rsd GLASS®
Policy Manager

Version 3.4

User Guide

RSD-000040-EN-01

www.rsd.com

Trademarks and Registered Names

All brand and product names quoted in this publication are trademarks or registered trademarks of their respective holders.

Notices

RSD GLASS Policy Manager is a software package property of RSD - Geneva, Switzerland that cannot be used without license.

RSD reserves the right to make any modifications to this product and to the corresponding documentation without prior notice or advice.

Manual: RSD GLASS Policy Manager - User Guide and Technical Reference version 3.4

Contents

Introduction

Information Governance Policies define how an organization should manage its content (and information) in order to comply with the requirements of laws, regulations, and internal operational needs. These policies cover the rules of behavior and handling of the various types of documents and Records that are used within the numerous processes in the organization.

The primary mission of the Records Management Program is to ensure that Records are retained in a reliable and authentic manner and are ultimately disposed of in accordance with applicable laws and regulations. It is also necessary to ensure that Records are accessible to all stakeholders within the enterprise.

IG Policies are a set of Record Class (RC) definitions along with the lifecycle policies and rules that must apply to the Records to which these classes are applied.

RSD GLASS Policy Manager is one of the main modules of RSD GLASS and is intended to be a corporate tool for creating, maintaining, approving and publishing IG policies, as well as deploying the IG policies in the Business Unit.

The following introduction outlines the features and components of the product.

Topics covered:

- "How RSD GLASS Policy Manager fits into the RSD GLASS framework" on page 6.
- "Who uses RSD GLASS Policy Manager?" on page 6.
- "RSD GLASS Policy Manager Functionality" on page 6.
- "What is the Master Classification?" on page 6.
- "The Record Class creation process" on page 8.

Who uses RSD GLASS Policy Manager?

RSD GLASS Policy Manager is the main working tool for the enterprise Record Manager who is responsible for the design, implementation and administration of Record management within the organization.

RSD GLASS Policy Manager Functionality

The following list gives an introduction to the main functionality of RSD GLASS Policy Manager.

- The management of Business Unit (BU) 'Classification Requirements' to collect 'Classification Requirement' information for Record Classes (RCs).
- Creation of Record Classes. This process uses the content of the 'Classification Requirement' form and includes the definition of, for example: Record Life Cycle, content storage Life Cycle, assignment of Metadata Groups to the Record Class, definition at which level under that Record Class the lifecycle rules will apply, RSD GLASS Policy Manager and Record Class security used to control access.
- The management of all Record Class elements such as Lifecycle Actions, Disposition Authorities and Disposition Actions, File templates (repeatable file folder structures that define the list of sub-folders created automatically when a parent file is created using that template), Metadata and Metadata Groups, Laws and Regulations.
- Validation of the Record Class by the different Information Governance actors (e.g. Security Officer, Legal Compliance) based on a workflow definition (the Actors, number of steps and actions are flexible). This includes the mapping of Record Class definitions to applicable law and regulations.
- The management of the approval processes of new (or modified) RC definitions.
- Publication of the new (or modified) RC definitions.
- Deployment of RC definitions to BUs.

What is the Master Classification?

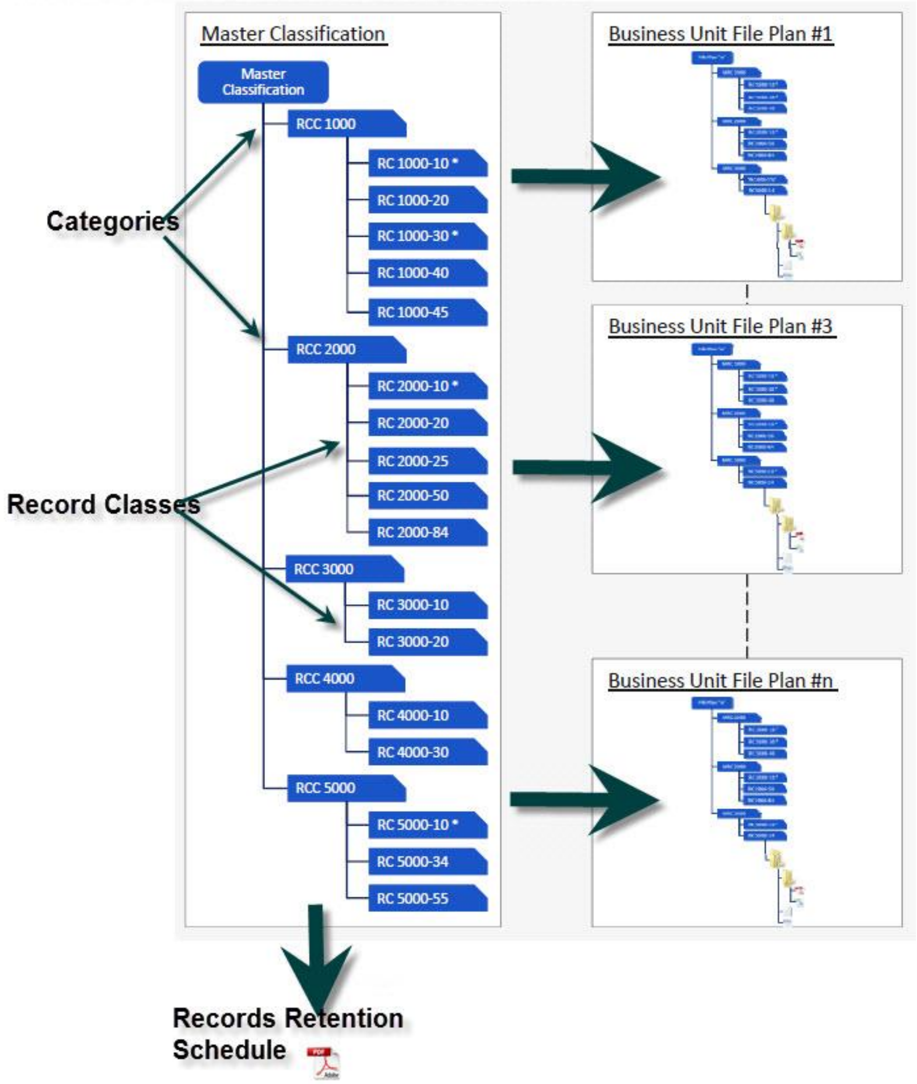
The Master Classification corresponds to the Records Retention Schedule of an enterprise and is composed of Record Classes that are organized in a hierarchical and coded structure.

The Master Classification represents the corporate reference list (hence master) of Record Classes along with the various Information Governance rules associated with them. It is the master list of Record Classes organized in a hierarchy of Master Record Classes. In large organizations, there might be multiple levels in the hierarchy.

A Business Unit is the generic name of an operational unit of employees responsible for a business activity. The Business Unit can be, for example, a department, a section or a location. The Master Classification is used to generate the Business Unit File Plans. File Plans are used to create the folder structure of a Business Unit.

From the Master Classification the enterprise Records Retention Schedule may be generated in PDF format.

The Master Classification scheme



The Record Class (RC)

The Record Class represents one type of Record and defines all its retention and disposition attributes.

RCs are classification nodes in the Master Classification scheme. They are the frames that will contain the individual Records.

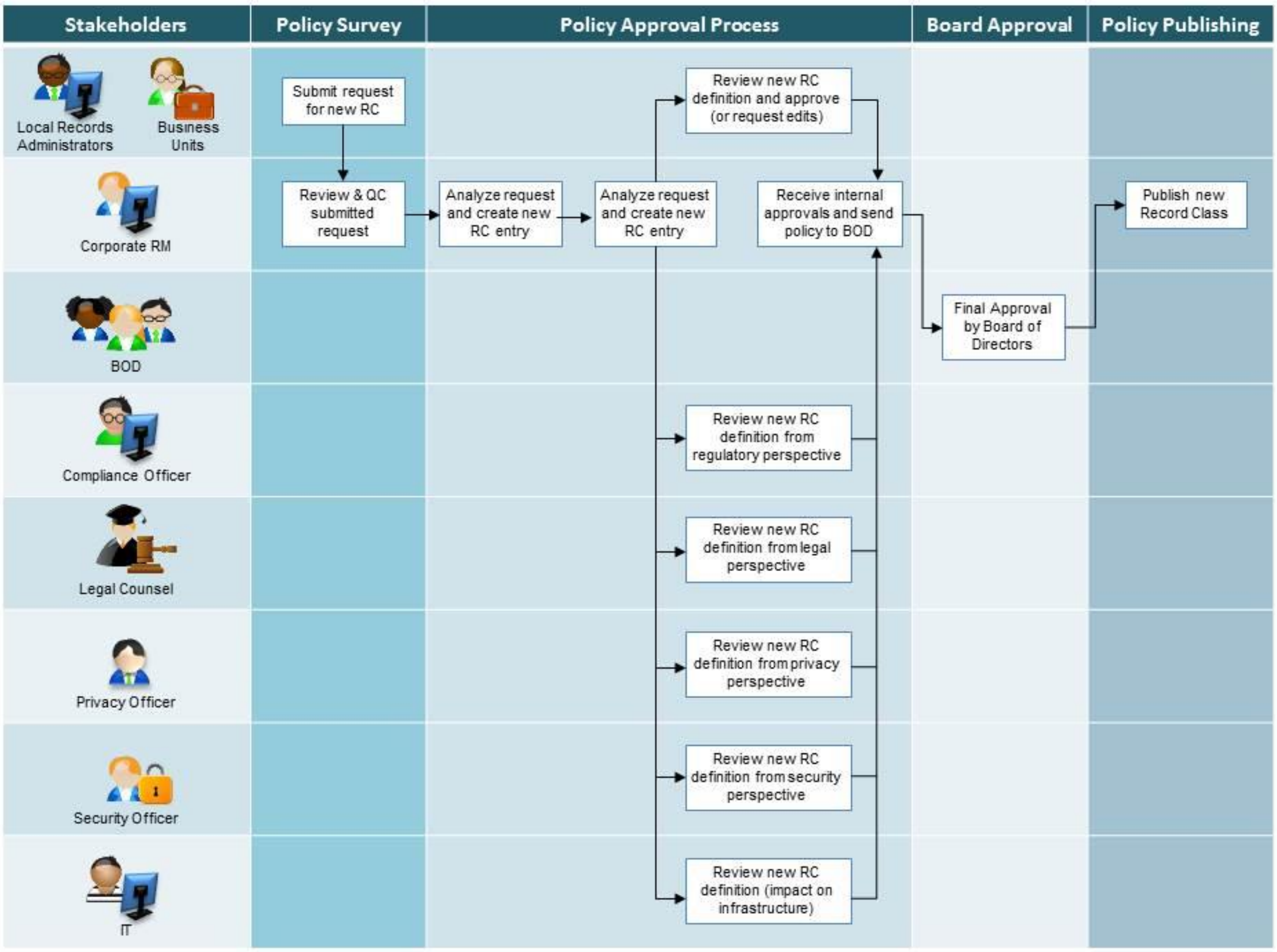
RC's have a default set of values and specific values for specific jurisdictions (if they are different). RC's are available in the enterprise corporate language and in the various languages used within the jurisdictions.

Record Class Categories (RCC)

Record Class Categories are groups of Record Classes. RCCs and RCs are usually organized in a functional manner, grouping information on similar subjects in the same area. RCCs will not contain any Records themselves, just further levels of Record Classes or other Categories. It is not possible, for example, to create a RCC at a lower hierarchical level than a RC.

The Record Class creation process

The following illustrates the Record Class creation process in RSD GLASS Policy Manager from the 'Classification Requirement' survey stage to final publication.



Finding your way around

Login

At the initial RSD GLASS Policy Manager Login panel you will be asked to supply your user login and password. Select the **Login** button.

The initial screen to appear after login is the 'Home' page. This Home page provides predifined shortcuts to capabilities that are frequently used and to the most recently modified Record Classes and Laws.

Role selection

Any specific User may be assigned a number of Roles within RSD GLASS Policy Manager. It is at the login stage that you are required to specify which Role you will use for the session.

Once a valid User login and password have been entered, if your User has more than one Role defined, you will be prompted to select a Role from the Role List.

Note that at any time during a session it is possible to click on the 'Role list' button from the top header bar and select a different Role.

The following list describes the different Roles provided in this version of RSD GLASS Policy Manager:

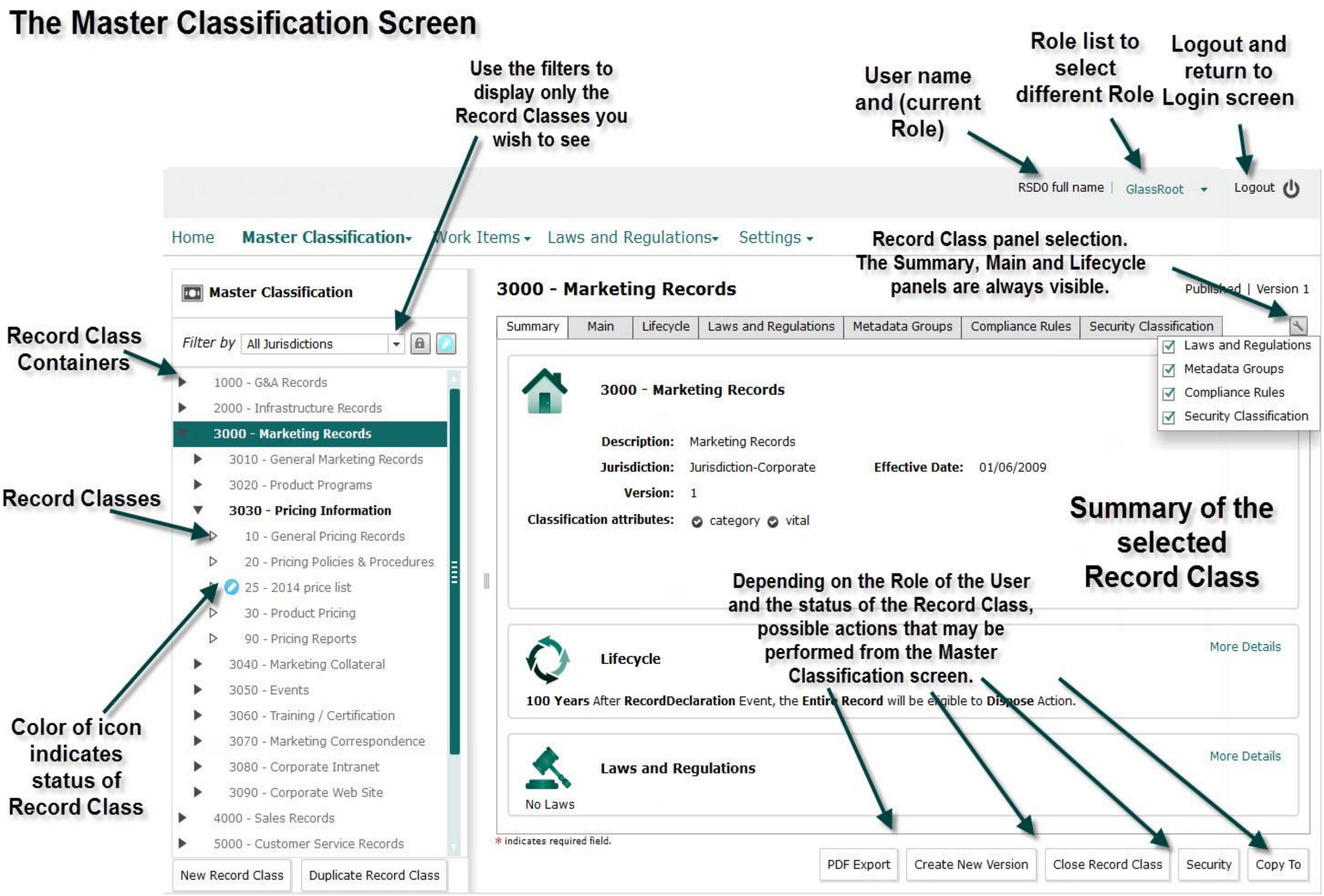
Role	Information
Business Unit Manager	He can see the Master Classification and manage the 'classification requirements'. A BU can belong to one jurisdiction only.
Corporate RM	Has the right to see and do everything in RSD GLASS Policy Manager.
All other roles	Can see the Master Classification and the Record Class Review list. (i.e. Board Of Directors (BOD), Compliance Officer, Privacy Officer, Security Officer, Corporate secretary, Auditor, System administrator, IT Development, Legal Counsel, Paralegal, Litigation Counsel, Authorities, Joe Public, Risk officer, BU Record Administrator, BU End-User)

It should be noted that this list corresponds to the roles created when loading initial data. All roles, except GLASSROOT, are configurable: names may be changed, authorizations updated, new roles added or existing roles removed using the RSD Admin Center application.

Navigating within the application

The initial screen to appear after login is the 'Home' page. This Home page automatically displays all of the capabilities of the product according the role of the user that has logged on. It also contains a list of any 'Review' requests that are pending for the logged in user.

The following screen shows the Master Classification screen and its various elements. Use the buttons at the top left of the screen to navigate between the Master Classification, Work Items, Laws and Regulations and Tools screens.



Status of Record Classes

Icon	Status information
	A new Record Class has been created. See "How to create a new Record Class" on page 40.
	The Record Class has been sent for validation by the information governance actor defined as competent in the Record Class Review specified when the Record Class was created. See "Sending Record Classes for validation" on page 47.
	The request to validate a new Record Class has been rejected by one or more of the validation actors. Once rejected the Record Class returns to the Working Items -> Record Class Review list of the actor who created it. From here the creator can then Delete or Update and Re-send for Validation. See "Sending Record Classes for validation" on page 47.
	Record Class has been approved/validated by ALL the information governance actors defined as competent in the Record Class Review specified when the Record Class was created, but has not yet been published.
	No status icon indicates that the Record Manager has Published the validated new Record Class. See "Publishing Record Classes" on page 54.
	The Record Class, and all its children elements, has been closed. See "Closing a Record Class" on page 56.
	A request to close the Record Class has been sent for validation by the information governance actor defined in the RC Review specified.
	The request to close the Record Class has been rejected by one or more of the validation actors. The Record Class may continue to be used. This 'Closure Rejected' status may be removed and the status of the Record Class returns to 'Published'.
	A Request to close the Record Class at a later date has been made. The Record Class may continue to be used up until this later date has been reached.

See "Understanding the status of a Record Class" on page 49 for more information.

Information on common functionality

The following sections describe functionality that is common to various screens in RSD GLASS Policy Manager. For example, it is possible to sort lists of Metadata, Laws and Regulations, work items.

Sorting list data

By default, elements are listed in the order they have been inserted in the database, with the newest shown last, or in alphabetical order.

How the sort functionality works:

- Clicking on a column header sorts the list according to the data in that column.

  A tool indicating the sort order is added to the right of the column header. To change the sort order, click again on the column header.

Sort tools:

- ▲ Indicates the column is sorted in ascending order. Click on the tool to change the sort order to descending.
- ▼ Indicates the column is sorted in descending order. Click on the tool to change the sort order to ascending.

Required fields

A red asterisk (*) after a field name indicates that a field is required. Fields with no asterisk are optional.

Errors in fields

Fields outlined in red when saved are in error either, because they are required, or they contain illegal information. For example they may contain letters when a date in numbers is required. A red pop-out bubble indicates the nature of the error when the mouse pointer is moved over the field.

Picking from lists

There are three methods to move pre-existing elements from one list to another. For example, when selecting available Metadata to add to a Metadata Group. Holding down the Ctrl key allows you to select multiple elements at the same time.

- Select the item and holding down the left mouse button drag the item to the list,
- Use the or buttons to move selected items between two lists.
- Double click on item to select or deselect it.

Displaying Language options

It is possible to display the text of certain fields in each of the languages used in the Jurisdiction.

Where available, select the button to display the list of languages.

Filtering Search or Export information

When selecting critera for inclusion in Search or Export functionality it is possible to use the three following filtering methods:

True - includes only Record Class Categories in the search or export.

False - includes only Record Classes in the search or export.

No filter - includes both Record Classes and Record Class Categories.

Filtering list data

In order to locate information more easily in a list, it is possible to display only the rows of a list that contain a particular value in one or more columns.

How the filtering functionality works:

Clicking on the filter icon in a column header displays a box where you may enter the filter criteria. This then limits the number of rows that are displayed. You can use wildcards like * or ? to match any sequence of characters or even a single character.

This tool indicates that column filtering is applied on the column. To change the filter criteria, click again on the tool.

Setting up your RSD GLASS Policy Manager environment

The following sections describe the elements of RSD GLASS Policy Manager that should be setup prior to starting to use the application and creating Record Classes.

Preliminary Configuration Tasks

The following is the list of tasks that need to be performed in order to setup your RSD GLASS Policy Manager environment and to be able to start creating Record Classes. Those that are mandatory are marked as such in the list. The suggested order in which you perform the tasks is not necessarily mandatory but logical. For example, to correctly setup Metadata Groups you need to have previously created the required Metadata.

- Multi-language support - see "Languages" on page 13.
- Jurisdiction (mandatory) - see "Jurisdiction" on page 15.
- Code template (mandatory) - see "Code Template" on page 23.
- Record Class Review (mandatory) - see "Record Class Review Management" on page 20.
- Metadata - see "Metadata" on page 17.
- Metadata Group Types - see "Metadata Group Type" on page 19.
- Metadata Groups - see "Metadata Groups" on page 18.
- Laws and Regulations - see "Laws and Regulations" on page 28.
- Lifecycle Events (mandatory) - see "Lifecycle Events" on page 26.
- Lifecycle Actions (mandatory) - see "Lifecycle Actions" on page 23.
- Action Review Process - see "Action Review" on page 21.
- Record Formats - see "Record Formats" on page 27.
- Legal Case Types - see "Legal Case Types" on page 28.
- Folder template - see "Folder Template" on page 22.

Languages

The support of multiple languages in RSD GLASS Policy Manager facilitates communication and understanding of the Master Classification across different countries and cultures within the same enterprise. RSD GLASS is able to manage natively different languages for Record Class definitions and descriptions.

The first step to setup multi language support is to define the list of supported languages. A unique language code is generated by using the combination of the ISO 639 language code and, optionally, the ISO 3166 country code. For example:

- **fr-CH** for French in Switzerland
- **fr-FR** for French in France
- **fr-CA** for French in Canada

Each jurisdiction has a default, primary language specified. It is possible to specify secondary languages. See following section for more information on Jurisdictions.

How to create new language

- From the Settings menu, select the Languages menu item.

From this screen, as well as adding new Languages, it is possible to update existing Languages and delete Languages.

Configuring multi language support

It is possible to specify multi language support for Record Class name, description and notes fields, as well as Metadata and Metadata Group names.

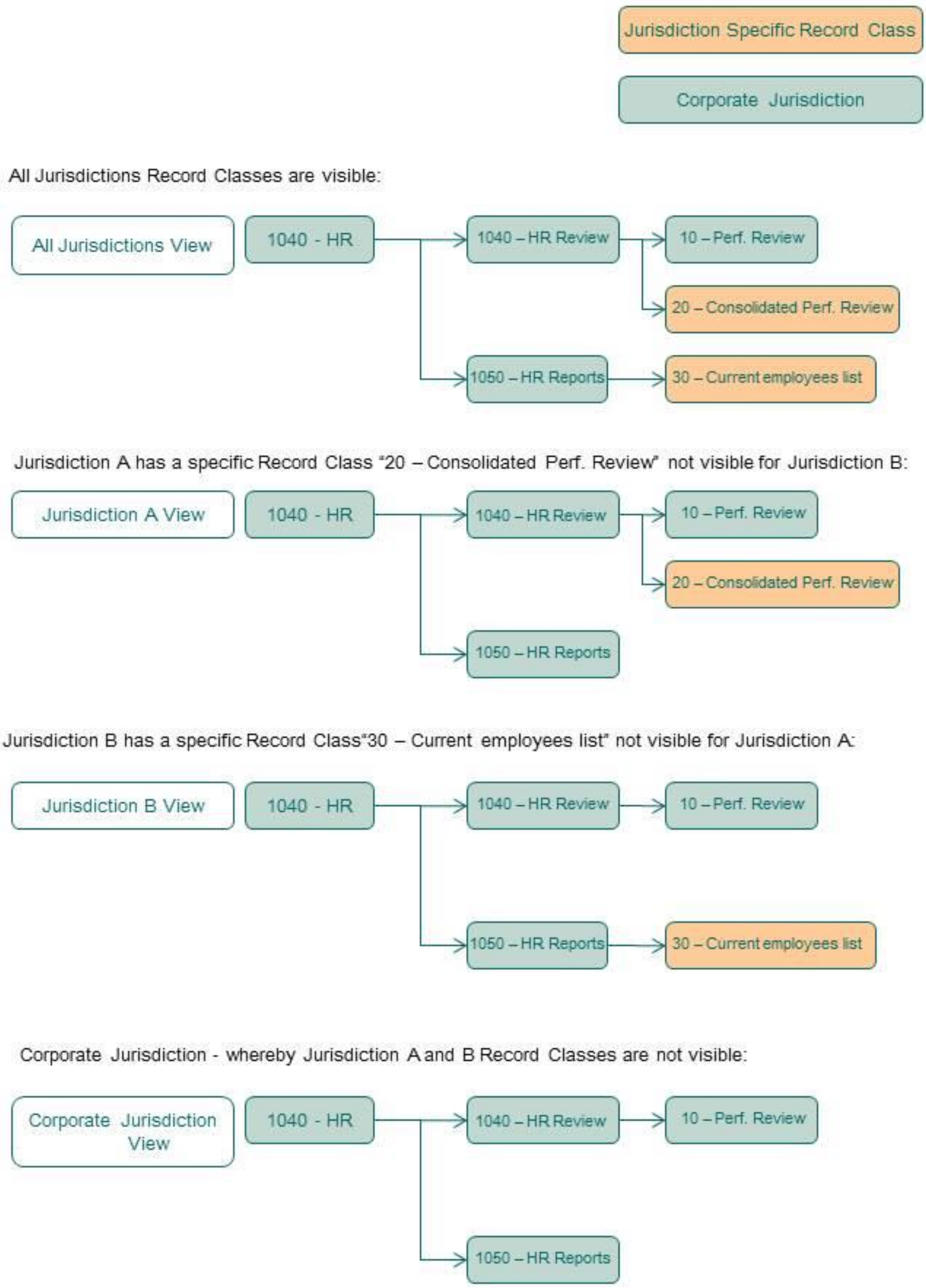
Multi language supported fields are indicated with the following icon  .

When selected, you are presented with a screen where you may define language translations for each of the languages specified in the Jurisdiction (primary or secondary) of the Record Class.

Jurisdiction

A Jurisdiction is a logical entity used to distinguish Record Classes according to a country, company subsidiary, department or any separation in an enterprise that defines a Record Class in a specific or different way from those used on a corporate level.

Example of Jurisdictions within the enterprise



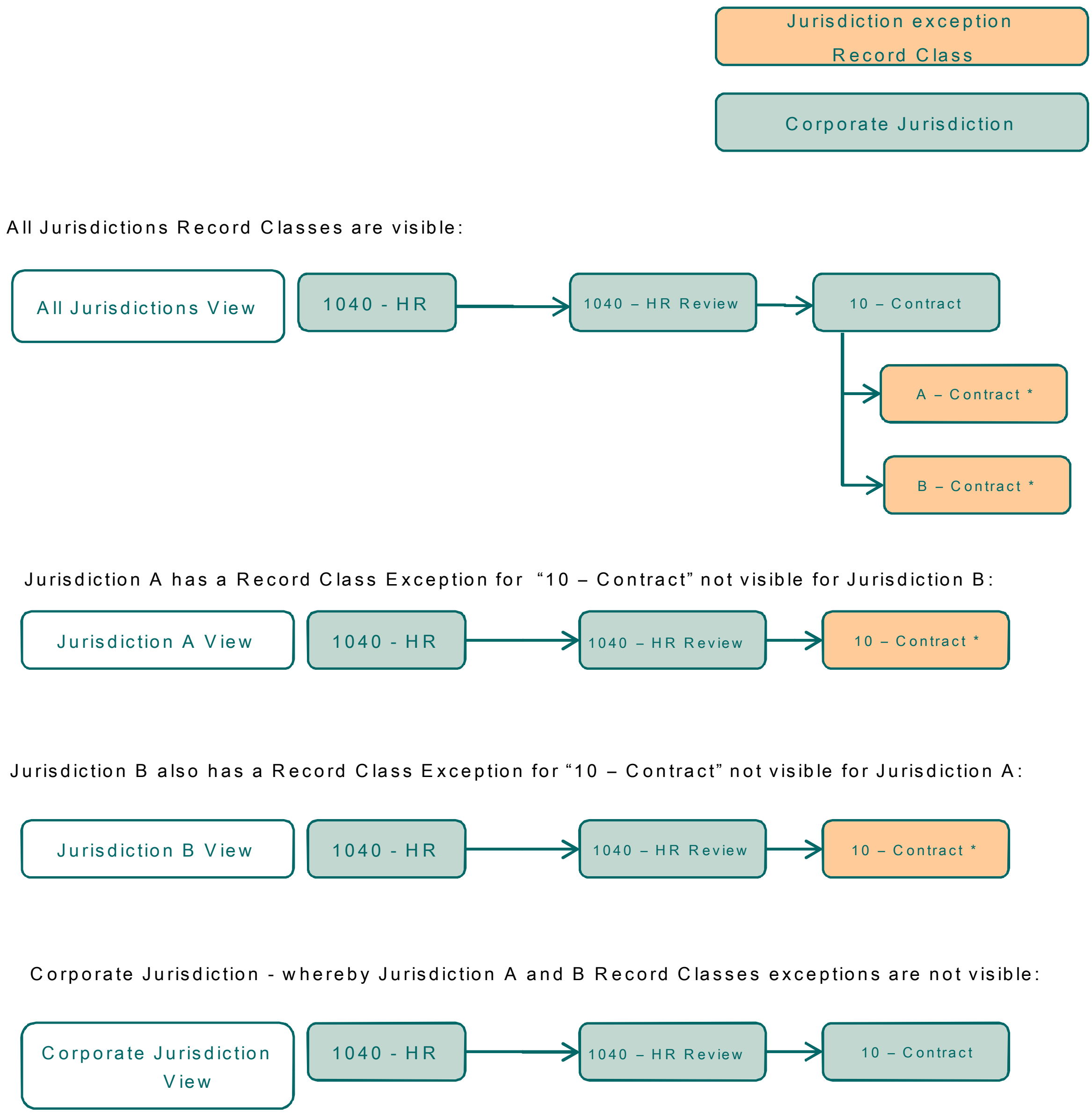
Exceptions to the Corporate Jurisdiction

Each Record Class is assigned a specific Jurisdiction. In certain cases, however, the need may arise for a Corporate Record Class to be specific to different Jurisdictions. For example, a same Record Class containing Contracts may need to be kept three years for the Corporate Jurisdiction, five years for the US Jurisdiction and ten years for the French jurisdiction. Each country has different Laws and Regulations whereby information lifecycles determining how long data is kept are specific for each country Jurisdiction. In these cases it is possible to determine an 'exception' for a final level Corporate jurisdiction Record Class for each local Jurisdiction.

In order to distinguish a Corporate Record Class from its local 'exceptions', an asterisk (*) appears next to the Record Class 'exception' in the Master Classification.

Once this 'exception' has been created, users of local Jurisdiction File plans only see the Record Class content relevant for their Jurisdiction. They will not see any of the Record Class 'exceptions' created for other Jurisdictions. See "How to create a new Record Class Exception" on page 48 for further information on creating Record Class exceptions.

The following diagram explains this concept by showing the different Jurisdiction views possible.



How to create a new Jurisdiction

- From the Settings menu, select the Jurisdictions menu item.

From this screen, as well as adding new Jurisdictions, it is possible to update or delete existing Jurisdictions. Note, however, that once a Jurisdiction has been assigned to a Record Class or Record Class Category, it is no longer possible to modify it other than adding language definitions.

Note that you are required to specify an 'Exception Code' of up to five characters. This code will be used when creating a Record Class 'exception' to differentiate it from the Corporate Jurisdiction Record Class it is based upon. See above for further information on Record Class 'Exceptions'.

Metadata

Metadata describe context, content and structure of documents and Records and their management through time. The key purpose of Metadata is to facilitate and improve the retrieval of information. A wide range of Metadata are provided with this version of RSD GLASS Policy Manager. These Metadata are independent from any Metadata that might be attached to the Records in their original Content Repository, i.e. they are attached to the Record Class. A Record may have three sets of Metadata, (i) ones attached to them from their original Repository, (ii) those attached to them through the Record Class and (iii) those assigned to the individual records through the Record Format.

How to create new Metadata

- From the Settings menu, select the Metadata menu item.

From this screen, as well as adding new Metadata, it is possible to update existing Metadata and delete Metadata (as long as the Metadata has not yet been added to a Metadata Group).

It is possible at a later stage, however, even if part of a Metadata Group, to modify all BUT the following fields of a metadata: the Name, Format (Type) and the Rules (pattern, minimum and maximum length, white space, lower value, upper value).

The 'Multiple language option' enables the possibility to specify different language label titles and description for the Metadata. Metadata description labels may be configured for each Language defined in the Jurisdictions covered by your RSD GLASS Policy Manager environment.

Through the 'Advanced Configuration' option it is possible to define restrictions on Metadata values, such as specifying default values or minimum or maximum length.

'Enumeration' allows for the definition of a list of predefined conversion values for the specified Metadata. For example a Metadata called Level, for each numbered value an explanation can be given:

Level 1 = Low Priority, Level 2 = medium piority and Level 3 = high priority.

System Metadata

A certain number of system Metadata are delivered with the RSD GLASS environment. The following list is not exhaustive.

Metadata	Information
Storage Level	Through the lifecycle of content it may be necessary to move where information is stored. Through the setup of enumeration values that refer to the different levels of storage possible in your RSD GLASS environment, it is possible to configure how and where information is automatically moved when certain milestones are reached. The corresponding content repositories for each phase need to be configured in the RSD GLASS Governance Manager.
uuid	The globally unique identifier of the entity.
title	The title of the node.
refJurisdiction	The jurisdiction and the default language.
owner	The identifier of the owner.
crId:	Identifier of the content repository.
contentIndexStatus	Information about the status of the Content Index. The supported values are: no index, deferred, indexed, disposed, error.

Compliance Metadata

A certain number of 'Compliance' type Metadata are delivered with the RSD GLASS environment. By configuring these metadata you will then be able to correctly configure the Virtual Content Repository 'Compliance Rules' settings in the RSD GLASS Governance Manager interface. For instance, by defining the 'enumeration' option you can, on the *repositoryLocation* Metadata, specify a list of all the available locations where a Virtual Repository may be situated, for example, EU, US etc.

componentTypes	Component Types	Compliance
nativeRepositoryEncryption	Native Repository Encryption Readiness	Compliance
repositoryHosting	Repository Hosting	Compliance
repositoryLocation	Repository Location	Compliance
repositoryComplianceLevel	Repository Compliance Level	Compliance
storageLevel	Storage level	Compliance

Metadata Groups

In order to facilitate the management and use of Metadata, Metadata Groups are created so that Metadata relevant to similar subjects are placed together in categories. When creating Record Classes it is easier to select a Metadata Group than a long list of Metadata. For example, a Metadata Group called Bank might contain all Metadata that refer to banking information such as account holder name, account numbers, credit ratings, currencies.

Metadata Groups also enable the use of additional 'attributes' that can be assigned to individual Metadata that they contain. In this way the same Metadata, but in different Metadata Groups, may be assigned different attributes depending on the desired usage. For example, in a given Metadata Group called 'Bank' the 'customer name' Metadata might be obligatory, whereas in a certain Metadata Group called 'Sales' the 'customer name' Metadata is not required and may be updated. The same Metadata can therefore be used for different applications.

The 'Multiple language option' enables the possibility to specify different language label titles and description for the Metadata Group.

Security Metadata Integer Enumerations must be created from lowest (0) to highest clearance level, so that users without a clearance level attribute set will default to the lowest level (0).

When a Metadata Group is already in use, it is possible, however, to change the Metadata Group attributes (apart from the 'distinctive' attribute). These changes are immediately taken into account without generating a new version of a Record Class.

Assigning Metadata to Groups

- From the Settings menu, select the Metadata Groups menu item.
- Assign the required Metadata to the new or existing Group and define the desired options according to the following list.

Metadata options in a Group

Icon	Attribute status information
	Distinctive. Used in connection with Distinctive Folder functionality. Allows the information contained in Metadata to be used to classify Records on bulk import in the correct Distinctive Folders in a Record Class. For example, the information in the 'Name' Metadata could be used to insert automatically a Record in the Distinctive Folders corresponding to the name of the staff member.
	Updatable. Whether or not the Metadata may be modified. For example, a bank account number should not be 'updatable'.
	Typable. Identifies the properties that will be prompted to be filled-in whenever the element is created regardless of if the element is a File Plan, Record Class, Folder, Record or Component. The properties that are NOT 'typable' will be created using either a default value or are calculated automatically by the system. These properties may be modified at a later date, if required, and if 'updateable'.
	Viewable. Whether the contents of the Metadata is visible. May be used for information such as credit card numbers. Certain system or technical properties need not be visible for users.
	Searchable. Defines if the Metadata is available in the search panel and can therefore be used as search criteria in RSD GLASS Governance Manager, the RSD GLASS application as well as the Cross file plan search tool. Certain information, such as French national identification numbers (INSEE) cannot be used as search criteria.
	Determines the minimum number of times this Metadata can be assigned to a Record. Entering '0' (zero) indicates that the Metadata is not obligatory. '1' makes the Metadata mandatory.
	Determines the maximum number of times this Metadata is assigned to a Record.

Metadata Group Types

Metadata Groups are categorized into different Metadata Group types delivered with the product. The different 'types' of Metadata Groups are used to sort and display the correct Metadata Groups at the relevant place in the application. For example, the Metadata Groups of type 'Security' are used in the Security tab.

Metadata Group Type

Metadata Group Types are collections of one or more Metadata Groups. They are used in three different ways:

- as a generic type definition for categories of Record Classes sharing a common behaviour, such as email, paper records;
- as a lifecycle information in order to trigger specific actions, for example a Type can be associated with a certain sort of Event in a Lifecycle;
- or as a source of information for a Record Class datasheet, such as the Security datasheet.

How to create new Metadata Group Types

- From the Tools Menu, select the Metadata Group Types menu item.

From this screen, as well as adding new Metadata Group Types, it is possible to update existing Metadata Group Types and delete Metadata Group Types. Note, however, that it is not possible to modify or delete Metadata once they have been assigned to a Metadata Group.

Record Class Review Management

In order to validate the creation of new Record Classes, a chain of one or more approval steps (by one or more of the information governance actors) is necessary. This approval process is achieved through the Record Class Review. See "The Record Class creation process" on page 8 for an example of various approval steps in the creation of a new Record Class.

A list of Record Class Reviews that need approval is visible in the Work Items tab of users who have roles such as Compliance Officer, Legal Counsel, Privacy Officer or Security Officer.

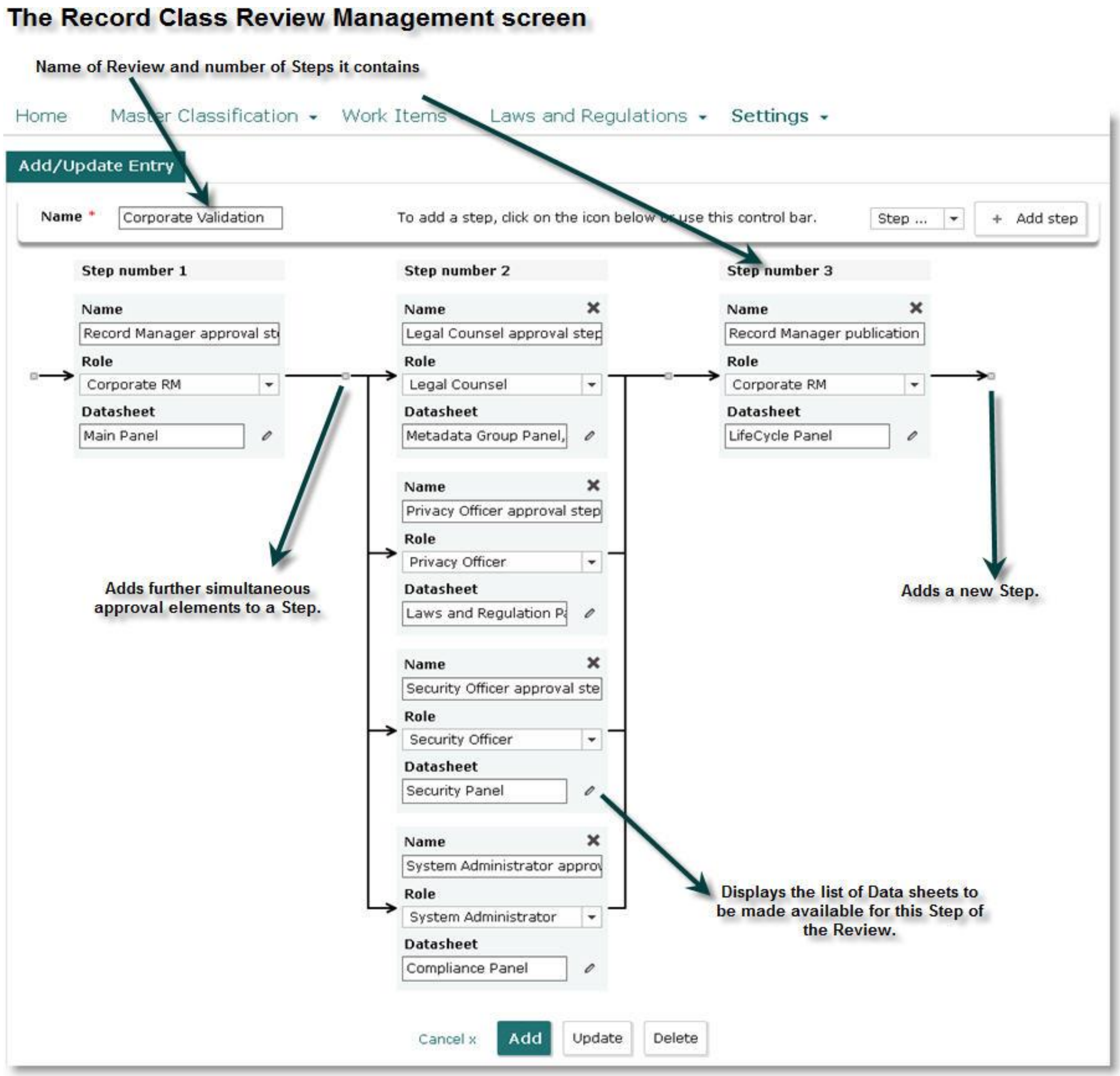
Record Class Reviews need to be created to reflect the workflow of approvals required by the enterprise.

Within each individual Process a number of approval steps are created that represent the validation of each required actor. For example, a simple Review Process might contain two steps, one requiring the approval of the Legal Counsel who is competent to validate the legal implications of the creation of a new Record Class. A second step might require the approval of the Compliance officer to assure compliance with regulatory requirements.

Each Step can be configured to allow the Validator to be able edit only the relevant datasheets (datasheets being the various stages of creation of a Record Class, represented by the various tabs in the Record Class definition, Main, Metadata Groups, Security, etc.). For example, if a step included in the Review requires the approval of the Security Officer, then only the Security datasheet would be 'editable'. The Security Officer only needs to validate the Security elements of the new Record Class. There would be no need for him to edit, for example, what Metadata Groups have been assigned to the new Record Class.

If no datasheet is specified for a step, the Validator can only see all the datasheets, but cannot change them before validating or refusing.

Each individual step of a process may be sent simultaneously to various roles for validation.



How to create a new Record Class Review

- From the Settings menu, select the Record Class Review Management menu item.

From this screen, as well as adding new Record Class Reviews, it is possible to update or delete existing Record Class Reviews. Record Class Reviews that have already been assigned to a Record Class and are in use may also be updated.

Note that it is possible to directly approve a Record Class by creating a Record Class Review that does not contain any steps. In this case, when saving a newly created Record Class using this type of RC Review the 'Send to Validation' button is replaced by the 'Approve' button.

Action Review

It is possible to create an approval process that authorizes the execution of a Lifecycle Action on a Record Class. A chain of one or more approval steps (by one or more of the information governance actors, or the 'Record Owner') may be set to start at a moment before the Lifecycle Action is due to begin.

Each individual step of a process may be sent simultaneously to various roles for validation in the RSD GLASS Governance Manager application. Each step has an alternative validating role defined in the case where the primary validator is not available.

Once the 'Action Review' has been created, it can be assigned to the Lifecycle Action. See "Lifecycle Actions" on page 23 for further information on how to define Lifecycle Actions.

How to create a new Action Review

- From the Settings menu, select the Action Review menu item.

From this screen, as well as adding new Action Review, it is possible to update or delete existing Action Reviews. It is possible to update Action Reviews that have already been assigned to a Record Class.

Folder Template

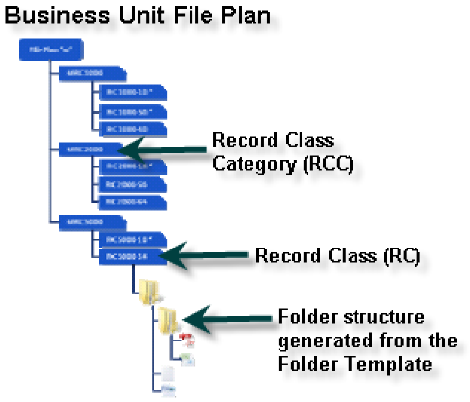
Folders appear in the Business Unit File Plan in the hierarchical structure contained in a Record Class. See diagram below as an example.

Folder Templates are repeatable folder structures that are used to define a list of folders and sub-folders in the Record Class that will be generated automatically when a parent file is created according to that template. Using Folder Templates forces a predefined folder structure within a Record Class that cannot subsequently be removed by the Business Unit user. Additional folders may be created, but those created from the Folder template cannot be deleted.

It is possible to attribute Metadata Groups to a Folder Template so that they are defined automatically on creation.

A Distinctive Folder is a Folder that contains concrete information on a specific subject such as Salary Slips for a particular person. They are used to automatically structure information. When a Folder is defined as being a 'Distinctive Folder' it establishes in the Record Class an obligatory Folder along with its predefined Metadata properties. These Metadata can then be used to file information automatically in the specific Folders. No Records can be stored at the Record Class level but only in the Folder.

For example, a Human Resources RC containing a folder for each of the staff members using information from Metadata such as National Insurance number or date of birth, i.e. the folder is populated according to Metadata that identify the staff member.



How to create new Folder Templates

- From the Settings menu, select the Folder Templates menu item.
- Folder template names may not contain any spaces or special characters. The name may contain up to 128 alphanumeric characters and must start with a letter of the alphabet.
- Note that when selecting the checkbox to specify that the Folder will be 'Distinctive' you need to ensure to add a Metadata Group that contains a Metadata that has been defined as 'Distinctive'. See "Metadata Groups" on page 18 for more information.

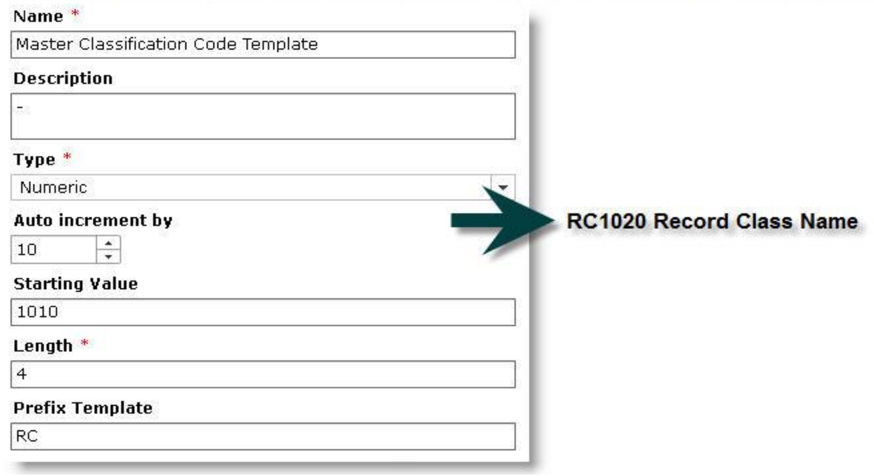
From this screen, as well as adding new Folder Templates, it is possible to update or delete Folder Templates that have not been assigned.

Code Template

All Record Classes follow a specific naming convention as defined for the enterprise. Part of this naming convention is the initial Classification Code used to sort Categories and Records at their level in the Master Classification.

Classification Code Templates can be created to specify the required elements such as the length of the code or whether the code contains numbers or letters. Note that the values proposed when creating a new Record Class can be overwritten if desired.

Example of a Record Class Name created according to a given Classification Code template.



There are three possible 'Types' of Classification code: Numeric, Alphabetic and Alpha-numeric.

The 'Auto increment by', 'Starting Value' and 'Leading zeros' arguments may only be used when selecting the 'Type' Numeric.

How to create new Code Templates

- From the Settings menu, select the Code Templates menu item.

From this screen, as well as adding new Code Templates, it is possible to update or delete existing Code Templates that have not yet been assigned.

Lifecycle Actions

A Record has a lifecycle with many milestones within it. During the retention period of a Record there might be multiple milestones at which point specific actions may take place on a Record. For example, after a number of years relocate the Record to a lower storage tier, or delete the content index of the Record.

Lifecycle Actions are applied only on the Metadata or Metadata Group Types they are associated with. To be valid, an Action must be associated with at least one Metadata or one Metadata Group Type. There is no limit on the number of Actions and they can be associated with multiple Metadata or Metadata Group types.

There are different types of Lifecycle Actions possible on a Record.

Lifecycle Action type	information
Delete	Used to permanently remove Content and Metadata.
Update	Used for Metadata.
Declassification	Used to change the Security classification.
Move	Used to move Content and Metadata from different storage places. This type of action is used in combination with the Metadata called Storage Level which defines the different levels of content storage used in your RSD GLASS environment. The Storage Level Metadata needs to have been setup prior to using this functionality. See "Metadata" on page 17 for further information.

Lifecycle Action type	information
	When using this Move action type you should either: - add the Metadata called Storage Level from the Available Metadata list; then from the drop down box select in the 'New Value' field the level that corresponds to where you wish to move the content. Or - leave the Metadata field empty if you wish the content to be moved automatically to the next level down in the list of Storage Levels setup in the Storage Level Metadata. The RSD GLASS Governance Manager User Guide gives an overview of the elements needed to implement the moving of content.
Uncatalog	Removes the Record from the RSD GLASS environment at the end of its lifecycle. Content is *not* deleted and remains in the external repository.

How to create new Lifecycle Actions

- From the Settings menu, select the Lifecycle Actions menu item.

From this screen, as well as adding new Lifecycle Actions, it is possible to update or delete existing Lifecycle Actions that have not yet been assigned.

If you wish to have the approval of one of the Information Governance Actors before performing the Action (for example, to have the Legal Department's approval before declassifying a top secret Folder), select the 'Manage Action Review' link (see screen below).

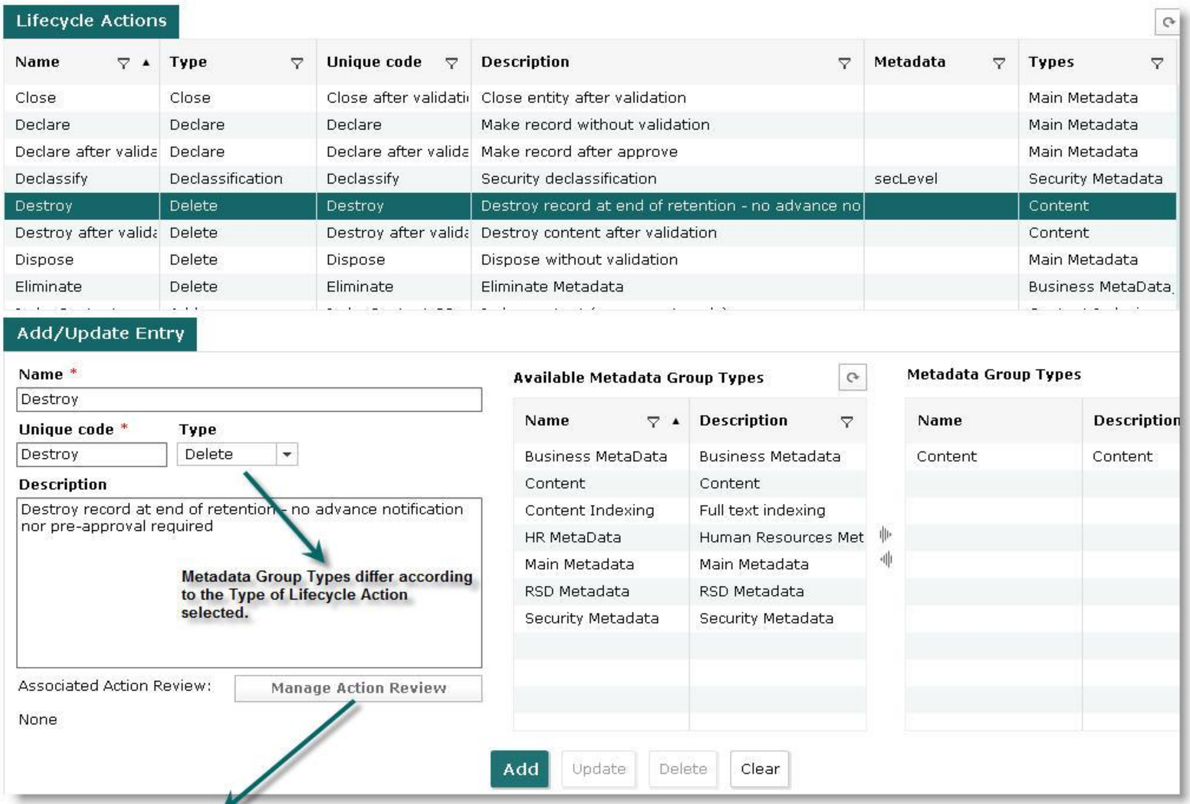
From this Action Review Management screen, select one or more of the predefined Action Reviews.

To visualize the detailed steps of the Action Review use the icon.

This approval process can be further qualified by adding one or more Metadata conditions.

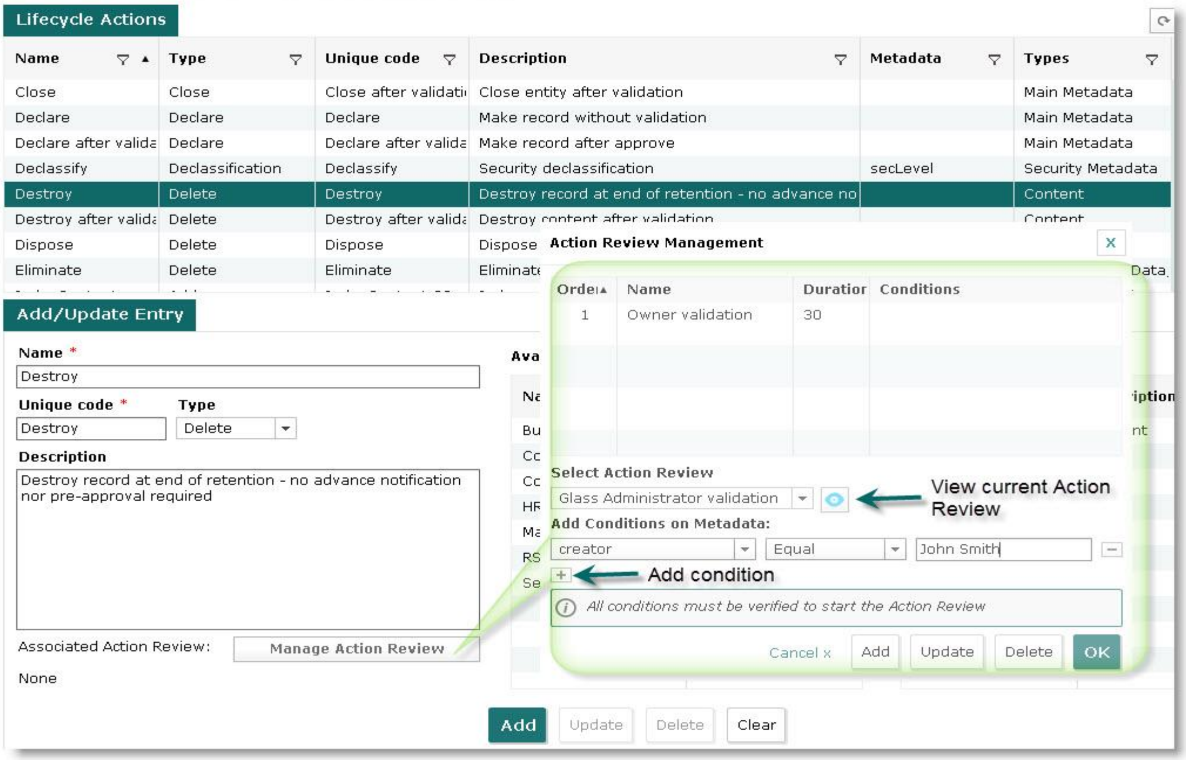
The following screen shows an example of a Lifecycle Action that is associated to the Metadata Group type called 'Content Metadata'. This Action can therefore be applied to all the elements that have been assigned the Metadata Group Type 'Content Metadata' (i.e. Record Classes, the information contained in the Record Class) as well as the Metadata Group Type 'Content Metadata' itself. See "'Lifecycle' datasheet" on page 41 for further information on how to define the Lifecycle elements of a specific Record Class.

The Lifecycle Actions configuration screen



Enables the RC Manager to associate an Action Review that was created for Lifecycle Actions. These Action Reviews can be created from the Tools / Action Review Menu. See following screen that shows the Action Review Management options.

The Action Review Management screen



Lifecycle Events

During the lifecycle of a Record there may be many different Lifecycle Events that can launch potential Lifecycle Actions to be performed on Records. For example, at the end of a Financial year (Event) a Record may be transferred from on-line to off-line storage (Action).

There are different types of Lifecycle Events:

Lifecycle Event type	information
External event	An event triggered by an external source, for example when an employee leaves a company. When this Event type is used it is necessary to specify the name of a metadata as an 'Event Parameter' used to qualify the event, such as EmployeeID.
On Creation	Lifecycle Events that happen at the time the Record is created.
On Closing	Used for the closure of a Folder.
On Disposition	Lifecycle Events that happen when a Record is deleted.
On Declaration	Lifecycle Events that happen at the time the Record is declared.
On Opening	An event triggered when a Folder is opened. When a Folder is created, it might not necessarily be Opened until, for example, the signature of a contract.

So that each Lifecycle Event can be easily recognized and sorted, a required unique Event Code must be assigned to each Lifecycle Event. For example, a Lifecycle Event describing the capture of a Record could be named RecordCapture and the Event Code could be RCP.

How to create new Lifecycle Events

- From the Settings menu, select the Lifecycle Events menu item.

From this screen, as well as adding new Lifecycle Events, it is possible to update or delete existing Lifecycle Events that have not yet been assigned.

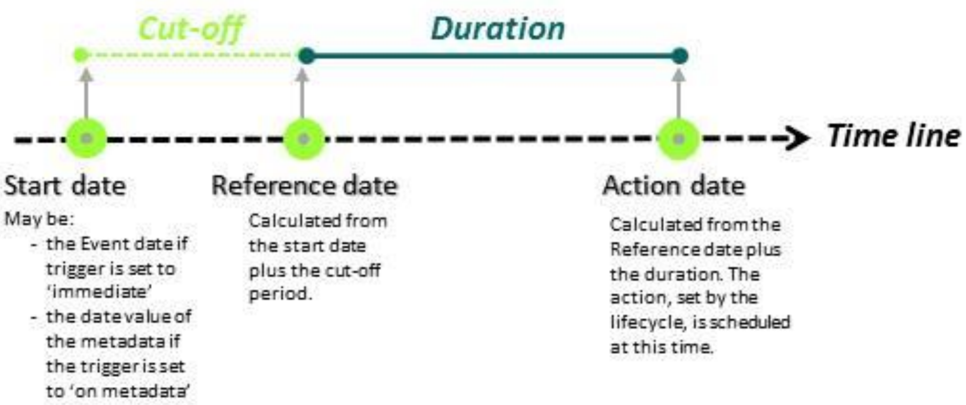
It is possible at a later stage, however, even if assigned, to modify all but the Name, Code, Type and the Metadata.

Note that when updating the trigger date field only documents captured AFTER the update will use the new trigger/cut-off.

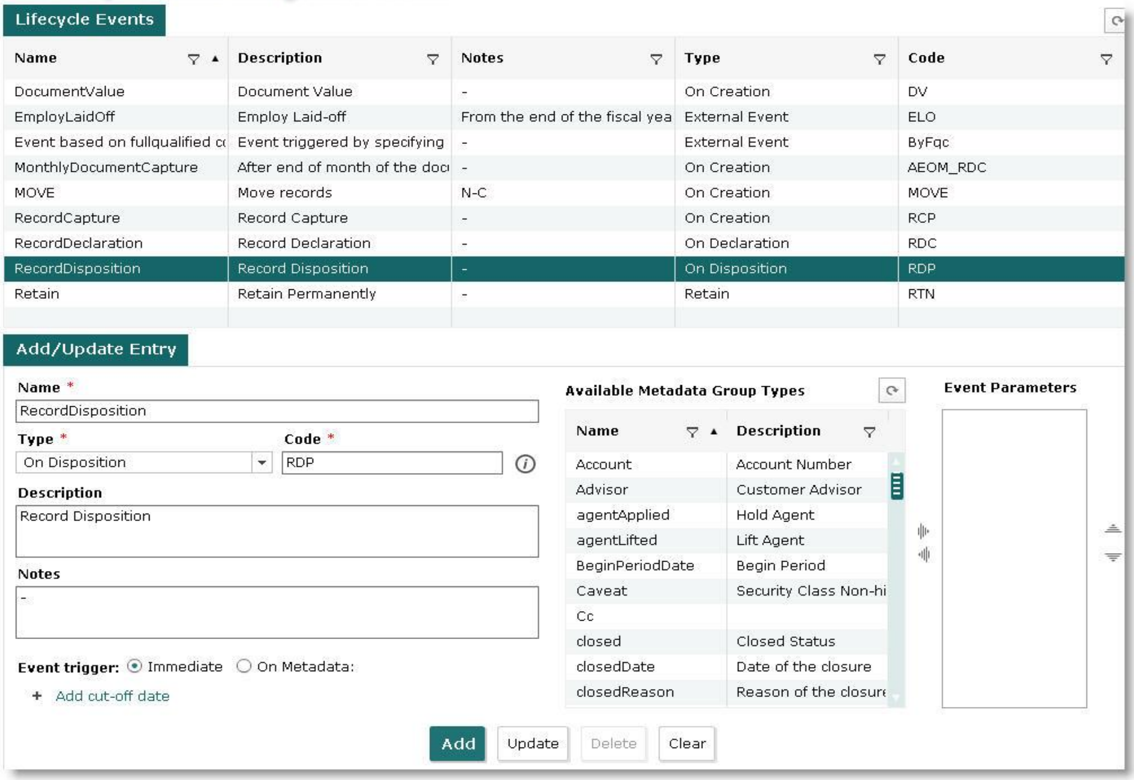
By associating Metadata to a Lifecycle Event, it is possible to gather, for example, all information on a single staff member when he leaves a company by selecting his Social Security number specified in Metadata.

Events have both a start date and a reference date to be used by the 'action'. These dates are the same if the Event Trigger is set as being 'immediate'. However, when using the Event Trigger 'on Metadata', the reference date for the action is the date specified in the metadata selected from the dropdown list.

An extra time delay may be specified by using the 'Add cut-off' dropdown box. Using this allows you define that the event will be triggered, for example, at the end of month. It should be noted when selecting date options that the last day of the week is considered to be a Saturday.



The Lifecycle Events configuration screen



Record Formats

Records may be determined as being of a certain format, e.g. of a format e-mail and have specific Metadata attached to them. In the case of an e-mail Record Format such Metadata might be the name of the Sender and Receivers, Time of sending, Subject.

The Record Format is only used when importing Records into RSD GLASS and is not used when creating and managing Record Classes in the Master Classification. The Record Format allows for a different sort of Metadata to be assigned to Records that might describe the original source content.

How to create new Record Formats

- From the Settings menu, select the Record Formats menu item.

From this screen, as well as adding new Record Formats, it is possible to update or delete existing Record Formats. Record Formats that have already been used in Record Classes may also be updated.

Note that in order to be able to use newly created Record Formats, all File Plans that are based upon the Master Classification need to be synchronized. See the RSD GLASS Governance Manager User Guide for information on how to perform this synchronization.

Legal Case Types

Disposal holds are an important and necessary part of modern records management. A hold is a legal or other administrative order that interrupts the normal disposal process and prevents the destruction of some of an organisation's records while the disposal hold is in place. The disposal hold is associated with File Plans, Record Classes, RC Categories, Folders, Records and Components. The Legal Case sets the perimeter for disposal holds.

This menu option manages the different *types* of legal case that an enterprise may undertake during the course of its varied duties. There might, for example, be cases with external suppliers, clients or possibly internal staff members.

How to create new Legal Case Types

- From the Settings menu, select the Legal Case Types menu item.
- Provide the mandatory name you wish to give to the Legal case type, for example, Supplier.
- You may add Metadata Groups to the case type in order to provide additional background information to your case. In the case of our Supplier example, you might add a Metadata Group containing information on their tax status, address. etc
- Once you have supplied all the information on the Legal Case Type you can save it.

  The  icon indicates that it is not yet published. Select the 'Publish' button and the Legal Case Type will then be usable.

The management of Legal Case functionality (creation of Legal Cases, Legal Holds) is performed in the RSD GLASS Governance Manager interface. The setting of Legal holds on elements contained in the enterprise File Plan is performed using the RSD GLASS client and Governance Manager interfaces.

Laws and Regulations

This section provides a reference list of relevant Laws and Regulations that are used in the line of business of the enterprise. These Laws and Regulations are linked to a Record Class as a reminder of specific details, with the possibility to read relevant Sections of the specific Laws or Regulation, or even consult an internet link to the text of the Law or Regulation on the website of the Regulatory authority.

Laws and Regulations are mostly created and managed by the Legal Department or the Legal Officer in the enterprise.

As well as providing a reference for the legal aspects, it is possible to implement for a Law its own lifecycle management, for example, by specifying that a law may be applied for ten years and then removed.

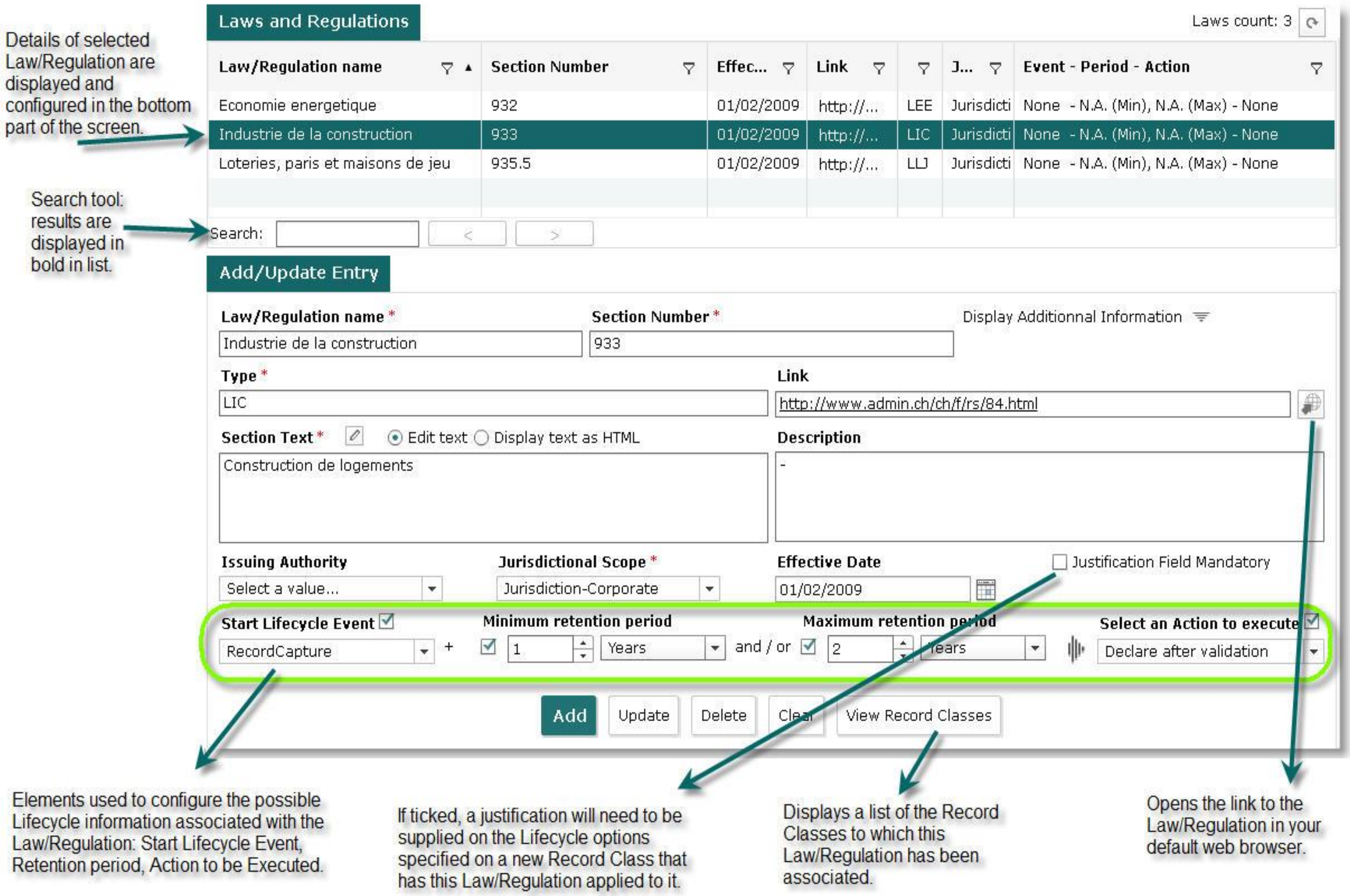
In order to build a corporate Records Management program that takes into account legal requirements from diverse jurisdictions and domains of law, it is possible for an enterprise to subscribe to a service from a reliable legal data provider. RSD GLASS Policy Manager has the capability to interface with legal data supplied from these external providers in order to keep up-to-date their legal content database. See "Legal Content Management" on page 30 for further information on this service.

How to create new references to Laws and Regulations

- From the Laws and Regulations tab, select the Laws and Regulations menu item.

From this screen, as well as adding new references to Laws and Regulations, it is possible to update or delete existing Laws and Regulations that have not yet been assigned to Record Classes.

The Laws and Regulations configuration screen



Updating Laws and Regulations

It is possible to modify all of the details of a Law/Regulation as long as it has not yet been assigned to a Record Class.

Once the Law/Regulation has been assigned to a Record Class it is possible 'Update' it either by:

- modifying only the Type, Link or Description fields,
- creating a new Law/Regulation based on the existing Law/Regulation.

When performing this second action of creating a new version of a Law/Regulation, you will be prompted to select from the list of those Record Classes that are assigned to the original Law/Regulation, those that you wish to assign the new Law/Regulation.

If a new law is created you must create a new version of the Record Class in order to be able to use this new law.

This screen also allows you to produce a listing of the related Record Classes (either in CSV format using the Export All button, or by printing it to the default printer).

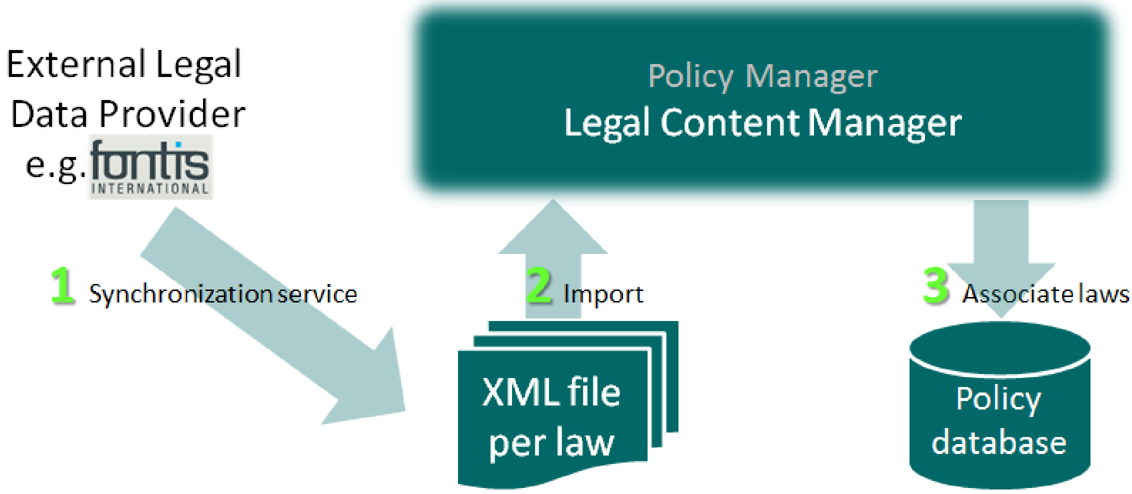
Legal Content Management

Large and global corporations have a vital need to ensure their Records Management program takes into account legal requirements in diverse jurisdictions and domains of law. A way of addressing this need is to subscribe to Legal Data supplied from reliable external sources that specialize in supplying the most recent legal research and compiled by legal experts in the countries of your field of business.

RSD GLASS Policy Manager provides you with a way of setting up a service that provides you with XML files containing information on individual laws. During the first step, shown in the schema below, you need to set up a list of Legal Content providers who will supply you with up-to-date legal data. See "Setting up 'Legal Providers'" on page 31 for further information on the menu option. In the case where Fontis is used as the external legal data provider, an independent client/server program needs to be setup (as described in the RSD GLASS Installation Guide). This synchronization service allows for new laws and updates in the form of XML files to be stored in a secure independent directory.

During the second step, you will need to import the information that you have retrieved from the External Legal Data Provider into the RSD GLASS Legal Content Manager 'legal data' database.

The third step involves associating imported laws to Record Classes. The first two steps are described in "Managing 'Legal Content' from Legal Providers" on page 34.



A fourth and final step is necessary after the association of Laws to Record Classes. This task of creating a new version of Record Classes that refer to new or updated Laws is described in "Versioning Record Class List" on page 36.

Setting up 'Legal Providers'

A list of companies or entities that provide the Legal Content data needs to be setup. These Providers may be used by your RSD GLASS environment to manage your retention requirements. More than one entry may be setup for a Legal Provider that may be used, for example, when setting up legal environments for different countries. In this case, different file location paths should be setup to store legal data for legal data of each country.

In order for the synchronization service to work, a central storage area needs to be defined (file location paths) that is accessible by both the external legal provider and the internal service responsible for the importation of the new data into the staging area. The Legal Data provider then places new and updated content to this file location. No direct link exists between the two entities therefore ensuring the security of the exchange.

- From the Laws and Regulations menu, select the 'Legal Providers' menu item.

From this screen, as well as adding new 'Legal Providers', it is possible to update and or delete existing 'Legal Providers' entries.

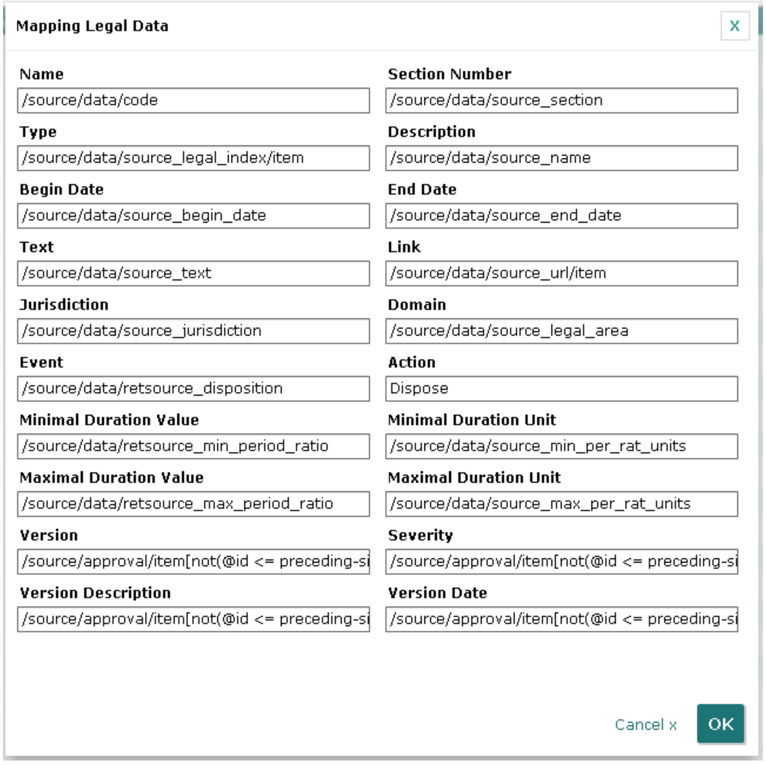
The following information should be supplied:

Option	Information
Name	Required. A pertinent name that refers to the provider of Legal Content.
Driver Name	Required. From the list select from Fontis, CSV or XML according to the type of files containing legal data being provided.
Provider file path	Required. The file path name of the location where the Fontis, CSV or XML files are stored. The type of file depends on the sort of Legal content data to be imported. These files need to be updated and present before importing new legal data into the staging environment described in the following section 'Managing Legal Content'.
Manage mapping	Required. See the following examples for each of the three different types of content. Provides the link between Legal Data provided and the RSD GLASS Policy Manager Laws and Regulations. These mapping 'links' are used for the import process.

Note that it is possible to use two different types of mapping reference in the XML and Fontis options:

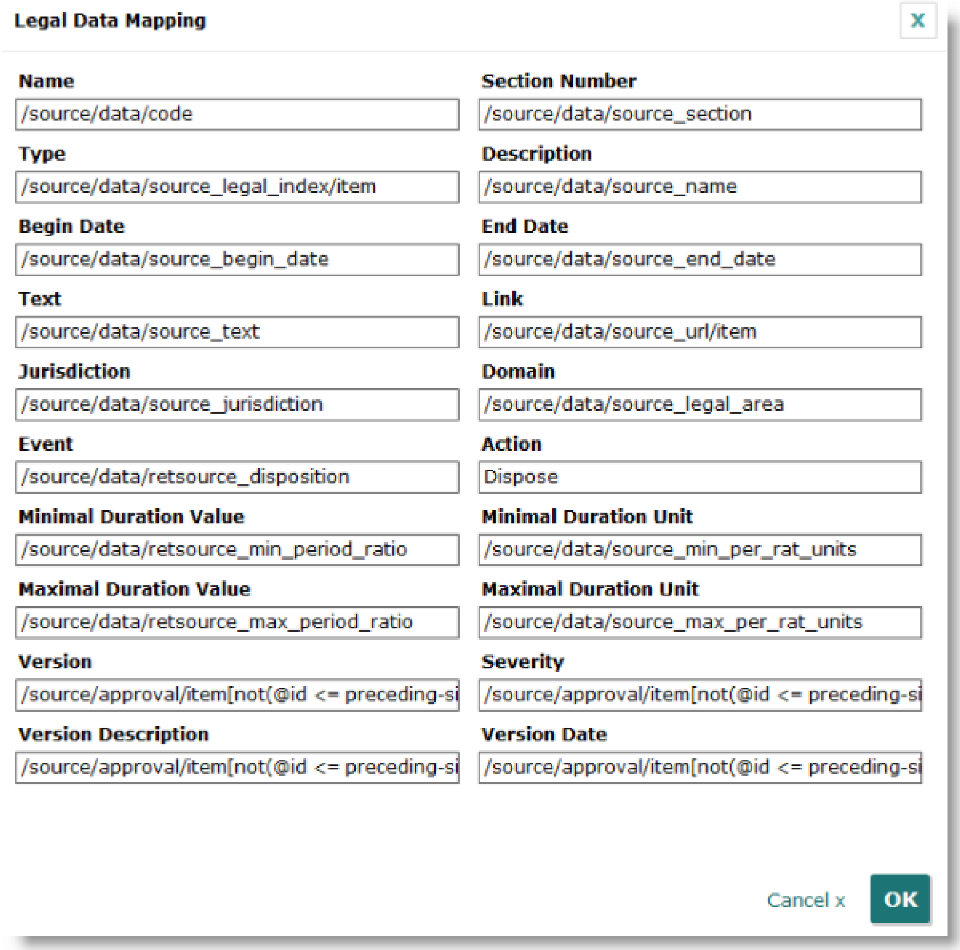
- Those that contain a dynamic value found in the XML or Fontis file described in the mapping field. These fields start with the character / in the Fontis screen example that follows.
- Static or hard-coded fields that have no reference to information contained in the XML or Fontis files. An example in the following screen would be the Action which would be 'Dispose' for each element.

Fontis file mapping example



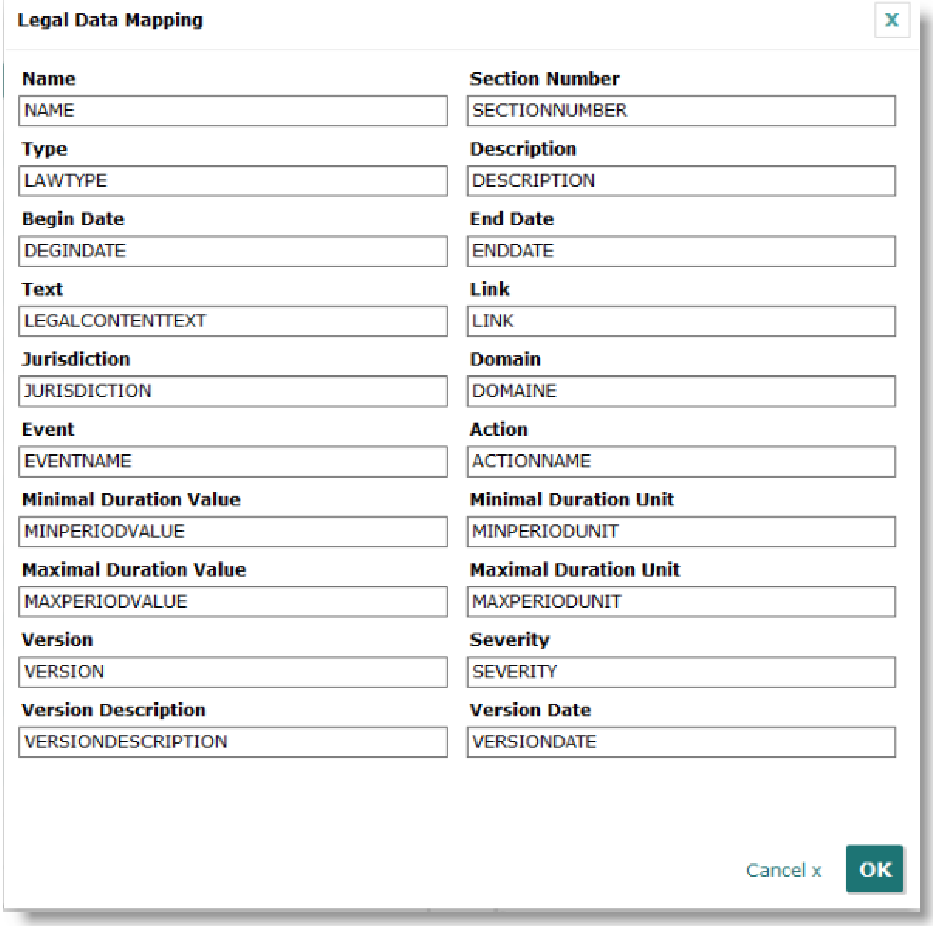
Each Fontis legal data file contains information on one Law or Regulation.

XML file mapping example



Each XML legal data file contains information on one Law or Regulation.

CSV file mapping example



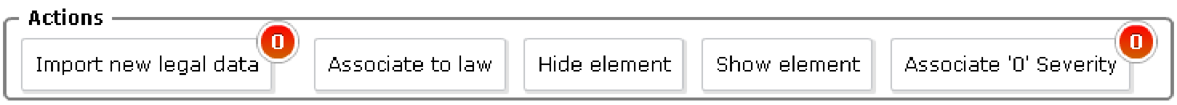
Each of the mapping references in the example correspond to one of the header row elements contained in the first line of the CSV file. Each subsequent row in the CSV file may contain information on a law or regulation therefore enabling a CSV file to contain information on one or more laws.

Managing 'Legal Content' from Legal Providers

The new legal data (whether, in Fontis, CSV or XML format), has been placed in the Provider File path location (see "Setting up 'Legal Providers'" on page 31). You may now manage how each new element may or may not be implemented by associating it to a law. The 'Legal Content' screen is what may be thought of as a 'staging area' where new data may be considered for relevance in your particular legal environment.

- From the Laws and Regulations menu, select the 'Legal Content' menu item.

Possible actions



Importing new legal data

- To display the list of possible new data from a provider, select the name of the 'Legal Provider' from the dropdown box at the top of the screen. The number of new data elements that may be imported to the staging area from the 'Legal Provider' is displayed in a red circle on top of the 'Import new legal data' action button.
- Select the 'Import new legal data' action button.
- The list now contains new entries for each of the new data elements supplied by the legal data providers and stored in the Provider File path location (see "Setting up 'Legal Providers'" on page 31).

You may now consult the list of laws in order to determine if they are relevant for your Information Governance Program.

The next step is to associate them to a new Law/Regulation or update a pre-existing one.

Selecting the 'Legal Content Preview' button displays a list of the details of the new data where you may determine if the information is to be used in your legal environment.

XML Selecting the 'Original file content' button displays the full details contained in the original file supplied by the legal content provider. This includes any information that is contained in the original file but not necessarily used in the mapping process.

The Search tools at the bottom of the screen may be used when large quantities of laws have been imported in order to facilitate finding particular information.

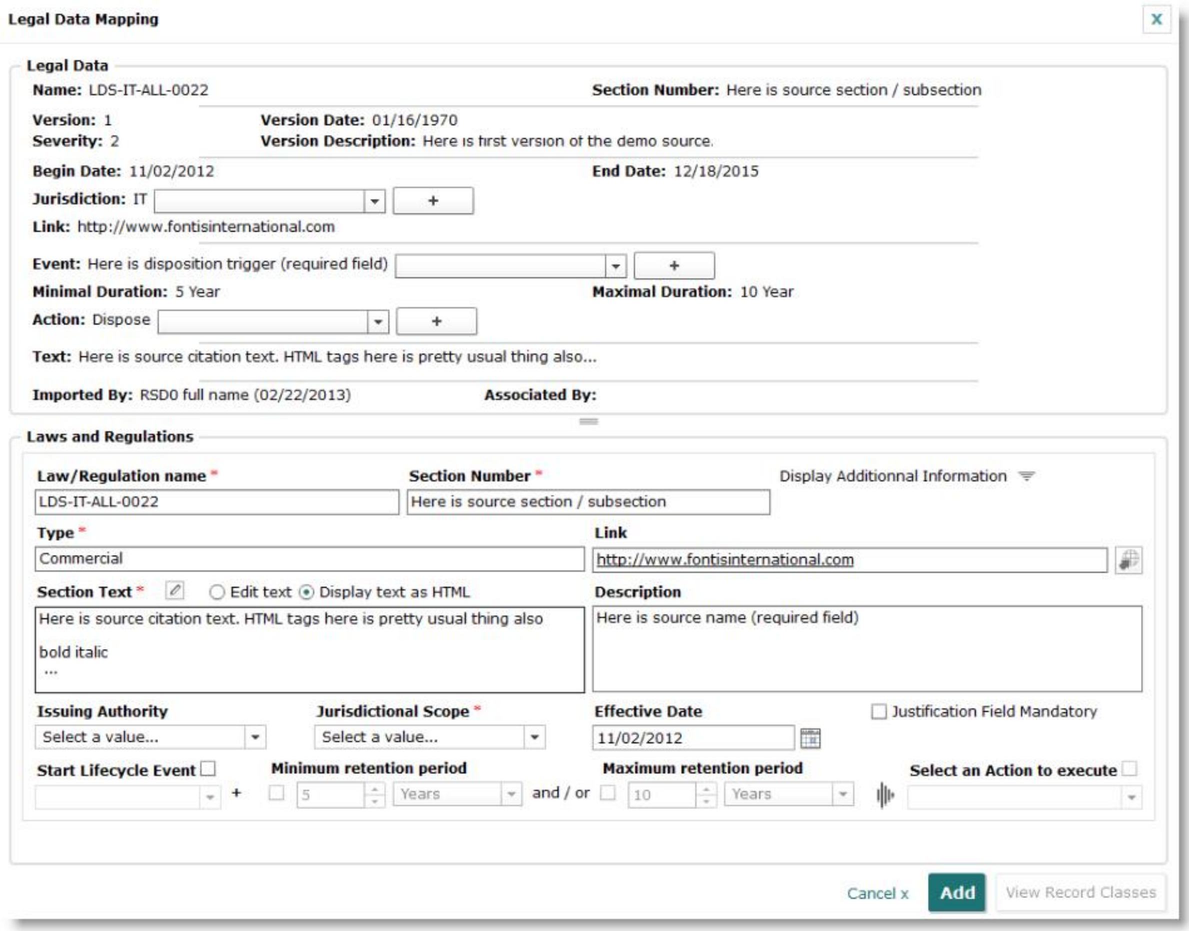
What is more, two filters are also available at the bottom of the screen that allow you to display or not any legal content that has already been associated to a law and any legal content that has been hidden in the list.

Associating legal content to a law

Once you have imported new Legal content into your staging area you may decide to use the information to create a new law or to update a pre-existing law.

Once legal content has been associated to a law the resulting new or updated law can be viewed in the list of Laws and Regulations. The new or updated law may then be assigned to Record Classes.

- Select the 'Associate to Law' action button and the 'Mapping Legal Data' screen appears, see below.
- From this screen you will be required to supply the information on the new Law. If the scope of the legal data requires it, you will also be able to create a new Jurisdiction, Event that will trigger any possible action and a new Action to be performed on the Record content (disposal etc).



- Click on the 'View Record Classes' button in order to see a list of the possible Record Classes that refer to this Law/Regulation.

Hiding an element

If you do not wish to associate the new legal content to a law, it is possible to effectively remove it from the list by hiding it. By hiding legal content the information nevertheless remains available for future use if the scope of your legal environment changes.

- Select the element in the list that you wish to hide and then select the 'Hide element' action button. In the legal content list the 'Hidden' column will now contain a ✓.
- To no longer display these hidden elements in the list, uncheck the 'include hidden' filter checkbox at the bottom of the screen.

Showing an element

Once legal content has been 'hidden' in the list:

- To display all hidden elements in the list, check the 'include hidden' filter checkbox at the bottom of the screen.
- Select the element you wish to 'unhide' and then select the 'Show element' action button. In the legal content list the 'Hidden' column will now contain a × and the element will be visible in the list.

Associate 0 Severity

This functionality is relevant for Laws supplied by Fontis. Each new legal data 'update' that is imported is assigned one of three different levels of severity: 0, 1 or 2. Level '0' being the lowest level bringing simple corrections and 2 being a critical update that leads to fundamental changes in the law that would probably necessitate a new version of a Law and subsequently Record Classes.

Once imported, updates may be associated to laws, as described above. Alternatively, any update that has been assigned a '0' severity level may be associated directly to laws by selecting the 'Associate 0 Severity' action button.

Versioning Record Class List

This list allows you to analyse the impact of changes to Laws and Regulations on your Master Classification. You have created a new version of a Law or Regulation. As a result you will need to consider if you should create new versions of the Record Classes that refer to this law. To do so:

- From the Laws and Regulations menu, select the 'Versioning Record Class List' menu item. A list of the Record Classes that have been assigned the Law or Regulation that has a new version.
- From the list displayed, select the Record Classes for which you wish to create a new version and then select the 'Create new version' button.

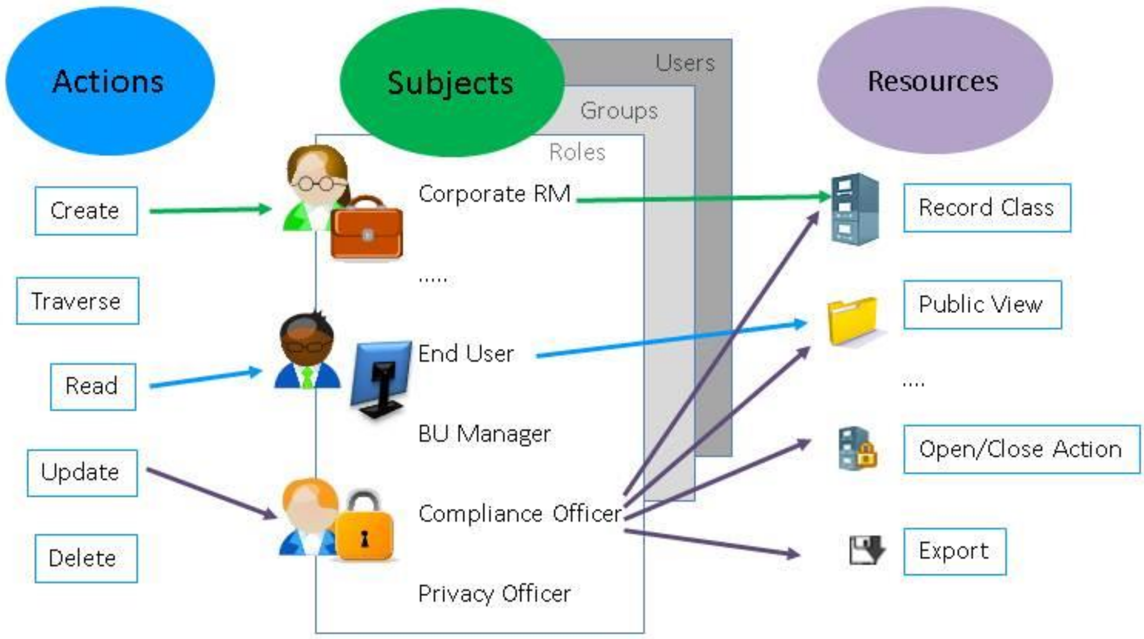
  Note that it is important to create the new version for the highest level Record Class in the Master Classification.

Security

Users are associated to specific roles depending on their business role in the enterprise. Initial access to all RSD GLASS applications and their functionality is configured in the RSD GLASS Admin Center.

Further security is added in Policy Manager by defining access control at all levels of the Master Classification, from the Root Record Class itself down to the lowest Record Class. It is performed by allowing or denying permission by subject, resource and by action type. See diagram below that illustrates the process.

A list of rules, called an Access Control List (ACL), is established that determine which subjects can perform which actions on which resources, at and under, the current node (as long as child node ACLs do not override them).


Actions
Subjects
Resources
Users
Groups
Roles
Create
Traverse
Read
Update
Delete
Corporate RM
.....
End User
BU Manager
Compliance Officer
Privacy Officer
Record Class
Public View
....
Open/Close Action
Export

Managing Access Control Lists (ACL)

In order to manage rules contained in the ACL you need to:

- Select the Record Class that you wish to determine the access rules.
- Click on the 'Security' button to display the 'Manage ACL' screen. A list of previously defined rules is displayed.
- Either edit a rule  or select the 

button to display the 'Rule Edition' screen.
- Select the 'Effect of the Rule' by selecting Allow or Deny.
- Specify the details of the Rule in the three tabs:

Actions Select the Action that the users will be permitted to perform on the Resources. Select the button to apply the Rule to all actions or select from the list of Create, Traverse, Read, Update, Delete. Rules denying the action Traverse are used to limit any action on child nodes.

Subjects Subjects are the users who will perform the Action. Select the button to apply the Rule to all Subjects or select from the list of Roles, Groups or Users depending on the granularity you desire in the access rights.

Resources Resources are the elements that a user may request to perform an Action upon: the node, child node type, or node capability. See the following list of all resources.

Resources and possible actions

Resource	create	read	update	delete	traverse
Record Class	x	x	x	x	x
Close Review	x	x	x	x	x
Access Control List	x	x	x	x	
Open/Close Action	x (open)			x (close)	
Export	x				
Version	x				
Public View		x			
View Template	x	x	x	x	
Retroactive	x				
Legal Content	x	x	x	x	x

ACL evaluation rules

The following conditions must be met in order for an authenticated user to perform an action on a resource:

1. Using RSD GLASS Admin Center, the type of the requested resource must be permitted for the subject's role and the module of the requested resource in Policy Manager.

2. The Action TRAVERSE must be permitted on all parent ACLS, if there are any. In other words, for the resource on which you want to control the access, the action TRAVERSE must not be denied on any of the parent node ACLs.

3. For Records and Components only in the Governance Manager and , the Policy Manager RC security metadata (if any) must match that of the resource. To reach a permitted component, its parent record must be permitted.

4. ACL rule evaluation. The rules are automatically split into deny/permit rules for: users, groups, roles, any subject; and evaluated in the following order:

Rules for:

deny users, permit users,

deny groups, permit groups,

deny roles, permit roles (an optional condition on the group may be defined),

deny any subject, permit any subject

If no particular rule matches for a given ACL, the ACLs of the parent nodes will be evaluated in order from child to parent until a matching rule is found.

The result (Permit or Deny) of the matching rule is used only if the other controls do not evaluate to deny. If no matching rule is found in any ACL, access is denied.

Working with RSD GLASS Policy Manager

Record Class

This section of the documentation describes the various steps necessary to build the Record Classes that make up the Master Classification structure.

How to create a new Record Class

- From the Master Classification tab, select the New Record Class menu item.

  Note that if you have previously selected a Record Class level in the Master Classification hierarchy on the left of the screen, the Parent Classification Code Name field will automatically reflect this selection.

The following sections cover the datasheets contained in the New Record Class creation process. Each datasheet may be accessed by selecting the relevant tab at the top of the screen.

Once you have supplied the required information described in the following sections in all of the datasheets, select the 'Save' button.

The newly created Record Class will now appear in the Master Classification. The  icon next to the new Record Class indicates this status. See "Sending Record Classes for validation" on page 47. for information on how to gain approval for the creation of this new Record Class.

'Summary' datasheet

This datasheet gives an overview of the selected Record Class. The most important information is visible and links to other datasheets allow you to easily access additional information. A condensed version of information contained in the 'Main', 'Lifecycle' and 'Laws and Regulations' datasheets are displayed.

In the 'Lifecycle' section, only the Record Disposition is displayed as it is the only rule that is obligatory. If the 'Laws and Regulations' datasheet is not activated the Laws and Regulations section will not appear on the Summary datasheet.

'Main' datasheet

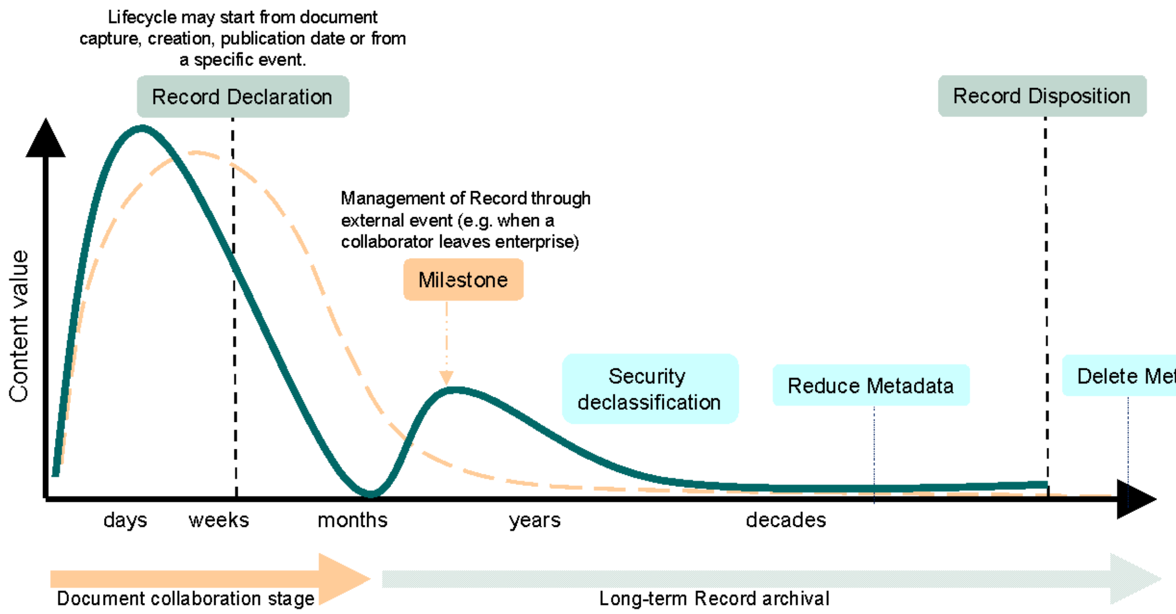
Option	Information
Parent Classification Code	Optional. Defines where the new Record Class is placed in the Master Classification hierarchy by specifying the code and name of the parent Record Class. If no parent Record Class is specified, the new Record Class is placed at the root level of the Master Classification.
Classification Code	Required. See "Code Template" on page 23 for further information. A list of available Code templates is displayed. If it is a root node, it is possible to select the desired template into the Selected Code Templates Order list box below and to specify many levels in order to determine the desired Code Template Order.
Jurisdiction	Required. The dropdown box displays a list of all the available Jurisdictions in your RSD GLASS Policy Manager environment. These correspond to the official authorities that cover your different areas of responsibility. Each Jurisdiction is defined as having one or more languages (primary and/or other languages). If defining a Record Class Category, the Corporate Jurisdiction must be used.
Record Class Review	Required. See "Record Class Review Management" on page 20 for further information.
Name	Required. For the Name, Description and Note fields it is possible to define the

Option	Information
	text of the field in each of the languages used in the Jurisdiction. In this way a Record Class whose languages are defined as English and French in the Jurisdictions would be called, for example 'Human Resources' in English and 'Ressources Humaines' in French. The language displayed will be the primary language of the jurisdiction.
Description	Optional. See earlier Name field.
Effective Date	Required. It is possible to specify an effective date that occurs in the past. The following rules apply: - The effective date of a Record Class must not be earlier than the effective date of the parent Record Class. - The effective date must not be earlier than the effective date of any possible previous versions of the Record Class. Care should be taken when choosing the effective date defined for the root Record Classes of the Master Classifcation, as well as the initial version of all Record Classes. It is recommended to specify an effective date that takes into consideration the oldest records that will be added to the Record Class.
Inherited Folder Template	Displays a list of Folders inherited from the parent Record Class.
Folder Template	Optional. See "Folder Template" on page 22 for further information.
Content Indexed	Optional. If ticked, the content of the Record Class will be included in the search content database and it will be possible to perform sophisticated search requests on Record Class content.
Default Record Class	Optional. When Record Classes are defined as being a Default Record Class, subsequent Business Units setup from this Master Classification will mandatorily contain this Record Class. All hierarchical parent Classes and Categories are automatically generated. Default Record Classes should be defined only for Record Classes that will be common to all users in the subsequent Business Unit structures.
Category	Optional. See "Record Class Categories (RCC)" on page 8 for further information.
Vital	Optional.'Vital' records are those Records that are absolutely necessary to the organization's ability to continue its business either in terms of its ability to cope with emergency/disaster conditions or to protect its financial and legal interests.
Historical	Optional. 'Historical' Records are those that are intended for inclusion in state national archives.
Note	Optional. It is possible to define the text of the Note field in each of the languages used in the Jurisdiction.

'Lifecycle' datasheet

This datasheet determines how long the Record Class (container), the documents stored in the Record Class (content) and Metadata group types are retained before being deleted. This process is known as the information lifecycle.

The following diagram illustrates the various possible stages in the lifecycle of a Record.



The options available in this datasheet depend on the following elements specified in previous datasheets:

- the Metadata Groups defined on the 'Metadata Groups' datasheet,
- if you checked the 'Content Indexed' checkbox in the 'Main' datasheet,
- if you specified any Security attributes in the 'Security Classification' datasheet.

See "Lifecycle Actions" on page 23 and "Lifecycle Events" on page 26 for further information on the elements that make up the lifecycle process.

In this datasheet you are minimally required to define the lifecycle to be applied to the information to be contained in the new Record Class (i.e. the Record Class Content). This includes documents and metadata assigned to them. This is specified in the first part of the screen 'Record Disposition'.

The detault milestone is that the Record Class is kept indefinitely: 'the Record Class is retained for an unlimited period'. The only obligatory lifecycle milestone to define is on the Record Disposition.

The lifecycle screen is ordered around events and displayed in chronological order.

It is possible that the same *action* is triggered by two or more floating events, for example:

10 years after an employee is laid off - *dispose Record*

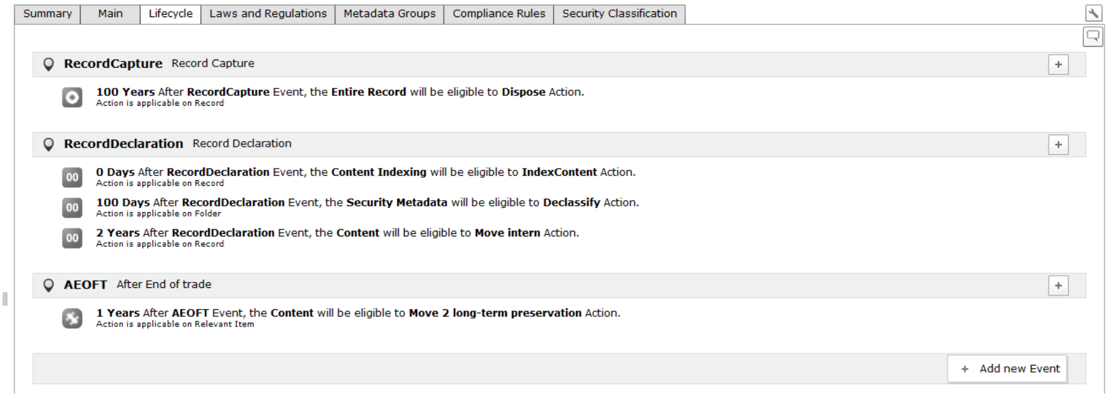
5 years after an employee retires, *dispose Record*

2 years after End-of-Fiscal Year, *dispose Record*

5 years after Record declaration, *dispose Record*

Lifecycle elements that are inherited from the parent Record Class are indicated with the  symbol. The only cases where an overwrite of inherited elements are possible is for the Record Disposition and Content Disposition cases. All other inherited elements cannot be changed.

An example set of Lifecycle definitions:



The following icons in the Lifecycle panel indicate the different lifecycle events possible:

For disposition milestones.

For milestones performed on content - defines how long the content of the Record is retained.

For milestones performed on Metadata. Refers to the lifecycle of the selected Metadata group types available: Main, Content, Content Indexing, Security, etc. If selecting Main from the dropdown box, the lifecycle definition will be applied to all Metadata group types.

Common arguments when defining milestones:

Argument	Information
Delay	Specify the amount of time in Days, Weeks, Months or Years from the defined 'after Event' when the 'eligible for lifecycle Action' should take place.
after Event	See "Lifecycle Events" on page 26 for further information.
Eligible for Lifecycle Action	See "Lifecycle Actions" on page 23 for further information. The 'actions' displayed in the dropdown box are those associated with the group type in question.
Applicable on:	Folder, Record, Relevant item, Component. Depends on the Lifecycle Action Type selected. Each of the Actions has a different scope and is not necessarily available on all types of element. The following list shows on what each Action Type is applicable. - Applicable on values depend on Lifecycle Action Type chosen: If action is *declare/declassify*, *only Folder* and *Record* are available. If action is *open/close* only *Folder* is available. If action is *delete/move/update*, then *Relevant item, Folders, Records* and *Component* are available. - Applicable on *Record* means the action will apply on the *Record*, regardless of the items selected by the event. But in the case of a *Dispose*, it will first dispose the *Components***.** - Application on *Folder* means the action will apply on the *Folder* regardless of the items selected by the event. But in the case of a *Dispose*, it will first dispose of the *Components*, then dispose of the *Records*, then the *Folder*. - Applicable on *Relevant item* means the action will apply on any item selected by the event. So if an event selects *Folder(s)* and *Record(s)* and *Component(s)*, it will schedule lifecycle actions on selected *Folder(s)* and their related *Record(s)* AND selected *Record(s)* and their related *Component(s)* AND selected *Component(s).* - A folder with multiple Records: Applicable on *Relevant item* and action on *Folder* creates one lifecycle action on the *Folder;* applicable on *Record* and action on *Folder* creates one lifecycle action per *Record;* applicable on *Component* and action on *Folder* creates one lifecycle action per *Component.*

'Laws and Regulations' datasheet

Shows the Laws and Regulations that will be assigned to the new Record Class and are relevant to the subject of the Record Class. See "Laws and Regulations" on page 28 for further information.

This datasheet displays (in the lower part of the screen) the Laws and Regulations that may have been inherited from the Record Class's parent Record Class in the Master Classification. These 'inherited' Laws and Regulations can be distinguished from those you might add by the fact that the options checkboxes to the right of the screen are 'greyed out' and that you cannot tick the selection checkbox in the first column.

Select the desired Laws and Regulations that you wish to add from the 'Available Laws and Regulations' list at the top of the screen and drag and drop them into the 'Selected Laws and Regulations' list at the bottom of the screen.

Possible options that can be enabled by checking the checkbox:

Icon	Attribute status information
	Inherited value from parent Record Class (unmodifiable if grey).

'Metadata Groups' datasheet

Shows the Metadata Groups that will be assigned to the new Record Class. See "Metadata Groups" on page 18 for further information.

This datasheet displays (in the lower part of the screen) the Metadata Groups that may have been either (1) inherited from the Record Class's parent Record Class in the Master Classification or (2) are default Metadata from the root Record Class. 'Inherited' or 'default' Metadata Groups can be distinguished from those you might add by the fact that the options checkboxes to the right of the screen are 'greyed out' and that you cannot tick the selection checkbox in the first column. The 'Hide default' and 'Hide inherited (non-default)' checkboxes reduces the list of Metadata Groups to those that can be changed.

Select the desired Metadata Groups that you wish to add from the 'Available Metadata Group' list at the top of the screen and add them into the 'Selected Metadata Group' list at the bottom of the screen.

By default, all Record Classes are assigned the Metadata from the Main Metadata Group type. It is not possible to remove this Metadata Group, but you can define different options for them (see following).

It is necessary to determine the scope of application of the Metadata groups by defining whether the Metadata Groups are applied only to a Record, Record Format, Folder or Component on creation. Therefore, when creating a Record Class you must specify that the Metadata Group is applied to, for example, all Folders it contains. Then, when a Folder is created in this Record Class the specified Metadata Group is assigned to the Folder. See list below.

It should be noted that in order to be able to perform the 'Hold' functionality in the Governance Manager Interface, it is necessary to add the Metadata Group 'disposalHold' to a Record Class when creating it.

Possible options that can be enabled:

Icon	Attribute status information
	The minimum number of times this Metadata Group can be assigned to a Record. Entering '0' (zero) indicates that the Metadata is not obligatory. '1' makes the Metadata mandatory.
	A maximum of 200 occurrences may be set.
	Metadata Group values are stored in the database for fast retrieval.
	Metadata Group values are indexed in the content search database and can be searched for using the search engine.
	Metadata Group applied on Component. There can be many Components in a Record.
	Metadata Group applied on Record. May or may not contain Components.
	Metadata Group applied on Folder.
	Metadata Group applied on Record Class.
	Metadata Group applied on File Plan.
	Inherited value from parents (unmodifiable).

Metadata Compliance Constraints

Additional Compliance Constraints may be added to individual Metadata in each selected Metadata Group. Depending on the type of metadata in question, you may either force a specific metadata value or define a default value for a metadata. 'Forced' metadata will not be able to be changed later in the RSD GLASS environment, whereas a 'Default' setting may later be altered.

For example, a Metadata called 'Salary' may have a default amount set or alternatively a supplementary range including a 'lower' and/or 'higher' value.

To set these constraints:

- Select the icon in the Metadata Group in the Selected Metadata Groups list in the lower part of the screen.

  A list of Metadata from the Group is displayed. Select the 'edit Metadata constraints' icon to define the required constraint.

- The icon allows you to remove any constraints that have been set on the Metadata..

- The icon in the Selected Metadata Groups list indicates that a constraint has been set on one of the metadata contained in the Metadata Group.

'Compliance Rules' datasheet

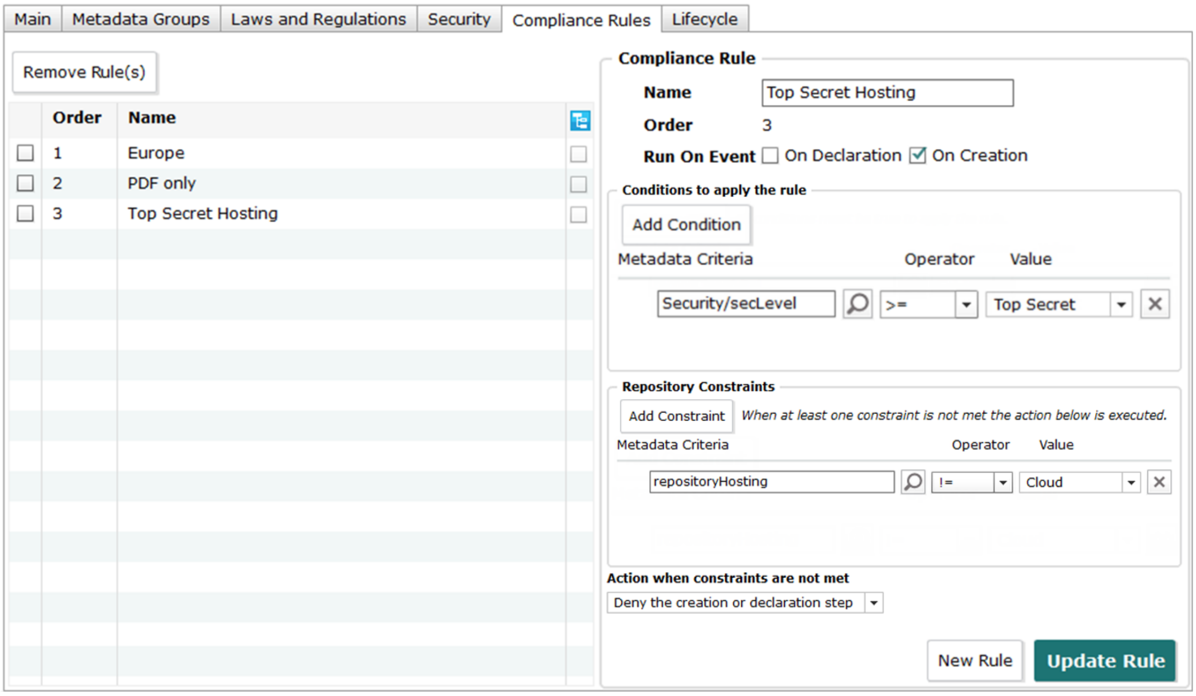
Compliance rules are limitations that may be configured to define what and where Records are stored. A major goal of these rules being to find the best location or repository for each type of record content. You are able to setup a list of compliance rules that may be applied at different moments in the lifecycle of a Record, i.e., on creation/move or on declaration of a record or both.

Optional constraints may be set that allow you to further control the scope of what is included in a Record Class. For example, if the conditions set are that a Security Level is Top Secret and the File Plan Jurisdiction is US, the repository where the Records are stored must be located in the US and in the case of error the declaration of the Record is not to be carried out (denied).

Each of the rules set for a Record Class must be met for the Record to be created. So if you have three different rules and the conditions are not met on only one of the rules, the declaration or creation/move will be denied nevertheless.

To set these rules:

- Define the Compliance Rule details, Conditions and optional Constraints as well as the required 'Action when constraints are not met' you wish to perform. The only predefined Action hard coded is the default 'Deny' action. The other possible 'Actions when constraints are not met ' available in the drop down list are the Lifecycle Actions of type 'Move' previously configured (see "Lifecycle Actions" on page 23).
- Define the order of the rules by dragging and dropping the individual rules to the desired order in the list on the left of the screen.
- The example Compliance Rule below enables you to ensure that high-level security information is never stored in the 'cloud'. The Rule denies the creation of a Record in a File Plan that uses a content repository hosted in the 'cloud' for Records that have a security setting of Top Security or above.



'Security Classification' datasheet

The Security Classification datasheet specifies the attributes a user in the RSD GLASS Governance Manager and RSD GLASS applications must be assigned to be able to view the Record Class. Security metadata may be hierarchic in nature (security level) or membership based (caveat).

Security Compliance Constraints

Security constraints may be configured for Metadata in both of the Security Groups as a way of defining the security level needed to access Record Class data. Depending on the type of metadata in question, you may either force a specific metadata value or define a default value for a metadata.

To set these constraints:

- Select the Security group name from the dropdown box and click on the to add it to the Security list.
- Select the 'edit Metadata constraints' icon to define the required constraint on each of the Security Metadata options.
- Removes the selected metadata constraints.

Sending Record Classes for validation

Once a new Record Class has been saved it appears in the Master Classification and the icon indicates this status.

Whilst in this status it is possible to edit and save any amount of changes you require. Once you have completed the creation of the Record Class and want to start the validation process, you need to Edit the Record Class and click on the 'Send for Validation' button at the bottom of the screen.

The status of the Record Class in the Master Classification will now show as .

This indicates that The Record Class has been sent for validation by the information governance actors defined as competent in the Record Class Review specified when the Record Class was created.

See "Understanding the status of a Record Class" following for more information.

Creating a Record Class Exception

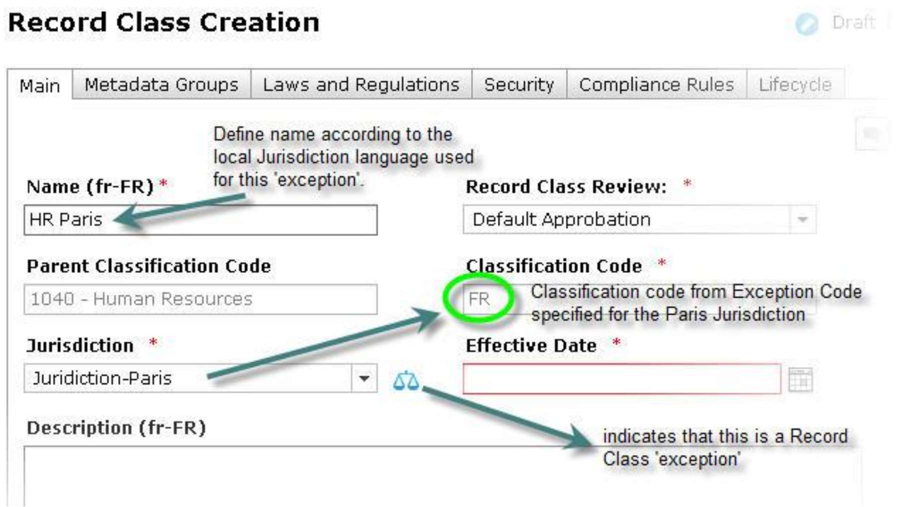
See "Exceptions to the Corporate Jurisdiction" on page 16 for an explanation on the uses of this functionality.

Note that only one 'exception' may be created for each final element in your environment.

How to create a new Record Class Exception

- Select the Record Class for which you wish to create an 'exception'. The following conditions apply to the Record Class selected:
  - it must be at the last level of the branch in the Master Classification,
  - it must not be a Record Class Category,
  - it must be part of the Corporate jurisdiction,
  - it cannot already be an 'exception'.
- From the Master Classification menu, select the 'New Record Class Exception' menu item.
- From the 'Jurisdiction' list select the name of the local jurisdiction you wish to apply to this 'exception'. Note that the 'exception code' specified for the local jurisdiction selected will be automatically applied in the Classification Code field. See following screen example.
- You may now give the name of the Record Class exception in the language of the local Jurisdiction selected. Define the Laws and Regulations and Lifecycle rules that you wish this 'exception' to have as compared to the original. See following screen example.
- Once configured you may Save and possibly send for Validation the newly created Record Class exception. The approval process for this new RC exception is the same as for a normal Record Class as described in "Sending Record Classes for validation" on page 47.

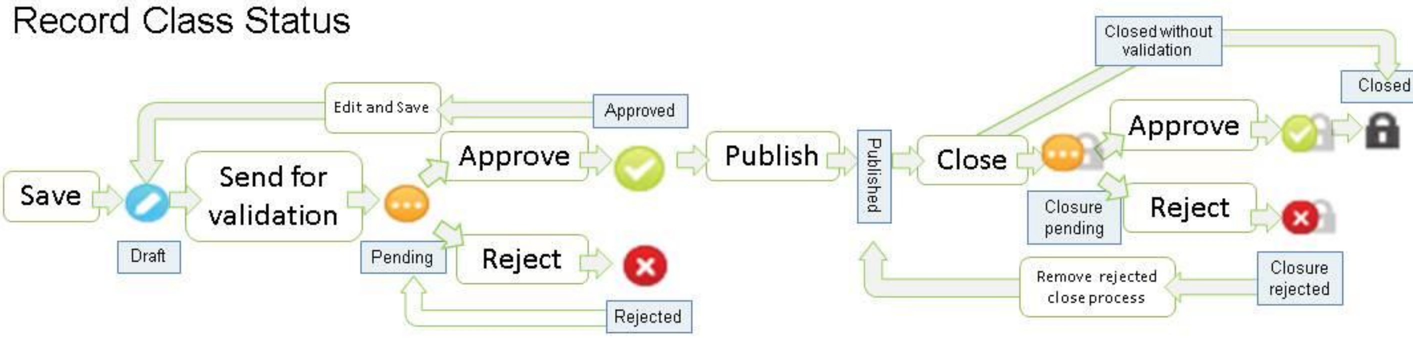
The Record Class Exception creation screen



Understanding the status of a Record Class

The following diagram shows the various stages of the Record Class creation process in RSD GLASS Policy Manager.

Note that the text with a green surround corresponds to the various action buttons used in the different stages on the way to Record Class publication. For example, once the new Record Class options have been selected, the Record Manager selects the 'Save' button and the Record Class is then defined as being of 'Draft' status.



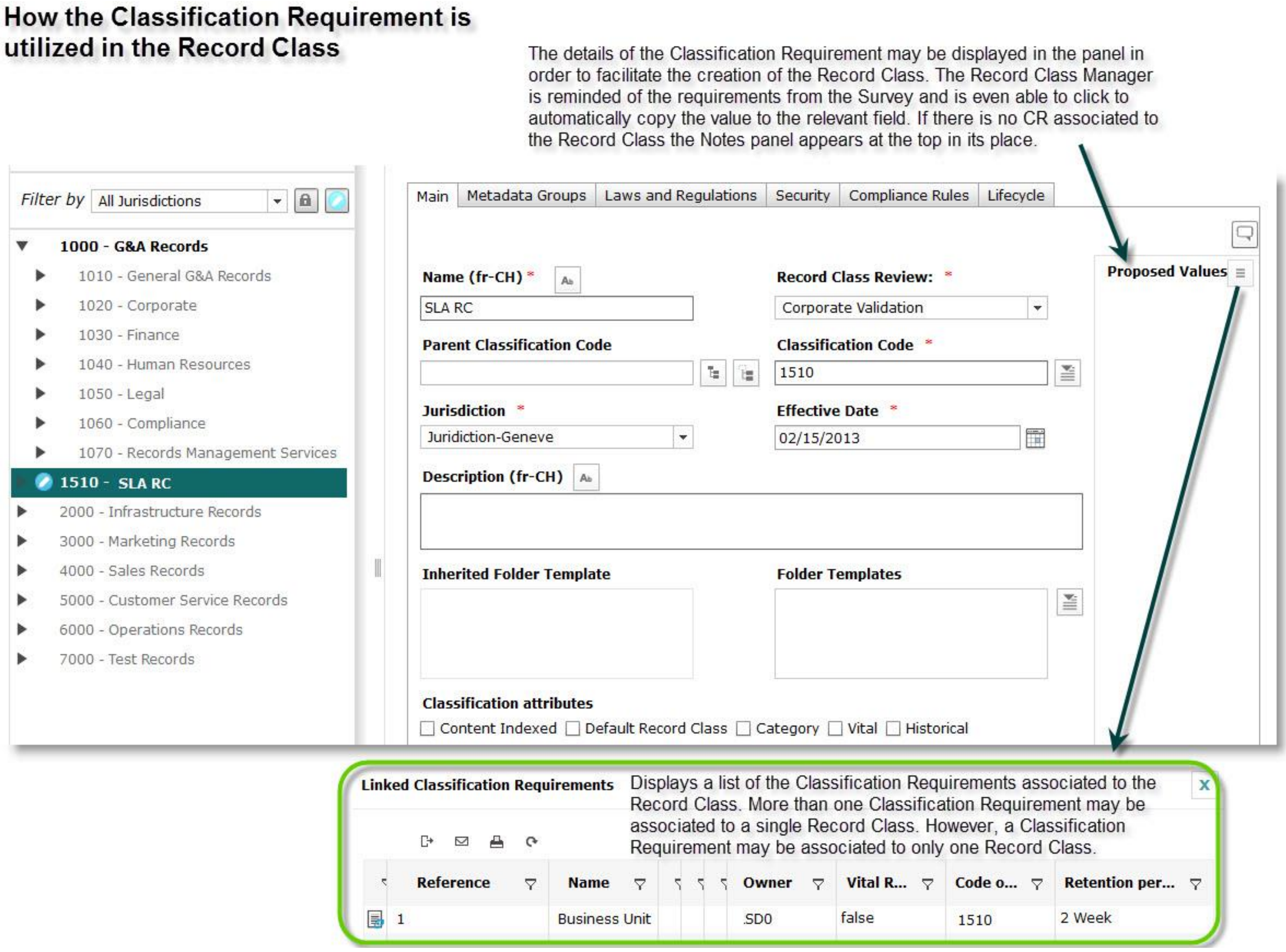
Once a Record Class is 'Published' it is then visible in the RSD GLASS and the RSD GLASS Governance Manager applications.

The Classification Requirement

A Classification Requirement contains all the survey information of the Business Unit (BU) for the Record Classes that they wish to create relating to their line of expertise. These Classification Requirements are created by the Business Unit manager and specify the details of the requested new Record Class. See "How to create a new Classification Requirement", below.

Once created, a Classification Requirement is submitted to the Corporate Record Managers in order for them to either create the new Record Class, or associate the Classification Requirement to an existing Record Class that meets the requirements specified in the Classification Requirement. See "Reviewing a Classification Requirement", below.

Once the Classification Requirement has been 'associated' to a Record Class, the details it contains are displayed directly in the Record Class as shown in the following screen.



Working with Classification Requirements

Classification Requirement List functionality

Icon	Information
	Exports a copy of the Classification Requirement list in .CSV format.
	Sends an email containing the Classification Requirement list.
	The printer selection window appears enabling you to select a configured printer to print out the Classification Requirement list.
	Refreshes the list after it has been edited, for example, after having created a new entry.
	Opens a new Classification Requirement definition screen. See "How to create a new Classification Requirement" on page 51 for more information.

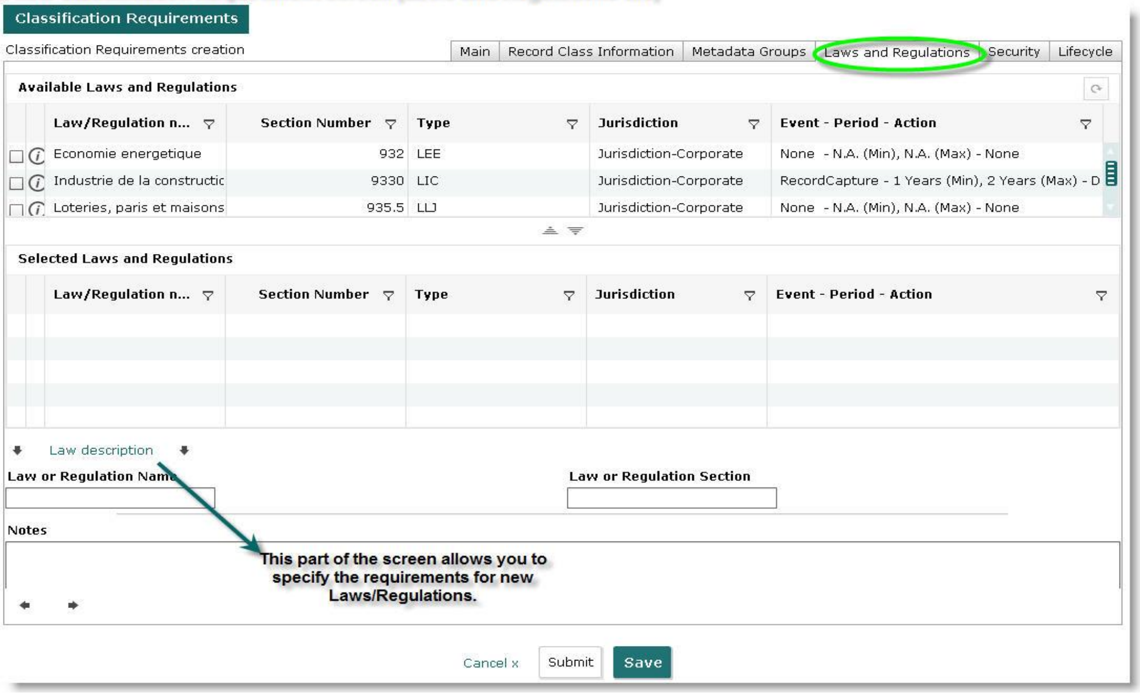
Classification Requirement Status

Icon	Information
	Draft. The owner (creator) of the Classification Requirement has saved it for later editing and possible submission.
	Published. The owner (creator) of the Classification Requirement has 'submitted' it to the Corporate Record Manager for action.
	Rejected. The Corporate Record Manager has rejected the Classification Requirement. A comment must be given to justify the rejection.
	Associated. The Corporate Record Manager has associated the Classification Requirement to one Record Class.

How to create a new Classification Requirement

- From the Work Items tab, select the Classification Requirements menu item.
- Select the icon to add a new Classification Requirement and the following screen appears. The following fields are required: Classification Requirement, Owner, Jurisdiction.
- Once a new Classification Requirement has been created it can either be 'Submitted' directly to the Corporate Record Manager or 'Saved' for future editing and later submission.

The new Classification Requirement screen (Laws and Regulations tab)



Reviewing a Classification Requirement

Once a Classification Requirement has been 'Submitted' to the Corporate Record Manager it appears in the Work Items of the Corporate Record Manager who then decides on the management of the Classification Requirement and its future application.

- From the Work Items tab, select the Classification Requirement Management menu item.
- A list of Classification Requirements is displayed. Note that Classification Requirement List functionality is available (using the Export, Email, Print and Refresh icons, as described earlier).
- Select a Classification Requirement from the list and review its contents. It is not possible to make any changes to the Classification Requirement, only to either 'Reject' it or 'Associate' it to an existing Record Class or a new Record Class.

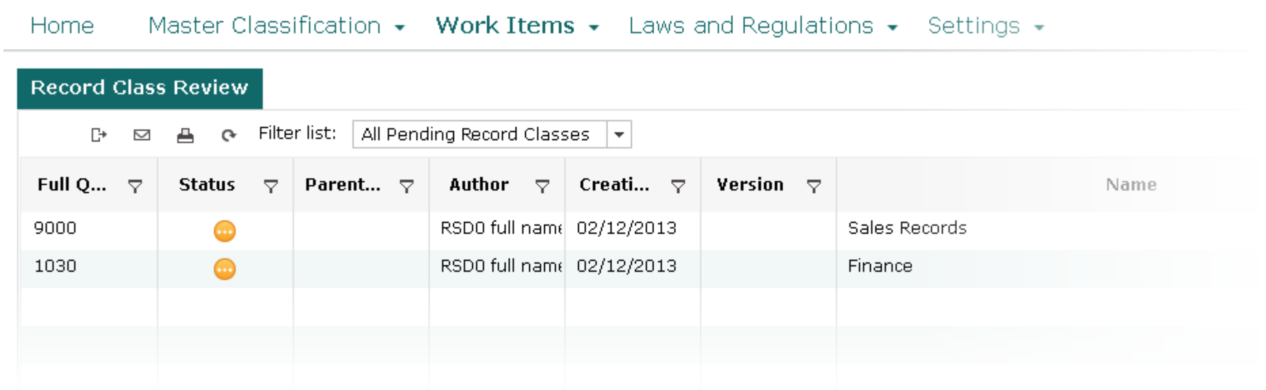
The Record Class Review

Validates the creation of a new Record Class.

How to access the Record Class Review screen

- From the Work Items tab, select the Record Class Review menu item and the following screen will be displayed.

  Note that a 'Filter list' may be available depending upon the role you are performing. For example, someone with the Corporate Record Manager role will be able to choose whether to view either all pending Record Classes or only those that they have to review. Other roles will not see the filter list functionality and will only see their own Record Classes to review.



For further information on the Status of a Record Class, see "Status of Record Classes" on page 11.

Record Class Review List functionality

Icon	Information
	Exports a copy of the Record Class Review list in .CSV format.
	Sends an email containing the Record Class Review list.
	The printer selection window appears enabling you to select a configured printer to print out the Record Class Review list.
	Refreshes the list after it has been edited, for example, after having validated an entry.

How to validate a new Record Class

- Double click on an item in the Record Class Review list to display the details of the new Record Class.
  Certain of the datasheets that you have been requested to validate may be active. If this is the case you will be able to update them if you think necessary.
  If all of the contents of the datasheets are greyed out, then you will simply be able to review their contents and give your approval by using the Approve button at the bottom of the screen. You will be prompted to enter a comment.
  If you do not wish to approve the creation of the new Record Class, then select the Reject button at the bottom of the screen. You will be prompted to supply a Comment as justification for your rejection.
  Note: there may be more than one validation steps in the creation of a Record Class. Each validation step may need to be approved by one or more actors. In this case, the validation of each of the actors in necessary before moving to the next validation step in the approval process.

Close Record Class Review

Validates the closure of a Record Class.

How to access the Close Record Class Review screen

- From the Work Items tab, select the Close Record Class Review menu .

The list displays those Record Classes that are waiting for approval either by yourself or by other RSD GLASS Policy Manager users. You can filter this list to show only those pending your closure approval by selecting the 'My Closing Record Class' filter option.

How to validate the closure of a Record Class

- Double click on an item in the list to display the details of the Record Class Closure request.

Publishing Record Classes

Once newly created Record Classes have been validated using the Record Class Review, as described above, they can then be 'published' in the Master Classification. This publication process may be performed either by the person who created it or by the Corporate Record Manager responsible for such tasks.

After the validation process the new Record Class appears in the Master Classification and the icon

reflects this 'validated' status.

To publish individual 'validated' Record Classes:

- Selecting the 'validated' Record Class in the Master Classification . At the bottom of the screen select the 'Publish' button.

  The publication is then confirmed and the icon then disappears to reflect this 'published' status.

  Note that it is only possible to publish a RC if the parent RC is already published.

To publish more than one 'validated' Record Class:

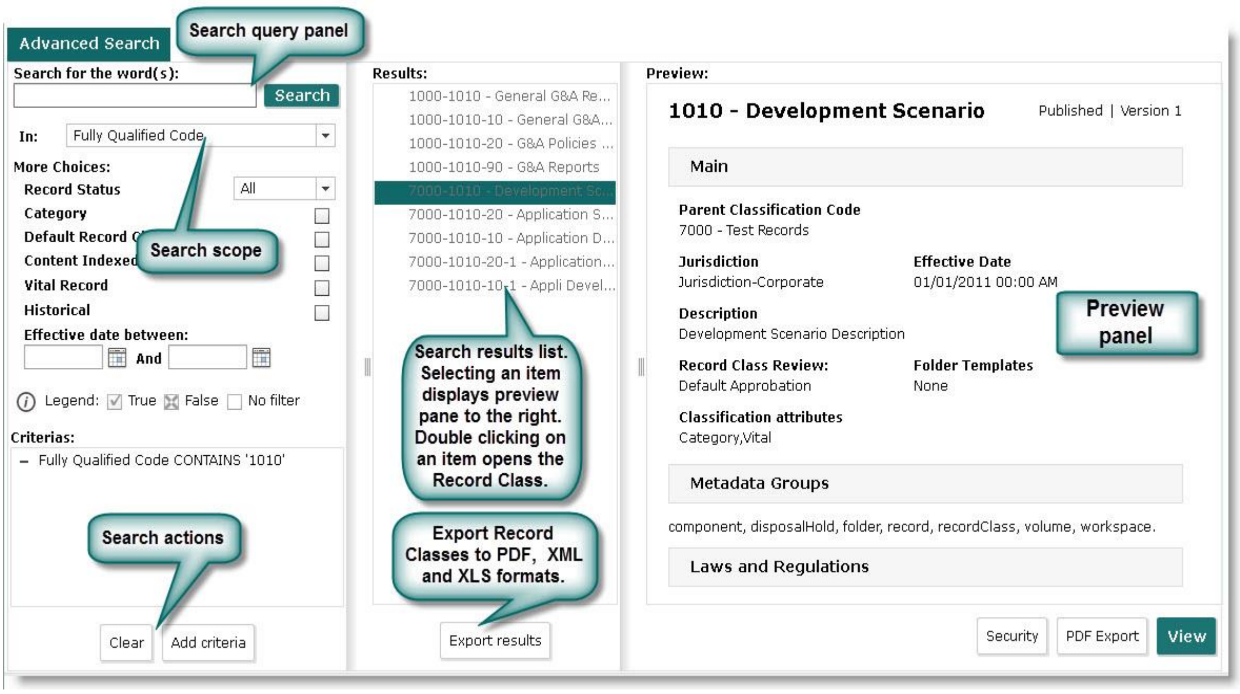
- From the 'Work Items' menu, select the 'Publish Record Classes' menu item.
- Check the checkboxes of the Record Classes, Record Class Categories and branches that you wish to publish. The 'Select all' checkbox at the bottom of the screen may be used to easily select all of the branches and subbranches.
- At the bottom of the screen select the 'Publish' button.

  The publication is then confirmed and the icon then disappears to reflect this 'published' status. Only approved ('validated') elements in the selected branches will be published.

  Note that once ‘Published’, Record Classes may be in use by Business Units and are unmodifiable. Create a new version of the Record Class if changes are necessary.

Searching for Record Classes

- From the Master Classification tab, select the Advanced Search menu item and the following screen will be displayed.



Creating a report / exporting Record Classes

There are two possible methods of generating a report that gives details of Record Classes:

- either for individual Record Classes in PDF format, or
- a selection of Record Classes, from the Master Classification in PDF, XML or Excel formats.

The second method allows you to generate the Records Retention Schedule that lists, for your entire enterprise, the length of time each document or record will be retained as an active record, the reason (legal, fiscal, historical) for its retention, and the final disposition (archival or destruction).

PDF report of individual Record Class

At any stage during the creation of a Record Class it is possible to print a report in PDF format that contains the details of the particular Record Class.

- Select the Record Class in the Master Classification (a single mouse click). To the right of the screen the details of the Record Class are displayed.
- From the bottom of the screen select the 'PDF export' button. A PDF report is generated and opened in a separate screen. If required, a copy of this report can then be saved at your convenience for later consultation.

Report of multiple Record Classes

- From the Master Classification tab, select the Export Record Class menu item.
- The Master Classification is displayed with a checkbox next to each element. Checking / unchecking an element will automatically check / uncheck all its children. Only checked elements will be included in the report. It is possible to filter this Master Classification check list according to a specific Jurisdiction.
- Options to the right allow you to specify the format (PDF, XML or Excel), language, color scheme and to set a password in order to open or modify the generated PDF report .
- Select the 'Generate' button. A report is generated and opened in a separate screen. If required, a copy of this report can then be saved at your convenience for later consultation.

Creating new versions of a Record Class or Category

Once a Record Class has been 'published' it is possible to create a new 'version' based on the original Record Class. Each version of the Record Class has an effective date and the 'version number' is automatically generated.

When creating a new version of a RC which has 'children' Record Classes, a new version of the 'child' Classes will be created at the same time. It is not possible, however, to change the Jurisdiction in a new version of the Record Class.

A new version of a RC cannot be created on a Record Class that has a status other than 'Published'. For example, a 'draft' Record Class cannot be used to create a new version.

When linking a 'Classification Requirement' to Record Class the latest version of the RC is used (in other words it is not possible to link a Classification Requirement to a version other than the latest). It remains linked to this version even when subsequent versions are created.

Note that it is possible to update certain elements of a Record Class without creating a new version of the Record Class. See "What can I change once a RC has been published?" on page 60 for further information.

How to create a new version of a RC

- Open the 'published' Record Class.
- Select the 'Create new version' button at the bottom of the screen.
- Make the required changes to the Record Class. Note that it is currently not possible to remove Metadata information, only to add different Metadata information.
  If authorized to do so, in the Lifecycle tab, you may select the date of application to the new version

of the Record Class. This allows you to specify a date in the past which renders the Lifecycle retroactively applicable. As a result, when a new version of the Record Class is synchronized with the File Plan, the rules at the effective date of the new version will be applied to all Records contained in the Record Class. Note that the application date may not be set any earlier than the effective date of the first version of the Record Class.

- Add a 'Version Reason'.
- Once changes are complete, select the 'Save' button to save a draft of the new version, or select the 'Send for validation' button to start the validation process of the new version of the RC.

How to view different versions of a RC

- To access a different version of a Record Class, start by opening the required RC.
- Select the version number next to the Record Class number at the top of the screen, as shown in the screen below.
- A list of versions is displayed for you to select from.

Selecting a different version of a RC

Note: the version number of a Record Class is also visible from the main Master Classification screen display of a Record Class.

Closing a Record Class or Category

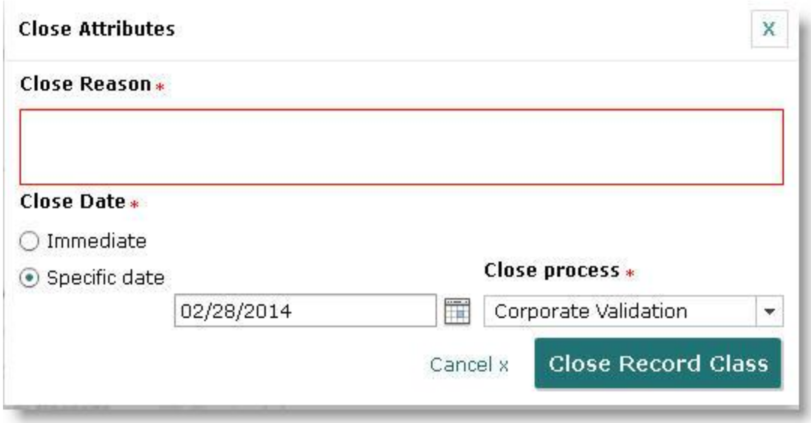
Once a Record Class or Category has been published in the Master Classification it is possible to effectively close the Record Class. Once a Record Class has been closed, it is still visible in the Master Classification and can be consulted in the File Plans and Business Views using the RSD GLASS Governance Manager and RSD GLASS interfaces and changes to Metadata may nevertheless be made. However, it is no longer possible to upload new contents, make any changes to existing content or create new folders.

If the Record Class or Category contains other Record Classes/Categories these will be closed as well: the closing action takes effect on the entire hierarchy.

As with any other Record Class or Category, the Lifecycle of the closed Record Class or Category continues as defined and any disposition actions are performed in due course.

Steps to close a Record Class

- From the Master Classification screen either select or open the published RC or RCC
- Select the 'Close Record Class' button at the bottom of the screen.
  Note that if the RC or RCC has any other status than published, this button will not be available.
- From the 'Close Attributes' screen you need to
  - provide a reason for closing the RC,
  - specify if you wish the closure to take effect immediately or on a specific date.
  - if specifying a specific date, you need to specify if you wish to start a predefined approval process in order to close the RC (see "Record Class Review Management" on page 20 for further information).



- Once the Record Class has been closed the icon changes to  . This is the case if you decide to close the RC immediately.

- If you have specified a Close Process validation, the icon of the Record Class changes to  which indicates that the approval process is pending validation.

- Once the Close Process has been validated, the icon changes to  . Up until this specified date the Record Class may still be used and may still be added to a File Plan.

  Once the date has passed, the icon changes to  .

- Note that if the Close Process validation is refused, the icon changes to  and the RC may still be used.

  To return the Record Class to the 'Published' status you should open it and select the 'Remove Rejected Close Process' button.

Copying a Record Class

In order to help facilitate the creation of new Record Classes, it is possible to copy an existing Record Class elsewhere within the Master Classification structure. This may include, if you wish, any children Record Classes.

When copying a Record Class from one location to another, it is important to remember that information *inherited* from its source location (Laws, Regulations, Metadata Groups) is *not* copied to the destination location. However when copying a Record Class where the same elements have been designed specifically for that Record Class, they are copied. For example:

- Record Class 100 inherits Law (X, Y, Z). None have been added.
- Record Class 200 has had Law (A, B, C) specified. It has not been inherited.

When these two Record Classes are copied under Record Class 300 that has Law (E, F, G) they would then have the following Laws assigned:

- Record Class 100 (E, F, G)

  Note that (E, F, G) is inherited in destination Record Class 300 and that (X, Y, Z) has not been copied over as it was solely inherited from its source parent Record Class.

  Record Class 200 (E, F, G) and (A, B, C).

  Note that Law (E, F, G) is inherited in destination Record Class 300 and (A, B, C) its own specific Law previously defined in the source location.

How to copy a RC

There are two ways of copying a Record Class:

Method 1

- Open the 'source' Record Class to be copied.
- Select the 'Copy to' button at the bottom of the screen.
- Select either the 'destination' Record Class from the Master Classification list displayed or click on the checkbox to copy the Record Class to the Root. You may also specify if you wish to copy over any source children Record Classes to the destination.
- Select the 'OK' button.

Method 2

- From the Master Classification Menu select the 'New Record Class from..' option
- Select the 'source' Record Class. Select either the 'destination' Record Class from the Master Classification list displayed or click on the checkbox to copy the Record Class to the Root. You may also specify if you wish to copy over any source children Record Classes to the destination.
- Select the 'OK button.

The resulting Record Class in both cases from Methods 1 and 2 will be displayed on the screen. You now need to specify the required details of this new Record Class as you would any new Record Class. See "How to create a new Record Class" on page 40 for further information.

Once the Record Class has been defined you need to 'Save' it and possibly start the usual validation process. Once the 'Save' button has been selected a check is made to ensure that the new Record Class complies with the 'destination' location. For example, it verifies the relationship between Metadata Groups and Lifecycle settings or whether the new Record Class is defined as a Category (a RCC may not be a child of a RC).

The newly copied Record Class cannot be saved until any signaled inconsistencies have been resolved.

Only once the 'Save' has been performed are the children RCs created.

Notes about Jurisdiction

The following table gives details on the possible effects of a Jurisdiction change when copying a Record Class.

Source Jurisdiction	Destination Jurisdiction	Notes
Corporate	Corporate	New Record Class retains the Corporate Jurisdiction and language settings.
Specific (not Corporate)	Corporate	New Record Class has specific Jurisdiction with associated languages (the source specification is copied to the new RC).
Corporate	Specific (not Corporate)	New Record Class has the destination specific Jurisdiction along with the associated language of this specific Jurisdiction.
Specific (not Corporate)	Different specific (not Corporate)	New Record Class has the destination specific Jurisdiction along with the associated language of this specific Jurisdiction.

Moving a Record Class

When a Record Class is in 'approved' or 'draft' status, it is possible to move it from its current location to a different location within the Master Classification. The only condition being that there are no previously published *versions* of the RC that you wish to move.

How to Move a Record Class

There are two ways of moving a Record Class:

Method 1

- Open the Record Class to be moved.
- Select the 'Move to' button at the bottom of the screen.
- Select either the 'destination' Record Class from the Master Classification list displayed or click on the checkbox to move the Record Class to the Root. You may also specify if you wish to move any source children Record Classes to the destination.
- Select the 'OK' button. You will be prompted to validate and save your Record Class to confirm the move. Make any changes that are necessary to align the Record Class to the new location.

Method 2

- From the Master Classification Menu drag and drop the selected Record Class to the new location. When moving to the top level of the Master classification, drag the Selected RC and drop it on the 'drop to root' that appears at the top of the Master Classification list.

  By default, child Record Classes will be included in the move.
- Select the 'OK' button. You will be prompted to validate and save your Record Class to confirm the move. Make any changes that are necessary to align the Record Class to the new location.

Note that child Record Classes are lost if you decide not to move any source children Record Classes to the new destination.

When moving an approved or draft Record Class the same rules regarding inheritance and jurisdiction apply as when copying a Record Class. These rules are described in "Copying a Record Class" on page 57.

Editing an approved Record Class

Once a Record Class is in 'approved' or 'draft' status, it is possible to make and save changes if required. Once any changes have been made to a Record Class the approval process will have to be performed again.

- Select the Record Class to be edited and click on the 'Edit' button.

  Make the required changes and save them. The Record Class and any child Record Classes now appear in 'draft' status.

Deleting an approved Record Class

When a Record Class is in 'approved' or 'draft' status, it is possible to delete the Record Class along with any child Record Classes it might contain.

- Select the Record Class to be removed and click on the 'Delete' button.

  You will be prompted to confirm the deletion. If the Record Class contains child Record Classes, you will be warned that they will also be removed.

What can I change once a RC has been published?

The following is a list of elements that can be changed once a Record Class has been published.

After any changes to a Record Class it is necessary (in the Governance Manager Interface, 'Edit File Plan' mode) to 'Synchronize the File Plan'. This will allow you to see and use the changes.

If you wish to make other changes than those listed below, a new version of a Record Class needs to be created. See 'Creating new versions of a Record Class or Category' on page 55 for further information.

Changes possible

To a Record Class:

- Update Notes contained in any of the Record Class datasheet tabs.
- Update the Description of the Record Class (in the Main datasheet tab) including the original language and any additional languages. You may also add new translations.
- Update the Name of the Record Class (in the Main datasheet tab) and any related translations.

To a Jurisdiction:

- Add another language to the Jurisdiction.
- Update the Description and Notes fields.

To a Metadata Group:

- Add Metadata to the Group.
- Modify the options: updatable, typable, viewable, searchable, minimum and maximum cardinality.

To a Metadata:

- Update the Description and Translation fields.
- Add, update and delete Enumerated values.

The RSD GLASS Policy Manager Public View

The RSD GLASS Policy Manager application is essentially designed for the needs of the Record Management team in order to administer the Master Classification environment of the enterprise. The Public View is a quick way for Business users to find information related to given Record Classes without having the expert knowledge of the Record Manager.

Its design allows users to navigate easily through the various levels of the Master Classification with single-click access to information and tool tip details.

The Record Manager designs what is displayed in the Public View using templates that are then made available for consultation by the various users in the enterprise. Templates are a way of customizing the Public View according to the needs of the different user profiles.

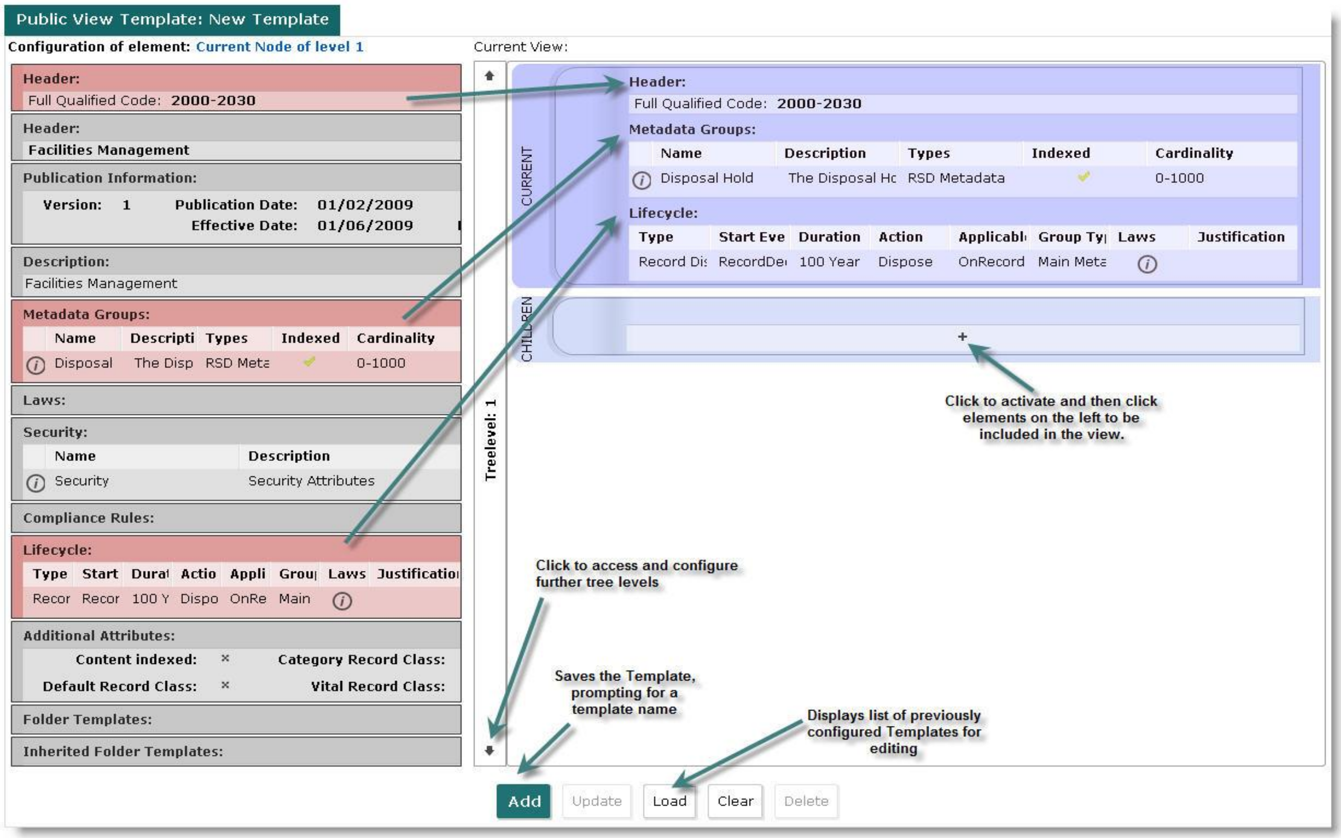
These multiple-view templates are designed in the Policy Manager and are then consultable from a URL using a web browser.

How to create a Public View Template

- From the Master Classification screen select a Record Class whose data can be used as a test of what the template will look like in the Public View to be generated.
- From the Master Classification Menu select the 'Public View Template' option.
- Select the button to activate the level and then select, on the left, the Record Class elements you wish to be displayed in this level of the Public View. See following screen example.

  Note that once you have clicked to include an element, it is possible to click once again to remove it.
- Once you have configured all of the obligatory elements in the level, you can select the button to configure the second and subsequent levels.
- Once the configuration is complete, select the 'Add' button to save the Template. It is now possible to access the Public View using this template.

Configuring a Public View Template



Accessing the Public View

Access the Public View using the URL relevant for your site. In the following URL example, **TemplateName** should be replaced with the name of the Public View Template that has been created in your RSD GLASS Policy Manager environment in order for you to consult the Master Classification of your site.

"http://servername:port/RSDGlassPolicyManager/RSDGlassPolicyManagerGUI/RSDGlassPolicyManagerGUI.html?application=publicView&template=**TemplateName**"

The following options may be added to this URL according to your needs:

URL parameter	Information
showDraft=true	Displays draft Record Classes in the Public View.
layoutDirection=rtl	Displays text in right to left mode.
locale=fr_FR	Forces the language and country used in the Public View independent of the web browser language specified, in this example to French and France.

The Public View Screen