Administration Guide

Enterprise Events

For SharePoint 2013/2016

Version 4.13.1

January 2019

Title: *Gimmal Enterprise Events Guide*

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Preface

Gimmal delivers market leading content governance and compliant records solutions built on Microsoft® SharePoint®. Gimmal's Enterprise Events provides a flexible, extensible, and amenable product to manage conditional-based aging in a large organization.

Who Should Use This Guide

The intended audience for this document consists of SharePoint Administrators. Administrators are considered to be SharePoint power users who are familiar with the enterprise's content management and retention policies.

Introduction

Enterprise Events (EE) provides a tool for conditional-based records management that is based on events, as opposed to cutoff or chronological aging (calendar-based). Enterprise Events can be used across multiple farms outside of a records center (i.e., in a team site), in a records center with or without Gimmal Compliance Suite (Cs) installed, and with File Plan Builder with Cs installed.

The Enterprise Events solution contains several artifacts that collectively allow an organization to perform conditional (event-based) aging for Documents and Records in SharePoint. It is important to understand the relationship between these various artifacts in order to fully understand how Enterprise Events can be used effectively in any organization. The following table summarizes the various artifacts that comprise Enterprise Events and that are further explained in this guide.

Table 1 Enterprise Events Artifacts

Artifact	Purpose	Referenced by	Notes
Event Types	Groups Event Instances	Stages	Event Types can have several instances
Event Instances	Contains Trigger Date and Attributes for grouping Non-Records/Records	Event Types	Determines the effective trigger date (start date) that is added to the Stage Duration giving an Expiration Date
Stages	Adds Event Types to retention stage, specifies rules for earliest/latest trigger date, and determines Stage Duration of the retention stage	Policies	Stages are installed as Custom Retention Formulas in SharePoint
Policies	Adds Stages and determines the action to perform after a stage has expired	Associations	Policies group a Stage with an Action (Move to Recycle Bin, Permanently Delete, etc.)
Associations	Adds the list of content types and/or locations to apply a given Policy for Non-Records and Records		The Target Locations and Content Types that are available are taken from the Site Registrations that are configured. The Non-Record and Record policies available are taken from the Enterprise Events Policies

Events are defined by an organization and represent an occurrence that triggers the aging calculation to ensue (i.e., end of contract, employee termination, etc.). Enterprise Events allows you to create instances that group records together so that they can be triggered. Enterprise Events lets you create an information management policy (IMP) that responds to a *triggered event* where the expiration date is calculated based on the triggered date and the duration of a particular phase of the IMP. The expiration date is automatically calculated from the trigger date you enter based upon the types, instances, stages, and policies you put in place. Trigger dates can be in the past, present, or future.

SharePoint administrators can use the Local Admin Mode to manage all configuration and administration for Enterprise Events. Enterprise Events can also be activated via a site collection feature and used from Site Settings. In this mode, Enterprise Events also offers a unified report that lists all items that are governed by Enterprise Events.

See Appendix A: Putting it all Together for a fictional example of an enterprise event for employee termination.

Managing Enterprise Events

After installing Enterprise Events (EE) and configuring settings and site registrations (see the *Gimmal Enterprise Events Installation Guide*), you must set up certain items in Enterprise Events. You must be logged in as an Enterprise Events Administrator to set up the following:

- Event Types
- Permissions
- Event Instances
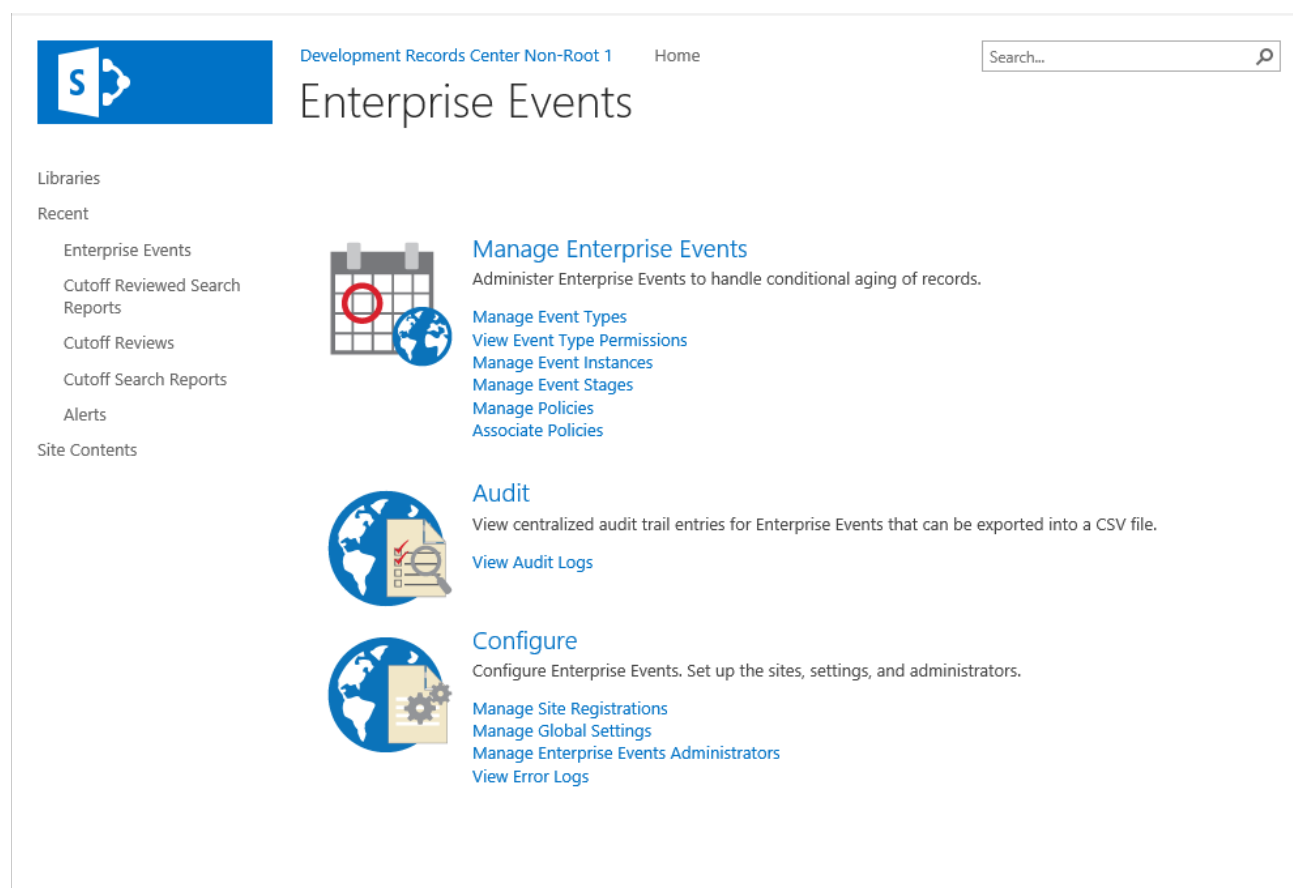- Stages
- Policies
- Associations

Figure 1 Main Enterprise Events Page

Note
Be sure that you are **not** logged in as the System Account when trying to manage Enterprise Events.

Managing Event Types

The first items you must set up are event types. Each event type may contain one or more instances. A single instance defines a single trigger date and can group records/documents together with up to three attributes. In this fashion, a single event type with multiple instances can selectively group records/documents, if desired. Event types are referenced in the Enterprise Events policy stage; the stage along with the Enterprise Events policy and associations forms the basis of an Information Management Policy that is represented in SharePoint by a custom retention formula.

You can add as many event types as you want. For example, a typical event type could be End of Employment or End of Project. Each instance of the event type can group records/documents so that only a portion of them are triggered (i.e., their expiration date is calculated). An instance can also affect all records/documents (i.e., an instance without any attributes affects all records/non-records).

Follow these steps to set up event types:

1. From the main Enterprise Events page, click **Manage Event Types** under **Manage Enterprise Events**.

Figure 2 Selecting Manage Event Types

The **types** page displays.

Enterprise Events

home   **types**   permissions   instances   stages   policies   associations

Figure 3 Event Types Page

2. Click ➕. The Add Types page displays.

Figure 4 Add Types Page

3. (**Required**) In the **Title** field, enter a unique name for the event type that easily identifies a group of event instances.
4. You can provide further explanation of the event type in the **Description** field.

5. Click **Add**.
6. Repeat steps 2 to 5 to add multiple event types. The event types you enter display when you return to the **types** page.

Note
The type's **Title** and **Description** display on the left pane. If you select a type, the details display in the **Details** pane on the right, if that option was selected from the Manage Global Settings page. If the **Details** pane does not display, the **Hide Details** pane option was selected from the Manage Global Settings page. If you select all items in the left pane, no details display. If you select one item and then another, only the first selected item's details display.
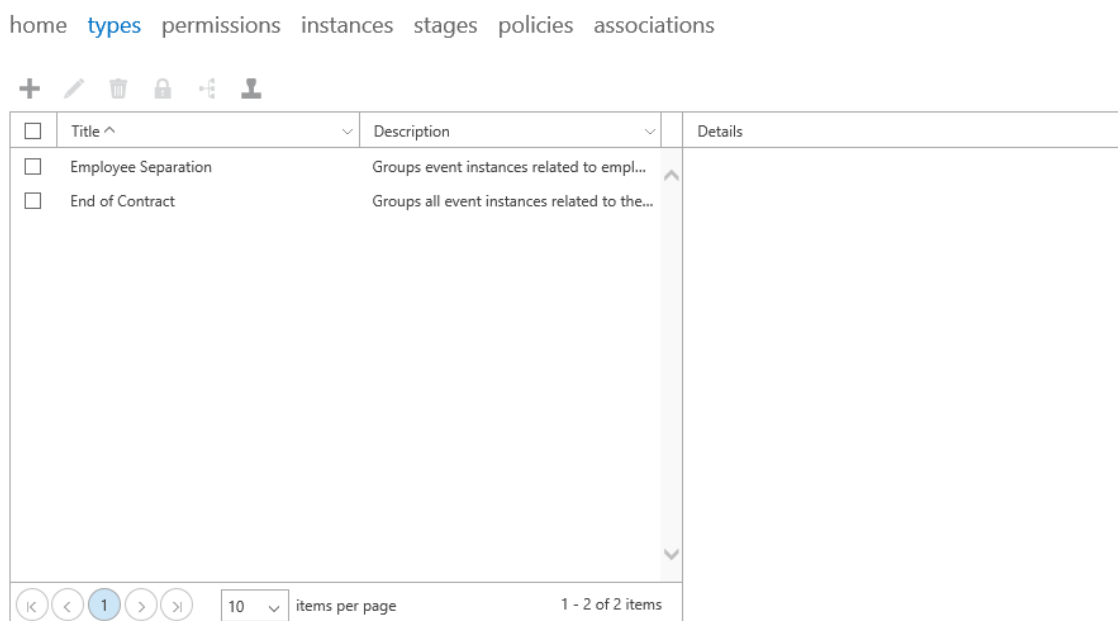
Figure 5 Sample Event Types

Managing Permissions

You set permissions using the Manage Enterprise Events > Administrators selection from the main page. The permissions that you set here give users the ability to edit a trigger date or Full Control of event types and event instances only. To set permissions for event types, you must be an administrator or a user with permissions set to Full Control. Permissions for event types can only be assigned to those users added for the given SharePoint registered site and not to users in the Active Directory.

Follow these steps to configure permissions:

1. From the **types** page, select the type for which you would like to set permissions.
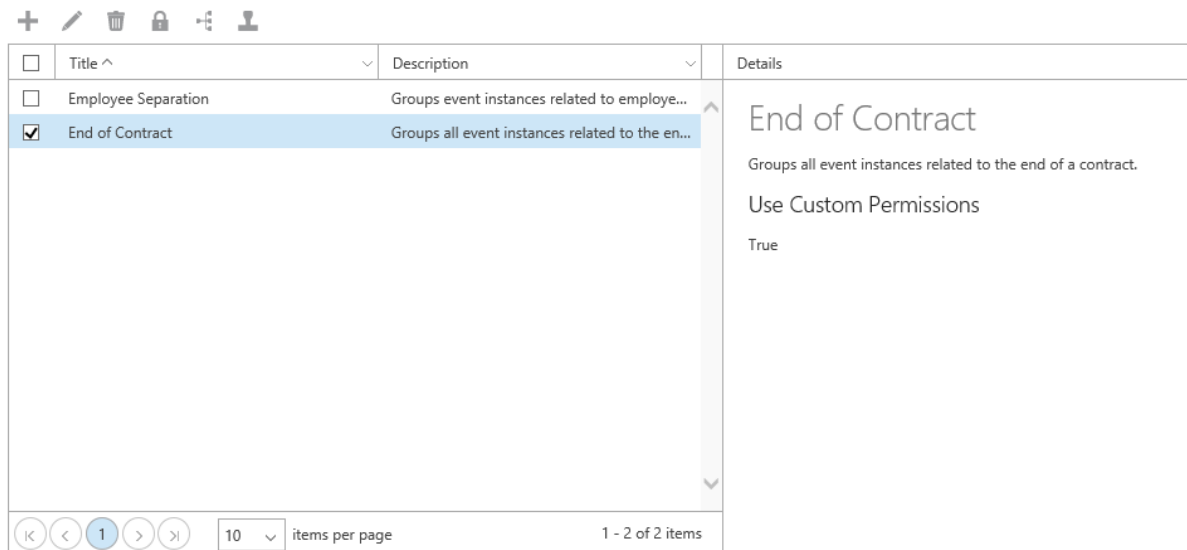
Figure 6 Selecting a Type

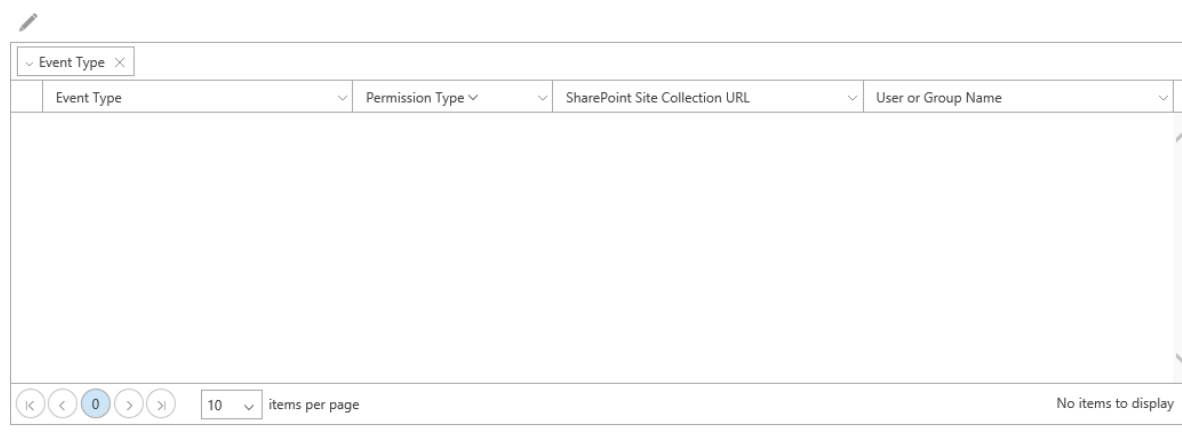2. Click 🔒 from the top of the **types** page. The **permissions** page displays.

Figure 7 Permissions Page

3. Click ✏ at the top of the **permissions** page. The Edit Permissions page displays.

Figure 8 Edit Permissions Page

4. Select the checkbox for **Use Custom Permissions**.
5. Enter the name(s) or email address(es) for users who need to edit triggers in the **Trigger Edit** field. Enterprise Events grants editing privileges of an instance's trigger date and read for event types to the user(s) you enter.

Note
Both the **Trigger Edit** and **Full Control** fields display suggested selections based on the user names you enter.

6. Enter the name(s) or email address(es) for users who need full control in the **Full Control** field. Enterprise Events grants full control of event types and instances to the user(s) you enter.
7. Click **Save**. The custom permissions you entered display on the **permissions** page.

Figure 9 Sample Custom Permissions

Managing Event Instances

A single event instance defines a single trigger date and collection criteria (up to three attributes) to group documents/records affected by any given Event Type. It is also possible to include multiple event instances for a single Event Type. These additional instances can group different records/documents based on their collection criteria and also have a different trigger date. The attribute lists come from the Settings hub; you can be on any site, but you only see the hub's field lists. You can also leave the attributes blank to group all records/documents and find all criteria for that instance.

Once you enter a trigger date for the instance, Enterprise Events can calculate an expiration date. If multiple instances for a given Event Type affect the same record, Enterprise Events uses the one with the highest priority setting. You can set priorities to be liberal or conservative, according to your company's policies. If instances for a given Event Type overlap, Enterprise Events uses the date as specified in the stage (see "Bulk Updating a Trigger Date" later in this document).

Follow these steps to add an event instance:

1. From the **types** page, select the event type for which you would like to set up instances.

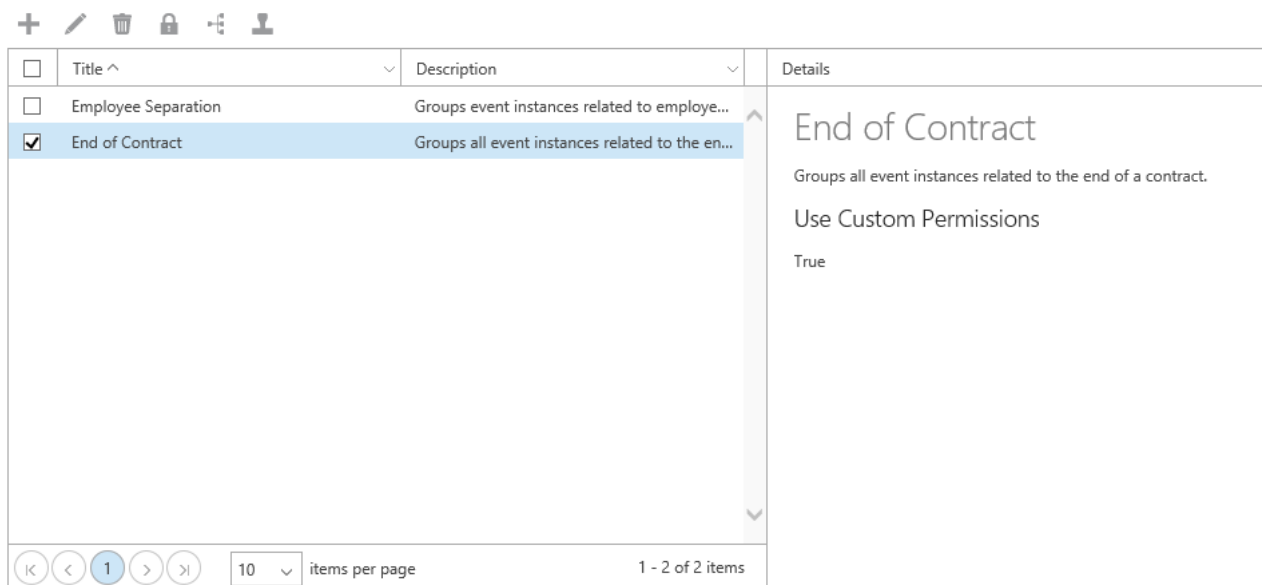home **types** permissions instances stages policies associations

☐	Title ^	⌄	Description	⌄	Details
☐	Employee Separation		Groups event instances related to employe...		
☑	End of Contract		Groups all event instances related to the en...		

Details

End of Contract

Groups all event instances related to the end of a contract.

Use Custom Permissions

True

|< < 1 > >| | 10 ⌄ | items per page | 1 - 2 of 2 items

Figure 10 Selecting an Event Type for Instances

2. Click ⊣ from the top of the **types** page. The **instances** page displays.

home types permissions **instances** stages policies associations

	☐	Event... ⌄	Title ^ ⌄	Descr... ⌄	Trigger Date ⌄	Priority ⌄	Details

|< < 0 > >| | 10 ⌄ | items per page | No items to display
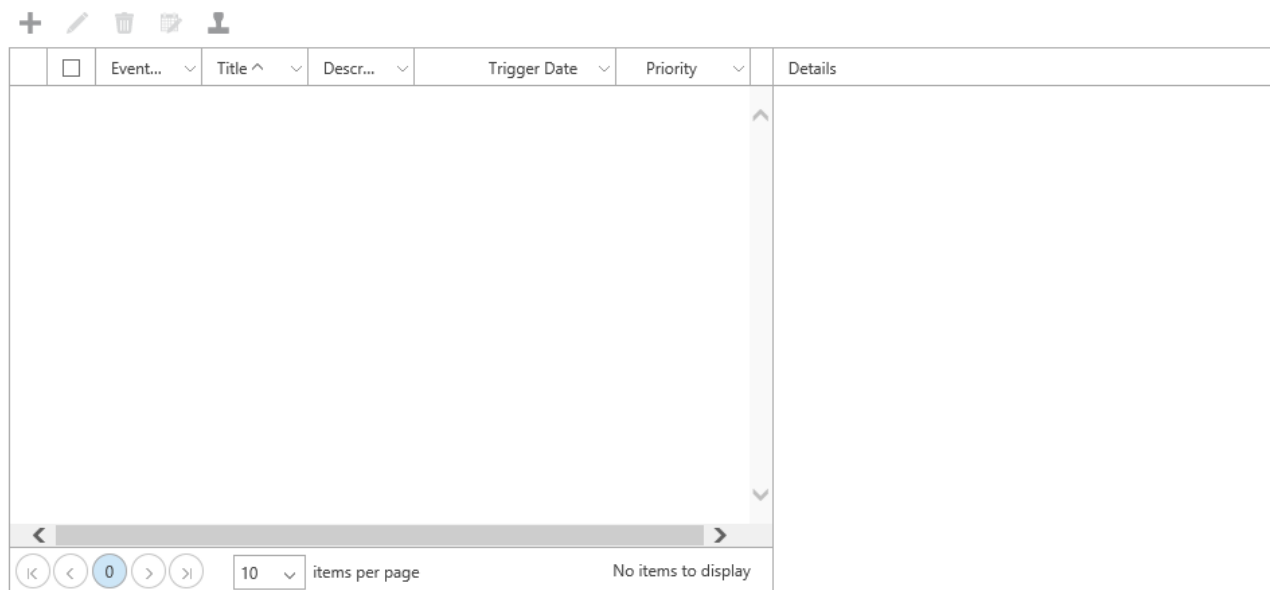
Figure 11 Instances Page

3. Click + from the top of the **instances** page. The Add Instances page displays.

Figure 12 Add Instances Page

4. (**Required**) In the **Title** field, enter a unique name for the event instance.
5. You can provide further explanation of the event instance in the **Description** field.
6. If desired, enter the **Trigger Date** to use for calculating the expiration date (i.e., Contract Start Date).

Note
You can leave the **Trigger Date** blank if it is not known at this time and enter it at a later time to calculate the expiration date. The **Trigger Date** can also be in the past, present, or future. You can also, if needed, reset the date to another value or blank it out if it was previously set. Running the appropriate timer jobs (see "Running Timer Jobs" later in this document), recalculates the expiration date for records/documents affected by the instance.

7. If you entered a trigger date, you can enter the **Reason** for that date.
8. (**Required**) Select the **Priority** for this event instance, with 1 being the highest priority and 9 being lowest. If multiple instances in the same Event Type affect the same record, Enterprise Events uses the one with the highest priority setting.
9. Select **Attribute 1**, **Attribute 2**, and **Attribute 3** for the collection criteria. If you do not select attributes, Enterprise Events collects ALL items.
10. Multiple values for a single attribute are treated as ORs. Click **+** next to an attribute to add more values for it.

Figure 13 Multiple Values for a Single Attribute

Multiple attributes (1, 2, and 3) are treated as ANDs.
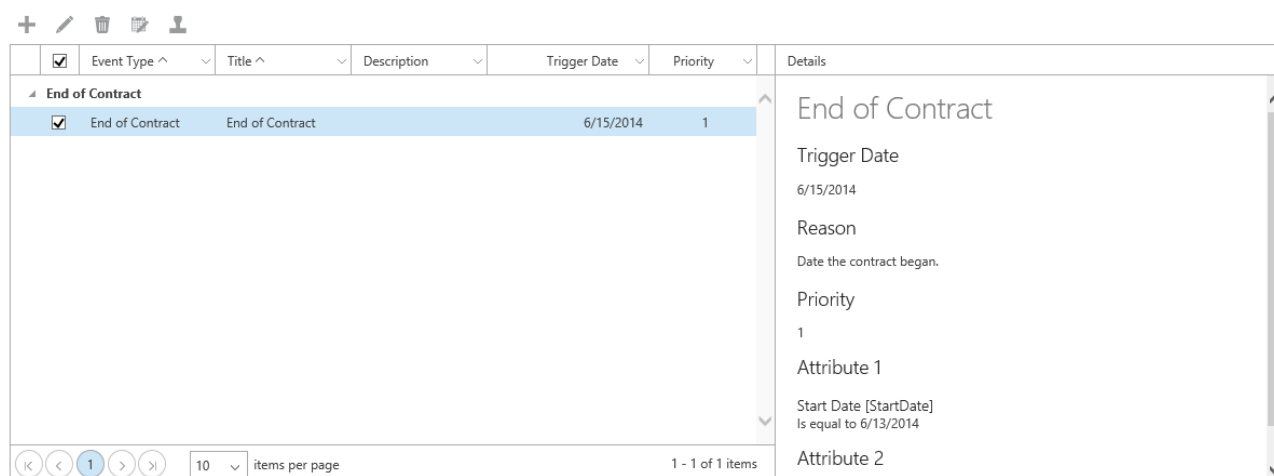
Figure 14 Multiple Attributes for an Event Instance

11. Click **Add**. The event instance displays in the **instances** page.
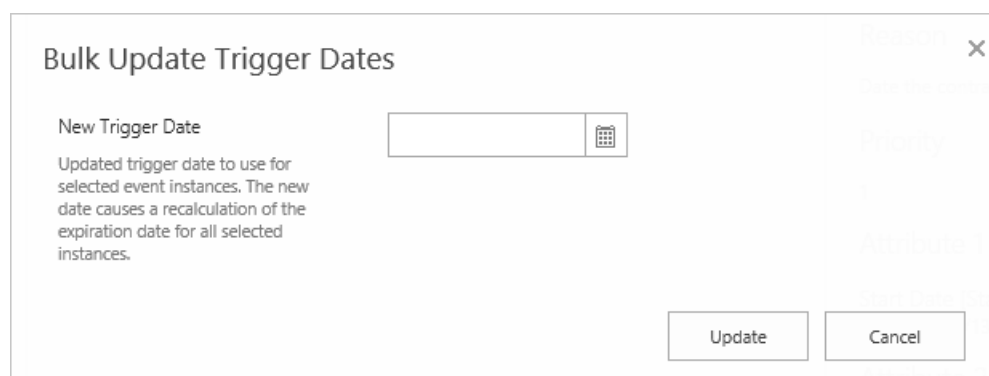
Figure 15 Event Instance on Instances Page

Bulk Updating a Trigger Date

You can add the same trigger date for multiple instances without having to individually edit each one of them.

1. Select the instances for which you want to bulk update the trigger date.
2. Click ▨. The **Bulk Update Trigger Dates** window displays.

Figure 16 Bulk Update Trigger Dates

3. Enter the trigger date for the selected instances and click **Update**. The new **Trigger Date** displays on the **instances** page.

Managing Stages

An event stage will become a custom retention formula in the Information Management Policy (IMP) settings once the "Gimmal – Enterprise Events Retention Formula Registration" timer job has run (see "Running Timer Jobs" later in this document). An event stage looks similar to half of an IMP

stage and specifies a stage duration in days/months/years, as well as one or more event types. Instances of these specified event types are responsible for grouping the records/documents, in addition to triggering the stage to which the stage duration is added to the effective instance trigger date to determine the expiration date of the stage. Since one or more Event types can be added to a stage, there are also rules to use the earliest/latest date along with whether all Event types must have a triggered instance or only the first one.

Note
In the case where only a single Event Type is added to a Stage, there are two options for the earliest/latest trigger date. The trigger date applies to multiple overlapping instances in the single Event Type whose priority are all equal. In this case, the rule specified takes precedence for the effective trigger date (earliest or latest).

Follow these steps to configure an event stage:

1. Select **stages** from the top row of tabs. The **stages** page displays.
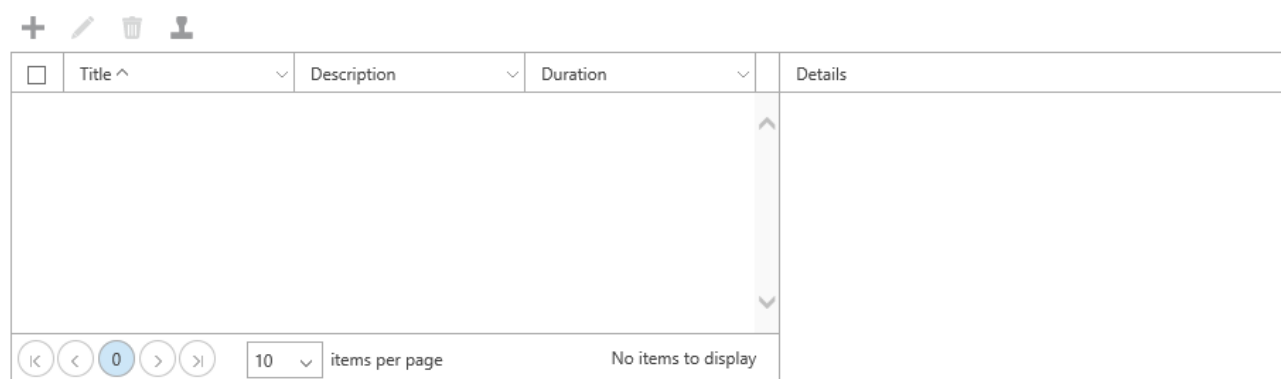
Figure 17 Stages Page

2. Click ✚. The Add Stages page displays. You can add as many event stages as you want.

Figure 18 Add Stages Page

3. (**Required**) In the **Title** field, enter a unique name for the event stage that easily identifies it.

4. You can provide further explanation of the event stage in the **Description** field.

5. (**Required**) Select the **Event Types** to associate with this stage by selecting the type in the left box and clicking **>** to move it to the right box.

6. (**Required**) Choose whether to use the earliest or latest trigger date from all matching event instances.

Note
As previously mentioned, the rule specified takes precedence for the effective trigger date (earliest or latest).

7. (**Required**) Enter how long the stage lasts in **Stage Duration**. You can choose from Days, Months, or Years.

8. Click **Add**. The event stage you entered displays on the stages page.

Managing Policies

Policies define a retention schedule by associating disposition actions with event stages. Policies are referenced in the **associations** page to add them to locations and/or to specific content types for records and non-records. The "Gimmal – Enterprise Events Policy Association" timer job is responsible for creating the association (see "Running Timer Jobs" later in this document).

Follow these steps to set up a policy:

1. Select **policies** from the row of tabs at the top. The **policies** page displays.
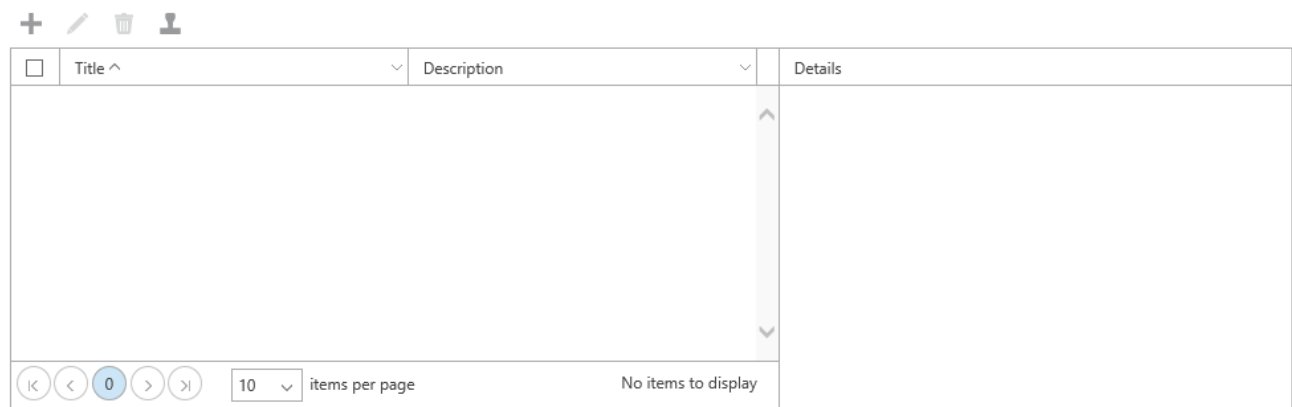
Figure 19 Policies Page

2. Click ✛. The Add Policies page displays. You can add as many policies as you want.

Figure 20 Add Policies Page

3. (**Required**) In the **Title** field, enter a unique name of the policy, which specifies one or more stages and the actions performed when the stage is no longer active.
4. You can provide further explanation of the policy in the **Description** field.
5. (**Required**) In the **Stages** section, select the event stage you want to use for this policy. Click **+** to add additional stages if required.
6. Select the **Action** you want this policy to perform. You can select from the following:

- **Move to Recycle Bin**: Moves the file to the Recycle Bin.
- **Permanently Delete**: Completely removes the file.
- **Copy to another location**: Copies the file to a location that you specify in the **Send to Connection Name** field that displays.
- **Move to another location**: Moves the file to a location that you specify in the **Send to Connection Name** field that displays.
- **Move and leave a link to another location**: Moves the file to a location that you specify in the **Send to Connection Name** field that displays and leaves a link to that location.
- **Start a workflow**: Starts the workflow that you specify in the **Workflow Name** field that displays.

Note
For example, you can specify a Gimmal Compliance Suite workflow. The workflow must be installed on the site to which you are associating.

- **Skip to next stage**: Proceeds to the next retention stage.
- **Delete previous drafts**: Deletes previous draft copies of the file.
- **Delete all previous versions**: Deletes all previous versions of the file.

7. Click **Add**. The policy displays on the policies page.

Associating Policies

Associations group targets with policies. Targets can be locations, content types, or both. Locations and content types are derived from site registrations. A location can be a list/folder in a list or library/folder in a library.

Note
A library that is using library and folder retention ignores any content type retention policies.

Follow these steps to set up policy associations:

1. Select **associations** from the row of tabs at the top. The **associations** page displays.

Figure 21 Associations Page

2. Click ✛. The Add Associations page displays.

Figure 22 Add Associations

3. (**Required**) In the **Title** field, enter a unique name for the association, which describes the group of targets for these policies. Targets can be locations or content types.
4. You can provide further explanation of the association in the **Description** field.
5. Click ➕ and select **Add locations** or **Add content types.** You can select locations and content types for the association.
   a. From the **Add Locations** window, select the lists/libraries and/or folders to include as Targets.
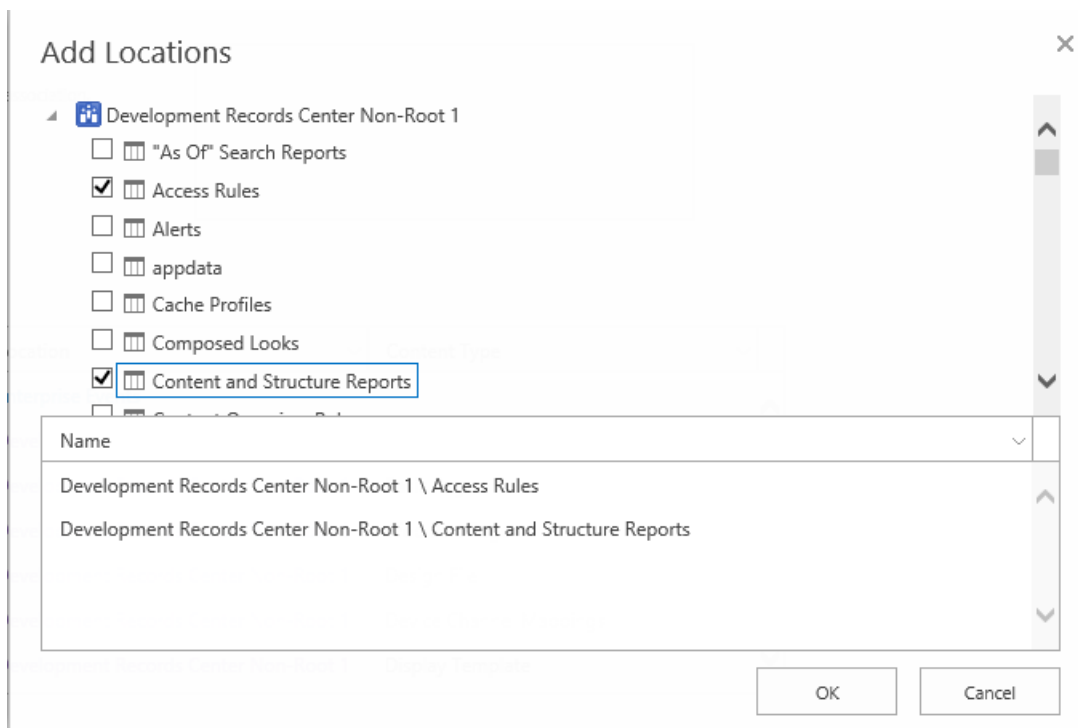
Figure 23 Add Locations Window

    b. Click **OK**.

    c. From the **Add Content Types** window, select the content type to add.
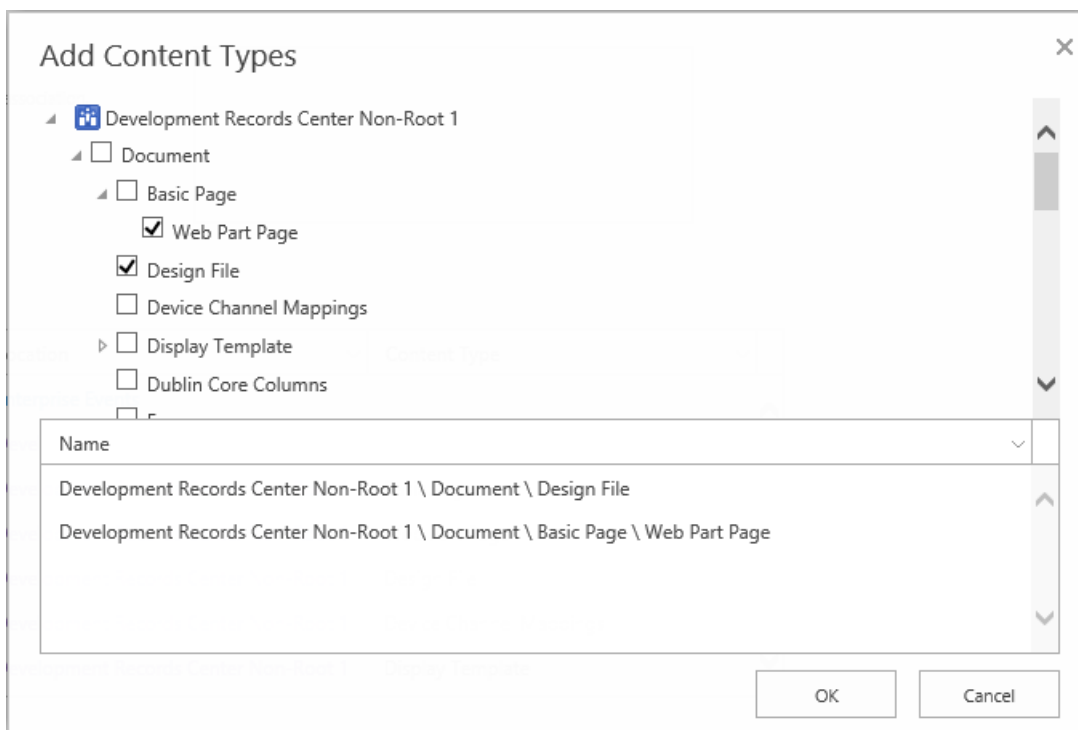
Figure 24 Add Content Types Window

       d.   Click **OK**.

6. (**Required**) If items (in SharePoint) are not declared as records, select the policy you set up to manage retention in **Non-Record Policy**. Upon selecting a policy, you can to preview the records this association affects.

Note
Review functionality is dependent on SharePoint indexing. As a result, the preview functionality may not accurately reflect all content that will be managed by the association. In order to view all content that is affected by Enterprise Events, use the Enterprise Events Report.

       a.   Click 🔍. The Preview window displays.
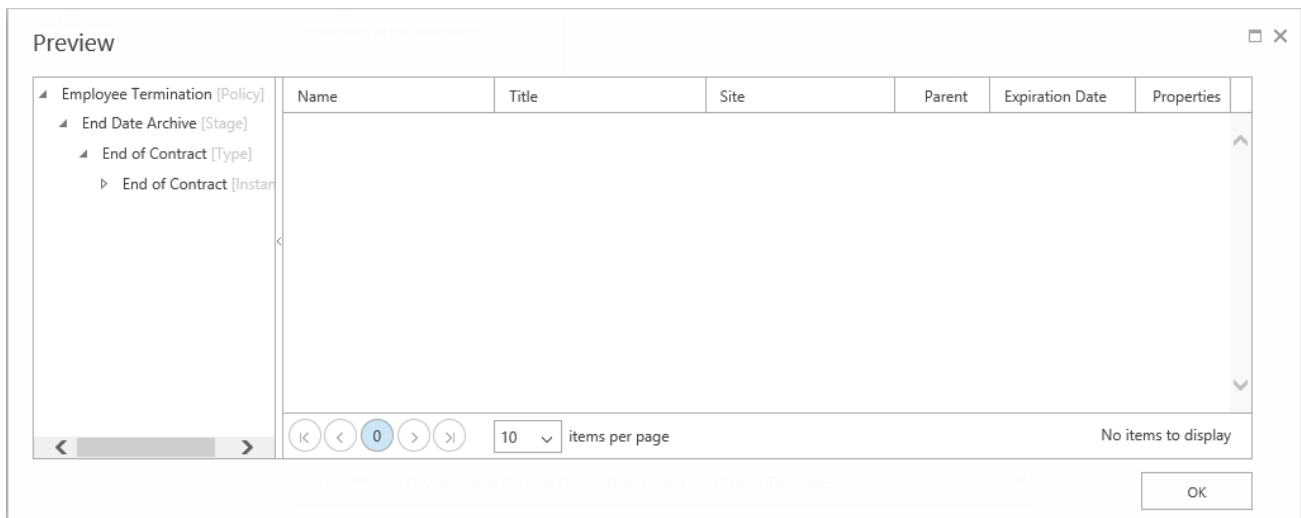
Figure 25 Preview Window

       b.   Select an event instance in the left pane to expand it and view the record details in the right pane.
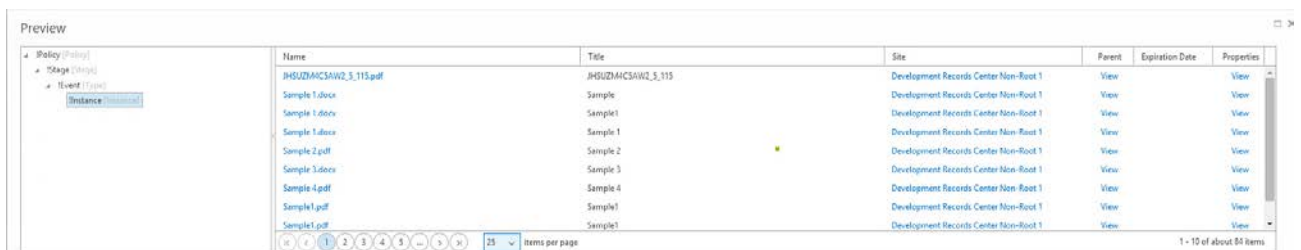
Figure 26 Event Instance Record Details

Note
If your Event Type does not contain any instances, the preview functionality does not show any results. It is dependent on the presence of an instance.

      c. You can click on the **Name**, **Site**, **Parent**, or **Properties** link to open a new window and view those details.

7. If items (in SharePoint) are declared as records, specify how to manage retention on records in **Record Policy**.

8. Click **Add**. The policy association displays in the associations page.

Using Enterprise Events

After completing the Enterprise Events administration tasks, run the timer jobs and run the Enterprise Events Report.

Note
You can only run the Enterprise Event Report from SharePoint and not the Local Admin Mode.

Running Timer Jobs

You must either schedule the Enterprise Events timer jobs or manually run them every time you add, delete, or modify an Information Management Policy (IMP). The timer jobs must be run in the order listed in this section.

Gimmal - Enterprise Events Retention Formula Registration

The Gimmal - Enterprise Events Retention Formula Registration timer job creates a custom registration formula for event stages within the farm. You must run this timer job first to synchronize the Enterprise Events stages with SharePoint. The name that you used for the Enterprise Events stage becomes the name of the Custom Retention Formula once installed. The default value for this timer job is to run daily between 1:00 and 1:30 AM.

Gimmal - Enterprise Events Policy Association

The Gimmal - Enterprise Events Policy Association timer job instantiates the policies by creating the appropriate record/non-record IMPs for selected content types and/or locations within the farm. It also disassociates policies if you choose to remove them. You must run this timer job after the Gimmal - Enterprise Events Retention Formula Registration timer job and before the Gimmal -

Enterprise Events Expiration Policy. The default value for this timer job is to run daily between 1:30 and 2:00 AM.

When this timer job runs, it searches for any FPB associations currently set up to the same location. If it finds FPB associations, Enterprise Events skips it and does not create an IMP.

SharePoint Information Management Policy Job

You must run SharePoint's out-of-the-box (OOTB) Information Management Policy timer job after running the Gimmal - Enterprise Events Retention Formula Registration and Gimmal – Enterprise Events Policy Association timer jobs. It performs background processing for information policies, such as calculating expiration dates for items with a new or updated retention policies.

Gimmal - Enterprise Events Expiration Policy

The Gimmal - Enterprise Events Expiration Policy crawls the associated web application and recalculates the expiration date for any item whose IMP uses Gimmal's Enterprise Events custom retention formula. The default value for this timer job is to run daily between 2:00 and 3:00 AM.

Running the Enterprise Events Report

After running the timer jobs, you can run the Enterprise Events Report from SharePoint to view details for event instances with specific criteria you need to review. You must be a member of the Enterprise Events Reports Viewers group to run the report.

Note
You must run the Enterprise Events Report from SharePoint.

Adding Users to the Enterprise Events Reports Viewers Group

This section describes adding users to the Enterprise Events Reports viewers group. Before adding users, you must activate the Gimmal – Enterprise Events site collection feature (see the *Gimmal Enterprise Events Install Guide* for details on activating the site collection feature).

Follow these steps to allow users to run and view an Enterprise Events Report:

1. From Settings, select **Site Settings**. The **Site Settings** page displays.
2. Under **Users and Permissions**, select **People and groups**.
3. In the left navigation, click **More...** under **Groups**. The **People and Groups** page for the site displays.

4. Click **Enterprise Events Report Viewers** under **Group**. The **People and Groups >
Enterprise Events Report Viewers** page displays.
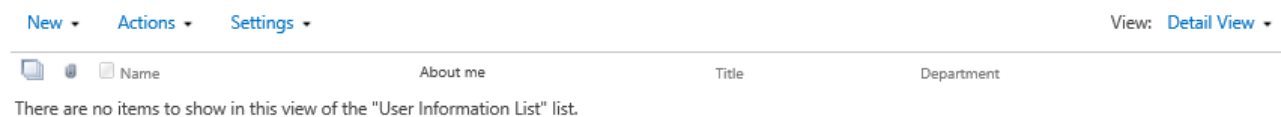
Figure 27 Enterprise Events Report Viewers

5. Click the down arrow next to **New** and select **Add users to this group**. A window to add
users displays.
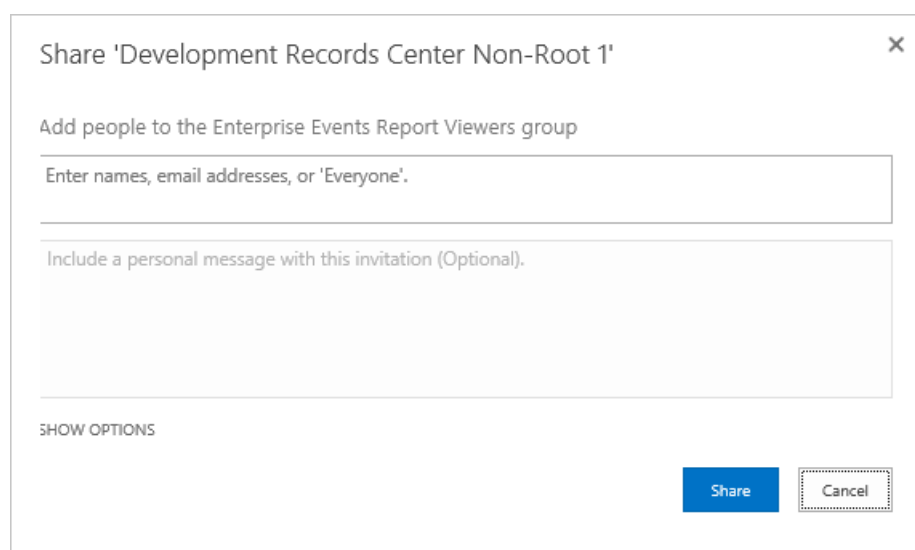
Figure 28 Adding Users to the Enterprise Events Report Viewers Group

6. Type the usernames to enter in the box and click **Share**. The names you enter display in the
Enterprise Events Report Viewers page.

Running the Enterprise Events Report

Follow these steps to run the Enterprise Events Report:

1. From Settings, select **Site Settings**. The **Site Settings** page displays.
2. Under the **Enterprise Events** heading, select **Enterprise Events Report**.

Figure 29 Enterprise Events Report

3. (**Required**) Enter a unique name for the contents of this report in **Enterprise Events Report Title**.

4. (**Required**) Select the **Event Type and/or Event Instances** that apply to this report.

5. Select the **Sites** containing the records to search for this report.

6. (**Required**) Select the **Trigger Dates** to use for the report. You can specify all, not specified (a blank trigger date), or a date range.

7. If desired, enter the **Record Name** if you are looking for a specific record/document.

8. Click **Submit** to schedule the report to be run when the timer job completes.

9. Click **Enterprise Events Search Reports** to view the status of your report.

Note
The Enterprise Events are stored at the root site of the web in a list called Enterprise Events Search Reports. This can be found by displaying all of the site content.
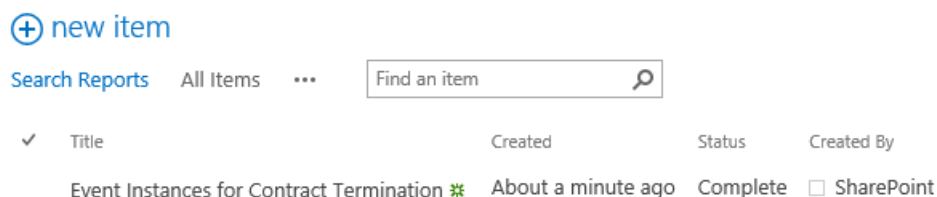
Figure 30 Enterprise Events Search Reports

Audit Logs

Audit Logs let the administrator review items that are added or modified within Enterprise Events. You can generate audit logs for event types, instances, stages, policies, and associations. Simply click ⚒ from the top row of any page to view the audit logs for that item.

Note
You must generate a CSV file to see the ID column for an item.

Figure 31 Audit Logs Example

When you select an item that was Added or Modified, the **Before** and **After Data** display in the bottom panes:

Figure 32 Before and After Modified Data

From the audit logs page, you can select one of the following options:

- 🗑 : Permanently deletes the item(s) you select from the logs
- ⊗ : Purges Audit Logs. When you select this button, the Purge Audit Logs window displays for you enter the timeframe for purging items. If you do not enter any dates and click **Purge**, all audit logs are purged.
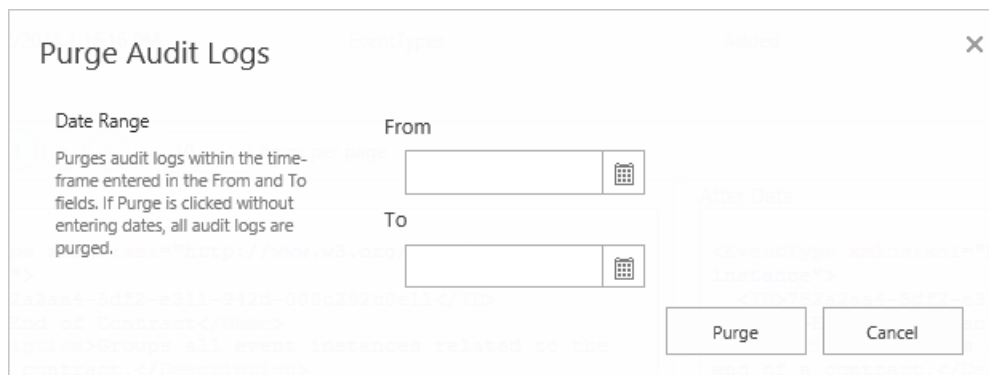
Figure 33 Purge Audit Logs Window

- ➡ : Generates a csv file of the audit logs

Appendix A: Putting it all Together

This appendix provides an example of how an organization could use Enterprise Events. This fictional example by no means represents how an organization would use EE but serves to illustrate the flexibility and the functionality of the feature.

Latham Corporation keeps personnel records for one year from the date of involuntary termination of the employee.

Each employee has a unique employee number and records/documents created in SharePoint record this number.

Employee records are kept in multiple locations in SharePoint; some are kept in a library in a records center while others are kept in various non-record center Team Sites.

This example demonstrates how an Event Type with a single instance can group these records after a specific employee has left and start the expiration process.

1. Create an Event Type: Employee Termination. No instance is created yet.
2. Create a Stage: Employee Records kept for one year after termination. Add the Employee Termination Event Type. Under Stage duration, select 1 year.

Figure 34 Event Type Dialog Box

3. Create a policy: Employee Records – After termination, keep one year then destroy. Select the previous stage and choose the **Permanently delete** option under **Action**.

Figure 35 Enterprise Events Policies Dialog Box

4. Associate the Policy to a records library/folder and to content types in another site. Add one location (HUM07) and one Content Type (Employee Time Card) from the Human Resources site.

Figure 36 Enterprise Events Associations Dialog Box

10. Run the Gimmal timer jobs to create the retention formula and associate it:
    a. Run the Gimmal – Enterprise Events Retention Formula Registration first, then
    b. Run the Gimmal – Enterprise Events Policy Association

The following diagram shows that all stages become custom retention formulas as part of the retention stage. The Enterprise Events Policy equates to a stage and an action.

Figure 37 Policy Becomes Stage and Action

11. From Site Settings where Enterprise Events was activated, run the Enterprise Events Report selecting the Event type, the appropriate sites where the content is present, and the option **All Trigger Dates**. Submit and view the report (it is stored in a list called Enterprise Events Search Reports under Site Contents).

Figure 38 Documents and Records Report

Several employee records are displayed - some from the location that was used in the Enterprise Events association and some stemming from the Content Type used in the association. Each record shows the Event Type/Event instance and Trigger date. All of the items returned in the report do not have a trigger date (as we have not yet created an instance) but are, in fact, retained. These are essentially permanent records (no expiration date) until they are triggered by an event – in this case employee termination.

1. Click Compliance Details from the report next to an item. The scheduled occurrence date is blank, as you would expect, as there is no Enterprise Events instance.
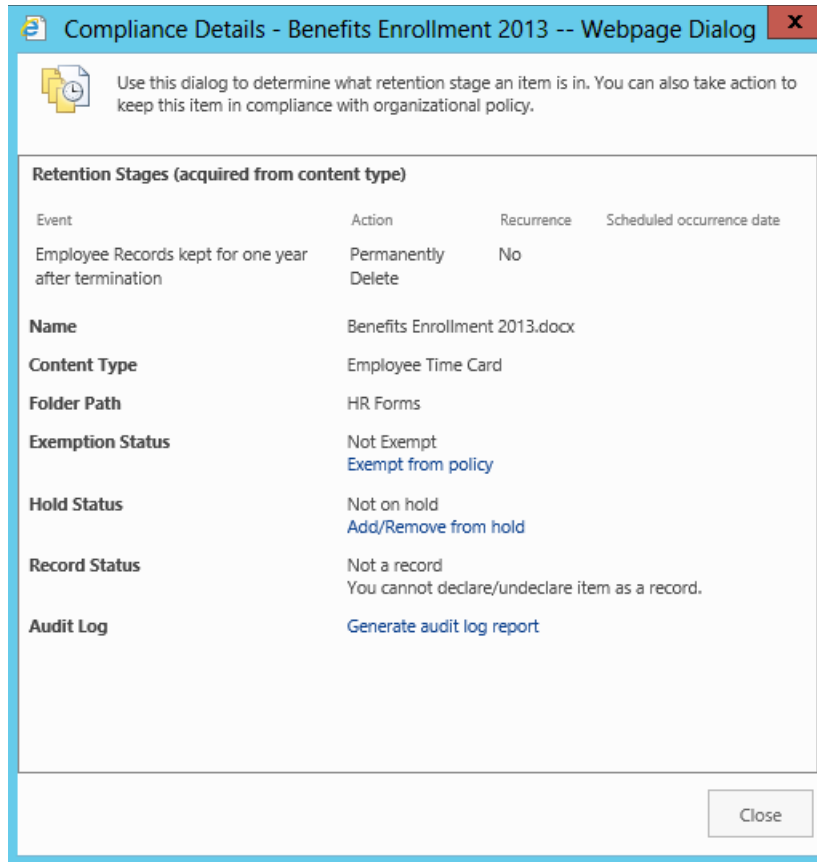
Figure 39 Compliance Details

You can also view the properties of the Record/Document. This one shows that it is an Employee Time Card content type.

Figure 40 View Properties Card

2. Latham Corporation has reorganized and due to downsizing has terminated an employee. Those records need to be triggered so that they are kept following the internal retention policy. In Enterprise Events, create an instance for the Event Type called Employee Termination. This instance groups the appropriate records for the employee affected. Add a title (Jane Olsen Termination), the trigger date – January 31, 2014, in this example, and an attribute that will group all of the Jane Olsen records (in this case, the employee number 1111 – Jane Olsen – this metadata is part of the documents/records).

Figure 41 Example Situation

3. Run the Gimmal – Enterprise Events Expiration Policy timer job.
4. Rerun the report. It shows that all of Jane's records/documents are triggered but others are not (as they were not grouped by the instance). The expiration date is also a year from the trigger date as expected (1/31/2015).

Figure 42 Example Report

Report also shows instance and trigger date used.

Figure 43 Report Showing Instance and Trigger Date

You can run a report that shows all Document/records or one that shows only what the instance affects (as previous). The report below shows all of the records as before with Jane's records triggered and the rest not.

Figure 44 Example Employee's Records Triggered

Viewing the compliance details from this report shows the expiration date of Jan 31, 2015. When the Documents/Records are processed after the stage has expired, all records in the 1111- Jane Olsen Folder are deleted along with every Content type called Employee time card that has Jane Olsen's Employee number for the Human Resources site (the one selected in the association).
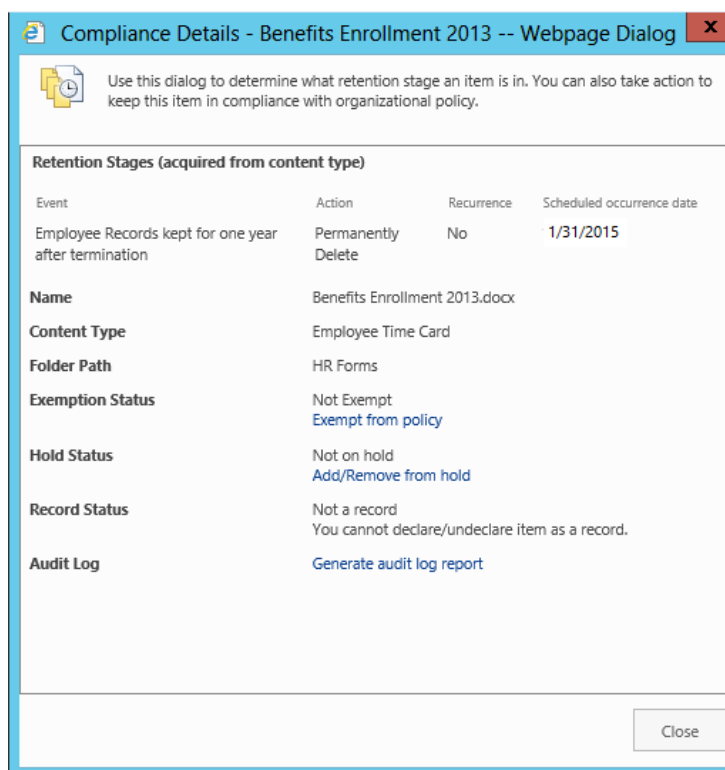

Figure 45 Compliance Details