Information Lifecycle Governance: Records and Retention Management

Lab Exercises
Before you begin

Overview

The information in this section provides preparatory information for this Solution Showcase.

Abstract

Global companies have numerous regulatory requirements for maintaining business records in addition to long-term retention needs for certain business information. Identifying and sequestering records in a secure repository for the duration of the retention period can help reduce risk, address business needs for records, and provide a mechanism for secure destruction at the end of the retention period. This can help reduce unnecessary costs and risk. Today, IBM's Records Management solution assist organizations in meeting these needs and helps them manage very high volume records management in complex environments, such as financial services, and insurance and government agencies.

IBM® Records and Retention Management provides an enterprise platform for managing multiple risk and compliance initiatives and reducing compliance costs while achieving, sustaining, and proving compliance with corporate governance and industry-specific regulations. IBM's Compliance platform uses an integrated approach that keeps costs down while improving visibility and control of content. It ensures that electronic information is captured and managed in accordance with records policies with minimal impact to users. The solution also enables content collection, preservation and search to automate the legal discovery process.

Through presentations and a series of hands-on exercises, the IBM's Records Management Solution Showcase will demonstrate how IBM can help solve all of your compliance needs.

Introduction

In order to benefit from these exercises you should have listened to the associated presentations. No additional technical knowledge is expected or required.

Requirements

This hands-on lab requires a minimum of:

- ThinkPad W500 or newer
  - Dual-core processor
  - Minimum 6 GB of memory (8 recommended)
  - Space to download 27 GB of compressed images (optional)
  - Up to 55 GB of free disk space for uncompressed images.
  - VMware Workstation version 7.0.1 or newer
  - Keyboard / Display
**Icon descriptions**

The following symbols appear in this document at places where additional guidance is available.

<table>
<thead>
<tr>
<th>Icon</th>
<th>Purpose</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>!</td>
<td>Important!</td>
<td>This symbol calls attention to a particular step or command. For example, it might alert you to type a command carefully because it is case sensitive.</td>
</tr>
<tr>
<td>i</td>
<td>Information</td>
<td>This symbol indicates information that might not be necessary to complete a step, but is helpful or good to know.</td>
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<tr>
<td>🚧</td>
<td>Troubleshooting</td>
<td>This symbol indicates that you can fix a specific problem by completing the associated troubleshooting information.</td>
</tr>
</tbody>
</table>

**Images used for this Solution Showcase:**

- ILG_V40A_P8520_ICC40_Base
- ILG_Atlas_6032_Base
Creating a new File Plan / Master Schedule

Configuring the file plan is performed by a records administrator or a records manager that have permissions to create and configure the file plan. Configuration is performed using wizards - without programming. The entire file plan is administrator configurable. The category names and the records identification numbering scheme are determined by a records administrator using a simple, configuration interface. File Plans and disposition schedules may be imported from other sources or by creating it with our solution and syndicating a portion or the entire File Plan to IBM’s Records Management solution. We will first create a file plan.

IBM’s Records Management solution complement these existing features and add capabilities to make it easier for companies to extend their retention program globally to all types of information by making it possible to catalogue disparate country laws and retention requirements across diverse information and data sources. Now companies can manage retention policy, taxonomy and citations more cohesively; they can more conveniently define and manage master and business unit retention schedules with workflows to communicate with their network of records coordinators, authorize schedule change requests, and automate alerts across stakeholders. Furthermore, business unit and department schedules can be exported to an IBM records repository as file plans for enforcement.

Through presentations and hands-on exercises, this Solution Showcase will demonstrate how to establish an executable policy that enables disposal. The main tasks are:

- Establish a global classification scheme and how long to keep records
- Manage different jurisdiction exceptions
- Apply laws that dictate the duration and protection required for each class
- Complete business value information inventory
- Define data source
- Syndicate policy to another data source for Records governance.
Lab 1  Touring the Master Schedule

IBM® Records Management solution is a single, cohesive retention management system. It provides natively integrated workflows and analytics to aid information governance. The IBM solution helps to eliminate information management risks by offering centralized retention controls to support business and legal requirements.

1.1 Touring Master Schedule

A Master Schedule is an abstract representation of a retention policy. It enumerates the rules that govern a particular document, and contains references (or Citations) to the real-world laws or regulations that define these rules.

Lisa Dale is a Record Manager responsible for the 'Corporation' corporate file plan. She accesses the Corporation’s global retention policy utilizing a common browser, it is from this web based access that Lisa can review and manage the corporate file plan, corporate retention policies, make additions and modifications to those policies all from a single easy to use interface. Lisa’s personal perspective of the Global policy is dedicated solely to her role. Lisa’s role based access allows her to view only those items she is entitled to view and manage, such as: tasks, schedules, alerts. By providing role based access, this allows the flexibility to allow subordinate business unit/division unit record managers access to manage their particular policy, while not impeding on corporate policies as well as simplifying the overall file plan process.

__1. Go to the ILG_V40A_P8520_ICC40_Base Image and click on the ILG Start folder on the desktop. Click on the D. Records and Retention Management Bundle. Click on C. IBM Atlas Retention to P8

__2. Access the Global Retention Management website by double-clicking the 20. IBM Atlas Policy Suite (remote). Logon: Lisa Dale - ldale / holds. She is the records Manager and is responsible for the corporate file plan.

Anytime she connects to IBM’s Records Management solution, she has a dashboard dedicated to her role. She only sees the tasks she is responsible for or to complete.

__3. Hover over the Schedules tab and then click on Classification Library. You’ll see a hierarchy of Record Classes (depicted as folders) and Master Schedules (the icons).
4. Open (click on the plus sign) next to the CORPORATE folder. Other folders can be expanded by clicking on the + sign.

5. Different countries may have different retention laws for the same legal event. For example, an employment contract in the US may need to be retained for two years after an employee is dismissed, whereas it needs to be retained for three years in France. A schedule that pertains to a specific country is called a Country Master. A Country Master Schedule is based on and has the same name as the default version of the schedule, or Corporate Master. If a schedule doesn’t have a Country Master version for a particular country, then the Corporate Master applies for that country.

a. You can have 3 different views

i. View corporate master only the corporate master schedule

ii. View all corporate and local

iii. View country/region master for FR: France View for a specific country or region. Example shown only view of France schedule.
__b. To view the master file for a single country choose the country and check the Show country / region exceptions only.

__c. You will see specific categories for Human Resources and Legal. Click on the « + » for Human Resources record class.

__d. The hierarchy is organized as follow:
   __i. Record Classes : icon 
   __ii. Schedules (retention plan) : icon plan

__e. Click on the HUM180, Compensation Planning (FR only) (Pending) schedule. It means that it has been created by a record liaison and not yet approved by the corporate record manager. Because you are logged on as a Records Manager role (Lisa Dale) you have been granted the permissions to make schedule approvals. Anytime you modify a schedule, a new version is created in pending status until approval. Any modification is logged in case of audit.

__f. Back to classification library.
Choose the SAL180 Product Marketing Plans (Corporate Master) link

6. Click the history button located in the menu bar at the top right of the screen. Notice in the History pane that 2 actions have been approved with the reason of the modification.

7. To navigate to a previous window, you follow the links back. Click on the SAL180, Product Marketing Plan (Corp… link to return back to the previous menu item. Do not click on the back arrow from the browser.

8. In this detailed schedule, you will define ‘Information Types’ which are part of that schedule. This is informal information that can be used to identify the type of schedule. For example you can say campaigns if you are from the marketing department, Web Content if you are from the IT, the comments would be used to reference the same document. IT, RM, Business will contribute to this definition.
9. Scroll down the page to the **Official Retention Schedule** section. This section defines the length of time that a document needs to be retained. Note the retention period for the **Official** version of documents that are governed by this schedule: They need to be retained for one year after they are Superseded or discontinued.

<table>
<thead>
<tr>
<th>Document Type</th>
<th>Schedule Type</th>
<th>Event</th>
<th>Disposition</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short Term Retention</td>
<td>Transitory Record</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Long Term Retention</td>
<td>Transitory Record</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Regulatory Requirements</td>
<td>Event + Fixed Time</td>
<td>Superseded or discontinued</td>
<td>1 Year(s)</td>
<td></td>
</tr>
</tbody>
</table>

a. IBM® Global Retention Policy and Schedule Management allow you to set up to 3 retention types based on the particular document you are working with. The three types are:

i. Short Term Retention

ii. Long Term Retention

iii. Regulatory Requirements

b. To define a retention schedule 3 parameter values must be set using convenient choice values:

i. Retention Type: (Fixed, Event, other)

ii. Event Type would be set if the Retention Type is set to **Event**.

iii. Disposition Type, this describes the retention duration which are set in units of Years, Months, or Days.

10. We will review the retention policy of the SAL180, Product Marketing Plan.

a. Click on the **edit** button on the upper right window

b. Browse the Schedule type drop down list to view the retention types that are available.
_i. Schedule Type

- Transitory Record
- Select Item
- Event
- Event + Fixed Time
- Fixed Time
- Maximum
- Permanent

_transitory record

_ii. Event choices

- Account/Relationship is open/active
- Active
- ACTIVE (ACT): While record is being used
- Activity/transaction (the "work of date")
- Agreement/Contract/Deal is closed/terminated
- Agreement/Contract/Deal is open/active
- Application/Account not accepted/rejected
- Asset sold, destroyed, or disposed
- Cleared
- Contract Expiration
- Declaration of record
- Employee Participation in Plan/Program
- Employment is terminated
- End of Customer Relationship
- End of Product Life
- Expiration
- Finalized, Completed, Concluded or Expired
- Fiscal Year end
- Instrument matures (CD, Bond, Contract, Garnishment, etc.)

_iii. Disposition choices

- Select Item
- Select Item
- Day(s)
- Month(s)
- Week(s)
- Year(s)

_c. Click cancel then back to SAL180
11. Review the Citations. The retention periods (and other document details, such as disposal method, security level and so on) that are recorded in a Master Schedule are based on a law, regulation, or other real-world governance. In IBM’s Retention Policy and Schedule Management, a reference to such a law is called a Citation.

a. Click the Citations tab

b. Note that 3 laws are associated with this schedule. The columns with the iconic headings on the right indicate what aspect the Citation governs—retention duration, security level, disposal method, and so on. The first column, ☑, represents retention duration. If need be you can add an attachment to the citation with a complete description of the law for future reference.

c. Open up the first citation

d. Click on the requirements tab. This gives you additional information.
Click on the Citation Details tab and you can view the list of schedules where this citation is used by clicking the ➤ sign in the **where used** section. Citations are used for both corporate and local schedules. Updates to the schedule will prompt an alert that will be reflected in the Record Manager dashboard. All alerts are captured in the audit log.
Log out as Lisa Dale.
1.2 Summary

Congratulations! You have completed the lab.

You have seen how a global policy is set up, how the retention is defined and the associated citations. This benefits you by improved management of business information inventories and facilitate the extension of retention and disposal periods to all data (records, non-records, structured, and unstructured).
Lab 2  Defining the Local Schedule

A Local Schedule is an object that applies the retention policy of a Master Schedule to a specific Organization, and that identifies the Data Sources that store the documents that are governed by that retention policy.

This lab will step you through the process of modifying and approving an existing Local Schedule.
2.1 Accessing the Local Schedule

This Lab steps you through the process of modifying and approving an existing Local Schedule: In this section, George Benson, Regional Record Manager for the Corporation French operations will modify and apply an existing local schedule for the Corporations French Division.


2. Logon as George Benson user: gbenson password: holds.

3. Note that George Benson has less IBM’s Retention Policy and Schedule Management ‘functionality’ than Lisa Dale and less ‘categories’ in the file plan. George is responsible for the local schedule which is typically based on geography or organization.

4. You should see an alert in your dashboard related to the PUB (Public Relations) schedule that has been modified.

5. George Benson is going to create a new local schedule.

   a. Click on Schedules
__b. Click on Local Schedules

__6. Click new in upper right.

__7. To create a new retention schedule you can copy it from the master schedule. George Benson access only the section he is allowed to see (based on his role)

__8. In the resource chooser section, only marketing organization is presented. George is able to copy the schedule and to adapt it to his local geographic policies

__a. Choose the Marketing Organization

__b. Click on the Select in the upper right corner

__9. Then go to the ‘Classification Libraries’ tab and choose FNA140, Acquisitions and Divestments (Corporate Master)
_a. Choose the radio button

_b. Click on Select button top right

__10. Modify information to reflect this information

__11. Navigate down to the Retention Schedule and modify the Regulatory Requirements retention date to 10 years

__a. Click on Save and Close
12. Go to the citations tab. We will now add the citation for this local policy.

13. Click **Edit** button in the upper right corner, the button will now display Add and Delete.

14. Click on **Add**

15. You can narrow down your selection if you know the jurisdiction, title, citation number, etc.
16. Click on **Location** radio button.
   
a. Click on the Location selector button, and navigate down to World; Europe; FR: France
   
b. Choose the **CNIL – French Data Protection Authority** citation

17. Click the + sign next to the citation and Click on **Add**, to add the rule you want.

18. You can now define the requirements for this rule:
   
a. For example if you choose the lock icon, it is related to security/privacy. (this could be mandatory for regional rules.)

19. Click Save and Close

20. The next step is to associating a data sources related to this schedule.
   
a. Click **Information Types** tab
   
b. The Information Types show the Data Sources that store the various types of documents (Record Types) that are governed by this Local Schedule.
   
c. On the left side you are provided a list of Information types.
__d.  Check an Information Type and you will see details on the right
__e.  Click Edit – you can fill out some information in the overview tab

**Edit Information Type: Acquisition Agreements**

Schedule name: FNA140, Acquisitions and Divestments

<table>
<thead>
<tr>
<th>Tab</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overview</td>
<td>Acquisition Agreements</td>
</tr>
<tr>
<td>Repository Mapping</td>
<td>Agreements</td>
</tr>
<tr>
<td>Archive Policy</td>
<td></td>
</tr>
<tr>
<td>Security and Privacy</td>
<td></td>
</tr>
</tbody>
</table>

- **Name:** Acquisition Agreements
- **Description:** Agreements
- **Media type:** Electronic
- **Security:** Confidential
- **Privacy:** Protected
- **Confidentiality:** Highly confidential

__f.  Click on the Repository Mapping tab
__g.  Click the ‘down arrow’ near the Data Source Search criteria and pick the Name
h. Search

i. Click on the green '+' sign for the RecMgmt Sys – IBM

j. Click on Regulatory. Save and close

k. Go back to the details tab and 'Edit Schedule Details'. Scroll down to the Retention Schedule and fill out the Schedule type as fixed time and the disposition to 4 yrs.

l. Click on Save and Close – The Accounts Receivables have now been associated to the RecMgmt Data Source

21. Go to the details tab. Note that the Status has changed to Pending. Pending means that the schedule needs to be approved. Authorization is based on Roles, some roles will display a button routing for approval. The user George Benson is allowed to approve schedules.

a. Click Approve
__b. Click on Policy Syndication tab.

The local schedule you just added or modified will be automatically syndicate to IER (IBM Enterprise Record) for execution. George Benson does not have permissions to do this task. We will syndicate another local schedule in the next lab.
2.2 Summary

Congratulations! You have completed the lab.

As the Records Manager or Coordinator, you have successfully reviewed and approved a local schedule. This allows for enhanced and automatic propagation of master schedule updates to local schedules.
Lab 3  Policy distribution (syndication) ECM

IBM’s Records Management solution helps organizations enforce centralized policy management for file plans, retention schedules, legal preservation holds, and auditing. IBM Records Manager enables your organization to securely capture, declare, classify, store, and dispose of electronic and physical records.

The benefits of records management include:

- Meeting compliance and litigation requirements: Industry and government regulations often impose various requirements for records. Timely destruction of records in full compliance reduces the risk of exposure in case of litigation.
- Safeguarding records for business audit or business continuity reasons. Records are vulnerable to natural disaster, accidents, theft, or mishandling. An efficient records management solution helps to identify and protect against these threats, which is especially important for vital records that are essential to the continued operation of a company.
- Meeting fiscal requirements: Ensure that companies comply with their fiscal requirements for record retention.
- Ensuring operational efficiency: Ensure that corporate information is captured, retained, and disposed properly.
- Containing cost: Ensure that records are destroyed after their required retention period, which can reduce storage costs and space requirements.

IBM’s Records Management solution propagates retention and legal holds to the ECM Connector.

In this example IT staff will create the necessary data source definition. Recall that the data definition defines where IBM’s Retention Policy will push the schedule to IBM’s Records Management.

To perform this activity we will be logon as the IT resource

Logon into IBM’s Retention Policy and Schedule Management as Eric Vai

User name: evai

Password: holds
3.1 Creating Data Sources

1. Click on the Data sources Icon at the top of the page.

2. The Data Source Catalog page is opened. This page is used to define new data sources and to export policies.

   a. Each data source that is defined contains the following properties:

      □ Organization(s) it belongs to

      □ Who is the steward, which is to say the manager responsible for the administration of this data source

      □ Discovery delegate, legal person that can access this data source

   b. Click on the link to the ‘Desktop System’.

   c. Any time an eDiscovery process occurs on the Desktop data source, every person listed here will receive an email or a notice even if they are not listed as a custodian.

   d. From this view, we are able to identify holds (red L) and collections (yellow C). It means that the eDiscovery module is in use.
3. Now we will review the IBM Enterprise Records (IER52) data source. Go back to the Data Source Catalog and search for IER in the field name under the Data Source Details section.

   a. Choose IBM Enterprise Records (IER52)

   b. The Details page is shown. Note the Yes in the details menu in the Manage Policy Syndication line. This indicates that a connector exists between IBM’s Retention Policy and Schedule Management and another system, such as IER. This connection allows the syndication to occur.

   c. Multiple menus are proposed and one of them is policy syndication.

   d. Click on the Policy syndication link at the top of the page to pull up the Policy distribution menu. We are going to define the system to which we are going to syndicate to. The data source map to IBM Enterprise Records(IER), File Plan FPOS.

   e. Click on the Setup Tab
Click on the ‘Tasks’ tab to see the different types of actions, such as actions that have been completed or are pending.

The first initial load creates an xml file you have to import in IER to create the File Plan. Click on the drop down menu list for Show and change to Not Yet Complete. There may be tasks in queue or we may have to modify a policy and syndicate that to IER52. If there is a record in queue, click on the top line, you will see some details to the right.
4. We will change the retention on SAL180 and syndicate it to IER.

a. Go to the Local Schedules

b. Search for SAL180

c. Click on SAL180 Corporate (AA)

d. Click on ‘Edit Schedule Details’

e. Change the Regulatory Requirements from ‘x’ years to ‘y’ years. For example: 4 years to 2 years.

f. Put in the reason for change. This will be audited and remain in history.

g. Save and Close

h. This change will have to be approved. Eric Vai has the permissions to do so.
i. Click on Approve

j. Click on Policy Syndication

k. Click on Syndicate

Note: This may take several minutes for the 'Syndicate' button to appear.

Note: Another way Eric can see this is to go into his tasks.

5. We will now go into the system as Eric Vai and see what tasks he has.

a. Go to My Tasks

b. Click on Policy Syndication Tab

c. Click on the Records System – IER52 Link
NOTE: If you don’t see the syndicate button, then you may need to wait a few minutes. You also may have to sign out and resign in as evai / holds.

d. Highlight SAL180 and click on ‘Syndicate’ (you will notice the change from 2 years to 4 years)

The Status will change to ‘In Progress’
f. When done, the status will change to Completed.

g. Change the Show property to Completed and your New Local Schedule will show 'Completed'.

6. Checking the logs displays the schedule Syndication completed.
7. Now we are going to verify that the schedule has been transferred to IBM Enterprise Records. We will use the ILG_V40A_P8520_ICC40_Base

a. Click on the IER Records found on the desktop.

b. Logon as user id: p8admin; user id: filenet

c. You now see the IBM Enterprise Records Screen. You will see a ‘File Plan’, but will have to change the ‘FPOS’ file plan to FPOS / ‘CORPORATE’

d. Expand the Sales and Marketing Record Category down to SAL180 Local Schedules.

e. Highlight the SAL180 Product Marketing Plans and see the properties on the right.

f. You can now see that the Retention period has changed to X (4) Years.
3.2 Summary

Congratulations! You have completed the lab.

You have seen how IBM’s Policy distribution is set up to populate IBM’s Records Repository. These capabilities include the ability to quickly populate downstream systems and start managing your retention.
IBM Enterprise Records (IER) works in conjunction with FileNet P8 Content Manager to provide the foundation for an enterprise compliance platform. In this section, you will see how the total solution provides the perfect answer for enterprise records management.

Before we continue, it is a good idea to understand how the content in the Content Manager and the record objects work together. Look at the diagram below.

On the left side is a folder in content manager that is in a record-enabled object store. On the right side is a special object store that contains the record objects. This is called a File plan object store. As you can see in the diagram above, when a piece of content is declared a record, the content continues to live in the Content Manager. What happens is that a record object is created in a folder in the file plan. This object links to the electronic content and prevents the document from being altered or destroyed.

You may notice that not all documents have been declared as records. You may have content in the Content Manager application that are not records or are not finalized versions. Only those items that have been declared as records will have an associated record object.
The IBM Records Management solution streamlines records-based activities to help enforce compliance without user participation. Enterprises can use it to classify, apply retention policies and store electronic records according to fiscal, legal and regulatory requirements.

Key features include:

- **IBM ZeroClick records capture**: Automatically captures records from business users and line-of-business systems.
- **IBM ZeroClick records administration**: Automates key records administrative tasks so that records are retained and destroyed according to Records and Information Management (RIM) policies.
- **File plan administration**: Provides central and departmental file plan administration for both electronic and physical records from a single administrative module.
- **Seamless email and file system integration**: Integrates with IBM Content Collector to automatically capture and manage email and file system content as records.
- **Reporting**: Allows custom reports to be easily generated to meet additional user, management and audit requirements that may be required to demonstrate regulatory compliance.
- **Federated records management**: Leverages IBM Content Federation Services to manage and provide easier access to records stored in other business repositories.
- **Record holds**: Simplifies and accelerates the hold process by providing a single interface to apply all organizational holds.

IBM’s Record Management solution provides numerous technical and business benefits:

- It automates the entire records management life-cycle process.
- It invisibly enforces consistent compliance and records management policies throughout your enterprise.
- It provides consistent management of electronic and physical (paper records/folders, videotapes, core samples, microfiche, etc.) records.
- It ensures quick and easy access to documents for more accurate legal assessment and legal defense strategy planning, increased visibility into records program effectiveness and policy adherence and better defensibility of your compliance/records program.
- It is entirely web-based, requiring no desktop software, user installation or maintenance activities, training or support costs.
- It eliminates the manual steps needed to review vital records, initiate retention, manage disposition reviews and approvals, and file plan folder creation.
- It tracks and audits all user actions for proof of compliance purposes, and captures chain of custody and process information for records.
4.1 Navigating IBM’s Records Management solution

In order to become familiar with IBM’s Solution, you will now take the part of Steve, The Corporation’s Records Administrator. This is an administrative user who performs advanced records management functions. In this exercise, you will navigate IBM’s Records Management solution to become familiar with its organization and concepts.

1. Access the records management system by double-clicking the IER Records icon on the desktop.

2. Sign in to the IBM Enterprise Records application as Steve with filenet as the password.

Steve is now logged in to the IBM Enterprise Records application and viewing the Magellan Travel Company file plan.

Category tree
The category tree allows users to easily navigate to lower levels in the file plan by clicking on the next to the desired category. Using this hierarchical view, users always know where they are in the file plan.
3. To navigate the file plan, expand the **Legal** category in the category tree by clicking the arrow ‘►’ to the left of the Legal category.

   a. Expand the **Contracts** category in the category tree by clicking the ► to the left of the Contracts category.

   b. Select the **Contracts** category in the category tree.

The main IBM Enterprise Records pane now displays the contents of the **Contracts** category. Note: You can assign a numbering pattern that can be displayed in both the category tree (left) and the main IBM Enterprise Records application pane (right). This is the **Record Category Id** and represents a number that uniquely identifies a record category in a file plan. The **Record Category Id** is a property of the record category that is assigned when the record category is created.

4. Select the **Services** category in the category tree in the left pane.

IBM Enterprise Records displays the record entities contained within this category. Here, Steve observes various types of record containers.

The first type of container is an **electronic record folder** (ABC Company). This folder is used for storing electronic records. An electronic folder can also contain **markers**. A **marker** is an electronic entry for a physical record that cannot be stored in an electronic file. Examples of such records are large building plans, videotapes, an Optim Archive file, or a database.
Another type is a *hybrid record folder* (Johnson Inc). This folder refers to a collection of related electronic and physical records.

The final type is a *physical record folder* (Jones Corp Records). This folder stores records for physical items such as paper records. A physical folder is a virtual entry for a paper folder.

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Steve also notes some additional icons on this page.

**Hold (Hold)** – Indicates that an item has one or more record holds against it.

**Closed (Closed)** – Indicates that a record container (box, folder or category) has been closed and can no longer have new records or record containers added to it. A closed record container may be re-opened by an authorized records manager or administrator.

**Re-opened (Re-opened)** – A previously closed record container that has been re-opened by an authorized records manager or administrator.

**Ready for Disposition (Ready)** – When a cutoff action is performed on records, they become due for disposition and move to the disposition phase.

**Disposition in Progress (Disposition)** – Disposition has been approved (if required) and is in progress.

**Inactive (Inactive)** – When you mark a container as inactive, the system prevents new entities from being created, moved, copied, or filed in that container. Any child containers are also marked as inactive. In addition, users will not see inactive containers when declaring a record. Marking a container as inactive is useful when it is necessary to review and approve the container prior to making it available for general use.

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Steve can sort the category view by Entity Name, Reviewer, or Modified On Date.

**a.** Click the **Reviewer** column to sort the view by Id (shown above).

**b.** Click the **Name** column to return to the default sort order.
Sorting the category view by the various column names allows Steve to organize the content to best support his needs.
4.2 Physical records

In this lab, we will look at how physical records may be added to the system. We again take the role of Steve, a records manager, and log in to the IBM Enterprise Records application to create a new physical records folder. We will then add a physical record to that folder.

__1. If you closed the Enterprise Records browser, access the IBM Enterprise Records application by double-clicking the IER Records icon on the desktop.__

![IER Records icon](image)

__2. Sign in as Steve with filenet as the password.__

![Sign In dialog](image)

__3. Navigate to the Services record category by expanding the Legal and Contracts categories in the Category Tree (Click on the ► symbol next to the category icon) and selecting the Services record category.__

![Category Tree](image)

__4. Steve is now going to add a physical record folder in the Services record category.__

Click on the ‘BOX’ icon – Box 2011-GHI Corporation Contracts

![Click on BOX icon](image)
5. Steve will now add a New Record Folder. Click on **Add Record Folder**

**Box**

A box provides a mechanism to model physical entities that contain other physical entities. For example, you might create a “warehouse” that contains “shelves” that contain “boxes” that contain “physical folders”. A box may contain another box, a physical folder, or a record.
6. For the Class, enter *Physical Record Folder*

7. Enter **Palo Contracts** for the Record Folder Name field.

8. Enter **Palo Contracts-Jan** for the Folder Unique Identifier

   Note: the other information will default from the parent folder that that is inherited. Select **Add**

9. By expanding the Palo Contracts that just created, you can see that a new volume has been added.
To change any of the properties, you can highlight the Palo Contracts and click on Properties. Or, on the far right side of the screen, you can edit those properties that you would like.

To change the Home location, click on the Select button and you can choose a new location. Click Select.
__12. Steve will choose the default, inherited disposition instructions called “7 Years after Contract Closed.”

__a. Enter **Records Manager** as the Disposition Authority.

![Disposition schedule](image)

*Disposition schedule*

An administrator can associate a disposition schedule with a record category, a record folder, or a record type. A record folder can have its own disposition schedule or it can inherit the disposition schedule associated with a parent record category. By default, a record inherits the disposition schedule of the category and folder under which it is declared.

__13. For the Set Vital Record step, Steve will accept the default values.

![Vital record](image)

__14. Accept the default security and choose **Save**.

__15. You should now see the new physical records folder that was just created. Steve will now add a physical record entry within this physical container.

Select the **Palo Contracts** folder.
16. To add a new physical record, select **Declare Physical Record**.

17. For Record Class, choose **Physical Record Contract**. Fill in the description (optional) and select the **Home Location**. Click on **Declare**.
18. Observe that the physical record has now been declared.

19. Sign out of IBM Enterprise Records by selecting the Sign Out link in the banner area (upper-right corner) of the application. (Leave the browser window open.)
4.3 Adding a new record category to the file plan

In this exercise, Steve wants to modify the file plan by adding a new record category. Recall that record categories are created to catalog records based on functional categories. Although there are several "contract" categories already in the system, Steve needs to define a new category for Software Contracts, with its own unique properties.

__1. If you closed the Enterprise Records browser, open it by double-clicking the IER Records icon on the desktop.

__2. Sign in as Steve with filenet as the password.

__3. Navigate to the Contracts record category and select Add Record Category.
   __a. In the category tree, select the ► next to the Legal category to expand it.
   __b. Select the Contracts category from the category tree on the left side of the page.
   __c. Select Add Record Category from the top of the Contracts category page.
The *Add Record Category* page is displayed. Here, *Record Category Name, Record Category Identifier, and Reviewer* are required. The *Record Category Identifier* is automatically entered based on the numbering pattern the Corporation is using. This was established when the file plan was initially configured. The default value for *Reviewer* is the current user (Steve). When the record category becomes due for disposition, the reviewer has to review and approve the disposition.

During the configuration of IBM’s Records Management solution, additional fields may be added to the record category to support the organization’s requirements.

Note: Your Record Category Identifier may be different than what is shown in the example. Any identifier will work as long as it’s unique within its parent.

4. Fill in the record category properties as follows:

Enter **Software Contracts** for the Record Category Name. (Note that *The Company Contracts* was already entered as the description. This was inherited from the parent category.)

5. Scroll down to the ‘Disposition’ section which is inherited from the Contracts category above it. *Inheritance* simplifies the setup of the file plan for your records management solution.

Since this is a software contract, Steve will change the disposition schedule for the new category and all of its contents.

To change the Disposition Instructions, un-check the Inherited check box and click the **Browse Schedule** link to see the disposition schedules available.
The Select Disposition Schedule page displays.

### 6. Highlight the ‘Contracts with a Value Greater Than $1 M’

<table>
<thead>
<tr>
<th>Schedule Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>LGL 550 - Retention Policy for Credit Card</td>
<td>Use this schedule for Affinity Contr...</td>
</tr>
<tr>
<td>Affinity Contracts</td>
<td></td>
</tr>
<tr>
<td>LGL-650 - Date Created + 3 years, CA</td>
<td>Use this for legal contracts where I...</td>
</tr>
<tr>
<td>records + 1 year</td>
<td></td>
</tr>
<tr>
<td>ACC 270 - Invoice Disposition Schedule</td>
<td>Cutoff is Date Volume closed and t...</td>
</tr>
<tr>
<td>Administrative Grievance, Disciplinary,</td>
<td>Administrative Grievance Files (5 C...</td>
</tr>
<tr>
<td>and Adverse Action Files</td>
<td></td>
</tr>
<tr>
<td>Benefits Reports</td>
<td>Includes various benefits reports It...</td>
</tr>
<tr>
<td>Claims</td>
<td>All documents pertaining to claims...</td>
</tr>
<tr>
<td>Complaints and Whistle-Blowers</td>
<td>Complaints regarding accounting, ...</td>
</tr>
<tr>
<td>Consumer Complaints</td>
<td>Consumer complaints including lo...</td>
</tr>
<tr>
<td>Consumer Complaints</td>
<td></td>
</tr>
<tr>
<td>Contracts Less than 1 Million Dollars</td>
<td>All documents such as RFPs, RFIs...</td>
</tr>
<tr>
<td>Contracts with a Value Greater Than $1 M</td>
<td>All documents such as RFPs, RFIs...</td>
</tr>
<tr>
<td>Drawings of Electrical, Plumbing, Heating,</td>
<td>Architect’s drawings and plans, rel...</td>
</tr>
<tr>
<td>Heating, or Air Conditioning S</td>
<td></td>
</tr>
<tr>
<td>Ethics Program</td>
<td>Records relating to the administral...</td>
</tr>
</tbody>
</table>

### 7. Click the Select link below the disposition schedule **Contracts with a Value Greater than $1M** to choose it. You may need to scroll down to locate this disposition schedule.  &lt;Select&gt;

Notice that the approver updates to **General Counsel** after we select this schedule. This was inherited from the disposition schedule. Scroll down to move to the **Vital Record** step.
__8. Steve will indicate that this is a vital record review. This is a disposition review workflow that comes out of the box.

Vital records

Vital records are essential agency records needed to meet operational responsibilities during an emergency or disaster. To ensure periodic reviews of these records, you can mark a record category, record folder, or volume as *vital*. All records created under these containers will automatically be classified as *vital*.

<table>
<thead>
<tr>
<th><strong>Vital Record</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Vital Record Indicator:</td>
</tr>
<tr>
<td>Vital Record Description:</td>
</tr>
<tr>
<td><strong>Vital Record Review Action:</strong></td>
</tr>
<tr>
<td><strong>Vital Record Review and Update Cycle:</strong></td>
</tr>
</tbody>
</table>

__a. Select **True** for the Vital Record Indicator.
__b. Enter **Annual Software License Review** for the Vital Record Description.
__d. Select **Annual** for the Vital Record Review and Update Cycle. This will automatically generate a yearly review cycle.
__e. Scroll down to check the Security settings.

__9. Steve is satisfied with the existing permissions and will accept the defaults. Click **Add**.
The security page of a category displays a list of users and groups who can access this category, and their respective permission levels. Steve has the right to modify permissions (He has Owner Control), so he can add and delete users and modify the permission levels of existing users.

There are two types of permissions for a category. Permissions for this entity and all levels below are indicated by the icon. Permissions that are inherited from the entity above are indicated by the icon.

Steve is returned to the Contracts category view and the new record category, Software Contracts, is displayed.

__10.  Steve just created a new record category. He wants to review its properties to ensure everything is correct.

__11.  Highlight the Software Contracts category. (You may need to scroll down to see this.)

__12.  On the right panel, you will see the Properties. If Steve clicks any of the items in the Category Information section (located on the left side of the page), those properties are displayed.
13. Now click on the Properties button on the top of the screen. The ‘Properties’ Tab is displayed.

14. Click the **History** tab.

15. This page contains information that is logged in IBM’s Records Management solution for reporting and audit purposes. Steve wants to search for all events related to this record category.

   a. Click **Search**. This will automatically select all other event check boxes.

      1. The events will display only if auditing has been enabled for the object store and configured for the class.

      2. Steve could enter additional criteria such as a date range, but today he will look for all events.

16. The results will show all of the events related to the Software Contracts category up to the current date. Because we just created this category, you should only see one event (creation event). When finished, click **Exit**.

17. Go to the next lab.
4.4 Creating a disposition schedule

A disposition schedule contains the retention period, the cut off trigger event (when the clock starts ticking), record phases and disposal instructions. An administrator can associate a disposition schedule with a record category, a record folder or a record type. A record folder can have its own disposition schedule or it can inherit the disposition schedule associated with a parent record category.

A disposition schedule is not applied to an individual record. The schedule is applied to a category or folder or box and the record objects inherit the disposition from the container. The folder hierarchal structure was designed to support the inheritance of a disposition schedule through the file plan.

Another way of applying a disposition schedule is by record type. That is, all records associated with a record type will have the same disposition schedule regardless of the folder in which the record object resides.

In this section, you will be creating disposition schedules, applying the schedules to record containers and finally, following the records through the disposal process.

Understanding a Disposition Schedule:

In a disposition schedule, an administrator will specify the retention rules for records and instructions for disposing of records at the end of the retention period. Disposition instructions include:

- review
- transfer to an archive for permanent preservation
- export to another location
- destroy
- Auto-destroy

An administrator will also define different phases through which a record should pass in a disposition schedule. Each phase has a defined retention period. At the end of each phase, the specified action is performed on the records and then the records pass to the next phase.

Note: The total retention is the interval between cutoff and the final phase of disposition.

Before you create a disposition schedule, let's discuss retention. Retention ensures that a record is securely retained for a specified period of time and is accessible only by authorized users. As part of the Disposition Schedule, we also define the retention period. Let’s now look at how retention affects the records within the file plan.

So far, Steve has created a physical record folder, added a physical record to the folder, and created a record category. He now needs to create a new disposition schedule. Specifically, Steve needs to leverage how IBM Enterprise Records accommodates a disposition schedule that can vary based on geographic location.
1. If you closed the Enterprise Records browser, access the Enterprise Records application by double-clicking the IER Records icon on the desktop.

2. Sign in as Steve with filenet as the password.

3. Open the Configuration View on the left hand side of the page.

4. Select the Advanced Disposition Schedules configuration pull down.
Here, Steve sees a list of disposition schedules already defined in the system. He could view the properties for any of these by highlighting the schedule and selecting properties on the top of the page.

Here is also where Steve can create a new disposition schedule.

Select the **Add Disposition Schedule** link at the top of the page.
<table>
<thead>
<tr>
<th>Schedule Name</th>
<th>Description</th>
<th>Modified By</th>
<th>Modified On</th>
</tr>
</thead>
<tbody>
<tr>
<td>LGL 550 - Retention Policy for Credit Card Affinity Contracts</td>
<td>Use this schedule for Affinity Contracts</td>
<td>p8admin</td>
<td>2/13/2015, 2:35 PM</td>
</tr>
<tr>
<td>LGL-650 - Date Created – 3 years, CA records + 1 year</td>
<td>Use this for legal contracts where 3 years, CA records + 1 year</td>
<td>p8admin</td>
<td>2/18/2015, 11:25 AM</td>
</tr>
<tr>
<td>ACC 270 - Invoice Disposition Schedule</td>
<td>Cutoff is Date Volume closed and 1...</td>
<td>Gennifer Graff</td>
<td>4/29/2015, 11:49 PM</td>
</tr>
</tbody>
</table>
6. Steve now has to enter the properties for the new disposition schedule, starting with the Properties step.

   a. Enter **General Contracting Disposition** for the Schedule Name field.

   b. Enter **Contracts for disposition** for the Description field.

   c. Enter **Records Manager** for the Disposition Authority field.

   d. Scroll down to the next section.

7. In this step, Steve sets the conditions that should trigger the cutoff of entities. He wants to base his schedule on an internal event ‘Date Created.’

   a. Under the Trigger and Cutoff section, select **Date Created** from the Internal Event dropdown list.

   b. Scroll down to Phases.
Setting triggers

There are several types of triggers that can initiate cutoff. Steve either selects a calendar date using the calendar control in this step or selects one of the other triggers from its drop-down menu. The other triggers must have been previously added to the system. When the event occurs or when the specified date arrives, it triggers the cutoff of entities.

If desired, Steve could set a Disposition Event offset to specify a time interval between start of cutoff and launch of the associated cutoff action.

Disposition Cutoff Actions also must have been previously added to the system. Each cutoff action has a workflow associated with it. Cutoff can be automatic or require approval. If Steve wants to require approval, he must specify a cutoff action. If he wants it to be automatic, he should not specify a cutoff action. The disposition sweep will automatically launch this workflow (if a cutoff action is specified) after the cutoff (plus any offset). The Disposition Cutoff Action list contains only those actions that belong to the Cutoff action type.

The Cutoff Base drop-down list provides a set of IBM Enterprise Records date properties Steve can use to calculate cutoff dates based on individual IBM Enterprise Records entity properties. If he leaves this set to [Event Date], Disposition Sweep uses the trigger event date for the cutoff calculation. Disposition Sweep adds the disposition event offset to the cutoff base date to compute the cutoff date.

Disposition Sweep

Disposition Sweep is an automated process responsible for finding records that are ready to start moving through the various phases of their disposition schedules. After updating the calculated data on the entities, it then launches disposition and vital record reviews when they are due.

At the Set Phases step, Steve will add a new phase to the disposition schedule. In this step, he can associate different phases with a disposition schedule to define a step-wise execution of the schedule. Associating phases with a disposition schedule allows him to perform different operations on an entity at different intervals. Each phase specifies a disposition action and retention period for an entity. For example, he may want to review an entity before it is destroyed. To do so, he should add two phases in the disposition schedule. The first phase specifies that the entity should be reviewed, while the second phase specifies that the entity should be destroyed. Multiple phases in a disposition schedule are executed in the sequence in which they are added to the schedule.
9. Here he will enter the properties for this phase.

a. Enter **Review** for the **Phase Name**.

b. Choose **Disposition Review** for the **Phase Action**. **Select**

c. Enter **6 Years, 6 Months, 0 Days** for the **Default Retention**.

---

**Phase action**

The phase action is an action performed on entities at the end of the phase. Attached to each action is a predefined workflow that is launched for that action. Phase Actions must have been previously created in the system.

---

**Is screening required?**

For the **Is Screening Required** field, select True if you want to review entities before launching the workflow associated with each phase. If screening is not required, select False.

---

10. Alternate retention is unique to IBM’s Records Management solution. Steve wants to set an alternate retention for General Contract records from the state of California. That state requires retention of ten years. This allows him to use one disposition schedule with greater flexibility.

a. Select **State (RF, RI)** for the **Property Name**.

b. Choose **EQUAL** for the **Operator**.

c. Choose **California** for the **Property Value**.
You may need to choose the operator “IS EQUAL” again after selecting the California property value.

d. Select Cut Off Date for the Retention Base.

e. Enter 10 Years, 0 Months, 0 Days for Retention Period Days.

f. Click Accept.

Alternate Retention

Alternate or Intelligent Retention provides alternative or optional retention periods based on any number of variables or rules that may be imposed upon an organization by multiple regulatory authorities.

For example, most organizations conduct business across many jurisdictions (i.e., states, provinces, or countries) and must comply with the different retention rules imposed upon them by multiple government and regulatory authorities. They need to avoid applying the wrong retention period for records in a specific jurisdiction.

For cases where none of the alternate retention conditions are true, the default retention period is used. For cases where more than one alternate retention condition holds true, the alternate retention with the longest retention period is applied.

By accounting for the different retention rules across multiple jurisdictions, IBM Enterprise Records can intelligently accommodate for the many variables and conditions that mandate retention while simultaneously reducing complexity and chance of error, thus lowering records administration costs and effort.
11. After Steve clicked the Accept button in the previous step, he should be brought back to the *Phase Properties* page. You'll notice that Steve has one *Alternate Retention* defined for this phase. He could define more than one if the business needs required more.

12. Steve has now added one phase to the disposition schedule. He could have more than one phase attached to this disposition schedule if the business needs required additional phases.

13. Click **OK** on the confirmation page to return to the *Disposition Schedules* page.

14. Scroll down on the *Disposition Schedules* page. You can also click on the ‘Modified On’ column and see the new *General Contracting Disposition* schedule that Steve just added.

15. Go to the next lab.
4.5 Applying and executing a disposition schedule

There may be times that, as a Records Administrator, you would want to activate a disposition schedule manually. Although this is not the most common mechanism for executing a disposition schedule, it can be done if the need arises.

Steve, the Corporation’s Records Administrator, has a schedule already set up that activates disposition immediately upon the closure of a category. Recall that when you initiate disposition on an entity in IBM’s Records Management solution, it automatically cascades to the entities contained within it. In this case, Steve will initiate disposition on a record category, cascading disposition to all entities contained within that category.

1. If you closed the Enterprise Records window, access the application by double-clicking the IER Records icon on the desktop.

2. Sign in as Steve with filenet as the password.

3. Select the Maintenance category in the File Plan. It is located in the Magellan Travel Company / Legal / Contracts area.
4. You’ll notice that the ‘Maintenance’ category has a retention schedule already assigned.

![Retention Schedule](image.png)

5. Notice that this category includes the disposition instruction “**Basic disposition Schedule**”

This schedule is set up to automatically process disposition 1 year after the ‘date created’ and the *IBM Enterprise Records Disposition Sweep* is run.

Click **Cancel** to exit the category information page and return to the Maintenance category view.

![Disposition Sweep](image.png)

**Disposition Sweep**

Disposition Sweep is an automated process responsible for finding records that are ready to start moving through the various phases of their disposition schedules. After updating the calculated data on the entities, it then launches disposition and vital record reviews when they are due.
6. Now, Steve is going to close the Maintenance category. Right-click on the category Maintenance again, but this time choose Close.

7. Next, Steve is asked to confirm why he is closing the folder. Enter New Maintenance Contracts in the Reason for Close box and click the Close button.

8. Click OK to confirm that the close action succeeded.

9. The icon next to the category name will update to show that the category has closed ☑️.
__10. Steve is ready to run the disposition sweep to prepare the Maintenance record category for disposition.
   
   __a. Open the ‘Task View’
   
   __b. Click on Schedule Basic Disposition Sweep.

__11. Make sure that the Containers for sweep is set to Maintenance. Click Next.

13. The screen will show that the record category is ready for disposition as indicated by the *ready for disposition* icon 🔄.
14. You can also see that the basic schedule workflow launched successfully.

15. If you go back and check the 'Maintenance' category, you can see that the contents have been placed in progress and the one that is on hold is NOT in progress to be disposed.

16. We will now approve the workflow that has been started. Open the 'Work View' and click on the Public Inbox / Basic Schedule Workflow / Basic Workflow Reviewer. Open the Workflow that was just started. (you can see today's date).
17. Complete the workflow. The workflow will disappear out of your view.

Initiate disposition
Manually initiating the disposition process is required to comply with the DoD (Department of Defense) 5015 standard. This process can be automated, as we will see in the next exercise.

Transcript step
The transcript step in the above process is part of the out of the box “approve, route, destroy” workflow. It generates a transcript file (xml file) containing the status of the destroy action along with the reason for failure, if one occurs. In this scenario, the transcript is not placed under records management control. However, the workflow could be modified to do this, if required by the organization.

18. Your Basic Schedule under the Tasks View will now show complete.
19. After Steve refreshes the Maintenance record category view, the Maintenance record folder, no longer have the documents in it except the document on hold.

20. There may be times when it is preferred not to have a records administrator approve each destroy request; for example, when a large number of records need to be destroyed in a timely manner. We’ll look at an AutoDestroy Disposition Schedule.


22. Run on a schedule. Click ‘Schedule Sweep’.
23. This Sweep will run on a scheduled basis and automatically destroy your content. We will not actually run this!
4.6 Reporting

IBM’s Records Management solution provides a number of report templates that provide a statistical view of different activities performed. These are some of the most common reports requested by Records Administrators and Managers.

Steve, the Corporation’s Records Administrator, wants to review what reports are available to him.

1. If you closed the Enterprise Records window, access the application by double-clicking the IER Records icon on the desktop.

2. Sign in as Steve with filenet as the password.

3. Click the Reports option on the navigation bar at the left of the page to view the templates provided.
4. As The Corporation’s Records Administrator, these reports can provide a great deal of information to Steve. For instance, he could get a report of all folders and records on hold for a given time period by selecting the Entities placed on Hold template and choosing the Hold Name.

5. Choose Sign Out from the upper-right corner of the browser window.
4.7  Lab summary

You have just completed an overview of the major records management capabilities of IBM’s Record solution. These exercises exposed you to the file plan and how to navigate the application. You also experienced the ease of creating record categories and folders as well adding physical records to the system. You witnessed two disposition processes available; workflow-based disposition and auto-destroy disposition. Finally, you looked at some of the reports available in the system.

Through this process you have observed the following features and benefits:

- Web-based interface.
- Simple, intuitive navigation of the file plan using the category tree.
- Ability to easily add a new physical record folder (box) and record category to records management system.
- Ability to add a physical record entry to the system.
- How inheritance simplifies the creation of the file plan.
- Properly configured disposition schedules reduce risk through enforced compliance by consistently managing records according to established records and information management (RIM) policies.
- By defining alternate retention rules across multiple jurisdictions, you can intelligently accommodate for the many variables and conditions that mandate retention while simultaneously reducing complexity and chance of error, thus lowering records administration costs and effort.
- Ability to leverage automated workflow to approve the destruction of records.
- Ability to automatically destroy records without workflow approval.
- IBM’s Records Management solution enforces records management policies at the technology layer, eliminating user-related error, time and cost factors, and ensuring best-practice records management.

Stop here and wait for the next presentation.
Lab 5  Managing record holds

There might be situations when you need to suspend the normal disposition schedule for one or more entities to ensure their availability beyond the approved retention period. Examples of such situations include a court case or an investigation during which you cannot dispose of records, regardless of their disposition schedule. In such situations, you can place a disposition hold on the records or on a container that holds the records. Later, you can remove the disposition hold when you want to resume the disposition actions.

You can place a disposition hold on a record category, record folder, volume, or record, and can place the hold before the cutoff date or during any of the phases after the cutoff date. When the hold is placed on a container, it applies to all of the entities in the container. While the holds remain in effect, the system will not launch the disposition action for that entity. In other words, the associated disposition schedule becomes temporarily ineffective. Also, no one can manually delete any entities that are on hold.

You can place more than one disposition hold on an entity. Holds can be placed manually or dynamically, according to conditions you specify. For dynamic holds, a sweep process finds entities that meet the criteria and places the holds automatically. Entities that satisfy the criteria of the hold can be added at any time and the hold will be placed on those entities during the next scheduled hold sweep.

When you place an entity on hold, you will need to specify which disposition hold to use. Therefore, you must first configure disposition holds by adding them to the system. Holds can be active or inactive. Only active holds can be placed on entities.
5.1 Searching and applying holds in IBM’s Records Management solution

Before applying a hold on records, we must first locate the records that meet the hold order criteria. In this exercise, our Records Administrator, Steve, will search for records using the Search page in. He will then add multiple holds to the search results.

__1. If you closed the Enterprise Records window, access the application by double-clicking the IER Records icon on the desktop.

__2. Sign in as Steve with filenet as the password.

__3. Next, Steve will perform a search for specific records pertaining to Lexmark. The Search tab is used to search for record categories, folders, or records.

Click the Search tab in the IBM Enterprise Records window.
4. Click the **New Search** Link.

5. The Records search page displays. To perform a simple records search, Steve will search now for documents that have Larson in the title of the record.

   By selecting a **Record Class**, Steve could narrow his search to one particular class – or record type such as a contract or manifest. He would like a broader result set, so he will choose the “Include subclasses” option on this page.

   **a.** Search in: Use the ▼ arrow and choose `\FPOS\The Magellan Travel Company`

   **b.** Search for: **Record**

   **c.** Choose the default Record Class

   **d.** If it is not already selected (It should be the default.), click the **Document Title** list box and choose the **like** option.

   **e.** Click in the box directly to the right of the 'like' condition and type **Lexmark**.

   **f.** Click the **Search** button to initiate the search.
6. After the search is run, the documents matching the conditions display in the window. Note the number of documents (which may be different than the example below).

7. Steve is going to add to the search criteria from the previous step.

   a. Click in the **Find items with the following terms** text box and type **LexMark**

   b. Click on the **Text options**: and choose ‘Any of the terms’

   c. Click the **Search** button to activate the search.

Searching the metadata would allow you to search just the metadata (properties) for a document and can be a speedy and effective way to search for specific properties. The “Content Contains” search adds a search for text content in the object. This is again, completely configurable for your company’s needs.
8. Displayed are the records that match the search conditions Steve entered. (Your results may be different than the example below.)

Highlight the entries of the results list that you want to place on Hold.

9. Highlight the document and choose **Place on Hold** from the drop-down menu that displays.

Multi-Select can be used in IBM Enterprise Records and IBM Content Manager (P8) on results sets returned. In this example, you are applying a hold in IBM Enterprise Records. Multi-Select is available in other areas of IBM FileNet for other functions.
__10. The holds that are currently configured for IBM Enterprise Records display.


__b. Two holds are selected and ready to be applied to the records in Steve’s search results.

__c. Click the Place Hold button.

__11. Steve is returned to his result set, and the record has been updated as shown with an icon indicating that it is on hold.

__12. You can click on ‘Properties’ to see that it has applied both holds to this item. Go to the Holds tab.
13. Continue to the next exercise without logging out.
5.2 Removing holds

Our Records Administrator, Steve, has received word that the audit for ‘State Tax Audit for 2004’ has been completed and the hold that was in place can be released. To do this, he can simply open the hold, and remove it from the records.

__1. First, he needs to go to the Configuration View tab. Click the Configuration tab.

![](image)

__2. In a typical business situation, a Records Administrator will have occasion to create holds, and remove them. By simply opening the hold, Steve can release the records that are currently suspended by the hold with one simple process.

Steve will review the State Tax Audit for 2004 that he applied earlier and view the documents on hold.

Click the Holds option on the Confuration page.
3. All holds defined in the system are displayed. Highlight the ‘State Tax Audit for 2004’ hold and click on ‘Review Entities on Hold’.

4. The Hold Information page provides information on the properties for the hold, conditions, security and history. Steve will do a quick view of entities on hold and release them. Click the **Review Entities on Hold** link in the Hold Information panel.

5. Since we are interested in records that are on hold, select the default search criteria (all records) and choose **Search**.
__6. The list of records currently on hold display. Steve will select all of these records with one easy mouse click. You can *select or multi-select* the items and then release all records from the hold order.

__a. Highlight the record on hold for this hold order.

__b. The Remove Hold button becomes active. Click **Remove Hold**.

__7. The hold is released and a confirmation dialog is presented. Click the **Remove Hold** button to confirm the hold removal.

__8. You are returned to the Entities on Hold page. Choose Close to return to the Holds page. Remain at this page and continue to the next exercise.
5.3 Creating a dynamic hold

In this exercise, Steve needs to create a hold based on conditions for an audit that The Corporation will be having. IBM’s Records Management solution provides an easy way to do this called Dynamic Holds. A Dynamic Hold is another example of automated compliance.

So far, Steve has searched for information and then applied a hold manually. Now he will create a hold with specific conditions, run a Hold Sweep, and view the result.

1. The Holds page from the last step of the previous exercise should still be displayed. If it is not, log in to IER Records as Steve, with filenet for the password, click the Configuration tab, you should be at the Holds page.

2. Click the Add Hold link at the top of the Holds page.
3. The Add Holds Event page displays.

   a. Under the Hold Name, enter **Duty Tax Investigation**.
   b. Enter **Contract Review** for Hold Reason.
   c. For Hold Type, choose **Audit**.
   d. Choose **True** from the Active drop list to make this hold active the next time you run Sweep.

4. Continue down to the conditions, Steve will identify the conditions for this hold. This will allow him to automatically identify not only those records that already exist in the repository, but also future records as they are added under records management control. This is a strong differentiator for IBM’s Records Management solution.

   Steve will enter a condition to locate documents that contain a reference to Palo Engineering in either the document title OR the content of the record – this could be an email or a document such as a Microsoft Word or an Excel document.
__a. Make sure the Document Title operator is set to LIKE.
__b. Click in the Property Value box on the Document Title line and type Palo.
__c. Change the Based on content where value to OR.
__d. Click in the Property Value box next to Content Contains and type Palo
__e. Click the list arrow that says ‘Metadata’ and choose Content from the options that display.
__f. (Optional) You can choose the Preview link to see the results of your search.

__5. Click Add to accept the confirmation.

__6. The Holds page redisplayes with the Duty Tax Investigation hold in the list of holds available.
Now that the hold is created, Steve is ready to run Hold Sweep. Hold Sweep is a background process that can run on a scheduled basis to automate dynamic holds such as the one that was just created. Hold Sweep can be run manually if needed. However, the real power of the dynamic hold process is the fact that it automates compliance.

a. Go to the Open Task View. From the Schedule pull down, click on the Schedule Hold Sweep.
8. Use the pull downs to set the Parameter for the Hold Sweep.

9. The Parameters should look like the following screen shot.

10. Click on 'Set Schedule'. Fill in the Name and click the 'Start immediately'. You can also schedule this to run on a regular basis. Fill in the User name and Password. P8admin / filenet

Click ‘Schedule Sweep’ in the lower right hand side.
11. Hold Sweep runs and processes the items in the records system that match the hold conditions. You can see that the Hold Sweep has been scheduled and look at the details.
When done, the process status will show ‘complete’.

12. Now that Sweep has run, our Records Administrator can confirm his hold sweep has run correctly and placed records on hold.

Open the Configuration View, Highlight the Duty Tax Investigation and click on Review Entities on Hold.

13. Steve wants to confirm that his Hold Sweep process has worked and his entities are on hold. The purpose of doing this now is to show that the entities are indeed on hold. In a typical business day for a Records Manager, this is an automated process and happens completely in the background.

14. Since we are interested in records that are on hold, select the default search criteria (all records) and choose Search.

You can now see that the Palo Contract is on Hold. You can now close out of this.

15. Sign out by selecting the Sign Out link in the banner area (upper-right corner) of the application.
5.4 Lab summary

You have just completed an overview of IBM’s Records Management solution for Litigation and Auditing Support including finding records and demonstrating how compliance can be automated using Dynamic Holds in the background.

Through this process, you have observed the following features and concepts:

- Finding information in the records system — with simple to use records search
- Automating compliance with dynamic holds
- Meeting compliance requirements — with audit trail visibility

That concludes today’s lab sessions. Please wait for the next presentation.
Appendix A. Glossary

Alternate Retention – Alternate retention provides alternative or optional retention periods based on any number of variables or rules that may be imposed upon an organization by multiple regulatory authorities. It is a way of defining a flexible retention period based on a given condition (e.g., software contracts where state = ‘California’ should be held for ten years instead of eight).

Declaration – Creation of a record.

Cataloging – Filing the record in the file plan.

Cutoff – The end of active use and beginning the record retention period.

Retention – Duration to keep a record.

Disposition – What happens to a record after the cutoff time.

Disposition Hold – A property that is applied to one or more records to suspend the normal disposition schedule to ensure their availability beyond the approved retention period.

Dynamic Hold – When creating a disposition hold, an administrator can set conditions for record categories, record folders, volumes, and records that if true, will cause the record and ultimately, the associated content in the content repository, to be placed on hold.

File plan – Defines the organization of records. In a file plan, you store records in a structured hierarchy designed to preserve the context of records.

Record category – Categorizes a set of related records within a file plan. Record categories are created to classify records based on functional categories. A record category can contain subcategories and folders. In addition, you can associate retention and disposition rules with each category. These rules apply to all record categories, folders and records that are created within the category.

Record folder – Serves as a container/collection of related records. It is used to manage records according to the specified retention periods and disposition events. There are four types:

- **Electronic folder** – Used for storing electronic records.
- **Physical folder** – Stores records for physical items such as paper records.
- **Box** – A box provides a mechanism to model physical folders that contain other physical records.
- **Hybrid folder** – Refers to a collection of related electronic and physical records.

Volume – Serves as a logical sub-division of a record folder into smaller and easy-to-manage units.
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