Oracle® Universal Records Management

Records Manager DoD Edition System Maintenance Guide

10g Release 3 (10.1.3.3.0)

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Chapter

1

INTRODUCTION

OVERVIEW

This section covers the following topics:

This guide provides instructions to set up and administer the Records Manager DoD Edition software on the content server. The information contained in this document is subject to change as the product technology evolves and as hardware, operating systems, and third-party software are created and modified.

The main interface screens used to manage the product is discussed in Chapter 3 (*Interface Overview)*. The core processing performed by records administrators during the use and maintenance phases of the records life cycle, such as screening and cycling records and content, is covered in the following sections:

- Chapter 4 (*Screening and Updating)*
- Chapter 5 (*Working With Records Folders)*
- Chapter 6 (*Working With Content and Records)*
- Chapter 9 (*Processing Retention Assignments)*

About This Guide

Note: This system administration guide assumes you are using the Trays layout.

This guide provides instructions to set up and administer the Records Manager DoD Edition application on the content server. The information contained in this document is subject to change as the product technology evolves and as hardware, operating systems, and third-party software are created and modified.

Symbols

The following symbols are used throughout this document:

Symbol	Description
	Note: Brings special attention to information.
	Tech Tip: Identifies information that can be used to make your tasks easier.
	Important: Identifies a required step or required information.
	Caution: Identifies information that might cause loss of data or serious system problems.
	Permissions: Indicates what specific permissions are needed to perform tasks.

Conventions

The following conventions are used throughout this document:

- The notation <*CS_Install_Dir*> is used to refer to the location on your system where a specific instance of Universal Content Management is installed.
- Forward slashes (/) are used to separate parts of an Internet address. For example, http://www.microsoft.com/windows2000/. A forward slash might or might not appear at the end of an Internet address. Forward slashes (/) are also used to separate the directory levels in a path name whether on a UNIX or a Windows system. A forward slash always appears after the end of a directory name.

- Paths to access operating system screens use the following formatting structure:

  Start—Settings—Control Panel

- Required user input is distinguished using the following font formatting:
  `xyz_name`

Audience

This guide provides instructions to configure and administer the DoD Edition product on Content Server. The guide is intended mainly for records administrators, records managers, and privileged users responsible for processing records and managing retention policies.

WHAT'S NEW

Several interface changes have been made from Version 7.1.4:

- Retention tasks to be processed are now available on pull-down menus instead of from the Trays menu.
- Advanced screening is no longer available. That functionality has been merged into the regular screening functionality.
- Dormant global triggers as a trigger type are no longer selectable as an option. You can create dormant global triggers by simply not adding an activiation date when you create the trigger.
- The Configure Retention Components page is no longer used to configure aspects of the retention schedule (triggers, dispositions, and so on). All functionality of that type is now available by using pull-down menus which are available throughout the product.
- You can now edit pre-defined link (related content) types. By default the main links with new content item revisions is checked. This can be changed so linking is not revision independent.

INSTALLATION NOTES

Case-insensitive searches are not peformed by default when using the DoD Edition product for database searches (for example, in screening, audits, reviews or disposition listings). If you want to perform case-insensitive searches, the databased used must be configured to do so.

Indexing fails for PDF files generated with Inbound Refinery versions prior to 7.6.1 and PDF Converter prior to version 7.6.1.

Documentation and Help

This section covers the following topics:

- Documentation (page 1-4)
- Tooltips (page 1-5)
- Quick Help (page 1-5)
- Help Menu (page 1-5)

Documentation

The following Records Manager DoD Edition documentation is available:

- *Records Manager DoD Edition Installation Guide*
  This document provides information about installing the DoD Edition software on the content server. It is provided as a PDF file on the DoD Edition software distribution media.
- *Records Manager DoD Edition System Setup Guide*
  This document provides information about setting up and administering the DoD Edition application on the content server. It is provided as a PDF file and HTML help system, both of which can be accessed from the DoD Edition user interface. The PDF file is also available on the DoD Edition software distribution media.
- *Records Manager DoD Edition System Maintenance Guide* (this guide)
  This document provides information about administering the DoD Edition application on the content server. It is provided as a PDF file and HTML help system, both of which can be accessed from the DoD Edition user interface. The PDF file is also available on the DoD Edition software distribution media.
- *Records Manager DoD Edition User Guide*
  This document provides information about using the DoD Edition application on the content server. It is provided as a PDF file and HTML help system, both of which can be accessed from the DoD Edition user interface. The PDF file is also available on the DoD Edition software distribution media.

In addition to these guides, you can also access information about the product with context-sensitive tooltips, quick help, and help menu.

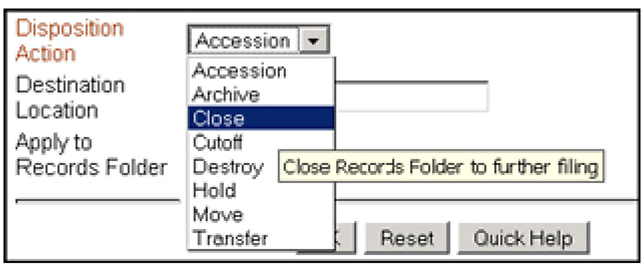
Tooltips

If you hover the mouse cursor over a field label in your web browser, you can get context-sensitive information on the field label. A question mark is displayed, and then the tooltip appears.

Figure 1-1 Field label tooltip

If you are using Netscape or Mozilla as your web browser, you can view tooltips for items in options lists as well, provided the list items are not custom entries.

Figure 1-2 Option list item tooltip (only supported by Netscape and Mozilla browsers)



Quick Help

Click the **Quick Help** button where available on pages and screens to view context-sensitive help for that page or screen.

Help Menu

You can click the main menu Help link to open the online HTML help system for Universal Content Management, which includes the DoD Edition help files. If you are logged in with user privileges, you will only see the end-user help system. If you are logged in as an administrator, you will see the full administrator help system (including the user documentation).

Chapter

2

INTRODUCTION TO RECORDS MANAGEMENT

OVERVIEW

This section covers the following topics:

MANAGEMENT OF RECORDS AND OTHER RETAINED ITEMS

DoD Edition effectively manages both record and non-record content items on a retention schedule. The focus of Records Management tends to be the ***preservation of records*** for historical or archival purposes while also performing retention management functions. The focus of retention management of non-record content items tends to be the ***scheduled elimination of content*** in which the costs of retaining content outweighs the value of keeping it.

This section covers the following topics:

Needs for Records Management

There are various reasons why organizations may need records management:

Regulatory Needs

Many organizations are subject to regulations that require the retention of information for a specified period of time:

- ❖ Sarbanes Oxley:
  - Applies to all publicly traded corporations or companies that may become public
  - Audit-related working papers, communications, and correspondence must be retained for five years after the audit
- ❖ Government organizations—DoD 5015.2, General Records Schedule
- ❖ Pharmaceutical/healthcare industry—HIPAA, FDA regulations
- ❖ Financial services—SEC Rule 17a
- ❖ Telecommunications industry—47 CFR 42, etc.

Records management enables organizations to comply with the retention requirements of these regulations.

Litigation Needs

There may be litigation-related needs for effective and efficient records management:

- ❖ Policy-based retention of records:
  - Retain information that you may need for litigation (for example, a contract and any communication relating to it).

- Centralized searching and retrieval of that information

❖ Systematic disposition of eligible records or non-record content:
  - Less material to search through during discovery
  - Less material to give to opposing counsel

❖ Suspend/freeze disposition of records or non-record content items relating to pending litigation:
  - Avoid appearance of cover-up and possible liability when records or non-record content items relating to pending litigation are destroyed.

Business Needs

There may be business-related needs for effective and efficient records management:

❖ "Islands of content" problem. Content items that are:
  - Generated across the organization
  - Created in a variety of forms—for example, e-mail, office application documents, sheets of paper, CDs, DVDs, microfiche, recordings of corporate events and conference calls, etc.
  - Stored in an ad-hoc fashion in a variety of locations—for example, employee desks, employee computers, corporate servers, central file storage, offsite storage.

❖ There is a need to:
  - Provide a uniform infrastructure for retrieving and sharing the content across the organization.
  - Ensure that content items are retained over the period of time that they are useful to the business.

DoD Edition manages all records and non-record content items, regardless of their source, in a single, consistent, manageable infrastructure.

What Do I Retain?

Both record and non-record content items for retention are any form of information, both physical and electronic that is **important** enough for an organization that it must be **retained** for a specific period and may be **disposed** of when it is no longer needed.

❖ DoD 5015 record: As defined above with the stipulation that it is also made or received by an agency of the United States Government. The U.S. Government defines records as follows:

"Records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value in them."

- Business record: As defined above with the stipulation that it is used in the transaction of public business.
- Non-record content items: As defined above with no additional governmental or public business criteria. However, it can be revisioned, retained (but not necessarily with a minimum retention period), and can be on a disposition schedule.

  Your organization may choose to manage non-record content with DoD Edition to eliminate outdated and misleading information, track documents related to legal proceedings, and manage storage resources. Basically, managing non-records content provides a much simpler deployment of DoD Edition for organizations that do not need a full compliance with DoD5015.

See the following sections for more information:

- Importance of Content (page 2-5)
- Retention (page 2-6)
- Disposal (page 2-6)

How do Records and Non-Record Content Differ?

There are a number of basic differences between records and non-record content retention qualities:

- **Purpose:** Records are essentially historical artifacts, whereas non-record content items for retention are generally live, active documents that can be revisioned.
- **Benefits:** Benefits of managing records is compliance with regulations and corporate retention policies. Benefits of managing non-record content items is reduced risk and cost of discovery for litigation, reduced costs associated with storage, elimination of clutter to promote user efficiency, and dissemination of only current information to improve communication.
- **Ability to Revision:** Records cannot be changed once checked in, which means they cannot be revisioned after they become records. Non-record content items can be checked out, modified, and checked back in to create multiple revisions.

- **Actions Available after Cutoff**:
  - Records can have their metadata edited until they are cut off (when the record status changes and it goes to disposition). Non-record content can have their metadata edited after cutoff.
  - Records that are cut off or frozen cannot be deleted. Non-record content that is cut off can be deleted.
- **Disposition**: Records have disposition schedules assigned by their location in the Retention Schedule. This defines how they should be retained and disposed of, whereas non-record content items generally have disposition schedules (life cycles) assigned by item upon check in.

Note: DoD Edition supports disposition schedules for non-record content items, which means it can manage retention and disposal of non-record content. This enables you to schedule lifecycles for content to eliminate outdated or superseded information, manage storage resources, or handle legal procedures.

- **Filing**: Records can be filed into folders, and non-records can be filed only into categories set up for non-record content. Therefore, documentation about folders and interactions with folders are intended for record-centric content only.
- **Functionality Specific to Records Only**:
  - Classification/Supplemental Markings
  - Permanence
  - Record Folders
- **Functionality Available to Content outside of Retention Schedule**:
  - Freeze
  - Link
  - Subject to Review

Importance of Content

Retained information can be **important** for a variety of reasons:

- The information may be required for the day-to-day operations of the organization and needs to be kept for historical, tracking, or audit purposes (for example, receipts, order histories, completed forms, personnel files, corporate announcements).
- The information may be necessary to the success or survival of the organization (for example, software source code, contracts, financial data).

- There may be internal policies or external regulations that require the information to be retained (for example, transaction documents, financial statements, lease agreements).
- The data may be important in preparation for possible litigation or discovery.

Retention

The information may need to be **retained** for different periods of time, depending on the type of content, its use within the organization, and the need to comply with external laws or regulations.

- The retention may be time-based (for example, five years from the record filing date).
- The retention period may be event-based (for example, an employee termination).
- The retention period may be both time-based and event-based (for example, two years after employee termination).
- The retention may be based on revision (for non-record content items).

Disposal

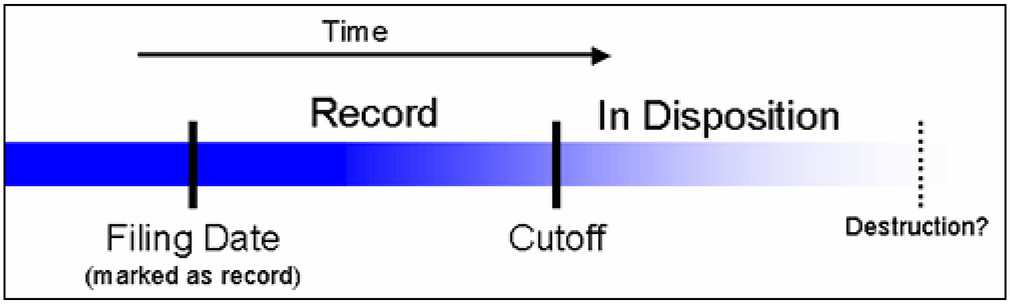
After a retention period, records and non-record content items are disposed of by authorized people according to the requirements of the organization. Disposition actions include:

- Destroy (physical or electronic), possibly after a certain period of retention.
- Store within the organization (physical or electronic).
- Transfer to an external storage facility (physical or electronic).
- Some records are deemed so important that they will never be destroyed (for example, due to their historical significance). Their “disposal” simply means that their status changes from active use or immediate relevance to historical preservation.

Lifecycle for Records

The lifecycle of a record goes through a number of stages.

Figure 2-1 Record life cycle



The **filing date** of a record is the date that a content item becomes a record. This often coincides with the check-in date because most records are checked into the content server as records. However, it is possible for an active content item that is already checked in to be marked as a record.

The **cutoff** of a record or non-record content item is the moment that the status of the item changes and the item goes into disposition. An item may be cut off after a specific period of time, at a specific event, or after a period of time after an event.

Types of Retained Content

Retained content can be divided into categories depending on the perspective:

- Internal and External Retained Content (page 2-7)
- Classified, Unclassified, Declassified Records (page 2-8)
- Non-Permanent, Permanent, Retained Content (page 2-8)

Internal and External Retained Content

An ***internal*** retained content item is an electronic item stored within Content Server and managed by DoD Edition. An ***external*** retained content item can be in a variety of formats, both physical or electronic. If the source file is not specifically stored in Content Server, then it is considered external. DoD Edition can then be used to manage the disposition schedule, search metadata associated with the external file, and even manage an electronic rendition of an external file. An electronic rendition can either be checked in as a primary file of an external record, or be filed as a separate file, and then linked to the external file metadata.

Classified, Unclassified, Declassified Records

Records (not non-record content) can be ***classified***, ***unclassified***, or ***declassified***.

Classified records are records that require protection against unauthorized disclosure (for example, because they contain information sensitive to the national security of the United States). Unclassified records are records that are not and have never been classified. Declassified records are records that were formerly classified, but whose classified status has been lifted.

A *classification* specifies the security level of a classified record. A *classification guide* provides default classification values for record check-in pages.

Note: DoD Edition has been certified by the Joint Interoperability Test Command (JITC) to comply with the DoD 5015.2 standard (including Chapter 4). A copy of the standard is available on the official web site of the Department of Defense, Washington Headquarters Services, Directives and Records Division at http://www.dtic.mil/whs/directives/.

Important: Executive Order 12958: Classified National Security Information describes in detail the system for classifying, safeguarding, and declassifying national security information. This guide assumes you are familiar with proper classification protocols.

Non-Permanent, Permanent, Retained Content

For disposition purposes, records and non-record content items are categorized into ***non-permanent, permanent***, and ***subject to review***. Most records and non-record content items fall into the non-permanent category. Non-permanent items are usually destroyed after a retention period. Permanent records are deemed important for continued preservation and are retained indefinitely (for example, because of their historical significance). Permanency does not apply to non-record content.

Records and non-records content items can be scheduled for periodic reviews. This can be used for DoD Vital Review of records.

ABOUT DOD EDITION

DoD Edition enables you to manage records and non-record content items—regardless of their source or format—in a single, consistent, manageable infrastructure. Records and non-record content items managed by DoD Edition are assigned retention schedules and disposition rules. This enables you to schedule lifecycles for content to eliminate outdated or superseded information, manage storage resources, or comply with legal audit holds.

The items and their associated metadata are stored in retention schedules, which are hierarchies with categories that define disposition instructions for records and non-record content. Access to the items is controlled by rights assigned to users by a records administrator. The items can be accessed, reviewed, retained, or destroyed in an easy and efficient manner, by authorized people according to the requirements of your organization.

DoD Edition is compliant with the DoD 5015.2 standard (including Chapter 4), and certified by the Joint Interoperability Test Command (JITC). A copy of the standard is available on the official website of the Department of Defense, Washington Headquarters Services, Directives and Records Division at http://www.dtic.mil/whs/directives/.

In addition to records, DoD Edition can also manage disposition schedules of non-record content in the content server. This enables you to schedule lifecycles for content to eliminate outdated or superseded information, manage storage resources, or comply with legal audit holds.

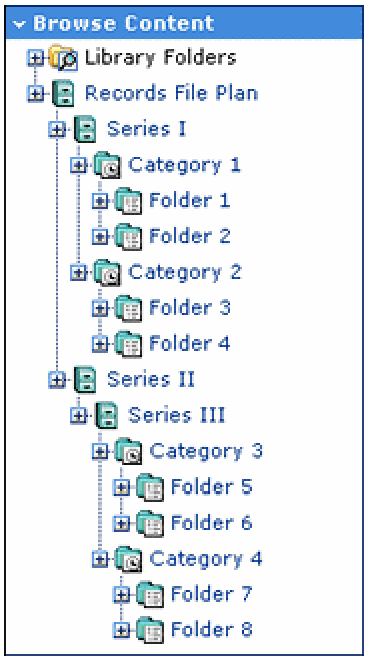
Basic Retention Management Concepts

The following concepts are important in the context of DoD Edition:

Retention Schedules

The retention schedule is an organized hierarchy of series, categories, and folders, which enables you to cluster records and non-record content into similar groups, each with its own retention and disposition characteristics (see the figure below).

Figure 2-2 Retention Schedule



Series

A series is an organizational construct in the retention schedule which enables you to organize categories into functional groups. This is especially useful if you have a multitude of categories. Series cannot contain records or non-record content items. A series can be nested, which means a series may contain other series.

Retention Category

A retention category is a set of security settings and disposition instructions in the retention schedule hierarchy, below a series. This enables you to organize records folders, records, and non-record content into groups with the same retention and disposition characteristics. A retention category may contain one or more records folders, records, or non-record content items, which then typically follow the security settings and disposition rules associated with that retention category. Retention categories cannot be nested, which means a retention category cannot contain other retention categories.

Records Folder

A records folder is a collection of similar records in the retention schedule. This enables records to be organized into groups. A records folder typically follows the security settings and disposition rules associated with its assigned retention category. Records folders can be nested, which means a records folder may contain other records folders. Records folders cannot contain non-record content.

Disposition

Disposition is the collective set of actions taken on records or non-record content items, usually for items that are no longer required. Disposition actions include wait times and activities such as transfer to external storage facilities, the destruction of temporary records or non-record content items, and the replacement of records or non-record content that is subject to review with updated information.

Disposition Instruction

A disposition instruction is created within a retention category, and typically consists of one or more disposition rules, which define how records or non-record content items are handled and what actions should be taken on them (for example, when and how they should be disposed of).

Period

A period is the segment of time that must pass before a review or disposition action can be performed. DoD Edition comes with a number of built-in periods (for example, “one year”), but you can create custom periods to meet your unique business needs.

Trigger

A trigger is an event that needs to take place before a disposition instruction is processed. Triggers are associated with disposition rules for retention categories. Examples of triggering events include changes in status, completed processing of a preceding disposition action, and retention period cutoff.

Content Item Link

A record or non-record content item link is a defined relationship between records or non-record content items. This may be useful when items are related and need to be processed together. Links are available for content items that are stored both in and out of the retention schedule.

Classification

A classification specifies the security level of a classified record. It is used in the process of identifying and safeguarding records that contain sensitive information. Typical classification levels are “Top Secret,”, “Secret,” and “Confidential,” and “Unclassified.” Classification is not available for non-record content items.

Classification Guide

A classification guide is a mechanism used to define default values for a number of classification-related metadata fields on the content check-in pages for records (not non-record content). This enables convenient implementation of multiple classification schemes in DoD Edition.

Supplemental Marking

Supplemental markings are extra attributes associated with a record (not non-record content). They can be used to clarify document handling in addition to standard document classifications, and also as a security feature to further restrict users from accessing records folders and records. Supplemental markings can be set at both the records folder and record level.

Freeze

Freezing a records folder, record, or non-record content item inhibits disposition processing for that item or the records in that folder. Frozen records or non-record content items cannot be altered in any way nor can they be deleted or destroyed. This may be necessary in order to comply with legal or audit requirements (for example, as a result of litigation). Freezing is available for records and non-record content items that are stored both in and out of the retention schedule.

DoD Edition and Content Server

DoD Edition supports the following Content Server layouts and search templates (which users can set in their user profile):

- Supported layouts:

  - Trays
  - Top Menus
- ❖ Supported search templates:
  - Headline View
  - Thumbnail View
  - My Headline View

Note: The DoD Edition application does not support the Classic layout or the Classic View search template. This guide assumes you are using the Trays layout.

BASIC PROCESSES

The following steps outline the basic workflow of records and non-record content within DoD Edition:

1. The retention schedule and any required components (such as triggers, periods, classifications, and custom security or metadata fields) are created.
2. Records and non-record content items are filed into the retention schedule by users. The filed items assume the disposition schedules of their assigned category.
3. Disposition rules are processed by DoD Edition in accordance with the defined disposition schedules, which usually have a retention period. The processing is activated by either a system-derived trigger or custom trigger. The trigger could affect one or more records or non-record content items simultaneously.
4. Whenever a disposition event is due for action as activated by a trigger, an e-mail notification is sent to the person responsible for processing the events. The same is true for review. The pending events and reviews are displayed in the pages accessed from the My Retention Assignments links within the DoD Edition user interface.
5. The records administrator or privileged user performs the review process. This is a manual process.
6. The records administrator processes the disposition actions in the pending events pages. This is a manual process.

Many disposition schedules are **time-based** according to a predictable schedule. Typically, records are filed and then destroyed a certain number of years later. The system keeps track of when the affected records or non-record content items are due for action. Notification e-mail is sent, and the records folders, records, and non-record content items are routed to the My Retention Assignments area of DoD Edition.

The person responsible for the pending events and reviews then processes the record folders, records, or non-record content items accordingly. The particular disposition actions due are indicated for the record folders, records, or non-record content items. Available menu actions are context-sensitive according to the state of the item. For example, a records folder due for its final disposition step of destruction would have the Destroy commands available, but not the Archive commands.

In contrast, **time-event** and **event-based** dispositions must be triggered with a non-system-derived trigger; that is, a trigger that was defined for a particular scenario. When a pending legal case starts litigation, the records administrator must enable the custom trigger and set its activation date since the start date information is external to the DoD Edition logic. Custom triggers enable you to define event and time-event based disposition actions based on the occurrence of a particular event.

Chapter

3

INTERFACE OVERVIEW

OVERVIEW

This chapter describes common interface elements in DoD Edition that are used throughout the product.

When DoD Edition is installed, a link to the Configure Records Management Page (page 3-1) is added to the **Administration** tray in the left navigation area of the Tray layout. Administrative users will see all options on that page. Other users (for example, those assigned privileged roles) may see a much smaller subset of the administrator menu, depending on their assigned rights.

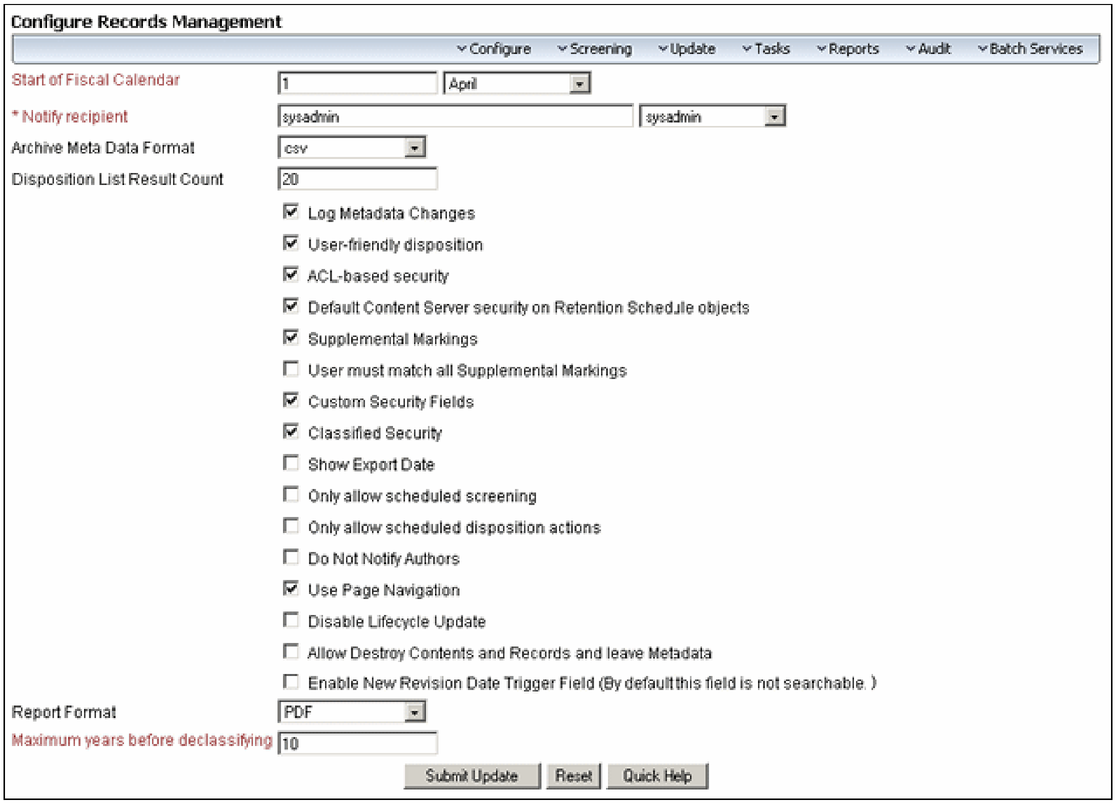
This chapter discusses the following topics:

CONFIGURE RECORDS MANAGEMENT PAGE

Use this page to set most of the configuration options for your system. To access this page, select **Configure Records Management** from the **Administration** tray.

Permissions: The Admin.RecordManager right is required to use this page. This right is assigned by default to the 'rmaadmin' role.

Figure 3-3 Configure Records Management page



The Configure Records Management Page (page 3-1) contains the following elements:

❖ Top Page Menu: This menu contains the following options:

- **Configure:** This option is used to perform a number of configuration tasks, including defining triggers, periods, supplemental markings, security classifications, freezes, dispositions, custom security fields (if enabled), custom metadata, and related content types. Other users may be able to perform a subset of these tasks, depending on their assigned rights.
- **Screening**: This option is used to perform a variety of screening operations, including screening by retention category, screening by records folder, screen by content,and other screening options. See Chapter 4 (*Screening and Updating)* for details.
- **Update**: This option is used to generate updates to internal content, records folders, and retention categories. With this option you can quickly change multiple values, either immediately or on a scheduled basis. See Updating Information (page 4-34) for details.

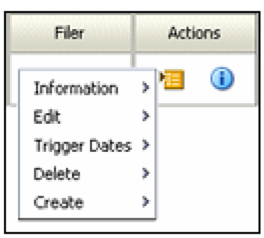
- **Tasks**: This option is used to perform disposition actions, freezes, import and export files, and create reports. See Chapter 8 (*Scheduled Tasks)* for details.
- **Reports**: This option is used to generate a variety of reports, including users, users and their roles, aliases, and a combination of users and aliases. See Chapter 11 (*Generating User and Group Reports)* for details.
- **Audit**: This option lets administrative users specify what actions on content and records objects should be recorded in the audit trail and what should be used in audit trails. See Chapter 10 (*Working With Audit Trails)* for details.
- **Batch**: These options allow administrative users to run scheduled batch services immediately, rather than wait for the scheduled time. Options are used to run all batch services, process notifications, or process actions and reviews.

❖ **Main body:** This portion of the page is used to configure a number of system preferences, including security options, fiscal calendar start date, e-mail notifications of pending reviews, and user-friendly captions for disposition instructions and screening queries. See the *Records Manager DoD Edition System Setup Guide* for details about the options on the main page body.

Individual Action Menus

When using this product, individual pulldown Action menus are available for many items.

Figure 3-4 Actions menu



The options on this menu vary depending on the type of item used (content, retention category, and so on). In this documentation, a designation such as **Information—Recent Reviews** indicates you should select the **Information** option from the **Actions** menu, followed by selecting the **Recent Reviews** suboption.

The following list summarizes the most commonly seen menu options:

❖ **Information**: displays a submenu that allows you to access information pages for folders, life cycle of the item, recent reviews, metadata history, and retention schedule reports.

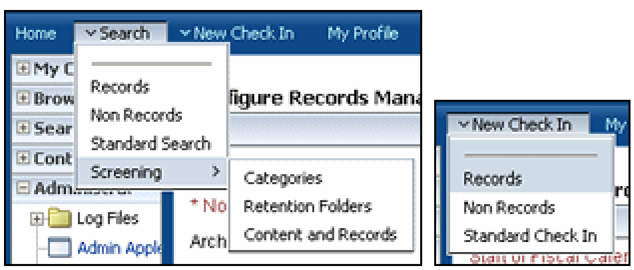
- **Edit**: provides quick links to edit pages for folders or reviews, as well as options to move, close, freeze, or unfreeze an item.
- **Trigger Dates**: provides quick links to actions associated with dates, such as marking items for review, cancelling, rescinding, and expiring items.
- **Delete**: provides options to delete the item or perform a recursive delete (delete tree).
- **Create**: provides options to create items appropriate to the location in the hierarchy. For example, if this is the action menu for a retention category, Create suboptions include Series and Retention Category.

Clicking the Info icon ( ) displays the Information page for the item. The Action menu options described previously are then available on the Page menu on the item's information page.

Content Server Menus

When you install Records Manager DoD Edition the Search and Checkin menus for Content Server are changed due to default profile pages.

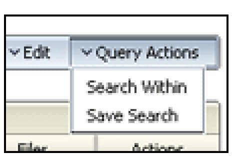
Figure 3-5 Additional Menu Options



These menu options can be used to help you quickly narrow down your searches and choose the type of checkin to perform. Note that the Screening option on the Search menu is dependent on security rights assigned to the user.

When viewing search results, a query menu is added to the search results page.

Figure 3-6 Query Menu on Search Results



The options on this menu let you narrow your search by selecting new fields from those already selected, or to save the search under a file name for use later. See the *Content Server User Guide* for more details about searching and saving query results.

You can change profiles and further refine options by using the **Configure—Profile—Profile <type>** option on the Configure Records Management Page (page 3-1).

Chapters

4

SCREENING AND UPDATING

OVERVIEW

Screening is an enhanced search capability that enables you to specify disposition information as your search criteria. This chapter discusses screening activities. It covers the following topics:

Concepts

Tasks

Examples

Interface

- Screen for <topic> Page (page 4-7)
- Schedule Screening Report Page (page 4-29)
- Default Metadata for Checked-In Screening Reports Page (page 4-30)
- Screening Results Page (page 4-33)
- Define Query Page (page 4-36)
- Query Schedule Section (page 4-36)
- Scheduled Update Screen (page 4-37)

ABOUT SCREENING

In addition to search-like functionality, screening also enables you to isolate retention categories, records folders, records, and content by their attributes. Screening allows you to see what has happened or what could happen within a retention schedule. You can screen at increasingly finer granularity within the retention schedule object levels. Within all levels, you can screen by disposition information.

Important: Screening differs from searching in that searching returns *all* records and non-record content items that meet the search criteria, whereas screening returns items that are not completed for disposition actions.

Permissions: The Admin.Screening right is required to perform screening actions. This right is assigned by default to the ‘rmaadmin’ role.

Screening reports can be created as soon as they are called or they can be scheduled to be generated at a later time. This is especially useful for screening reports that affect large sets of content or records. Creating the screening report immediately might put a heavy load on the system, which could diminish its responsiveness and/or result in browser time-outs for end-users. To avoid this, you can schedule screening reports to be performed at midnight, which is an off-peak time in most environments.

You can perform many screening functions from the Search menu in Content Server. After DoD Edition is installed, an additional Screening menu is available on the Search dropdown menu. The same screening activities described in this chapter can be performed using that functionality.

MANAGING SCREENING

The following tasks are used when managing screening:

Enabling or Disabling User-Friendly Captions

You can enable and disable user-friendly captions at any time. This setting also affects the captions in disposition instructions.

Permissions: The Admin.RecordManager right is required to perform this action. This right is assigned by default to the 'rmaadmin' role.

1. Select **Configure Records Management** from the **Administration** tray.

   The Configure Records Management Page (page 3-1) is displayed.
2. Select the **User-friendly disposition** check box.
3. Click **Submit Update**. A message is displayed saying that configuration was successful.
4. Click **OK**.

To disable user-friendly captions, clear the **User-friendly disposition** check box.

Performing Screenings

This section describes a general procedure to perform screenings. You can search retention categories, records folders, and content by disposition, disposition event criteria, records folder and/or retention category criteria. You can click **Search** without entering any criteria, and all items are returned in your results.

Permissions: The Admin.Screening right is required to perform screenings. This right is assigned by default to the 'rmaadmin' role.

To perform a screening, complete the following steps:

1. Select **Screening—<*screening type*>** from the Configure Records Management Page (page 3-1).

   The Screen for <topic> Page (page 4-7) is displayed.

2. (Optional) To search a category by **Disposition Criteria**, select the appropriate criteria from the pulldown menu. See Disposition Criteria (page 4-12) for details about criteria that can be used.

3. (Optional) To search a category by **Retention Category Criteria,** select the appropriate criteria from the pulldown menu. See Retention Category Criteria (page 4-13) for details about criteria that can be used.

4. (Optional) To search by **Records Folder Criteria,** select the appropriate criteria from the pulldown menu. See Record Folder Criteria (page 4-16) for details about criteria that can be used.

5. (Optional) If you are screening for external folders review date, specify the date in the **Review By (External Folder Only)** box.

6. (Optional) if you are screening for a review or due date, specify the date in the **Review Due By** box.

7. Elect your sorting preferences in the **Results Options** area.

   a. If you do not want to sort by the default, select another option from the **Sort By** list.

   b. If you do not want to sort in the default descending order, select the ascending order.

8. Click **Search**. Any results that match your screening criteria display in the Screening Results Page (page 4-33).

Scheduling a Screening Report

Note: You may be able to only schedule screening reports and not execute them immediately, depending on the setting of the “Only allow scheduled screening” option on the Configure Records Management Page (page 3-1). See the *Records Manager DoD Edition System Setup Guide* for details about configuring your system.

Use this procedure to schedule a screening report:

1. Select **Screening—<*screening type*>** from the Configure Records Management Page (page 3-1).

The Screen for <topic> Page (page 4-7) is displayed.

2. Select the criteria for the screening and click the **Schedule** button.

   The Schedule Screening Report Page (page 4-29) is displayed.

3. Provide a **name** for the screening report.

4. Provide the **start date** of the screening report. This is the date that the scheduled screening report will be generated. If the screening report is recurring, the first screening report will be generated for the first time on this date, and all subsequent reports at the end of each recurring period after this date.

5. If you want the screening report to be created periodically rather than just once, select the **Is Recurring** check box.

6. If you selected the **Is Recurring** check box, specify the interval at which the recurring screening report will be created (for example, once every 2 weeks).

7. Click **OK** when you finish.

The Scheduled Screening Reports page is displayed, which now includes the newly created scheduled screening report.

Setting Default Metadata For Reports

Recurring screening reports are automatically checked into the content server. Use this procedure to set the default metadata for these checked-in reports:

1. Select **Screening—Metadata Defaults** from the Configure Records Management Page (page 3-1).

   The Default Metadata for Checked-In Screening Reports Page (page 4-30) is displayed.

2. Specify the default metadata for checked-in screening reports.

3. Click **Submit Update** when you finish.

Screening Examples

This section contains a number of examples that provide step-by-step instructions for the following screening scenarios:

- Screening for Permanent Categories (page 4-6)

- ❖ Screening by Disposition Authority (page 4-6)
- ❖ Screening for Categories With No Disposition (page 4-6)
- ❖ Screening Content and Records Due for an Event (page 4-7)

Screening for Permanent Categories

This example screens retention categories for permanent status only.

1. Select **Screening—Categories** from the Configure Records Management Page (page 3-1).

   The Screen for <topic> Page (page 4-7) is displayed.

2. In the Retention Category Criteria area, select **Permanent Matches Yes**.
3. Click **Search**. The results of your search are displayed in the Screening Results Page (page 4-33). Only permanent retention categories are displayed.

Screening by Disposition Authority

This example screens retention categories for a specific disposition authority. This may be necessary for government offices that need to handle changes or withdrawals of a disposition authority.

You can screen Retention Category Criteria in the Screen Categories, Screen Records Folders, or the Screen Records pages. This example screens at the retention category level.

1. Select **Screening—Categories** from the Configure Records Management Page (page 3-1).

   The Screen for <topic> Page (page 4-7) is displayed.

2. In the Retention Category Criteria area, select **Disposition Authority Matches**. Enter the disposition authority to screen for in the box, and click **OK**.
3. Click **Search**. Any results that match your screening criteria display in the Retention Category Search Results page.

Screening for Categories With No Disposition

This example screens retention categories that do not have disposition instructions defined. Retention categories that do not have disposition instructions defined are known as *unscheduled records or non-record* .

1. Select **Screening—Categories** from the Configure Records Management Page (page 3-1).

   The Screen for <topic> Page (page 4-7) is displayed.

2. In the Retention Category Criteria area, select **Disposition Type Matches No Disposition**.

3. Click **Search**. Any results that match your screening criteria display in the Retention Category Search Results page.

Screening Content and Records Due for an Event

This example screens content items and records that have an event disposition type and the specific event is obsolete.

1. Select **Screening—Content and Records** from the Configure Records Management Page (page 3-1).

2. In the Disposition Criteria area, select **Triggering Event Matches Obsolete**.

3. In the Retention Category Criteria area, select **Disposition Type Matches Event Disposition**.

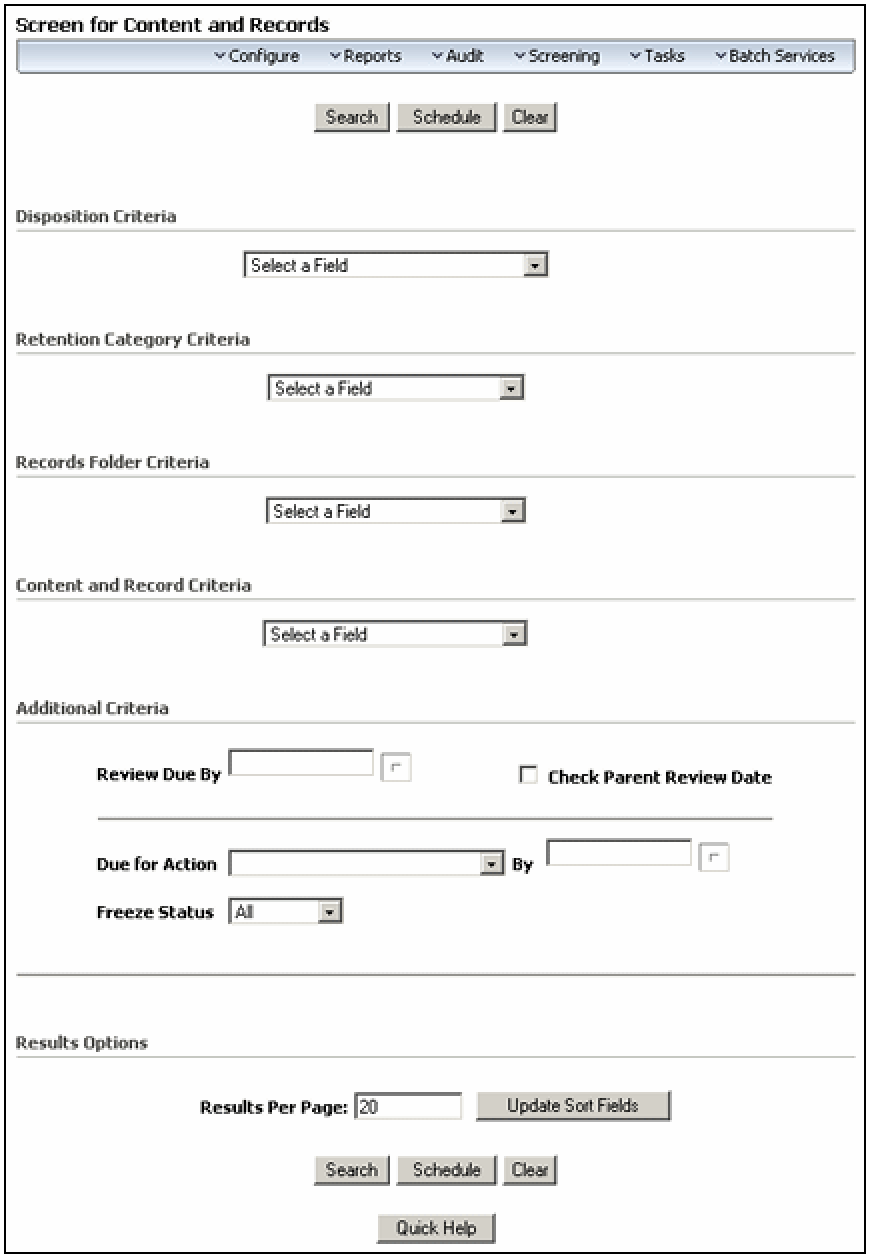
4. Click **Search**. The results of your search are displayed in the Screening Results Page (page 4-33). Only records that have an event disposition type of obsolete are displayed.

Screening Interface Pages

The following pages are used when performing screenings:

- Screen for <topic> Page (page 4-7)
- Schedule Screening Report Page (page 4-29)
- Default Metadata for Checked-In Screening Reports Page (page 4-30)
- Screening Results Page (page 4-33)

Screen for <topic> Page



To access any screening page, click **Screening** on the Configure Records Management Page (page 3-1). Select the type of screening from the menu there.

Note the following considerations:

- The **Criteria** dropdown menus are used to select fields for use in the query. After a field is selected for use, additional dropdown menus are available to further refine the criteria.

- To screen for content items or records that are due for review, indicate a review date by which the review must be performed in the **Review Due By** box. If the retention schedule has nested folders or retention categories with differing review periods than their child records folders, select the **Check Parent Review Date** to ensure the screening encompasses all review dates in its search.
- You can use the **Due for Action** fields to screen for content items and records that are due for processing of a specific disposition action on a specific date.
- You can use the **Freeze Status** field to limit the screening to content or records that are frozen, non-frozen, or either. If you screen for frozen items, the screening results contain items that are frozen themselves as well as those that are inheriting their freeze status from their parent folder. However, if the category to which the item belongs has an empty disposition, the frozen item will not appear in the screening results. If you want the screening results to include only records or non-record content items that are themselves frozen and not those that inherit their freeze status, you should use the Is Frozen field on the Content and Record Criteria (page 4-21). You can screen for content items and records that are currently frozen with a specific freeze from the Freeze Information page.
- Click **Search** without entering any criteria to return all content items and records in the retention schedule. The items that display in the results page are those for which you are authorized to access.
- Boolean operators can be used to combine fields. Click the plus symbol ( ) to access a dropdown menu of Boolean operators. Click the remove symbol ( ) to clear previous selections.
- Additional wildcard search operators, such as **Matches** and **Substring**, enable further flexibility in your screening.

Feature	**Description**
Criteria Definition	
Search button (top and bottom of page)	Searches, or “screens” for the content that meet your criteria. This button is not displayed if “Only allow scheduled screening” is selected on the Configure Records Management Page (page 3-1). See the *Records Manager DoD Edition System Setup Guide* for details about configuring your system.

Feature	Description
Schedule button (top and bottom of page)	Schedules the creation of the screening report. For more information, see Scheduling a Screening Report (page 4-4).
Clear button (top and bottom of page)	Clears all of the Criteria boxes of screening criteria query selections. To clear only a particular Criteria box, click the remove symbol ( ) that corresponds to the Criteria box.
Disposition Criteria	Displays options on a Disposition Criteria dropdown menu. See Disposition Criteria (page 4-12) for details.
Retention Category Criteria	Displays options on a Retention Category dropdown menu. See Retention Category Criteria (page 4-13) for details.
Records Folder Criteria	Displays options on a Records Folder dropdown menu. See Record Folder Criteria (page 4-16) for details.
Content and Record Criteria	Displays options specific to searching for content and records. See Content and Record Criteria on page 4-21.
Review Due By (Folders screen and Record and Content screen only)	To screen for content items and records that have an impending review, enter a due date by which the review must be conducted.
Check Parent Review Date check box (Folders screen and Record and Content screen only)	To ensure the screening encompasses all review dates in its search, select the Check Parent Review Date check box. If the retention schedule does not have differing review periods between categories and any nested record folders, it is probably not necessary to select this check box.
Due for Action (By date)	Select a disposition action for which content items or records are due and indicate the due date for the action.

Feature	Description
Freeze Status	Select a freeze status for your screening criteria. Available freeze status options are: ❖ **All—(Default)** Screening results return both frozen and unfrozen items. ❖ **Frozen—**Screening results return only frozen items. ❖ **Not Frozen—**Screening results return only items that are not frozen. **Note:** You can also screen for content and records that are frozen with a specific freeze from the Actions menu on the Freeze Information Page of that freeze.
Result Options	
Sort By	Contains the sorting criteria you indicate with the lists and Add button.
Sort By record attribute list	Select one or more attributes by which to sort the results. The list contains all of the screening criteria options.
Sort order list	Specifies the sort order of the screening results: ❖ **Descending (default)—**Sorts alphabetical results in Z-A order; numerical results in 9-0 order; and date results in newest to oldest order. ❖ **Ascending—**Sorts alphabetical results in A-Z order; numerical results in 0-9 order; and date results in oldest to newest order.
Add button	Click this button to add your Sort By attribute and order to the Sort By list. You can sort by multiple criteria.
Clear button (sort order)	Click this button to clear your sorting criteria from the Sort By box.

Feature	Description
Results Per Page	Specifies the maximum number of results displayed on each screening results page. ❖ Default: 20. ❖ Valid range: 0 to 100.

Disposition Criteria

Use this dropdown menu to select the disposition criteria by which to screen retention categories, records folders, records or non-record content items.

Boolean operators can be used to combine fields. Click the plus symbol ( ) to access a dropdown menu of Boolean operators. Click the remove symbol ( ) to clear prevoius selections.

Additional wildcard search operators, such as **Matches** and **Substring**, enable further flexibility in your screening.

Criteria (User Friendly Label/Default Label)	Description
After/Triggering Event	Select a triggering event. See the *Records Manager DoD Edition System Setup Guide* for an overview of triggering events. Note the following: ❖ Because the triggering events in this list are not system-derived, the Retention Period Cutoff action does not appear in this list. ❖ The list also includes the ends of the defined period.
Do/Disposition Action	Select a disposition action by which to screen. See the *Records Manager DoD Edition System Setup Guide* for an overview of disposition actions.
Notification Reviewer	Specify the name of the user who was notified of the event.

Criteria (User Friendly Label/Default Label)	Description
On Folders(s)/Apply to Records Folder	Specify the name or the identifier of the record folder to screen by. Use this field to screen for records folders that have a unique disposition rule applied to only that records folder. **Note:** This field is not displayed if the Disposition Criteria screen is launched from the Screen for Records page (when a user is screening for records).
To Container/Destination Container	Specify the destination container by which to screen in the text box. The Destination Container describes a physical container for an external records folder, such as a bar code or some other means of identification. ❖ Maximum characters: 30.
To Location/Destination Location	Specify the destination location by which to screen in the text box. The Destination Location specifies a physical location for an accession, transfer, or archive; or for an external folder. ❖ Maximum characters: 30.
Wait For/Retention Period	To screen for content and records by time or time-event disposition retention period information, select **Greater Than, Greater or Equal, Equal, Less Than, Less or Equal** and enter an integer that represents the starting value of the retention period range.

Retention Category Criteria

Use this screen to select the screening criteria for a retention category. The **Is Non-Record Category** field does not appear on this page when screening for folders because non-records categories cannot have folders.

Criteria	Description
Disallow Content Delete	Items ncluded in this category are those which cannot be deleted by users.
Disposition Authority	Enter the code by which to screen that represents the disposition authority or authorities of a retention category. ❖ Maximum characters: 100.
Disposition Type	Select the type of disposition to screen for: ❖ **No disposition—**The retention category does not have a disposition schedule. ❖ **Time disposition—**The retention category has a time-based disposition type. ❖ **Event disposition—**The retention category has an event-based disposition type. ❖ **Time-event disposition—**The retention category has a time-event disposition type. Optional. See the *Records Manager DoD Edition System Setup Guide* for an overview of disposition types.
Is Non-Record Category	Select if the category is marked as containing non-record content. ❖ **Yes—**The retention category is marked as containing non-record content. ❖ **No—**The retention category is not marked as containing non-record content.
Permanent	Select the permanent versus temporary status of the retention category. ❖ **Yes—**The retention category is designated as a permanent category. ❖ **No—**The retention category is not designated as containing permanent records, and therefore contains temporary records.

Criteria	Description
Retention Category Description	Enter a few keywords within the retention category description by which to screen.
Retention Category Identifier	Enter the unique retention category identifier by which to screen. ❖ Maximum characters: 100.
Retention Category Name	Enter the retention category name by which to screen. ❖ Maximum characters: 100.
Review Period	To screen for retention categories by review period information, complete the following fields: ❖ **From**—Enter an integer that represents the starting value of the review period range. ❖ **To**—Enter an integer that represents the ending value of the review period range.
Period Units	Select the time unit of the period (for example, “Months”). The selection list contains all available built-in and custom periods.
Reviewer	Enter the name of the reviewer for the retention category.
Series Identifier	The identifier of the parent series. It could be the identifier of the root series, or a nested series. ❖ Maximum characters: 100
Subject to Review	Select the review status of the retention category. ❖ **Yes—**The retention category is designated as a retention category that is subject to review. All child folders and records therefore inherit the review status. ❖ **No—**The retention category is not designated as subject to review.

Record Folder Criteria

Use this screen to select the screening criteria by records folder.

When screening for dates, select **On or After**, or **Before** from the dropdown menu and enter a date.

Criteria	Description
Activation date	The date the external records folder was manually activated.
Audit Period	Select the audit period from the list to which the records folders is subject. The audit periods are defined manually by the records administrator.
Cancellation date	The date the records folder was cancelled, either automatically due to disposition instructions or due to manual intervention. For further information about cancelling a record folder, see Canceling Folders (page 5-9).
Close Folder	Select the close status of the records folder by which to screen. ❖ **Yes**—The records folder has been closed to further records filing. ❖ **No—**The records folder is not closed and is open to records filing.
Cutoff date	The date the records folder was cut off.
Cutoff Folder	Select the cutoff status of the records folder by which to screen. ❖ **Yes**—The records folder has been cut off. ❖ **No**—The records folder has not been cut off.
Date when rescinded	The date the records folder was rescinded, either automatically due to disposition instructions or due to manual intervention. For further information about rescinding a records folder, see Rescinding a Records Folder (page 5-10).

Criteria	Description
Date when superseded	The date the records folder was superseded, either automatically due to disposition instructions or due to record linking.
Delete Approval date	The date the external records folder was manually approved for deletion.
Expiration date	The date the records folder was expired, either automatically due to disposition instructions or due to manual intervention.
External	Select the external versus internal status of the records folder. ❖ **Yes—**The records folder is designated as external to DoD Edition. ❖ **No—**The records folder is not designated as external. The records folder is an electronic records folder internal to DoD Edition.
External Container	Enter the external container by which to screen external records folders. ❖ Maximum characters: 100.
External Location	Enter the external location by which to screen external records folders. ❖ Maximum characters: 100.
Filing date	The date the records folder was filed.

Criteria	Description
Freeze Disposition	Select the freeze status of the records folder by which to screen. ❖ **Yes—**The records folder is frozen. ❖ **No—**The records folder is not frozen. If you screen for frozen record folders using this field, the screening results will only contain records folders that are frozen themselves, and not those that inherit their freeze status from their parent folder. You can also screen for records folders that are frozen with a specific freeze from the Actions menu on the Freeze Information Page for that freeze.
Freeze Name	Specify the freeze name by which to screen. **Tech Tip:** If you specify a freeze name and select **Freeze Disposition Matches Yes OR Inherited Freeze Disposition Matches Yes**, you will see all records folders that are directly frozen with the specified freeze or that inherit the specified freeze from their parent folder.
Freeze Reason	Specify the freeze reason by which to screen.
Inherited Category Identifier	Specify the inherited category identifier by which to screen. This enables you to search for all folders and subfolders that are in a particular category.

Criteria	Description
Inherited Freeze Disposition	Select the inherited freeze status of records folders by which to screen. ❖ **Yes—**The frozen records folder inherits its freeze status from its parent folder. The screening results will contain all frozen records folders that inherit their freeze status *and* those that are frozen directly. ❖ **No—**The records folder does not inherit its freeze status from its parent folder. The screening results will contain all frozen records folders that do not inherit their freeze status (i.e., they are frozen directly) *and* all records folders that are not frozen at all. If you want the screening results to only display records folders that are frozen directly (and not any unfrozen records folders), you should use the Freeze Disposition field on this page. You can also screen for records folders that are frozen with a specific freeze from the Actions menu on the information page of that freeze.
Inherited Freeze Name	Specify the inherited freeze name by which to screen. This enables you to search for frozen records folders which inherited their freeze name from their parent folder.
Inherited Is Closed	Select if closed records folders inherited their closed status from their parent folder. ❖ **Yes—**The closed records folder inherited its closed status from its parent folder. ❖ **No—**The closed records folder did not inherit its closed status from its parent folder. Rather, it was itself closed.

Criteria	Description
Inherited Review	Select if records folders inherited their review status from their parent folder. ❖ **Yes—**The records folder inherited its review status from its parent folder. ❖ **No—**The records folder did not inherit its review status from its parent folder.
Inherited Reviewer	Specify the inherited reviewer by which to screen. This enables you to search for records folders which inherited their reviewer from their parent folder.
Inherited Review Period	Specify the inherited review period by which to screen. This enables you to search for records folders which inherited their review period from their parent folder.
Last Item Added Date	The date that a content item or record was last added to the records folder.
Obsolete date	The date the records folder became obsolete, either automatically due to disposition instructions or due to manual intervention. For further information about obsolescing a records folders, see Making a Records Folder Obsolete (page 5-10).
Parent Folder Identifier	The identifier of the parent folder of the records folder. ❖ Maximum characters: 100.
Records Folder Description	Enter a few keywords within the records folder description by which to screen.
Records Folder Identifier	Enter the unique records folder identifier by which to screen. ❖ Maximum characters: 100.
Records Folder Name	Enter the records folder name by which to screen. ❖ Maximum characters: 100.
Review date	The date the records folder was last reviewed and marked as such.

Criteria	Description
Reviewer	Enter the name of the reviewer by which to screen.
Review Period	To screen by review period information, select **Greater Than, Greater or Equal, Equal, Less Than, Less or Equal** and enter an integer that represents the starting value of the review period range.
Review Period Units	Select the time unit of the period (for example, “Months”). The selection list contains all available built-in and custom periods.
Security Classification	Select a security classification level from the list by which to screen records folders.
Subject to Audit	Specify if the records folder is subject to an audit, in conjunction with the “Audit Approval” indirect trigger. ❖ **Yes—**The records folder is subject to audit. ❖ **No—**The records folder is not subject to the audit approval indirect trigger.
Subject to Review	Select the review status of the records folder, if inherited from a retention category, parent records folder if applicable, or set at the particular records folder level. ❖ **Yes—**The records folder is designated as a subject to review records folder. ❖ **No—**The records folder is not designated as a subject to review records folder.
Supplemental Markings	Select a supplemental marking from the list by which to screen records folders.

Content and Record Criteria

Use this screen to define the criteria by which to screen items.

When screening for dates, select **On or After**, or **Before** from the dropdown menu and enter a date.

Criteria marked with an asterisk (*) indicates those options which appear only if the Classified Enhancements component is installed and enabled.

Criteria	Description
Content ID	Select the ID of the content or record item.
Title	Select the title of the content or record item.
Security Group	Select the security group of the content or record item.
* Actual Declassified Date	The date the record was actually declassified.
Addressee	The person to whom correspondence was addressed.
Audit	Select the audit period from the list to which the record or records are subject. The audit periods are defined manually by the records administrator.
Addressee	The person to whom correspondence was addressed.
Author or Originator	Select the status of the items to screen. ❖ **Yes**—The item is marked as a record. ❖ **No**—The record is not marked as a record.
* Classification Derived from	Select the classification guide by which to screen. The dropdown list contains all classification guides that are defined in the system.
* Classification Guide Remarks	Specify the text in the classification guide remarks by which to screen.
* Classified By	Enter the name of the user that classified records by which to screen.
* Classifying Agency	Enter the name of the classifying agency by which to screen.

Criteria	Description
* Current Classification	Select the current classification of a record by which to screen.The dropdown list contains defined security classifications. You will only see the classification levels that you are entitled to see. For example, if your assigned classification level as a user is 'Secret', the dropdown list will only show 'Secret' and all lower classification levels. Similarly, if no classification level was assigned to you as a user, you will only see 'No Markings'.
* Declassify Exemption Category	Select the declassification exemption category by which to screen. The dropdown list contains declassification exemption categories defined by the content server system administrator using the Configuration Manager utility.
* Declassify on Date	The date the record was scheduled to be declassified. Specify a date range in the **From** and **To** boxes: ❖ **From—**The screening finds records declassified on or after the specified date. ❖ **To—**The screening finds records declassified before (but not including) the specified date.
* Declassify on Event	Select the declassification event by which to screen. The dropdown list contains declassification events defined by the content server system administrator using the Configuration Manager utility.
Delete Approve Date	The approval date after which a record can be deleted.

Criteria	Description
* Derived from Topic	Select the topic by which to screen. The dropdown list contains all topics associated with the selected classification. **Note:** After you select a topic, none of the five topic-related metadata fields are automatically populated in accordance with the topic definition. Also, if you screen for a particular classification topic, all records that are based on that topic are found, even if you modified their default metadata values.
Distribution List	List of names of those received correspondence.
* Downgrade Instructions	Enter (part of) the downgrade instructions by which to screen.
* Downgrade on Date	The date the classification of the record was downgraded.
* Downgrade on Event	Enter (part of) the classification downgrade event by which to screen.
Email ID	ID designator for a specific piece of correspondence.
Email Subject	A subject in correspondence to use for the search.
Email to Lists	A list name used in correspondence to use for the search.
External	Select the external versus internal status of the record. ❖ **Yes—**The record is designated as an external record. ❖ **No—**The record is not designated as an external record. The record is an electronic record internal to DoD Edition.

Criteria	Description
External Container	Enter the external container by which to screen external records. Maximum characters: 100.
External Location	Enter the external location by which to screen external records. Maximum characters: 100.
Freeze Name	Specify the freeze name by which to screen.
Freeze Reason	Specify the freeze reason by which to screen.
* Initial classification	Select the initial classification of a record by which to screen.The dropdown list contains all defined security classification. You will only see the classification levels that you are entitled to see. For example, if your assigned classification level as a user is ‘Secret’, the dropdown list will only show ‘Secret’ and all lower classification levels. Similarly, if no classification level was assigned to you as a user, you will only see ‘No Markings’.
Is Correspondence	Select to search for correspondence. ❖ **Yes—**It is correspondence. ❖ **No—**It is not correspondence.
Is Cutoff	Select the cutoff status of the record. ❖ **Yes—**The record is cut off. ❖ **No—**The record is not cut off.

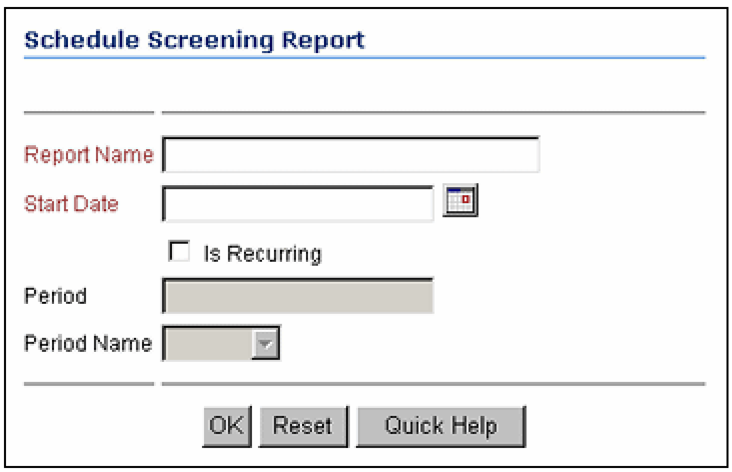
Criteria	Description
Is Frozen	Select the freeze status of the content or record, if inherited from residing within a frozen records folder or set at the item level. ❖ **Yes**—The content is frozen at the record level. ❖ **No**—The content is not frozen at the record level. If you screen for frozen records, the screening results will only contain records that are frozen themselves, not those that are inheriting their freeze status from their parent folder. If you want the screening results to include both types of frozen records, you should use the Freeze Status field on the Disposition Criteria (page 4-12). You can also screen for records that are frozen with a specific freeze from the Actions menu on the Freeze Information Page for that freeze.
Is Record	Select the status of items to screen. ❖ **Yes**—Screen for records. ❖ **No**—Screen for items not marked as records.
Media Type	Select the media type for the content or record by which to screen. The default options are Electronic, Microform, and Paper, but this list can be modified by the content server system administrator using the Configuration Manager utility.
No Longer Latest Revision Date	Specifies the date at which this content is marked as no longer current.
Originating Organization	Select an originating organization by which to screen from the list. The dropdown list contains all originating organizations defined by the content server system administrator (using the Configuration Manager utility).
Other Addresses	Specify other email addresses by which to screen.

Criteria	Description
Publication Date	Specify the date of the item by which to screen.
* Reason(s) for classification	Select the reason(s) for classification of a record by which to screen. The dropdown list contains classification reasons defined by the content server system administrator (using the Configuration Manager utility).
Record Activation Date	The date the record was activated.
Record Cancelled Date	The date the records were cancelled, either automatically due to disposition instructions or due to manual intervention.
Record Cutoff Date	The date the records were cut off.
Record Destroy Date	The date the records were destroyed.
Record Expiration Date	The date records were expired.
Record Filing Date	The date the record was filed.
Record Format	Select a record format by which to screen from the list. The dropdown list contains all record formats defined by the content server system administrator (using the Configuration Manager utility).
Record Obsolete Date	The date the records became obsolete, either automatically due to disposition instructions or due to manual intervention.
Record Rescinded Date	The date the records were rescinded, either automatically due to disposition instructions or due to manual intervention.
Review Date	The date the record or content item was last manually reviewed and marked as such.
Reviewer	Enter the name of the reviewer by which to screen.

Criteria	Description
Review Pending	Indicates if a review is pending. ❖ **Yes**—The record or content item has a review pending. ❖ **No**—The record or content item does not have a pending review.
Review Period	To screen by review period information, select **Greater Than, Greater or Equal, Equal, Less Than, Less or Equal** and enter an integer that represents the starting value of the review period range.
Review Period Units	Select the time unit of the period (for example, "Months"). The selection list contains all available built-in and custom periods.
Subject to Audit	Select if the record is subject to an audit, in conjunction with the "Audit Approval" indirect trigger. ❖ **Yes**—The record is subject to audit. ❖ **No**—The record is not subject to the audit approval indirect trigger.
Subject to Review	Select the review status of the content or record, if inherited from a retention category, records folder, or set at the item level. ❖ **Yes**—The record is designated as a record that is subject to review. ❖ **No**—The record is not designated as a record that is subject to review.
Superseded Date	The date the records or non-record content items were superseded, either automatically due to disposition instructions or due to manual intervention such as when linking superseded records.

Criteria	Description
Superseded Twice	The date the records were superseded for the second time.
Supplemental Markings	Select a supplemental marking by which to screen from the list.

Schedule Screening Report Page



Use this screen to define the attributes of a scheduled screening report. To access it, click the **Schedule** button on the Screen for <topic> Page (page 4-7).

Feature	Description
Report Name field	Specify a name for the scheduled screening report. ❖ Required.
Start Date field	Specify the date that the scheduled screening report will be generated. If the screening report is recurring, the first screening report will be generated for the first time on this date, and all subsequent reports at the end of each recurring period after this date. If the start date is in the past, the processing will be done with the next scheduled run. ❖ Required.

Feature	Description
Is Recurring check box	Specify if the scheduled screening report should be generated periodically.
Period and Period Name fields	These fields are only available if the Is Recurring check box is selected. Specify the interval at which the recurring screening report should be created (for example, once every 2 weeks).

Default Metadata for Checked-In Screening Reports Page

The following screens comprise the Default Metadata for Checked-In Screening Reports page:

Figure 4-7 Top half of screening page

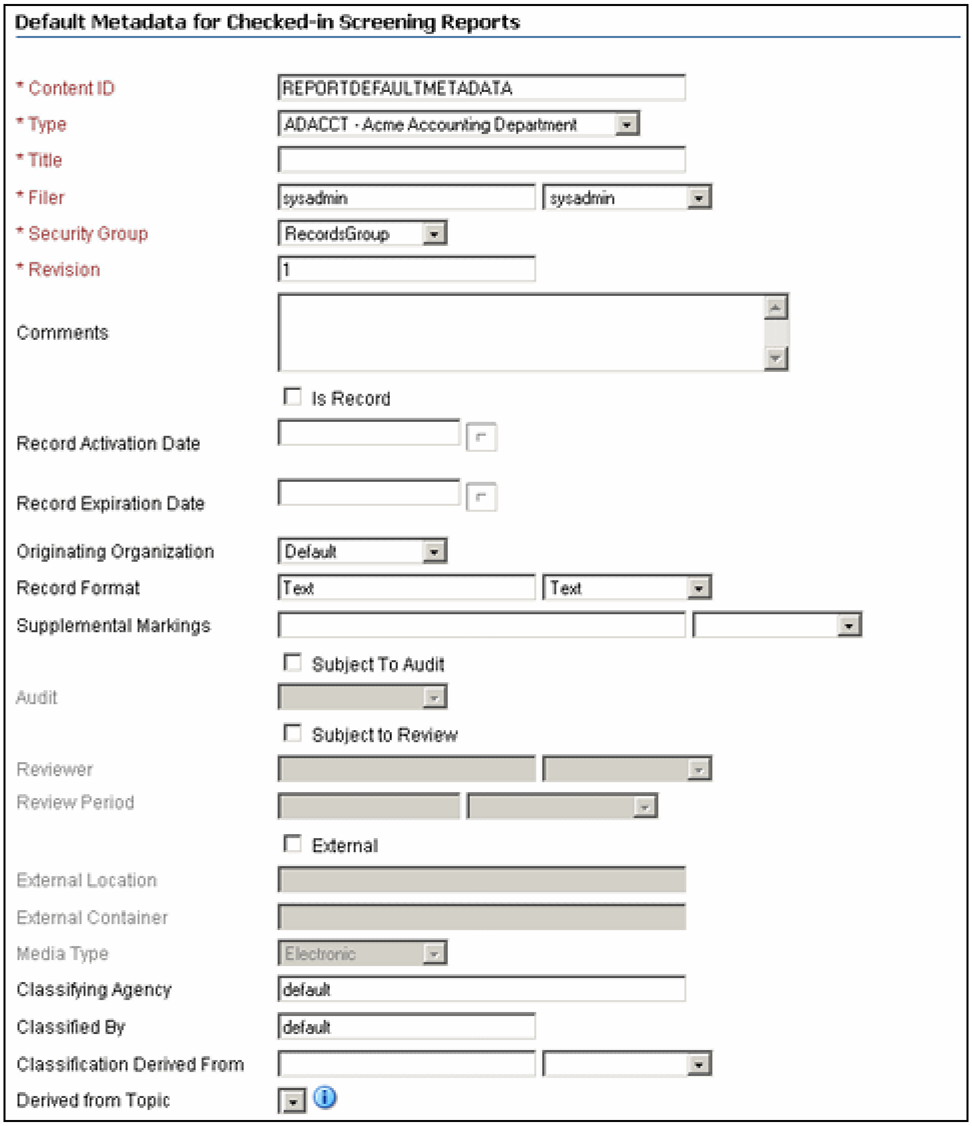


Figure 4-8 Bottom half of screening page

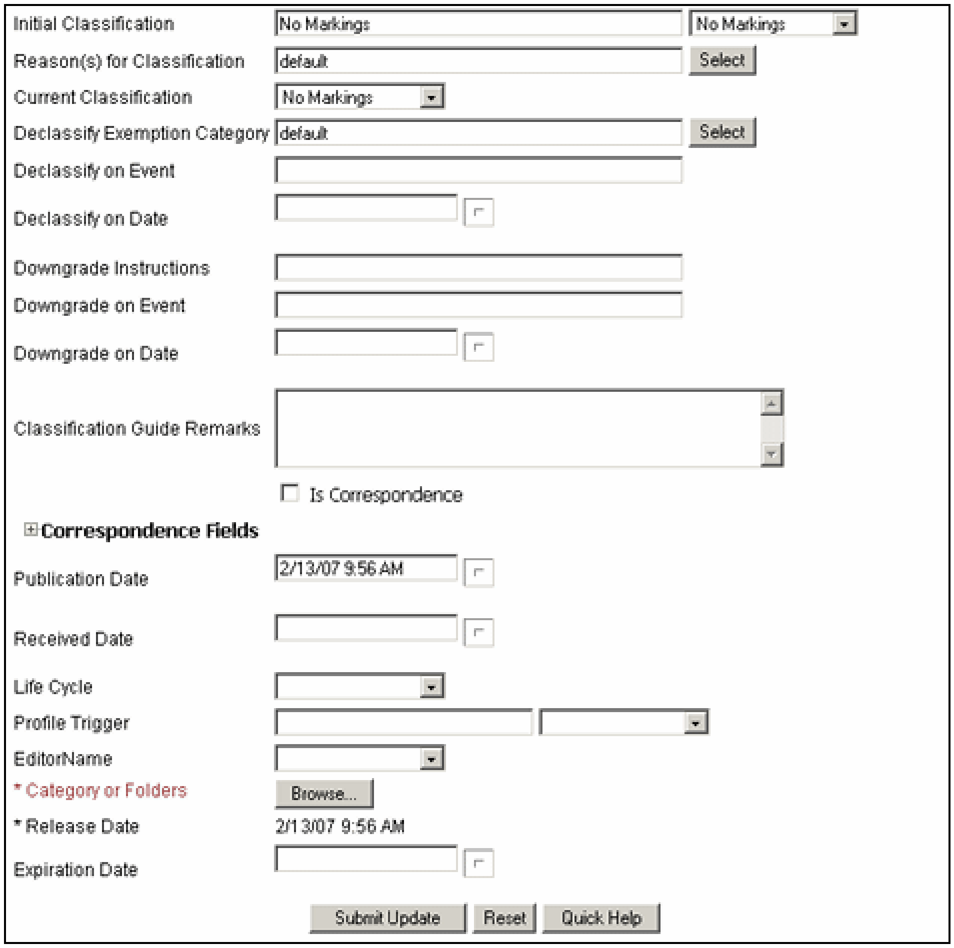
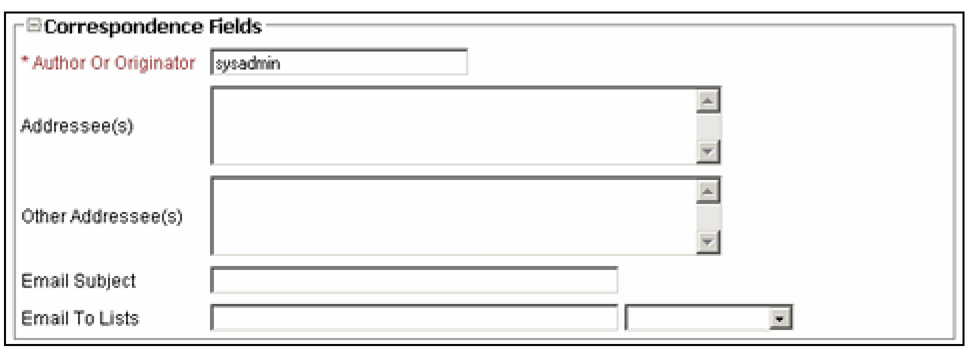


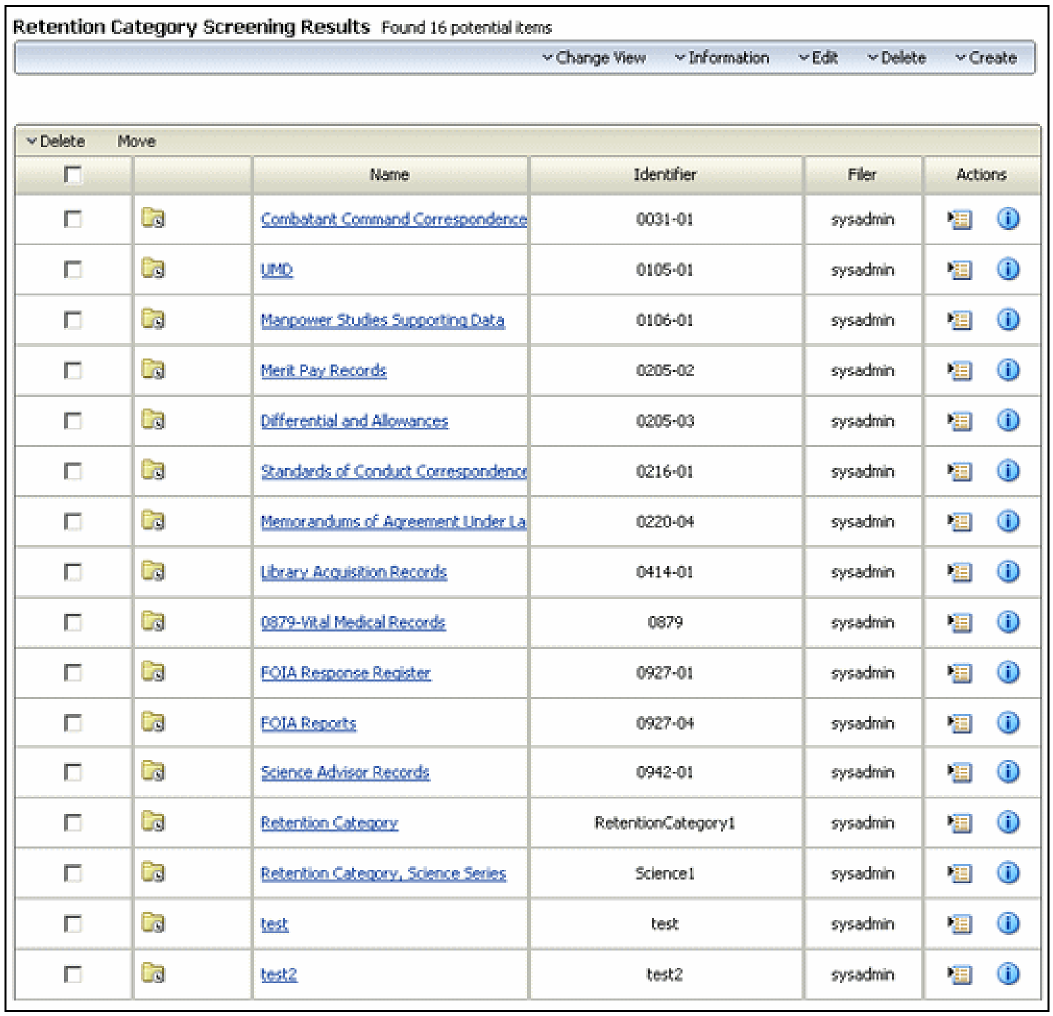
Figure 4-9 Correspondence fields on screening page



Use this page to define the default metadata for checked-in screening reports. To access it, select **Screening—Metadata Defaults** from the Configure Records Management Page (page 3-1)

Select the Is Record check box to check in generated screening reports as records. This updates the page to include a number of records-related metadata fields.

Screening Results Page


Retention Category Screening Results Found 16 potential items

Change View | Information | Edit | Delete | Create

Delete | Move

		Name	Identifier	Filer	Actions
		Combatant Command Correspondence	0031-01	sysadmin	
		UMD	0105-01	sysadmin	
		Manpower Studies Supporting Data	0106-01	sysadmin	
		Merit Pay Records	0205-02	sysadmin	
		Differential and Allowances	0205-03	sysadmin	
		Standards of Conduct Correspondence	0216-01	sysadmin	
		Memorandums of Agreement Under La	0220-04	sysadmin	
		Library Acquisition Records	0414-01	sysadmin	
		0879-Vital Medical Records	0879	sysadmin	
		FOIA Response Register	0927-01	sysadmin	
		FOIA Reports	0927-04	sysadmin	
		Science Advisor Records	0942-01	sysadmin	
		Retention Category	RetentionCategory1	sysadmin	
		Retention Category, Science Series	Science1	sysadmin	
		test	test	sysadmin	
		test2	test2	sysadmin	

Use this page to view the results of your screening criteria. This page is displayed when you click **Search** on the Screen for <topic> Page (page 4-7). The results displayed depend on the type of search done. The following is an example of a Retention Category screening results page.

This page shows all retention categories that meet the criteria of the screening query that was performed.

Tech Tip: You can save the screening query so it appears in your saved query list under My Content Server. This enables you to perform the query later without having to go through screening pages. To save the query, choose **Save Search** in the **Actions** dropdown menu on the Records Screening Results page.

UPDATING INFORMATION

Permissions: The admin.noRmaSecurity right is required to perform updates. This right is not assigned by default to any role and must be assigned for the **Update** options to appear on the Configure Records Management Page (page 3-1). In addition, users must have the Admin role assigned to access and perform updates.

By using the Update functionality in Records Manager DoD Edition you can quickly find and change large amounts of information at one time. You can choose to change the information immediately or at a later time by using a scheduled update option. For example, you can change any items in a cateogory that match a certain disposition to a different review type or to a new reviewer.

To access this functionality, select **Update—<*type*>** from the Configure Records Management Page (page 3-1). These options also appear on other pages as information is screened.

The Define Query Page (page 4-36) is displayed. The options are this page are similar to those on the Screen for <topic> Page (page 4-7). The options in the Query section depend on the type of query being performed (category, records or folders, or internal content).

Follow these steps to define a query:

1. Choose a field for use from the dropdown menu.
2. Select a substring from the displayed list.
3. Select a query value from a displayed list.
4. Select a field that will be updated for all items matching your first query.
5. Select a substring for the value from the displayed list.

6. Select a new value for the field.
7. To preview the results of the update, click **Preview Results** in the upper right corner of the screen.
8. To schedule the update for a later time, click **Schedule**. See Scheduling Updates (page 4-35) for more details. Click **Run Now** to run the change immediately. A message is displayed, indicating that the selected items were updated. Click **OK** to return to the Define Query Page (page 4-36).

Scheduling Updates

To run the update at a later time, click **Schedule** to open the Query Schedule Section (page 4-36) of the screen.

Select a time for the update and click **Submit**. Enter a name for the update event and click **OK**. The Scheduled Update Screen (page 4-37) is displayed. You can also access this screen by using the **Tasks—Search and Update** option from the Configure Records Management Page (page 3-1).

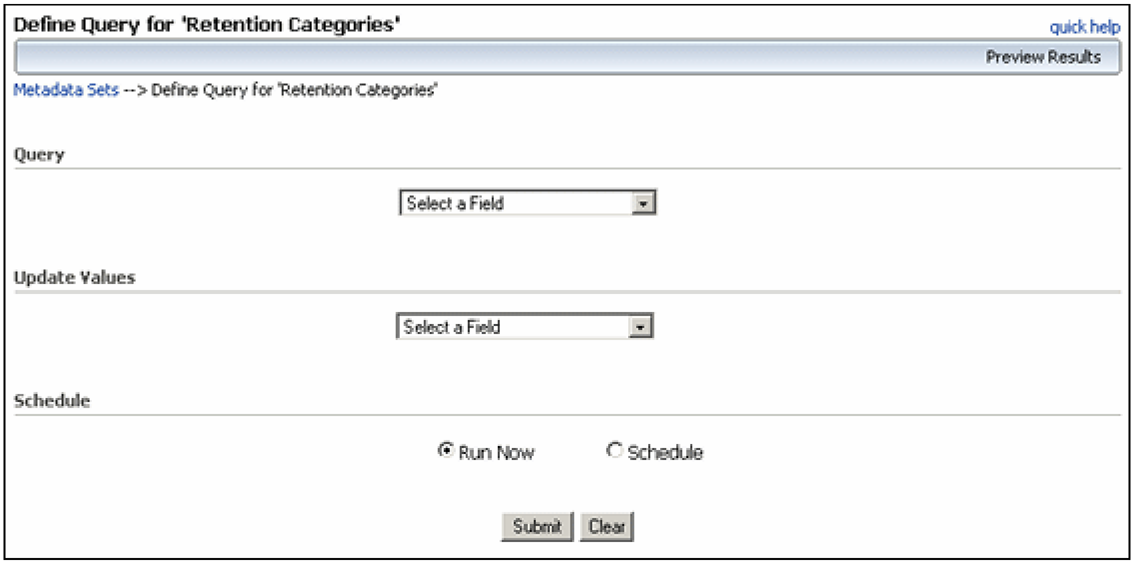
You can use this page to change the scheduled event. To edit an event, select **Edit Scheduled Event**. To delete the event, select **Delete Scheduled Event**. And to run the event immediately, select **Run Now**.

Update Interface

The following screens are accessed when using the update functionality:

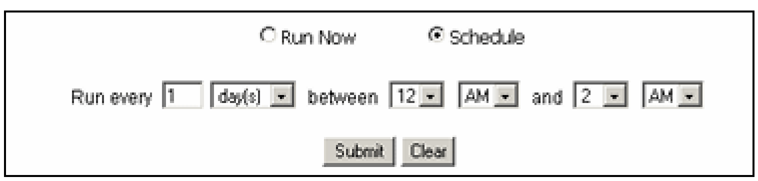
- Define Query Page (page 4-36)
- Query Schedule Section (page 4-36)
- Scheduled Update Screen (page 4-37)

Define Query Page



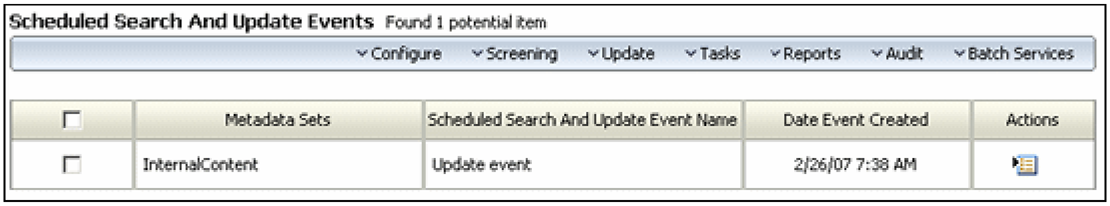
Use this page to define what fields will be updated and what values will be used for updating. To access this screen, select **Update—<*type*>** from the Configure Records Management Page (page 3-1) or **Tasks—Search and Update** from the Configure Records Management Page (page 3-1).

Query Schedule Section



The Schedule portion of the Define Query Page (page 4-36) is used to choose the times when updates will occur. To access this portion, click the Schedule button on the Define Query Page (page 4-36). Select values from the pulldown lists for the update schedule and select **Submit** when finished.

Scheduled Update Screen



This screen shows the results of scheduling an update action. This screen is displayed after scheduling an update or search or by selecting **Tasks—Scheduled—Search and Updates** from the Configure Records Management Page (page 3-1).

Use the **Actions** menu for the individual event to change the options for that event. The page menu on this screen is the same as that on the Configure Records Management Page (page 3-1).

Feature	Description
Metadata Sets	This indicates the type of update which was selected.
Scheduled Search and Update Event Name	This is the event name which was entered when the scheduled update was created.
Date Event Created	This is the date when the scheduled event was created.
Actions	A pulldown menu with options to be used on the individual events: ❖ **Run Now**: Runs the event without waiting for the scheduled time. ❖ **Edit Scheduled Event**: Opens the Define Query Page (page 4-36) where the event can be edits. ❖ **Delete Scheduled Event**: Deletes the event. You are prompted to confirm the deletion.

Chapter

5

WORKING WITH RECORDS FOLDERS

OVERVIEW

This section covers a number of tasks associated with the general maintenance and processing of records folders.

Note: Records folders contain only folders or other record folders. They do not contain non-record content.

This chapter covers the following topics:

Concepts

Tasks

Interface

- Records Folder Information page (page 5-18)
- Life Cycle of Records Folder Page (page 5-19)
- Folder Review History Page (page 5-19)
- Records Folder Metadata History Page (page 5-20)
- Freeze Details Page (page 5-20)
- Metadata History Page (page 5-22)
- Freeze/Unfreeze Dialog Screen (page 5-22)

Note: For information about creating, editing, and deleting records folders in the retention schedule, see the *Records Manager DoD Edition System Setup Guide*.

About Records Folder Maintenance

Maintaining and processing records folders involves tasks such as moving folders, handling events such as cancelling, expiring, or rescinding folders, or marking folders as obsolete for any other condition. After a records folder is marked as obsolete, any enabled event triggers associated with the records begins the disposition processing based on such events. In addition, tasks associated with records folders include applying specific disposition rules or supplemental markings to folders, or temporarily extending retention periods when disposition processing is frozen.

Managing Records Folders

The following tasks are involved in managing folders:

- Viewing Information (page 5-3)
- Moving, Closing, or Freezing a Folder (page 5-6)
- Canceling, Expiring, and Rescinding Folders (page 5-9)
- Classification Settings for Folders (page 5-11)
- Setting Dates with Folders (page 5-16)

Viewing Information

Permissions: The Folder.Read right is required to perform these actions. All predefined record management roles (‘rma’, ‘rmaprivileged’, and ‘rmaadmin’) have this right.

Viewing folder information can be done in different ways depending on your location in the product hierarchy. First locate the item by browsing, searching, or screening. Then perform one of the following actions:

- On the search or screening results page, select **Information** then the desired option (**Life Cycle**, **Recent Reviews**, and so on) from the folder’s **Actions** popup menu.
- On the search or screening results page, click the Info icon ( ) of the folder.

  The Records Folder Information page (page 5-18) is displayed. On the Page’s top menu, select **Information** then the option you need (**Life Cycle**, **Metadata History**, and so on).

The information displayed depends on the configuration and if optional fields were populated.

Menu Options

The following options appear on the menus on the Item’s **Actions** popup menu and on the Information page menu:

- **Information**
  - **Life Cycle**: Displays the complete life cycle of the records folder according to its scheduled disposition, including the calculated dates of each disposition action. For more information, see Viewing a Records Folder Life Cycle (page 5-5).
  - **Recent Reviews**: Displays the complete review history of the records folder. For more information, see Viewing a Folder Review History (page 5-5).
  - **Metadata History**: Displays the metadata history of a records folder (i.e., a list of all changes made to the editable folder properties). For more information, see Viewing a Records Folder Metadata History (page 5-5).
- **Edit**
  - **Edit Folder:** Used to edit the properties of a folder. See the *Records Manager DoD Edition System Setup Guide* for details.

- **Edit Review**: Used to edit the review status, review period, or reviewer of the records folder. For more information, see Managing Review Information (page 7-2).
- **Move**: Used to move the folder to another location. See the *Records Manager DoD Edition System Setup Guide* for details.
- **Close (Unclose)**: Closes the records folder to further filing by anyone other than users with the Folder.Open/Close right. This action toggles to **Unclose** when a records folder is already frozen. See Closing or Unclosing (Reopening) a Records Folder (page 5-7).
- **Freeze**: Freezes a records folder. See Freezing or Unfreezing a Records Folder (page 5-8).
- **Unfreeze**: Unfreezes a records folder. See Freezing or Unfreezing a Records Folder (page 5-8).

❖ **Trigger Dates**

- **Cancel**: Cancels all records within a records folder. The Cancel option makes records obsolete. See Canceling Folders (page 5-9).
- **Expire**: Expires all records within a records folder. The Expire action makes records obsolete. See Expiring a Records Folder (page 5-10).
- **Obsolete (Undo Obsolete)**: Marks all records within a records folder and the records folder itself as obsolete. See Making a Records Folder Obsolete (page 5-10). This action toggles to **Undo Obsolete** when a records folder becomes obsolete due to Obsolete, Cancel, Expire, or Rescind actions. See Reversing a Records Folder Obsolete Status (page 5-11).
- **Rescind**: Rescinds a records folder and records therein. The Rescind action makes records obsolete. See Rescinding a Records Folder (page 5-10).
- **Mark reviewed**: Marks a records folder as reviewed for review, destruction, or other review purpose. See Marking a Records Folder as Reviewed (page 5-12).
- **Undo Cutoff**: Only available if a records folder has been cut off. This reverses the cut-off. For further information, see Processing a Cutoff Event (page 9-14).

❖ **Delete:** See the *Records Manager DoD Edition System Setup Guide* for details.

- **Delete Folder**
- **Delete Tree**

❖ **Create:** See the *Records Manager DoD Edition System Setup Guide* for details.

- **Create Records Folder**

- **Create Record**

Viewing a Records Folder Life Cycle

Use the previously described procedure to access the **Information** menu to view the life cycle (disposition schedule) of a records folder. The disposition instructions must be defined for the retention category of the records folder. After a record folder has been cut off, the record folder begins disposition processing and cannot be edited.

When you select **Life Cycle** from a menu, the Life Cycle of Records Folder Page (page 5-19) is displayed.

The page shows the complete life cycle of the records folder according to its scheduled disposition, including the calculated dates of each disposition action.

Viewing a Folder Review History

Use the previously described procedure to access the **Information** menu to view the review history of a records folder (i.e., a list of all users that marked that records folder as reviewed and when).

When you select **Recent Reviews** from a menu, the Folder Review History Page (page 5-19) of the records folder is displayed.

The page shows a list of everyone who has reviewed the records folder (and marked it as reviewed as well as the date and time of review.

Viewing a Records Folder Metadata History

Use the previously described procedure to access the **Information** menu to view the metadata history of a records folder (i.e., a list of all changes to the metadata of that records folder). When you select **Metadata History** from a menu, the Metadata History Page (page 5-22) of the records folder is displayed.

The page shows an overview of all changes made to the editable properties of the records folder, together with the affected metadata field name, the modification date and time, and the old and new values.

Viewing a Records Folder Freeze Details

Use the previously described procedure to access the **Information** menu to view detailed freeze information about a records folder (i.e., a list of all freeze that are currently applied to the folder. When you select **Freeze Details** from a menu, the Freeze Details Page (page 5-20) is displayed.

If the records folder is frozen, the Freeze Disposition field value is 'Yes' on the Folder Information Page and a **Details** hyperlink is displayed next to the field value. You can also clink that hyperlink to view Freeze information.

The Freeze Details Page (page 5-20) shows all freezes that are currently applied to the records folder. If the folder inherited its freeze status from a parent folder, that folder's name is shown in the Inherited From column for the freeze that was inherited. If you click the info icon (i) for an item in the list, the Records Folder Information page (page 5-18) for the folder is displayed.

To save the information on this page to a file in the report, choose the **Save Freeze Details** option from the Page menu.

Note: If the generated report file is in PDF format, it cannot be viewed using Adobe Acrobat 5.*x* or earlier. You need at least version 6.0 of the Acrobat software.

Moving, Closing, or Freezing a Folder

Permissions: The appropriate Folder rights (Folder.Move, Folder.Open/Close, Folder.Freeze/Unfreeze) are required to perform these action. These rights are assigned by default to the 'rmaprivileged'and 'rmaadmin' roles.

Managing folder information can be done in different ways depending on your location in the product hierarchy. First locate the item by browsing, searching, or screening. Then perform one of the following actions:

- On the search or screening results page, select **Edit** then the desired option (**Close**, **Move**, and so on) from the folder's **Actions** popup menu.
- On the search or screening results page, click the Info icon (i) of the folder.

  The Records Folder Information page (page 5-18) is displayed. On the Page's top menu, select **Edit** then the option you need.

The information displayed depends on the configuration and if optional fields were populated.

Moving a Records Folder

You can move a records folder to another retention category or records folder.

Use the previously described procedure to access the **Edit** menu for the folder to move. When you select **Move** from a menu, the Select Retention Category page is displayed.

Click to expand the tree, and click on the category or records folder where the folder will be moved. The location field populates with the new location. Click **OK** when done.

Caution: If a records folder inherits its security settings and disposition rules from its parent category, make sure the new location has the same desired settings. If a records folder has its own security settings, moving the folder is not a concern with regard to security. Because records folders also inherit disposition instructions from the parent category, be sure that any new category location has the disposition instructions appropriate for the records folder. If a records folder has its own disposition rule or rules, then moving the folder is a concern with regard to disposition processing. If a records folder has its own disposition instructions, you cannot move the folder until you remove that association. For more information, see Reapplying a Disposition Rule to All Records Folders (page 5-15). Then recreate the rules unique to the folder in its new location if necessary.

Closing or Unclosing (Reopening) a Records Folder

After a record folder is closed, no further records can be checked (filed) into the closed records folder or its subfolders (child records folders) unless the user has the Folder.Open/Close right or is the author of the closed folder. If a user without these rights attempts to file a record into a closed folder, a message is displayed stating that the folder is closed. The record is not filed.

Important: Closing a folder does not prevent disposition processing; only freezing a folder pauses disposition processing.

Closing a records folder refers to “locking” a records folder, and does *not* correlate with collapsing and expanding records folders within the Browse Content area. A closed or “locked” records folder is indicated with a padlock image superimposed on the records folder icon:

Figure 5-10 Closed Records Folder icon

Depending on settings in your user profile, the icons may appear slightly different, such as a book background icon rather a folder.

Use the previously described procedure to access the **Edit** menu for the folder to close. When you select **Close** from a menu, you are prompted to enter a reason for the action. If desired, enter a reason, and click **OK** to confirm. If you do not want to enter a reason, leave the text box empty, and click **OK**. If you click Cancel, the entire action is aborted.

If you confirmed the action, the folder icon includes a padlock ( ) to indicate it is closed.

To unclose or “unlock” a folder, select **Edit—Unclose** from a menu. Follow the same procedure as that described to close a folder.

Freezing or Unfreezing a Records Folder

Freezing a records folder inhibits disposition processing for that folder. You can still navigate frozen folders within the Browse Content area, check records into frozen folders, and perform any other edits as allowed by your assigned rights. Records folders that reside in a frozen folder inherit the freeze status from their parent folder, but they can also be frozen independently of the folder (usually with a different freeze).

When freezing a records folder, you can choose from a number of predefined freezes and you can enter a reason for freezing the folder. The reason is displayed in the Comments section of the audit trail, as well as in the Records Folder Information and Edit Records Folder pages. A frozen records folder is indicated by a pause symbol in the folder Name field of the Exploring Retention Category page:

Figure 5-11 Frozen Folder icon

You can apply more than one freeze to a records folder. You can view the Freeze Details Page for the records folder to see a list of all freezes currently applied to the folder (both direct and inherited). See the *Records Manager DoD Edition System Setup Guide* for details about creating and viewing freezes.

Use the previously described procedure to access the **Edit** menu for the folder to close. When you select **Edit—Freeze** from the **Actions** popup menu the Freeze/Unfreeze Dialog Screen (page 5-22) is displayed. Select the freeze to be applied to the records folder and provide a reason for the freeze. If you do not want to enter a reason, leave the text box empty.

Click **OK** to confirm the freeze. If you click **Cancel**, the entire action is aborted. If you confirmed the action, the freeze icon appears next to the records folder name in the **Name** column of the Exploring page.

Note: After a records folder is frozen, you cannot edit its freeze reason. If the freeze is no longer correct, you should unfreeze the folder and freeze it with a new reason.

Unfreezing a records folder releases a frozen folder again for disposition processing. You can only unfreeze one records folder at a time. Follow the same procedure to unfreeze a folder, selecting **Edit—Unfreeze** from a menu. If you confirm the action, the freeze icon no longer appears next to the records folder name in the **Name** column of the Exploring page.

Canceling, Expiring, and Rescinding Folders

Permissions: The Folder.Edit right is required to perform these actions. This right is assigned by default to the ‘rmaprivileged’ and ‘rmaadmin’ roles.

Manipulating folders can be done in different ways depending on your location in the product hierarchy. First locate the item by browsing, searching, or screening. Then perform one of the following actions:

- On the search or screening results page, select **Trigger Dates** then the desired option (**Cancel**, **Expire**, and so on) from the folder’s **Actions** popup menu.
- On the search or screening results page, click the Info icon ( ) of the folder.

  The Records Folder Information page (page 5-18) is displayed. On the Page’s top menu, select **Trigger Dates** then the option you need.
- To perform actions on multiple folders, select **Trigger Dates** then the desired option from the Table menu on the search result page.

Note: You can undo these actions by choosing **Trigger Dates—Undo Obsolete** in the **Actions** popup menu for the folder or on the Page menu of the Records Folder Information page (page 5-18).

Canceling Folders

Use the previously described procedure to access the **Trigger Dates** menu to cancel a records folder directly, either after receiving a notification to do so (as part of a disposition instruction) or ad hoc. When a records folder is cancelled, its status becomes obsolete.

When you select **Cancel** from the Trigger Dates menu, you are prompted to enter a reason for the action. Enter a reason or leave the text box empty. Click **OK** to confirm. If you click **Cancel**, the entire action is aborted.

You can verify the cancellation on the Records Folder Information page which displays the date the records folder was cancelled, and also displays a corresponding obsolete date.

Expiring a Records Folder

Use the previously described procedure to access the **Trigger Dates** menu to expire a records folder directly, either after receiving a notification to do so (as part of a disposition instruction) or ad hoc. When a records folder is expired, its status becomes obsolete.

You can also expire a records folder if you are a records administrator processing pending events as a result of receiving notification. For further information, see Processing an Expire Event (page 9-18).

When you select **Trigger Dates—Expire** from a menu, you are prompted to enter a reason for the action. Enter a reason or leave the text box empty. Click **OK** to confirm. If you click **Cancel**, the entire action is aborted.

You can verify the expiration on the Records Folder Information page which displays the date the records folder was expired.

Rescinding a Records Folder

Use the previously described procedure to access the **Trigger Dates** menu to rescind a records folder directly, either after receiving a notification to do so (as part of a disposition instruction) or ad hoc. When a records folder is rescinded, its status becomes obsolete.

When you select **Trigger Dates—Rescind** from a menu, you are prompted to enter a reason for the action. Enter a reason or leave the text box empty. Click **OK** to confirm. If you click **Cancel**, the entire action is aborted.

You can verify the action on the Records Folder Information page which displays the date the records folder was rescinded.

Making a Records Folder Obsolete

There are certain actions that automatically cause a records folder to become obsolete:

- Expire
- Cancel
- Rescind

You can also mark a folder as obsolete without using one of these actions. Use the previously described procedure to access the **Trigger Dates** menu to mark a records folder obsolete. When you select **Trigger Dates—Obsolete** from a menu, you are prompted to enter a reason for the action. Enter a reason or leave the text box empty. Click **OK** to confirm. If you click **Cancel**, the entire action is aborted.

You can verify the action on the Records Folder Information page which displays the date the records folder was made obsolete.

Reversing a Records Folder Obsolete Status

Use this procedure to reverse the obsolete status or a records folder. You can reverse the status of expired, cancelled, or rescinded records folders.

Permissions: The Folder.Edit right is required to perform this action. This right is assigned by default to the 'rmaprivileged' and 'rmaadmin' roles.

Use the previously described procedure to access the **Trigger Dates** menu to reverse obsolete status.

When you select **Trigger Dates—Undo Obsolete**from a menu, you are prompted to enter a reason for the action. Enter a reason or leave the text box empty. Click **OK** to confirm. If you click **Cancel**, the entire action is aborted.

Classification Settings for Folders

The following tasks are used when managing classification settings for records folders:

- Undoing a Records Folder Cutoff (page 5-11)
- Marking a Records Folder as Reviewed (page 5-12)
- Assigning Supplemental Markings to a Records Folder (page 5-12)
- Removing Supplemental Marking from a Records Folder (page 5-13)
- Applying a Disposition Rule to a Records Folder (page 5-14)
- Reapplying a Disposition Rule to All Records Folders (page 5-15)

Undoing a Records Folder Cutoff

Use this procedure to undo (cancel) the cutoff of a records folder. After this procedure, the records folder is no longer cut off and is available for disposition.

Permissions: The Folder.UndoCutoff right is required to perform this action. This right is assigned by default to the 'rmaadmin' role.

1. Browse content in the Retention Schedule to locate the appropriate records folder. Records administrators can use screening to quickly isolate records folders.

2. In the row of the folder, click the Info icon.

   The Records Folder Information page (page 5-18) is displayed.

3. From the **Actions** list, click **Undo Cutoff**.

Marking a Records Folder as Reviewed

Use this procedure to mark a records folder as reviewed in the Records Information page. Two commands are available:

- Mark reviewed
- Mark reviewed recursive

The Mark Reviewed action marks the current folder only as reviewed. Any child folders are not marked as reviewed. The Mark reviewed recursive action mark the current records folder you are viewing as reviewed, as well as any child records folders and records. The “Mark reviewed recursive” option is only displayed if a records folder has child folders.

Permissions: The Folder.Edit right is required to perform this action. This right is assigned by default to the ‘rmaprivileged’ and ‘rmaadmin’ roles.

1. Open the **Browse Content** tray, and click the **Retention Schedules** link. The Exploring Series “Retention Schedule” page is displayed.
2. Navigate to the records folder to use.
3. Review the information about the folder.
4. In the row of the folder, choose **Trigger Dates—Mark Reviewed** (to mark only the current folder as reviewed) or **Trigger Dates—Mark reviewed recursive** (to mark all child folders and records as reviewed) from the **Actions** popup menu.
5. You are prompted to enter a reason for the action. If desired, enter a reason, and click **OK** to confirm. If you do not want to enter a reason, leave the text box empty, and click **OK**. If you click **Cancel**, the entire action is aborted.

   If you confirmed the action, the Records Folder Information page displays the date the records folder was reviewed.

Assigning Supplemental Markings to a Records Folder

Use this procedure to mark a records folder you have created with one or more supplemental markings, if you did not mark a records folder as you were initially creating the records folder.

Prerequisites:

- Enabling a Supplemental Markings
- Creating a Supplemental Marking
- Creating a Records Folder

See the *Records Manager DoD Edition System Setup Guide* for details.

Permissions: The Folder.Edit right is required to perform this action. This right is assigned by default to the 'rmaprivileged' and 'rmaadmin' roles.

1. Open the **Browse Content** tray, and click the **Retention Schedules** link. The Exploring Series "Retention Schedule" page is displayed.
2. Navigate to the records folder to use.
3. In the row for the records folder, choose **Edit—Edit Folder** from the **Actions** popup menu.

   The Edit Records Folder page is displayed.
4. In the **Supplemental Markings** list, open the list, and click to select the marking or markings to associate with the records folder.
5. Click **Submit Update**. The successfully updated records folder message is displayed.

Removing Supplemental Marking from a Records Folder

Permissions: The Folder.Edit right is required to remove a supplemental marking from a record folder. This right is assigned by default to the 'rmaprivileged' and 'rmaadmin' roles.

1. Open the **Browse Content** tray, and click the **Retention Schedules** link. The Exploring Series "Retention Schedule" page is displayed.
2. Navigate to the records folder to use.
3. In the row for the records folder, choose **Edit—Edit Folder** from the **Actions** popup menu.

   The Edit Records Folder page is displayed.
4. In the **Supplemental Markings** list, delete a marking by editing the text in the Supplemental Markings text box.
5. Click **Submit Update**. The successfully updated records folder message is displayed.

Caution: Each supplemental marking must have a comma and a space between markings, or else an access denied error occurs when trying to access content with multiple markings and Match All Markings is enabled on the Configure Records Management Page (page 3-1).

Applying a Disposition Rule to a Records Folder

Use this procedure to apply a disposition rule within a retention category to a specific records folder only. This makes it possible to customize disposition instructions for a category with multiple records folders with slightly different disposition instructions.

Prerequisite:

- Define the Disposition Instructions. See the *Records Manager DoD Edition System Setup Guide* for details.

Permissions: The Folder.Edit right is required to perform this action. This right is assigned by default to the ‘rmaprivileged’ and ‘rmaadmin’ roles.

To apply a disposition rule to a specific records folder, complete the following steps:

1. Open the **Browse Content** tray, and click the **Retention Schedules** link. The Exploring Series “Retention Schedule” page is displayed.
2. Navigate to the records folder to use.
3. In the row for the records folder, choose **Disposition Information** from the Item **Actions** popup menu.

   The Disposition Information Page is displayed.
4. Select **Edit—Edit Disposition** from the Page menu.

   The Disposition Rule Screen is displayed.
5. In the **Apply to Records Folder** list (or the **On Folder(s)**) list, if you have the user-friendly captions configured) select the records folder, and click **OK**. The Disposition Rule screen closes. The records folder appears next to the rule.
6. In the Disposition Instructions Page, click **Submit Update**. The successfully updated dispositions message is displayed.
7. Click **OK**. The Exploring Retention Category page is displayed again.

Reapplying a Disposition Rule to All Records Folders

Use this procedure to reapply a disposition rule for a specific records folder to all child records folders within a category. This procedure is required to move a records folder that has its own disposition rule or rules, or to apply a rule that is unique to a folder to all records folders. Setting the disposition rule to apply to all folders removes the association of the rule to the specific folder.

Prerequisite:

❖ Define the Disposition Instructions. See the *Records Manager DoD Edition System Setup Guide* for details.

Permissions: The Folder.Edit right is required to reapply a disposition rule to all records folders in a category. This right is assigned by default to the 'rmaprivileged' and 'rmaadmin' roles.

To reapply a disposition rule to all records folders, complete the following steps:

1. Open the **Browse Content** tray, and click the **Retention Schedules** link.

   The Exploring Series "Retention Schedule" page is displayed.

2. Navigate to the category that contains the records folder.
3. Select **Edit—Edit Disposition** from the Actions menu for the item.

   The Disposition Information Page is displayed.

4. Select **Edit** from the Page menu.

   The Disposition Instructions Page is displayed.

5. Any rules that have a unique folder specified appear next to the rule. Select the rule to apply to all records folders, and click **Edit**.

   The Disposition Rule Screen is displayed.

6. In the **Apply to Records Folder** list (or the **On Folder(s)**) list, if you have the user-friendly captions configured) select **All**, and click **OK**. The Disposition Rule screen closes.
7. In the Disposition Instructions Page, click **Submit Update**. The successfully updated dispositions message is displayed.
8. Click **OK**. The Exploring Series "Retention Schedule" page is displayed.

Setting Dates with Folders

Permissions: The Folder.Edit right is required to perform these actions. This right is assigned by default to the ‘rmaprivileged’ and ‘rmaadmin’ roles.

An external records folder is external to the records management system, and has a tangible counterpart to the electronic records folder that tracks it. An external records folder is indicated as such on the Records Folder Information page by the information field “External: Yes.”

Setting dates can only be done on the Edit Record Folder Page (page 5-23). Use one of these methods to access that page:

- ❖ On the search or screening results page, select **Edit—Edit Folder** from the folder’s **Actions** popup menu.
- ❖ On the search or screening results page, click the Info icon ( ) of the folder.

  The Records Folder Information page (page 5-18) is displayed. On the Page’s top menu, select **Edit—Edit Folder** then the option you need.

Activating a Records Folder

In the External fields area of the Edit Record Folder Page (page 5-23), click the calendar component icon and select a date for the **Activation date** box.

Click **Submit Update**. The Records Folder Information page displays the activation date for the records folder.

Expiring a Records Folder

Entering an expiration date for a records folder also makes the folder have an obsolete status and date that matches the expiration date.

In the External fields area, click the calendar component icon and select a date for the **Expiration date** box.

Click **Submit Update**. The Records Folder Information page displays the new date.

Entering a Delete Approval Date for an External Folder

Use this procedure to enter an approval date for deleting at an external records folder from the retention schedule. Entering the delete approval date does not prevent deleting an external folder prior to that date; it merely indicates the date deleting the external folder was approved.

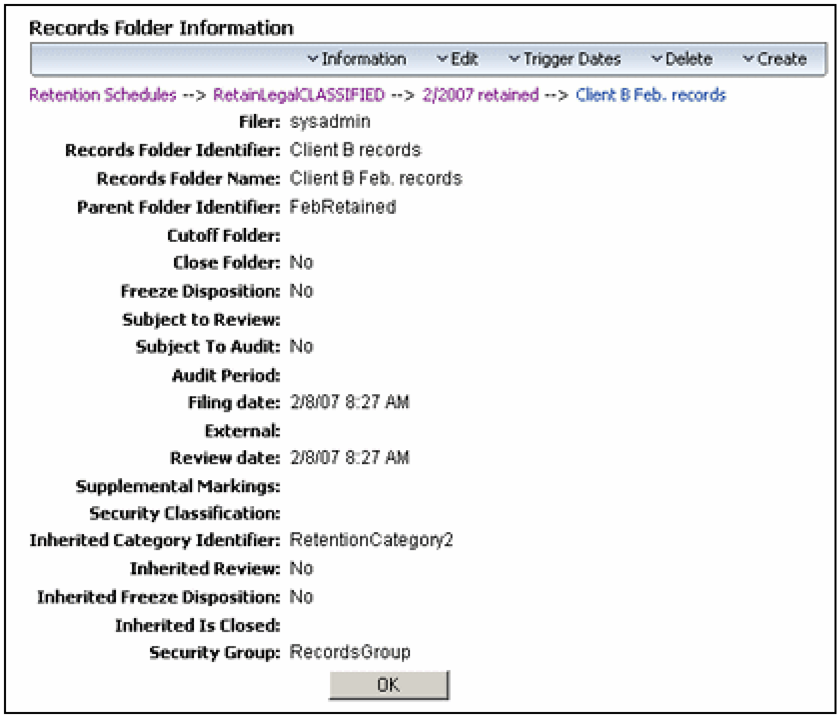
In the External fields area, click the calendar component icon and select a date for the **Delete Approval date** box.

RECORDS FOLDER INTERFACE SCREENS

The following screens are used when managing records folders.

- Records Folder Information page (page 5-18)
- Life Cycle of Records Folder Page (page 5-19)
- Folder Review History Page (page 5-19)
- Records Folder Metadata History Page (page 5-20)
- Freeze Details Page (page 5-20)
- Metadata History Page (page 5-22)
- Freeze/Unfreeze Dialog Screen (page 5-22)

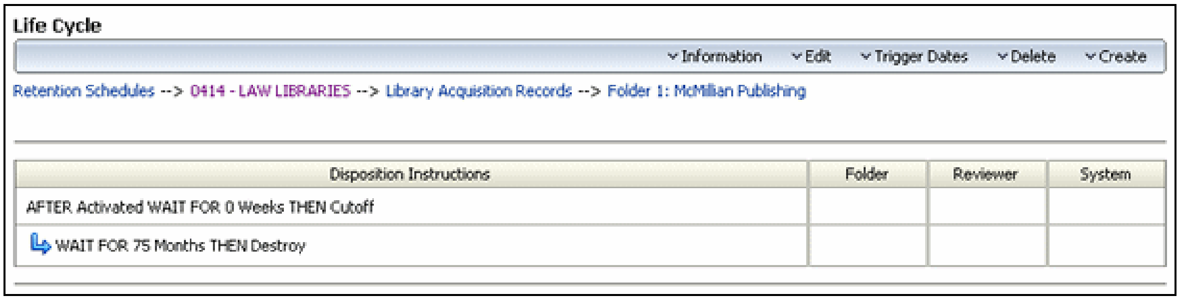
Records Folder Information page



This page displays basic information about a folder and can be accessed by opening the **Browse Content** tray and clicking the **Retention Schedules** link. The Exploring Series "Retention Schedule" page is displayed. Navigate to the records folder to use. In the row for the records folder, do one of the following:

- Click the Info icon ( ).
- Click the Action icon ( ) and choose **Information—Folder Information** from the popup menu.

Life Cycle of Records Folder Page

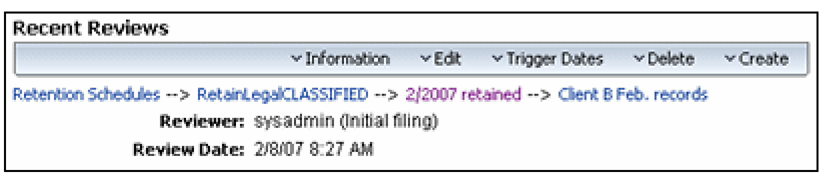


Permissions: The Folder.Read right is required to use this screen. All predefined record management roles (‘rma’, ‘rmaprivileged’, and ‘rmaadmin’) have this right.

Use this screen to view details about a folder’s life cycle. The page shows the complete life cycle of the records folder according to its scheduled disposition, including the calculated dates of each disposition action.

To access this screen, open the **Browse Content** tray and click the **Retention Schedules** link. Navigate to the records folder to use. In the row for the records folder, click the Info icon or click the Action menu and choose **Records Folder Information** from the popup menu. On the Page menu, click **Life Cycle**.

Folder Review History Page

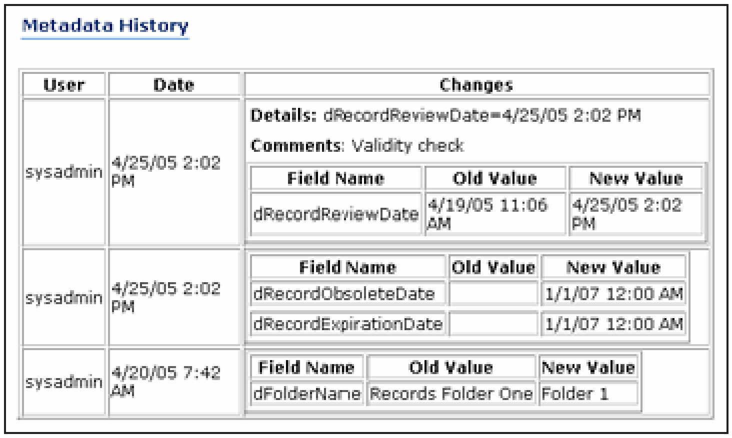


This page shows the review history of a records folder (i.e., a list of all users that marked that records folder as reviewed and when).

Permissions: The Folder.Read right is required to use this screen. All predefined record management roles (‘rma’, ‘rmaprivileged’, and ‘rmaadmin’) have this right.

To access this screen, open the **Browse Content** tray and click the **Retention Schedules** link. Navigate to the records folder to use. In the row for the records folder, click the Info icon or select **Information—Recent Reviews** from the Item’s **Actions** menu.

Records Folder Metadata History Page



Use this page to view the metadata history of a records folder (i.e., a list of all changes to the metadata of that records folder).

Permissions: The Folder.Read right is required to use this screen. All predefined record management roles (‘rma’, ‘rmaprivileged’, and ‘rmaadmin’) have this right.

To access this screen, open the **Browse Content** tray and click the **Retention Schedules** link. Navigate to the records folder to use. In the row for the folder, select **Information—Metadata History** or click the Info icon and select **Information—Metadata History** from the Page menu.

The page shows an overview of all changes made to the editable properties of the records folder, together with the affected metadata field name, the modification date and time, and the old and new values. In the above example, on 8/13/04, the user ‘sysadmin’ set the expiration date of the records folder by changing the field from empty to 8/31/2006. This, in turn, also set the obsolete date because an expired record automatically becomes obsolete.

Freeze Details Page

Permissions: The Folder.Read right is required to use this page. All predefined records management roles (‘rma’, ‘rmaprivileged’, and ‘rmaadmin’) have this right.

Use the Freeze Details page to view detailed freeze information for a records folder (i.e., a list of all freezes that are currently applied to the records folder). To access this page, open the **Browse Content** tray, and click the **Retention Schedules** link. Navigate to the records folder to use. In the row for the records folder, do one of the following:

- Click the Info icon ( ).
- Click the Action icon ( ) and choose **Information—Folder Information** from the popup menu.

The Records Folder Information page (page 5-18) is displayed.

If the records folder is frozen, the Freeze Disposition field value is ‘Yes’ and a **Details** hyperlink is displayed next to the field value.

Figure 5-12 Details links on Folder Information page

Click on the **Details** hyperlink. You can also choose the **Freeze Detail** option from the Actions menu.

This page shows all freezes that are currently applied to the records folder. If the folder inherited its freeze status from a parent folder, that folder’s name is shown in the Inherited From column for the freeze that was inherited. If you click the info icon ( ) for an item in the list, the Records Folder Information page (page 5-18) for the records folder is displayed.

Actions Menu

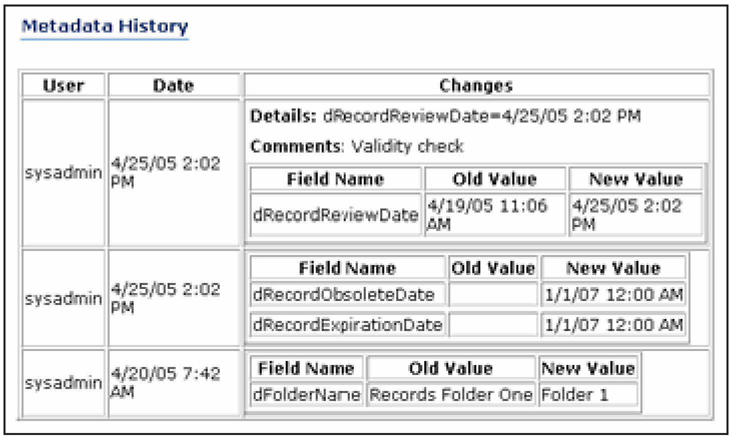
Depending on your rights, you may also see the following options, either on the page or in the **Actions** dropdown menu:

- **Save Freeze Details**: Enables you to save the information on the Freeze Details page to a file, in the report format specified on the Configure Records Management Page (page 3-1).

Note: If the generated report file is in PDF format, it cannot be viewed using Adobe Acrobat 5.*x* or earlier. You need at least version 6.0 of the Acrobat software.

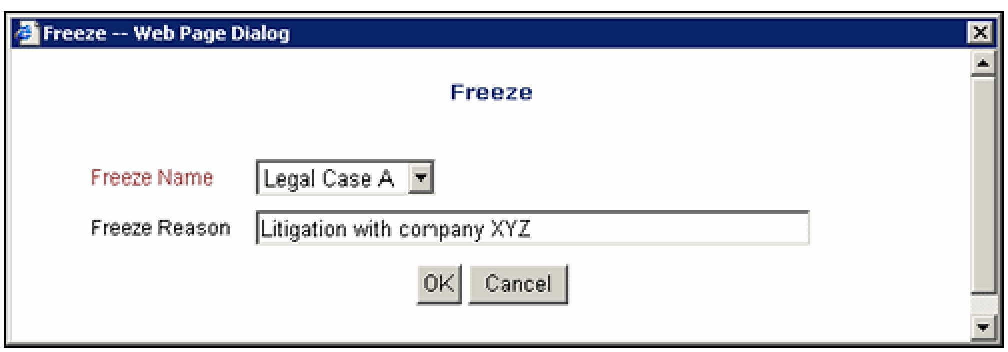
- **Edit Freeeze**: Used to change the freeze details.
- **Unfreeze**: Used to remove the freeze.

Metadata History Page



Use this page to view the metadata history for a records folder—that is, a list of all changes that have been made to the editable folder properties. To access the Metadata History page, open the **Browse Content** tray, and click the **Retention Schedules** link. Navigate to the records folder to use. In the row for the records folder, click the Info icon ( ). In the **Actions** dropdown menu of the Records Folder Information page (page 5-18), choose **Metadata History**.

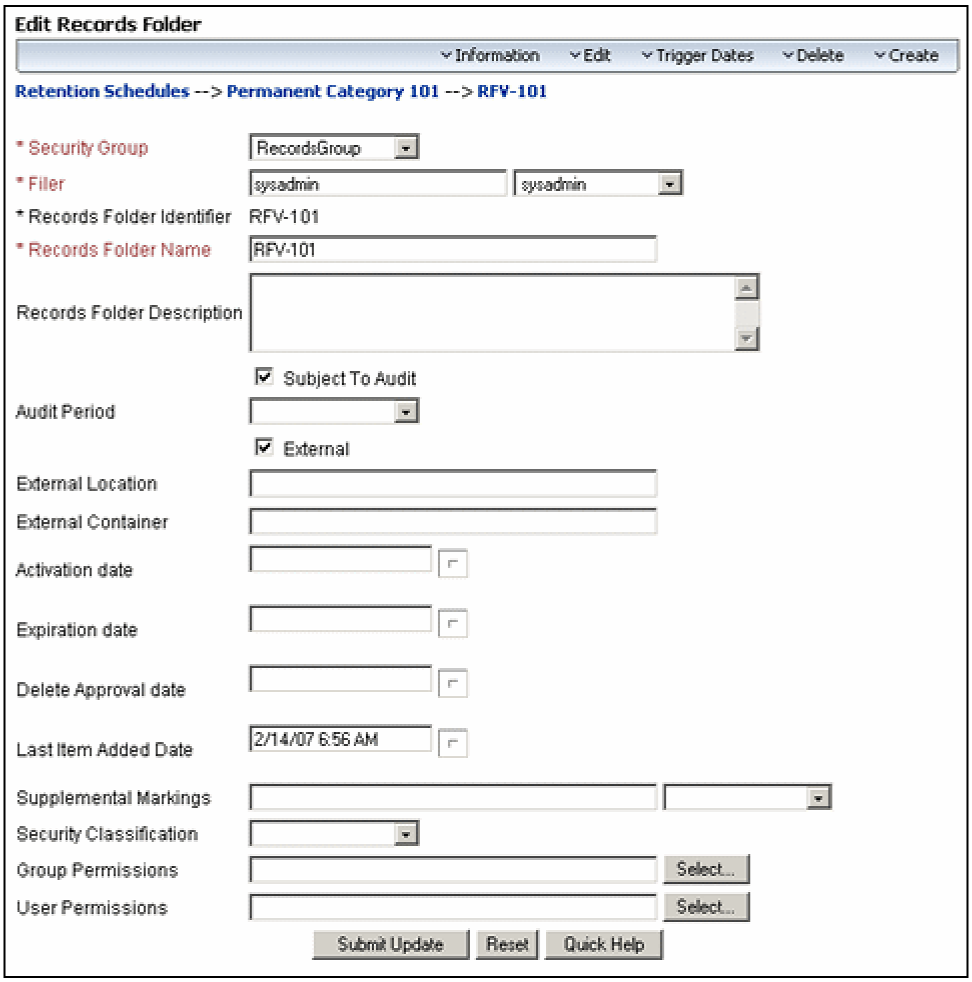
Freeze/Unfreeze Dialog Screen



Use this screen to choose a freeze to work with.

Permissions: The Folder.Freeze/Unfreeze right is required to use this screen. This right is assigned by default to the ‘rmaadmin’ role.

Edit Record Folder Page



This page is used to edit the details about a records folder. To access this screen, select **Edit—Edit Folder** from the Records Folder Information page (page 5-18).

Chapter

6

WORKING WITH CONTENT AND RECORDS

OVERVIEW

This chapter discusses the tasks associated with the general maintenance and processing of content and records. It covers the following topics:

Concepts

Tasks

Interface

❖ Classified Metadata History Page (page 6-19)

❖ Review Classification Page (page 6-20)

Note: For information about creating and finding records in the content server, see the *Records Manager DoD Edition User Guide*.

About Content Processing

Maintaining and processing content and records involves tasks such as moving them, initiating a freeze, or handling events such as cancelling, expiring. You can also rescind items or mark items as obsolete for any other condition. Other tasks associated with content and records include removing a supplemental marking from an item or changing an existing content item into a record.

Options for maintaining and processing content and records are accessible from the Page menu on the content information page of an item. The available actions vary depending on what type of content is being used.

Managing Content Items or Records

The following tasks are involved in managing content:

❖ Viewing Content Item or Record Information (page 6-2)

❖ Changing Item and Review Status and Deleting Metadata History (page 6-4)

❖ Managing Classified Records (page 6-7)

Viewing Content Item or Record Information

Permissions: The Record.Read right is required to perform these actions. All predefined record management roles (‘rma’, ‘rmaprivileged’, and ‘rmaadmin’) have this right.

Viewing information can be done in several ways depending on your location in the product hierarchy. First locate the item by browsing, searching, or screening. Then perform one of the following actions:

❖ On the search or screening results page, select **Information** then the desired option (**Life Cycle**, **Recent Reviews**, and so on) from the item’s **Actions** popup menu.

❖ On the search or screening results page, click the Info icon (ⓘ) of the record.

The Content Information Page (page 6-14) is displayed. On the Page top menu, select **Information** then the option you need (**Life Cycle**, **Metadata History**, and so on).

Viewing Content Item or Record Life Cycles

Use the previously described procedure to acess the Information menu or page for a content item or record. When you select **Life Cycle** from a menu, the Life Cycle Page (page 6-17) is displayed.

The page shows the complete life cycle of the item according to its scheduled disposition, including the calculated dates of each disposition action. If a separate notification reviewer has been assigned for the item, that person's user name is displayed. In addition, the retention category identifier from which the records folder inherits the instruction is given for each disposition action because records can be filed into multiple folders.

Viewing Record or Non-Record Content Item Review History

Use the previously described procedure to acess the Information menu or page for a content item or record. When you select **Recent Reviews** from a menu, the Review History for <Item> Page (page 6-18) is displayed.

The page shows a list of everyone who has reviewed the record or non-record content item (and marked it as reviewed, see Marking an Item as Reviewed (page 6-7)), together with the date and time of review.

Viewing Record or Non-Record Content Item Metadata History

Use the previously described procedure to acess the Information menu or page for a record.When you select **Metadata History** from a menu, the Metadata History Page (page 6-18) is displayed.

The page shows an overview of all changes made to the editable properties of the item, together with the affected metadata field name, the modification date and time, and the old and new values.

Important: You can view the metadata history for all non-record content items checked into the Retention Schedule. You cannot view metadata history for non-record content that is not checked into the Retention Schedule.

Viewing a Record's Classified Metadata History

Use the previously described procedure to acess the Information menu or page for a record. When you select **Classified Metadata History** from a menu, the Classified Metadata History Page (page 6-19) is displayed.

This page shows a list of all changes made to the security classification of the record.

Viewing an Item's Freeze Details

Use the previously described procedure to acess the Information menu or page for a content item or record. If the item is frozen, the Is Frozen field value is 'Yes' and a **Details** hyperlink is displayed next to the field value. Click on the **Details** hyperlink. The Freeze Details Page (page 5-20) is displayed.

This page shows all freezes that are currently applied to the item. If the item inherited its freeze status from its parent folder, that folder's name is shown in the Inherited From column for the inherited freeze. If you click the info icon ( ) for a freeze in the list, the content information page of the record is displayed.

To save the information on this page to a file (in the report format specified on the Configure Records Management Page (page 3-1), choose the **Save Freeze Details** option from the Page **Create** dropdown menu.

Note: If the generated report file is in PDF format, it cannot be viewed using Adobe Acrobat 5.*x* or earlier. You need at least version 6.0 of the Acrobat software.

Changing Item and Review Status and Deleting Metadata History

Managing content information can be done in several ways depending on your location in the product hierarchy. First locate the item by browsing, searching, or screening. Then perform one of the following actions:

- On the search or screening results page, select a Table menu then the desired option: **Update** (**Freeze or Unfreeze**), **Delete** (**Metadata History**) or **Trigger Dates** (**Cancel**, **Expire**, **Obsolete**, **Rescind**).
- On the search or screening results page, click the Info icon ( ) of the record.

  The Content Information Page (page 6-14) is displayed. On the Page's top menu, select **Edit, Delete,** or **Trigger Dates** then the option you need.

- You can perform actions on multiple items by clicking the selection box next to the item and choosing an option from the Table menu.

Deleting Metadata History of Record or Non-Record Content Items

Permissions: The Record.DeleteHistoryFile right is required to perform this action. This right is assigned by default to the ‘rmaadmin’ role.

Use the previously described procedure to find an item and delete its metadata history. When you select **Delete Metadata History** from a menu, a message prompts you to confirm the action. Click **OK** to confirm the action or **Cancel** to cancel it.

Freezing or Unfreezing an Item

Freezing inhibits disposition processing for that item. Records that reside in a frozen folder inherit the freeze status from their parent folder, but they can also be frozen independently of the folder (usually with a different freeze).

In addition to records and non-record content filed within a retention schedule, you can also freeze content items within Content Server that are not in a retention schedule and therefore associated with a retention schedule.

You can apply more than one freeze to a record or content item. You can view the Freeze Details page (see Viewing an Item’s Freeze Details (page 6-4)) for the item to see a list of all freezes currently applied to it.

If a person with the ‘rmaadmin’ role tries to freeze a content item to which the user does not have access control rights, an error occurs but the item is still frozen and thus removed from the disposition content list. If the RmaAddDocWhereClauseForScreening configuration variable is set to false (the default), the ‘rmaadmin’ can screen for frozen items which they do not have access to by using the screening page or from the Freeze Information page.

Unfreezing a content item or record releases the item again for disposition processing.

Permissions: The Record.Freeze/Unfreeze right to perform these actions. This right is assigned by default to the ‘rmaadmin’ role.

Note: If you freeze a non-record content item, *all* revisions of that content item are frozen. The revision that you freeze is frozen directly and the other revisions inherit the freeze.

Use the previously described procedure to find an item to freeze.

1. Click **Freeze** or **Unfreeze** on the appropriate menu.

   The Freeze/Unfreeze Dialog Screen (page 5-22) is displayed.

2. In the Freeze Name dropdown list, select the freeze that should be applied or cancelled if unfreezing. The list contains all defined freezes. You can also provide a reason for the action.

3. Click **OK** to confirm the action. If you click **Cancel**, the entire action is aborted.

   If you confirmed the action, the Retention Schedule Information area of the content information page displays “Is Frozen: Yes” as well as a **Details** hyperlink, which links to the Freeze Details Page (page 5-20) for of the record. If you unfroze the item, “Is Frozen: No” is displayed.

Note: After a record or non-record content item is frozen, you cannot edit its freeze reason. If the freeze is no longer correct, you should unfreeze the record or item and freeze it with a new reason.

Cancelling, Rescinding or Expiring a Record

When an item is cancelled, rescinded, or expired, its status becomes obsolete.

Rescinding applies only to records. It is not available for non-record content items.

Non-record content items can be expired as part of a disposition action while ad hoc expiration is available only for records. When an item expires, its status becomes obsolete.

Permissions: The Record.Edit right is required to perform these actions. This right is assigned by default to the ‘rmaprivileged’ and ‘rmaadmin’ roles.

Use the previously described procedure to find an item to use. Select **Cancel**, **Rescind**, or **Expire** from the **Trigger Dates** menu.

You are prompted to enter a reason for the action. If desired, enter a reason, and click **OK** to confirm. If you do not want to enter a reason, leave the text box empty, and click **OK**. If you click **Cancel**, the entire action is aborted.

If you confirmed the action, the Retention Schedule Information area of the content information page displays the date the record was cancelled, rescinded, or expired, and also displays a corresponding obsolete date.

Note: You can undo this action by choosing **Undo Obsolete** in the **Actions** list of the item’s content information page.

Marking an Item as Obsolete or Removing Obsolete Designation

Note: Non-record content items can be made obsolete as part of a disposition action while records can be made obsolete through a disposition action or by an ad hoc action.

This procedure makes an item obsolete for any reason other than expiration, cancellation, or rescinding.

Permissions: The Record.Edit right is required to perform these actions. This right is assigned by default to the 'rmaprivileged' and 'rmaadmin' roles.

Use the previously described procedure to find an item to use. Select **Obsolete** or **Undo Obsolete** from the **Trigger Dates** menu.

You are prompted to enter a reason for the action. If desired, enter a reason, or leave the text box empty. Click **OK** when done. If you click **Cancel**, the entire action is aborted.

If you confirmed the action, the Retention Schedule Information area of the content information page displays the date the record was made obsolete.

Marking an Item as Reviewed

Use this procedure to mark a record or non-record content item as reviewed, either after receiving a review notification (as part of a disposition instruction) or ad hoc.

Permissions: The Record.Edit right and the RecordEditReview review are required to perform this action. These rights are assigned by default to the 'rmaprivileged' and 'rmaadmin' roles. By default, this right is also assigned to those roles.

Use the previously described procedure to find an item to use. Select **Mark Reviewed** from the **Trigger Dates** menu. You are prompted to enter a reason for the action. If desired, enter a reason, and click **OK** to confirm. If you click **Cancel**, the entire action is aborted.

If you confirmed the action, the Retention Schedule Information area of the content information page displays the date the item was reviewed.

Managing Classified Records

Managing classified information is done by using the Page menus at the top of the Content Information Page for the specific record.

❖ On the search or screening results page, select **Content Information** from the item's **Actions** popup menu.

❖ On the search or screening results page, click the Info icon ( ) of the record.

The Content Information Page (page 6-14) is displayed. On the Page top menu, select **Information** then the option you need.

Reviewing Record Classifications

Note: Classification review is only available for record content. It is not used with non-record content items.

Permissions: The Record.Edit right is required to perform this action. This right is assigned by default to the 'rmaprivileged' and 'rmaadmin' roles.

Important: If category authors need to review the classification of a record that has a higher security classification level than they have, they cannot perform that action. A records manager or system administrator with the appropriate classification level will then need to do it for them.

Use the previously described procedure to find an item to use. Select **Information—Review Classification** from the Page menu. The Review Classification Page (page 6-20) is displayed. Review the information and provide the following information in the marked fields:

- The date and time of the classification review
- The person (or other entity) who performed the classification review

When you finish, click **Submit Update**.

Upgrading or Downgrading Classification

Upgrading the classification of a record is rare; it is therefore typically an ad-hoc action and not part of a retention instruction.

Note the following considerations:

❖ You cannot downgrade a record that has ever had the Restricted Data or Formerly Restricted Data supplemental markings assigned. The Downgrade On field is disabled for records that have a restricted supplemental marking history.

❖ If category authors need to upgrade or downgrade the classification of a record that has a higher security classification level than they have, they cannot perform that action. A records manager or system administrator with the appropriate classification level will then need to do it for them.

❖ If you specified a date for the “Downgrade on date” metadata field for a classified record (upon check-in or later), you will receive a notification on the due date to remind you that you need to downgrade the record.

Permissions: The Record.Upgrade/Downgrade right is required to perform this action. None of the predefined roles have this right by default. You need to assign that right to a user first.

Use the previously described procedure to find an item to use. Select **Edit—Upgrade Classification** or **Edit—Downgrade** from the Page menu.

The Upgrade or Downgrade Classification page is displayed. This page is similar to the Review Classification Page (page 6-20) with the addition of fields where you can change the classification.

Provide the following required information in the marked fields:

- The date and time of the classification change
- The person (or other entity) who changed the classification
- The new classification level
- The reason for the classification change

When you finish, click **Submit Update.**

Declassifying a Record

Important: You cannot declassify a record that has ever had the Restricted Data or Formerly Restricted Data supplemental markings assigned. The Downgrade On field is disabled for records that have a restricted supplemental marking history.

Use this procedure to completely declassify a record, either after receiving a review notification (as part of a disposition instruction) or ad hoc. If a record is exempt from declassification, you must enter an exemption reason for the record.

After a record has been declassified, access to that record is unrestricted and in the absence of any other security restrictions, any records user can view the record.

Permissions: The Record.Edit right is required to perform this action. This right is assigned by default to the ‘rmaprivileged’ and ‘rmaadmin’ roles.

Important: If category authors need to declassify a record that has a higher security classification level than they have, they cannot perform that action. A records manager or system administrator with the appropriate classification level will then need to do it for them.

Use the previously described procedure to find an item to use. Select **Edit—Declassify** from the Page menu.

The Declassify Record page is displayed. It is similar to the Review Classification Page (page 6-20) with the addition of fields to specify the declassification.

Provide the following required information in the marked fields:

- The date and time of the declassification
- The person (or other entity) who declassified the record
- The reason for the declassification

When you finish, click **Submit Update**.

Removing Supplemental Markings from Records

To delete a supplemental marking, you must remove the marking from any records, records folders, or users.

Permissions: The Record.Edit right is required to perform this action. This right is assigned by default to the ‘rmaprivileged’ and ‘rmaadmin’ roles.

Use the previously described procedure to find an item to use. Select **Update** from the Page menu. The Info Update form is displayed. Delete the markings in the **Supplemental Markings** text box.

Click **Submit Update**. The supplemental markings are no longer displayed in the Retention Schedule Information area of the content information page.

Undoing a Record Cutoff

After undoing a record cutoff, the record is no longer cut off and is available for disposition. Display the Content Information Page (page 6-14) for the record. Select **Triggers Dates—Undo Cutoff** from the Page menu.

Permissions: The Record.UndoCutoff right is required to perform this action. This right is assigned by default to the predefined 'rmaadmin' role.

Deleting, Moving, and Changing Content Items

Actions involving individual content items are usually done on the Content Information Page using the **Content Actions** Page menu. Select **Update** from that menu to access the menu choices discussed here.

Moving a Record to Another Category or Folder

Note: This procedure is for records and not for non-record content items.

Permissions: The Record.Edit right is required to perform this action. This right is assigned by default to the 'rmaprivileged' and 'rmaadmin' roles.

1. Select **Content Actions—Update** on the record's Content Information Page (page 6-14).

   The Info Update form is displayed.

2. Click the **Browse** button following the **Category or Folders** field label.

   The Select Record Category or Folders screen is displayed.

3. Click **Clear** to remove the current location.
4. Click the plus sign (+) or the icon to expand the retention schedule. Navigate to the retention category or records folder where the record will be moved. Click on the record category or folder to select it. The bread crumb box displays the hierarchical path of the record category or folder in the retention schedule.
5. Click **OK**. The Select Record Category or Folders screen closes.
6. On the content information page, click **Submit Update**.

   The content information page displays the folder or category ID of the new location.

Changing an Existing Content Item into a Record

Use this procedure to mark an existing content item (checked into the content server) as a record.

Permissions: Read and write permission (RW) for a content item are required to change it into a record. This is handled at the content server level (using the User Admin utility).

1. Select **Content Actions—Update** on the record's Content Information Page (page 6-14).

   The Info Update form is displayed.

2. Select the **Is Record** check box to indicate the content item is a record.

   The records fields are displayed.

3. Complete the required fields for the record. For more detailed information about checking in records, see the *Records Management DoD Edition User Guide*.

4. Click **Submit Update**.

Undoing the Record Status of a Content Item

Use this procedure to undo (cancel) the record status of an existing content item (checked into the content server). After this procedure, the content item is no longer considered a record.

Permissions: The Record.UndoRecord right is required to perform this action. None of the predefined roles have this right by default. That right must be assigned to a user first.

1. Select **Content Actions—Update** on the record's Content Information Page (page 6-14).

   The Info Update form is displayed.

2. Clear the **Is Record** check box to indicate the content item is no longer a record. (This check box will only be visible if you have the Record.UndoRecord right. If you do not have that right, the Is Record field will be display-only.)

   The records fields are no longer displayed.

3. Click **Submit Update**.

You return to the content information page, which no longer contains records-related information.

Deleting an Item

Important: You cannot delete an item that is frozen.

Use this procedure to delete a record or non-record content item immediately outside of its disposition schedule. Metadata is not preserved.

Permissions: The Record.Delete right is required to perform this action. This right is assigned by default to the ‘rmaadmin’ role. Delete permission (D) for the record’s security group is also required (unless Folders is installed).

1. Display the record’s Content Information Page (page 6-14).
2. In the Revision History area, click **Delete**. You are prompted to confirm the permanent delete action.
3. A message is displayed stating the item was deleted successfully.

Assigning Disposition Schedules to Non-Record Content Items

Use this procedure to assign a disposition schedule to an existing, non-record content item.

1. Select **Content Actions—Update** on the record’s Content Information Page (page 6-14).

   The Info Update form is displayed.
2. In the **Life Cycle** dropdown list, select the retention category whose disposition instructions should be assigned to the item. The dropdown list includes all retention categories that have been marked as “non-record categories” .
3. Click **Submit Update**.

The content item is now processed in accordance with the disposition instructions associated with the selected retention category.

Content and Record Management Screens

The following screens are used when managing content and records:

- Content Information Page (page 6-14)

- Life Cycle Page (page 6-17)
- Review History for <Item> Page (page 6-18)
- Metadata History Page (page 6-18)
- Classified Metadata History Page (page 6-19)
- Review Classification Page (page 6-20)

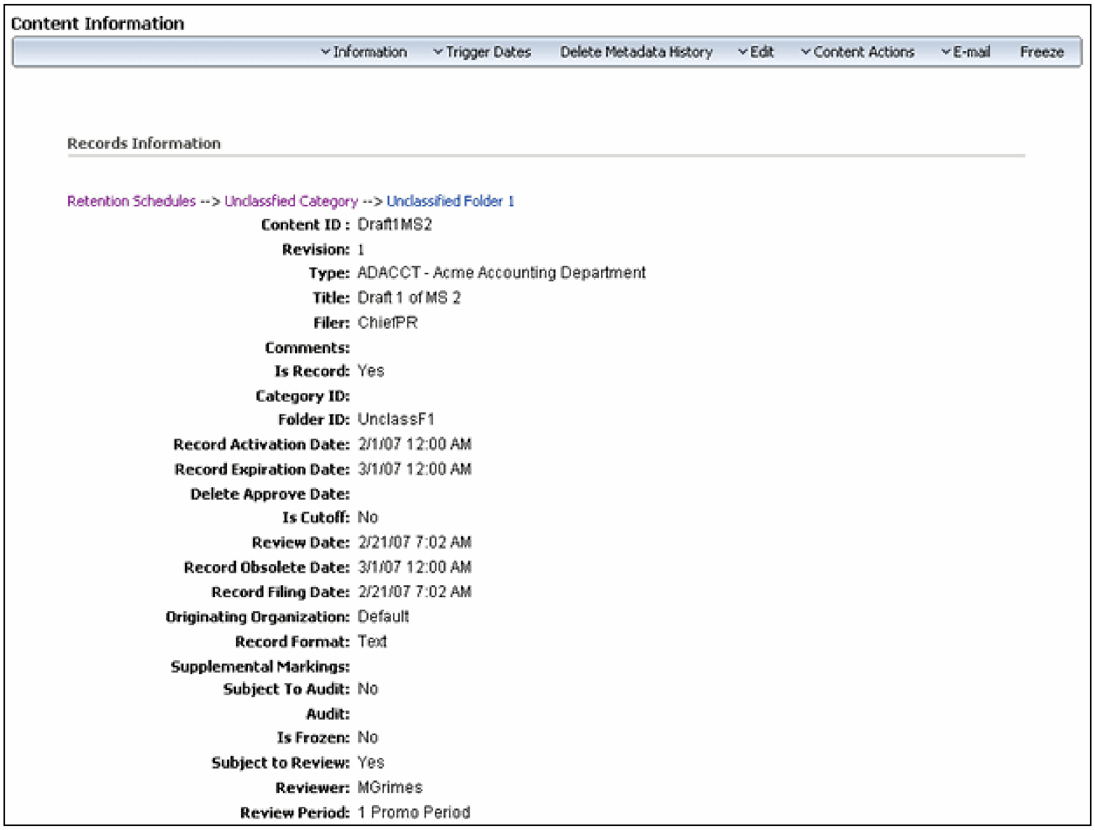
Content Information Page

The content information page of an item in DoD Edition contains more information than that of a “normal” content item managed by Universal Content Management. The page has several main features:

Item Information Area

This area provides informatoin about the item, including its location in the retention schedule, content ID, and other information.

Figure 6-13 Retention Schedule Information section of information page


Content Information

Information | Trigger Dates | Delete Metadata History | Edit | Content Actions | E-mail | Freeze

Records Information

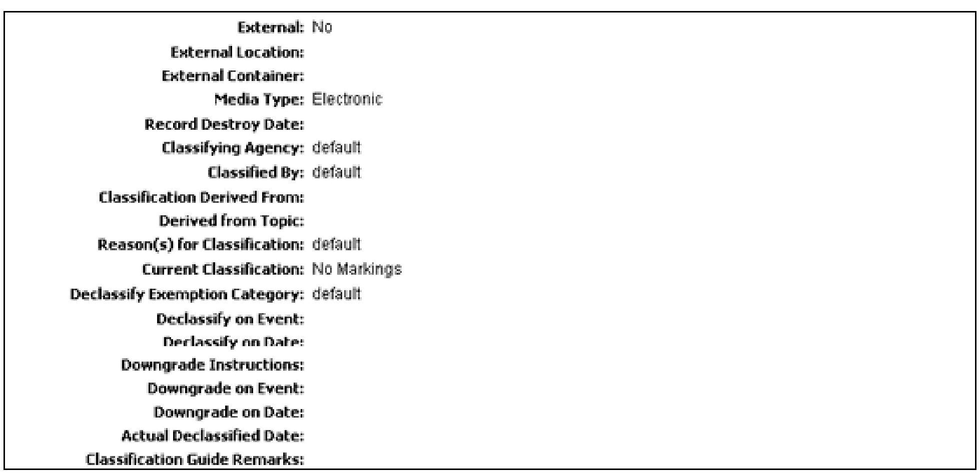
Retention Schedules --> Unclassfied Category --> Unclassified Folder 1

Content ID : Draft1MS2
Revision: 1
Type: ADACCT - Acme Accounting Department
Title: Draft 1 of MS 2
Filer: ChiefPR
Comments:
Is Record: Yes
Category ID:
Folder ID: UnclassF1
Record Activation Date: 2/1/07 12:00 AM
Record Expiration Date: 3/1/07 12:00 AM
Delete Approve Date:
Is Cutoff: No
Review Date: 2/21/07 7:02 AM
Record Obsolete Date: 3/1/07 12:00 AM
Record Filing Date: 2/21/07 7:02 AM
Originating Organization: Default
Record Format: Text
Supplemental Markings:
Subject To Audit: No
Audit:
Is Frozen: No
Subject to Review: Yes
Reviewer: MGrimes
Review Period: 1 Promo Period

Storage Information Area

This area provides filing information about the content item or record.

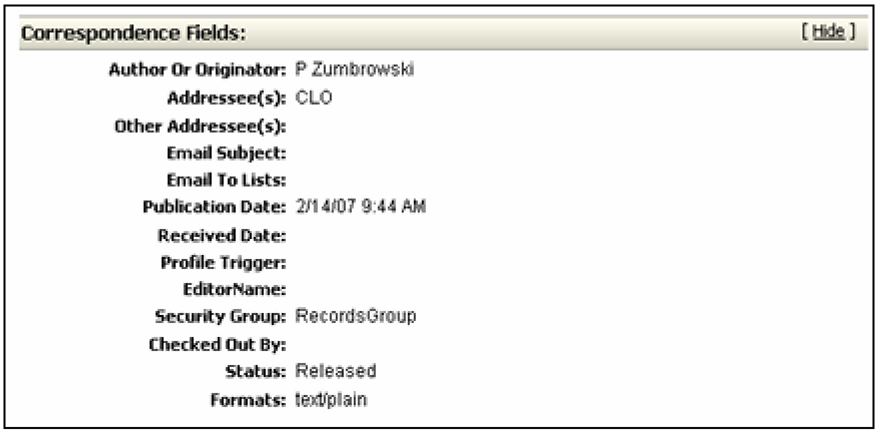
Figure 6-14 Record/Retention/Content Information section of information page


External: No
External Location:
External Container:
Media Type: Electronic
Record Destroy Date:
Classifying Agency: default
Classified By: default
Classification Derived From:
Derived from Topic:
Reason(s) for Classification: default
Current Classification: No Markings
Declassify Exemption Category: default
Declassify on Event:
Declassify on Date:
Downgrade Instructions:
Downgrade on Event:
Downgrade on Date:
Actual Declassified Date:
Classification Guide Remarks:

Correspondence Area

The Correspondence area displays information about the item if it was designated as correspondence.

Figure 6-15 Correspondence area of content information page



Links Area

This area provides links to the native and web-viewable record files, as well as a number of retention management links.

Figure 6-16 Links section of information page

Revision History Area

This area provides release information about the current content item. The revision history for records will generally only have one revision, as records typically do not change. Non-records and recurring screening reports may have multiple revisions in their revision history.

Figure 6-17 Revision History section of information page for record or non-record content item

Revision History

Revision	Release Date	Expiration Date	Status	Actions
[1]	4/7/05 2:32 PM	None	Released	Delete

Life Cycle Page

Life Cycle of Map image

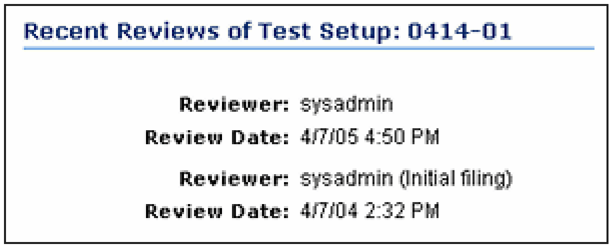
Date: 2/21/07 12:00 AM
Triggering Event: Obsolete
Disposition Action: Destroy
Notification Reviewer:
Retention Category Identifier: TestCategory

Date: 2/23/07 12:00 PM
Triggering Event: Scheduled declassify date
Disposition Action: Declassify
Notification Reviewer:
Retention Category Identifier: ClassifiedBuiltin

To access this page, locate the item by browsing, searching, or screening. On the search or screening results page, select **Information—Life Cycle** or click the Info icon of the content item or record and select **Information—Life Cycle** from the Page menu on the Content Information Page (page 6-14).

The page shows the complete life cycle of the item according to its scheduled disposition, including the calculated dates of each disposition action. If a separate notification reviewer has been assigned for the item, that person's user name is displayed. In addition, the retention category identifier from which the records folder inherits the instruction is given for each disposition action because records can be filed into multiple folders.

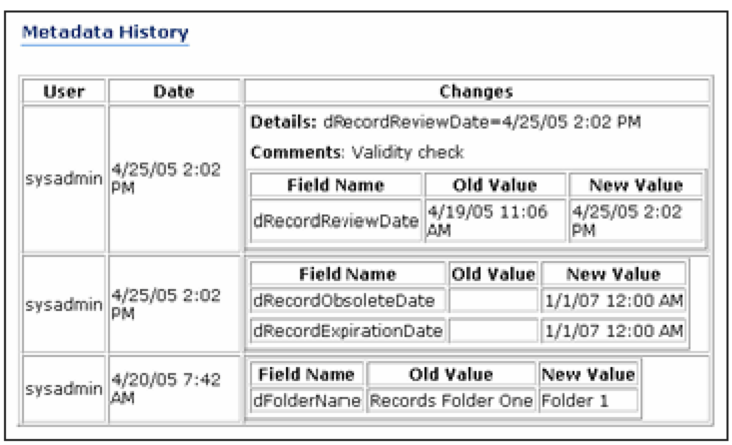
Review History for <Item> Page



To access this page, locate the item by browsing, searching, or screening. On the search or screening results page, select **Information—Recent Reviews** or click the Info icon of the content item or record and select **Information—Recent Reviews** from the Page menu on the Content Information Page (page 6-14).

The page shows a list of everyone who has reviewed the record or non-record content item (and marked it as reviewed, see Marking an Item as Reviewed (page 6-7)), together with the date and time of review. In the above example, the user 'sysadmin' created the item on 4/7/04, and that same person reviewed the item on 4/7/05 (for example, as part of an annual review).

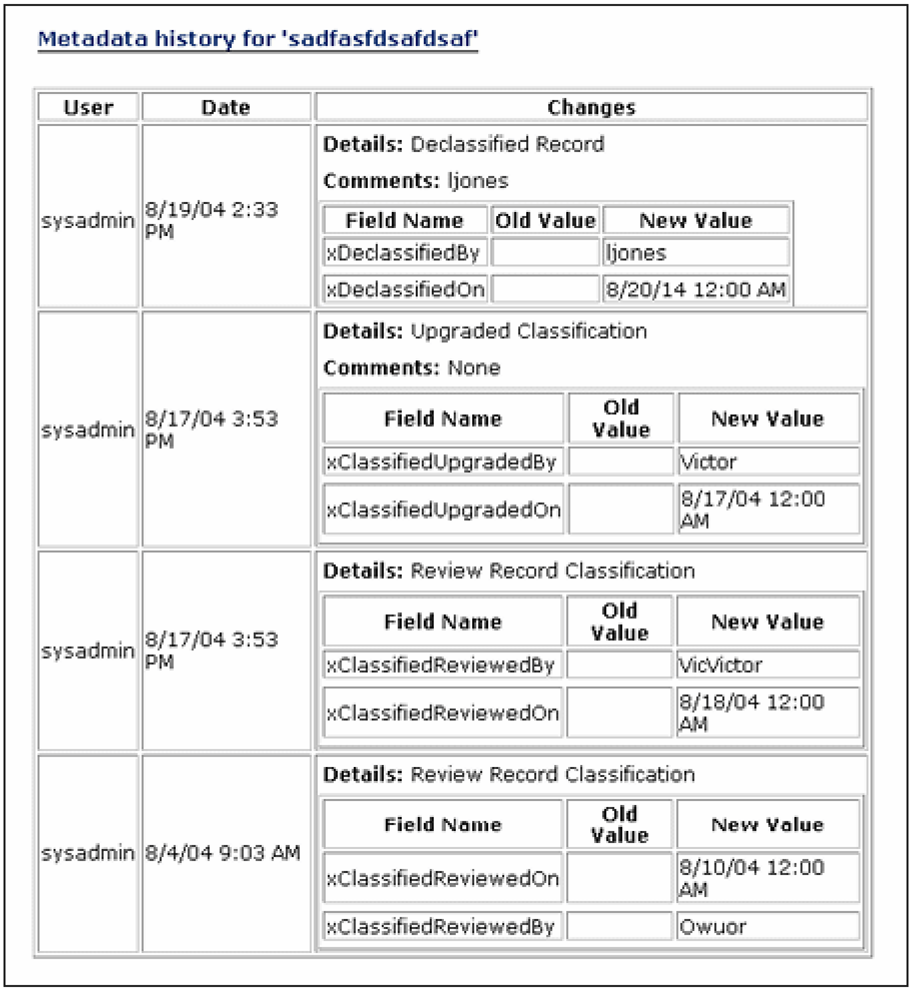
Metadata History Page



To access this page, locate the item by browsing, searching, or screening. On the search or screening results page, select **Information—Metadata History** or click the Info icon of the content item or record and select **Information—Metadata History** from the Page menu on the Content Information Page (page 6-14).

The page shows an overview of all changes made to the editable properties of the item, together with the affected metadata field name, the modification date and time, and the old and new values.

Classified Metadata History Page



Metadata history for 'sadfasfdsafdsaf'

<table>
<tr><th>User</th><th>Date</th><th>Changes</th></tr>
<tr><td>sysadmin</td><td>8/19/04 2:33 PM</td><td>
Details: Declassified Record
Comments: ljones
<table>
<tr><th>Field Name</th><th>Old Value</th><th>New Value</th></tr>
<tr><td>xDeclassifiedBy</td><td></td><td>ljones</td></tr>
<tr><td>xDeclassifiedOn</td><td></td><td>8/20/14 12:00 AM</td></tr>
</table>
</td></tr>
<tr><td>sysadmin</td><td>8/17/04 3:53 PM</td><td>
Details: Upgraded Classification
Comments: None
<table>
<tr><th>Field Name</th><th>Old Value</th><th>New Value</th></tr>
<tr><td>xClassifiedUpgradedBy</td><td></td><td>Victor</td></tr>
<tr><td>xClassifiedUpgradedOn</td><td></td><td>8/17/04 12:00 AM</td></tr>
</table>
</td></tr>
<tr><td>sysadmin</td><td>8/17/04 3:53 PM</td><td>
Details: Review Record Classification
<table>
<tr><th>Field Name</th><th>Old Value</th><th>New Value</th></tr>
<tr><td>xClassifiedReviewedBy</td><td></td><td>VicVictor</td></tr>
<tr><td>xClassifiedReviewedOn</td><td></td><td>8/18/04 12:00 AM</td></tr>
</table>
</td></tr>
<tr><td>sysadmin</td><td>8/4/04 9:03 AM</td><td>
Details: Review Record Classification
<table>
<tr><th>Field Name</th><th>Old Value</th><th>New Value</th></tr>
<tr><td>xClassifiedReviewedOn</td><td></td><td>8/10/04 12:00 AM</td></tr>
<tr><td>xClassifiedReviewedBy</td><td></td><td>Owuor</td></tr>
</table>
</td></tr>
</table>

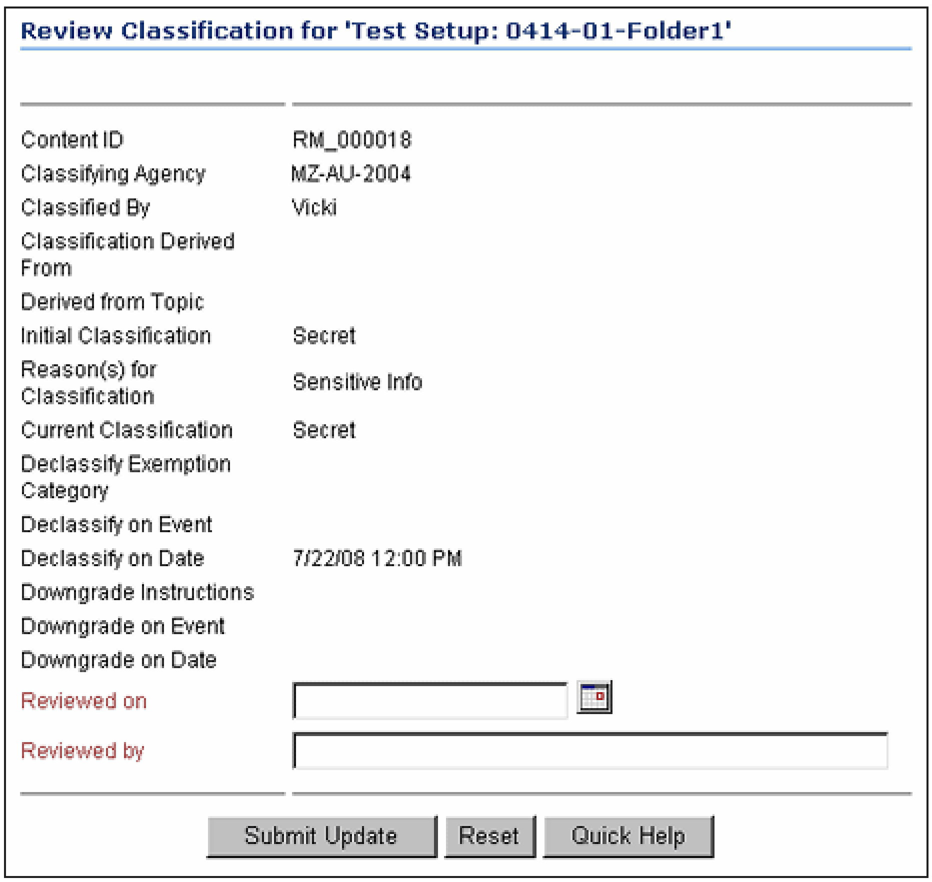
To access this page, locate the item by browsing, searching, or screening. On the search or screening results page, select **Information—Classified Metadata History** or click the Info icon of the content item or record and select **Information—Classified Metadata History** from the Page menu on the Content Information Page (page 6-14).

This page shows a list of all changes made to the security classification of the record. The following information is provided:

- The user who made the change

- The timestamp when the change was made
- The old classification level
- The new classification level
- The specified reason for the classification change

Review Classification Page



To access this page, locate the record to use by browsing, searching, or screening. On the search or screening results page, click the Info icon of the item. The Content Information Page (page 6-14) is displayed. In the **Actions** list, click **Review Classification**.

Chapter

7

EDITING REVIEW INFORMATION

OVERVIEW

You can elect to have records and non-record content items that are subject to periodic review and update. From a DoD perspective, records that are subject to review are vital. According to NARA, the National Archives and Records Administration in the United States, vital records are essential government agency records needed to meet operational responsibilities under emergency or disaster conditions, or records required to protect legal and financial rights of the Government.

Organizations that are not government agencies may have other types of content items or records that are vital to their type of business, and therefore subject to review.

You can edit the review status, reviewer, and review periods for records folders and categories. This chapter covers the following topics:

Concepts

❖ About Items that are Subject to Review (page 7-2)

Tasks

❖ Managing Review Information (page 7-2)

Interface

❖ Edit Review Information for Retention Category/Folder Page (page 7-4)

About Items that are Subject to Review

Content that is subject to review typically comprise about five percent of content deemed critical to a business. Some examples of content that is subject to review include:

- software source code
- patents and copyrights
- legal documents such as trusts, estates, and wills
- regulatory compliance data

Cycling vital records or content subject to review refers to the periodic replacement of obsolete copies of content items with copies of current content items. For information about reviewing records and records folders that are subject to review, see Chapter 9 (*Processing Retention Assignments)*.

Initial reviews are based on the content release date for internal records and the record filing date for records folders. The next review date will be based on the reviewer's last review date.

Reviews are only allowed on the latest revision and not on superseded content, obsolete content, or records folders.

Managing Review Information

Permissions: The Category.EditReview right or Folder.EditReview right is required to perform these actions. This right is assigned by default to the 'rmaadmin' role.

Follow this procedure to edit retention category or folder review information:

1. Find the Retention category to view.
2. Select **Edit—Edit Review** from the item's Actions popup menu, or click the Info icon for the item and select **Edit—Edit Review** from the Page menu.

   The Edit Review Information for Retention Category/Folder Page (page 7-4) is displayed.
3. To change a review category to non-review category, clear the **Subject to Review** check box. The remaining fields become gray and unavailable. To change a non-review category to a review category, select the **Subject to Review** check box.

Tech Tip: Remember that the review setting is inherited, and if you still want any records, content items, or child records folders to stay as subject to review, make sure you set the review information for child records folders that no longer inherit review status from their retention category. Any records or content items filed directly into retention categories are directly affected by review status changes.

4. To select, remove, or change a reviewer, select the reviewer from the **Reviewer** list. You can select the topmost blank to remove the reviewer and allow the system default to designate the reviewer.
5. To edit or enter the review period, enter an integer and select a review period in the **Review Period** box and list.
6. Click **Submit Update**. An update message is displayed, and the Retention Category Information page displays the review information you entered.

When editing a folder, keep the following points in mind:

❖ The Folder.EditReview right is required to perform the action. This right is assigned by default to the 'rmaadmin' role.

❖ Follow the same procedure to change folder review information as that used to change a record's review information. Remember that the review setting is inherited, and if you still want any child folders to stay as subject to review, make sure you set the review information for records folders that no longer inherit it from a parent records folder or category.

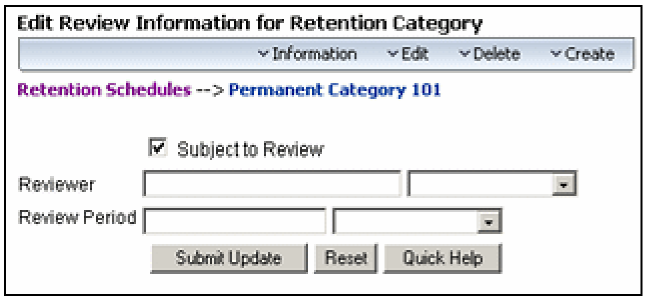
❖ The reviewer you select must have the 'rmaadmin' or 'rmaprivileged' role because users assigned the 'rma' role cannot mark a records folder as reviewed.

SUBJECT TO REVIEW INTERFACE SCREENS

The following screen is used to manage review information:

❖ Edit Review Information for Retention Category/Folder Page (page 7-4)

Edit Review Information for Retention Category/Folder Page



To access this page, open the **Browse Content** tray, and click the **Retention Schedules** link. The Exploring Series “Retention Schedule” page is displayed. Navigate to the retention category to edit. Click the Info icon ( ) for the category and select **Edit—Edit Review** from the Page menu.

Feature	Description
Subject to Review check box	Select the check box to enable the retention category as a subject to review category. Then enter a reviewer user name in the text box, and select the associated period from the list. ❖ Optional. ❖ Default: Not selected; not a retention category that is subject to review. **Note:** If a retention category has a review period of shorter duration than the review period set for its child records folder, the child records folder assumes the shorter review period and ignores its own setting of longer duration. The shorter review period takes precedence.

Feature	Description
Reviewer	Select a reviewer for the items if you do not want to accept the system default reviewer specified on the Configure Records Management Page (page 3-1). The reviewer you select for the retention category will receive e-mail notification when it is time to review and cycle records and content items. ❖ Optional.
Review Period text box and dropdown list	Enter the number of review periods and select the review period from the list, which contains custom and predefined periods. Required if the Subject to Review check box is selected.
Submit Update button	Submits your updated edits.
Reset button	Resets the page to the original settings.

Chapter

8

SCHEDULED TASKS

OVERVIEW

It is possible to set up a schedule to perform retention-related tasks at times that are more convenient for your environment. This chapter discusses scheduling tasks which can be performed at a later time. It covers the following topics:

Concepts

Tasks

Interface

- View History Page (page 8-10)
- Edit Recurring Report Schedule Page (page 8-11)

USING SCHEDULED TASKS

Some of the tasks that Records Manager DoD Edition performs may involve large sets of content items or records. Tasks such as processing retention assignments, performing archives, or customizing metadata may interfere with normal daily operations or put a heavy load on the content server, which is undesirable during regular business hours.

With the scheduling feature you can set up disposition actions and screening reports to be performed at a later time, during off-peak times on your system.

See Updating Information (page 4-34) for details about viewing scheduled updates and searches.

MANAGING SCHEDULING

Several different kinds of scheduling can be performed:

- Scheduling a Disposition Action (page 8-2)
- Scheduling Screening Reports (page 8-3)
- Viewing Scheduled Disposition Action Log Files (page 8-3)
- Editing Recurring Screening Reports (page 8-3)
- Viewing Recurring Screening Report History (page 8-4)
- Viewing Recurring Screening Report History (page 8-4)

Scheduling a Disposition Action

To schedule a disposition action, make sure that you choose the **Schedule...** command in the Actions icon popup menu () of the item you need to process in your My Retention Assignments area.

The disposition action is then put in the queue of actions to be performed. All scheduled disposition actions are performed once a day at midnight.

Note: For more detailed information about pending disposition actions, see Chapter 9 (*Processing Retention Assignments)*.

Scheduling Screening Reports

To schedule a screening report, click the **Schedule** button in the Screen for <topic> Page (page 4-7).

The screening report is then put in the queue of actions to be performed. All scheduled screening reports are generated once a day at midnight.

Note: For more information about screening, see Chapter 4 (*Screening and Updating)*.

Viewing Scheduled Disposition Action Log Files

To view the log file of scheduled disposition action, complete the following steps:

1. Select **Tasks—Scheduled—Disposition Actions** from the Configure Records Management Page (page 3-1).

   The Scheduled Disposition Actions Page (page 8-4) is displayed.

2. Choose **View Log** in the Actions icon popup menu of the disposition action to view.

   The log file of the disposition action is displayed.

Editing Recurring Screening Reports

To edit a recurring scheduled screening report, complete the following steps:

1. Select **Tasks—Scheduled—Screening Reports** from the Configure Records Management Page (page 3-1).

   The Scheduled Screening Reports Page (page 8-7) is displayed.

2. Choose **Edit** in the Actions icon popup menu of the screening report to modify and select the Edit option to use.

   The Edit Recurring Report Schedule Page (page 8-11) is displayed.

3. Make changes as required, and click **Submit Update** when you finish.

Viewing Recurring Screening Report History

To view the history of recurring scheduled screening reports, complete the following steps:

1. Select **Tasks—Scheduled—Screening Reports** from the Configure Records Management Page (page 3-1).

   The Scheduled Screening Reports Page (page 8-7) is displayed.

2. Choose **Report History** in the Actions icon popup menu of the recurring screening report whose history will be viewed.

   The View History Page (page 8-10) is displayed.

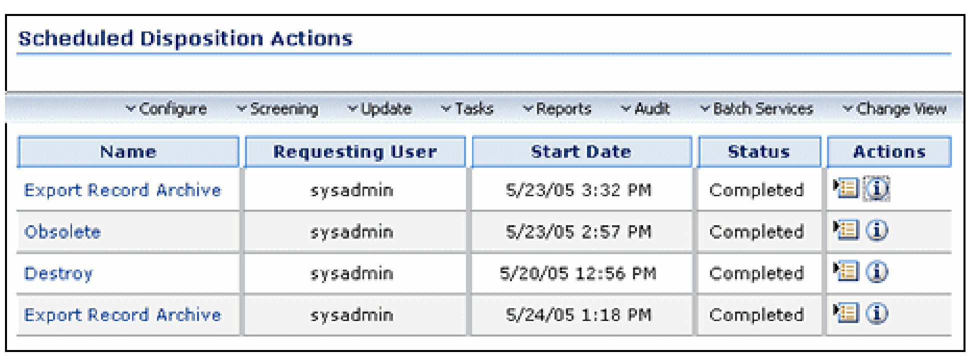
3. To view a report, click on its link in the Name column.

SCHEDULING INTERFACE SCREENS

The following screens are used for scheduling:

- ❖ Scheduled Disposition Actions Page (page 8-4)
- ❖ Scheduled Screening Reports Page (page 8-7)
- ❖ View History Page (page 8-10)
- ❖ Edit Recurring Report Schedule Page (page 8-11)

Scheduled Disposition Actions Page



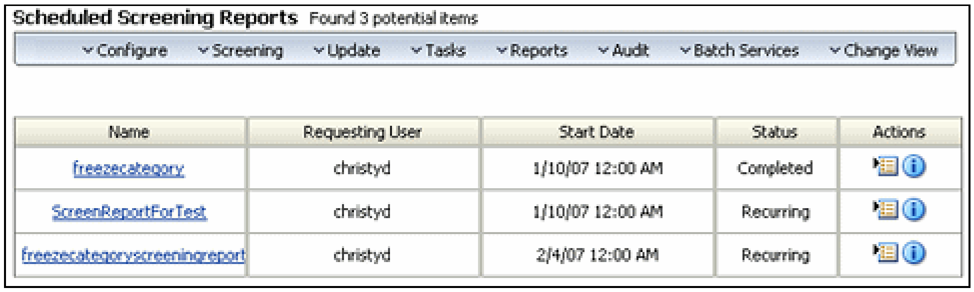
This page lists all disposition actions that have been scheduled from the My Retention Assignments pages. See Retention Assignment Interface Screens (page 9-23) for further details about processing disposition events.

To access this page, select **Tasks—Scheduled—Disposition Actions** from the Configure Records Management Page (page 3-1).

Feature	Description
Actions dropdown menu	This dropdown menu enable you to switch between the available page layouts: ❖ **Thumbnail View**—Used to change the page layout to thumbnail view. ❖ **Headline View**—Used to change the page layout to headline view.
Name	This column indicates the type of disposition action that is scheduled. If you click on the link, the Disposition Information Page is displayed. For an overview of dispositions, see the *Stellent Records Manager System Setup Guide*.
Requesting User	This is the login name of the user who scheduled the disposition action.
Start Date	This is the date on which the scheduled disposition action will be (or was) processed with the next scheduled run (midnight). For example, if you scheduled a disposition action on 6/23/05 2:55 PM, then the action was processed on 6/24/05 12:00 AM (midnight).

Feature	Description
Status	This is the current status of the scheduled disposition action: ❖ **Completed**—The scheduled disposition action has been executed successfully. ❖ **Failed**—The scheduled disposition action has not been executed successfully. The log file contains more details on the error(s) that occurred. ❖ **Processing**—The scheduled disposition action is currently being executed. ❖ **Pending**—The scheduled disposition action is currently in the queue of tasks to be performed, and will be executed at midnight. ❖ **Cancelled**—The scheduled disposition action was aborted before it could be completed successfully.
Actions icon ( )	When selected, a popup menu is displayed that contains a number of options relevant to the scheduled disposition action: ❖ **Disposition Information**—If used, the Disposition Information Page is displayed. ❖ **View Log**—If used, the content information page of the disposition action log file is displayed. You can use the Web Location or Native File links to view the file. ❖ **Remove**—If used, the disposition action is removed from the list of scheduled actions and will not be executed.
Info icon (	If used, the content information page of the automatically generated report file for the disposition action is displayed. You can use the Web Location or Native File link to view the file.

Scheduled Screening Reports Page



This page lists all screening reports that have been scheduled from screening pages. See Chapter 4 (*Screening and Updating)* for further details about screening.

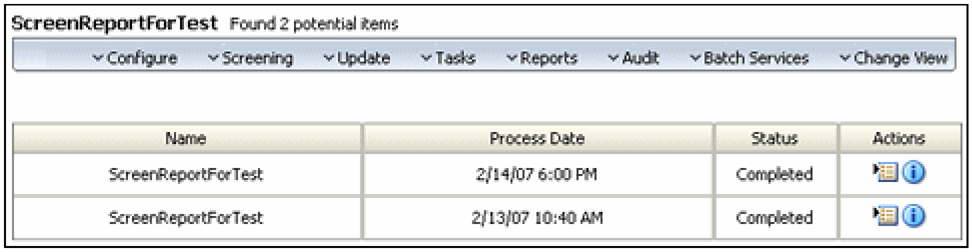
To access this page, select **Tasks—Screening Reports** from the Configure Records Management Page (page 3-1).

Feature	Description
Page menu	This menu is the same as that used on the Configure Records Management Page (page 3-1).
Name	This column indicates the name of the screening report. If you click on the link, the current screening report is displayed. The report is in the format specified by the Report Format setting on the Configure Records Management Page (page 3-1). **Note:** You will see the report that was created last; the report is not generated again. To generate the report, choose the Run Report option from the Actions icon popup menu.
Requesting User	The login name of the user who scheduled the disposition action.
Start Date	The date when the scheduled screening report will be (or was) generated. If the screening report is recurring, the first screening report will be (or was) generated for the first time on this date, and all subsequent reports at the end of each recurring period after this date.

Feature	Description
Status	The current status of the scheduled screening report: ❖ **Completed**—The scheduled screening report has been generated successfully once and is not scheduled to be repeated. ❖ **Failed**—The scheduled screening report has not been executed successfully. The log file contains more details on the error(s) that occurred. ❖ **Processing**—The scheduled screening report is currently being executed. ❖ **Pending**—The scheduled screening report is currently in the queue of tasks to be performed, and will be generated at midnight. ❖ **Cancelled**—The scheduled screening report was aborted before it could be completed successfully. ❖ **Recurring**—The scheduled screening report is set to be repeated at regular intervals, as defined in the Schedule Screening Report Page (page 4-29).

Feature	Description
Actions icon ( )	Displays a popup menu that contains options relevant to the scheduled screening report. The available options depend on the type and status of the scheduled screening report, and may include: ❖ **View Report Info**—If used, the content information page of the generated screening report is displayed. ❖ **Unschedule**—If used, the scheduling of the screening report is cancelled and the report will not be generated. ❖ **Run Report**—If used, the screening report is created immediately. After the report is created, you can click the link in the Name column to view it. The report is in the format specified by the Report Format setting on the Configure Retention Administration Page. ❖ **View History**—If used, the View History Page (page 8-10) is displayed. ❖ **Edit Schedule**—If used, the Edit Recurring Report Schedule Page (page 8-11) is displayed, where you can modify the scheduling properties of the recurring screening report. ❖ **Edit Criteria**—If used, the associated screening definition page is displayed (for categories, folders, or content items, or records), where you can modify the criteria for the screening report. ❖ **Remove**—If used, the disposition action is removed from the list of scheduled actions and will not be executed.
Info icon ( )	Displays the content information page of the automatically generated report file. You can use the Web Location or Native File link to view the file.

View History Page

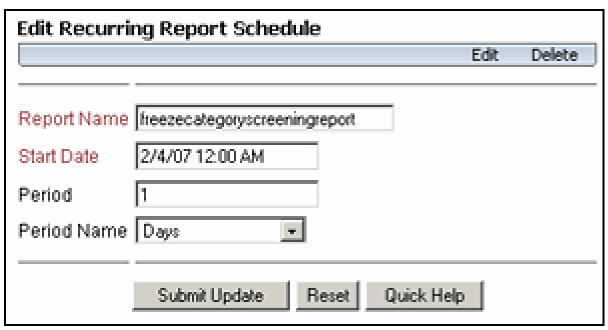


This page shows a list of all reports that have been generated for a recurring scheduled screening report. To access this page, choose the **Report History** option in the Actions icon popup menu for a recurring scheduled screening report.

Feature	Description
Page menu	This menu is the same as that used on the Configure Records Management Page (page 3-1).
Name	The name of the screening report as specified in the Schedule Screening Report Page (page 4-29). If you click on the link, the screening report is displayed. The report is in the format specified by the Report Format setting on the Configure Retention Administration Page.
Process Date	The date and time that the recurring screening report was generated.
Status	The status of the scheduled screening report: ❖ **Completed**—The scheduled screening report has been generated successfully. ❖ **Failed**—The scheduled screening report has not been executed successfully. The log file contains more details on the error(s) that occurred. ❖ **Cancelled**—The scheduled screening report was aborted before it could be completed successfully.

Feature	Description
Actions icon ()	Displays a popup menu that contains a number of options relevant to the scheduled screening report: ❖ **View Log**—If used, the content information page of the generated screening report is displayed. ❖ **Remove**—If used, the disposition action is removed from the list of scheduled actions and will not be executed.
Info icon (o	Displays the content information page of the automatically generated report file. You can use the Web Location or Native File link to view the file.

Edit Recurring Report Schedule Page



This page enables you to modify the scheduling properties of a recurring screening report. To access this page, choose the **Edit Schedule** command on the Action icon popup menu of a scheduled recurring screening report in the Scheduled Screening Reports Page (page 8-7).

Feature	Description
Report Name field	Specify a new name for the scheduled screening report (if required).

Feature	Description
Start Date field	Specify the new date that the first scheduled screening report should be generated according to the new schedule (if required). All subsequent reports will be generated at the end of each recurring period after this date.
Period and Period Name fields	Specify the interval at which the recurring screening report should be created (for example, once every 2 weeks).

Note: To modify a recurring screening report to become non-recurring (i.e., to run only once), you should run the report manually and then cancel it.

Chapter

9

PROCESSING RETENTION ASSIGNMENTS

OVERVIEW

Retention assignments are the items (content, records, or folders) and events (disposition actions) for which you are responsible for reviewing or processing. This section discusses processing retention assignments, which include reviewing items that are subject to review and processing disposition actions. It covers the following topics:

Concepts

Tasks

Interface

About Retention Assignments

The My Retention Assignments area in the My Content Server tray is a link to all items that generated notifications. The pages list all items that need to be reviewed, as well as all pending events that need to be processed.

This section discusses the following topics:

Approval and Completion

All pending events need to be approved on the approval pages. Some events require only approval. After they have been approved, the associated disposition actions are executed automatically and logged in the audit log (see Audit Log Files for Processed Events (page 9-4)). The processed events are subsequently removed from the approval list.

Some events require two steps, depending on the event type and the item to be processed. First, they need to be approved, and then, after the action has been carried out manually, they need to be marked as completed. After such an event has been marked as approved, it is moved from the approval list to the completion list, where a user can mark it as completed after the required event action has been executed (for example, physical transfer to a different location).

The following events require both approval and completion:

- Accession (see Processing an Accession Event (page 9-10))
- Archive (see Processing an Archive Event (page 9-11))
- Destroy (see Processing a Destroy Event (page 9-16)) (external content only)
- Move (see Processing a Move Event (page 9-19))

Transfer (see Processing a Transfer Event (page 9-21)).

Frozen Items and Event Processing

After an event has been processed—that is, approved and marked as completed if required— it should automatically be removed from the pending event pages (approval list and/or completion list) in the My Content Server area. If an event remains on these pages, then there is probably a frozen item or folder.

For example, if a total of ten items are affected by a Destroy event and one of them is frozen, then the event for that one item will remain in the approval list, and the event will move to the completion list for the other nine items. These nine items can then be destroyed and the event marked as completed, but the frozen item cannot be processed until it is unfrozen.

You can investigate what items are affected by an event on the Disposition Content, Record, and Folder Page (page 9-29). If it is time to unfreeze a disposition, you can do so, and then try the event again.

Scheduling

Pending events and review cycles are processed by DoD Edition every night on a 24-hour cycle. Notifications are sent daily at midnight.

While processing pending events, you may choose to schedule the events rather than perform them immediately (see Scheduling a Disposition Action (page 9-22)). This allows the disposition actions to be performed at midnight, which is generally an off-peak time. This may help avoid browser time-outs for actions that affect large sets of items, keep the content server responsive during regular work hours, and allow administrators to work more efficiently.

You can also use the **Batch Services** options on the Configure Records Management Page (page 3-1) to process certain actions immediately rather than wait for the scheduled processing time. Options on that menu include:

- **Run All:** processes all pending events.
- **Process Actions and Reviews**: processes pending actions and reviews
- **Send Notifications**: sends any pending notifications

Specifying an Alternate Reviewer

It may be useful to select another user than yourself to perform review actions and process disposition events, for example when you will be out of the office for some time. You can specify an alternate reviewer in your user profile, who will then receive e-mail notifications of any pending actions assigned to you and can act on them.

Permissions: The Admin.PerformActions or Admin.PerformPendingReviews right is required to perform this action. The Admin.PerformActions right is assigned by default to the ‘rmaadmin’ role. You can also ask your records administrator to specify an alternate reviewer for you.

Log into the content server and open your user profile. Select an alternate reviewer from the dropdown list. The list includes all users that have been specified as default notification recipients as discussed in the *Records Manager DoD Edition System Setup Guide*. The selected person will now receive e-mail notifications of pending actions and events that are assigned to you.

Tech Tip: By default, only the alternate reviewer will receive notifications and not the users. You may configure your system so that both the users and the alternate reviewer are notified. To accomplish this, make sure that the configuration file <*CS_Instance_Dir*>/custom/RecordsManagement/records_management_environments.cfg contains the following line: `RmaNotifyReviewerAndAlternateReviewer=true`
You need to restart the content server for this setting to take effect.

Audit Log Files for Processed Events

When a disposition event is processed, an audit log file is created automatically behind the scenes and, if possible, checked into the content server using the specified default metadata for audit logs (see Default Metadata for Checked-In Audit Entries Page (page 10-16)). These checked-in log files can be used for audit trail purposes or as a verification tool.

It is important that you specify default metadata for audit logs. These settings determine how audit logs are checked into the content server and where they reside:

- If no default audit metadata are specified, the logs for processed disposition events are placed in the <*install_dir*>/data/recordsManagement/log directory and they are not checked into the content server.
- If the checked-in audit logs are set to be records (i.e., the “Is Record” check box is selected in the default metadata), then the logs for processed disposition events are

checked into the default specified category and the content ID is prefixed with "ArchiveLog." Every processed disposition action generates a new log, which is checked in as a separate record (because records cannot have revisions).

- If the checked-in audit logs are not set to be records (i.e., the "Is Record" check box is not selected in the default metadata), then the logs for processed disposition actions are checked in as non-record content. If the same disposition action is processed again, a new revision is created for the non-record log (not a separate, new content item).

MANAGING RETENTION TASKS

The following tasks are performed when managing retention schedules and objects:

- Viewing Information (page 9-5)
- Marking Items as Reviewed (page 9-6)
- Processing Pending Events (page 9-6)

Viewing Information

Permissions: The Folder.Read right and Record.Read right are required to perform this action. All predefined records management roles ('rma', 'rmaprivileged', and 'rmaadmin') have this right. The Admin.PerformActions right is required to view your own or pending events of others. This right is assigned by default to the 'rmaadmin' role.

To view information prior to reviewing or performing actions, follow these steps:

1. Click **My Content Server—My Retention Assignments**.

   The My/Other Approval List Page (page 9-24) is displayed.

2. Click **Pending Approval—My Dispositions**.

   The My/Other Approval List Page (page 9-24) is displayed showing items assigned to you that are awaiting approval. To view the pending approvals of others, select **Other Dispositions**.

To view the review history of an item, follow these steps:

1. Click **My Content Server—My Retention Assignments**.

   The My/Other Approval List Page (page 9-24) is displayed.

2. Click **Pending Reviews** and select the type of item.

   The Pending <type> Review Page (page 9-26) is displayed.

3. Select **Information—Recent Reviews** from any item's Actions menu.

Marking Items as Reviewed

Follow this procedure to perform reviews, either for your own assignments or for other people.

Permissions: The Admin.PerformPendingReviews right is required to perform this action. This right is assigned by default to the 'rmaprivileged' and 'rmaadmin' roles. When performing reviews of items assigned to others, you must also be designated as the main notification recipient.

1. Click the email notification link you received or click **My Content Server—My Retention Assignments**.

   The My/Other Approval List Page (page 9-24) is displayed.

2. Click Pending Review.

   The Pending <type> Review Page (page 9-26) is displayed.

3. For each item you need to review and then mark as reviewed, select **Edit—Mark reviewed** option from the Actions popup menu for that item.

Processing Pending Events

This section contains procedures for processing pending events, either your own or for other people.

❖ Accessing the Events Interface (page 9-7)

❖ Common Functionality in Event Processing (page 9-8)

❖ Scheduling a Disposition Action (page 9-22)

It also describes the following specific events, listed here alphabetically:

❖ Processing an Accession Event (page 9-10)

❖ Processing an Activate Event (page 9-11)

❖ Processing an Approve Deletion Event (page 9-11)

❖ Processing an Archive Event (page 9-11)

Accessing the Events Interface

In the following event descriptions, all events are accessed in the following fashion:

- To process your own events, click **My Content Server—My Retention Assignments—Pending Events—My Content and Records**.
- To process events of other users, click **My Content Server—My Retention Assignments—Pending Events—Other Folders** or **Other Content and Records**.
- To complete your own event, click **My Content Server—My Retention Assignments—Pending Completion—My Completed Items**.

- To complete events of other users, click **My Content Server—My Retention Assignments—Pending Completion—Other Completed Items**.
- You can also click the appropriate e-mail notification link to directly access the My/Other Completion List Page (page 9-27).

Common Functionality in Event Processing

The following list and table describes common functionality regardless of the type of event being processed:

- The Admin.PerformActions right is required to perform these actions. This right is assigned by default to the ‘rmaadmin’ role.
- For many events, when the disposition event is processed, an audit log file is created automatically behind the scenes and, if possible, checked into the content server. See Audit Log Files for Processed Events (page 9-4) for further details. The following table indicates those events where this occurs.
- You may be able to only schedule actions and not execute them immediately, depending on the setting of the “Only allow scheduled disposition action” option on the Configure Records Management Page (page 3-1). The following table lists those actions where this occurs.

The following table indicates with an X if an audit log is created and if the action must be scheduled and cannot execute immediately.

Event	Audit Log Created	Must schedule; cannot exeucte immediately
Accession	X	X
Activate	X	X
Approve Deletion	X	X
Archive		
Checkin New Revision	X	X
Close	X	X

Event	Audit Log Created	Must schedule; cannot exeucte immediately
Create Content Server Archive	X	
Custom Disposition	X	X
Cutoff	X	X
Declassify	X	X
Delete All Revisions	X	X
Delete Old Revisions	X	X
Delete Previous Revision	X	X
Delete Revision	X	X
Destroy	X	X
Downgrade Classification	X	X
Expire	X	X
Move		X
No Action		X
Notify Authors	X	X
Obsolete	X	X
Review Classification	X	X
Supersede	X	X
Transfer	X	X
Upgrade Classification	X	X

Processing an Accession Event

An accession is one of the last actions, if not the last, in a disposition sequence. As part of the accession, you create a zip file to hand off to the final records archive institution, and you have the option to destroy the items in Stellent Records Manager while retaining their metadata.

An accession event consists of two steps: it needs to be approved first and then, after the action has been carried out, it needs to be marked as completed.

The commands available as part of the Accession action processing include creating an archive via the Get Content, Records and Folders command, and the ability to destroy the items while retaining their metadata.

Approval

1. See Accessing the Events Interface (page 9-7).
2. Select **Approve Archive** in the Actions popup menu for the item to process. This approves the event and moves it to the completion list for further processing.

Note: If the event does not move to the completion list, then all affected items are frozen and cannot be processed. If the event does move but also remains in the approval list, then some of the affected items are frozen. The frozen items will not be processed until they are unfrozen.

Completion

1. See Accessing the Events Interface (page 9-7).
2. Select **Get Content** in the Actions popup menu for the item to process.
3. You are prompted to save a copy of the content, records and folders archive contained in a zip file. This zip file contains the items as well as their metadata. The format of the metadata information depends on the Archive Meta Data Format setting on the Configure Retention Administration Page (HDA, XML, or CSV).
4. After saving the zip file, you can destroy the items by clicking the **Destroy Content and Records but not Metadata** or the **Destroy** command. For further information, see Processing a Destroy Event (page 9-16).

   You can also choose the **Schedule Destroy Content and Records but not Metadata** or **Schedule Destroy** command to schedule these actions rather than perform them immediately (see Scheduling a Disposition Action (page 9-22)).

5. A message is displayed reminding you to archive the records before you destroy them. Click **Yes** to proceed. A message prompts you to confirm the records being destroyed. Click **Yes** to confirm the action.

Processing an Activate Event

Use this procedure to process an Activate disposition action. An activation action is usually one of the earlier actions in the disposition sequence.

1. See Accessing the Events Interface (page 9-7).
2. Select **Activate** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Activate** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).
3. You are prompted to enter a reason for the action. If needed, enter a reason or leave the text box empty and click **OK**. If you click **Cancel**, the entire action is aborted.

   If you confirmed the action, the affected items are activated, and the event is removed from the pending events page.

Processing an Approve Deletion Event

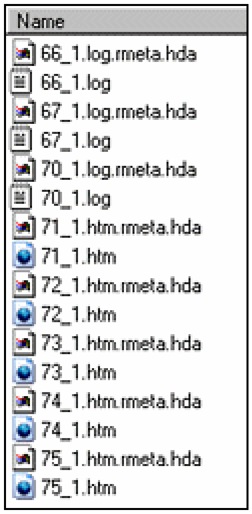
1. See Accessing the Events Interface (page 9-7).
2. Select **Approve Deletion** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Approve Deletion** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).
3. You are prompted to enter a reason for the action. If needed, enter a reason or leave the text box empty and click **OK**. If you click **Cancel**, the entire action is aborted.

Processing an Archive Event

The archive action creates a zip file of the records and folders that the Get Content, Records and Folders command retrieved for an action. Within each zip archive, there is a copy of each item and its metadata:

Figure 9-18 Archive zip example contents



The *rmeta* files contain the item metadata in the format specified by the Archive Meta Data Format setting on Configure Retention Administration Page (hda, xml, or csv).

An archive event consists of two steps: it needs to be approved first and then, after the action has been carried out, it needs to be marked as completed.

Approval

1. See Accessing the Events Interface (page 9-7).
2. Select **Approve Archive** in the Actions popup menu for the item to process.This approves the event and moves it to the completion list for further processing.

Note: If the event does not move to the completion list, then all affected items are frozen and cannot be processed. If the event does move but also remains in the approval list, then some of the affected items are frozen. The frozen items will not be processed until they are unfrozen.

Completion

1. See Accessing the Events Interface (page 9-7).
2. Select **Get Content** in the Actions popup menu for the item to process.
3. You are prompted to enter a reason for the action. If needed, enter a reason or leave the text box empty and click **OK**. If you click **Cancel**, the entire action is aborted.

4. If you confirmed the action, you are prompted to save a copy of the content, records and folders archive contained in a zip file. You can rename the file to something more meaningful to your organization, rather than a number sequence.

   The zip file contains the content items and/or records as well as their metadata. The format of the metadata information depends on the Archive Meta Data Format setting on the Configure Retention Administration Page (HDA, XML, or CSV).

Processing a Checkin New Revision Event

This disposition action takes the latest revision of the affected non-record content items, and checks a copy of those revisions into the content server as new revisions. This may be useful to process a content item revision based on changed historical information, “refresh” an expired document, or enter a content item into a criteria workflow for disposition processing.

1. See Accessing the Events Interface (page 9-7).
2. Select **Checkin New Revision** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Checkin New Revision** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Close Event

Use this procedure to process a Close disposition action. A close action closes folders, but does not cut off the folders.

Note: The Close disposition action *only* applies to folders, not to content items and records.

1. See Accessing the Events Interface (page 9-7).
2. Select **Close** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Close** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).
3. You are prompted to enter a reason for the action. If needed, enter a reason or leave the text box empty and click **OK**. If you click **Cancel**, the entire action is aborted.

Processing a Create Content Server Archive Event

This action creates a Content Server archive that contains the affected records and non-record content items with their metadata. This archive can be processed further using the Archiver utility.

1. See Accessing the Events Interface (page 9-7).
2. Select **Schedule Create Content Server** from the Actions popup menu the item to process.

Note: You can only schedule the Create Content Server Archive action; you cannot perform it manually.

The Create Content Server Archive action is now scheduled to be performed at midnight. For more information about scheduling, see Chapter 8 (*Scheduled Tasks)*.

After the Create Content Server Archive action has been performed, the generated archive is included in the list of current archives in the content server (as displayed in the Archiver utility), where it can be processed further.

Processing a Custom Disposition Event

1. See Accessing the Events Interface (page 9-7).
2. In the Actions popup menu for the item to process, click the name of the disposition command that you can want to perform. The available commands depend on the definition of the custom disposition action.

   If the custom disposition action was set up to allow scheduling, you can also choose the **Schedule...** command to schedule the action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Cutoff Event

A cutoff action is usually one of the earlier actions in a disposition sequence.

1. See Accessing the Events Interface (page 9-7).
2. Select **Cutoff** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Cutoff** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).
3. You are prompted to enter a reason for the action. If needed, enter a reason or leave the text box empty and click **OK**. If you click **Cancel**, the entire action is aborted.

If you confirmed the action, the application processes the cutoff and removes the Cutoff event from the pending events pages.

Processing a Declassify Event

1. See Accessing the Events Interface (page 9-7).
2. Select **Declassify** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Declassify** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Delete All Revisions Event

This disposition action deletes the content item revision that triggered the disposition action as well as all earlier revisions. The revision that activated the trigger may be the latest revision of a content item, but does not need to be. If a Delete All Revisions event is to be performed on the latest revision of a content item, that content item is essentially removed from the content server completely.

1. See Accessing the Events Interface (page 9-7).
2. Select **Delete All Revisions** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Delete All Revisions** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Delete Old Revisions Event

This disposition action deletes all revisions prior to the content item revision that triggered the disposition action. The revision that activated the trigger may be the latest revision of a content item, but does not need to be.

1. See Accessing the Events Interface (page 9-7).
2. Select **Delete Old Revisions** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Delete Old Revisions** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Delete Previous Revision Event

This disposition action deletes the revision prior to the content item revision that triggered the disposition action. The revision that activated the trigger may be the latest revision of a content item, but does not need to be.

1. See Accessing the Events Interface (page 9-7).
2. Select **Delete Previous Revision** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Delete Previous Revision** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Delete Revision Event

This disposition action deletes the content item revision that triggered the disposition action. This revision may be the latest revision of a content item, but does not need to be.

1. See Accessing the Events Interface (page 9-7).
2. Select **Delete Revision** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Delete Revision** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Destroy Event

You can destroy items while preserving their metadata, or you can destroy both the items and their metadata. The destruction commands are also available when processing other action events such as Move, Archive, Transfer, and Accession.

Important: After the items have been destroyed, they cannot be retrieved.

Important: The Destroy action removes ***all*** revisions of an item. This is especially relevant for non-record content, which may have multiple revisions. If this is not the behavior you want, you may want to redefine the disposition rule to use a non-record disposition action such as Delete Old Revisions or Delete Previous Revision instead of Destroy.

Tech Tip: You can configure the number of disk scrubbing passes by setting the `RecordsManagementNumberOverwriteOnDelete` parameter in the *[CS_Instance_Dir]*/custom/RecordsManagement/records_management_environment.cfg environment file (do not forget to restart the content server after setting this variable). By default, the number of scrubbing passes on the hard disk is set to 2.

One Step or Two Steps

A destroy event may consist of one or two steps. For electronic (internal) items, it is a one-step process. After approving the event, the affected items are automatically destroyed. For physical (external) items, which are managed using a DoD Edition add-on such as Physical Content Manager, two steps are required: the event needs to be approved first and then, after the external items have been destroyed manually, it needs to be marked as completed.

Approval

1. See Accessing the Events Interface (page 9-7).
2. Select **Approve Destroy** in the Actions popup menu for the item to process.. This approves the event and moves it to the completion list for further processing.

For electronic (internal) items, this is the only required step.

Note: If the event does not move to the completion list, then all affected items are frozen and cannot be processed. If the event does move but also remains in the approval list, then some of the affected items are frozen. The frozen items will not be processed until they are unfrozen.

Completion — Destroying Items With Their Metadata

1. See Accessing the Events Interface (page 9-7).
2. Select **Destroy** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Destroy** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).
3. You are prompted to confirm the destroy action. Confirm the destruction.
4. Another message prompts you for a second confirmation. Confirm the destruction.
5. You are prompted to enter a reason for the action. If needed, enter a reason or leave the text box empty and click **OK**. If you click **Cancel**, the entire action is aborted.

If you confirmed the action, the Destroy event is removed from the (My or Other) Pending Events page.

Completion — Destroying Items Without Their Metadata

1. See Accessing the Events Interface (page 9-7).
2. Select **Destroy Records but not Metadata** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Destroy Content and Records but not Metadata** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).
3. You are prompted to enter a reason for the action. If needed, enter a reason or leave the text box empty and click **OK**. If you click **Cancel**, the entire action is aborted.
4. If you confirmed the action, you are prompted to re-confirm the destroy action. Confirm the destruction.

Processing a Downgrade Classification Event

1. See Accessing the Events Interface (page 9-7).
2. Select **Downgrade Classification** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Downgrade Classification** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing an Expire Event

An expire action is not a terminal step in disposition instructions, as another action such as destroy usually follows.

1. See Accessing the Events Interface (page 9-7).
2. Select **Expire** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Expire** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

   The current expiration date is entered on all affected folders, content items, and records, with the exception of frozen items. Once unfrozen, the expiration date is processed and added retroactively.

Processing a Move Event

A move action does not leave a copy of internal (electronic) items on the retention management system.

Note: This action should not be confused with moving retention items within the retention management system, which is accomplished via the Move command within the retention schedule (Browse Content tray).

A move event consists of two steps: it needs to be approved first and then, after the action has been carried out, it needs to be marked as completed.

Approval

1. See Accessing the Events Interface (page 9-7).
2. Select **Approve Move** in the Actions popup menu for the item to process.This approves the event and moves it to the completion list for further processing.

Note: If the event does not move to the completion list, then all affected items are frozen and cannot be processed. If the event does move but also remains in the approval list, then some of the affected items are frozen. The frozen items will not be processed until they are unfrozen.

Completion

1. See Accessing the Events Interface (page 9-7).
2. Select **Get Content** in the Actions popup menu for the item to process.
3. You are prompted to enter a reason for the action. If needed, enter a reason or leave the text box empty and click **OK**. If you click **Cancel**, the entire action is aborted.
4. If you confirmed the action, you are prompted to save a copy of the content, records and folders archive contained in a zip file. You can later rename the file to something more meaningful to your organization, rather than a number sequence.

The zip file contains the content items and/or records as well as their metadata. The format of the metadata information depends on the Archive Meta Data Format setting on the To view information prior to reviewing or performing actions, follow these steps:

(HDA, XML, or CSV).

5. After saving the zip file, you can click the **Destroy Content, Records but not Metadata** command to destroy the items but keep their metadata (for example, for tracking purposes).

You can also choose the **Schedule Destroy Content and Records but not Metadata** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a No Action Event

Use this procedure to process a “no action” event, which is usually a rule found mid-disposition. Processing a No Action event merely acknowledges that the disposition milestone has passed, and the next step in the disposition begins processing.

1. See Accessing the Events Interface (page 9-7).
2. Select **No Action** in the Actions popup menu for the item to process.

   You can also choose the **Schedule No Action** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Notify Authors Event

This action notifies the original authors of the affected records or content items.

1. See Accessing the Events Interface (page 9-7).
2. Select **Notify Authors** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Notify Authors** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing an Obsolete Event

You can also mark folders and records as obsolete from the Records Folder and Content Information pages, prior to receiving notification, if a records object becomes obsolete for any reason.

1. See Accessing the Events Interface (page 9-7).
2. Select **Obsolete** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Obsolete** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Review Classification Event

1. See Accessing the Events Interface (page 9-7).
2. Select **Review Classification** in the Actions popup menu for the item to process.

You can also choose the **Schedule Review Classification** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Supersede Event

1. See Accessing the Events Interface (page 9-7).
2. Select **Supersede** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Supersede** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing a Transfer Event

A transfer action leaves a copy of internal (electronic) items on the retention management system. A transfer event can be considered complete when an organization sends the items to another organization.

A transfer event consists of two steps: it needs to be approved first and then, after the action has been carried out, it needs to be marked as completed.

A system administrator has the option of getting an archive, deleting the items and/or their metadata for terminal transfers, and marking the transfer step completed. A terminal transfer action is when the transfer disposition action is the last action for a disposition schedule.

Important: If the Transfer action is the last step (rule) in a disposition action, you must destroy the items before you can mark the step complete.

Approval

1. See Accessing the Events Interface (page 9-7).
2. Select **Approve Transfer** in the Actions popup menu for the item to process.. This approves the event and moves it to the completion list for further processing.

Note: If the event does not move to the completion list, then all affected items are frozen and cannot be processed. If the event does move but also remains in the approval list, then some of the affected items are frozen. The frozen items will not be processed until they are unfrozen.

Completion

1. See Accessing the Events Interface (page 9-7).

2. Select **Get Content** in the Actions popup menu for the event to process. This creates an archived zip file of the items that are being transferred. The zip file contains the items as well as their metadata. The format of the metadata information depends on the Archive Meta Data Format setting on the Configure Records Management Page (page 3-1) (HDA, XML, or CSV).

3. If the transfer is the final step in the disposition actions, then destroy the electronic items by clicking the **Destroy Content and Records but not Metadata** or the **Destroy** command. For further information, see Processing a Destroy Event (page 9-16).

   You can also choose the **Schedule Destroy Content and Records but not Metadata** or **Schedule Destroy** command to schedule these actions rather than perform them immediately (see Scheduling a Disposition Action (page 9-22)).

4. After you complete getting the archive and destroying records (if required), then you can mark the transfer event as complete by clicking the **Mark Completed** command.

   You can also choose the **Schedule Mark Completed** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Processing an Upgrade Classification Event

1. See Accessing the Events Interface (page 9-7).

2. Select **Upgrade Classification** in the Actions popup menu for the item to process.

   You can also choose the **Schedule Upgrade Classification** command to schedule this action rather than perform it immediately (see Scheduling a Disposition Action (page 9-22)).

Scheduling a Disposition Action

Most disposition actions can be performed immediately or they can be scheduled to be performed at a later time. This is especially useful for disposition actions that affect large sets of records. Performing the disposition action immediately might put a heavy load on the system, which could diminish its responsiveness and/or result in browser time-outs for end-users. To avoid this, DoD Edition allows you to schedule disposition actions to be performed at midnight, which is generally an off-peak time in most environments.

To schedule a disposition action, make sure that you choose the **Schedule...** command in the Actions icon popup menu () of the item you need to process in your My Retention Assignments area.

The disposition action is then put in the queue of actions to be performed. All scheduled disposition actions are performed once a day at midnight.

For more information about scheduling see Chapter 8 (*Scheduled Tasks)*.

Retention Assignment Interface Screens

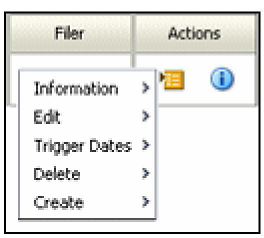
The following screens are used when processing retention assignments:

- Action Menus (page 9-23)
- My Content Server Menu (page 9-24)
- Pending <type> Review Page (page 9-26)
- My/Other Completion List Page (page 9-27)
- Disposition Content, Record, and Folder Page (page 9-29)

Action Menus

Single Action menus are available for many items.

Figure 9-19 Actions menu



The options on this menu vary depending on the type of item used (content, retention category, and so on). The following list summarizes the most commonly seen menu options:

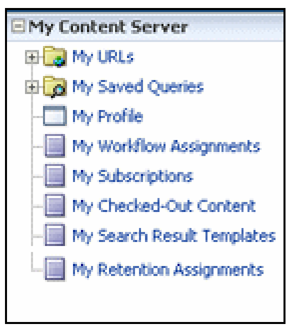
- **Information**: displays a submenu that allows you to access information pages for folders, life cycle of the item, recent reviews, metadata history, and retention schedule reports.
- **Edit**: provides quick links to edit pages for folders or reviews, as well as options to move, close, freeze, or unfreeze an item.
- **Trigger Dates**: provides quick links to actions associated with dates, such as marking items for review, cancelling, rescinding, and expiring items.

- **Delete**: provides options to delete the item or perform a recursive delete (delete tree).
- **Create**: provides options to create items appropriate to the location in the hierarchy. For example, if this is the action menu for a retention category, Create suboptions include Series and Retention Category.

Clicking the Info icon ( ) displays the Information page for the item. The Action menu options described previously are then available on the Page menu on the item's information page.

A double Action menu ( ) is also provided for certain type of items. The leftmost menu applies to the type of event being processed and provides options to view information about the action, approve, or schedule the action. The rightmost menu applies to processing options and allows you to list other items affected by the action.

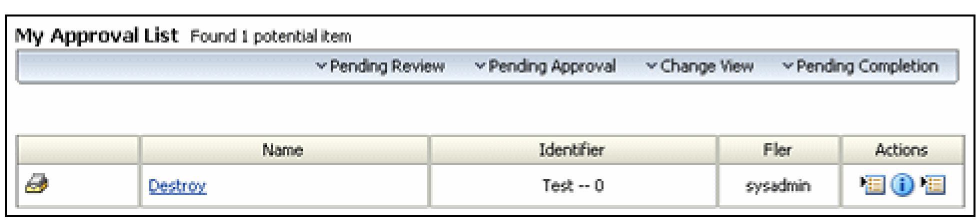
My Content Server Menu



This menu is used to access several options which are specific to each user, such as saved queries, profile information, and a list of checked-out content.

Clicking on My Retention Assignments on this page brings up the My/Other Approval List Page (page 9-24) where you can process retention assignements.

My/Other Approval List Page



This page serves as a portal page for most of the retention assignment tasks. To access this page, click **My Retention Assignments** on the My Content Server Menu (page 9-24).

This page contains links for both system administrators and regular users. Use this page to view all events that you have been assigned to approve. The following persons may receive notifications of events triggered by disposition rules, depending on the system configuration:

- the author or “filer” of a retention category
- the default notification recipient
- the additional notification reviewer, if specified

The pending events appear in both the other notification recipient’s approval list and the filer’s own approval list. If the main recipient processes the event, the event is removed from the author’s approval list, and vice versa.

All pending events need to be approved. Some events only require approval. After you approve these events, their associated disposition actions are executed automatically and logged in the audit log (see Audit Log Files for Processed Events (page 9-4)).

The processed events are subsequently removed from the approval list. Some events require two steps, depending on the event type and the item to be processed. First, you need to approve them, and then, after you have manually carried out the action, you need to mark them as completed. After you have marked a two-step event as approved, it is moved from the approval list to the completion list (see My/Other Completion List Page (page 9-27)), where you can mark it as completed after you have executed the required event action (for example, transferred an item to a different location).

To access the My Approval List page, click **My Content Server—My Retention Assignments—Pending Events—Approval List**. This page is also displayed when you click on the relevant link in the e-mail notification that you received.

Disposition List Page Menus

Depending on assigned rights and on the default main recipient for notifications, the menus on the pages used for disposition processing contain different links.

- **Pending Review:** This opens a submenu with the following possible option:
  - **My Content and Records:** This opens a Pending <type> Review Page (page 9-26), which lists all pending items owned by the currently logged-in user that are assigned for review. All users see this menu link, regardless of their assigned rights.

- **Other Folders:** This opens a Pending <type> Review Page (page 9-26), which lists pending folders owned by owners that are assigned for review. All users see this menu link, regardless of their assigned rights.
- **Other Content and Records:** This opens a Pending <type> Review Page (page 9-26), which lists all pending items owned by others that the currently logged-in user is assigned to review. All users see this menu link, regardless of their assigned rights.

❖ **Pending Approval:** This opens a submenu with the following options:

- **My Disposition:** This opens a My/Other Approval List Page (page 9-24), which lists all dispositions created by the current logged-in user that are pending approval.
- **Other Disposition:** This opens a a My/Other Approval List Page (page 9-24) which lists dispositions created by other users that are pending approval.

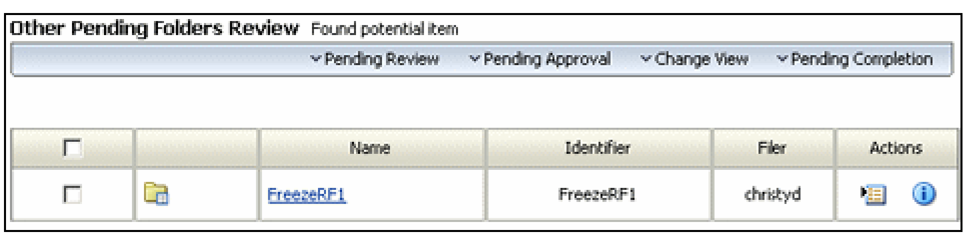
❖ **Change View**: Opens a submenu that allows you to toggle between two views.:

- **Headline View**: Sets viewing options in a horizontal line.
- **Thumbnail View**: Sets viewing options with icons representing items.

❖ **Pending Completion:** Opens a submenu with the following options:

- **My Completed <instance> Items:** Displays those actions that have been completed by the logged-in user.
- **Other Completed <instance> Items:** Displays those actions that have been completed by the logged-in user.

Pending <type> Review Page

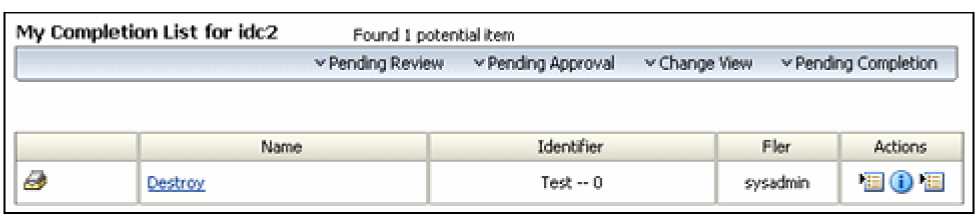


Permissions: The Admin.PerformActions right is required to use these pages. This right is assigned by default to the 'rmaadmin' role. In addition, you must be designated as the notification recipient.

Use this page to view the items that require your review or action. To access this page, click **My Content Server—My Retention Assignments.** Select the type of review to perform from the **Pending Review** Page menu. This page is also displayed when you click on the relevant link in the e-mail notification that you received.

Feature	Description
Page menus	See Disposition List Page Menus (page 9-25) for details.
Selection check boxes	Select the check box for each item to be used. You can select the check box in the column heading to select all items on the page.
Name	The name of the items that needs to be reviewed. If you click on the link, the Exploring page for the Item is displayed from the **Browse Content** tray.
Identifier	The ID of the item that needs to be reviewed.
Filer	The login name of the person who originally created ("filed") the item.
Actions icon ( )	See Individual Action Menus (page 3-3) for details.
Info icon ( )	Displays an Information page for the item.

My/Other Completion List Page



Permissions: The Admin.PerformActions right is required to use this page. This right is assigned by default to the 'rmaadmin' role. In addition, you must be designated as the notification recipient when performing actions for others.

Use this page to view all events you have been assigned to mark as completed, either yours or for others. The following persons may receive notifications of events triggered by disposition rules, depending on the system configuration:

- the author or “filer” of a retention category
- the default notification recipient
- the additional notification reviewer, if specified

The pending events appear in both the other notification recipient’s completion list and the filer’s own completion list. If the main recipient processes the event, the event is removed from the author’s completion list, and vice versa.

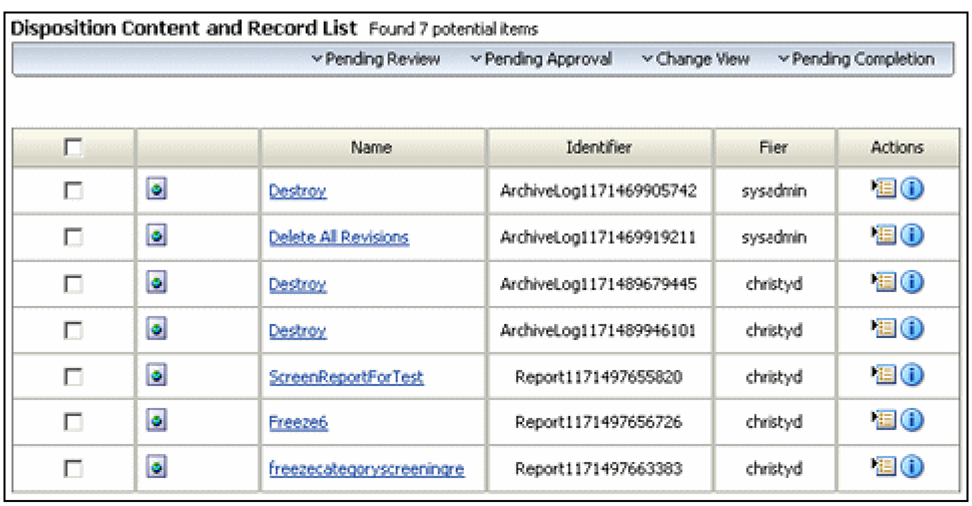
Events shown in the completion list have been approved (in the approval list), but also require a completion step. This is typically because the event requires an action that cannot be performed automatically (for example, physically transferring items to a different location). This action needs to be carried out manually, after which the event can be marked as completed on the My Completion List page.

To access this page, click **My Content Server—My Retention Assignments—Pending Completion—My Completed <repository name> Items**. This page is also displayed when you click on the relevant link in the e-mail notification that you received.

Feature	Description
Page menus	See Disposition List Page Menus (page 9-25) for details.
Name	Indicates the type of disposition action. See Processing Pending Events (page 9-6). If the disposition action is scheduled (see Scheduling a Disposition Action (page 9-22)), the icon is displayed next to its name. If you click on the link, the Disposition Information Page is displayed.

Feature	Description
Identifier	Lists the identifiers of the affected items. For categories, a number indicates at which step (rule) in the disposition instructions the current event is processing. It is a progress indicator. A zero (0) indicates it is the first step in a disposition instruction that is being processed; a one (1) indicates it is about to process the second step; a two (2) indicates it is processing the third step. This is because the (index) count starts at zero rather than one. Folders do not indicate any step number; only the folder identifier is displayed.
Filer	The login name of the user who created the folder or checked in the item.
Double actions icon ( )	Displays popup menus with options relevant to the event to be approved. One menu applies to the type of event being processed. See Action Menus (page 9-23) for details.
Info icon ( )	Displays disposition information for the affected item.

Disposition Content, Record, and Folder Page



Use this page to view or work with all items that will be affected by an action taken from an approval or completion list page. There are separate disposition list pages for each available repository of internal or external content.

Important: Any frozen items are listed on this page, but they are not affected by any processing action until they are unfrozen.

To access this page, click any of the **Disposition <type> List** options in the popup actions menu for a pending event.

The number of items displayed in the disposition list depends on the value configured for the Disposition List Result Count option on theConfigure Records Management Page (page 3-1). It may be useful to limit very long lists, which may otherwise take a long time to load. If the list contains more items than displayed, navigation controls are added to move between pages.

Feature	Description
Page menus	See Disposition List Page Menus (page 9-25) for details.
Actions dropdown menu	See Action Menus (page 9-23) for details.
Selection check boxes	Select the check box for each item to be used in actions performed from the main Page dropdown menus. You can select the check box in the column heading to select all items on the page.
Name	The title of the item that is affected by the disposition action. If you click on the link, the Content Information page that item is displayed.
Identifier	The ID of the item that is affected by the disposition action.
Filer	The login name of the user who originally checked in (“filed”) the item affected by the disposition action.
Actions icon ( )	See Action Menus (page 9-23) for details.
Info icon ( )	Displays the Content Information page for the the item.

Chapter

10

WORKING WITH AUDIT TRAILS

OVERVIEW

The audit trail captures and records all user activity that you have configured to be included in the audit trail. An audit trail is critical for tracking user actions within your records management system.

This chapter discusses configuring, generating, searching, and archiving an audit trail of activities within Records Manager DoD Edition. It covers the following topics:

Concepts

Tasks

Examples

- Search for Successful Create Category Actions (page 10-8)

Interface

- Sample Audit Trail (page 10-9)
- Configure Audit Page (page 10-11)
- Audit Fields Page (page 10-14)
- Checked-In Audit Entries Page (page 10-15)
- Default Metadata for Checked-In Audit Entries Page (page 10-16)
- Search Audit Trail Page (page 10-17)

About the Audit Trail

The audit trail is generated in the format specified by the Report Format setting on the Configure Records Management Page (page 3-1).

Permissions: The Admin.Audit right is required to work with audit trails. This right is assigned by default to the ‘rmaadmin’ role.

Note: If the generated file is in PDF format, it cannot be viewed using Adobe Acrobat 5.*x* or earlier. You need at least version 6.0 of the Acrobat software.

At certain points, you can cut off and archive the current audit trail and check it into the content server as a record itself. The audit trail must be cycled for growth reasons just as all other records. Be sure to check in the audit trail log on a regular basis to keep the file size smaller and the report generation time faster. Each current audit trail is generated from the time DoD Edition was installed or archived up until the current moment that you request to generate an audit trail.

You can generate an audit trail at any time. Notice that the columns within the audit trail correspond directly with the fields by which you can search within the Search Audit Trail Page (page 10-17).

MANAGING AUDIT TRAILS

Several tasks are involved in managing Audit Trails::

- Configuring the Audit Trail (page 10-3)
- Specifying Metadata Fields to Audit (page 10-4)
- Generating an Audit Trail (page 10-4)
- Searching within the Audit Trail (page 10-5)
- Setting Default Metadata for Checking In Audit Trails (page 10-5)
- Checking In and Archiving the Audit Trail (page 10-6)
- Searching an Archived Audit Trail (page 10-7)
- Viewing an Archived Audit Trail (page 10-7)

Configuring the Audit Trail

The configuration on the Configure Audit Page (page 10-11) determines the administrator and user actions that are recorded for an audit trail.

Permissions: The Admin.Audit right is required to perform this action. This right is assigned by default to the ‘rmaadmin’ role.

Caution: If you deselect any actions for objects, the actions are ***not*** captured by the audit trail. It is recommended that you leave all settings selected and use the Search Audit Trail Page (page 10-17) to narrow down searches of the audit trail. If transactions are heavy and the audit log grows too large too fast, you might want to consider turning off capturing browsing actions to manage the audit trail size.

To configure an audit trail, complete the following steps:

1. Select **Audit—Configure Audit** on the Configure Records Management Page (page 3-1).

   The Configure Audit Page (page 10-11) is displayed.

2. Select the check boxes for the actions to audit for each entity.
3. Click **Submit Update**. A message indicates configuring the audit was successful. The next time you generate the audit trail, the trail reflects the selections you made.
4. Click **OK**. The Configure Audit page is displayed again with the updated settings.

Note: The format of the generated audit trail depends on the Report Format setting on the Configure Retention Administration Page.

Specifying Metadata Fields to Audit

Use this procedure to specify which metadata fields should be included in the audit trail.

Permissions: The Admin.SelectMeta right is required to perform this action. This right is assigned to the 'maadmin' role by default..

1. Select **Audit—Select Audit Fields** from theConfigure Records Management Page (page 3-1).

   The Audit Fields Page (page 10-14) is displayed.
2. Select the check boxes for the metadata field that you want included in the audit trail.
3. Click **Submit Update** when you finish.

Note: Any changes take effect immediately; you do not need to restart the content server.

Generating an Audit Trail

This action creates an audit trail in the format specified by the Report Format setting on the Configure Records Management Page (page 3-1). For further information, see Configuring the Audit Trail (page 10-3) and Specifying Metadata Fields to Audit (page 10-4).

Permissions: The Admin.Audit right is required to perform this action. This right is assigned by default to the 'rmaadmin' role.

1. Select **Audit—Audit Trail** from the Page menu on the Configure Records Management Page (page 3-1).
2. You are prompted to open or save the document.
3. You can view, save, mark up, or print the report within the Acrobat viewer window. Close the browser window when you complete printing or viewing the report.

Note: If you generate any subsequent audit trails without closing the separately launched browser window, the audit trail refreshes within the browser window that is already open. If you are clicking the Audit Trail link and it seems as though you are not getting any results, make sure the browser window is not already open underneath any other windows.

Searching within the Audit Trail

Use this procedure to further refine a search within the current audit trail. For example, you can search for all delete actions, or all delete actions by a particular user, or all actions by a particular user, and so on. To search within archived audit trails, see Searching an Archived Audit Trail (page 10-7). To view example current audit trail searches, see Examples: Searching the Audit Trail (page 10-7).

Permissions: The Admin.Audit right is required to perform this action. This right is assigned by default to the 'rmaadmin' role.

1. Select **Audit—Search Audit Trail** from the Configure Records Management Page (page 3-1).

   The Search Audit Trail Page (page 10-17) is displayed.
2. Make the selections to narrow your search. You can select as much or as little detail as you want. To adjust the scope (narrow or widen) of the search, you can use the Boolean operators before each field.
3. Click **Search**. The search results are displayed in the format specified by the Report Format setting on the Configure Retention Administration Page.

Setting Default Metadata for Checking In Audit Trails

Setting the default metadata is useful for setting similar check-in attributes.

Permissions: The Admin.Audit right is required to perform this action. This right is assigned by default to the 'rmaadmin' role.

Important: You must set the default metadata before you can check in an audit trail for the first time.

To set the default metadata for checking in and archiving a portion of the audit trail, complete the following steps:

1. Select **Audit—Checked-In Audit Entries** from the Configure Records Management Page (page 3-1).

   The Checked-In Audit Entries Page (page 10-15) is displayed.

2. Click the **Default Metadata for Checked-In Audit Entries** link.

   The Default Metadata for Checked-In Audit Entries Page (page 10-16) is displayed.

3. Make selections that reflect the metadata you most commonly use when checking in an archived audit trail. When you are done, click **Submit Update**. A message is displayed saying that default metadata has been updated successfully.

4. Click **OK**.

Checking In and Archiving the Audit Trail

A user must have performed at least one action while logged into DoD Edition to generate an audit trail entry. If you attempt to check in an empty audit trail, a message informs you that there are no entries in the audit trail. Before you can check in an audit trail for the first time, you must set the default metadata for the check-in (see Setting Default Metadata for Checking In Audit Trails (page 10-5)).

Permissions: The Admin.Audit right is required to perform this action. This right is assigned by default to the 'rmaadmin' role.

1. Select **Audit—Checkin-In Audit Entries** from the Configure Records Management Page (page 3-1).

   The Checked-In Audit Entries Page (page 10-15) is displayed.

2. In the Check In Audit Entries area, specify the date and time to cut off the audit trail in the **Date** box, and click **Archive**. The check-in confirmation page is displayed.

Note: The content ID of the checked-in audit trail is as follows: `AUDITLOGARCHIVE`*`yymmddhhmmss`* (e.g., AUDITLOGARCHIVE040810121728) (where 'yymmdd' is the current date (year, month, day) and 'hhmmss' the current time (hour, minutes, seconds).

3. Click **[Content Info]** to view the information about the archived audit log. The Content Information page is displayed. To view the audit log you just checked in,

click the **Web Location** or the **Native File** in the **Links** area of the content information page.

Searching an Archived Audit Trail

Use this procedure to search for all checked in and archived audit trails.

Prerequisites:

- ❖ Checking In and Archiving the Audit Trail (page 10-6)

Permissions: The Admin.Audit right is required to perform this action. This right is assigned by default to the 'rmaadmin' role.

1. Select **Audit—Checked-In Audit Entries** from the Configure Records Management Page (page 3-1).

   The Checked-In Audit Entries Page (page 10-15) is displayed.

2. Click **Search**. The results of the search are displayed in the search results page. From the search results page, you can click options in the **Query Actions** list to:
   - ❖ search within the results
   - ❖ save the search

Viewing an Archived Audit Trail

Use this procedure to view an archived audit trail for which you have searched.

Prerequisites:

- ❖ Searching an Archived Audit Trail (page 10-7)

To view an archived audit log from the search results page, do one of the following:

- ❖ click the ID (quickest method)
- ❖ click the information icon ( ), and then click the PDF links on the content information page.

EXAMPLES: SEARCHING THE AUDIT TRAIL

This example searches the current audit trail and presents the results in the format specified by the Report Format setting on the Configure Records Management Page

(page 3-1). The current audit trail is the active audit log that is currently capturing information; that is, it is not an archived and checked-in audit trail log.

Search for Successful Create Category Actions

This example searches for successful create actions attempted by all users on a retention category.

Permissions: The Admin.Audit right is required to perform these tasks. This right is assigned by default to the ‘rmaadmin’ role.

To search the audit trail for actions of successfully creating retention categories, complete the following steps:

1. Select **Audit—Search Audit Trail** from the Configure Records Management Page (page 3-1).

   The Search Audit Trail Page (page 10-17) is displayed.

2. Clear the user name from the **User** box.
3. In the **Successful** list, select **Yes**.
4. In the **Action** list, select **Create**.
5. In the **Type** list, select **Category**.

Click **Search**. Depending on the report format chosen, your search results are displayed or you are prompted to save the report. All successful create category actions are listed.

AUDIT TRAIL INTERFACE SCREENS

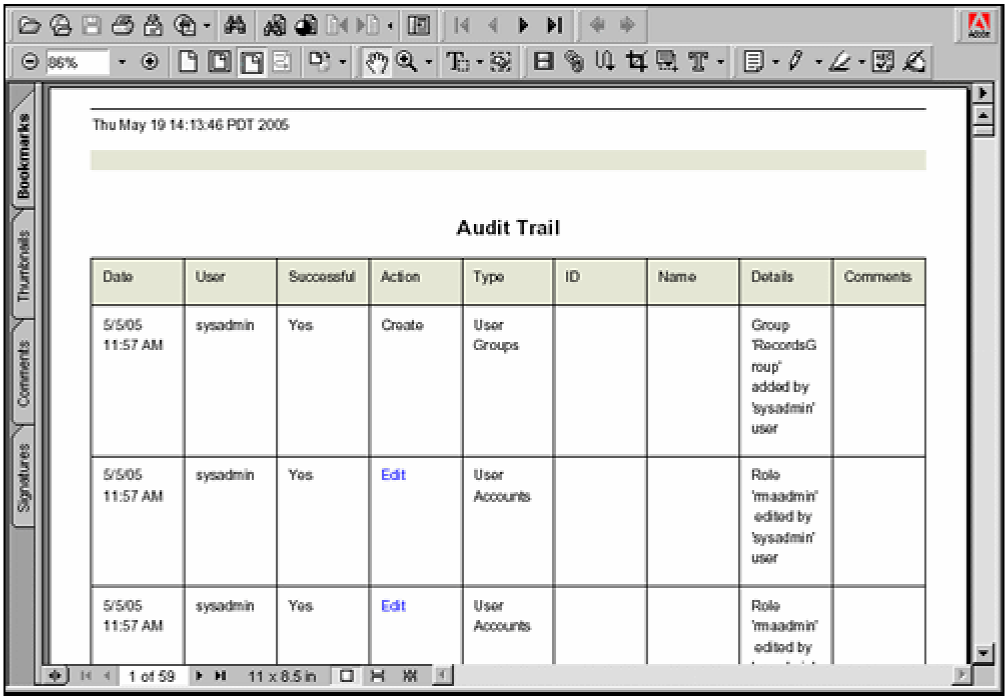
Note: The PDF file cannot be viewed using Adobe Acrobat 5.*x* or earlier. You need at least version 6.0 of the Acrobat software.

The following screens are used when managing audit trails:

- Sample Audit Trail (page 10-9)
- Configure Audit Page (page 10-11)
- Audit Fields Page (page 10-14)
- Checked-In Audit Entries Page (page 10-15)
- Default Metadata for Checked-In Audit Entries Page (page 10-16)

❖ Search Audit Trail Page (page 10-17)

Sample Audit Trail


Thu May 19 14:13:46 PDT 2005

Audit Trail

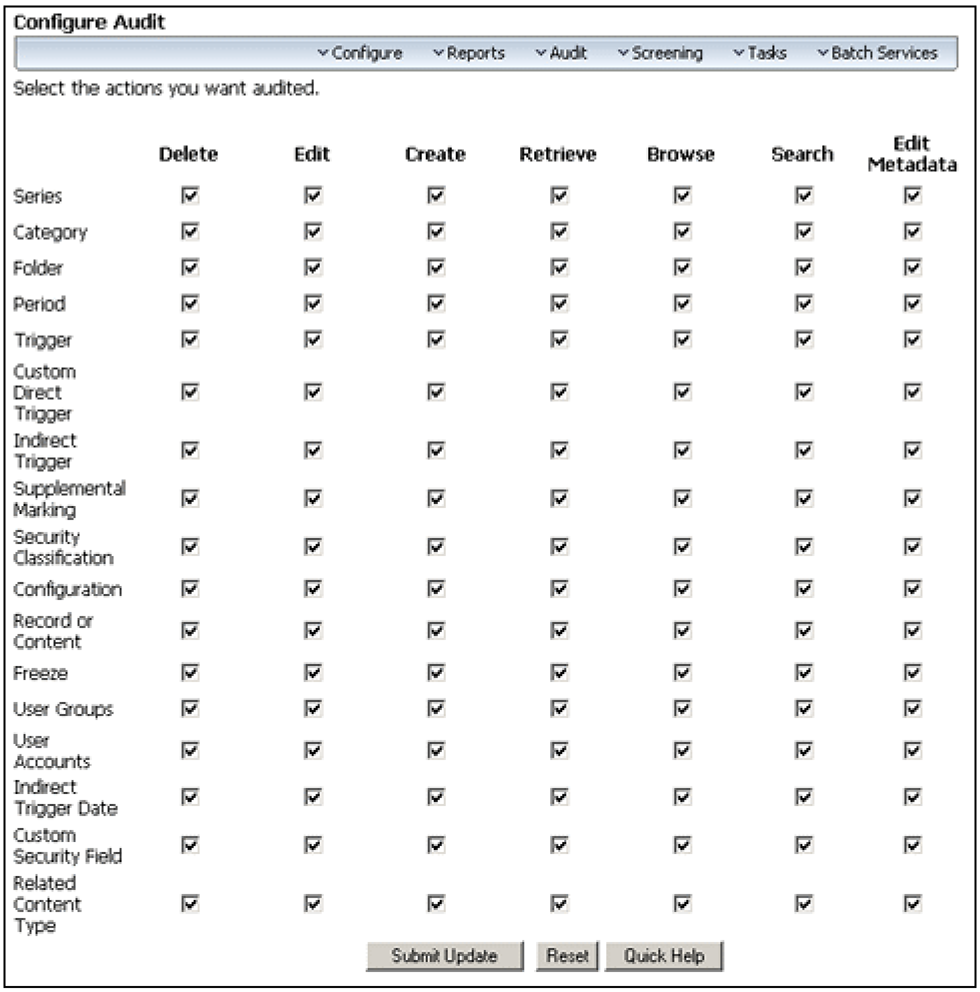
Date	User	Successful	Action	Type	ID	Name	Details	Comments
5/5/05 11:57 AM	sysadmin	Yes	Create	User Groups			Group 'RecordsGroup' added by 'sysadmin' user	
5/5/05 11:57 AM	sysadmin	Yes	Edit	User Accounts			Role 'rmaadmin' edited by 'sysadmin' user	
5/5/05 11:57 AM	sysadmin	Yes	Edit	User Accounts			Role 'rmaadmin' edited by	

Column	Description
Date	This column displays the date and time the action occurred. The format of the date and time depend on your systems settings and user locale.
User	This column displays the user name of the person who performed the action.
Successful	This column displays 'Yes' or 'No', depending on if the corresponding action was successful.
Action	Displays the action the user performed. The actions recorded in this column depend on your settings for both actions and the corresponding selected records objects in the Configure Audit Page (page 10-11).

Column	Description
Type	Displays the type of retention schedule object upon which the action was performed.
ID	Displays the identifier of the audited item: ❖ For **retention schedule objects**, the series identifier , category identifier, folder identifier, or record identifier. ❖ For **retention schedule components**, the identifier of the custom period, supplemental marking, or custom trigger. ❖ For **metadata fields**, the unique Content Server identifier (dID) of the content item for which the metadata field was changed. This column is empty in case of any changes to the configuration.
Name	Displays the name of the audited item: ❖ For **retention schedule objects**, the series name, category name, folder name, or record name. ❖ For **retention schedule components**, the name of the custom period, supplemental marking, or custom trigger. ❖ For **metadata fields**, the title of the content item for which the metadata field was changed. If a retention schedule report was generated, “Retention Schedule” is displayed in the Name field. This column is empty in case of any changes to the configuration.
Details	Displays the details of Edit actions—for example, changes to the configuration settings or metadata field values.
Comments	Displays information such as any reason entered for freezing an item or deleting an item. This column does *not* display any comments entered in the Comments box when checking in an item Content Server’s content check-in page.

Tech Tip: The audit trail reports are generated using Idoc Script, much like regular content server pages. This means they can be customized in much the same way as content server pages. For more information see the Content Server developer documentation and to the readme file provided with the ReportMaker component. You can find this file at <*install_dir*>/custom/ReportMaker/readme.htm.

Configure Audit Page



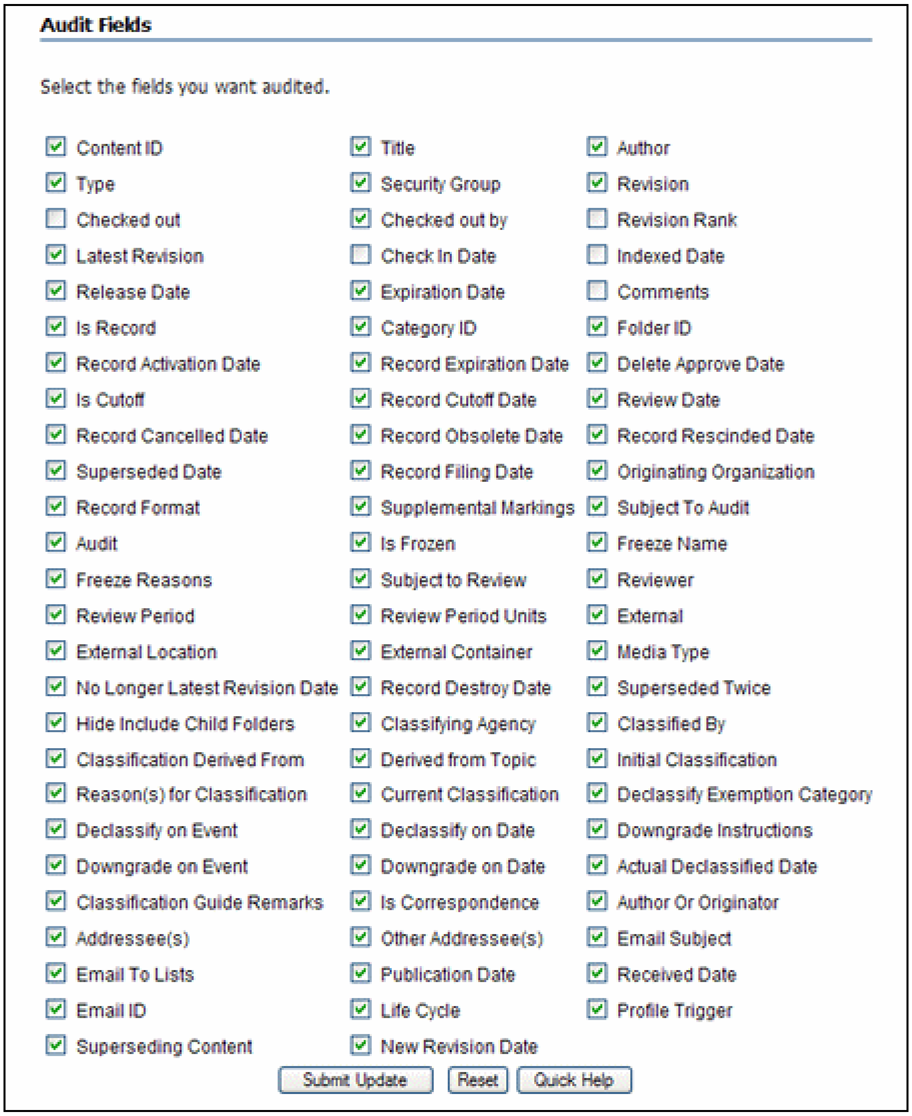
Permissions: The Admin.Audit right is required to use this screen. This right is assigned by default to the ‘rmaadmin’ role.

By default, all options are selected when you first access the Configure Audit page. To access this page, select **Records Management—Audit—Configure Audit** from the **Administration** tray.

Note: The Edit Metadata column is only visible if the Log Metadata Changes option is enabled on the Configure Retention Administration Page.

Audited Objects and Features	**Actions Recorded**
Series Category Folder Period Trigger Custom Direct Trigger Indirect Trigger Supplemental Marking Security Classification Configuration Record or Content Freeze User Groups User Accounts Indirect Trigger Data Custom Security Field Related Content Type	Select the check boxes for the actions you want recorded within the current audit trail: ❖ **Delete—**All action of deleting items are recorded in the current audit trail. ❖ **Edit—**All actions of editing items are recorded in the current audit trail. ❖ **Create—**All actions of creating items are recorded in the current audit trail. ❖ **Retrieve—**All items that are retrieved are recorded in the audit trail. This means the information was viewed within an information page. ❖ **Browse—**All browsing actions within the retention schedule are recorded in the current audit trail. ❖ **Search—**All searching actions for items are recorded in the current audit trail. Screening is also captured by the Search action. ❖ **Edit Metadata**—All metadata changes for items, categories, folders, and series are recorded in the current audit trail. Not only is the changed status recorded, but also what the change entails (old and new field values). This column is only visible if the Log Metadata Changes option is enabled on the Configure Retention Administration Page. **Note:** The User Accounts column represents records users and is not to be confused with the accounts-based security model within Universal Content Management. The Configure Audit User Accounts option tracks users and not document accounts. The User Groups options tracks users assigned to an alias group.
Submit Update button	Submits your updates.
Reset button	Resets the page to the initial settings.

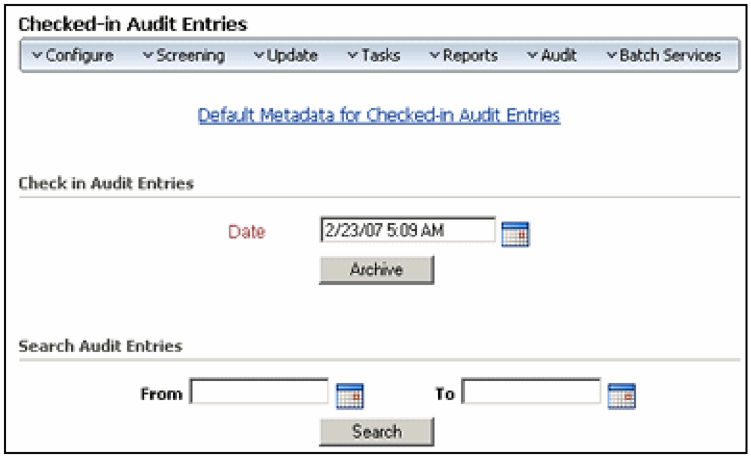
Audit Fields Page



Permissions: The Admin.SelectMeta and Admin.Audit rights are required to use this page. Audit.SelectMeta is assigned to 'rmaadmin' by default.

Use this page to specify which metadata fields should be included in the audit trail. To access this page, select **Audit—Audit Fields** from the Configure Records Management Page (page 3-1).

Checked-In Audit Entries Page



Permissions: The Admin.Audit right is required to use this page. This right is assigned by default to the ‘rmaadmin’ role.

Use this page to cut off and check in the audit trail. You must first set the default metadata for the audit trail when archiving and checking it into the content server. In addition, you can search archived audit trails from this page.

To access this page, select **Audit—Checked-In Audit Entries** from the Configure Records Management Page (page 3-1).

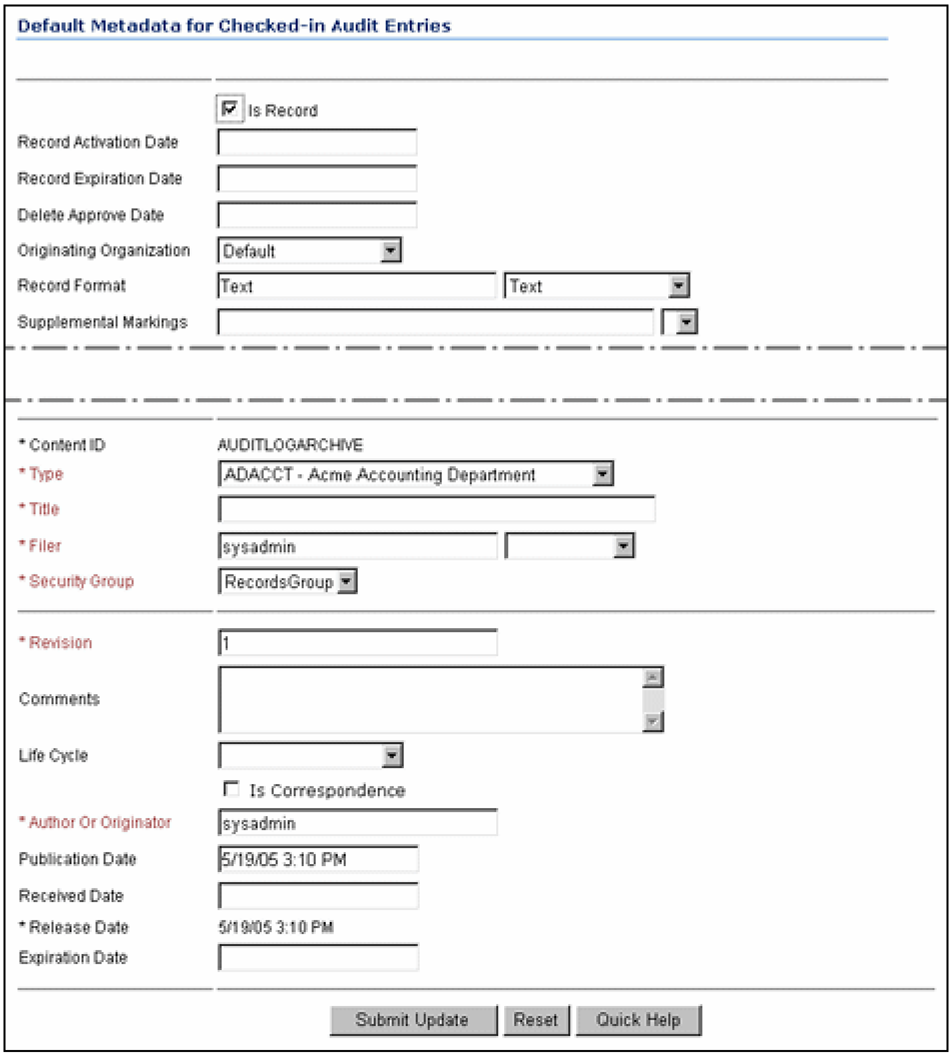
You can do any of the following actions on this page:

- To set the default metadata for checking in audit logs, click the **Default Metadata for Checked-in Audit Entries** link. The Default Metadata for Checked-In Audit Entries Page (page 10-16) is displayed.

Important: If is very important that you specify default metadata for checked-in audit logs. These settings determine how and where the audit logs are checked in. For details, see Default Metadata for Checked-In Audit Entries Page (page 10-16).

- To check in an audit trail as a record, enter a date in the **Date** box of the Check In Audit Entries area, and click **Archive**. A check-in confirmation page is displayed.
- To search by date audit trails that are archived and checked in, specify the date range within which to search in the **From** and **To** boxes. To perform a full text search, enter keywords or phrases separated by commas as noted in the interface, and click **Search**.

Default Metadata for Checked-In Audit Entries Page

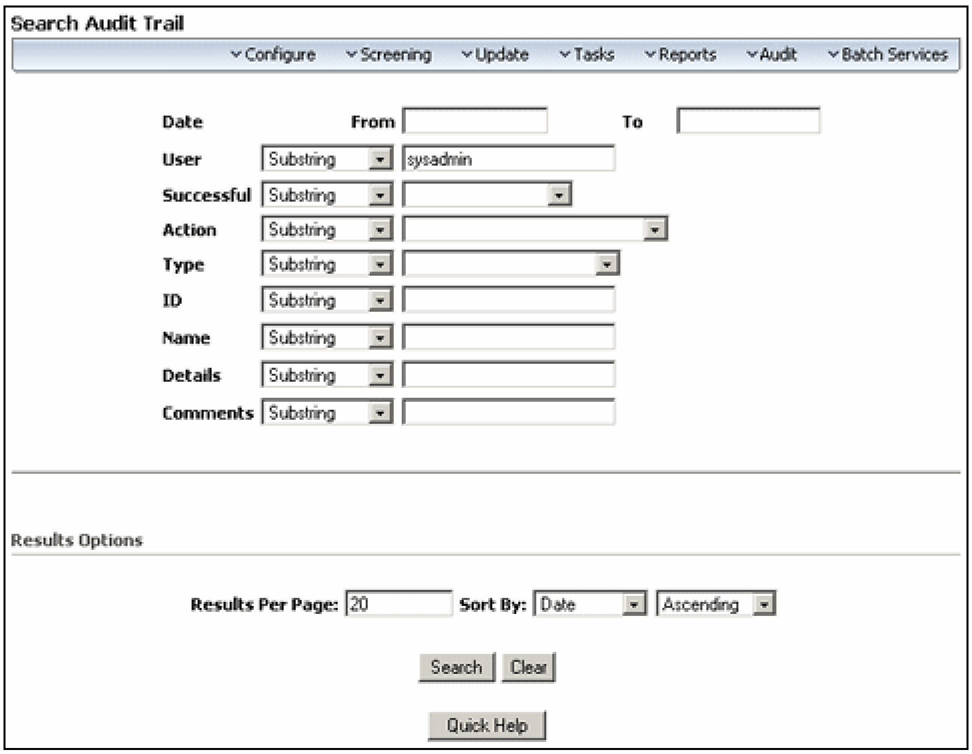


Permissions: The Admin.Audit right is required to use this page. This right is assigned by default to the 'rmaadmin' role.

Use this page to set the default metadata for checking in archived audit trails. You must set the default metadata for audits before you can archive audit trails. After the default metadata are set, you can check in with the same metadata or edit the metadata before check-in. Setting the default metadata saves time when checking in an archive with the same metadata. Defining default metadata enables you to create a "template" for checking in audit logs with similar metadata. You can edit the metadata for the audit logs at any time.

To access this page, select **Audit—Checked-In Audit Entries** from the Configure Records Management Page (page 3-1). Click the **Default Metadata for Checked-In Audit Entries** link.

Search Audit Trail Page



Permissions: The Admin.Audit right is required to use this page. This right is assigned by default to the 'rmaadmin' role.

Use this page to narrow down a search within an audit trail. The search results of the audit trail are presented in the format specified by the Report Format setting on the Configure Retention Administration Page.

To access this page, select **Audit—Search Audit Trail** from the Configure Records Management Page (page 3-1)**.**

Feature	Description
Search Audit Trail section	
Date fields	The date or date range during which to search the audit trail. ❖ **From—**The search finds actions recorded on or after the From date. ❖ **To—**The search finds actions recorded before but not on the To date. You can click the icon to the right of each field to choose a date from a calendar popup.
User field	Enter the user name to search for in the audit trail. Any actions by the user name you entered are retrieved in the search audit report. The default is the user that is currently logged in.
Successful field	Select a successful or unsuccessful action by which to search within the current audit trail. Available options are: ❖ **Yes**—The attempted action was successful. ❖ **No**—The attempted action was not successful.
Action list	Select the enabled action by which to search within the current audit trail. These actions are enabled on the Configure Audit Page (page 10-11).
Type list	Select the type by which to search the audit trail. The types displayed are those that are enabled in the Configure Audit Page (page 10-11).
ID field	Enter an identifier for a series, retention category, record, records folder, non-record content item or record to track. You can also enter the identifier of a custom period, custom trigger, supplemental marking, or custom security field.
Name field	Enter the name of a series, retention category, record, records folder, non-record content item or record to search for in the audit trail. You can also enter the name of a custom period, custom trigger, supplemental marking, or custom security field.

Feature	Description
Details field	Enter a few keywords that contain details to search for in the audit trail. Details tracked include changes to records management configuration, the document ID, the number of results found when searching a folder, and so on.
Comments field	Enter a text string by which to search for as comments, such as a freeze or delete reason.
Results Options section	
Sort By field list	Specifies the field that the search results are sorted by, such as Date, User, or ID.
Sort By order list	Specifies the sort order of the search audit results: ❖ **Descending (default)—**Sorts alphabetical results in Z-A order; numerical results in 9-0 order; and date results in newest to oldest order. ❖ **Ascending—**Sorts alphabetical results in A-Z order; numerical results in 0-9 order; and date results in oldest to newest order.
Search button	Displays the audit trail items that match the search criteria. The search audit report is generated in the format specified by the Report Format setting on the Configure Retention Administration Page. If no search criteria is entered, the entire search audit trail is displayed. To return to the Search Audit Trail page, click the browser's Back button, or click a link to which to navigate in the tray area.
Clear button	Clears any criteria entered into the search fields and resets to the initial defaults, such as "Substring." The Clear button does not reset Results Options settings.

Chapter

11

GENERATING USER AND GROUP REPORTS

OVERVIEW

After you create your users and alias groups, and assign records management roles and rights to users, you can generate reports to view at a glance which users and alias groups have access to your records management application. The following reports are available:

- User Report (page 11-2)
- Role Report (page 11-3)
- Group Report (page 11-4)
- Group-User Report (page 11-5)

The reports are generated in the format specified by the Report Format setting on the Configure Retention Administration Page.

Note: If the generated report file is in PDF format, it cannot be viewed using Adobe Acrobat 5.*x* or earlier. You need at least version 6.0 of the Acrobat software.

Tech Tip: The user and group reports are generated using IDoc Script, much like regular content server pages. This means they can be customized in much the same way as content server pages. For more information see the Content Server developer documentation and the readme file provided with the ReportMaker component. You can find this file at <*CS_Install_Dir*>/custom/ReportMaker/readme.htm.

Permissions: The Admin.Reports right is required to produce any reports. This right is assigned by default to the 'rmaadmin' role. Content Server's Admin role is also required.

USER REPORT

Tue Jul 27 07:47:25 CDT 2004

All Users

Name	Full Name	E-mail Address	Creation Date	Change Date:	Supplemental
pt_br	Portuguese User (Brazil)		7/12/04 10:46 AM	7/12/04 10:46 AM	
rma	RMA User		7/14/04 10:51 AM	7/14/04 10:51 AM	
rmaadmin	Records Manager		7/23/04 12:17 PM	7/23/04 12:17 PM	
rmaprivileged	RMA Privileged User		7/14/04 10:51 AM	7/14/04 10:51 AM	
sysadmin	System Administrator		7/16/04 1:31 PM	7/23/04 12:17 PM	
us	English User (USA)		7/12/04 10:50 AM	7/12/04 10:50 AM	

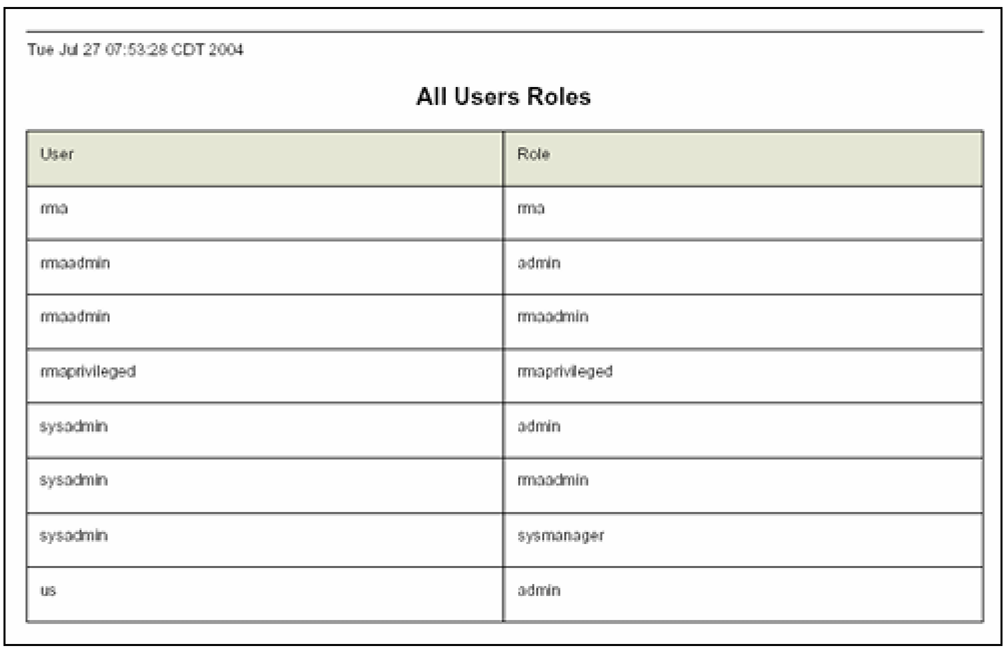
Use this report to see a list of all users who have access to the Records Manager application. The users are defined in Content Server's User Admin utility and then assigned rights and roles.

To generate this report, select **Reports—User Report** from the Page menu on the Configure Records Management Page (page 3-1).

Column	Description
User Name	Displays the user name of the user as entered in Content Server's User Admin utility.
Full Name	Displays the full name of the user as entered in Content Server's User Admin utility.
E-mail Address	Displays the e-mail address of the user.

Column	Description
Creation Date	Displays the date and time the user was created in Content Server's User Admin utility.
Change Date	Displays the date and time the user information was last modified in Content Server's User Admin utility.
Supplemental	Displays any supplemental markings assigned to a user in Content Server's User Admin utility.

ROLE REPORT


Tue Jul 27 07:53:28 CDT 2004

All Users Roles

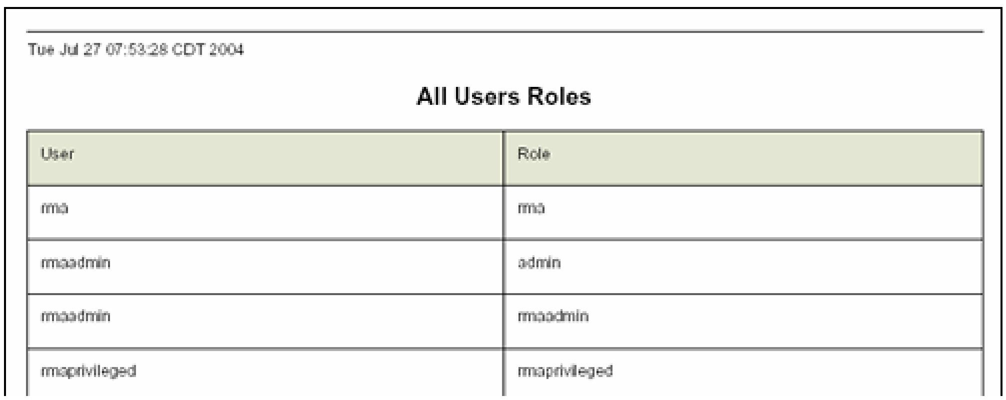
User	Role
rma	rma
rmaadmin	admin
rmaadmin	rmaadmin
rmaprivileged	rmaprivileged
sysadmin	admin
sysadmin	rmaadmin
sysadmin	sysmanager
us	admin

Use this report to view a list of all users and their assigned roles.

To generate this report, select **Reports—Role Report** from the Page menu on the Configure Records Management Page (page 3-1).

Column	Description
User	Displays the user name of the user as entered in Content Server's User Admin utility.
Role	Displays the role assigned to the user.

GROUP REPORT



Tue Jul 27 07:53:28 CDT 2004

All Users Roles

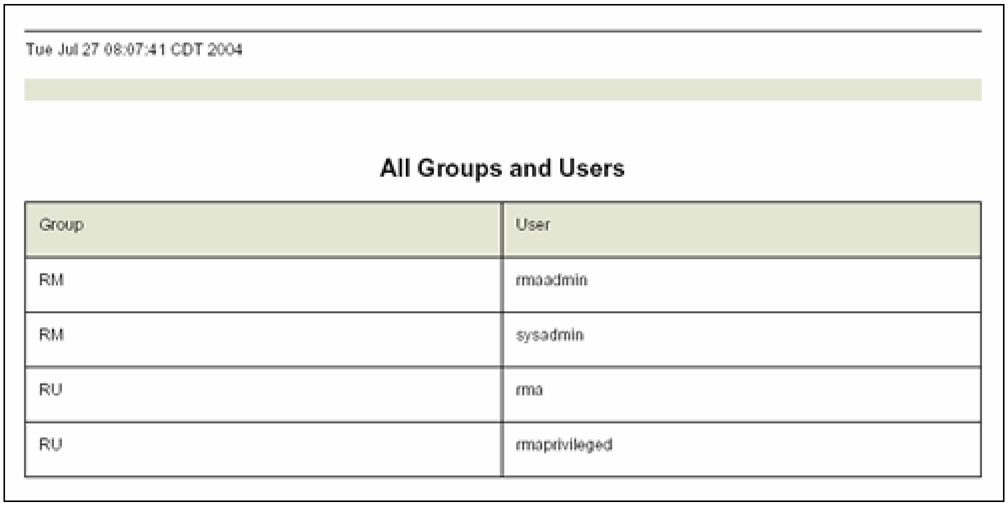
User	Role
rma	rma
rmaadmin	admin
rmaadmin	rmaadmin
rmaprivileged	rmaprivileged

Use the All Groups report to view a list of all groups defined for the DoD Edition application.

To generate this report, select **Reports—Group Report** from the Page menu on the Configure Records Management Page (page 3-1).

Column	Description
Group Name	Lists all alias groups defined in Content Server's User Admin utility.
Description	Displays a short description of each alias group.

GROUP-USER REPORT



Tue Jul 27 08:07:41 CDT 2004

All Groups and Users

Group	User
RM	rmaadmin
RM	sysadmin
RU	rma
RU	rmaprivileged

Use this report to view a list of all users and groups (aliases) currently defined for access in the DoD Edition application. The users and groups (aliases) are assigned in Content Server's User Admin utility.

To generate this report, select **Reports—Group-User Report** from the Page menu on the Configure Records Management Page (page 3-1).

Column	Description
Group	Lists all alias groups defined in Content Server's User Admin utility.
User	Lists every user assigned to an alias group.

Chapter

12

Exporting and Importing DoD Edition Archives

Overview

If you set up a DoD Edition environment on one computer (including retention schedule, security scheme, and so on), you may want to copy this configuration information to another computer—for example, from a development machine to a production machine or a mirrored site. You can easily accomplish this using built-in archive import and export features.

This chapter discusses exporting archives and importing them into other instances to duplicate the retention schedule and a variety of other configuration settings. It covers the following topics:

Concepts

Tasks

Interface

- iImport/Export Content and Record Archive Page (page 12-7)

ABOUT CONTENT AND RECORD ARCHIVES

You can also use the import/export features to back up or restore your retention schedule and other configuration settings. The export feature copies a variety of configuration settings to a separate *.hda* file that can be imported into another DoD Edition instance or stored in a safe location for backup purposes. The *.hda* file is a plain-text, serialized data file that can be opened in any text editor.

Retention Schedule objects should be imported before importing content server content. Content server content should be imported before importing the content-related objects.

Permissions: See Import/Export Rights and Permissions (page 12-4) for details.

The archive export and import features enable you to export and import the following:

- Supplemental markings
- Security classifications, also known as Classified Markings
- Custom categories metadata and custom folder metadata
- Custom security fields, also known as Custom Supplemental Markings
- Periods
- Triggers
- Retention schedules
- Dispositions history—that is, a log of all actions that have been performed on records, content, and folders (expiring, freezing, declassifying, etc.)
- Custom disposition actions
- Freezes
- Recurring scheduled tasks
- Classification guides and classification topics. These are only available if the ClassifiedEnhancements component is installed and enabled (see the *Records Manager DoD Edition Installation Guide*).

When importing an archive, you may choose to overwrite any existing items, or leave them unchanged.

When custom category metadata fields or custom folder metadata fields are imported, the order of the fields is not updated. You must restart the Content Server after importing custom fields.

The disposition history is not updated. Only new dispositions are imported.

Note: The export feature copies the retention schedule definition (i.e., the defined hierarchy of series , categories, and folders together with their disposition instructions), not the actual records or non-record content items within the retention schedule.

Note: If a Records Manager add-on is installed, there may be additional items available for export (for example, items related to physical content if its associated add-on is installed).

Important: If your organization uses ACL security on your retention schedule, the import and export only includes records or non-record content items that can be accessed by the user performing the import or export. For example, if the person does not have ACL access to a particular category, that category is not imported or exported. A message is displayed during the import or export process if any objects are not processed due to ACL access. Make sure that you have ACL access to all items to export and import.

The Export/Import Process

The process of importing and exporting content and records consists of three distinct parts.

1. You must first import or export a retention schedule and any of the objects in that schedule. This corresponds to the **Include Retention Schedules Plan** portion of the Export and Import screens.
2. Then you can import or export the records and content using the Content Server Archiver. See the *System Migration Guide* for details about using the Archiver.
3. After content and records have been imported or exported using the Archiver, you can import or export the Disposition History of related objects if so desired. This corresponds to the **Include Dispositions History** portion of the Export and Import screens.

Import/Export Rights and Permissions

The following export rights are needed for specific objects. These rights are included by default with the 'rmaadmin' role:

- Admin.RetentionSchedulesArchive right to export a Retention Schedule.
- Admin.Triggers right to export triggers.
- Admin.PerformActions right to export Disposition Histories.
- Admin.RecordManager right to export objects other than those mentioned previously.

The following import rights are needed for specific objects:

- Category.Edit, Folder.Edit, and Record.Edit rights to import a Retention Schedule (because these objects are part of a Retention Schedule).
- Admin.Triggers right to import triggers.
- Admin.PerformActions right to import Disposition Histories.
- Admin.CustomDispositionActions to import Disposition Actions.
- Admin.RecordManager right to import objects other than those mentioned previously.
- If ACL security is enabled, make sure you have access to all retention schedule components and objects to import.

If an export file is created with a Records Manager product prior to version 7.1.3, the user will need the Content Server admin role to import the disposition history for both internal and external objects.

Managing Imports and Exports

The following tasks are performed when importing or exporting archives:

- Exporting a Content and Record Archive (page 12-4)
- Importing a Content and Record Archive (page 12-5)

Exporting a Content and Record Archive

Use this procedure to export an archive that you can import into another Records Manager instance (located on the same or a separate system) or for backup purposes. You can choose which of the available items should be exported.

Permissions: See Import/Export Rights and Permissions (page 12-4) for details.

1. Select **Tasks—Import/Export** from the Configure Records Management Page (page 3-1).

   The iImport/Export Content and Record Archive Page (page 12-7) is displayed.

2. Select all items that should be included in the export.
3. Click **Export**.

   The File Download dialog is displayed.

4. To save the archive, click **Save**.

   The Save As dialog is displayed.

5. Specify a name for the archive, and navigate to the location to save the *.hda* archive file.
6. Click **Save**.

   The file is saved to the specified location, and you return to the Export Content and Record Archive page.

Importing a Content and Record Archive

Use this procedure to import an archive that you exported on another Records Manager instance (located on the same or a separate system). You can choose which of the available items in the archive should be imported. The items to import must have been included in the export of the archive.

Permissions: See Import/Export Rights and Permissions (page 12-4) for details.

1. Select **Tasks—Import/Export** from the Configure Records Management Page (page 3-1).

   The iImport/Export Content and Record Archive Page (page 12-7) is displayed.

2. Select all items that should be included in the import, and specify whether to update existing items or leave them untouched.
3. Click **Browse** next to the **Archive File** box to select the archive file (*.hda*) to import.

4. After you have selected the file, click **Import**. The import adds all new items and updates any existing ones, if applicable. The results of the imported archive are tracked in the audit trail for the enabled actions.

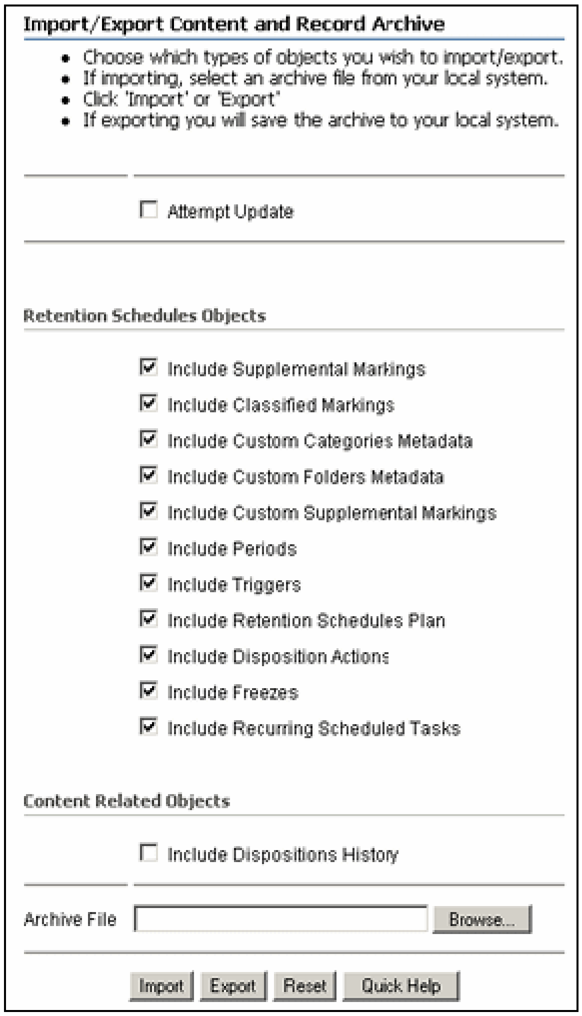
If an error occurs, the error message indicates the number of checkbox items which failed, not necessarily the number of individual errors for all retention schedule components. If classified markings are imported, they will need to be reordered after importation.

IMPORT/EXPORT INTERFACE SCREEN

The following screen is used when managing the import/export process:

- iImport/Export Content and Record Archive Page (page 12-7)

iImport/Export Content and Record Archive Page



Use this page to import or export an archive. To access it, select **Archive Administration** from the **Administration** tray.

Feature	Description
Export Date field	This field enables you to export only items that have changed since a specific date. Enter the start date or select one using the calendar icon next to the field. **Note:** This field is only displayed if the Show Export Date check box on the Configure Records Management Page (page 3-1) has been selected.
Include Classification Guides and Topics	The Include Classification Guides and Topics option is only available if the ClassifiedEnhancements component is installed and enabled (see the *Records Manager DoD Edition Installation Guide*).
Retention Schedule Objects check boxes	Select a check box to include the specified item in the exported archive, or clear it to exclude it. Note the following: ❖ Custom supplemental markings are the DoD 5015.2 term used for custom security fields. ❖ Only *recurring* scheduled tasks are exported. This means that scheduled screening reports are included, but scheduled disposition actions are not.
Content Related Objects check boxes	Select a check box to include the specified item in the exported archive, or clear it to exclude it. At this time only the Dispositions History can be checked. The dispositions history is a log of all actions that have been performed on records and non-record content items (expiring, freezing, declassifying, etc.).
Import or Export button	Imports or exports the archive file to a location and name that you specify.
Reset button	Resets the page to its initial settings (i.e., before you made any changes).

Note: If a Records Manager add-on is installed, there may be more items available for export than the ones shown in the above screenshot (for example, items related to physical content if its associated add-on is installed)

Appendix

A

DoD Edition Services

Overview

This appendix contains a list of the main services that are used by Universal Records Management DoD Edition:

Note: For more information about how services are used in Oracle products and how to modify their behavior, see the *Services Reference Guide*.

About Services

A typical DoD Edition service call is similar to the following:

```
LIST_DISPOSITION_RECORDS
Service 33 PENDING_REVIEW_LIST null null !csUnableToGetRecordsList
3:hasRmaRights:admin.performactions:0:null
3:checkRecordsFoldersMap::0:null
3:setLocalValuesAfterEval:dRequestedUser,<$dUser$>::null
3:setLocalValues:IsNavigation,1::null
```

`In this example:`

- ❖ the first line indicates the service name: `LIST_DISPOSITION_RECORDS`
- ❖ The second line lists the service's attributes:
  - Service class: `service` (generic service)
  - Access level: `33`
  - Template: `PENDING_REVIEW_LIST`
  - Service type: `null`
  - Subjects Notified: `null`
  - Error message: `Unable to get records list`
- ❖ The remainder of the entry lists the service's actions, each line designating one action:
  - action type: for example, `3`, indicating a Java method.
  - action name: for example, `hasRmaRights`
  - action parameters: for example, `dRequestUser`. If no parameters are specified, `::` are included.
  - action control mask: for example, `1`, indicating "Ignore error". If no control mask is specified, `::` is included.
  - action error message, or null if no message is available.

Each element of the service's action is separated by a colon (`:`).

Important: All services have at least one required parameter. The IdcService parameter takes the name of the service as its argument. If any other parameters are required, they are noted in the description of the service.

See the *Services Guide* for details about a service's attributes and actions.

ACTIVATE_SERVICE

This service is used to set an Activate disposition action date.

Additional Required Service Parameters

- ❖ dDispositionID: The unique identifier of the disposition action to be processed.

APPROVE_DELETE_SERVICE

This service is used to an Approve Delete disposition action date.

Additional Required Service Parameters

- dDispositionID: The unique identifier of the disposition action to be processed.

BROWSE_CATEGORY_FORM

This service is used to retrieve a page used to browse the contents of a retention category in the retention schedule.

Additional Required Service Parameters

- dCategoryID: The unique identifier of the retention category to be retrieved.

BROWSE_FOLDER_FORM

This service is used to retrieve a page used to browse the contents of a records folder in the retention schedule.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be retrieved.

BROWSE_SERIES_FORM

This service is used to retrieve a page used to browse the contents of a series in the retention schedule.

Additional Required Service Parameters

- dSeriesID: The unique identifier of the series to be retrieved.

CHECKIN_NEW_REVISION_SERVICE

This service is used to check in the latest revision of a record or content item as a new revision. This is usually used to trigger a workflow.

CHECKIN_SIMILAR_FORM

This service is used to retrieve the Check In Similar page. This is a check-in page with metadata fields already filled in based on the previous content item checked in.

Additional Required Service Parameters

- dID: The unique content ID for the record already checked in.

CLEAR_FOLDER_CANCELLED_DATE

This service is used to clear the date for a cancelled records folder.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.

CLEAR_FOLDER_EXPIRATION_DATE

This service is used to clear the expiration date for a cancelled records folder.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.

CLEAR_FOLDER_OSBOLETE_DATE

This service is used to clear the date at which a records folder becomes obsolete.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.

CLEAR_FOLDER_RESCINDED_DATE

This service is used to clear the date at which a records folder is rescinded.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.

CLEAR_FOLDER_REVIEW_DATE

This service is used to clear the date at which a records folder was last reviewed.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.

CLEAR_RECORD_CANCELLED_DATE

This service is used to clear the date at which a record or content item was cancelled.

Additional Required Service Parameters

- dID: The unique identifier of the record to be processed.

CLEAR_RECORD_EXPIRATION_DATE

This service is used to clear the date at which a record was expired.

Additional Required Service Parameters

- dID: The unique identifier of the record to be processed.

CLEAR_RECORD_OBSOLETE_DATE

This service is used to clear the date at which a record becomes obsolete.

Additional Required Service Parameters

- dID: The unique identifier of the record to be processed.

CLOSE_FOLDER

This service is used to close an existing records folder in the retention schedule. No further records can be checked into the closed records folder or its subfolders unless the user has the Folder.Open/Close right or is the author of the closed folder.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.

See also:

– *RMA_CLOSE_SERVICE (page A-17)*

CREATE_FOLDER

This service is used to create a new records folder in the retention schedule. This service is usually called from the CREATE_FOLDER_FORM page.

Additional Required Service Parameters

- dFolderID: A unique identifier of the new records folder.
- dFolderName: A name for the new records folder.
- dSecurityGroup: The security group to be associated with the new records folder.
- dDocAuthor: The person creating the new records folder.
- dCategoryID: The unique identifier of the retention category to be associated with the records folder.

See Also

– *CREATE_FOLDER_FORM (page A-9)*

CREATE_FOLDER_FORM

This service is used to call CREATE_FOLDER to create a new records folder in the retention schedule.

See also:

– *CREATE_FOLDER (page A-8)*

DELETE_ALL_BUT_LAST_N_REVISIONS_SERVICE

This service is used to process a Delete All But Last *N* Revisions disposition action. The administrator sets *n*, which is a variable.

Additional Required Service Parameters

- dDispositionID: The unique identifier of the disposition action to be processed.

DELETE_FOLDER

This service is used to delete an existing records folder from the retention schedule.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.

DELETE_REVISION_SERVICE

This service is used to delete the latest revision of a record or content item.

Additional Required Service Parameters

- dDispositionID: The unique identifier of the disposition action to be processed.

EDIT_FOLDER

This service is called by EDIT_FOLDER_FORM to update the (modified) properties of an existing records folder in the retention schedule.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be edited.
- dFolderName: The name of the records folder to be edited.
- dSecurityGroup: The security group associated with the records folder.
- dDocAuthor: The owner of the records folder.

See also:

– *EDIT_FOLDER_FORM (page A-10)*

EDIT_FOLDER_FORM

This service is used to call EDIT_FOLDER to edit a folder in the retention schedule.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be edited.

See also:

– *EDIT_FOLDER (page A-10)*

FREEZE_FOLDER

This service is used to freeze an existing records folder in the retention schedule. Freezing a folder pauses any processing of disposition rules associated with the folder until the UNFREEZE_FOLDER service is called.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be frozen.
- dCategoryID: The unique identifier of the retention category associated with the records folder.
- auditComments: The freeze name.
- auditComments2: The freeze reason.

See also:

– *UNFREEZE_FOLDER (page A-20)*

FREEZE_RECORD

This service is used to freeze an existing record or content item. Freezing a record or content item pauses any processing of disposition rules associated with the record or content item until the UNFREEZE_RECORD service is called.

Additional Required Service Parameters

- dID: The content ID of the record or content item to be frozen.
- auditComments: The freeze name.
- auditComments2: The freeze reason.

See also:

– *UNFREEZE_RECORD (page A-20)*

INFO_CATEGORY_FORM

This service is used to retrieve the information page of a retention category.

Additional Required Service Parameters

- dCategoryID: The unique identifier of the retention category to be retrieved.

INFO_FOLDER_FORM

This service is used to retrieve the metadata information page and related content for a records folder in the retention schedule.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be retrieved.

INFO_FOLDER_LIFECYCLE

This service is used to retrieve the lifecycle information page for a records folder.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder.

INFO_FOLDER_METADATA_HISTORY

This service is used to retrieve the metadata history of a records folder.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder.

INFO_FOLDER_REVIEW_HISTORY

This service is used to retrieve the review history of a records folder.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder.

INFO_RECORD_LIFECYCLE

This service is used to retrieve the lifecycle information page for a record or content item.

Additional Required Service Parameters

- dID: The content ID of the item.
- dCategoryID: The unique identifier of the retention category associated with the item.

INFO_RECORD_METADATA_HISTORY

This service is used to retrieve the metadata history of a record or content item.

Additional Required Service Parameters

- dID: The content ID of the record or content item.

INFO_RECORD_REVIEW_HISTORY

This service is used to retrieve the review history of a record or content item.

Additional Required Service Parameters

- dID: The content ID of the record or content item.

INFO_SERIES_FORM

This service is used to retrieve the information page for a series in the retention schedule.

Additional Required Service Parameters

- dSeriesID: The unique identifier of the series.

MARK_FOLDER_ACTIVATION_DATE

This service is used to set the current date for when a records folder will be activated.

Additional Required Service Parameters

- ❖ dFolderID: The unique identifier of the records folder to be processed.
- ❖ currentDate: The date to be used for activation.

MARK_FOLDER_CANCELLED_DATE

This service is used to set the current date for when a records folder will be cancelled.

Additional Required Service Parameters

- ❖ dFolderID: The unique identifier of the records folder to be processed.
- ❖ currentDate: The date to be used for cancellation.

MARK_FOLDER_EXPIRATION_DATE

This service is used to set the current date for the expiration date for a records folder.

Additional Required Service Parameters

- ❖ dFolderID: The unique identifier of the records folder to be processed.
- ❖ currentDate: The date to be used for expiration.

MARK_FOLDER_OBSOLETE_DATE

This service is used to set the current date for when a records folder becomes obsolete.

Additional Required Service Parameters

- ❖ dFolderID: The unique identifier of the records folder to be processed.
- ❖ currentDate: The date to be used as the obsolete date.

MARK_FOLDER_RESCINDED_DATE

This service is used to set the current date for when a records folder will be rescinded.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.
- currentDate: The date to be used as the rescinded date.

MARK_FOLDER_REVIEW_DATE

This service is used to set the current date for when a records folder will be reviewed.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.
- currentDate: The date to be used as the review date.

MARK_FOLDER_REVIEW_DATE_ RECURSIVE

This service is used to set the current date for when a records folder, including all of its child folders, will be reviewed.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.
- currentDate: The date to be used as the review date.

MARK_RECORD_CANCELLED_DATE

This service is used to set the current date for when a record or content item will be cancelled.

Additional Required Service Parameters

- dID: The content ID of the record or content item to be processed.
- currentDate: The date to be used as the cancellation date.

MARK_RECORD_EXPIRATION_DATE

This service is used to set the current date for when a record will expire.

Additional Required Service Parameters

- dID: The content ID of the record to be processed.
- currentDate: The date to be used as the expiration date.

MARK_RECORD_OBSOLETE_DATE

This service is used to set the current date to be used to make a record obsolete.

Additional Required Service Parameters

- dID: The content ID of the record to be processed.
- currentDate: The date to be used as the obsolete date.

MARK_RECORD_RESCINDED_DATE

This service is used to set the current date for when a record will be rescinded.

Additional Required Service Parameters

- dID: The content ID of the record to be processed.
- currentDate: The date to be used as the rescinded date.

MARK_RECORD_REVIEW_DATE

This service is used to set the current date for when a record or content item will be reviewed.

Additional Required Service Parameters

- dID: The content ID of the record or content item to be processed.
- currentDate: The date to be used as the review date.

MOVE_FOLDER

This service is used to move a records folder from one location in the retention schedule to another.

Additional Required Service Parameters

- dFolderID: The folder ID of the folder to be processed.
- dCategoryID: The folder category.

PREVIEW_RECORD_LIFECYCLE

This service is used to retrieve the lifecycle preview of a record or content item.

Additional Required Service Parameters

- dID: The content ID of the record or content item to be processed.

RMA_CLOSE_SERVICE

This service is used to process a Close disposition action on a folder. This service calls the CLOSE_FOLDER service.

Additional Required Service Parameters

- dDispositionID: The unique identifier of the disposition action.

See also:

– *CLOSE_FOLDER (page A-8)*

RMA_CUTOFF_SERVICE

This service is used to process a Cutoff disposition action.

Additional Required Service Parameters

❖ dDispositionID: The unique identifier of the disposition action.

RMA_DESTROY_SERVICE

This service is used to process a Destroy disposition action. All revisions of records or folders are destroyed unless other disposition rules take precedence.

Additional Required Service Parameters

❖ dDispositionID: The unique identifier of the disposition action.

RMA_EXPORT_ARCHIVE_SERVICE

This service is used to add a Records Manager archive to a Content Server archive.

Additional Required Service Parameters

❖ dDispositionID: The unique identifier of the disposition action.

RMA_EXPORT_SERVICE

This service is used to create a zip archive of records and records folders.

Additional Required Service Parameters

❖ dDispositionID: The unique identifier of the disposition action.

RMA_MARK_COMPLETED

This service is used to mark the completion of an action.

Additional Required Service Parameters

❖ dDispositionID: The unique identifier of the disposition action.

RMA_NO_ACTION_SERVICE

This service is used to process a No Action disposition action.

Additional Required Service Parameters

❖ dDispositionID: The unique identifier of the disposition action.

RMA_OBSOLETE_SERVICE

This service is used to process an Obsolete disposition action. This service calls MARK_FOLDER_OBSOLETE_DATE or MARK_RECORD_OBSOLETE_DATE.

Additional Required Service Parameters

❖ dDispositionID: The unique identifier of the disposition action.

See also:

– *MARK_FOLDER_OBSOLETE_DATE (page A-14)*
– *MARK_RECORD_OBSOLETE_DATE (page A-16)*

RMA_SCRUB_SERVICE

This service is used to securely delete records folders and record or content item so they cannot be recovered.

Additional Required Service Parameters

❖ dDispositionID: The unique identifier of the disposition action.

RMA_SUPERSEDE_SERVICE

This service is used to process a Supersede disposition action.

Additional Required Service Parameters

- dDispositionID: The unique identifier of the disposition action.

UNCLOSE_FOLDER

This service is used to revoke the closed status of an existing records folder in the retention schedule. Unclosing a folder allows records to be checked into the closed records folder or its subfolders.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.

UNFREEZE_FOLDER

This service is used to unfreeze an existing records folder in the retention schedule. Unfreezing a folder releases the folder for processing of its associated disposition rules.

Additional Required Service Parameters

- dFolderID: The unique identifier of the records folder to be processed.
- auditComments: The unfreeze name.
- auditComments2: The unfreeze reason.

See also:

– *FREEZE_FOLDER (page A-10)*

UNFREEZE_RECORD

This service is used to unfreeze an existing record or content item. Unfreezing releases the record or content item for processing of its associated disposition rules.

Additional Required Service Parameters

- dFolderID: The unique identifier of the record or content item to be processed.
- auditComments: The unfreeze name.
- auditComments2: The unfreeze reason.

Appendix

B

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Glossary

G

GLOSSARY

accession

The transfer of legal and physical custody of permanent records to the National Archives.

audit trail

An electronic means of tracking interactions with records or non-record content items in a system so that any access to the record or content item within the system can be documented as it occurs or afterward. An audit trail may be used to identify unauthorized actions in relation to the items (for example, modification, deletion, or addition).

category

A description of a particular set of records or non-record content items within a retention schedule. Each category has retention and disposition data associated with it, applied to all records folders, non-record content items, and records within the category.

classified record

A record that requires protection against unauthorized disclosure (for example, because it contains information sensitive to the national security of the United States).
See also: unclassified record, declassified record.

classification guide

A mechanism that defines default values for a number of classification-related metadata fields on the content check-in page for records. This enables convenient implementation of multiple classification schemes in Records Manager DoD Edition.

classification markings

Identifications or markings that leave no doubt about the classified status of the information, the level of protection required, and the duration of the classification.

create

To file a new electronic record or content item and its associated metadata.

current record

Active record or content item. An record or content item record necessary to conduct current business, and therefore is generally maintained in an office space.
See also: noncurrent record or content item, semi-current record, permanent record.

custom disposition action

A disposition action defined by records administrators, as opposed to a disposition action that is built into Records Manager DoD Edition.
See also: disposition action.

custom period

A period defined by records administrators, as opposed to a period that is built into Records Manager DoD Edition.
See also: period.

custom security fields

Optional layer of security in addition to supplemental markings. As with supplemental markings, users must match the metadata field value to be allowed access to records. However, custom security fields allow you to configure *any* custom field (except date fields) that should be matched by a user rather than a designated supplemental marking. Also, custom security fields are enforced only at the record level whereas supplemental markings can be set at the record or record folder level.

custom supplemental markings

See: custom security fields.

custom trigger

A trigger defined by records administrators, as opposed to a trigger that is built into Records Manager DoD Edition.
See also: trigger.

cutoff

The moment that the status of a record or content item changes and the record or content item goes into disposition. A record or content item may be cut off after a specific period of time, at a specific event, or after a period of time after an event. Record or content items need to be cut off before they can be processed further in accordance with their disposition rules—for example, destroyed, transferred to an external storage facility, etc.

cycle

The periodic replacement of obsolete copies of content that is subject to review with copies of current content that is subject to review. This may occur daily, weekly, quarterly, annually, or at other designated intervals as specified by regulations or by the records administrator.

declassified record

A record that was formerly classified, but whose classified status has been lifted.
See also: classified record, unclassified record.

declassification

The authorized change in the status of information from classified to unclassified.
See also: downgrade, regrade, upgrade.

disposition

All actions to be taken when a retention period of a record or content item has ended and it has reached a designated disposition date.

disposition action

An individual operation to be performed when a retention period of a record or content item has ended and it has reached a designated disposition date.

disposition authority

Legal authority that empowers a United States Government agency to dispose of temporary records, or to transfer permanent records to the National Archives.
The disposition authority for permanent records must be obtained from NARA.
For certain temporary records, the authority must also be obtained from the General Accounting Office (GAO).

disposition instruction

A set of individual actions that are to be performed when a retention period of a record or non-record content item has ended and it has reached a designated disposition date.

downgrade

Determination by a declassification authority that information classified at a specified level shall be classified and safeguarded at a lower classification level.
See also: declassification, regrade, upgrade.

electronic record

A record stored in a form that a computer can process. Electronic items are also referred to as machine-readable records or content items.

essential record

See: subject to review.

event disposition

A disposition instruction in which a record is eligible for the specified disposition (transfer or destroy) upon or immediately after the specified event occurs. No retention period is applied.
See also: time disposition, time-event disposition.

external record

A non-record content item, physical or electronic, whose source file is not specifically stored in Records Manager DoD Edition. Records Manager DoD Edition can be used to track and search metadata associated with the external file, including disposition schedules, and can even manage an electronic rendition of an external file. An electronic rendition can be checked in as a primary file of an external record or content item, or be filed as a separate file, and then linked to the external file metadata.
See also: internal record.

file plan

See: retention schedule.

folder

A collection of similar records in the retention schedule. This allows records to be organized into groups. Records folders can be nested within other records folders.

FRC

Federal Records Center. A facility operated by NARA for low-cost storage and servicing of Federal records that are pending disposal or transfer to the National Archives.

freeze

To pause disposition processing of a record or content item, or record folder due to special circumstances, such as a lawsuit, court order, or investigation. Freezing record or content items temporarily extends an approved retention period.

inactive record

See noncurrent record or content item.

internal record

An electronic record stored within Records Manager DoD Edition.
See also: external record.

link

A defined relationship between record or content items. This may be useful when record or content items are related and need to be processed together.

media type

The material or environment on which the information of a record or content item is inscribed (for example, microform, electronic, paper).

metadata

Data describing stored data; that is, data describing the structure, data elements, interrelationships, and other characteristics of electronic records or content items.

move

To transfer records or content items and metadata out of the records management system.
See also: accession, transfer.

NARA

National Archives and Records Administration. Records repository for permanent records continually preserved by the Federal Government. The Archivist of the United States determines the historical or other value of records and deems the records as permanent.
See also: FRC.

noncurrent record or content item

Items no longer required to conduct business and therefore ready for final disposition.
See also: current record, semi-current record, permanent record.

non-record

A content item in Content Server that is not designated as a record (i.e., the ‘Is Record’ metadata field is not enabled).

original classification

An initial determination that information requires protection against unauthorized disclosure (for example, in the interest of national security).

originating organization

Official name or code identifying the office responsible for the creation of a document.

period

The segment of time that must pass before a review or disposition action can be performed. Records Manager DoD Edition comes with a number of built-in periods (for example, “one year”), but you also can create custom periods to meet your unique business needs.

permanent record

Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are normally needed for administrative, legal, or fiscal purposes. Records that are not authorized for destroying are retained permanently.

privileged user

An individual who is given special permission to perform functions beyond those of typical users.

publication date

The date and time that the author or originator completed the development of, or signed the document. For electronic documents, this date and time should be established by the author or from the time attribute assigned to the document by the application used to create the document. This is not necessarily the date or time that the document was filed in the records management system and thus became a record.

record

Any content item whose disposition and location must be tracked and maintained according to an organization’s requirements. Records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics.

record folder

See: folder.

retention schedule

The collective set of the series, categories, folders, and record or content item contained in a hierarchical structure.
See also: category.

records management

The planning, controlling, directing, organizing, training, promoting, and other managerial activities involving the life cycle of information, including creating, maintenance (use, storage, retrieval), and disposal, regardless of media.

records manager

An individual who is responsible for records management administration.

regrade

A determination by a classification or declassification authority that information classified and safeguarded at a specified level requires a different level of classification and safeguarding.
See also: declassification, downgrade, upgrade.

rendition

Replication of a content item that provides the same content but differs from the reference because of storage format or storage medium (for example, an HTML version generated from an original Word document).

rescind

To made void by an enacting authority.

retention period

Length of time that a record or content item must be kept in its repository before the record or content item can enter its final disposition instruction, such as destroy or archive.

screening

The process of aggregating and reviewing records or content items for management, review, and disposition purposes.

semi-current record

A record so seldom required that it should be moved to a holding area or to a records center.
See also: current record, noncurrent record or content item, permanent record.

series

A collection of retention categories in the retention schedule. You cannot file records or content items directly into a series; you must file the items into a category or record folder.

subject to review

Essential agency or private-sector business record or content items required to meet operational responsibilities in the event of a national security emergency or other emergency or disaster. Records subject to review also protect the legal and financial rights of the Government, businesses in the private sector, and individuals affected by the actions of Government and business. These record or content items are subject to periodic review and update. Also referred to as “essential records.”

supersede

To supplant, or displace, an item by another item that is more recent or improved (superior).

supplemental markings

Record document markings not related to classification markings per se, but which elaborate or clarify document handling. Supplemental markings can be set at the record or record folder level, and can be used to restrict user access to records or records folders.
See also: custom supplemental markings.

temporary record

Records approved by NARA for disposal, immediately or after a retention period. Also referred to as “disposable records.”

time disposition

A disposition instruction specifying when a record or content item is cut off, after which a fixed retention period is applied before disposition.
See also: event disposition, time-event disposition.

time-event disposition

A disposition instruction specifying that a record or content item is disposed of a fixed period of time after a predictable or specified event. After the specified event has

occurred, then the retention period is applied.
See also: event disposition, time disposition.

transfer

The process of moving records from one location to another; particularly, from an office space in which the record is used to storage facilities for temporary or permanent preservation. The legal and physical custody of transferred records is not affected (as opposed to accession).
See also: accession, move.

trigger

An event that needs to take place before a disposition instruction is processed. They are associated with disposition rules for retention categories. Examples of triggering events include changes in record state, completed processing of a preceding disposition action, and retention period cutoff.

unclassified record

A record that is not and has never been classified.
See also: classified record, declassified record.

upgrade

Determination by a declassification authority that information classified at a specified level shall be classified and safeguarded at a higher classification level.
See also: declassification, downgrade, regrade.

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