

# Records Management and Laserfiche Security

*Guide*

December 2005

**Laserfiche®**

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Laserfiche Records Management functions allow records managers to track and control records from creation to destruction, including transfers, storage, and final disposition. These functions make it easier to comply with regulations on document disposal and to ensure records are kept only as long as they're needed.

The Records Management system in Laserfiche interacts with Laserfiche Security in order to keep track of records and control whether and how they can be modified at different stages in the Records Management cycle. This paper explains how normal Laserfiche Security interacts with Records Management in Laserfiche 7.1.x. Much of the information is also relevant to records management in 7.0.x, but there may be minor differences.

In a Records Management repository, there will generally be some items that are in normal Laserfiche folders, and some items located within Record Series that are subject to Records Management processes and restrictions. For the purposes of this paper we refer to items located within Record Series on the folder tree as being "in Records Management."

In determining the interaction between normal Laserfiche security and Records Management restrictions, there are a few things to keep in mind:

**Records Management and normal security co-exist.** Items within Records Management are still subject to all the normal functionality of Laserfiche, including security settings. Records Management does use some additional access rights which are not a part of Laserfiche security:

- Set Last Review Date
- Freeze
- Unfreeze
- Set Event Time
- Close/Reopen Folder

Other Records Management operations are controlled by the Records Management privilege.

**Records Management settings always make security more restrictive, never less.** For instance, if a user does not have the Read right on a document, no Records Management setting can allow them to read it. Records within record series can have normal Laserfiche access rights set. Some Records Management settings can restrict rights even more than the normal security that's set on a document, but they will never be less restrictive.

## **Records Management Security**

Records Management security settings are only exposed to users who are accessing a Records Management server. These consist of several Access Rights and a Records Management privilege.

## **Records Management Privilege**

This privilege does not provide any of the Records Management access rights, so a user with this privilege must still have the appropriate access right on a particular record or record folder in order to perform the actions controlled by those access rights.

Besides these access rights, the Records Management privilege allows users to modify Records Management administrative items and to perform Records Management actions. The privilege allows users to modify the following administrative items:

- All Records Management nodes in the Administration Console:
  - Cycle Definitions
  - Locations
  - Retention Schedules
  - Cutoff Criteria
- Record Series Properties
- Record Folder Properties

The Records Management actions controlled by the privilege are:

- Create Record Series
- Cutoff
- Uncutoff
- Confirm Transfer
- Confirm Accession
- Destroy

In addition to the Records Management privilege, all of the above Records Management actions require the Read right on the appropriate folder. Create Record Series also requires Create Folders.

## **Records Management Access Rights**

The Records Management Access Rights control the operations that are not specifically governed by the Records Management privilege. The following list describes the function of the Records Management access rights and their

interaction with standard access rights.

**Set Last Review Date:** Allows the user to set, unset, or modify the review date for vital records. Set Last Review Date requires the Read access right.

**Freeze:** Allows user to freeze a record or record series, preventing it from being modified, and to set or modify the Freeze reason. Note that Freeze does not allow the user to Unfreeze. Freeze requires the Read access right.

**Unfreeze:** Allows user to unfreeze a record or record series. Note that Unfreeze does not allow the user to Freeze. Unfreeze requires the Read access right.

**Set Event Time:** Allows user to set, unset, or modify event dates on records with Event or Event/Time cutoff criteria. Setting the Event of a record folder closes it, and unsetting the event date re-opens it, so users must have the Close/Reopen folder right in order to have the Set Event Time right.

**Close/Reopen Folder:** Allows user to close a folder so that records within it cannot be modified and to reopen it again if it is eligible. Requires the Read right.

When a user is attempting to perform a Records Management action on an object, the only rights taken into consideration are the user's rights on that particular object. For instance, if the user has the Freeze right on a record folder but not on a record contained within that folder, then the user will be unable to freeze the individual record.

However, the user will be able to freeze the record folder itself, which will effectively freeze all of the records within it as well. The freeze operation affects the entire contents of the folder to which it is applied, regardless of what rights the user has on the items within the folder.

## Security Implications of Records Management Rights

Much of the purpose of Records Management is to prevent users from modifying records if they are not in the appropriate point in the record life cycle. Because of this, certain Records Management actions will restrict what users can do with a record, regardless of what other rights or privileges they possess.

Records Management actions such as closing record folders, cutting off record folders, and freezing will restrict users' rights to the record folders or records that are closed, cut off, or frozen. These restrictions apply to all users and groups, including administrative users. The restrictions will not appear in the Access Rights dialog, nor will they be available by looking at the user's Effective Rights. Looking at the properties dialog or the Security column of the Laserfiche Client Folder Browser, however, will show accurate rights for a closed, cutoff, or frozen entry.

Close, Cutoff, and Freeze are the Records Management actions that restrict

users' rights in this way. They can be reversed by the actions Reopen, Uncutoff and Unfreeze, respectively; reversing these actions will cause security settings to revert to whatever they were before the original action.

## **Closing Record Folders**

Several different records management operations will result in the closure of a record folder. The most obvious of these is the Close Folder operation. Set Event Date and Cutoff, however, also close the folder. Closing a folder effectively makes it read-only by restricting the following access rights:

- Modify Contents
- Append
- Annotate
- Write Metadata
- Create Documents
- Create Folders

## **Cutoff**

As noted above, cutting off a folder closes it, so all of the access rights restricted by folder closure will also be restricted by cutoff. In addition, cutting off a folder restricts the Delete access right.

## **Freeze**

Freezing a folder pauses its retention schedule and restricts a broad variety of modification rights. Freeze restricts the following access rights on the object to which it is applied and (if the object is a folder) to any objects inside it:

- Modify Contents
- Delete
- Rename
- Write Metadata
- Set Event Time
- Close/Reopen Folder

The restriction of Set Event Time and Close/Reopen folder results from the pausing of all Records Management actions on frozen objects. Freeze also prevents the object from being moved to another location.



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