File Plan Designer

User Guide

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What is File Plan Designer?

File Plan Designer creates and manages your file plans. As you create file plans, File Plan Designer displays an organizational structured view of your record categories and record folders and provides the ability to add or remove elements from that structured view.

Depending on the element you select in the file plan hierarchical structure, only the appropriate elements (record categories or record folders) are available. You develop each element of the file plan in context.

File Plan Designer privilege combinations

The privilege tables in this topic describe the individual privileges required for the tasks a user may need to complete in File Plan Designer. The user must have the privilege combinations listed in the tables to successfully complete the tasks.

Create a file plan

When you create a file plan, you can name the file plan and enter a description for that file plan. For any file plan that you create, you can also view and open, edit custom properties, edit the name, and choose the types for record categories or folders. Also, you can delete the file plan. To create a file plan, you must have the following privilege.

Privilege	Result
Department > Manage > File Plans	You can open File Plan Designer and create a file plan. For file plans that you create, you can also view and modify some information in the file plan.

View elements in a file plan

To view record categories or record folders in a file plan, you must have the combination of privileges listed in the table. Viewing elements does not allow you to create new elements.

Privilege	Result
Department > Manage > File Plans	You can open File Plan Designer.
File Plan > Content > Open	You can open record categories or record folders in the file plan to modify the name or description.
File Plan > Content > Search	You can view elements such as record categories or record folders in the file plan structure.

Privilege	Result
Record Category Type > Use and Record Folder Type > Use	You can only view the record categories or folders for the selected types for which you have the Use privilege.

Create elements in a file plan

To create record categories or record folders in a file plan, you must have the combination of privileges listed in the table. After you create an element, if you do not have privileges to view elements in a file plan, you will not be able to see the elements in the file plan structure.

Privilege	Result
Department > Manage > File Plans	You can open File Plan Designer.
File Plan > Content > Open	You can open file plan elements.
File Plan > Content > Search	You can view elements such as record categories or record folders in a file plan.
File Plan > Content > Create/Append	You can create elements in a file plan for which you also have the Use privilege for the specific type.
Record Category Type > Use and Record Folder Type > Use	You can only create the record categories or record folders for the selected type.

View elements in a record folder or record category

To view elements in a record category or record folder, you must have the privilege combination in the following table. Modifying additional information such as name, description, cutoff, vital status, custom properties, or policy assignment requires additional privileges.

Privilege	Result
Department > Manage > File Plans	You can open File Plan Designer.
File Plan > Content > Open	You can open file plan elements.
File Plan > Content > Search	You can view elements in a file plan for which you also have the use privilege for the specific type.

Privilege	Result
Record Category Type > Use or Record Folder Type > Use	You can modify the record categories or record folders for the selected type.

Modify record category names

In addition to the basic privileges to view record categories in File Plan Designer, you must have the following privileges to modify record category or record folder names, you must have the following privilege.

Privilege	Result
File Plan > Content > Rename	You can change the name of an existing record category.
File Plan > Record Categories > Modify Properties	You can change the name of an existing record category or folder.

Modify record folder name

In addition to the basic privileges to view record folders in File Plan Designer, you must have the following privilege, to modify record category or record folder names.

Privilege	Result
File Plan > Content > Rename	You can change the name of an existing record category.

Modify descriptions

In addition to the basic privileges to view record folders or record categories in File Plan Designer, you must have the following privilege to modify cutoff instructions.

Privilege	Result
File Plan > Record Categories > Modify Properties	You can update property values entered for properties associated with record categories or record folders.

Modify cutoff instructions

In addition to the basic privileges to view record folders or record categories in File Plan Designer, you must have the following privilege to also allow the ability to modify cutoff instructions.

Privilege	Result
Department > Records > Apply Cutoffs	You can update cutoff instructions on a record category for which you also have the Use privilege for that type.

Modify record category custom properties

In addition to the basic privileges to view record folders or record categories in File Plan Designer, you must have the following privilege to modify a record category custom property.

Privilege	Result
File Plan > Content > Edit Custom Properties	You can update custom property values entered for custom properties associated with record categories or record folders.
File Plan > Record Categories > Modify Properties	You can update property values entered for properties associated with record categories or record folders.

Modify record folder custom properties

In addition to the basic privileges to view record folders or record categories in File Plan Designer, you must have the following privilege to modify a record folder custom property, you must have the following privilege.

Privilege	Result
File Plan > Content > Edit Custom Properties	You can update custom property values entered for custom properties associated with record categories or record folders.

Modify the type assigned to a record folder or category

In addition to the basic privileges to view record folders or record categories in File Plan Designer, you must have the following privilege to modify the type assigned to a record folder or category.

Privilege	Result
File Plan > Content > Edit Type	You can change the type of a record category or a record folder.

Modify the retention policy assigned to a record category

In addition to the basic privileges to view record folders or record categories in File Plan Designer, you must have the following privilege to modify the retention policy assigned to a record category.

Privilege	Result
Department > Records > Reassign Retention Policy	You can update the disposition for a record category.

Modify record category notifications

In addition to the basic privileges to view record folders or record categories in File Plan Designer, you must have the following privilege to modify record category notifications.

Privilege	Result
File Plan > Record Categories > Modify Notifications	You can modify record category notifications.

Mark a folder or category as vital

In addition to the basic privileges to view record folders or record categories in File Plan Designer, you must have the modify privileges in addition to the following privilege to mark a folder or category as vital.

Privilege	Result
Department > Records > Vital Records	You can update the vital status or vital review date for a record category or record folder.

Delete a file plan

To delete file plans in Management Console, you must have the privileges listed in the following table.

Privilege	Result
Department > Manage > File Plans	You can delete a file plan.

Delete an element in a file plan

To delete record categories or record folders in a file plan, you must have the privileges listed in the following table.

Privilege	Result
Department > Manage > File Plans	You can open File Plan Designer.
File Plan > Content > Open	You can open file plan elements.
File Plan > Content > Search	You can view elements such as record categories or record folders in a file plan.
File Plan > Content > Delete	You can delete elements in a file plan for which you also have the Use privilege for the type.
Record Category Type > Use and Record Folder Type > Use	You can modify the record categories or record folders for the selected type.

Work with File Plans

What is a file plan?

A file plan is an organizational structure where you apply retention policies and organize records.

A file plan consists of the following elements:

- `File plan`. The file plan is the highest level placeholder for all elements nested in the organized hierarchy.
- `Record category`. Place a record category under the file plan level. You cannot nest a category under another record category, but you can place multiple record categories under the file plan level. You associate disposition and cutoff instructions with the record category. All of the children nested under a record category inherit these instructions. You can place a record at this level. You can declare a vital record at this level. You must assign a retention policy to a record category.
- `Record folder`. Place this element under record categories or under other record folders. You can declare a vital record at this level. You can place records in this level.
- `Record`. Capture a record to effectively preserve information and categorize it according to a predefined list of values. You can place a record under the record category or record folder elements.

About Retention Policies and File Plans

A file plan provides a structure to which you associate retention policies in order to process your records.

You assign an active retention policy to a record category in a file plan. A retention policy is required for every record category. The record folder directly below a record category inherits the policy instructions. The system implements the policy for the top-level folder and all items nested under that folder in the structure.

You cannot associate an individual record or record folder to more than one retention policy. Unlike documents (where you associate document types to a policy), a retention policy for a record is implemented based on a record s location in a file plan. Multiple types can exist in the nested folders under a record category; however, a retention policy for records consumes the items based on that hierarchy rather than a grouping of types.

To view records functionality, you must install a Records Manager license.

Create a record folder in a file plan

The record folder element is nested under record categories or under other record folders. To add a record folder to a file plan, complete the following steps.

1. In **Management Console**, in the left pane, under **Select Department**, select a department from the list.
2. In the left pane, click **Records > File Plans**.
3. On the **File Plan** tab, select a file plan, and click **Modify**.
4. In **File Plan Designer**, select the appropriate **Record Category** or **Record Folder** level.

   > **Note:** You can only enter a record folder element under another record folder or a record category element.

5. In the toolbar, click **Record Folder**.
6. In the **New Record Folder** dialog box, on the **General** tab, complete the following substeps.
   1. In the **Name** box, type the name of your record folder.
   2. In the **Type** list, select a **Record Folder** type.
   3. Optional. In the **Custom Properties** box, enter values for the listed custom properties.
7. Optional. On the **Status** tab, under **Cutoff State**, select a cutoff state.
   1. In the **Modify Cutoff State** dialog box, select a Cutoff state.
8. Optional. Under **Closed State**, to modify the closed state, select a closed state.
9. Optional. On the **Vital** tab, to indicate that the record folder contains one or more vital records, select the **Is vital** check box.
   1. In the **Next review date** box, set the next review date for the record folder vital categorization.
   2. In the **Vital review cycle** box, select the review cycle for the next review.
10. Optional. On the **Physical File Reference** tab, to create a physical file reference, complete the following substeps.

> **Note:** The **Override inherited** option overrides an inherited physical file reference.

   1. Under **Select a physical file template**, select a physical file template from the list.
   2. Optional. Under **Physical properties**, click a physical property and select a setting from the list.

11. Click **OK**.

Create a record category in a file plan

A record category resides under the file plan level, the highest level element, in a file plan. You cannot nest a category directly under another record category but you can place multiple record categories under the file plan level. At this level, you must associate retention policies. To create a record category, complete the following steps.

1. In **Management Console**, in the left pane, under **Select Department**, select a department from the list.
2. In the left pane, click **Records > File Plans**.
3. In the **File Plan** tab, select a file plan, and click **Modify**.
4. In **File Plan Designer**, select the file plan element in the hierarchical organization.

   > **Note:** You can place a record category only under the file plan level. You can nest multiple record category elements directly under the file plan level.

5. In the toolbar, click the **Record Category** button.
6. In the **New Record Category** dialog box, complete the following substeps.
   1. In the **Name** box, type the name of your record category.
   2. In the **Description** box, enter text.
   3. In the **Cutoff Instructions** list, select a cutoff rule that you created in **Management Console** or select **(None)**.
   4. In the **Policy** list, select a policy that you created in **Retention Policy Designer**.
   5. In the **Type** list, select a record category type that you created in **Management Console**.
   6. Optional. Enter values for the listed custom properties in the **Custom Properties** box.
7. To indicate a record category that requires transfer to the National Archives Records Administration, on the **Status** tab, complete the following substeps.
   1. Select the **NARA** check box

      This check box is available for reporting purposes only. To transfer your documents or records to NARA, you must build a retention policy to access the records and configure the off-site location appropriately.
   2. Under **Vital status**, select the **Is vital** check box. This indicates that the record category contains one or more vital records.
   3. In the **Next review date** box, set the next review date for the record category vital categorization.
   4. In the **Vital review cycle** box, set the review cycle for the next review.
8. Optional. On the **Notifications** tab, select **Create a Record Notification**.

Delete folders or categories in a file plan

Deleting a record category or a record folder also removes all of the children nested below that element in the file plan hierarchy. To delete a record folder or record category in a file plan, complete the following steps.

1. In **Management Console**, in the left pane, under **Select Department**, select a department from the list.
2. In the left pane, click **Records > File Plans**.
3. In the **File Plan** tab, select a file plan, and click **Modify**.
4. In **File Plan Designer**, select a record folder or record category.
5. In the toolbar, click the **Delete** button.

Result The system deletes all children nested under elements that you delete and sends them to the recycle bin.

Save changes to a file plan

To save any modifications you make to a file plan in File Plan Designer, complete the following steps.

1. In **File Plan Designer**, modify a file plan.

   The **Save** button becomes available only after you make changes to the file plan.
2. In the toolbar, click the **Save** button.

Work with notifications

Create a record category notification

To create a notification for a record category, complete the following steps.

Prerequisite You must have created a record category type and a file plan in Management Console.

1. In the **Select a notification event** box, select one of the following notification types.
   - Due for review
   - Superseded
2. To specify which user or group of users receives notifications, in the **Select users and groups** area, click **Add**.
3. To add a user, in the **Select Users and Groups** dialog box, select the **Users** tab and complete the following substeps.
   1. In the **Search for users** box, type all or part of a user name or the first or last name and then click **Search**.
   2. In the **Search** box, select a user and then click **Add**.
4. To add a group of users, in the **Select Users and Groups** dialog box, select the **Groups** tab and complete the following substeps.
   1. In the **Search for groups** box, type all or part of a group name and then click **Search**.

2. In the **Search** box, select a group and then click **Add**.

5. In the **Select Users and Groups** dialog box, click **OK**.
6. Optional. To associate a record or record folder view with the **Notification views** section, select the desired view from the appropriate list.
7. On the **Notifications** tab, click **OK**.
8. In **File Plan Designer**, click **Save**.

About notifications for records and record folders

Record and record folder notifications alert a user or group of users in real time that an action related to an existing record or record folder has occurred or that a task for a vital record or vital folder needs to be performed.

Notifications can be created for the following events.

- A record is superseded by an updated version of the record.
- A vital record or vital record folder is ready for review.

Notifications are created and managed from the File Plan Designer. You can choose the types of events that trigger a notification, the type of notification that displays, the view associated with the notification, whether an email is sent, and the user or groups that receive notifications.

Email notifications are only sent once per event and the messages are created by the system and cannot be modified.

Notifications for reviews of vital records and vital folders are based on the date when the review is due. An email notification is not sent for vital records and folders but a notification displays and contains the location of the vital record or vital folder.

If a user is listed in a record category to receive notifications, then, at a minimum, the user must have search privileges on the folders within that record category. If a user does not have the minimum privileges configured in a file plan, the user receives notifications for folders they cannot see.

To receive an email notification, a user must have an email address in the Contact Information area of the User Profile and must have the appropriate privileges.