

Enterprise Edition 3.2r

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# Getting Started with Alfresco Records Management



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# Contents

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<b>Typographic conventions</b> .....	<b>5</b>
<b>Getting started</b> .....	<b>6</b>
Records Management.....	6
Scenario.....	6
<b>Log in</b> .....	<b>7</b>
Accessing the Records Management site.....	7
Records Management site.....	7
Records Management dashlets.....	8
Records Management functions.....	9
<b>Designing the File Plan</b> .....	<b>10</b>
Creating the File Plan.....	10
Browsing the File Plan.....	12
<b>Create disposition schedule</b> .....	<b>13</b>
Disposition schedules.....	13
Creating a disposition schedule.....	13
<b>Filing items to the File Plan</b> .....	<b>17</b>
Filing an electronic record.....	17
Filing a non-electronic record.....	18
<b>Declaring a record</b> .....	<b>19</b>
Editing metadata.....	19
Declaring a record.....	21
<b>Managing record folders</b> .....	<b>23</b>
<b>Managing records</b> .....	<b>24</b>
<b>Searching for records</b> .....	<b>26</b>
Accessing Records Search.....	26
Criteria tab.....	26
Results tab.....	27
Creating a simple search.....	27
Creating advanced searches.....	28
Search using wildcards.....	28
Searching for multiple fields.....	29
Searching for phrases.....	29
Searching for dates.....	29
Searching for date ranges.....	29
Search query examples.....	30
Saving a search.....	30
<b>Manage the Records Management system</b> .....	<b>32</b>
Accessing the Records Management Console.....	32
Creating a list of values.....	33
Accessing list of values.....	33
Auditing Records Management.....	34

Accessing the audit tool.....	34
Auditing tasks.....	35

# Typographic conventions

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The following typographic conventions are used in this guide:

**Bold**

User Interface elements

**Mono-spaced font**

Text the user types

## Getting started

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The *Getting Started with Records Management* tutorial introduces the basic concepts to accompany the download of the Records Management module for Alfresco Enterprise Edition 3.2r. It takes you through a scenario to demonstrate how to store and manage records in the Alfresco Share collaborative environment.

Alfresco recommends you walk through this guided tutorial to familiarize yourself with the features.

This tutorial assumes that you have downloaded and installed Alfresco and the Records Management module, and that you are accessing it as an administrator user. The administrator user has permission to access the full functionality of Records Management.

This tutorial also assumes that you have familiarity to Alfresco Share. For more information, refer to *Getting Started with Alfresco Share Collaboration*.

## Records Management

Records management is a process for the systematic management of information recorded on all media, including both physical and electronic records. It encompasses the whole life cycle of information, from creation through to final disposal. It is based on the principles of regular review, and controlled retention or destruction. The general aim is to ensure cost-effective business processes, legal and regulatory compliance, and good practice.

A record is information that is created, received, and maintained as evidence by an organization or person, in pursuance of legal obligations, or in the transaction of business. The definition of a record is often identified strongly with a document; however, a record can be either a tangible object or digital information that has value to an organization. Examples of records include birth certificates, medical x-rays, office documents, tax returns, audited accounts, and email.

The other crucial aspect of records and records management is their veracity for use as evidence. Records management can be seen as being primarily concerned with the identification and management of the evidence of an organization's business activities.

Electronic records management systems can reduce the burden of managing records, making them easier to file, search, use, and eventually destroy. This is the purpose of the Alfresco Records Management module.

## Scenario

For this tutorial, you will be walking through the following scenario.

You will:

- Access the Records Management site
- Create a File Plan
- Create disposition instructions
- Upload content and declaring records
- Search for records
- Manage the Records Management system

## Log in

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Log in to Alfresco Share using the default credentials.

1. Type the following on the login page:
  - a. **Username:** admin
  - b. **Password:** password

Where

`password` is the administrator password that was specified during the Alfresco installation wizard.

2. Click **Login**.

On entering the application, your personal dashboard displays showing the default personal dashlets. A site called Records Management is pre-defined in the My Sites dashlet.



If the Records Management site is not visible, you need to add the Records Management dashlet to your dashboard.

## Accessing the Records Management site

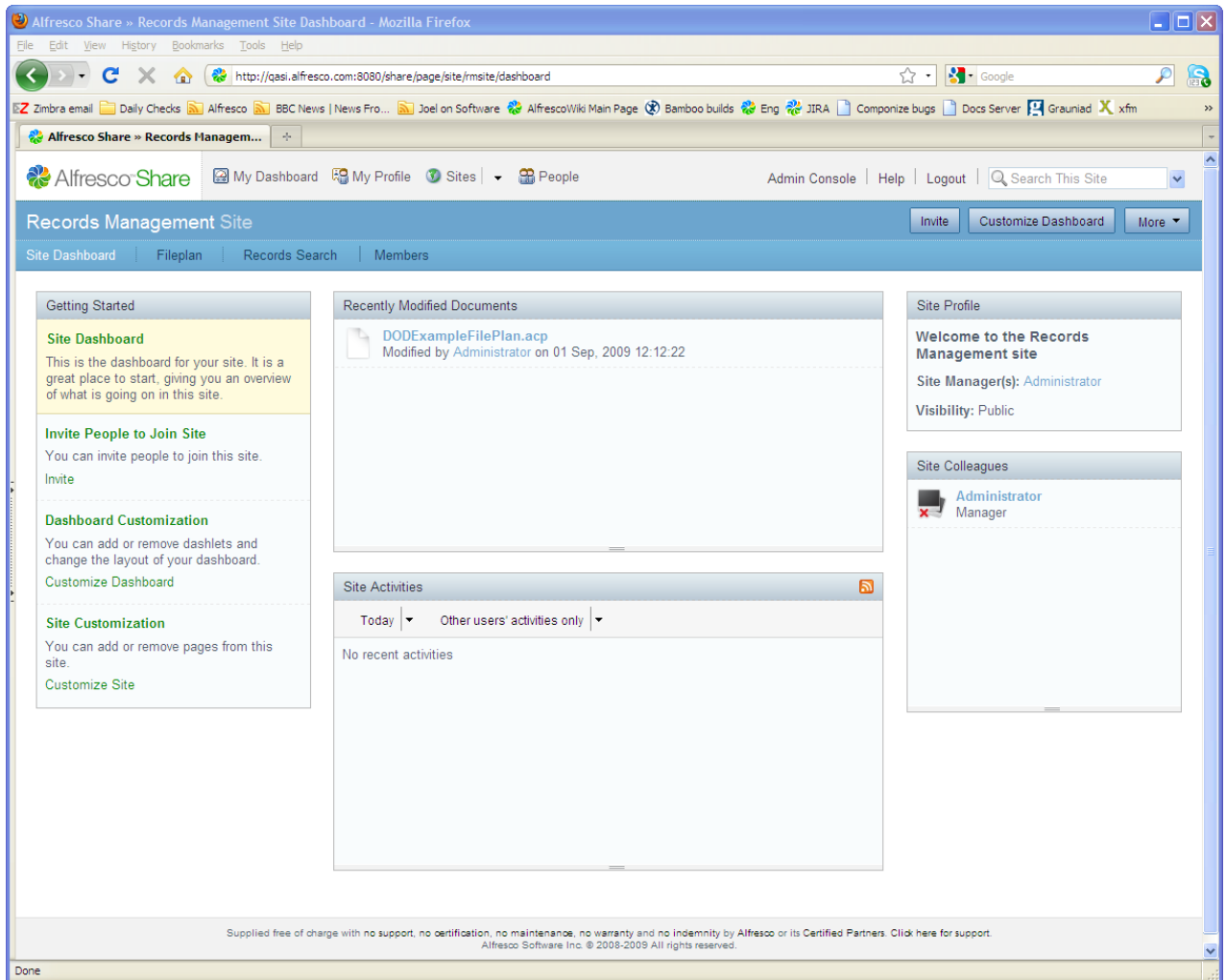
Access the Records Management site from your personal dashboard.

- Click the **Records Management** site in the My Sites dashlet, or
- Click the **Records Management** link in the Records Management dashlet

The Records Management site displays.

## Records Management site

The Records Management site consists of dashlets that allow you to track the activities that are relevant to the records management life cycle.



## Records Management dashlets

The following dashlets are available by default on the Records Management site:

### Getting Started

The Getting Started dashlet displays helpful information for getting started in the site and provides links to perform common tasks.

### Recently Modified Documents

The Recently Modified Documents site dashlet displays all the records in the Record Management site's File Plan that have been created or modified in the past seven days.

### Sites Activities

The Site Activities site dashlet tracks the most recent activities that have been performed in the Records Management site. This dashlet displays by default.

### Site Profile

The Site Profile site dashlet displays summary details about the Records Management site. This dashlet displays by default.

### Site Colleagues

The Site Colleagues site dashlet displays the Records Management site members (up to a maximum of 100 members) and their assigned role. This dashlet displays by default.

## Records Management functions

The Records Management banner displays functions that relate to the storage and retrieval of records.

The main functions on the banner are:

### **File Plan**

File Plan is a container for the record hierarchy that contains a pre-determined classification structure.

### **Records Search**

Records Search allows you to search the records in the Alfresco repository, and to save the results in a **Saved Search** area.

### **Members**

Members allows you to manage the users and groups in the Records Management site.

## Designing the File Plan

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The structure of the File Plan hierarchy reflects business functions and comprises the following predefined levels:

### **Record series**

A record series is container that holds record categories.

### **Record category**

The record category contains the retention and disposition instructions for its folders and records.

### **Record folder**

A record folder is created within a record category and it inherits the attributes of the record category.

The record folder is also considered to be under the control of the record category. Once the record folder is created, and a disposition schedule is defined, restrictions apply. A record folder can be open or closed. A closed record folder cannot accept records for filing.

### **Record**

A record is a document under the control of records management, which is filed in a record folder.

### **Vital record**

A vital record is considered to be essential to the operation of an organization. A vital record must be reviewed on a periodic basis, which is defined in the review schedule. The review schedule is defined on the record category or folder.

Just as record folders appear to exist even though they are really no more than aggregations of records, so higher levels of the File Plan hierarchy seem to exist, though they are no more than aggregations of record folders and/or higher levels.

Each user is given a role that may or may not grant them permission to create the elements of the File Plan structure. You can file records and create the structure within the File Plan level in which you have permission.

To manage the File Plan, you need to:

1. Design the File Plan structure using the record series, record category, and record folder hierarchy.
2. Upload electronic files and specify the location of non-electronic physical files.
3. Declare files as records.

## Creating the File Plan

The next step in the scenario is to create the File Plan structure.

From here, you will be able to:

- Build a hierarchical File Plan structure
- Upload files and create records
- Navigate the records within the structure
- Manage disposition schedules
- Search for records

The File Plan navigation panel contains a navigation hierarchy showing the hierarchical structure.

To create your File Plan structure:

1. In the Records Management banner, click **File Plan**.  
The **File Plan** page displays.
2. Click **New Series**.  
The **New Record Series** window displays.
3. Add the following information:
  - a. **Name:** A name that will be used as the name of the record series. This is mandatory and must be unique within the File Plan.
  - b. **Title:** An additional title that will be used as supplementary information for the record series name. The title appears in brackets in the record series item list.
  - c. **Description:** A description for the record series that will be used in the record series details.
4. Click **Submit**.  
The new series displays in the File Plan item list and also displays in the navigation panel. In the item list, the name of the series is a link.
5. Click the new series link.  
You see an item list for the record category level.
6. Click **New Category**.  
The **New Record Category** window displays.
7. Add the following information:
  - a. **Name:** A name that will be used as the name of the record category. This is mandatory and must be unique within the category level.
  - b. **Title:** A additional title that will be used as supplementary information for the record category name.
  - c. **Description:** A description for the record category.
  - d. **Vital Record Indicator:** Defines whether records in this category have a review process. The Vital Record Indicator is applied at the category level and is propagated down to the record folders within that category. Note: you can also change this setting at the folder level.
  - e. **Review Period:** This has two fields: Period and Expression.
8. Click **Submit**.  
The new category displays in the File Plan item list and displays in the navigation panel. In the item list, the name of the category is a link.
9. Click the new category link.  
You see the item list for the record folder level.
10. Click New Folder.  
The **New Record Folder** window displays.
11. Add the following information:
  - a. **Name:** A name that will be used as the name of the record folder. This is mandatory and must be unique within the folder level.
  - b. **Title:** A additional title that will be used as supplementary information for the record folder name.
  - c. **Description:** A description for the record folder.
  - d. **Location:** The location for the records contained within this folder.

12. Click **Submit**.

The new folder displays in the File Plan. New record folders are as marked open, which means that records may be filed in them. The date of opening is recorded as the same time as the creation date.

You have now created a basic File Plan structure from which you can build further levels and manage records.

## Browsing the File Plan

There are several ways of navigating the File Plan and browsing the items within each hierarchy level.

1. Navigate to the left navigation panel.

You can view the record series, record categories, and record folders using the tree hierarchy in the left navigation panel. Alternatively, you can click the link in the item list.

2. Each level in the File Plan structure provides appropriate actions for the record series, record category, record folder, and records.

These actions allow you to manage the metadata, move, copy, and delete.

3. Navigate using the breadcrumb in the **Location** banner.

## Create disposition schedule

The next step in the scenario is to prepare a disposition schedule for the records within a category.

The disposition schedule is the life cycle for the cut off, retention period, and disposal of a record. The schedule specifies the duration that records must be retained before they may be disposed of legally.

Disposition schedules are specified at the category level, so the schedules relate to either the folders within the category, or the the individual records.

From here, you will be able to:

- Create the general disposition instructions
- Add individual disposition steps
- Apply the disposition schedule to either the folder or record

## Disposition schedules

Disposition schedules are a key function of the records management system. The disposition schedule defines the procedures required for maintaining records in the records management system, until their eventual destruction or transfer to another location.

A disposition schedule contains one or more steps that define a particular function to be carried out at a date or after an event has occurred. An example disposition schedule is:

*Cutoff 30 days after filing, transfer to offline storage two years after cutoff and destroy seven years after transfer.*

The disposition functions are:

- Retain
- Cutoff
- Transfer
- Destroy

## Creating a disposition schedule

The disposition schedule must be defined at a record category level. The procedure for creating a disposition schedule is a two part process: the first part is to create a summary of the schedule; the second part is to create the steps in the schedule.

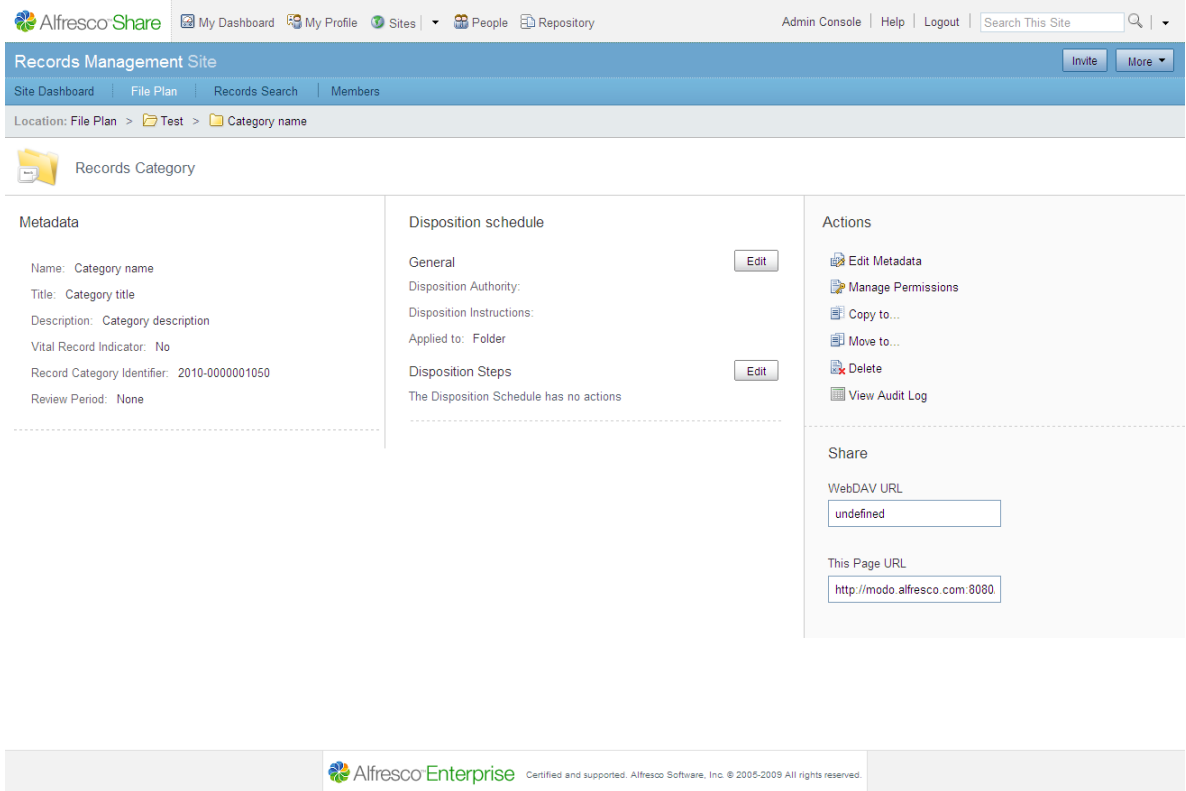
These step help you set a disposition schedule for the following example:

*Cutoff 30 days after filing, transfer to offline storage two years after cutoff and destroy seven years after transfer.*

1. In the File Plan, navigate to a category.
 

The disposition instructions display on the category summary. When there are no instructions set, the **Disposition Authority** and **Disposition Instructions** fields are empty.
2. Position the cursor over the category, and then click **View Details** from the actions list.
 

The record category details page displays. The disposition schedule summary shows the **General** information and the **Disposition Steps**.




3. In the **General** section, click **Edit**.
4. Type the summary information for the disposition schedule.
  - a. **Disposition Authority:** Type a description of the legislation that states how the record should be retained and disposed.
  - b. **Disposition Instructions:** Type a plain text version of the disposition schedule. Although this information is not used by the system, it is important from a legal perspective.  
 For example, type `Cutoff 30 days after filing, transfer to offline storage 2 years after cutoff and destroy 7 years after transfer.`
  - c. **Applied to:** Select **Folder** to run the disposition schedule on the folder.  
 The folder is cut off or transferred as a unit and the operation applies to all the records within the folder. With this setting, you cannot manage records as individual units. If you cut off the folder, all records will be cut off. If you select **Record**, the disposition schedule is set to work on the records and all operations occur at the record level. The default is **Folder**.
  - d. Click **Save**.
5. In the **Disposition Steps** section, click **Edit**.  
 The **Edit Disposition Schedule** page displays, showing the disposition steps.
6. Click **Add Step** to add a disposition step.  
 A menu displays with available actions. When you add the first step, only the **Retain** and **Cutoff** actions are available.
7. Select **Cutoff**.
8. Enter the details of the step in the following fields:  
 An asterisk next to the name indicates that the field is mandatory and you must enter text or a value in the field.

- a. In the **After a period of** field, select the check box and type 30.
- b. Select **Day** from the menu.
- c. Select **Date Filed** from the menu.
- d. In the **Step Description** field, you must type a description of the step.
- e. Click **Save** to save the step.

The first steps displays in the **Edit Disposition Schedule** page.

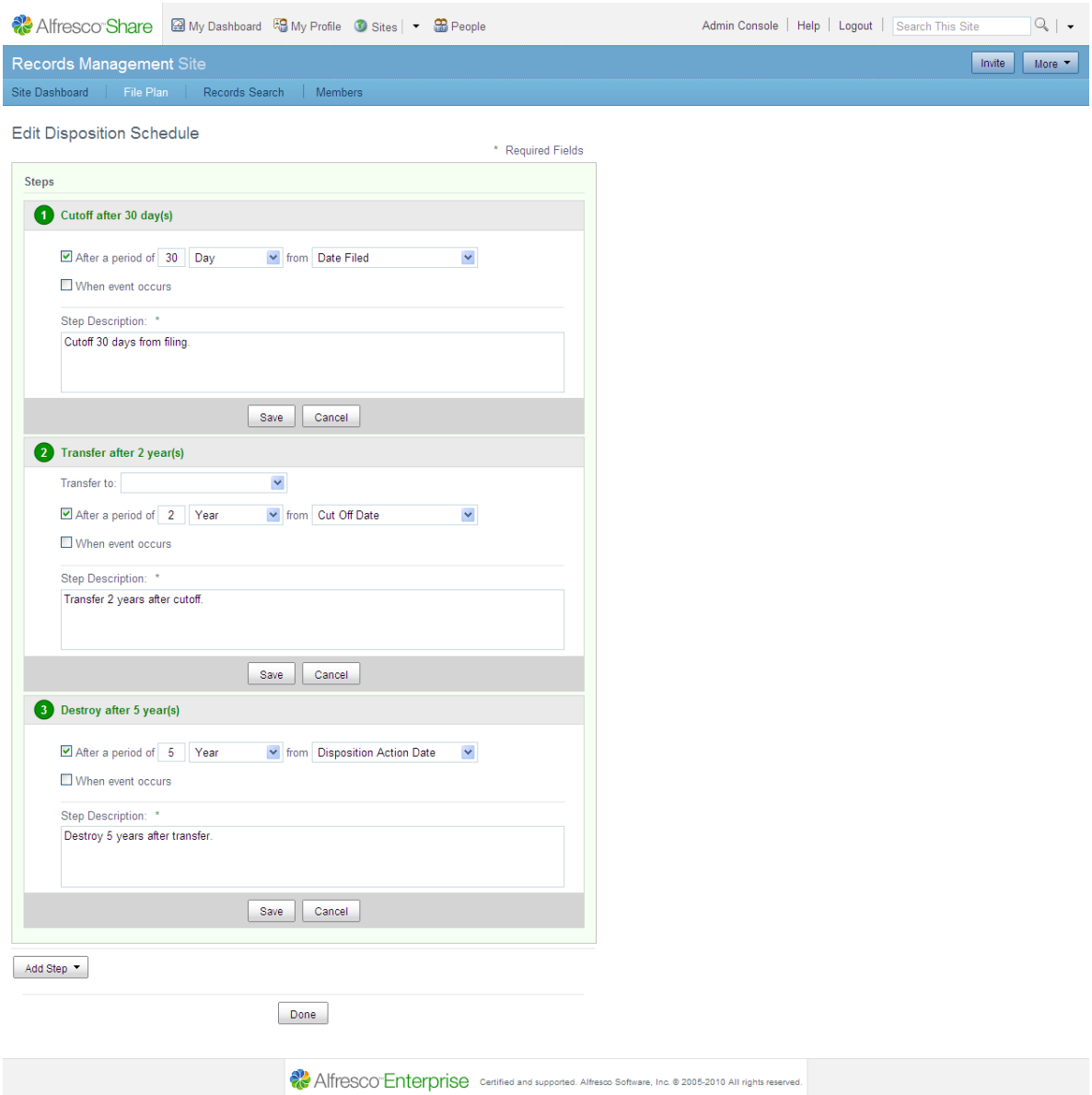
The screenshot shows the 'Edit Disposition Schedule' interface in Alfresco Share. At the top, there's a navigation bar with 'Records Management Site' and buttons for 'Invite' and 'More'. Below that, a sub-navigation bar includes 'Site Dashboard', 'File Plan', 'Records Search', and 'Members'. The main content area is titled 'Edit Disposition Schedule' and features a 'Steps' section. This section contains a single step: '1 Cutoff after 30 day(s)', which is highlighted in green. To the right of the step text are edit and delete icons. Below the steps list is an 'Add Step' button, and at the bottom center is a 'Done' button. The footer of the page displays the 'Alfresco Enterprise' logo and copyright information: 'Certified and supported. Alfresco Software, Inc. © 2005-2009 All rights reserved.'

9. Click **Add Step** to add the next disposition step.
10. Select **Transfer**.
11. Enter the details of the step in the following fields:
  - a. In the **Transfer to** field, select the location.
 

 The values in this list are created in the List of Values tool in the Management Console. This task is covered in [Creating a list of values](#) on page 33.
  - b. In the **After a period of** field, select the check box and type 2.
  - c. Select **Year** from the menu.
  - d. Select **Cut Off Date** from the menu.
  - e. In the **Step Description** field, you must type a description of the step.
  - f. Click **Save** to save the step.
12. Click **Add Step** to add the next disposition step.
13. Select **Destroy**.
14. Enter the details of the step in the following fields:
  - a. In the **After a period of** field, select the check box and type 5.
  - b. Select **Year** from the menu.

- c. Select **Disposition Action Date** from the menu.  
The **Disposition Action Date** option refers to the date of the previous action.
- d. In the **Step Description** field, you must type a description of the step.
- e. Click **Save** to save the step.

The following image shows the disposition steps that are defined within the **Edit Disposition Schedule** page.



You have then completed all of the steps required for this disposition schedule.

- 15. Click **Done**.

The steps appear in the **Disposition Schedule** on the category details page.

## Filing items to the File Plan

The next step is to file some items into your File Plan structure. When you upload content into Alfresco, you need to specify whether it is stored electronically and is available for you to upload, or whether the item is in non-electronic form and is stored in a physical location.

1. In the File Plan page, navigate to the folder into which you wish to upload the file.  
Select a folder that is within a category that has an associated disposition schedule.
2. Click **File**.  
The **Filing Type** page displays.
3. Indicate whether the item you are filing is either an electronic record or non-electronic record. Select either:
  - **Electronic Record**, or
  - **Non-electronic Record**

The page that displays depends on the option that you select.


### Filing an electronic record

Electronic records are files that are uploaded into the Alfresco Records Management repository.

1. Click **Electronic**.  
The Upload File(s) window displays.
2. In the **Choose Record Type** section, you can select one of the record types.

Record type	Description
<b>Default</b>	The default file type for a record
<b>Scanned Record</b>	A file that is scanned into the Records Management system
<b>PDF Record</b>	A PDF file
<b>Digital Photograph Record</b>	A photographic image file
<b>Web Record</b>	A web page

3. Select the **Default** record type.

 If you are uploading multiple items, all items listed will be identified with the chosen record type.

The record type displays in the File Plan. It contains the metadata for the Default record type, plus the additional metadata required for the specific record type.

4. In the **Choose File(s)** section, click **Select file(s) to upload**.
5. Locate the file(s) on your computer that you want to upload and click **Open**.  
Select multiple items using the method appropriate for your operating system. The selected items appear in the list. Click **Remove** to delete an item from this list, if necessary.
6. Click **Upload File(s)** when this list contains all items you want to upload.  
An indicator informs you of the upload progress. When 100% displays for all files, you can proceed.
7. Click **OK**.

The item displays in the File Plan as an undeclared record profile.

## Filing a non-electronic record

Non-electronic records may be paper files or papers that can be stored in a physical location. The non-electronic record in Alfresco Records Management provides a record of the existence of the file and the details of where it is physically stored.

1. Click **Non-electronic**.

The **Non-electronic record** window displays.

2. Enter the following fields for the item.

Metadata field	Description
<b>Name</b>	The name to be given to the record when it is stored in the File Plan. This field is mandatory.
<b>Title</b>	The title of the record.
<b>Description</b>	A short description of the record.

3. Click **Submit**.

The record displays in the File Plan as an undeclared record.

## Declaring a record

The next step is to declare a record. Filed items are not considered to be part of the Records Management system until they have been declared as records.

When you file an item, Alfresco creates an undeclared record profile but it is not automatically considered to be a record.

The process of including a record in the Records Management system involves:

1. Applying detailed metadata to the item.
2. Declaring the item as a record.

## Editing metadata

Records have mandatory metadata. You must complete the mandatory metadata before you can declare a record.

To edit the metadata:

1. Navigate to the undeclared record in the File Plan.
2. Position the cursor over the undeclared record to view the actions list.

Undeclared records are identified with the an Undeclared Record label.

The screenshot displays the Alfresco Share interface. At the top, there is a navigation bar with the Alfresco Share logo and various user options like 'My Dashboard', 'My Profile', 'Sites', 'People', and 'Repository'. Below this is a 'Records Management Site' header with 'Invite' and 'More' buttons. The main content area shows a 'File Plan' view with a breadcrumb trail: 'File Plan > Test > Category name > Test folder'. A file named 'Records\_Management\_32\_Administration.pdf' is highlighted, with a yellow warning icon and the text 'Undeclared Record' above it. The file's metadata is displayed: 'Unique Record Identifier: 2010-0000001250', 'Modified on: Mon 1 Feb 2010 09:47:11', 'Modified by: Administrator', and 'Size: 121 KB'. An actions list on the right includes 'Download', 'Edit Metadata', 'Copy to...', and 'More...'. The footer of the interface shows 'Alfresco Enterprise' and copyright information.


3. Click **Edit Metadata** from the actions list.

The **Edit Metadata** page displays.

4. Enter the metadata details.

An asterisk next to the metadata name indicates that the metadata is mandatory and you must enter text or a value in the field.

- a. **Name:** Type a name for the record. This field is populated with the name of the file that was uploaded.
- b. **Unique Record Identifier:** This is a unique identifier for each record. The system generates this identifier.
- c. **Title:** Type the secondary title of this record.

- d. **Description:** Type a short description of the record.
  - e. **Author:** Type the name or names of the document author.
  - f. **MIMEtype:** Type the MIME type of the uploaded file. Select a MIME type from the drop down list.
  - g. **Originator:** Type the person or department in the Originating Organization.
  - h. **Originating Organization:** Type the person or organization who created the document/record.  
For example, this may be the organization running the software or an external organization.
  - i. **Publication date:** Type the date that the record is published. Select the date from the calendar selection box.
  - j. **Location:** Type the location of the record. This metadata field is mainly applicable to non-electronic.  
An example location is "Box 27661, Shelf D1, Deep Store Archive".
  - k. **Media Type:** Type the media.
  - l. **Format:** Type the media on which the record is stored.  
For example, electronic or physical file.
  - m. **Date received:** Type the date that the record was received from the originator.
  - n. **Addressee:** Type the email address of the originating organization to be used for correspondence.
  - o. **Other Addressee:** Type the secondary recipients of the message (CC).
  - p. **Supplemental Marking List:** Select an item from the list.  
This list is defined in the List of Values tool in the Management Console.
-  Some fields do not allow certain special characters. For example, Name does not allow the characters colon :, and slash /, and so on. If you enter a special character, you cannot save the settings and the **Save** button remains greyed out.

5. Click **Save**.

You then see the details view of the item. The item now has associated metadata applied to it; however, it is still not considered to be a record within the system.

When you have completed the metadata, you can declare the item as a record so that it becomes part of the Records Management system.

## Declaring a record

The next step is to declare the item as a record.

To declare an item as a record:

1. Navigate to the uploaded document in the File Plan.  
You can declare a record by using one of the following ways:
  - From the details page
  - From the File Plan
2. To declare the record from the details page:
  - a. Click the item name link.  
The record details page displays.
  - b. Click **Declare as Record**.
3. To declare the record from the File Plan:
  - a. Position the cursor over the item.  
The actions for the item display on the right side of the items list.
  - b. Select **Declare as Record** from the actions list.

The item is declared as a record and is considered to be part of the Records Management system. The Declare as Record action also changes to show **Undeclare Record**.

## Declaring a record

Once a record is declared, it is then under the control of the record category, and the disposal schedule applies.

## Managing record folders

You can manage record folders within the File Plan, including viewing the full details, editing the metadata, closing the folder, managing permissions, and viewing the audit log for this folder.

1. Navigate to the File Plan and click a record category name.  
The items list shows the available record folders within the category.
2. In the items list, position the cursor over the record folder of interest to display the available actions.
3. To view the details page for the folder, click **View Details**.  
The **Details** page displays the metadata and full list of actions.

The screenshot displays the Alfresco Share interface for a record folder. The breadcrumb trail is: Location: File Plan > Civilian Files > Case Files and Papers > Gilbert Competency Hearing. The folder name is 'Records Folder'. The page is divided into three main sections: Events, Metadata, and Actions.

- Events:** Shows a message: "Disposition life cycle doesn't exist."
- Metadata:**
  - Name: Gilbert Competency Hearing
  - Description:
  - Title: Gilbert Competency Hearing
  - Review Period: None
  - Disposition As Of Date:
  - Location:
  - Vital Record Indicator: No
  - Record Folder Identifier: 0430-03-01
  - Supplemental Marking List:
- Actions:**
  - Edit Metadata
  - Re-open Folder
  - Freeze
  - Copy to...
  - Move to...
  - File to...
  - Manage Permissions
  - Delete
  - View Audit Log
- Share:**
  - This Page URL
  - http://localhost:8080/share/pac

The footer of the page includes the Alfresco Enterprise logo and the text: "Certified and supported. Alfresco Software, Inc. © 2005-2010 All rights reserved."

4. To view the metadata for the folder, click **Edit Metadata**.
5. To close the folder, click **Close Folder**.

An closed folder icon (🔒) displays next to the folder name. A closed record folder cannot accept records for filing. When you close the folder, this action toggles to the **Re-open folder** action.

6. To delete the folder, click **Delete**.

# Managing records

Each level in the File Plan structure provides appropriate actions for the record series, record category, record folder, and records. You can manage records within the File Plan, including viewing the full details, editing the metadata, managing permissions, and viewing the audit log for this record.

1. Navigate to the File Plan and click a record folder name.  
The items list shows the available records within the folder.
2. In the items list, position the cursor over the record of interest to display the available actions.
3. To view the details page for the record, click **View Details**.


The **Details** page displays a preview of the record, the metadata, and full list of actions.

The screenshot displays the Alfresco Share interface for a record titled "HumanResourcesReports.pdf". The interface is divided into several sections:

- Header:** Includes the Alfresco Share logo, navigation tabs (My Dashboard, My Profile, Sites, People), and utility links (Admin Console, Help, Logout, Search This Site).
- Breadcrumbs:** Shows the location path: File Plan > Human Resources > Sector 1 > Jane Brown.
- Record Preview:** Displays the PDF content, including sections for Intellectual property, Warranty disclaimer, Limitation of liability, License agreement, and Publication date (May 2007). A table of contents is also visible at the bottom of the preview.
- Metadata:** Lists key information such as Name (HumanResourcesReports.pdf), Unique Record Identifier (2010-0000000848), Record Category Identifier (2010-0000000575), Title (Human Resources), Description (Release 10.0), Owner, Declared status (Yes), Date Declared (Thu 11 Feb 2010), Declared By (admin), Author (Microsoft Business Solutions), Creator (admin), Created Date (Thu 11 Feb 2010 21:36:22), Modifier (admin), Modified Date (Thu 11 Feb 2010 21:36:55), Size (557 KB), and Mimetype (Adobe PDF Document).
- Actions:** A list of available actions including Download, Edit Metadata, Undeclare Record, Freeze, Copy to..., Move to..., File to..., Manage Permissions, Delete, and View Audit Log.
- Share:** Provides Download File URL and Document URL (http://localhost:8080/share/pro).
- References:** A section for managing references, currently showing "From other records" and "To other records" with no references exist.
- Events:** A section for viewing events, currently showing "Disposition life cycle doesn't exist."

4. To freeze the record, click **Freeze**.
  - a. Type a description for why you are freezing the record in the Reason for Freeze window.
  - b. Click **Freeze Record**.

The **Freeze** action temporarily suspends some of the actions for this record. For example, you will not be able to manage permissions or undeclare the record.

A frozen record icon (  ) displays next to the records name. The record also appears in the **Holds** space in the File Plan.

5. To unfreeze the record, click **Unfreeze**.
6. To manage the permissions for the record, click **Manage Permissions**.
  - a. Click **Add User or Group**.
  - b. Type the full or partial name of the user or group you want to find.  
You must enter a minimum of three (3) characters. The search is not case sensitive.
  - c. Click **Search**.  
The list of users and groups displays.
  - d. Select a user or group, and then click **Add**.
  - e. Select the permission from the **Permissions** menu.
  - f. Click **Done** when you have finished adding permissions.

The record will only be available to the users or groups that you specify.

## Searching for records

The next step in the scenario is to search for records. The Search records functionality allows you to search the records in the Alfresco repository, and to save the results in a Saved Search area.

You can search for categories, series, and folders separately.

From here you will:

- Create a simple search for records
- Saving a search
- Viewing a saved search

## Accessing Records Search

Accessing the records search enables you to create a search query to locate and view a list of records specified.

1. Enter the Records Management site.
2. On the banner, click **Records Search**.

The Search page displays.

The screenshot displays the Alfresco Share interface for the Records Management Site. At the top, there is a navigation bar with the Alfresco Share logo, user navigation links (My Dashboard, My Profile, Sites, People), and administrative links (Admin Console, Help, Logout). A search bar is also present. Below this is a blue banner for the 'Records Management Site' with 'Invite' and 'More' buttons. A secondary navigation bar includes 'Site Dashboard', 'File Plan', 'Records Search', and 'Members'. The main content area is titled 'Search' and has tabs for 'Criteria' and 'Results'. The 'Criteria' tab is active, showing a 'Query Text' section with an 'Insert Field' dropdown menu and an 'Insert Date' calendar icon. A large text input field is provided for the search query. Below the input field is a 'Results options' section and a 'Search' button. At the bottom of the page, there is a footer with the 'Alfresco Enterprise' logo and the text 'Certified and supported. Alfresco Software, Inc. © 2005-2010 All rights reserved.'

The Search page consists of two tabs: **Criteria** tab and **Results** tab. You enter use the **Criteria** tab to enter your search, and the search results are displayed in the **Results** tab.

### Criteria tab

Use the **Criteria** tab of the **Search** page to enter a search query to locate a list of specified records.

Search criteria	Description
Insert Field	A drop down list of search fields. The list of fields assists you when entering the query text. For example, if you select <b>Disposition &gt; Disposition Action Name</b> , the field name <code>dispositionActionName:</code> displays in the <b>Query Text</b> box. You can then type a disposition action name. For example, <code>dispositionActionName:cutoff</code> .
Query Text	The text field for entering the search query, using the query syntax.
Results options	The options you can view in the <b>Results</b> tab. The options include the metadata fields, sort order against multiple fields, and custom fields. The <b>Components</b> section provides automatic constraints for searches based on record or container type such as record category or folder. There are also constraints for common components such as Cut Off or Frozen items.

## Results tab


Use the **Results** tab of the **Search** page to view the results of a search query.

The search results are displayed in a table; each column represents a metadata field.

## Creating a simple search

This task assumes you are in the **Search** page.

The Search page provides two main areas: the **Query Text** area, where you enter your search criteria, and the **Results options** area, where you select options for how the results will be displayed.

1. In the **Query Text** box, type a text string.  
For example, if you have uploaded records to the File Plan that contain the sales forecasts, type `forecast`.
2. Click  **Results options**.
3. Select the type of data that you want to return in the **Results** page.
  - a. In the **Metadata** area, select the metadata fields that you wish to display in the search results. The metadata name becomes a column title in the results table, which can then be sorted.
  - b. In the **Order** area, select the ordering of the search results.
  - c. In the **Components** area, select the type of components to search. For example, if you only want to search for the text in records, ensure that the **Records** check box is selected.
4. Click **Search**.

The search results display in a table in the **Results** tab.

The screenshot shows the Alfresco Share interface for the Records Management Site. At the top, there are navigation links for 'My Dashboard', 'My Profile', 'Sites', and 'People'. Below this is a search bar and a 'Search This Site' button. The main content area is titled 'Search' and has two tabs: 'Criteria' and 'Results'. The 'Results' tab is active, showing 'Found 1 item(s)'. Below this is a table with the following data:

Type	Identifier	Name	Title	Parent Folder	Modified	Originator	Date Filed	Vital Record
	2010-0000000540	January2010.doc	Sales Forecast	Jan	Wed 10 Feb 2010 11:28:06	Helen Mullally	Wed 10 Feb 2010 11:27:12	Yes

At the bottom of the page, there is an 'Alfresco Enterprise' logo and a copyright notice: 'Certified and supported. Alfresco Software, Inc. © 2005-2010 All rights reserved.'

To create a new search, click **New Search**. The **Criteria** tab clears for you to enter a new search query.

## Creating advanced searches

The Search feature allows you to enter a full range of queries, from the very simple, single word queries, to complex and advanced queries.

Complex searches must follow the query search syntax defined for Records Management. This syntax is a full text search language, and is based on elements from the Lucene and SQL languages. It is possible to create queries that include multiple matches, tokens, phrases, wildcards, ranges, and grouping.

The syntax follows the format:

```
<field-name>:<search-value>
```

Where:

- `<field-name>` is the field within the Records Management repository, for example, `publicationDate:` is the field name for the record publication date.
- `:` (colon) is the separator
- `<search-value>` is the value that you wish to match



Do not add a space between the colon separator and the search value.

## Search using wildcards

An example of a simple wild card query is to match any word starting with 'war' in any record name, title, description, or content.

1. In the Query Text box, enter:  
`keywords:war*`
2. In the Results options area, select the checkbox for Records.

The single and multiple wild card characters can be combined as needed. For example, "warshi?" and "\*ship" and "sh??" all match "warship".

## Searching for multiple fields

Multiple fields can be combined to match additional results, and each field, by default, will be OR combined with the previous.

1. In the Query Text box, enter:

```
keywords:warship keywords:navy
```

To return results that only contain both terms, use the AND operator between the terms:

```
keywords:warship AND keywords:navy
```

2. In the Results options area, select the checkbox for Records.

The NOT operator and grouping of terms with brackets "(" and ")" are supported. For example:

```
(KEYWORDS:warship AND KEYWORDS:navy) AND NOT KEYWORDS:aircraft
```

## Searching for phrases

An example of phrase matching is to match the field "Originator" with the phrase "John Smith". To search for phrases, wrap the value string in "quotes".

1. In the Query Text box, enter:

```
originator:"John Smith"
```

2. In the Results options area, select the checkbox for **Records**.

Wild-cards are supported within phrase matching. For example, to match records that contain the text "John Smith" or "John Smithe" in the Originator metadata field, use the following query text:

```
originator:"John Smith*"
```

## Searching for dates

To search for date values, you can match date fields exactly. Dates must be encoded in the FTS Alfresco query syntax. The **Insert Date** control helps you to insert dates without needing to use the encoding syntax.

To return records that were filed on 10th September 2009:

1. Select **Date Filed** from the **Insert Field** .
2. Select the date using the **Insert Date** control. The query text displays as:

```
dateFiled:"2009-09-10"
```

## Searching for date ranges

To search for date values, you can match date fields in a range. Dates must be encoded in the FTS Alfresco query syntax.

To return date ranges, the syntax requires the From and To date to be surrounded by square brackets. For example, to return records that were filed on or before the 10th September 2009:

1. Select **Date Filed** from the **Insert Field** control.
2. Add the following search query:

```
dateFiled:[MIN.."2009-09-10"]
```

You must surround the query with square brackets. Use the to token between dates to represent the range.

The MIN special token is used to denote the minimum possible date that can be represented by the system.

The MAX and NOW special tokens are also supported, to indicate the maximum possible date and the current date, respectively.

For example, to find all records that were filed today, use the following query text:

```
dateFiled:NOW
```

## Search query examples

This section provides you with some example search queries that are common in the Records Management environment and shows how to specify the query syntax.

### Finding folders due for cutoff before 1st Jan 2010

```
recordSearchDispositionActionName:cutoff and  
recordSearchDispositionActionAsOf:[MIN.."2010-01-01"]
```

### Finding records due for transfer before 1st Jan 2010

```
recordSearchDispositionActionName:transfer and  
recordSearchDispositionActionAsOf:[MIN.."2010-01-01"]
```

### Finding categories or folders with a monthly cycling date

```
recordSearchVitalRecordReviewPeriod:month
```

### Finding records due for cutoff before 1st Jan 2010

```
recordSearchDispositionActionName:cutoff and  
recordSearchDispositionActionAsOf:[MIN.."2010-01-01"]
```

## Saving a search

This task assumes that you are in the **Search** page, viewing the results of a search query on the **Results** tab.

1. Click **Save Search**.
2. In the **Name** field, type a name for the search query.
3. In the **Description** field, type a short explanation about what the search query returns.
4. Click **Save**.

The saved search query name displays in the **Saved Searches** menu. When you next return to Records Search, you will be able to select your saved search from the **Saved Searches** menu.


5. In the banner, click **File Plan**.

The saved search query name displays in the left navigation panel of the File Plan. For example, the following screen shot shows two saved searches: **Originator Helen** and **Publish 12 Jan 2020**.

The screenshot shows the Alfresco Records Management Site interface. At the top, there is a navigation bar with 'Alfresco Share' logo, 'My Dashboard', 'My Profile', 'Sites', 'People', 'Admin Console', 'Help', 'Logout', and a search box. Below this is a 'Records Management Site' header with 'Invite' and 'More' buttons. The main content area is divided into a left navigation pane and a central content area. The navigation pane includes 'Navigation', 'File Plan' (with sub-items 'Human Resources' and 'Sales'), 'File Plan' (with sub-items 'Transfers' and 'Holds'), and 'Saved Searches' (with sub-items 'Originator Helen' and 'Publish12Jan2010'). The central content area shows a list of record series. The first series is 'Human Resources' with a Record Series Identifier of 2010-0000000572, Description: (None), Created by: Administrator, and Modified on: Wed 10 Feb 2010 15:18:08. The second series is 'Sales' with a Record Series Identifier of 2010-0000000510, Description: (None), Created by: Administrator, and Modified on: Wed 10 Feb 2010 11:20:00. Each series has a 'Select' checkbox and a 'More...' link.

6. Click on the saved search name in the File Plan.

The results of the saved search display in the Search **Results** tab.

 The saved search feature saves only the search query and not the results. This means that when you next use the saved search, you may get different results, depending on the activity in the Records Management system.

## Manage the Records Management system

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The next step in the scenario is to manage the Records Management system.

The Records Management administration features are available in the Management Console. You will only have access to the Management Console if you are a member of the **ALFRESCO\_ADMINISTRATORS** and **Records Management Records Manager** groups. Add your permissions using the **Admin Console**.

The Management Console allows you to manage the Records Management site. You can manage the following Records Management-specific administration tasks, for example:

- Auditing
- Creating custom metadata
- Defining roles
- Setting email mappings
- Defining events
- Creating lists of values
- Setting relationships
- Defining user rights report

This tutorial describes the list of values and auditing administrative tasks.

## Accessing the Records Management Console

This task assumes that you have access to the Records Management site dashlet and that you are logged in as a user who is a member of the **ALFRESCO\_ADMINISTRATORS** group.

1. Click **My Dashboard**.
2. In the Records Management dashlet, click **Management Console**.



The Management Console displays, with the Audit tool showing, by default.

Alfresco Share My Dashboard My Profile Sites People Admin Console Help Logout Search All Sites

Records Management Console

Tools

- Audit
- Custom Metadata
- Define Roles
- Email Mappings
- Events
- List of Values
- Relationships
- User Rights Report

Audit

Click 'Apply' to view audit log

Start View Full Log Clear

Number of entries: From: Event: Property: Users: Apply

To: Show log for: All users Specify

Export File as Record

Showing last 0 entries in log

Timestamp	User	Role	Event
No records found.			

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If you see the following message in the Management Console, Access Denied - additional permissions are required to access this component, you must add your user account to the **Records Management Records Manager** group.

## Creating a list of values

Throughout the Records Management system, there are metadata entry fields. The metadata can be simple text strings, Boolean values, or dates.

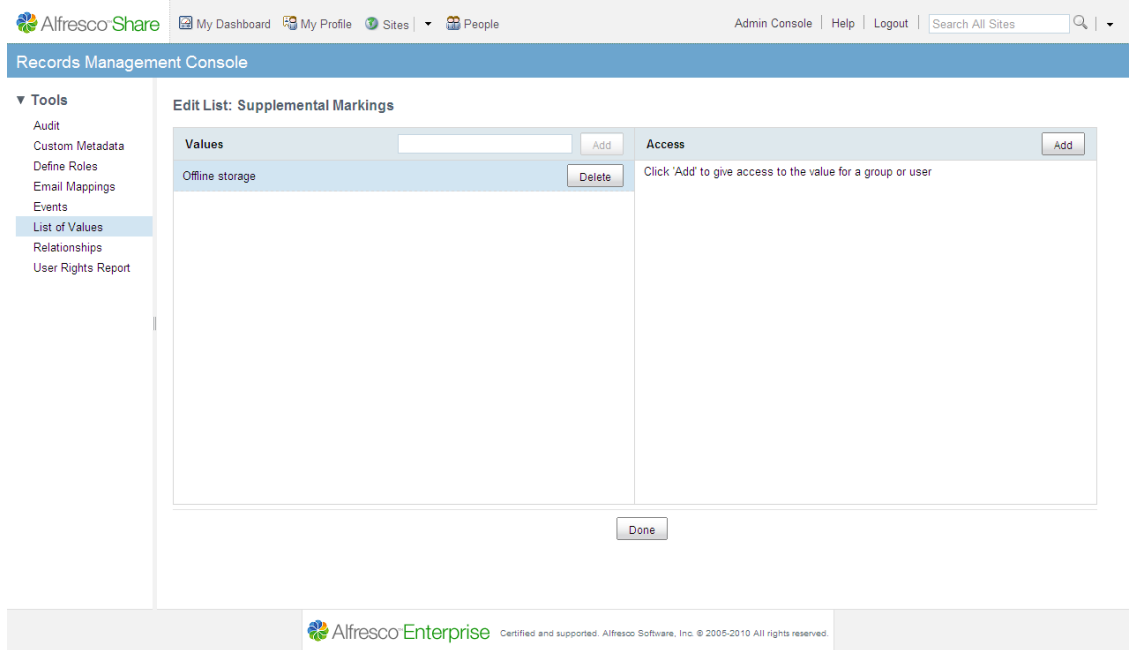
There are two predefined lists in the Records Management installation that you can modify:

- Supplementary marking list
- Transfer Locations

Initially, these lists are empty. You can populate these lists with appropriate values.

## Accessing list of values

1. In the Records Management dashlet, click **Management Console**.
2. Click the **List of Values** tool.  
The Lists page displays.
3. Locate the Supplemental Markings list, and then click **Edit**.  
The **Edit List: Supplemental Markings** page displays.
4. To add values to the list:
  - a. In the left column, type your value in the **Value** box.  
For example, type `Offline storage`.
  - b. Click **Add**.  
The value name displays in the list in the left column.



5. To control the user and group access to the individual values in the list:
  - a. Click the **Offline storage**.  
When you have more than one value in the list, the selected value is highlighted in blue.
  - b. In the right column, click **Add**.  
The **Add Access** window displays.
  - c. Type a user name or group name to search.  
You must enter at least three characters in your search.
  - d. Click **Search**.  
The list of users and groups that match the search characters displays in the window.
  - e. Choose a user or group and click **Add**.  
The user or group displays in the right column.
6. When you have finished editing the values and access, click **Done**.

## Auditing Records Management

Auditing is a requirement of a Records Management system to demonstrate the compliance with the legal and regulatory requirements for managing and controlling electronic and physical records. It is especially important for systems that deal with classified information.

The Audit tool displays the auditing information collected from the system to show whether business rules are being followed and ensure that unauthorized activity can be identified and traced.

The Audit tool maintains a complete trace of all the actions on every record and it cannot be altered.

## Accessing the audit tool

The audit tool displays by default when you access the Management Console.

1. In the Records Management dashlet, click **Management Console**.

2. In the tools list, click **Audit**.  
The Audit page displays.
3. Click **Apply**.

The current audit log displays, showing the date timestamp and the list of captured actions of the last 20 entries in the log.

## Auditing tasks

You use the Audit tool user interface to filter the audit log results to display the required details. You can then save the audit log results, either filed as a record, or exported to an HTML file.

1. To change the audit log details, for example, to change the audit log time:
  - a. Type a start date in the **From** field or click the calendar icon to select a date.
  - b. Type an end date in the **To** field or click the calendar icon to select a date.
  - c. Click **Apply**.  
The audit log results change to display only those events that occurred between the specified dates.
2. To specify the user:
 

By default, the audit log displays the activity for all users.

  - a. Click **Specify**.
  - b. Type the full or partial name of the user you want to find.  
You must enter a minimum of three (3) characters. The search is not case sensitive.
  - c. Click **Add**.  
The audit log displays the actions taken by the specified user.
3. To file the audit log as a record:
  - a. Click **File as Record**.  
The **Select** location of **Audit Record** window displays.
  - b. Choose the destination folder for the audit record.
  - c. Click **OK**.  
The audit log appears as an undeclared record in the selected folder in the File Plan.
4. To export the audit log:
  - a. Click **Export**.  
The export log is stored as an HTML file.
  - b. Save the file to your machine.
5. To start and stop auditing:
  - a. Click **Stop**.  
The auditing tool stops capturing and storing the activity in the Records Management system.
  - b. Click **Start** to start the audit log again.