the **Disposition** page, perform a search using the desired filter options or default settings to list the document you wish to dispose.
2. In the search results, select an object with **Yes** in the **Approval Required** column and click **Route for approval**.

   The Select Workflow screen appears allowing you to select a predefined workflow. The application creates a disposition approval package, which can be either approved or rejected. The entire package will be subject to approval or rejection.

3. On the **Select Workflow** panel, select a predefined workflow. The selected document should appear as an attachment.
4. Click **Next**.
5. Click **Submit** to complete the process, or **Next** to add comments. Comments will be included with the task when notifications are sent to recipients' inbox.
6. Select one of the following option to display comments to:

    - **Subsequent recipients**
    - **Next recipient(s) only**

    Recipients can double-click the notification in their inbox to open it and review the attachment before approving or rejecting the task.

After the workflow is initiated, each object with the primary retainer applied will appear in the Inbox task. If a linked retainer was applied to a box, the box itself will appear in the Inbox task—not its contents. There are four possible values for the **Approval Status**:

- **Blank** (no status yet)
- **Submitted for Approval**
- **Rejected**
- **Approved**

Chapter 4

Compliance reports

This section describes the following retention policy reports that you can run:

- Retention report
- Retention Markup report
- Close Folder report

4.1 Run Retention report

This report provide information on retained objects; and, if necessary, to take user action against any one or more of the objects reported. Objects with terminal retention can also be reported using the advanced filters. The Retention Manager and the Power User have rights to run the Retention report.

To generate the report:

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Compliance reports > Retention report**.
3. On the **Retention report** page, change the default filter settings to create your own customized report:

Table 4-1: Retention report filters

Filter name	Description
Folder	Select the folder locations within the repository and all of its subfolders. If nothing is selected, all folders are searched.
Include sub-folder	Select the check box to validate the existence of retention policies in the subfolders.

Filter name	Description
Type	The objects reported can be filtered against one or more object types. Select **dm_folder** if you want to qualify or requalify only folder objects. Results returned against the selected Type include all subtypes. For each of the selected type, you can refine the search based on a specific attribute value for that type. After you select a type, turn on the **Show advanced** switch. In the **Advanced search** area, select a value in the **Type**, **Attribute**, and **Operator** lists. In the **Value** box, provide a specific attribute value. Use and to add or remove additional attribute values.
Retention Policy	Select the name of the retention policy applied on the object.
Condition	Select one or more of the conditions.
Fulfilled	Select this option returns results on objects that have fulfulled conditions.
Show Condition in	Select the relevant option to return results on objects under retention that have the condition in any phase or in a current, past, or future phase.
Disposition Strategy	You can **Select All** or any of the available options. For more information about disposition strategies, see “Disposition strategies” on page 70.
Unfulfilled event dates	Select this check box to report objects under retention with event dates that have not been fulfilled.
Event date	Select the **From** and **To** date of either the phase event or global event that is set for the retention policy. It represents the event date setting on the **Phases** tab of a retention policy.

Filter name	Description
Estimated disposition date	Specify the date when then disposition can be performed against a retained object, and on the retention policy it references. The Estimated Disposition Date (a_retention_date) is obtained or calculated from the Projected Disposition Date (projected_disposition_date) of the retainer applied to the object. Retainer objects (dmc_rps_retainer) have the attribute Projected Disposition Date (projected_disposition_date). System objects (dm_sysobjects) have the attribute Estimated Disposition (a_retention_date). If multiple retainers are applied to the object, the value specified is then based on the retainer that retains the object the longest, or furthest into the future (latest date). In either case, it is a prediction of the date (or any date thereafter) on which disposition can be run.
Phase	Select one or more phases.
Authority	Select the required authority option. It filters objects with retention against one or more authorities, whether the authority on the retention policy is valid or not.
Cascade Rule	Select **All** or any of the available options.
Retention Strategy	Select one of the following option: • **All**: Default setting which reports both Linked and Individual types. • **Individual**: For independent retention. • **Linked**: For shared retention. If you select **Linked**, select one of the following **Linked strategy type**option: • **All** • **Structural** • **Nonstructural** See "Retention strategy" on page 11 for more information.
Show disposition status	Select **Open** or **Pending** or **Incomplete** or **Waiting** status. Objects in the **Processed** or **Terminated** states are not considered for disposition strategy.

Filter name	Description
Global Event date	Select the **From** and **To** date to show all the objects under retention with global event dates occurring within the specified date range.
Qualification date	Select the **From** and **To** date to show all the objects within the selected qualification date range. This is the earliest date on which an object (retainer on the object) can be promoted to the next phase or disposed in the final phase.
Non-Aging Retentions Applied to Containers	Select to report objects under retention that do not age. A non-aging retention applied to a container occurs only when you apply an individual style of a retention policy to a folder. These objects do not appear in the Promotion, Disposition, or Qualification tiles. This setup provides a practical way to apply retention to child objects. Any object linked to this type of folder automatically inherits a unique retainer.
Retained Objects with Terminal Retention	Select to report objects with a combination of a terminal retainer and one or more regular retainers.
Retention with Invalid Authority	Select to report objects under retention that have an invalid authority specified for any of the phases.
Objects Under Terminal Retention Only	Select to report against objects that have only a terminal retainer.

Note: When you apply filters for **Global Event Date** or **Qualification Date**, records with blank or null values in these fields will not be included in the results. This limitation does not apply to the **Event Date** filter.

4. Click **Generate**.

5. To export the report, select one of the reports from the search results and click **Export to CSV**. Alternatively, you can click **Export All to CSV** to export all the report.

6. Additional actions that you can perform on the results:

   - **View applied retention**: You can perform this action on a single selected item. Alternatively, you can point the cursor to an object, click .
   - **View applied retention markups**: You can perform this action on a single selected item.

- **Apply retention markup**: Applies retention markup. For more information, see "Apply retention markup to an object" on page 59.
- **Close folder**: Applicable only to folder objects. In the **Close folder** dialog box, provide a description and click **Close**.
- **Re-open folder**: Applicable only to folder objects. In the **Re-open folder** dialog box, provide a description and click **Re-open**.
- **Apply retention policy**: You can perform this action on a single item:

  a. Point the cursor to an object, click ⋯, and then select **Apply retention policy**.

  b. On the **Apply Retention Policy** page, in the **Retention Policy** box, select a retention policy that you want to apply and click **Apply**.
- **Perform privileged delete**: You can perform this action on a single item.

  a. Point the cursor to an object, click ⋯, and then select **Perform privileged delete**.

  b. In the **Privileged Delete** dialog box, in the **Justification** box, type a justification and click **Delete**.

4.2 Run Retention markup report

This report allows you to view objects with retention markups and take action if needed. It also allows you to review markup usage and edit object properties. The Retention Manager, Compliance Officer, and the Power User have rights to run this report.

To generate the report:

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Compliance reports > Retention markup report**.
3. On the **Retention markup report** page, change the default filter settings to create your own customized report:

Table 4-2: Retention markup report filters

Filter name	Description
Retention Markup	Select one or more retention markups.
Markup reason	Type the reason that was entered in the **Reason for Applying Markup** text box on the **Apply Retention Markup** page.
Designations	Filter the objects based on the selected designation. All of the designations are selected by default.

Filter name	Description
Include objects that have inherited markups	Select this option to report objects with both directly applied and inherited retention markups.
Marked Object Review Date	Specify a date range to report all objects with Review designations that occur within the selected range.
Approvers	Select one or more approver names specified for the **Contacts** of a retention markup.
Requestors	Select one or more requestor names specified for the **Contacts** of a retention markup.
Markup Reviewed On	Specify a date range selected to returns objects with retention markups that have a Retention Markup Review Date.
Markup Approved On	Specify a date range selected to returns objects with retention markups that have a Retention Markup Approve Date.

4. Click **Generate**.

5. To export the report, select one of the reports from the search results and click **Export to CSV**. Alternatively, you can click **Export All to CSV** to export all the report.

6. Additional actions that you can perform on the results:

   - **View applied retention**: You can perform this action on a single selected item. Alternatively, you can point the cursor to an object, click .
   - **View applied retention markups**: You can perform this action on a single selected item.
   - **Apply retention markup**: Applies retention markup to the selected object. For more information, see “Apply retention markup to an object” on page 59.
   - **Remove retention markup**: Removes retention markup from the selected object. For more information, see “Remove retention markup from an object” on page 60.
   - **Apply retention policy**: You can perform this action on a single item:

     a. Point the cursor to an object, click , and then select **Apply retention policy**.

     b. On the **Apply Retention Policy** page, in the **Retention Policy** box, select a retention policy that you want to apply and click **Apply**.

- **Perform privileged delete**: You can perform this action on a single item.
    a. Point the cursor to an object, click , and then select **Perform privileged delete**.
    b. In the **Privileged Delete** dialog box, in the **Justification** box, type a justification and click **Delete**.

4.3 Close folder report

This report lists folder objects and allows users to change their state between **Closed**, **Reopened**, and **Opened**.

To generate the report:

1. In Admin Console, click **Modules > Governance and compliance** on the navigation menu.
2. Click **Compliance reports > Close folder report**.
3. On the **Close folder report** page, change the default filter settings to create your own customized report:

Table 4-3: Close folder report filters

Filter name	Description
Folder type	Select a specific folder object type, for example, **dmc_prm_box**, within the folder location specified for the **Folder** filter. All subtypes of the folder object selected can also be included if **Include sub-folder type** check box is selected. For each of the selected type, you can refine the search based on a specific attribute value for that type. After you select a type, turn on the **Show advanced search** switch. In the **Advanced search** area, select a value in the **Type**, **Attribute**, and **Operator** lists. In the **Value** box, provide a specific attribute value. Use and to add or remove additional attribute values.
User	Select one or more users, that is against the Owner Name specified for a folder object.
Current state	Select one or more states.
Start date	Specify a **Date range** to report only folder objects that were closed or reopened within that period. If **Any Date** is selected, no filtering is applied.

Filter name	Description
Date first closed	Specify a **Date range** to report only folder objects that were closed for the first time within that period. If **Any Date** is selected, no filtering is applied.
Folder	Select the folder locations within the repository and all of its subfolders. If nothing is selected, all folders are searched. Select **Include sub-folder** to search the subfolders.
State Change Reason	Specify a reason string for the state change to report folder objects that match the entry. The report includes: • Exact matches where the full reason string matches the entry. • Partial matches where any individual word or sequence of letters separated by spaces matches. For example, entering *end of month* returns folder objects with that exact phrase in the reason field. It may also return folders with partial matches such as *end*, *of*, or *month*. Entries are not case sensitive. You can enter multiple strings. To treat a phrase as a single query or token, enclose it in double quotes.

4. Click **Generate**.

5. To export the report, select one of the reports from the search results and click **Export to CSV**. Alternatively, you can click **Export All to CSV** to export all the report.

6. Additional actions that you can perform on the results:

   - **Close folder**: Users in the **dmc_rps_close_folder** role can close a folder if they have WRITE permissions on the folder selected. This option only applies to folder objects that have **Opened** as the **Current State**.
   - **Re-open folder**: Users in the **dmc_rps_re-open_folder** role can reopen a folder if they have WRITE permissions on the folder selected.
   - **Revert from re-opened state**: The user who reopened the folder can revert it to its previous state.
   - **Revert from closed state**: The user who closed the folder can revert it to its previous reopened state.

- **Set state change reason**: Users in the role that match the state of the selected folder can update the reason. The same reason is propagated to all folders or a different reason can be provided for each folder, when multiple folders of the same state are selected.
- **Perform privileged delete**: You can perform this action on a single item.

  a. Point the cursor to an object, click ⋯, and then select **Perform privileged delete**.

  b. In the **Privileged Delete** dialog box, in the **Justification** box, type a justification and click **Delete**.
- **Apply retention policy**: You can perform this action on a single item:

  1. Point the cursor to an object, click ⋯, and then select **Apply retention policy**.
  2. On the **Apply Retention Policy** page, in the **Retention Policy** box, select a retention policy that you want to apply and click **Apply**.
- **Apply retention markup**: Applies retention markup to the selected object. For more information, see “Apply retention markup to an object” on page 59.

Chapter 5

Appendix

This appendix provides additional resources and information related to the Governance and Compliance module.

5.1 Retention Policy Services glossary

Active Phase
Usually the first phase of a retention policy, the active phase represents the amount of time an object is active before it becomes dormant or qualifies for promotion.

Authority
A person or group that authorizes the promotion of objects from one phase of a retention policy to the next phase, as well as the disposition of objects. The authority field must be populated and the authority must be validated in order for an object to age. Multiple authorities can be applied to a single object. The same authority or authorities can be used for all the phases of a retention policy.

Authorizer
A person who is used as a reference or a contact to ensure that an authority is up to date.

Base date Mapping
(A date attribute on an object that is used for the entry date in the qualification date calculation that) A mapping that is used to calculate the entry date for a retention policy phase that employs a chronological aging method. Each object type (for example, dm_document) is mapped to a base date value using the Retention Policy Services base date utility. The entry date is used to calculate the qualification date employing the chronological aging method. If no base date value is mapped, the system uses an internal default, which is the creation date of the document.

Condition
An event that must occur to initiate aging of a retention policy that employs the conditional aging method. Two conditional aging methods include the standard conditional aging method, originally introduced with Retention Policy Services, which is phase driven and now global conditions, introduced in D6, which is policy driven. The global condition, if an object is retained using both conditional aging methods, takes precedence over the standard condition and promotes the object to final phase. A single standard condition or multiple conditions can be applied to a single phase. If an object has multiple conditions applied, all the conditions must be met before the calculation of the retention policy begins.

See also global condition and conditional aging.

Conditional Aging

One of two types of aging methods used in Retention Policy Services. Conditional aging commences after a specific event has occurred. The qualification date, calculated for promoting an object from one phase to the next in the selected lifecycle of a retention policy that uses the conditional aging method, is calculated by adding the event date to the phase duration. See also, chronological aging.

Contact List

A master list that is used to populate fields relating to events, actions, retention markups, and authorities.

Chronological Aging

One of two types of aging methods used in Retention Policy Services. The qualification date of an object using the chronological aging method is calculated by adding the entry date to the phase duration. See also conditional aging.

Cut-off Period

A date that is used in the calculation of a qualification date of an object for phase promotion or disposition. The cut-off period rounds off the sum of the phase duration plus either the entry date (for chronological aging) or the event date (for conditional aging). Cut-off values include Monthly, Quarterly, Semi-Annually, Annually or Disabled. The Monthly Cut-off Period selection allows you to specify the day (1-31); the Quarterly Cut-off Period selection allows you to specify the month of the quarter (1-3) and the day (1-31); the Annually Cut-off Period selection allows you to specify the month (1-12) and the day (1-31). Cut-off periods are needed before disposition or phase promotion instructions can be applied to an object.

Dispose

Dispose in relation to Retention Policy Services can imply any of three actions: export, transfer, or destroy.

Disposition

The act of disposing objects as determined through their appraisal. Typical Retention Policy Services disposition strategies include destroy, or export to another system. When an object is in the final disposition phase, it is removed from the system.

The act of disposing objects as determined through their appraisal. A disposition run, or disposition processing, is started when you click the Dispose option on the action bar of Disposition Manager, against any selected objects reported (listed). Dispose implies that the content and/or metadata of objects may be exported, transferred, or destroyed. The disposition strategy on the objects reported determines whether the objects will be exported, transferred, or destroyed.

Dormant Phase

A phase that represents the period of time an object must be dormant before it qualifies for promotion to the next phase.

Event Date
A date that is used with the conditional aging method to calculate the qualification date of an object.

Entry Date
A date that is used with the chronological aging method to calculate the qualification date of an object.

Freeze
A retention markup that applies a Freeze to a record under retention stops promotion of the record. Although retainers are prevented from qualifying objects for promotion, objects in final phase however are not prevented from disposition.

Global Condition
An object retained according to a global condition is policy driven and promoted regardless of the phase it is currently in, based on the event date when it is reached, directly to the final phase bypassing all remaining phases. Disposition, once the object is in the final phase, occurs based on the retention date calculated.

Hold
A retention markup that applies a Hold to a record under retention stops destruction of the record.

Non-container objects
Non-container objects are dm_sysobjects that do not extend dm_folder (which includes cabinets). Non-containers refer to any object whose type does not inherit from dm_folder. Containers include but are not limited to:

- Cabinets
- Volumes
- Part (again I suspect you are referring to Records Manager Commonwealth Edition)
- Formal Folders
- Folders

Containers do not include snapshots or VDMs (which are container-like in that they have children).

Phase
A defined state of an object within a retention policy. Each phase has a duration, a cut-off period, and authorities. A phase that uses conditional aging has conditions. The possible phases of a default retention policy are active, semi-active, semi-dormant and dormant. A retention policy must have a minimum of two phases, and a maximum of 30 phases. The final phase of a retention policy is the disposition phase, when objects are destroyed or transferred.

Promotion
Movement of objects from one phase of a retention policy to the next phase.

Qualification Date
The date on which an object qualifies for promotion or disposition.

Retention
The period of time an object must be kept according to operational, legal, regulatory, fiscal or internal requirements.

Retention Markup
A function of Retention Policy Services that prevents an object from undergoing disposition. Retention markup provides a means of applying additional information to a retained object. Objects with a Hold or Permanent retention markup applied cannot be destroyed or transferred on schedule because of special circumstances, such as a court order or an investigation. Objects on Hold or Permanent cannot be deleted or transferred until the retention markup is removed. Hold and Permanent prevent disposition whereas Freeze prevents promotion. None of the date calculations are affected when an object has a retention markup applied. Single or multiple retention markups can be applied to objects.

Records Policies
Records policies include:

- Retention policies
- Containment
- Naming
- Security
- Derived security
- Restrictive markings
- Shared markings
- Security levels
- Attribute marking sets
- Attribute markings

Records Manager policies exclude retention policies.

Retention Policy
A policy that is defined in a retention policy lifecycle, which determines the period of time an object is retained in a repository according to operational, legal, regulatory, fiscal or internal requirements. A retention policy lifecycle consists of at least two phases, where each phase has a distinct duration. The final phase is the disposition phase.

Transfer
The act or process of moving objects from one storage location to another.