rsd²

RSD GLASS   3.4.4

Multi-Tenant Edition
Governance Apps

User Guide

English

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Manual: RSD GLASS® - User Guide version 3.4.4
RSD-000025-EN-d17a289

Contents

1. Introduction

RSD GLASS® Governance Apps allows you to operate over your repository and RSD GLASS® from resources fully integrated in the repository's web front-end. The resources are embedded into your content repository front-end web components:

- The Wizard is a web component for cataloging and governing of the components in your repository. This component uses the VAADIN framework and requires integration with the underlying repository application.

- Widgets are web components that allow the user to perform a variety of operations.

  They make use of JavaScript.

To acquire business data both rely on web-service communication with RSD GLASS®.

2. Wizard

The Wizard is a Vaadin-based web component for cataloging and governing of documents from your repository application: you can access RSD GLASS® data and features without leaving the repository's native interface. Typically a user would click a Declare menu item or button in their repository interface and the repository application redirects them to the Wizard where they can catalog or govern the document.

> **Note:**
>
> The connection to the 3rd party repository and RSD GLASS® can be established with RSD GLASS® Governance Services. The features available for your environment depend on the capabilities of the underlying connector.

2.1. Accessing Wizard

Accessing the Wizard is defined in the parent application as a redirect. Consult your administrator for further details.

Note that you can access the Wizard in the following modes:

- Single mode: when operating over a single document.
- Bulk mode: when operating over a folder with multiple documents.

Figure 1: Example Declare button in a fileNShare environment

On clicking, the user is redirected to the Wizard component.
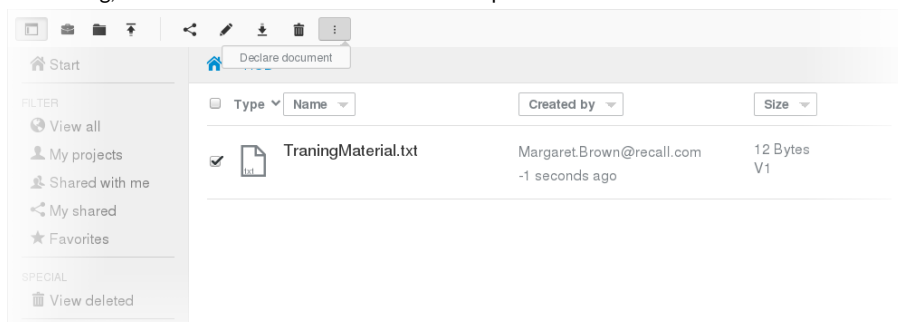
2.2. Cataloging and Governing Modes

You can catalog and govern documents in the following modes:

- Single mode: you catalog and govern one document at a time.
- Bulk mode: you catalog all documents in a folder.

You can define presentation properties for single and bulk modes separately (refer to *Setting Presentation Mode* on page 6).

> **Important:**
>
> Make sure the filenames of the governed files contain maximum of 210 characters. It is not possible to govern files with longer names.

2.3. Setting Presentation Mode

Presentation Mode of Governance Apps defines Components which are displayed on the application GUI. The applied mode depends on the whether you are accessing Governance Apps over a folder with documents or a single document:

- If accessing over a folder, Governance Apps uses Bulk Mode.
- If accessing over a document, Governance Apps uses Single Mode.

The presentation settings are defined by the `presentation.singleMode` and `presentation.bulkMode` properties. The properties take the following values:

- tree

  Setting `1` is recommended for Bulk Mode, since metadata are filled in automatically.

- tree and metadata

  Setting `2` is recommended for Single Mode.

- tree, metadata, and details

  This setting is intended for debug purposes only.

Figure 2: Single Mode set to level 3 during debugging

```
presentation.singleMode=3
```

2.4. Single Mode

When in Single Mode, the user catalogs or governs a single document at a time.

> **Note:**
>
> In this mode, it is recommended to set the presentation mode to level 2 so that the user can see more information. The setting is defined by the `presentation.singleMode` property.
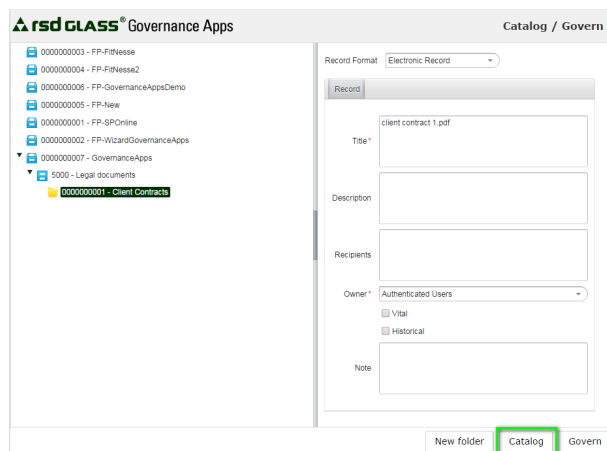
2.4.1. Cataloging Document

When you catalog a document located in an external repository from the Wizard, Governance Apps creates a record or uses a correlated record and creates in it a reference to the document in RSD GLASS®.

To catalog documents from Governance Apps, do the following:

1. In the tree, navigate to the desired Record Class or Folder.
2. Fill in any required metadata.

3. Click the **Catalog** button.

Figure 3: Cataloging a document

Once the document has been successfully cataloged, a notification window appears. Final placement and details of the document are displayed.

2.4.2. Governing Document

When a document is governed, first it is cataloged (its reference is created in RSD GLASS$^{®}$) and becomes locked. This is the equivalent of the 'Declare as Record' action in RSD GLASS$^{®}$ Governance Manager. If the document is already cataloged, its record metadata values are updated.

To govern a document from Governance Apps, do the following:

1. In the tree, navigate to the Record Class or Folder.

2. Click **Govern**.

Fill in any required metadata.

Figure 4: Governing Folder
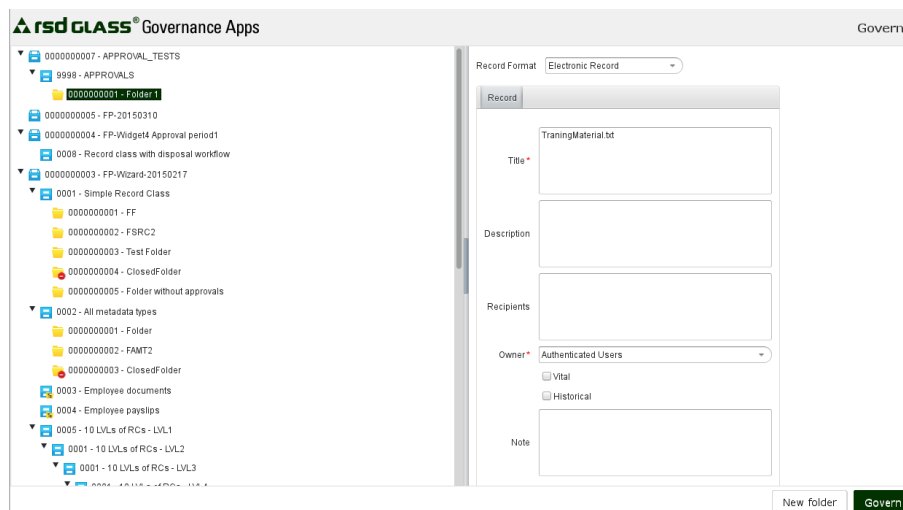
2.4.3. Cataloging Document with Distinctive Metadata

The Distinctive Record Class feature is used for storing documents in a separate folder based on defined distinctive ID, for example an employee ID. 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 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.

Distinctive Record Classes are marked with a special icon.

Figure 5: Tree with a distinctive folder highlighted
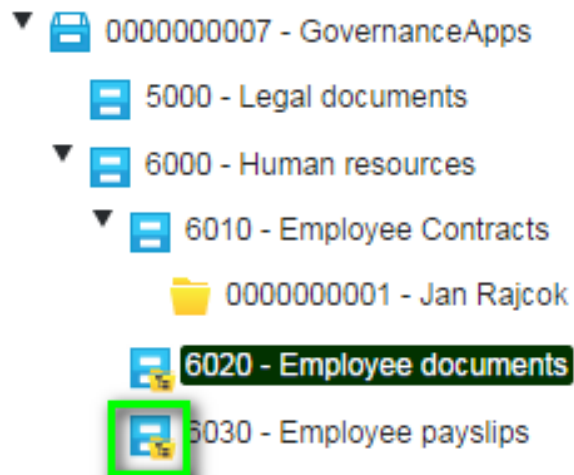
To catalog or govern documents to a particular Folder, you need to provide the distinctive ID in the respective Metadata tab. The ID is the same as the Distinctive Metadata used to create the Folder.

Figure 6: Distinctive IDs in Governance Apps (above) and RSD GLASS® (below)

2.5. Bulk Mode

When cataloging or governing in Bulk Mode, you catalog and govern all Documents in a Folder and its subfolders: all files in a Folder are cataloged or governed regardless of their current status in RSD GLASS®.

In Bulk Mode, the following applies:

When cataloging a Folder:

- Any non-cataloged files are cataloged to the selected target destination.
- Any cataloged or governed files are handled as follows:
  - If in other locations, the files are reclassified to the selected target destination.
  - If in the target destination, their metadata are updated.
  - If required by configuration, the files are skipped.

When governing a Folder:

- Any non-cataloged files are governed (cataloged and declared) to the selected target destination.
- Any cataloged or governed files are handled as follows:
  - If in other locations, the files are reclassified to the selected target destination and declared.
  - If in the target destination, their Metadata are updated and the files are declared.
  - If required by configuration, the files are skipped.

2.5.1. Cataloging or Governing Documents

To catalog all documents in a Folder, do the following:

1. In your repository front-end, click Declare on the Folder.
   The system is redirected to Governance Apps which loads the initial Metadata.
2. In the tree, select the Folder where the documents will be cataloged or declared.
3. Click the **Catalog Folder** or **Govern Folder** as applicable.

Figure 7: Cataloging or governing in a target Folder
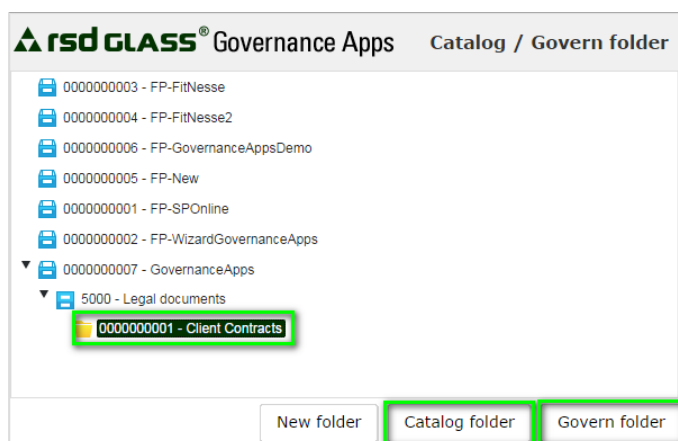
Once all actions for all documents have been executed, a dialog box with a list of the documents and their states appears. Click the **Details** button to display the details about the cataloged or governed documents.
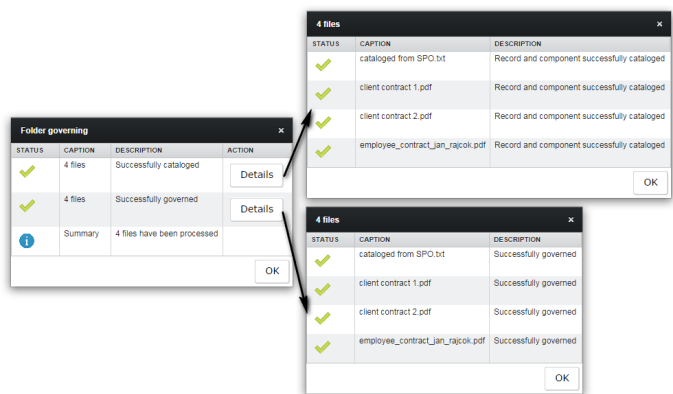
2.6. Reclassification

Reclassification is the process of changing the destination Record Class or Folder of a Record or Component that is already cataloged in another Record Class or Folder.

The reclassification process can run either in Silent Mode or in Standard Mode, which can be set in the `govapps.properties` file:

silentReclassify

boolean

If true no notification is displayed on reclassification.

Figure 8: Reclassifying with silent reclassification mode enabled

Government Apps does not display any information on the current location of the document.
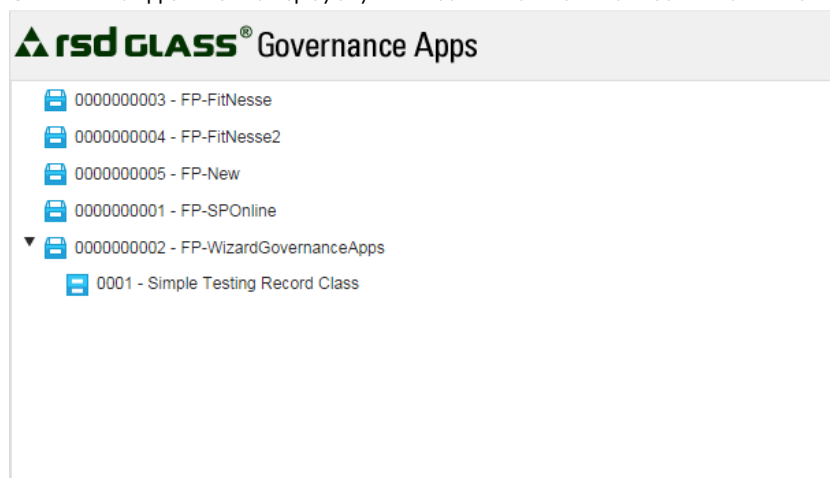
Figure 9: Reclassifying with silent reclassification disabled
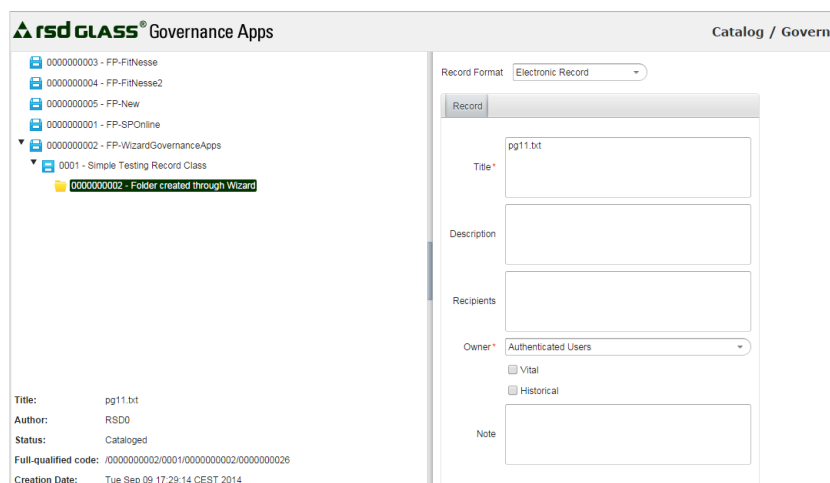
Reclassification can be performed only for Records that are assigned a dynamic Metadata Group Type. To set a dynamic Metadata Group on a Record, refer to *Governance Apps Installation and Configuration Guide.*

2.7. Correlation

Correlation is a mechanism used to identify the Record that a document in the repository belongs to: when you request a document to be governed from your repository application, the Wizard attempts to identify a Record the document's component should be added to. The target Record is identified based on the correlation relationship between a repository document metadata value and RSD GLASS® Record metadata value. The metadata values are compared and if they

match, the document is associated with the Record and you can catalog or govern the document Component by clicking either the **Catalog** or **Govern** button.

Figure 10: Correlation notification

For information on correlation configuration, refer to *Governance Apps Installation and Configuration Guide.*

2.8. Creating Folders

> **Note:**
>
> You can create Folders only in a Record Class which contains Folders or in an empty Record Class or Folder. It is not possible to create Folders in Folders that already contain a Record.

To create a new Folder from the Governance Apps in RSD GLASS®, do the following:

1. In the tree, select the Record Class or Folder where you want to create a new Folder.
2. Click the **New Folder** button in the lower-right corner.
3. In the metadata section on the right, define the Folder Metadata and click **Create Folder**.

Fill in any required Metadata on all available tabs.

Figure 11: Creating a Folder

You might need to fill in Metadata on other tabs, such as **Storage scale**.
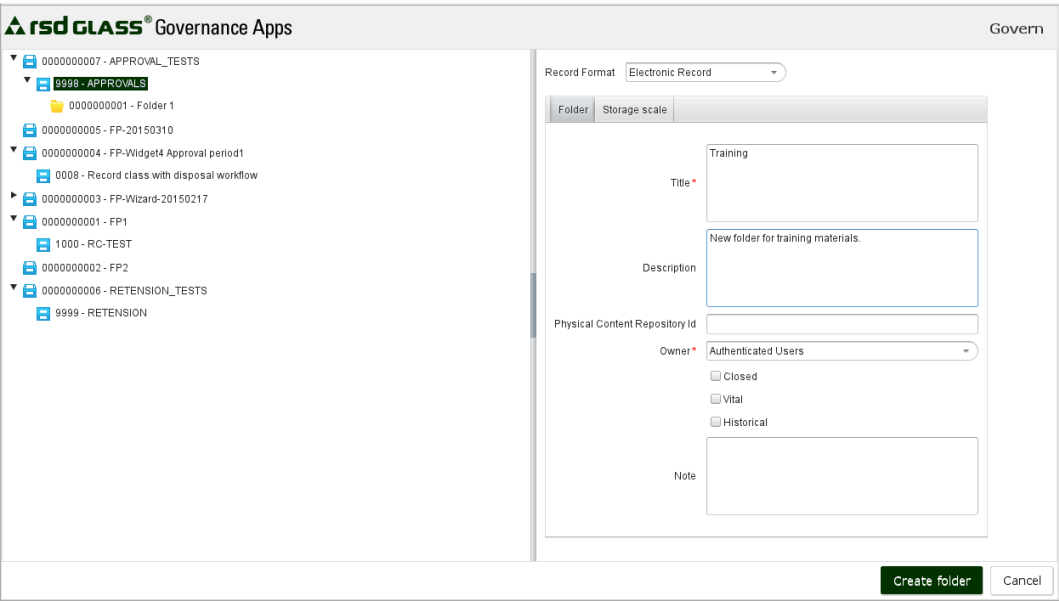
Now you can catalog or govern documents in the new Folder.

3. Widgets

Governance Apps comes with the following Widgets which can be integrated into your application:

Public View

allows you to view Record Classes and adjust their retention period (refer to *Public View* on page 15).

Disposition Confirmation

allows you to confirm disposals scheduled for the next 30 days (refer to *Disposition Approval* on page 17).

Activities

allows you to view activities as executed by users (refer to *Activities* on page 17).

> **Note:**
>
> The widget is delivered as showcase and is not intended to be used in production.

Search and Legal Hold

allows you to search for Records according to their name and download their Components, and to place legal holds on Records (refer to *Search and Legal Hold* on page 18).

Legal Cases

allows you to browse legal cases, create new legal cases, and close them. You can also browse the Records with the legal holds of for a legal case and lift the legal holds (refer to *Legal Cases* on page 19).

3.1. Accessing Widgets

To access the Widgets, go to the page where the Widgets are embedded (consult your administrator).

3.2. Public View

The *Public View Widget* displays a tree of Record Classes with their retention schedule.

When the Widget is loaded, the following takes place:

1. Governance Apps requests all Record Classes.

   Only Record Classes present in both the Policy Manager and Governance Manager are used.
2. Governance Apps requests all File Plans for the received Record Classes.
3. Any unpublished Record Classes are published.

   If publishing fails, the Record Class status changes to the error status.
4. Governance Apps requests unsynchronized Record Classes with no synchronize action scheduled and attempts to synchronize them.
5. The Record Classes are displayed in the tree in the Widget.

   Limitations

   The *Public View Widget* has the following limitations:

   - The retention schedule cannot be changed for Record Classes with a multi-step approval workflow.

Related tasks

3.2.1. Record Class Status

Record Classes in Widgets can be in the following states:

1. `Active`: Record Class is synchronized and has no modifications.
2. `Modified`: Record Class has been modified but the changes have not been saved.
3. `Pending synchronization`: Record Class is changed and is waiting for the synchronization service to propagate the changes.

3.2.2. Changing Retention Schedule

Only users with the Record Manager or System Administrator role can change the retention schedule.

Also note that the retention date can be changed only if the following is true:

- The Record is not in the error state.

- The Record Class has been synchronized and, Policy Manager and Governance Manager are using the same version.

- The Record Class is in the `active` state.

- The work flow associated with the Record Class does not contain any steps.

- Record Class' disposition milestone is set to "on_creation".

To change the retention schedule of a Record Class, do the following:

1. In the **Public View** Widget, select the active Record Class.

2. In the area on the right, click the disposal value and pick the new value in the **Retention Period** dialog.

   The change is performed on the data within Governance Apps and has not been sent to RSD GLASS®.

   Figure 12: Changing retention schedule
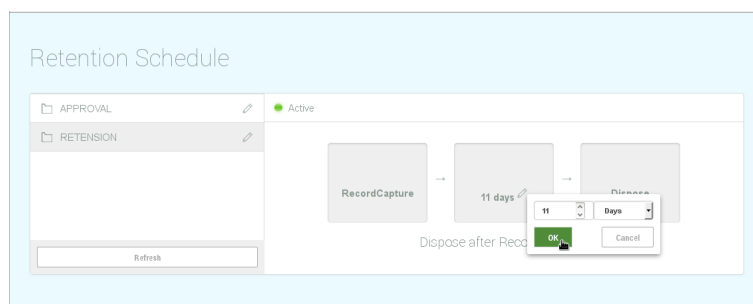
   The Record Class status changes to `modified`.

3. To send the changes to the RSD GLASS® instance, click the **Save all changes** button located below the Record Class tree. The Record Class enters the state `Synchronization pending`.

   On saving, Governance Apps performs the following:

   1. The new delays are sent to RSD GLASS®.
   2. The Record Classes with the new delay are published.
   3. The Record Classes in Policy Manager and Governance Manager are synchronized.

You can discard the changes on a modified Record Class by clicking the **Discard changes** button in the top-right corner of the area with the retention schedule details: the Record Class status changes to `Active`.

3.3. Disposition Approval

The *Disposition Approval Widget* contains a list of Records eligible for disposal in a set period of time (by default 30 days). From the widget, you can confirm the disposal so the respective documents are disposed on the planned disposal date. If the disposal is not confirmed within the set period of time, the document disposal is pending and the disposal action is queued for execution only when the user confirms the disposal. The document is then disposed of on the next disposal action run.

Note:

When the widget is displayed, some of the data is missing and is loaded dynamically while viewing the widget entries.

Note that Physical and Hybrid Records are grayed out since the disposition of these Records is approved by another application.

Limitations

The *Disposition Approval Widget* does not support scheduled disposal actions on Folders or Components. If such actions are defined, the widget behaves as follows:

- Entries for Folders with a scheduled disposal action are displayed without their content.

  Any records with a scheduled disposal action present in such folders are displayed as separate widget entries.

- Components with a scheduled disposal action are not displayed.

3.3.1. Approving Disposition

To confirm disposition of Records, go to the **Disposition Approval** Widget, select the Records that should be disposed of and click the **Confirm** button.

To view the Components that are in the Record Class scheduled for disposal, click the + sign in the **Content** column cell and click the Component to download the respective document.

3.4. Activities

The *Activities Widget* allows you to view activities as executed by users.

Activity Stream has to be enabled for each tenant in the DAT_ADMINPARAM database table so the widget can acquire its data.

Note:

The widget is delivered as a showcase and is not intended to be used in production.

Limitations

The *Activities Widget* has the following limitations:

- The widget contains only the title of the involved object, not a file name.

- No pagination feature is available.

Important: The information on which web services allow you to acquire the underlying data is documented in *RDS GLASS Web Services Guide*.

3.5. Search and Legal Hold

The *Search and Legal Hold Widget* allows you to search for Records according to their title, check and download their components, and put records on legal hold.

> **Note:**
>
> While on legal hold, the Record life cycle is frozen (the Record is kept forever) so as to have it available during litigation.

Limitations

The *Search and Legal Hold Widget* has the following limitations:

- Entries for Folders with a scheduled disposal action are displayed without their content.

  Any records with a scheduled disposal action present in such folders are displayed as separate widget entries.

- Components with a scheduled disposal action are not displayed.

3.5.1. Placing Legal Hold

To place a legal hold on a Record, do the following:

1. Go to the **Search and Legal Hold Widget**.
2. In the search field enter the title of the Record or its part.

   The search supports the asterisk (*) symbol. No other regex operators are supported.

Figure 13: Example search

Note that you can expand the legal holds entry to see the legal holds on the Record, and expand the Record entry to display its Components. Click the Component to download the document.

3. Select the Records on which you want to place a legal hold.
4. Select the legal case in the drop-down box below.

The following items are disabled in the widget: closed legal cases, legal cases with metadatagroups, legal holds with metadatagroups, legal cases with at least one legal hold are disabled.

Figure 14: Selecting legal case

5. Click **Confirm**.

3.6. Legal Cases

The *Legal Cases Widget* allows you to browse the legal cases with the nodes they hold. You can lift the holds from the nodes, and create and close legal cases.

3.6.1. Releasing Legal Hold

To release a legal hold on a record, do the following:

1. Go to the **Legal Cases Widgets**.
2. On the left, select the legal case.
3. In the case details on the right, select the Record.

4. Click the **Lift Hold** button.

Figure 15: Releasing hold
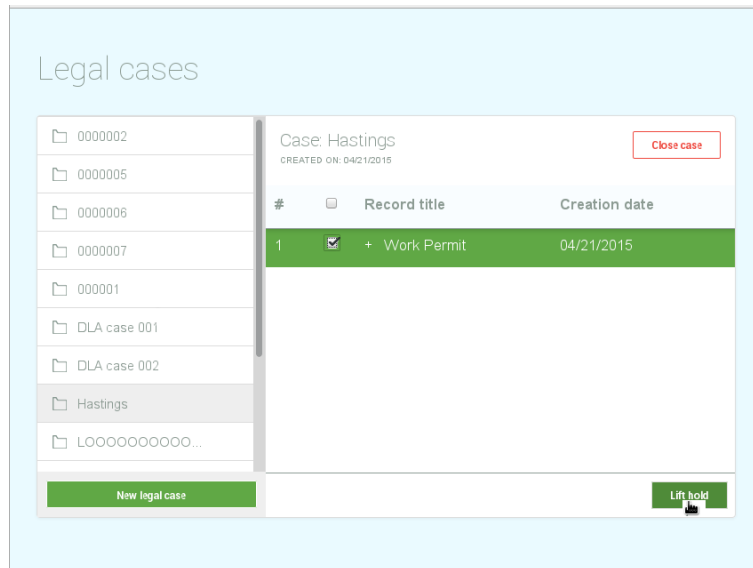
3.6.2. Creating Legal Case

To create a new legal case, do the following:

1. Go to the **Legal Cases** widget.

2. Click the **New Legal Case** button.

3. Enter the legal case name.

The name length must not exceed 130 characters.

Figure 16: Creating legal case
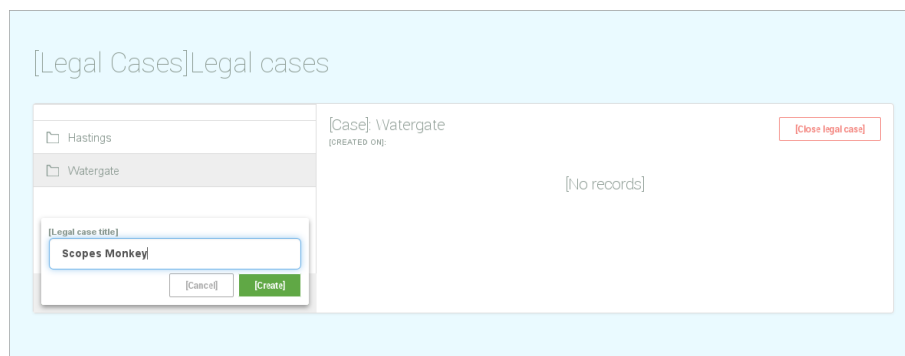
3.6.3. Closing Legal Case

To close a legal case do the following:

1. Display the **Legal Cases Widget**.

2. On the left, select the legal case.

3. Click the **Close Case** button.

Figure 17: Closing legal case
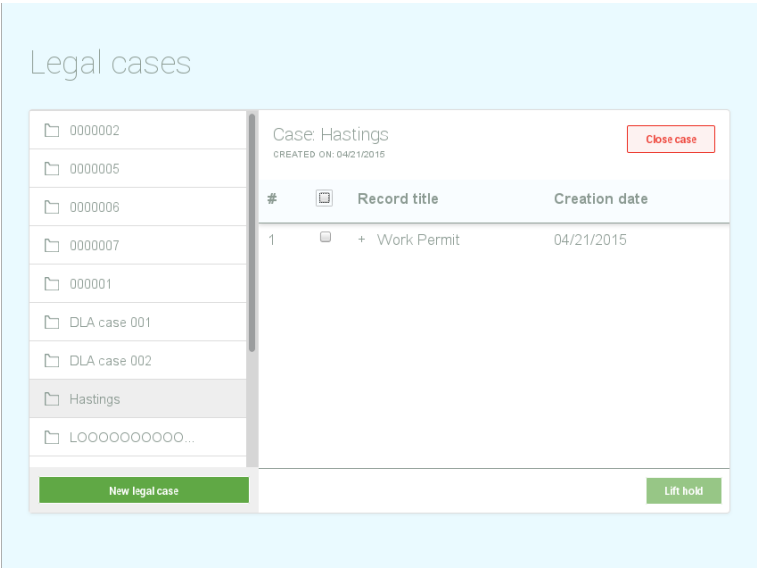
4. Logs

Governance Apps makes use of the following logging frameworks:

- logback handles the security-related logging, that is any authentication and authorization logs.

  The configuration is defined in the `<govapps.config>/logback.xml` file. To change the log level, change the `level` attribute in the `root` element.

```
<root level="WARN">
```

Figure 18: Example Spring security logback configuration

```xml
<?xml version="1.0" encoding="UTF-8"?>
<configuration>
  <appender name="STDOUT" class="ch.qos.logback.core.ConsoleAppender">
    <encoder>
      <pattern>%d{HH:mm:ss.SSS} [%thread] %-5level %logger{36} - %msg%n</pattern>
    </encoder>
  </appender>

  <appender name="FILE" class="ch.qos.logback.core.rolling.RollingFileAppender">
    <file>logs/govappsSpringSecurity.log</file>
    <rollingPolicy class="ch.qos.logback.core.rolling.FixedWindowRollingPolicy">
      <fileNamePattern>test.%i.log.zip</fileNamePattern>
      <minIndex>1</minIndex>
      <maxIndex>30</maxIndex>
    </rollingPolicy>

    <triggeringPolicy
 class="ch.qos.logback.core.rolling.SizeBasedTriggeringPolicy">
      <maxFileSize>5MB</maxFileSize>
    </triggeringPolicy>
    <encoder>
      <pattern>%-4relative [%thread] %-5level %logger{35} - %msg%n</pattern>
    </encoder>
  </appender>

  <root level="WARN">
    <appender-ref ref="FILE" />
    <appender-ref ref="STDOUT" />
  </root>
</configuration>
```

- log4j handles the application-related logging

The configuration is defined in the `<govapps.config>/log4j.properties` file, which is a standard log4j configuration file. To change the global application logging level, modify the `log4j.logger.com.rsd.glass.connectors.integration` property.

Figure 19: Example Governance Apps log4j configuration

```
############ FILE ##########
log4j.appender.WIZARD=org.apache.log4j.RollingFileAppender
log4j.appender.WIZARD.File=logs/govapps.log
log4j.appender.WIZARD.MaxFileSize=10000KB
log4j.appender.WIZARD.MaxBackupIndex=50
log4j.appender.WIZARD.Encoding=UTF-8
log4j.appender.WIZARD.layout=org.apache.log4j.PatternLayout
log4j.appender.WIZARD.layout.ConversionPattern=%d{yyyy-MM-dd HH:mm:ss.SSS} %t %5p
 %X{CorrelationID} [%c{1}:%L] - %m%n

### direct log messages to stdout ###
log4j.appender.stdout=org.apache.log4j.ConsoleAppender
log4j.appender.stdout.Target=System.out
log4j.appender.stdout.layout=org.apache.log4j.PatternLayout
log4j.appender.stdout.layout.ConversionPattern=%d{yyyy-MM-dd HH:mm:ss.SSS} %t %5p
 %X{CorrelationID} [%c{1}:%L] - %m%n

### set log levels ###
log4j.rootLogger=DEBUG, WIZARD, stdout
#Global logging level for all Governance Apps classes (standard log4j logging
 levels):
log4j.logger.com.rsd.glass.connectors.integration=INFO
```

4.1. Errors

In RSD GLASS® Governance Apps, errors of the following type might occur:

- Cataloging errors

Error Message	Cause	Remedy
Catalog action on component failed!		
Catalog action on record failed!		
Catalog action on component failed.	In Bulk Mode required Metadata fields are missing.	Define the Metadata mapping for the required fields in RSD GLASS® Governance Manager in the Mapping sub application.
Catalog action was unsuccessful! No parent node found.	The distinctive Record Class Metadata values are not identifying a possible target Folder.	Enter the distinctive Metadata values that represent a valid destination Folder or create the destination Folder.
Catalog action was unsuccessful! Several parent nodes match the distinctive criteria.	The distinctive Record Class Metadata values are identifying multiple target Folders.	Check the distinctive Folders of the target Record Class and remove the duplicates.
An issue while getting the retention schedules occurred.		
A problem occurred while acquiring Record Classes.		

- Validation errors

Error Message	Cause	Solution
Missing mandatory request parameter(s).	HTTP request parameters are missing.	Depending on the configuration, one of the following groups of mandatory HTTP request parameters is used: • Minimal: documentId, action. • Standard: documentId, docType, length, fileExtension, mimeType, action, cssLink.
Correlated record not found.	Regarding the Document Metadata the correlated Record was not found and the property "addComponentsToExisting RecordOnly" is set to true.	Adjust the correlation configuration so that the corresponding Record could be found or enable the possibility that for the non-found Records a new one is created.
The selected folder is empty.	In Bulk Mode the source Folder that you want to catalog / govern is empty.	Call the RSD Governance Apps on a source Folder which is not empty.
No suitable content found.	In Bulk Mode there are files in the source Folder, but all should be skipped due to their Governed or Cataloged state. The Governed documents are skipped by default and the Cataloged ones depending on the configuration (property "skipCataloged").	Call the RSD Governance Apps on a source Folder which doesn't contain only Declared and/or Cataloged files (when cataloged is set to skipped).
Unknown action.	Unknown action parameter in the HTTP request.	The currently supported action parameters are: catalog, declare, status.
Unknown repository type.	Incorrect configuration. The parameter "default.repositoryType" is filled with unknown value.	This parameter is either empty then all the standard HTTP request parameters must be filled in, or the currently possible value is fns (for FileNshare behavior) in this case the minimum HTTP request parameters must be filled in.
Reclassification to the selected destination failed!	Reclassification is not allowed to the selected destination by RSD GLASS®.	Select a different destination or ask your administrator to change the definition of the desired target destination in RSD GLASS® Policy Manager and RSD GLASS® Governance Manager.

Error Message	Cause	Solution
Record reclassification failed!	Wizard could not reclassify the record.	Make sure the record's metadata are dynamic.
Component reclassification failed!	Wizard could not reclassify the component and its record.	Make sure the record's metadata are dynamic.

- Application and server errors

Error Message	Cause	Solution
Not possible to load the configuration file.	The configuration file govapps.properties is missing or is not accessible from the default location (<web_applications>/ WEB-INF/classes/ govapps.properties) or from the configured location (the location is defined by the property `govapps.config.folder`.	Check that the configuration file exists and that it is accessible from the default or configured location.
Failed to access the WSDL at: http.../soap?wsdl ... Connection refused ...	Configuration error, glassUrl is not properly set in the configuration file govapps.properties. RSD GLASS server is down.	Check the glassUrl in the configuration file. Verify if the RSD GLASS server is running.
Incomplete configuration file.	Some of the following parameters are empty: glassUrl, username, password, repositoryId, virtualRepositoryId.	Fix the parameter value.
Failed to acquire content from the repository. Make sure the configuration of the identification parameter is correct and that the repository is accessible.	Configuration of the identification parameters for the repository is incorrect or the content repository cannot be accessed.	Check the content repository parameters in the configuration file and make sure the content repository is up and running and can be accessed. Also check the user name and password on the given content repository URL.
Reclassification is not possible to the selected destination.	Reclassification is not allowed to the selected destination by RSD GLASS.	Select a different destination or ask your administrator to change the definition of the desired target destination in RSD GLASS Policy Manager and RSD GLASS Governance Manager.
Content repository error: Cannot retrieve content parameters.	The document does not exist. The document is not visible in the current tenant. The technical user configured for the Governance Apps is not from the same domain as the currently logged in user.	Check if the document exits. Check if the configured technical user for the content repository is from the same tenant as the currently logged in user.

Error Message	Cause	Solution
Content repository error: Cannot load document metadata.	RSD Governance Apps cannot load repository custom metadata	Contact the content repository system administrator.
Content repository error: Cannot convert the repository metadata.	RSD Governance Apps can retrieve the document metadata, but cannot convert repository metadata.	Incorrect installation, please contact your system administrator.
Content repository error: Cannot load metadata templates.	RSD Governance Apps cannot get the metadata templates from the content repository.	Check the content repository parameters in the configuration file.
Server communication error.	Either the glassUrl is not configured correctly or the target server version is not compatible with the current version of Governance Apps.	Check that the configuration file points to the correct RSD GLASS URL.