

# Introduction to Alfresco Share Records Management

## Welcome and Introduction

Hi! I'm Dick Weisinger and I'm Chief Technologist at Formtek. I'd like to take you on a tour of Alfresco Share and the Alfresco Share Records Management Module.

## Overview of Alfresco Share Records Management

I'm going to demonstrate some basic Alfresco Records Management capabilities.

First, we login to Alfresco Share, a web-based client that works with either Internet Explorer or Firefox browsers. We login as the application administrator.

The Alfresco Share homepage dashboard is what we first see after logging in. The layout of the component dashlets on this screen is defined by a user preference. In the upper left, I have a list of the Alfresco Share sites that I have access to.

I'm going to show you the Records Management site. I click on the Records Management link and can then see the dashboard for that site. There are some options across the top that are very specific to Records Management. The File Plan and the Records Search. Let me show you an example File Plan for Records Management.

### The Records Management File Plan

On the File Plan you'll see the tree representing the folder hierarchy of the File Plan on the left. And in the center, you can see the root-level folders. The File Plan is set up to conform to the DoD 5015.2 standard.

Top-level folders are *Series*. Folders beneath *Series* are *Categories*. Within *Categories* are *Folders* and *Records* are filed into the *Folders*.



Introduction to Alfresco Share  
Records Management  
Transcript of Demonstration

## Walking Through a File Plan and Disposition Schedule

Here I click through on the Manufacturing Series and the Facility Category. I then click on the Engineering Series. There are two Categories in the Series. By clicking on "View Details", I can examine the *Disposition Schedule* associated with the category.

This screen shows actions available for this category, but it also shows in the center a disposition. I can click on the disposition steps and view or edit the specific details of the schedule.

Here we see the first step of the Disposition Schedule. It specifies when folders within this category will be cutoff. The trigger for this step is to occur is either a time-based or event-based. In this example, cutoff will be triggered either at the end of the year of when it was filed or

And then hit Done.

Now we're back at the Records Category properties page. While we're here we might note that the category, like all folder elements of the File Plan, has a unique identifier.

## Folder Markings

Now let me click through to see the folders that are in this category.

This screen shows the four folders. Note that there are icon identifiers on the left of each of the folders. The red-filled circle with a hyphen indicates that the folder was cutoff. *Cutoff* is a breaking point, usually at the end of the fiscal or calendar year after which files will be transferred or destroyed.

The closed lock means that no more documents can be added to this folder. The snowflake icon indicates that special circumstances, like a court order, have required a hold to be placed on these records so that records cannot be destroyed or transferred until released. The open lock means that this bottom folder is still open.

## Declaring a Record

Let me click through on the folder that is open. Now we will file and declare a new record for this folder. By clicking on 'File', I can start the process.



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You'll see that there are two options for filing, either Electronic or Non-Electronic. For non-Electronic records, I can enter the metadata that defines the physical location of the record.

For electronic records, I first need to upload and file the documents. I'll select a file from my local machine, in this case, a Microsoft Word file. And I'll upload the file to Alfresco. The file is now uploaded.

You'll notice that the record is marked as undeclared. The reason why is because no all metadata required for the document to be declared a record has been entered.

Let me click on Edit Metadata to add the required data for this document. This page shows all data fields for this type of document. Let me scroll down to get to the required fields. The three required fields are the Originator, Originating Organization, and Publication Date.

For this demonstration, I will enter in some values and then click on Save. Going back to the folder contents, you'll see that the document is still not yet declared a record. Since all required metadata has been entered, we can now declare it as a record by clicking on this action. It is now a record.

I can now click through into the document to view the document properties. We can see here that in the document properties that it is marked as a record and that it was declared a record by user admin.

### Record Attributes

We can also see the mandatory Record attributes that were assigned. And scrolling down further you can see, because of the disposition schedule defined on the IT Policies Category of the File Plan, this record is marked as a *vital record*. And, as such, it is up for Review one year from the date of filing.

### Flash Preview

We can scroll back up to the top and notice an interesting feature of Alfresco Share. It is the Flash Viewer of Alfresco Share. It allows users to view documents that have been uploaded without the original authoring software. You can zoom in or zoom out, scroll or page through the document.

### Audit Log

There is also the concept of an Audit Log for the record. Let me move this into view...



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In the audit log, you can see any changes that have occurred with this document. And the summary of changes is very granular. It shows me properties that have changed, their old values and the new values.

I can see when the document was first filed, when we updated the metadata, and when it was declared a record.

### **Triggering Cutoff Example**

Let me go back up to the Folder. As you recall, based on the disposition schedule in the category, this folder is set to be cutoff either at the end of the year or on the manual event called "No Longer Needed".

If I click on the event for this folder to specify that it is no longer needed, it will be cutoff.

It now shows me the date and the time that I am completing the event.

The cutoff option now becomes available. This is a background process that is scheduled to run periodically and will cutoff this folder and all records in it. Let me short circuit this so that you can immediately see the effect of the cutoff. I'll click on the cutoff action. I can see that the folder has been successfully cutoff.

If I go back into the folder, I see that all records in it now are marked with the red circle icon indicating cutoff. I can also go back up to the containing category folder and see that the IT Policy 2010 Folder itself is marked as cutoff.

## **Alfresco Records Management File Plan**

Let's now look at the File Plan structure used by Alfresco in more detail.

There are many flavors of Records Management and Alfresco was developed specifically to support the DoD 5015.2 specification. It was done by creating an Alfresco content model to conform with that specification. Out-of-the-box, Alfresco is setup for 5015.2, but it is flexible and can be fairly easily modified to support other models.

### **The DoD 5015.2 File Plan**

This slide shows two diagrams of the 5015.2 File Plan structure.



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The metaphor used in specifying 5015.2 is that of a File Cabinet. A File Cabinet has Drawers and within those Drawers there are Folders. On the left you can see a picture of that structure. On the right is the equivalent structure as modeled in the software foldering hierarchy. At the top level are the Series, corresponding to the File Cabinet. Within the Series are Categories, corresponding to Drawers. In the Drawers are Folders. And Folders contain Records.

Only these three levels in the Folder Hierarchy are allowed in 5015.2. It keeps things simple. It's not possible to file a record in a Series or Category, only in Folders. It's also not possible to expand the hierarchy deeper than just these three levels. Alfresco Records Management will enforce these rules as you create a File Plan in Alfresco.

### **The File Plan in Detail**

Now, here we are back in the Alfresco Records Management Site. Let me go back in the File Plan. It's loading the File Plan in. And here we are at the top or root. Again, on the left we see the tree structure of the File Plan and we can selectively drill down into the contents to see more details of the structure. If I look in the Legal Series for instance, I can see the Categories of "Contracts", "Corporate" and "Shareholder". And within the "Contracts" Category I can see Folders named "City Sewer", "Power and Electric", "US Electric".

"Corporate" has folders named by calendar quarters. Similarly, "Shareholder" has Folders named quarterly.

If you look across the top, you'll notice that at this level in the File Plan that I am only able to create a New Series. I'm not able to file Records to create a Category or Folder.

By selecting an item, you can get a flavor of the types of actions that are available on Series. You can copy, export or delete these items. Now let's look in the "Legal" Series. Here also we see that we are limited to only being able to create New Categories. No filing or creating of Series or Folders is possible. Similarly in the "Contracts" Category I'm only able to create New Folders. No filing is possible.

Finally, navigating into a folder, I see that only at this level I'm able to File a record. It's not possible to create any tree nodes of the folder hierarchy.



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## Exporting the File Plan

Next let me show you that it's possible to export the entire File Plan -- all tree hierarchy nodes from the top-level root and all records into a single output file. I click on Export All to start the process.

Here I have an option on Export of selecting either the ACP or ZIP file Export formats. In this case, I will choose ACP. ACP files can later be exported back into Alfresco. This provides a way to be able to backup or to move the File Plan to another system.

The export file becomes available to me as a zipped file and I save it locally to my disk drive. If I open it here I can see the contents. This particular File Plan is rather sparse, having just a few records in it. You can see that there are four PDF files that correspond to records stored in the File Plan: Content0.pdf, Content3.pdf, Content5.pdf, and Content7.pdf. The PNG files are the thumbnails for these records.

On the bottom of the list there is also this XML file. If I open it, you can see that it contains the complete File Plan tree hierarchy relationships and all associated Metadata. There are references to the other files exported into the ACP file. If I search, for example, for the Content0.pdf file that was exported, I can find its reference in the file. I can scroll through and you can see the many references to metadata, associations and aspects.

Let me close this and we'll save the ACP file that we just created.

## Clearing the File Plan

Next, I'd like to show how to build a File Plan. I could add to the existing one, but let me show you what it looks like when you're starting from scratch. To do that, I'll navigate back up to the root of the File Plan.

Then I'll change the display setting for the top level series to show a minimum amount of data. Then let me go through and select each of the six series.

And then I will select Delete.

All File Plan items -- these Series and all children Categories, Folders, and Records have been deleted.

We have a blank sheet to work from now.



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## Building a File Plan

So, let's say that we have completed our analysis of developing the appropriate File Plan for our organization. Let me give you an example of how easy it is to enter the File Plan structure.

Again, from the top level or the root of the File Plan we enter Series. For this example, let me enter two.

### Creating Series

First, I'll enter a Series called "Administration and Governance". This Series is for Office Operations and Program Management Records. It consists of records for Office Operations, Program Management, Program Planning, and Program Audits. I hit Submit, and the Series is created.

Next, I enter a Series called "Finance". This Series is for all of the organization's financial records. It consists of all budgetary, finance and accounting records for the office. I hit Submit and the Series is created.

### Creating Categories

Now let me navigate into the Finance Series to create some Categories. First, I'll create a Category called "Audits". This will be for external audits by our accountants Acme and Jones. This Category will consist of records relating to external audits of our financial system and records. All record Categories under the Finance Series will be reviewed at the end of the Financial Year, so I select that option here.

I hit Submit and the Category is created.

### Creating Folders

Next I'll navigate into the Budget Category of the File Plan user Finance. And I'll create four Folders here, one for each quarter of the fiscal year.

I click on the New Folder Link to create the first of the four Folders. I enter a value for the Name, Title and Description. The first is "2010-Q1". These are budget records for the first quarter.

Now we'll create the second Folder. The name for the Second one will be "2010-Q2". These are budget records for the second quarter.

This is the third Folder. The name is "2010-Q3". These are budget records for the third



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quarter.

And finally the fourth Folder. This one is "2010-Q4". The budget records for the fourth quarter.

### **Creating Additional Categories**

Next I'll create a Category called "Budget". This will be for budget and financial planning information for the organization. This Category will consist of records relating to planning, control and follow-up of annual unit budget and components. And again, I select review at the end of the Financial Year. I hit Submit and the Category is created.

Next I'll create a Category called "Expenditures". This will be for the purchase of goods used in the organization. This Category will consist of records relating to all receipts and statements for purchases made. And again, I select review at the end of the Financial Year. I hit Submit and the Category is created.

Next I'll create a Category called "Procurement". This will be for managing goods procured for the organization. This Category will consist of records relating to acquisition of goods and services including bid and competitive selection process. And again, I select review at the end of the Financial Year. I hit Submit and the Category is created.

Finally, I create a Category called "Policies, Procedures, Standards". This will be for managing Financial Policies and Procedures. This Category will consist of records relating to financial policies and procedures. And again, I select review at the end of the Financial Year. I hit Submit and the Category is created.

### **Specifying the Disposition Schedule**

Next let's look at how a disposition schedule can be set up for the Budget Category that we just created. We'd like to create a schedule with three steps. First Cutoff, followed by Transfer to an offsite storage area, and finally destruction. In order to create the disposition schedule, we'll need to define a custom event and a custom transfer location. Let's see how we can do that.

We go back to the homepage Dashboard and then enter the Records Management Console. First we'll define the custom name for the location where records will be stored offsite. Along the left side panel, you can see various types of Records Management configurations that can be made. We will first configure the List of Values.



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### Adding a Transfer Location

Click on the Edit button next to Transfer Locations. Next we enter the text name of the Transfer Location to where the records in this example will be ultimately archived. The values that you enter here are totally dependent on your organization. Here I enter "Orlando Offsite Storage".

But I also need to enter here which users or groups will have access to this particular value as a Transfer Location string. On the right side of this screen under Access, I click on Add. I assign the group Records Manager Administrator Access rights. All users of that group will see this transfer location value in a dropdown widget that is completed when specifying the Disposition Schedule.

### Adding a Custom Event

Next I click on the Events link to create a custom event. These events will be fired manually by users during normal Records Management operation. Here I can see all the events that are currently defined. I click on New Event and then define the label for a new event. The idea is that the triggering of this event will manually indicate that it is necessary to manually transfer records to an offsite location. This type of event is a Simple Event.

The event has been created and you can see it here in the list.

### Filling in the Disposition Schedule

Next I go back up to the homepage dashboard and into the Records Management site. I go back into the File Plan and navigate to the Budget Category of the Finance Series that we created.

I click on View Details so that we can fill out the Disposition Schedule for this Category. Remember that Disposition Schedules can be set only at the Category level of the File Plan. The Schedule will apply to either Folders or Records within the Category.

Here is the details page, and I will start to complete the Disposition Schedule. The purpose of a disposition is just that – it is a set of instructions that explain how ultimately a document will be disposed of.

In the General section of the Disposition Schedule, I click on Edit. Here I define a Disposition Authority and a summary of Disposition Instructions that are to be applied to Folders under this Category. Again, we're defining a schedule of cutoff, transfer and destroy. I save it.



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Next I define the Disposition Steps. I click on the Edit button. For the first step of the schedule, I choose cutoff. In all of the steps I specify both a Time-based criteria as well as an event based one. That gives me more flexibility later. Generally the time-based path is what is expected to occur, but should it ever need to be overridden, I can do that by invoking the manual event. It also is useful for a short demonstration like this where it isn't possible to use time-based events.

Here I specify a cutoff to occur at the End of the Financial Year or when the event No longer needed occurs.

The second step is the transfer. Records are to be transferred either five years after cutoff or when the manual event *Move to Offsite Storage* occurs, an event where something necessitates a move to offsite earlier than originally intended. That step is saved.

The third and last step is for destruction. Records are to be destroyed either 7 years after cutoff or when the records have become obsolete.

The disposition schedule is now complete in its definition

### **Testing the Steps of the Disposition Schedule.**

Let's now look at the contents of the Budget Category. I've added a new Folder in the Category called 2004-Q1. We'll use this folder to walk through the steps of the disposition schedule with transfer and destruction that we just defined.

#### **Cutoff**

If we look in this folder we see that there are two records that are already defined there. Let me go back up to the Category level where I can select the Folder 2004-Q1 View Details option. Within this folder I see that there is a Complete Event button available that allows me manually to trigger cutoff. Let me click on this now and I manually complete the event.

Once I do that, the Cutoff option becomes available. If I wait a bit, a background process would pick up that the event has occurred and would automatically mark this Folder as cutoff, but I can just manually cutoff the folder now. I click on Cutoff, and the folder is cutoff.



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You'll notice that we have moved to the next step of the disposition schedule. A new manual event becomes available for completion: Move to Offsite Storage. But first, let's look at the contents of the Folder now after the cutoff has occurred.

Here you see that the records in the Folder are marked with the red icons indicating cutoff. If I navigate back up to the category, I can see that the Folder too is marked with the cutoff icon.

### Transfer

Let's go back into the View Details screen for the Folder. I next click on the Event button for moving records to offsite storage. You'll notice that immediately after I do that, the Transfer link becomes available to me within the Actions area. I then click on the Transfer link.

And I then look at the status of the records in the Folder. I don't see anything different there, but when I go up to look at the Folder from the Budget Category level, I can see a marking on the Folder that it is tagged for transfer.

Next, in the left panel, I look under Transfers. There I see a new entry. If I click on Download Zip, I can see the Zip file of the package of documents that are intended to be transferred to a new location. The Zip file includes the files and metadata for the records that were in the Folder.

Next to the Transfer Object, I click on Complete the Transfer. This is intended to be clicked after a Records Management administrator verifies that transfer of these documents has been successful.

After that, we go back to the Budget Category level and see that the icon for the Folder has changed once again to a green arrow. Clicking into the Folder, I see that each of the records is also marked as having been transferred.

### Destruction

Let's go back and look at the View Details page one more time for this folder. I see that there is a new manual event that is available. This corresponds to the third and final step of the disposition schedule, the destruction. I click on the event and complete it. After doing that, a Destroy link becomes available under Actions.

For this example, I decide to destroy the records and confirm that this is my intent. I confirm again that I do intend to delete these records. And the records are deleted. The folder and each of the records are still retained as placeholders, but the file content



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has been removed. The icon for the folder now contains a blue-circled i. And the notation is that the “Disposition life cycle doesn’t exist”.

Here we see a trash icon next to the Folder. And similar icons are used for the records that are within the Folder. If I click through on one of the destroyed records to see what content remains, I see that metadata remains, but the file content has been removed.

That part of the demonstration showing the creation and use of a File Plan and Disposition schedule is over.

### **Importing Previously Exported Data**

I’d like to go back to the File Plan that I showed you originally. So I am going to delete the two Series and all of their contents that we created. I go to the root of the File Plan and select the two Categories and then from the Selected Items pulldown, I select Delete.

Remember, prior to the steps we took to build out a new File Plan we had exported the File Plan contents. Let’s now import the contents back here at the root level. I select Import and navigate to the exported ACP file. We then upload it, click OK, and we see the original File Plan again.

### **Search and Reporting**

In this next section before I move on to walking through a few scenarios, let me show you Alfresco Records Management Search and Reporting capabilities.

To do that, I’ll log in again as the administrator. And I’ll go into the Records Management site again and navigate into the File Plan.

### **Specifying the Type for a Record when Filing**

For this next section, let me navigate into the Engineering Series and Patents Category. I’m going to file a PDF file that contains images of a patent application. There are specific document types mentioned in the DoD 5015.2 standard that must be supported. The 5015.2 list includes a Scanned Record, that is, an Image, a PDF Record, a digital photograph record, and a web record.

Let me click on File and then select that we are going to File an Electronic record. In this case, I’m filing a PDF file, so I’ll select PDF Record. Here you can see in the list of



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DoD required types. And this list can easily be expanded on too. Based on the type that you select, additional metadata attributes will be stored with the document compared to the default type.

I browse to the local file to upload, click on Upload Files and then OK to perform the file. Now let's click on this document to look at the details for it.

In the metadata section, you'll see standard metadata that all records will have, including a unique record and category identifier, and title. You'll see tracking information about who created the document and when, and who has last modified this document and when.

There are also a number of new attributes that you'll see here that didn't show up when we looked at the metadata for a default record. In this case, there are three mandatory attributes that are specific to the PDF record: the Producing Application, the Producing Application Version, and the PDF Version.

### Records Search

Near the top of the metadata information we can see the unique record identifier for this document. Let me click over into the Records Search area that I already have open in another tab within Firefox.

### Specifying Search Criteria

The most important part of this page is the text area for filling in the syntax for a Records Management Search Query. The raw syntax is a bit complex and uses the concept of Alfresco namespaces. This interface tries to hide some of the complexities.

Here we see a list of attributes that we can search over to find records. Attributes are categorized into five groups: Content, Records, Disposition, Special Types, and Custom. For example, under Records, we can see the Identifier is listed on top. This corresponds to the unique record identifier that we just saw on the document detail page.

Let me select that and we see it added to the text search. Note that it autocompletes showing the "rma:" prefix which is the namespace identifier. To this I append the identifier that we copied and then click on Search. The record is returned. Note that there are two tabs on this page: one for entering the search criteria and another for viewing the results.



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You just saw that some of the identifier information is a bit cryptic. As a trick, you can explore the metadata that's associated with this record. Let's click on export. You'll then get a zip package suitable for capturing all content and metadata associated with your search results. If we click through on the metadata XML file associated with this document, we can see the syntax naming and the format used for storing the metadata.

For example, here is the name of the document and here is the identifier for the document.

### The Search Results List

Now back to the results tab. You'll notice there are certain columns displayed here in the results list, like the Type icon, Identifier, Name, Title, and so forth. Let's click over onto the Criteria tab. Underneath the search string entry area there is an expandable area that lets you specify the metadata to be displayed on the results page.

### Formatting the Search Results

Here we see that Identifier, Name, Title, and Parent Folder, and so forth are checked. So this area gives you control over creating output reports using the search results of your query. Again, within this list, the attributes are categorized and grouped to make it easier to find them quickly. To the right of this list are buttons with dropdowns that let you select how the data should be sorted in the results list. You can choose the sort order and ascend or descend list ordering for the results.

And finally on the far right, you can select some filtering options so that only records that have these characteristics will be included in the results list. You could search only for vital records, or only record folders, for example.

### Search By Date

Let's clear this criteria and I'll show you an example where we can search for records by date. From the Content Grouping, I'll select Created. And then I'll choose a date. March 25<sup>th</sup>, for example. I run the search and see the two hits in the search results. Both of these records were filed on March 25<sup>th</sup>.

### Available Search Attributes

So, let's go back to the Criteria tab. I'll clear the criteria and contract the Results options. Let me just quickly show you a bit how the metadata is grouped within the Select pull down. The content grouping includes the generic document attributes. The Records grouping shows important record dates like for filing, publication and review. The Disposition group lets you look for records that have these specific components as



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part of their disposition schedule. The Special Types is interesting in that it lists and groups metadata specific to record types. The first group here is specific to image records, and the second is specific to PDF records.

### Full Text Search

Let me show you how we can include full text search as part of the criteria. From the Content Group, I select keywords and then I enter the full text search string that I am looking for. I hit search and then switch over to the Results tab. And there is the result of the search.

Let me clear the search criteria and then include a search for the records identifier. This will be an example that shows that I'm able to use wildcards in the search criteria. I'm looking for all unique identifiers that start with 2010. The wildcard here is the asterisk.

And when I go over to the search results, I can see all records that were filed in 2010.

### Booleans Used with Search

Let me go back to the Criteria tab once more. I'm going to add onto that same query the additional full text search criteria that we looked at just a minute ago. Note that I am joining the two criteria using the Boolean AND operator.

I can click on Search and then see the results. A single hit is returned. Now let me click on Criteria again.

### Saved Searches

Let me show you that Search queries can be saved. If I click on the Save Search button, I can save all the detailed specifications of the current query. After assigning a name and description to this query criteria I will later be able to reuse it. I click on Save.

If I click on New Search, I can clear out all the current search criteria. Then I can select the Saved Query that we just created. Doing that will fill in all the previous criteria. I can then click on Search and see the results again.

If I then click over to the page that shows the top of the File Plan, I'll see my newly Saved Query show up along the left navigation panel.

### Record Reports

And finally in this section, let me show you the reporting capabilities that can be run over the File Plan. If I click on the Report button, I can get a diagram showing me a graphic listing of the File Plan hierarchy and details of the Disposition Schedule. By



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default, it is set to offer a print option when it pops up. Let me adjust the size of this popup window so that you can get a better view of what it looks like. Let me scroll through it now.

## Records Management Scenario 1

In the next section of this Introduction to Records Management, we're going to walk through a scenario for filing a record.

### Overview of Scenario 1

In the scenario, Tom in Engineering has completed work with the Wastewater Division of the Public Works Department on a new plan for Sewer System Management. He has prepared the document and he checks a document describing the plan into the Document Library of the Company Operations area maintained in Alfresco Share.

Because of the nature and importance of the document, Tom alerts his boss Mary of the plan by creating an Approve or Reject workflow within Alfresco Share. Mary reviews the task assigned to her, looks at the document, and decides to approve or reject the new document.

Mary's approval of the document automatically alerts the Records Management team that this document may need to be considered as a record and retained appropriately.

Frank will then look at the document and determine whether it should be classified as a record. In this case, it should be. Frank then files the document into the Records Management File Plan, assigns metadata to it, and then declares it as a record.

OK. Let's walk through those steps within Alfresco Share to see exactly how this scenario plays out. But before we get into the exact details, let's take a look at how these users are configured with Alfresco Share to participate in this scenario.

### Setting up Users for Share and Records Management

Mary Lane has been created as a Share user, but when we initially log in as Mary, we see that Mary does not have either the Operations or Records Management Sites available for her to use. Users Tom and Frank have also not yet been configured for these sites. Let me log out of Mary's account.



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And I'll login as the Application Administrator. Once in, I will navigate to the Administration Console. There I will set up groups and users to be able to access both Operations and Records Management sites.

### Creating New Groups

Here I am looking at Alfresco Share Groups. I click on the Browse button to get a list of all of the groups. I'm going to create a new group for users who will have access to the Operations Site. I click on the Add Group button and enter in an Identifier and Display Name for this new group.

I click on Create and Create Another button because I would also like to create a group of users who will have access to the Records Management Site. The Operations Group was created.

And now I will create the Records Management Group. I click on the Create Group button and that group is now also created.

Here on the list of the current groups, I can see the two new groups that I created. I'll click on the Operations Group and add members to it. I'm going to assign all members that are part of our scenario to this group.

I click on Add User and then add user Mary Lane. Next I add user Frank Stern. And finally I add user Tom Havilek.

Similarly, going over to the Records Management Group, I will add user Frank Stern, who works in the Records Management Department. Frank is now added to that group that gives him privilege to see the Records Management site.

But Frank will need additional privileges to be able to access and modify records within the File Plan. Because of his position, I will make Frank an Administrator for the Records Management File Plan. I do that by clicking on the Records Management Administrator Group and adding his name there too.

### Inviting and Assigning Users and Groups to Alfresco Share Sites

Next I go back to the Share Dashboard Home page. I need to assign the two groups that we just made to our two sites: Operations and Records Management. From the list of sites, I navigate into the Operations site.



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And within Operations, I click on the Invite button. In this area I can invite people individually or by Group to the site. Those invited individually will receive an email notifying them. When an entire group is added, email invites are not sent.

I click through to the Groups area. And then click on Add Groups. I look for the Operations Group that we just created. And then I can add it to the Site groups. But before doing the final step, I need to first select a Role for this new group within the Operations Site. Possible roles are Manager, Collaborator, Contributor and Consumer. In this case I will assign the group the highest possible role of Manager.

Then I can click on Add Groups and the Group is now assigned to the site.

Now, again I go back to the top homepage dashboard. From here I can navigate into the Records Management site. Once in the site, I again select Invite. I click on the Groups link so as to be able to add the new group. Clicking on the Add Groups button will let select the group to add. I search for the Records Management Group and then add it to the list of groups to assign. Again, I select the role of Manager for this group and this click on Add Groups. The group is now assigned.

So, after those set up steps are performed by the Application Administrator, I logout. Next, let's just do a check to see if users now have access to the sites. I login as user Mary Lane. Once in Mary's homepage dashboard, I can see that Mary now has access to the Operations site. Good.

Now let's also do a quick check on Frank's account. I logout as Mary and login as Frank. Frank now has access to both Operations and Records Management sites. It looks like things are correctly set up.

### **First Step of Scenario 1: Workflow Initialized**

Let's logout now and actually start running through the scenario. First I login as Tom Havilek. We're in Tom's dashboard now and we see that he has access to the Operations site. Tom is an engineer and needs to check in a document related to the Sewer System Management plan. To do that he will go into the Operations Share site.

He then clicks on Document Library to access documents stored related to Operations. Once in the Document Library area, Tom selects the Upload option to check in the Sewer System Management document. He clicks on Upload a file and then navigates to the file SSMP.pdf on his local machine. Tom next clicks on the Upload Files button and finally he clicks on OK. Going back into the Document Library root level, Tom



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scrolls down to see that his new document has been created. He finds the document and sees that a thumbnail for the first page has been created.

The document needs to now be tagged for a review workflow, but first Tom decides to review the contents of what he's just uploaded to make sure that it looks OK. He clicks into the document details. On the server, a Flash version of the document is created to allow a quick preview. On the right, you'll see some of the metadata that was automatically extracted from the PDF file header, like the Title and Author.

Tom scrolls down through the document to check that it was successfully uploaded. Tom is satisfied and next decides that he needs to have his boss review this document. He clicks on the link to Assign a Workflow. He clicks on the prebuilt structured workflow, in this case something called LCWF.

He then selects Mary Lane, his boss, as the person to perform the review. He enters a description for the workflow indicating that these are related to Sewer plans and need to be review and then Tom clicks on assigns the workflow. The workflow is successfully assigned and Tom logs out.

### **Second Step of Scenario 1: Workflow Task is Approved**

Next we go back out and login as Mary Lane. Mary has access to the Operations Share site. If we scroll down, we can see that Mary has a review task that has been assigned to her and it shows up in her Task List. Before deciding whether to approve or reject this document, Mary will do her review. She clicks on the link to the document and it takes her to the document where it is located in the Operations Site Document Library.

Here's the document. She can see the thumbnail for it and then, like Tom had done, she can click through and review the document and associated metadata.

After Mary is satisfied with it, she can go back to her homepage dashboard and click on the reject or approve links. In this case she decides to approve the document. She clicks on Approve and it successfully completes. The task is then removed from Mary's task list.

### **Third Step of Scenario 1: Record is Filed and Declared**

The action moves the document to a space that is monitored by people in the Records Management department.

Mary now scrolls back up to the top and exits.



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Next Frank Stern within the Records Management group logs in. Again, Frank has access to both the Operations and Records Management Alfresco sites. Frank needs to monitor an area where he can review documents that potentially will be considered organizational records.

Frank navigates into the Document Library for the Site. Once there, he goes into the “For Review” Folder and sees that a document has come in for his review. After some consideration, he agrees that this document needs to be considered a record.

Frank wants to file this document into the Records Management File Plan. He clicks on the Move To action for this document. And navigates to the appropriate location in the File Plan to file it. Under the Legal series, in the Contracts Category, and the City Sewer Folder.

Frank then goes into the Records Management Alfresco Site. He navigates into the File Plan to the City Sewer Folder to find the document. Note that it is marked as an Undeclared Record. Before being able to declare it as a record, it is missing some mandatory metadata.

Frank clicks on the edit Metadata link and fills in some information related to the Originator, the Originating Organization, and the Publication Date. Frank saves the metadata.

And as a final step, Frank is able to declare the document as a Record.

### Scenario 1 Summary

To review the scenario briefly, we saw Tom check in an important document. The document was entered into a review workflow and was approved by his boss, Mary. The approval caused the document to be routed to Frank in the Records Management group to review it. Frank added some metadata to the document, he filed it, and he declared it a record.

## Records Management Scenario 2

Now, let’s walk through another scenario. This one is simpler. It will demonstrate how Frank in the Records Management group can have access to the File Plan in the Alfresco content repository directly from Windows Explorer on his desktop. The direct



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interaction from the desktop means that Frank doesn't have to login to the web browser application each time he needs to access the File Plan.

### Setting up a CIFS Alfresco Folder

To show how this is possible, I'd like to show you the Repository structure from within the Alfresco Explorer client. By looking there you are able to find mapping information that lets you set up the repository just like another disk on your local Windows machine.

Here I login as Frank. From the Alfresco explorer client I will navigate into the Company Home area, the Sites directory, the Records Management site, and then the Document Library for Records Management. This is the location where the Records Management File Plan is stored.

By clicking on the small icon that looks something like a skewed monitor next to the name of the folder or space, I can see the correct path I need to use in order to map this area as a file drive in Windows Explorer. Any folder within the repository can be mapped as a Windows drive. I could have just mapped the entire repository if I had started from the Company Home directory.

### Filing Records with a CIFS Alfresco Folder

Now we bring up Windows Explorer and from the Tools directory, I select Map a Network Drive. In this example I select to map it to the Windows drive letter Z. I enter the repository location information that we saw in the Alfresco client. And then I click on Finish on this dialog. You'll see that the connection to the repository is made and that the mapped drive then becomes available for use.

When I click on it, I can see all the top-level Series of the File Plan. And I can navigate then to any folder or record in the Plan.

Let me navigate again into the Legal Series, Contracts Category and City Sewer Folder. Here I will show you that I can file a document directly into the File Plan. I open another Windows Explorer and then I will click and drag this PDF document that has a Water Quality Report into the folder.

The document is copied and filed into the File Plan.

Now I log out of the Alfresco Explorer application and log into Share.

From Share we can check if the document has been correctly filed in the File Plan.



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I log in as user Frank Stern. I go to the Records Management site. Select the File Plan. And navigate into the Legal Series, the Contracts Category and then into the City Sewer Folder. Here is the document that we just filed.

### Records Management Scenario 3

Now let's turn to a third scenario. This time the organization is contacted by a legal firm requesting to see all records that they have related to the City Sewer Works. To comply with the request, Frank in the Records Management Group locates the relevant records and places a Freeze or Hold on those documents. He then needs to prepare a package of the relevant files and associated metadata to send out to the lawyers.

The first thing that Joe does to comply is to try to locate the relevant records. Joe logs into the Alfresco Share Records Management Site.

He goes to the File Plan and then since he is familiar with the hierarchy browses through the Legal Series, the Contracts Category, and the City Sewer Folder. In that folder, he locates the relevant records and selects them.

From the allowed list of actions available for the selected items, he chooses Freeze. And states the reason for why the Freeze is occurring.

Frank then selects that these documents need to be frozen. A frozen document cannot progress any further in the lifecycle instructions assigned to it by its disposition schedule; otherwise the record could be potentially transferred or destroyed while it was still under review. Frozen documents are considered to be put on Hold.

Once the records are frozen they receive a special indicator icon – a snowflake – that indicates their frozen state. There is also a special area that lets us track all Holds of Frozen documents that are currently outstanding. If we look in that area, we can see the records that have just froze.

Now that these records are identified, we build a package that will contain all relevant content files and metadata. To do that we select all frozen documents and mark them for export. We select to export these documents in the Zip format.

After doing that, all files are bundled and saved to a compressed Zip file that can then be delivered to the lawyers requesting the information. If we open the Zip file we see the component files and an XML file that contains the associated Metadata for them.



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## Thanks and Conclusion

Well, that concludes the demonstration of Alfresco Share's Records Management module. I know we covered a lot of material very quickly. This presentation was created by Formtek. Formtek is a Gold-Level Systems Integration partner of Alfresco. If you have questions, don't hesitate to comment on this video or to contact us at Formtek.



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