



Version 3.4



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## User Guide

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# Introduction

The RSD GLASS client is one of the modules of RSD GLASS and is the corporate tool that provides authorized users with transparent role-based access to Records contained in the RSD GLASS environment.

The same functionality described in this documentation is also available in the RSD GLASS Governance Manager 'Browse' File Plan mode.

Note, however, that you need to use the RSD GLASS client to browse a Business View.

The following sections outline the features and components of the product.

## **RSD GLASS client functionality**

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

- Navigation through the chosen File Plan structure, based on user authorizations.
- Sorting of Records into listings.
- Perform metadata search queries based on user authorizations and saving these queries for future use. This may also be combined with content search queries.
- Performing content search queries that return Records. Content searches are based on the user authorizations and may be saved for future use. This may also be combined with metadata search queries.
- Performing actions on Records, based on user authorizations, such as:
  - displaying the report in its original format
  - exporting the Record
  - creation of Records
  - changing the existing Metadata of the Record
  - assigning new metadata to the Record
  - adding comments or notes to the Record
  - setting Records on litigation hold
  - declaring documents as Records.
- Management of physical Records, such as:
  - creation and management of virtual 'Boxes' corresponding to the physical Boxes where paper Records are filed.
  - requesting the archiving and recalling of physical 'Boxes'.

# Finding your way around

## Login

At the initial RSD GLASS client 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 automatically displays all of the capabilities of the product according to the role of the user that has logged on.

## File Plan vs Business View

### What is a File Plan?

A File Plan is a structure composed of Record Classes selected from the Master Classification. It is used by the BU members to perform Record management tasks or for other specific business needs. 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. File Plans are used to create the folder structure of a specific Business Unit (generic name of an operational unit of employees responsible for a business activity).

### What is a Business View?

A Business View is a way of viewing information from a File Plan sorted in a manner that best suits the user for his business activity. It is a subset of a File Plan that allows the user to access only information that he really needs for his particular line of expertise.

## Environment Selection

After the initial Login screen you will be presented with the Home page where you will be able to:

- select an existing File Plan from the list 
- select an existing Business view from the list 

# Information on common functionality

The following sections describe functionality that is common to various screens in the RSD GLASS client.

## 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 a particular column.

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.

## Sorting list data

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

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.
- The default is to sort the list on any single column.
- The sort criteria may be set to sort on multiple columns. If that is done, then clicking on a second column header re-sorts the list (sorting the data in the second column with respect to the first sorted column) and so on for any additional columns.

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.

# The RSD GLASS interface

Selection of view to be displayed: browsing the File Plan or displaying information on Physical Archives stored in Boxes.

Possible actions that may be performed on the selected element, such as creating a new Folder, performing Legal Hold or closing of the Folder. These actions depend on the authorizations of the logged in user.

Displays the contents of the element either in list or icon format. The List View displays information on the type of elements, its code as well as creation information.

Name of the File Plan accessed.

Logs off the current user and returns to the initial Login screen.

000 full name | FP-Geneve | Logout

Home | File Plan | Physical Archives

Browse File Plan

Root > FP-Geneve > G&A Records > Human Resources > Pay Slip > Pay Slip

Search: in File Plan Advanced search

New Box New Folder

Search tools

Léon Smith Linda Brown Henri Logan Alain Martin Olivier Levert

Martin Smith Urs Deutsch Brigitte Dupont Michelle Winston Annette Zwahlen

Hu Long Harry Glide Hon Trong Martha Rebeck Zu Thai

Olga Fernandez Peter Irving Fred Legrand Bernadette Riche Sylvie Porche

Ruth Defago Patricia Sollioz Marie Lisboa Pierre Trichet Valérie Bogart

Results: 1 - 25 of 36 Page 1 of 2

Change view

Linda Brown

Export Hold Close Security Remove

Properties

Title: Linda Brown  
Author: Michelle Winston  
Creation date: 02/11/2013 05:48 AM  
Version: 1  
Node UID: a4dfa3c3-18ca-41  
Hold number: 0  
Closed number: 0  
Inherited status:  
Status:

Metadata  
Scheduled actions  
Permissions

Click to display the required set of information in the Details Panel.

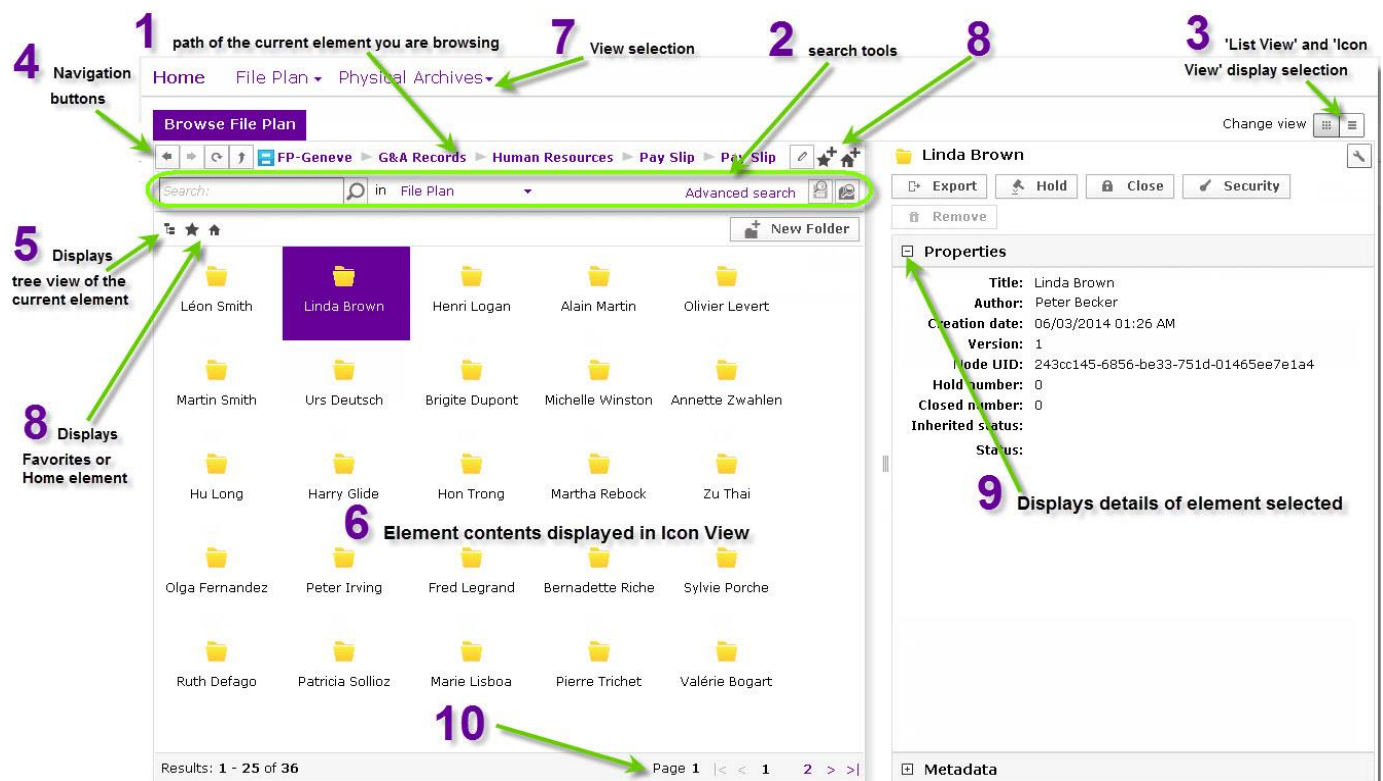
Drag to display or hide the Details panel of the element selected.



# Working with the RSD GLASS client


## Navigating within the application


The following screen shows the various methods of navigating within the RSD GLASS client interface. The numbers in the text refer to a more detailed description of the navigation methods that follows.



### Navigation methods

- 1 The path of the element selected may be used to navigate between different levels.

If you select the  tool it is possible to edit the path directly by typing in the name of the element.

- 2 Search tools contain various methods for locating information (see "[Searching](#)" on page 17 for further information).
- 3 'List View' and 'Icon View' buttons allow you to change how the contents of the elements are displayed. The 'List View' gives more information on the element, displays the child elements it contains and allows you to sort the list according to information contained in the columns.
- 4 Navigation buttons allow you to move up or down a level in the File Plan (or Business View) and the  button returns you to the parent of the current element.
- 5 'Display tree' button shows the File Plan (or Business View) in a standard file tree folder display format. May be used at any moment to quickly see exactly where you are and for ease of navigation. You may drill down to the desired element in the Tree. Use the 'Display tree' button to toggle on or off the Tree View.
- 6 Element contents. May be Record Classes, Record Class Categories, Folders, Records or Components (see "[Browsing content](#)" on page 10 for further information).

- 7 View selection dropdown box. Display the File Plan in browse mode or information on physical Records stored in Boxes.
- 8 See "[Creating Favorites and Home elements](#)" on page 16 for further information.
- 9 Select the arrow to the side to open or collapse the details panel. See "[Viewing details](#)" on page 14 for further information.
- 10 Navigate through further pages of elements.

## Browsing content



**Root** - The top element in the File Plan or Business View.



**File Plan** - The folder structure within a particular Business Unit and the Records represented within it. May contain Record Class Categories, Record Classes, Folders, Records or Components.



**Business View** - a way of viewing information from a File Plan sorted in a manner that best suits the user for his business activity. May contain Record Classes and Categories, Folders, Records or Components.



**Record Class or Record Class Category** - may contain any of the following elements, including other Record Classes or Categories. However, a Record Class Category may contain only other Record Classes or Record Class Categories. Possible actions: [Hold](#), [Close](#), [Open](#), [Export](#).



**Folder** - may contain any of the following elements, including other Folders. Possible actions: [New Folder](#), [Remove Folder](#), [Hold](#), [Release](#), [Close](#), [Open](#), [Export](#).



**Record** (or Document - i.e. 'undeclared' Record) - may contain Components and other Records. Possible actions: [New Record](#), [Hold](#), [Release](#), [Declare](#), [Security](#), [Add Component](#), [Export](#).










**Component** - Possible actions: [Visualize](#), [Download](#), [Hold](#), [Release](#), [Security](#), [Export](#).














**Physical Component** - Possible actions: [New Recall Request](#), [Hold](#), [Release](#), [Security](#), [Export](#) metadata, [Check Integrity](#).

## Actions

The following lists all of the possible actions that may be performed on all of the elements in your File Plan or Business View. Whether or not you see these action icons depends on the authorizations you have and where you are positioned in the File Plan or Business View (viewing Record Classes, Folders, Records or Components).

Icon	Action	Information	Used for
	Hold	Used to preserve data that may relate to a legal action involving the enterprise. Litigation hold overrides the existing retention and deletion rules that have been established, preventing alteration or destruction of the data until the legal action has been resolved and the hold has been 'released' - see following.  When placing a litigation hold on an element in the File Plan or Business View you will be prompted to select a disposal hold from a previously configured Legal Case. You can provide an optional reason for the hold. More than one hold may be placed on an element. All children elements are included in the litigation hold procedure.  Depending on the Legal Case Type configuration, you may have to provide additional Metadata information.	Record Class or Category, Folder, Record, Component
	Release	Once an element is in litigation hold, only an authorized user may release the hold by selecting this icon. This releases the hold on all children elements as well. A reason for releasing the hold must be supplied. The normal lifecycle is restored once the legal action has been resolved and the hold has been released.	Record Class or Category, Folder, Record, Component
	Export	Exports an element into XML format including, if required, any specified business Metadata and or children elements.	Record Class or Category, Folder, Record, Component
	Close	Used to close an element of the File Plan and the closure is inherited by all children elements. When closing an element a description of the reason for closure is required. Despite having inherited a closure from its parent, children elements may be closed in their own right, with a different reason for closure being specified. New content cannot be added to a closed element.	Record Class or Category, Folder
	Open	To be used on a previously closed element. Once an element has been closed, only an authorized user may re-open the element by selecting this icon. This removes the inherited closure of all children elements as well. This will not, however, re-open a child element that has been closed in its own right. A reason for re-opening must be supplied.	Record Class or Category, Folder
	New Folder	New Folders may be created at the bottom level Record Class or in an existing Folder. You will be required to fill in the prompted metadata information according to the inherited Record Class or Folder settings.	Last Record Class or Category, Folder
	New Archive Box	A virtual reference to a physical Box that may be used to store physical archives. A Box is created in the File plan and is linked to the contract specified for the virtual repository where it resides. A Box may contain Components from anywhere in the File Plan that corresponds to the contract to which it is linked. These Components may be stored in one or more Record Classes. When creating a new Box you will be required to specify the Title of the Box as well as specifying the type of Box. Box Types are setup and managed through	Used anywhere in the File Plan

Icon	Action	Information	Used for
		<p>the RSD GLASS Governance Services for Physical Records interface. You may also determine if the Box may be shared by people who play the same role as yourself in the enterprise or who are part of a predefined 'Group'.</p> <p>Depending on how the contract that manages your Boxes has been defined in the Physical Records interface, the Box number will either be generated automatically or you will have to provide a new number according to the numbering scheme used in your environment.</p>	
	New Recall Request	<p>If a physical component has been archived in a Box that has been transported off-site for storage at a Warehouse, you may double click on the component to recall the Box in order to retrieve the component from archive. When performing a Recall you will be prompted to specify how long you think you will need to keep the Box containing the physical component once it is returned to your office. You may also determine if the request may be shared by people who play the same 'Role' as yourself in the enterprise or who are part of a predefined 'Group'. This means, in case of your absence, the recall request may be managed by someone else in your team.</p>	Physical Component
	Remove Folder	Only empty Folders may be removed.	Folder
	New Record	<p>Adds a new 'undeclared' Record in a Record Class - otherwise considered to be a 'document'. You need to specify the Record Format (e.g. email) as well as any inherited Metadata information.</p> <p>An optional field 'Record Date' allows you to specify a value date for the new Record. For example, a document may have a specific date, for example, an invoice dated the 1st January. You may therefore specify a date other than the date that the invoice is integrated into the RSD GLASS environment.</p> <p>Changing this value date may have implications on the lifecycle of the Record. If the Record Class has more than one version the effective date will determine the version that is used. If a 'Record Date' is not specified the date of insertion is used by default.</p> <p>It is possible to also add a Component to the potential Record. Once the upload is performed, you need to 'Declare' the newly updated document as a Record. Up until a Record is 'declared' it is possible to delete, change or add/remove components.</p> <p>In order to differentiate between a Record and a Document you need to consult the Properties to see if the status is</p> <p>defined as  (Declared). Upload functionality is not available in a Business View.</p>	Record
	Declare	To transform a Document into a Record, you must declare the document as a Record. See " <a href="#">Manually declaring a Document as a Record</a> " on page 21 for further information. Once a Record has been declared it is no longer possible to change or add components.	Record
	Security	At the Record level it is possible to define who has access to the Record and its components.	Record, Component
	Visualize	If the correct software is installed on your local machine, opens the component in a separate window. Before opening the component, an 'integrity check' is performed to ensure that the component has not been changed. If the component fails	Component

Icon	Action	Information	Used for
		the integrity check you are able to either Visualise the component anyway or rescan it.	
	Download	Provides the possibility to download and save a copy of the component to your local machine.	Component
	Add Component	Allows you to add Components (including Physical Components) into a Record (Document). Once a Record has been declared it is no longer possible to delete or change components. When adding a Component to a declared Record, you need to specify if you wish to immediately declare the added Component. A Record may contain both physical and non-physical Components.  When adding a physical component you will be prompted to select the Box in which the component will be stored.	Record
	Check Integrity	Data integrity checking is the process of verifying that data in the RSD GLASS environment remains unchanged wherever it may be stored. The process uses hash values on data which can be compared to determine whether the data was altered. A hash value is a value of a fixed length that uniquely identifies data. By comparing hash values assigned to data between two different points in time it is possible to see if a document has been changed. This functionality allows you to manually verify the integrity of an electronic component. The 'Integrity' panel allows you to see the status and history of integrity checks performed on an element.	Component (electronic only)
	Remove Component	You will be prompted for confirmation of the deletion of the Component. You may also, optionally, delete the Component's contents stored on the external Content Repository. This removal from the Repository is possible only if the Repository supports such an action and if you have the access rights to do so. Note that once a Record has been declared it is no longer possible to delete components.	Component

## Viewing details

A panel is displayed to the right of the screen that gives details of the element that is selected.

This panel may contain up to nine different sets of information: Properties, Metadata, Disposal Holds, Record Class Information, Job Import Data, Scheduled Actions, Box Information (if viewing the details of a physical component), Permissions and Integrity.

The first screenshot shows the 'Record Léon Smith' panel. A green arrow points from a text box to the 'Record Léon S...' icon in the left sidebar. The text box says: 'Select Record to display its details. Note that double clicking the Record opens the first Component it contains.' The right panel shows the 'Record Léon Smith' details, including fields like Title, Author, Creation date, Version, Node UID, Hold number, Closed number, Vital, Historical, Inherited status, and Status. Below these are expandable sections for Metadata, Scheduled actions, and Permissions.


The second screenshot shows the 'Component Léon Smith' panel. A green arrow points from a text box to the 'Component Lé...' icon in the left sidebar. The text box says: 'Select Component to display its details. Note that double clicking the Component opens it.' The right panel shows the 'Component Léon Smith' details, including fields like Title, Author, Creation date, Version, Node UID, Hold number, Closed number, Inherited status, and Status. Below these are expandable sections for Metadata, Scheduled actions, Permissions, and Integrity.

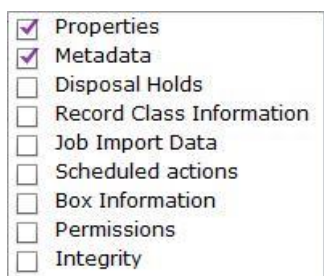
The Integrity panel allows you to see the status of the integrity of the element. It shows the history of when the element was checked to ensure that it has not been changed since inclusion in the File Plan.

When selected at the root of the File Plan displays whether Integrity Checking is activated on the File Plan along with the history of checks performed.

The "Record Class Information" panel is used to display lifecycle information of the selected RC Category, RC, Folder or Record.

## Displaying panels

Note that it is possible to determine which panels you wish to be visible by selecting the 'Display Configuration' button  and selecting the desired panels:



The list of panels is displayed according to your authorizations.

## Editing Metadata

From the Metadata details panel it is possible to edit the Metadata of the selected element (Record Class, Folder, Component, etc.). From the Metadata details panel select the 'Edit Metadata' button. A separate tab appears in the Edit Metadata screen for each Metadata Group related to the element.

## Defining where information is stored

The information accessed in the RSD GLASS interfaces is stored in various possible Content Repositories. Where it is stored may depend on the type of information and how long it is to be retained. From the 'Edit Metadata' screen it is possible, if authorized, to configure where the information is stored by selecting and configuring the Storage scale tab. These Storage scale definitions are propagated from parent to children elements. Storage scale settings at any level may therefore overwrite possible inherited settings. Checking the parent elements allows you to ascertain the storage scales inherited before definition of new ones.

If Storage Levels have been setup for your environment (in the RSD GLASS Policy Manager interface through the configuration of the system Metadata called Storage Level) you will be able to specify for each milestone in your content's lifespan, the different possible content repositories where content may be stored. By adding more than one group of metadata, you can setup the various Storage Levels as well as the virtual content repository dedicated to that level.



**Edit Metadata**

\* Record Class \* Storage scale

- Remove a group of metadata

Storage scale \* Elaboration

Content Repository Id \* GLASS Repository 1

- Remove a group of metadata

Storage scale \* Archivage

Content Repository Id \* GLASS Repository 2

- Remove a group of metadata

Storage scale \* Conservation

Content Repository Id \* GLASS Repository 3

+ Add a group of metadata

\* indicates required field.





Cancel x Reset Update the node Metadata

For information, these Content Repositories are managed through the RSD GLASS Governance Manager interface.

## Setting the approval period

From the 'Edit Metadata' screen it is also possible, if authorized, to specify the number of days allotted to the approval process that manages the disposal action specified for the Record Class. This period is initially set when a File Plan is created and the default period is 30 days.

## Creating Favorites and Home elements

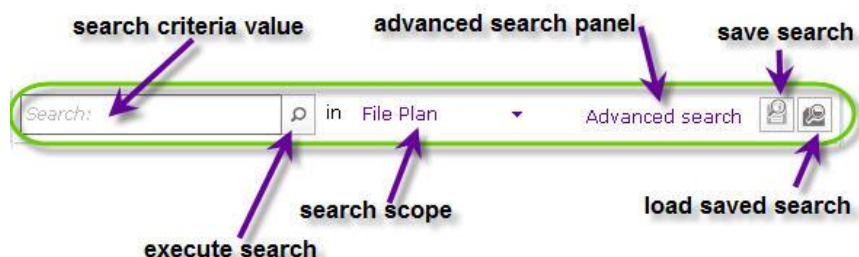
-  Sets the currently selected 'node' element as the Home node.
-  Displays the Home node as previously set.
-  Adds the selected element to your list of 'Favorites'.
-  Displays a list of your previously set 'Favorites'. Selecting one of the Favorites displays the node.

Note that the creation of Favorites and setting of Home element are available only if, from the Administrator panel, you have 'enabled the save and restore of user settings' on the General Settings page.



# Searching

## The Search toolbar



Note that the Save and Loading of saved search functionality is available only if, from the Administrator panel, you have 'enabled the save and restore of user settings' on the General Settings page.

## Simple search tool

Used to search on Metadata and content of components that have been indexed by the full-text search engine.

The search scope: File Plan - the entire content of the File plan and not just the current selected element. Current node - search scope is restricted to the selected element and all its children.



## Query terms

A search query may be broken up into terms and operators. There are two types of terms: Single Terms and Phrases.

A Single Term is a single word such as "record" or "page".

A Phrase is a group of words surrounded by double quotes such as "record class".

Multiple terms can be combined together with Boolean operators to form a more complex query (see below).

## Fields

It is possible to search in a specific Metadata field by typing the field name and then the term you are looking for, as follows.

MetadataGroupName.MetadataName:Value

For example, in the Metadata Group 'Bank' you wish to search for the value 123456789 in the Metadata field 'IBAN' you would specify:

BANK.IBAN:123456789

## Term Modifiers

The following is a list of ways to modify query terms that provide a wide range of search options.

### Wildcard Searches

To perform a single character wildcard search use the "?" symbol.

The single character wildcard search looks for terms that match that with the single character replaced. For example, to search for "text" or "test" you can use the search: **te?t**

To perform a multiple character wildcard search use the "\*" symbol.

Multiple character wildcard searches look for 0 or more characters. For example, to search for test, tests or tester, you can use the search: **test\***

You can also use the wildcard searches in the middle of a term: **te\*t**

Note, however, that you cannot use a \* or ? symbol as the first character of a search.

### Approximate Searches

To perform an approximate search use the tilde, "~", symbol at the end of a Single word Term. For example to search for a term similar in spelling to "roam" use the approximate search: **roam~**

This search will find terms like foam and roams.

### Boolean Operators

Boolean operators allow terms to be combined through the use of logical operators AND, "+", OR, NOT and "-". Note that Boolean operators must be ALL CAPS.

**OR** The default operator. This means that if there is no Boolean operator between two terms, the OR operator is used. The OR operator links two terms and finds a matching element if either of the terms exist. To search for documents that contain either "record class" or just "record" use the query:

**"record class" record, or, "record class" OR record**

**AND** The AND operator matches documents where both terms exist. To search for documents that contain "bank account" and "bank statement" use the query:

**"bank account" AND "bank statement"**

**+** Requires that the term after the "+" symbol exist somewhere. To search for documents that must contain "bank" and may contain "statement" use the query:

**+bank statement**

**NOT** Excludes elements that contain the term after NOT. To search for documents that contain "bank account" but not "bank statement" use the query:

**"bank account" NOT "bank statement"**

Note that the NOT operator cannot be used with just one term.

**-** Excludes documents that contain the term after the "-" symbol. To search for documents that contain "bank account" but not "bank statement" use the query:

**"bank account" -"bank statement"**

### Grouping

It is possible to use parentheses to group clauses to form sub queries. This can be very useful if you want to control the boolean logic for a query. To search for either "account" or "statement" and "bank" use the query:

**(account OR statement) AND bank**

This eliminates any confusion and makes sure you that bank must exist and either term account or statement may exist.

### Using Special Characters

The list of special characters: + - && || ! ( ) { } [ ] ^ " ~ \* ? : \

To use these characters place a \ before the character. For example to search for (1+1):2 use the query:

**\(1\+1\)\:2**

## Advanced search tool

Used to search on Metadata in the RSD GLASS database or the Search engine. The default being the Search engine which is faster. Select the 'Search on properties of' dropdown box to define where you want to apply your search: either on the Record Class, Folder, Record or Component. The dynamic search panel allows you to combine search criteria and use, if desired, the properties of any children elements to perform the search.

Search:  in File Plan Advanced search

**Advanced Search - Search on the current File Plan** X

Search on properties of: Record ☒ Display all criteria.

Record Application ... Record Class Folder Record Component

Identifier

Code

Full-qualified code Equal

Version Equal

Version of the life cycle Equal

Title Equal

Description Equal

Recipients Equal

Record date Before

Declare Date Before

Declaration reason Equal

Disposition Date Before

Record format Equal

Vital Any ☐ True if selected

Historical Any ☐ True if selected

i **Search on:** ☒ Search engine ☐ Database Cancel x Reset Edit Search

Once you have defined the search criteria select the Search button at the bottom of the screen to display the results. Alternatively, it is possible to refine the search using the 'Edit' button.

## Advanced Search Editing

The 'Edit' mode refines the advanced search capabilities by allowing you to also use the "OR" operator in addition to the dynamic "AND" operator functionality supplied by the above search panel.

The 'query syntax' tab provides examples to help you build your query.

The screenshot shows the 'Edit an advanced query' dialog box. It has a title bar with a close button (X). Below the title bar is a tabbed interface with 'Query edition' and 'Query syntax' tabs. The 'Query syntax' tab is active. Inside the dialog, there are several fields and controls: a 'Query name' field with the value 'Record Query'; a 'Search on properties of:' dropdown menu with 'Record' selected; a 'Scope:' dropdown menu with 'File Plan' selected; and a 'Query:' text editor containing the query: '(record.owner.SLA) OR (record.owner.YMA) AND (record.completeDATE:[\*to 13-02-11]'. At the bottom of the dialog are four buttons: 'Close', 'Save query', 'Copy to clipboard', and 'Search'. Green arrows point to specific parts of the dialog: one points to the 'Query syntax' tab, another points to the 'Search on properties of:' dropdown, and a third points to the 'Query:' text editor.

## Cross file plan search

This tool is used to search for information that may reside in one or more File Plans.

The tool may be accessed by selecting the 'Cross File Plan Search' entry on the home screen or from the File Plan menu.

On the left of the Cross file plan search screen, select the File Plans and Record Classes that you wish to include in the search scope. Once this search scope has been defined, you may use the Simple or Advanced search tools, described following, to perform the search.

Once the search is complete, the following actions can be taken: [Hold](#), [Release](#), [Export](#), [Visualize](#), [Download](#), as well as Exporting the search results into XML format.

For more information, see "[Actions](#)" on page 11.

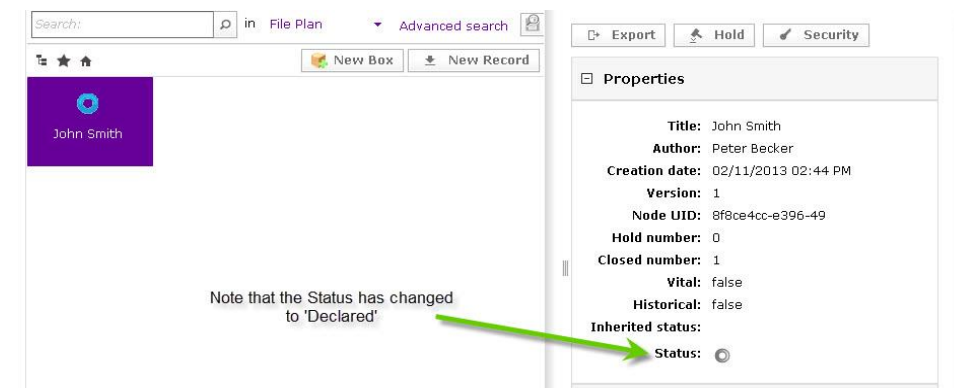
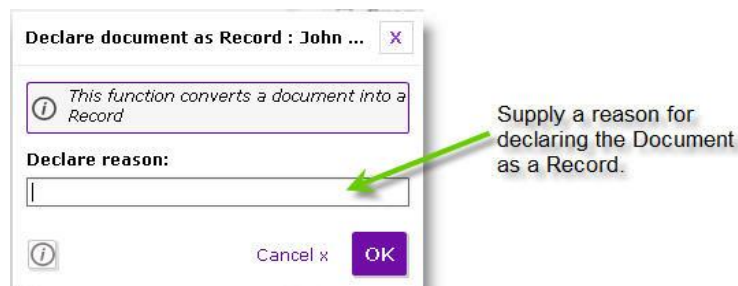
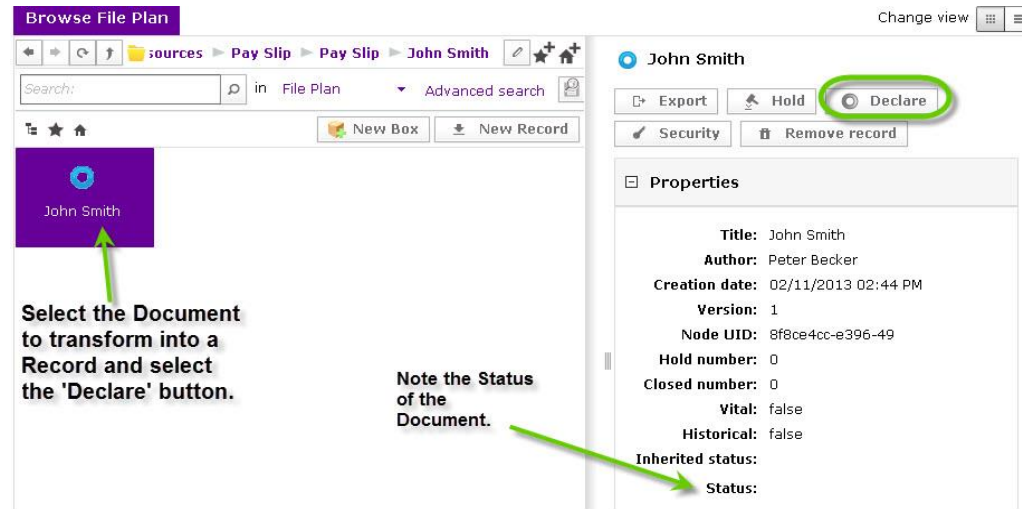
Note that this functionality and related actions are subject to authorizations.

## Manually declaring a Document as a Record

A Document is an undeclared Record.

When uploading a new document into a Record Class or Folder through the RSD GLASS client you may need to perform the following steps in order to transform the Document into a Record.

Note that this will be the case if there is no policy set for the Record Class whereby documents are automatically declared.



## Managing Physical Archives

In order to manage the filing, maintenance and lifecycle of paper Records, RSD GLASS provides an effective solution that manages the physical Boxes containing your paper archives.

Physical Records must be stored in such a way that they are accessible whilst at the same time safeguarding them against environmental damage. Paper documents that are typically stored in a filing cabinet in an office may be safely stored and managed in standardized boxes located in secure off-site Warehouses.

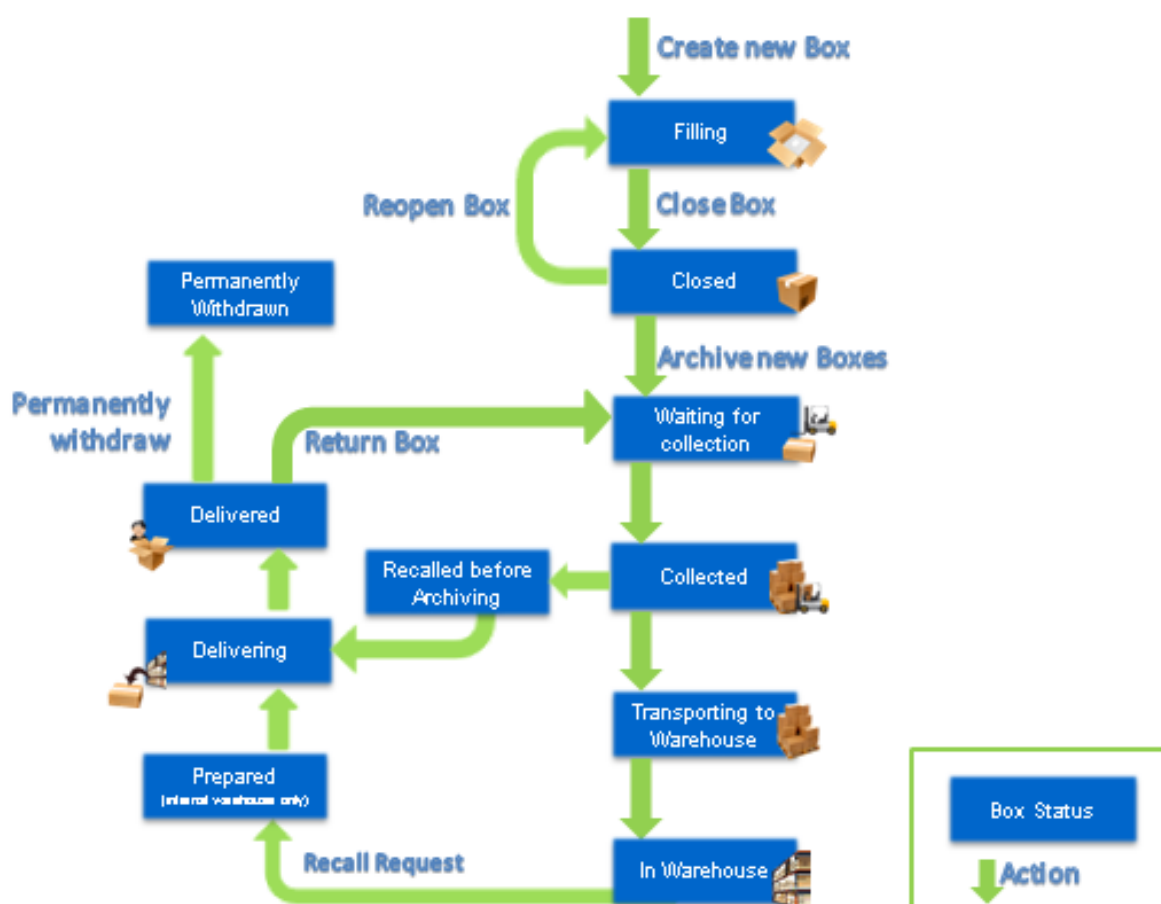
The Boxes that contain the Physical Components of a Record are not visible themselves in the File Plan: they do not reside in a specific place. They are accessible throughout the File Plan and may contain archives for one or more disparate Records. Their contents, therefore, are not necessarily of a related subject.

The RSD GLASS Governance Services for Physical Records module is the working tool of the logistics department that manages the transport of Boxes to and from off-site Warehouses or Repositories.

### Understanding the status of a Box


The following diagram shows the different Box status possible. It also indicates the actions that need to be performed in either the RSD GLASS or RSD GLASS Governance Manager interfaces in order to pass from one state to another. The intermediary actions are performed by the logistics department or off-site storage providers that manage the Warehouses. These actions are performed by the RSD GLASS Governance Services for Physical Records module and described in the RSD GLASS Governance Services for Physical Records User Guide.

It is also possible, through the use of external tools called the RSD GLASS web services, to import existing physical records straight to the Warehouse. This way of 'catching up' Boxes into the system is particularly useful when initially setting up your environment and need to incorporate large amounts of existing Boxes.



## Creating new Boxes

The process of creating a new Box is described in the section "[New Archive Box](#)" on page 11. Note, that a Box is not visible as such in the File Plan. The Box is now ready to receive Physical Components.

When a Box is created its status is automatically set to 'Filling' 

Access the item 'Working Boxes' from the dropdown menu to see the contents of a Box.


Management of newly created Boxes is described in the section "[Managing Boxes](#)" on page 24.

## Managing Physical Components in Boxes


### Adding Physical Components to Boxes

See "[Add Component](#)" on page 13 for information on adding a Physical Component to a Box. You need to ensure that you tick the box to stipulate that you are adding a 'physical' component to the Box.

### Removing a Physical Component from a Box

- Browse the File Plan and locate the Physical Component  that you wish to remove from the Box.
- To the right of the screen, select the 'Box Information' panel.
- Select the 'Remove from Box' button and confirm the removal.

### Change the Box where a Physical Component is stored

- Browse the File Plan and locate the Physical Component  that you wish to move to a different Box.
- To the right of the screen, select the 'Box Information' panel.
- Select the 'Change Box' button and choose the name of the new Box where you wish to store the Physical Component..

### Recalling a Physical Component from Archive

See "[New Recall Request](#)" on page 12 for information on how to recall a Physical Component contained in a Box that has been archived in an off-site Warehouse.

## Managing Boxes

From the RSD GLASS interface the following menus are available from the 'Physical Archives' view selection button towards the top of the screen.

- "[Working Boxes](#)" on page 24.
- "[Request Collection of Boxes](#)" on page 25.
- "[Track Collection of Boxes](#)" on page 25.
- "[Return delivered Boxes](#)" on page 26.
- "[Track Recalled Boxes](#)" on page 26.

### The 'Working Boxes' menu

This menu item allows you to display a list of all the Boxes that a user is currently working with. The list may be filtered according to the status of the Box, that is to say either 'Filling', 'Closed', 'Delivered', or 'Waiting for Collection'.

It is possible to perform various actions on a Box. This functionality is described in the following sections.

#### Understanding a Box's status



**Filling.** A new Box has been created and is in the process of being filled with physical components. See "[Closing a Box](#)" on page 24 when a Box is full and needs to be closed.



**Closed.** A full Box has been closed. See "[Re-opening a Box](#)" on page 24 if you wish to add more Physical Components to a Closed Box.



**Delivered.** A recall request has been performed on a 'physical component' in a Box and the Box has been returned from off-site storage.



**Waiting for collection.** A request has been sent to archive the Box that has been closed (see "[Request Collection of Boxes](#)" on page 25).

#### Displaying the contents of a Box

Select the 'Content List' tab to produce a list that displays the details of the physical components contained in the Box.

#### Printing the Content of a Box

Print Content

Produces the Content list in printable format.

#### Printing the label of a Box

Print Label

Each box has a preformatted standardized label that can be printed as and when required.

#### Closing a Box

Close Box

When closing a Box, you will need to supply an estimated end-of-life date, if not automatically calculated. Once a Box is closed, it is however possible to re-open it by selecting the appropriate button.

#### Re-opening a Box

Re-open Box

Once a Box has been closed, it is however possible to re-open it to add more physical components.



### Sharing a Box

You are able to determine whether a Box may be shared by people who play the same 'Role' as the creator of the Box or those who are part of a predefined 'Group'. This would allow you, for instance, to carry on managing a Box in the absence of one or more people.

### The 'Request Collection of Boxes' menu

You have finished filling your Box with Physical Components and you have 'Closed' the Box.

You need to ensure that the Box's status shows as 'Closed'



You wish to send the Box for archiving to an off-site storage Warehouse.

From the 'Request Collection of Boxes' menu:

- Select the Box (or Boxes) you want to send to archive.
- From the dropdown list to the right, select the location of the Company site where the Box should be collected, as well as any address details.
- Select the 'Archive Boxes' button and then confirm the action. A request to the logistics department will be generated to collect the Boxes from the Company site specified.

### The 'Track Collection of Boxes' menu

Allows you to follow the progress of Boxes for which a request to be stored has been made.


From the 'Track Collection of Boxes' menu:

- From the list displayed, select the Box that you wish to display. The details of the Box are displayed at the bottom of the screen.

Note that the 'To carry to storeroom' checkbox allows you to display only the Boxes that should be taken to the internal storeroom (in the case where it is not the logistics department that delivers Boxes).

## The 'Return delivered Boxes' menu

A Box has been recalled and you have consulted the Physical Components it contains. At this stage the

Box has a status of 'Delivered' . You now wish to return the Box to the off-site storage Warehouse.

From the 'Return Delivered Boxes' menu:

- From the list displayed, tick to select the Boxes that you wish to return to off-site archive storage.
- From the dropdown list to the right, select the location of the Company site where the Box should be collected, as well as any address details.
- Select the 'Return Boxes' button and then confirm the action.

Alternatively you may decide that you wish to keep the contents of the Box and permanently withdraw the original Box from storage. See the following section "[Permanently Withdrawing a Box from storage](#)" on page 26 for more information.

## Permanently Withdrawing a Box from storage

Authorized users may decide to permanently withdraw a recalled Box from storage. You have recalled a Component in a Box and you decide that you would like to keep the Box's content in your office. To do so the contents of the Box need to be transferred to a working Box. This Box may either be an existing Box or you may create a new working Box. The original Box can then be withdrawn permanently from storage (disposed of) and its original contents retained in your office in a different Box.

From the 'Return Delivered Boxes' menu:

- Tick to select the Box that you wish to permanently withdraw from storage from the list of Boxes displayed.
- Select the 'Permanent Withdrawal' button.
- Change the 'Logistics Contract' to manage the Box in a different warehouse or internal storeroom.
- Select the type of Box where the components of the original Box will be transferred. This may either be an existing 'working' Box that is part of a relevant contract or you may create a new Box for the purpose. When selecting the creation of a new Box you will get an information screen about the new Box. Here you can perform other actions such as printing a label or a list of the Box's contents or update Box information such as the 'Title'.

## The 'Track Recalled Boxes' menu

It is possible to track a request that you may have made to recall a Box containing a Physical Component that you wish to retrieve from archive. As a reminder, this 'Recall Box' request is performed on the Physical Component itself from its location in the File Plan.

To Track your requests, use the 'Track Recalled Boxes' menu.

Selecting a Box at the top of the screen displays its details and history below.

Note that the 'Available at internal storeroom' checkbox allows you to display the Boxes that you may go and collect from the internal storeroom (in the case where it is not the logistics department that delivers Boxes).

The following gives you an idea of the Status of the Recall Request.

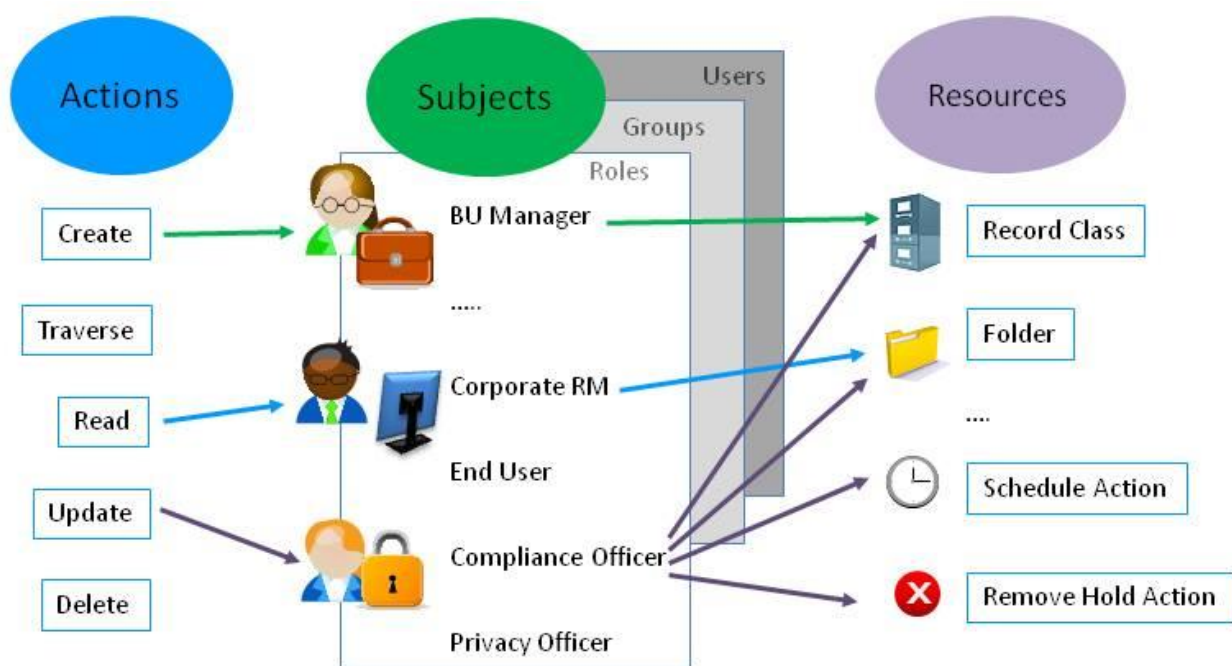
Recall Request Status	Tracking information
Open	A new Recall Box has been performed on a Physical Component.
Request transmitted to Warehouse	The Recall Request has been sent directly to the Warehouse where the Box is currently archived in the Warehouse.
Transporting from Warehouse	The Warehouse has confirmed receiving the Recall Request.
Received by Logistics	The Warehouse has returned the Box to the Logistics department.
Delivering	The Logistics department has confirmed receiving the Box from the Warehouse and will deliver it.
Delivered	The Box has been delivered to the requester Company site. Note that when the Recall Request was made a return date was specified.
Closed	When the user has finished consulting the contents of the Recalled Box, he needs to perform a 'Return delivered Boxes' request. This closes the Recall Request.
Prepared	The Box is waiting to be collected by the enterprise user from the internal Storeroom. To filter the list to display only those Boxes in this 'Prepared' status, tick the 'Available at internal storeroom' checkbox.

## 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 the RSD GLASS client by defining access control at the Record level. 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).



## Managing Access Control Lists (ACL)

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

- Select the Record or Component that you wish to determine the access rules.
- Click on the  button at the top of the File Plan tree 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. For example, a child node type (Record Class, Folder, etc), the specific node the ACL is on (This Node), or a capability of the ACL's node or its child nodes (Hold action, etc). See the following list of all resources.

# Resources and possible actions

Resource	create	read	update	delete	traverse
Metadata	x	x	x	x	
ACL either/ or	x	x	x	x	x
Hold Action	x			x (unhold)	
Open/Close Action	x (close)		x (open)		
Declare Action	x				
Trigger Action	x				
Schedule Action		x	x		
Box	x	x	x	x	
RM File Plan View		x			
Data Integrity			x		
Search settings		x	x		
GLASS Client settings	x	x	x	x	
Batch Job		x			
Record Date			x		
'Owner' Metadata			x		
Move action	x				
Declared Record				x	
Reclassification	x				
Box Withdrawal	x				
Business Item		x	x	x	

### LegalCase/LegalHold resources and possible actions

Resource	create	read	update	delete	traverse
Legal Hold	x	x	x	x	
ACL either/ or	x	x	x	x	x
Hold Action	x				
Close Action	x				
This node	x	x	x	x	

Note: If no rules match for a legal hold ACL, the legal case ACL will be used.

### ACL evaluation rules

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

1. Using the 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 client and Governance Manager interfaces, 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 owner, permit owner*

*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.