

# ATIPXpress

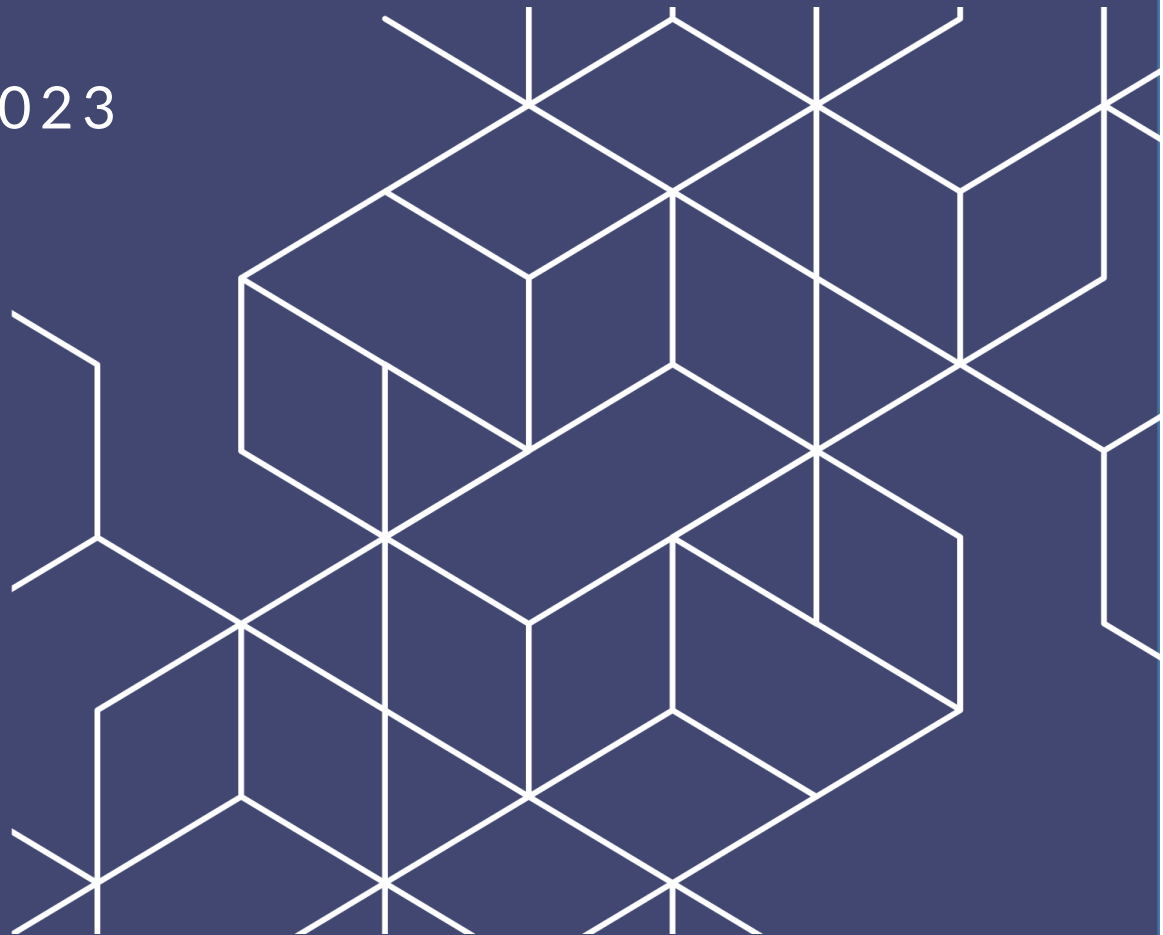


OPEXUS

## Retention Module

v11.3.0

August 2023



# AX 11.3.0 Retention Module

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# 1 Retention Module

The ATIPXpress Retention Module allows Administrators to create policies for retaining system data, with gateways to mark Requests for retention and apply retention action, ensuring Requests are managed according to your unique organizational requirements.

Here we'll provide a quick look at how the retention module works, including:

- The retention process
- Creating Retention Policies
- Marking Requests for action
- Applying retention actions
- The Retention Management Actions Report

## 1.1 How Retention Works

ATIPXpress Administrators manage the retention process. Retention management in FX follows these basic steps:

1. Administrators create a Retention Policy for a specific Request Type, which determines how long Requests of that type should be retained, as well as the disposition to be applied after the retention period.
2. Requests are marked for action, using search and filtering options to locate specific Requests, with the ability to mark for action in batches if needed.
3. Retention Actions are applied to Requests marked for action, with options to Delete, Archive, and Restore Requests.
4. All retention actions are captured and reportable on the Retention Management Actions Report.

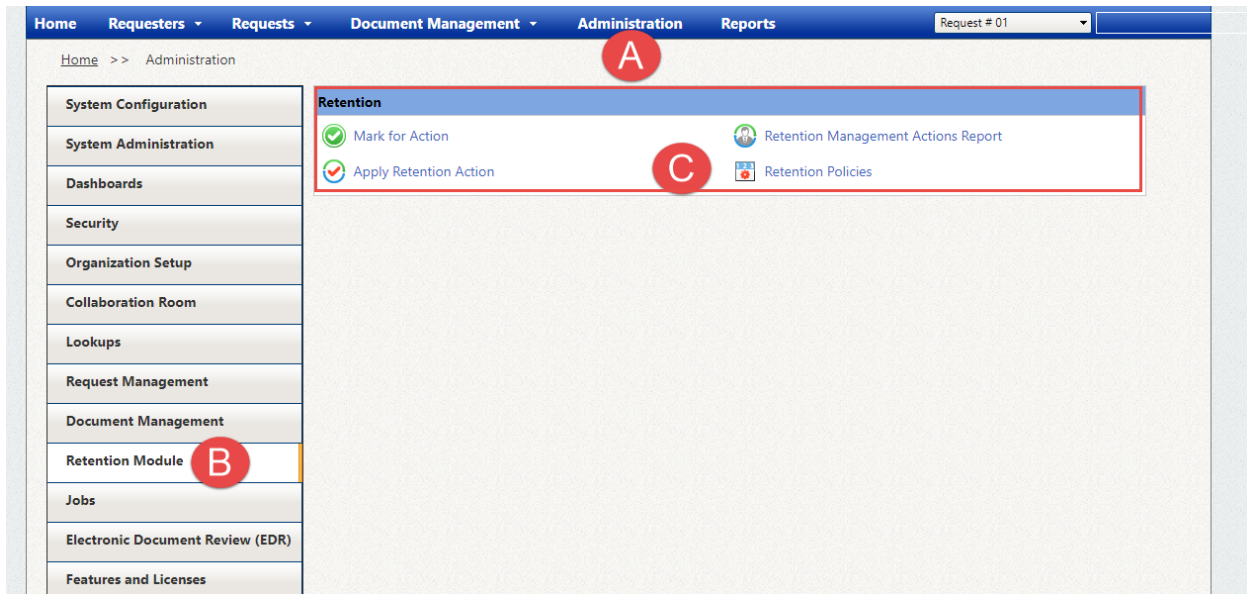
## 1.2 Accessing Retention Management

You can access the Retention management options from the *Administration* section.

Click **(A) Administration**, then from the left navigation select **(B) Retention Module**. The **(C) Retention** options display:



## Retention Module



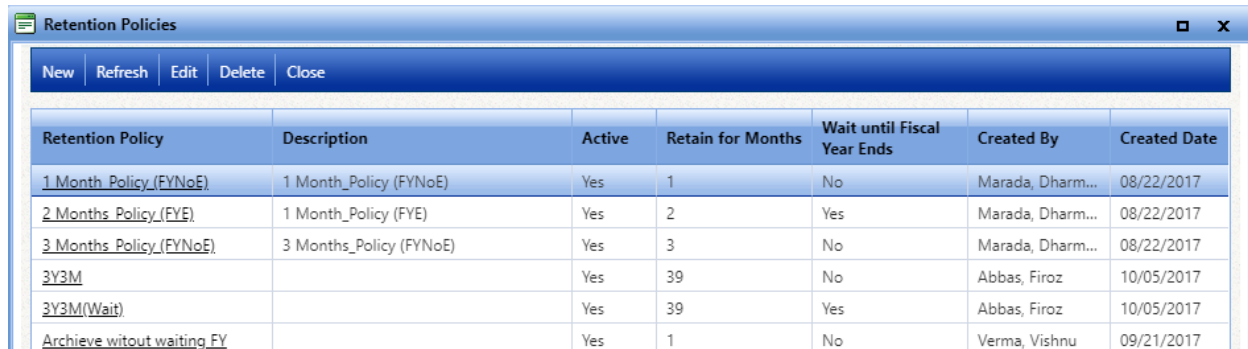
Options are **Mark for Action**, **Apply Retention Action**, **Retention Policies** and **Retention Management Action Report**. See the steps in the following sections for details on each.



## 2 Retention Policies

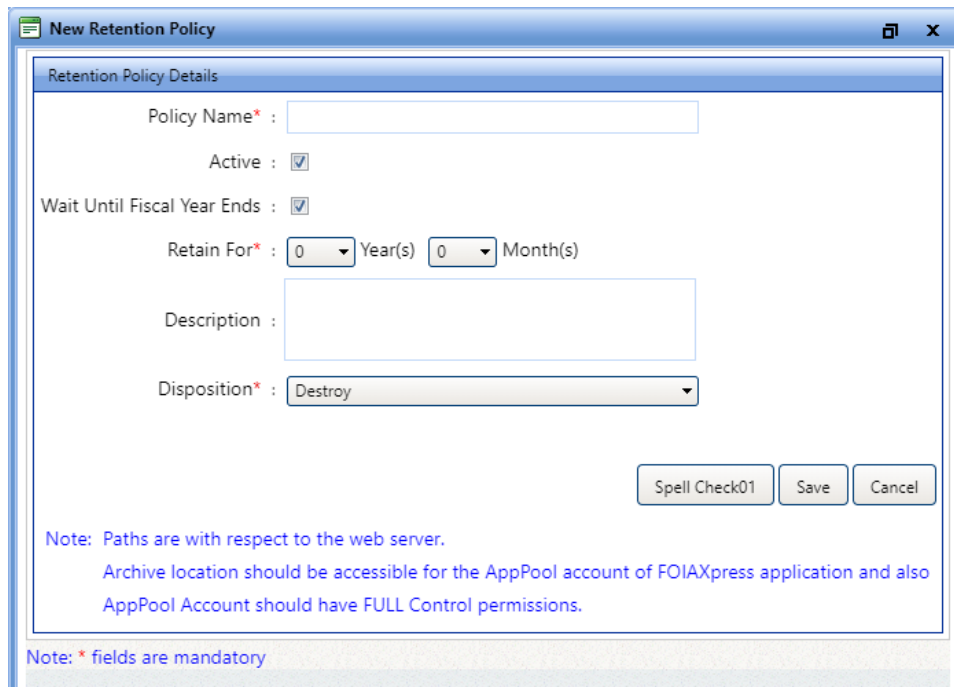
The first step in the Retention process is to establish a Retention Policy. Follow the steps below to create an active Retention Policy.

1. Navigate to **Administration > Retention Module > Retention Policies**. The *Retention Policies* screen appears:



Retention Policy	Description	Active	Retain for Months	Wait until Fiscal Year Ends	Created By	Created Date
1 Month_Policy_(FYNoE)	1 Month_Policy (FYNoE)	Yes	1	No	Marada, Dharm...	08/22/2017
2 Months_Policy_(FYE)	1 Month_Policy (FYE)	Yes	2	Yes	Marada, Dharm...	08/22/2017
3 Months_Policy_(FYNoE)	3 Months_Policy (FYNoE)	Yes	3	No	Marada, Dharm...	08/22/2017
3Y3M		Yes	39	No	Abbas, Firoz	10/05/2017
3Y3M(Wait)		Yes	39	Yes	Abbas, Firoz	10/05/2017
Archive witout waiting_FY		Yes	1	No	Verma, Vishnu	09/21/2017

2. Existing policies are listed on this page. Click **New** to create a new Retention Policy. The *New Retention Policy* screen appears as shown below:



**New Retention Policy**

Retention Policy Details

Policy Name\* :

Active : ☒

Wait Until Fiscal Year Ends : ☒

Retain For\* :  Year(s)  Month(s)

Description :

Disposition\* :

Spell Check01 Save Cancel

Note: Paths are with respect to the web server.  
Archive location should be accessible for the AppPool account of FOIAXpress application and also AppPool Account should have FULL Control permissions.

Note: \* fields are mandatory

3. Add a description *Policy Name*.
4. For this example, ensure the *Active* checkbox is selected.
5. Use the *Retain For* drop downs to select the number of **Years** and **Months** to retain requests under this policy.



6. Use the *Disposition* drop down to select either **Destroy** or **Archive**. *Archiving* requests saves the Request Report, which is archived to the same server where the FX application is maintained.
7. Click **Save** to save the policy.
8. The new policy is now *Active*. It is available in the *Retention Policies* list for editing, and can also be deleted from this list.



### 3 Mark for Action

Retention management allows for multiple layers of review and approval before Requests are destroyed or archived. The first gateway is to mark Requests for action. Requests captured by this policy can be reviewed before the retention action is manually applied.

Only *Closed* requests with an assigned retention policy can be marked for action.

Follow the steps below to review Requests within retention policy and mark these for action.

1. Navigate to **Administration > Retention Module > Retention Policies**. The *Requests View (Mark for Action)* screen appears:

Requests View [Mark For Action]

Requests

Wild card searches (\*) are supported

**Search Criteria**

Request # : \* Action Office : ... X

Request Type : All Request Status : Closed

Requester : ... X Include On Behalf Of Request Owner : ... X

Description : \* ? Search in Sub Requests

**Advanced**

	AND	Field	Operator	Value
X	AND	Retention Date	=	
X	AND	Retention Expiry Days	>=	0
X	AND	RM Disposition Type	=	All
X	AND	RM Status	=	All

[Add new filter](#)

**Custom Fields** Custom Fields that are common across the selected Request Types are displayed

Search Clear Close

2. Use the (A) *Search Criteria* fields to locate specific requests using the request details.
3. Alternatively, use the (B) *Advanced* options to locate Requests using additional details, including using Retention details, such as the retention date, expiration days and more. These can be combined to narrow down to highly specific results.
4. Click **Search** to locate Requests matching your search criteria. All matching Requests are listed in the *Requests View (Search)* list:





## Mark for Action

**\* Custom Fields** Custom Fields that are common across the selected Request Types are displayed

Search Clear Close

Mark for Action View Request Details Amend Expiry Date Export Archive

**Requests View [Search]**

	Request #	Request Type	Requester	Organization	Primary User	Expired Date	Closed Date	Expired Days	Disposition Type	RM Status
<input type="checkbox"/>	2018-FOIA-00017	FOIA/PA	A, QAMA		M, Ambica	07/09/2019	08/27/2018	310	Destroy	Ready for Deleti...
<input type="checkbox"/>	2018-LIT-00037	Litigation	Mekala, Ambica		Admin, Admin	09/30/2019	08/23/2018	227	Archive	Archived
<input type="checkbox"/>	2018-APP-HQ--...	Appeal	Mekala, Ambica		Admin, Admin	07/09/2019	08/23/2018	310	Archive	Ready for Archi...

Page Size 20 3 items in 1 pages

Mark for Action Mark All for Action View Request Details Amend Expiry Date Export Archive Print Print All

- You can select Requests from this list and **View Request Details, Amend Expiry Date, Archive** and more. In this example, we'll opt to **Mark for Action**. The *Mark for Action* screen appears:

**Mark for Action**

Mark for Action Date\*: 5/14/2020

Comments :

Approval Copy :

Attach File

Add from Scan

Spell Check **Mark for Action** Cancel

Note: \* fields are mandatory

- The *Mark for Action Date* defaults to today's date. There are also fields for adding *Comments* and adding an *Approval Copy*. When complete, click **Mark for Action**.
- The Request is now marked for action, with the ability to apply retention actions to the Request. See the next section for steps.



## 4 Apply Retention Action

The third step in the Retention process is to apply the approved retention action. Follow the steps below to apply retention actions to applicable Requests.

1. Navigate to **Administration > Retention Module > Apply Retention Action**. The *Apply Retention Action* screen appears:

Requests View [Apply Retention]

Requests Wild card searches (\*) are supported

**Search Criteria** (A)

Request # : \* Action Office : ... X

Request Type : All Request Status : Closed

Requester : ... X Include On Behalf Of Request Owner : ... X

Description : \* ? Search in Sub Requests

**Advanced** (B)

	AND	Field	Operator	Value
X	AND	Deletion Days	=	
X	AND	Marked Date	=	
X	AND	RM Disposition Type	=	All
X	AND	RM Status	=	All

[Add new filter](#)

**Custom Fields** Custom Fields that are common across the selected Request Types are displayed

Search Clear Close

2. Use the (A) *Search Criteria* fields to locate specific requests using the request details.
3. Alternatively, use the (B) *Advanced* options to locate Requests using additional details, including using Retention details, such as the deletion date, marked date, disposition type, and more. These can be combined to narrow down to highly specific results.
4. Click **Search** to locate Requests matching your search criteria. All matching Requests are listed in the *Requests View (Search)* list:

Requests View [Search]

	Request #	Request Type	Requester	Organization	Primary User	Expired Date	Marked Date	Deletion Days	Disposition Type	RM Status
(A)	FOIA-00017	FOIA/PA	A, QAMA		M, Ambica	07/09/2019	05/14/2020	6	Destroy	Ready for Deleti...
	2018-FOI-HQ-0...	FOIA	Request, New		Milbourne, Mar...	11/29/2018	01/07/2019	499	Destroy	Ready for Deleti...
	2018-LIT-00036	Litigation	Mekala, Ambica		Admin, Admin	09/24/2018	01/07/2019	499	Destroy	Ready for Deleti...
	2018-FOI-HQ Te...	FOIA	Edward, Mark	AIS LLC	M, Ambica	10/22/2018	01/07/2019	499	Destroy	Ready for Deleti...
	2017-CON-00042	Consultation	Mills, Kyle		Indraganti, Sree...	09/30/2016	01/07/2019	499	Archive	Ready for Archi...
	2017-CON-00041	Consultation	Mills, Kyle		Indraganti, Sree...	11/30/2017	12/18/2017	884	Destroy	Ready for Deleti...
	2017-RT-00001/...	RA Request	Watson, Sophie		Admin, Admin	09/25/2017	01/07/2019	499	Destroy	Ready for Deleti...
	2017-FOI-00038...	FOIA	Krusinger, Rebe...	AINS	Krusinger, Becca	10/02/2017	01/07/2019	499	Destroy	Ready for Deleti...

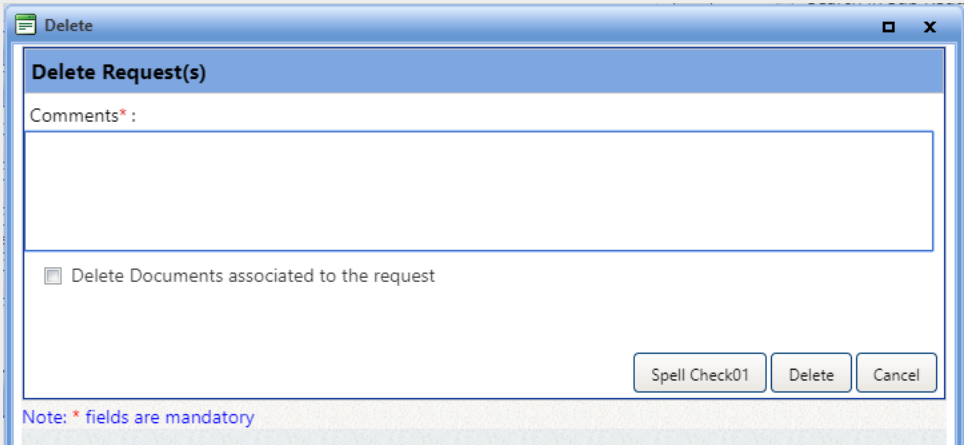
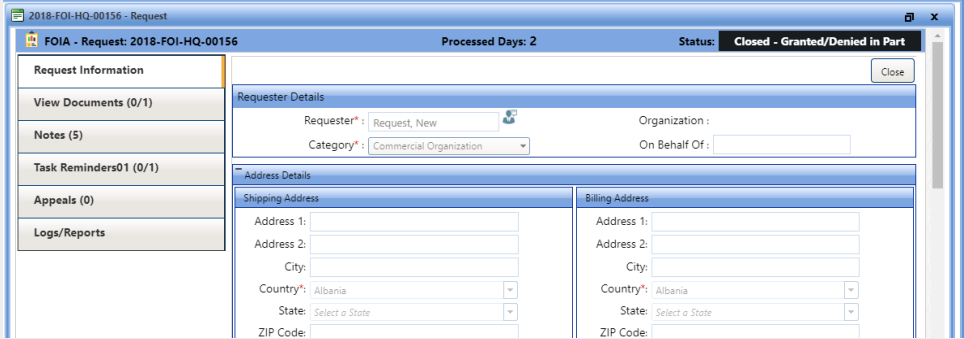
Page Size 20 22 items in 2 pages

(B) Delete Delete All View Request Details Restore Archive Details Print Print All

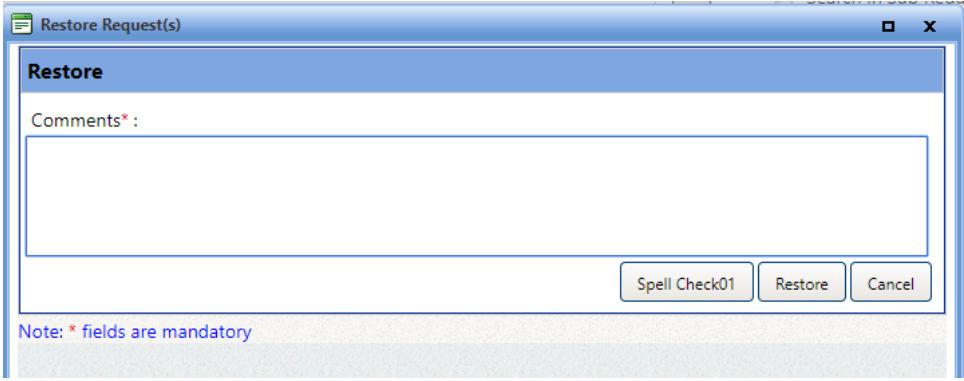
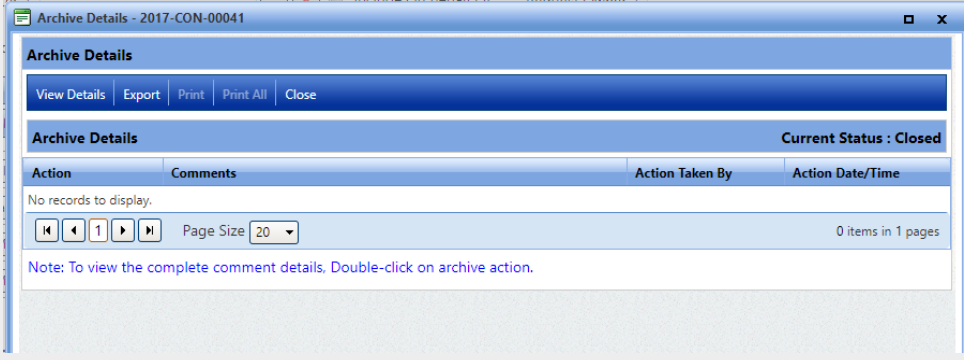


## Apply Retention Action

5. Use the **(A) Checkbox** to select Request(s) to apply Retention Actions. The **(B) Retention Actions** are described below:

Retention Action	Description
<b>Delete</b>	<p>Delete the selected Request. After clicking <b>Delete</b>, the <i>Delete</i> screen appears as shown below. Provide <i>Comments</i> (these are required). Optionally, click the checkbox to delete all documents associated with the request. Click <b>Delete</b> to commit the delete action.</p> 
<b>Delete All</b>	<p>Delete ALL requests matching the search results (even if the request is not checked). The same <i>Delete</i> screen appears for adding comments, which are required.</p>
<b>View Request Details</b>	<p>View a limited version of the Request Details, as shown below:</p> 



Retention Action	Description
<b>Restore</b>	<p>Restore the Request to the previous status. The following screen appears for providing <i>Comments</i> (these are required). Click <b>Restore</b> to commit the restore action.</p> 
<b>Archive Details</b>	<p>View archive details for the selected Request. The <i>Archive Details</i> screen appears with all archive records listed. Select an archive detail item and click <b>View Details</b> to view the item details:</p> 

### Apply Retention Action

Retention Action

Description

Print/Print All

Click **Print** to output the search results in a table format, as shown below. Use **Print All** to print results from all pages.

PrintClose

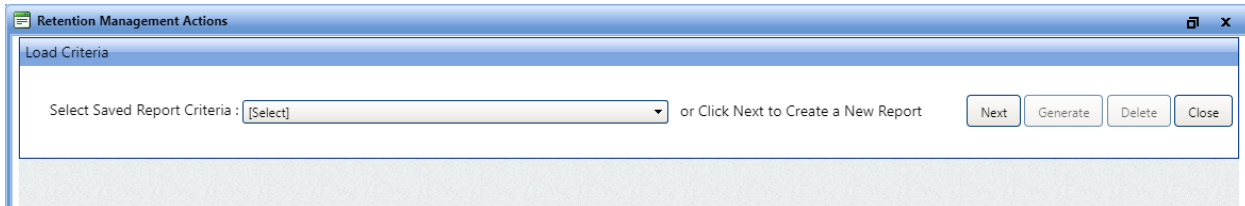
Request #	Request Type	Requester	Organization	Primary User	Expired Date	Marked Date	Deletion Days	Disposition Type	RIM Status
2018-F001-0001	FOIA/PA	A. Amode	A. Amode	A. Amode	17/09/2018	18/14/2018	459	Destroy	Ready for Deletion
2018-F01-WB-20136	FOIA	Alfonso, Marco	A. Amode	Alfonso, Marco	11/28/2018	11/27/2018	459	Destroy	Ready for Deletion
2018-1T-00026	Disposition	Manuela Amode	Admion Admin	Admion Admin	20/24/2018	10/27/2018	459	Destroy	Ready for Deletion
2018-F01-WB-Tuning-20130	FOIA	Edwanda, David	ASB LLC	Edwanda, David	03/28/2018	10/27/2018	459	Destroy	Ready for Deletion
2018-RT05-00007	Reu: RT05	galeon galeon	A. Amode	A. Amode	12/12/2017	10/27/2018	459	Archive	Archived
2018-RT05-00004	Reu: RT05	Pedro, G	A. Amode	A. Amode	05/26/2018	10/27/2018	459	Archive	Ready for Archiving
2018-F01-Quab-AC-201817	FOIA	Jacques, Tony	Agencia, Rick	Agencia, Rick	24/17/2018	10/27/2018	459	Destroy	Ready for Deletion
2018-APP-Quab-AC-20-20015	Agencia	Mark, yagel	A. Amode	A. Amode	11/11/2018	10/27/2018	459	Destroy	Ready for Deletion
2018-VA-AC-AC00001	Agencia RA	Martha, Rickhail	CA	A. Amode	12/18/2017	10/27/2018	459	Destroy	Ready for Deletion
2018-F01-WB-Tuning-201274	FOIA/PA	Mark, yagel	A. Amode	A. Amode	10/30/2018	10/27/2018	459	Archive	Ready for Archiving
2018-1T-00021	Disposition	In response to this request, in response to this request	A. Amode	A. Amode	10/21/2018	10/27/2018	459	Archive	Ready for Archiving
2018-APP-MAAD-0000-20-00005	Agencia	Juan, Mills	Admion Admin	Admion Admin	11/28/2017	10/27/2018	459	Destroy	Ready for Deletion
2018-APP-MAAD-0000-20-00003	Agencia	Juan, Mills	Admion Admin	Admion Admin	11/28/2017	10/27/2018	459	Destroy	Ready for Deletion
2018-F01-WB-35 Code-20097	FOIA	Mark, Jonathan	Adm	A. Amode	09/20/2018	10/27/2018	459	Destroy	Ready for Deletion
2017-F01-00003	Request	Edwanda, David	ASB LLC	Edwanda, David	03/28/2018	10/27/2018	459	Destroy	Ready for Deletion
2017-F01-MAAD-0000-20103	Disposition	Juan, Mills	Edgarcath, Edgarcath	Edgarcath, Edgarcath	10/21/2018	10/27/2018	459	Destroy	Ready for Deletion
2017-F01-20043	Disposition	Juan, Mills	Edgarcath, Edgarcath	Edgarcath, Edgarcath	05/26/2018	10/27/2018	459	Archive	Ready for Archiving
2017-C001-20044	Disposition	Jose, Kule	Edgarcath, Edgarcath	Edgarcath, Edgarcath	11/20/2017	10/18/2017	384	Destroy	Ready for Deletion
2017-F01-00010-BA	BA Request	Wendy, Eugene	Admion Admin	Admion Admin	09/28/2017	10/27/2018	459	Destroy	Ready for Deletion
2017-F01-20038-BK	FOIA	Kounges, Rebecca	ADN	Kounges, Becca	10/02/2017	10/27/2018	459	Destroy	Ready for Deletion



## 5 Retention Management Actions Report

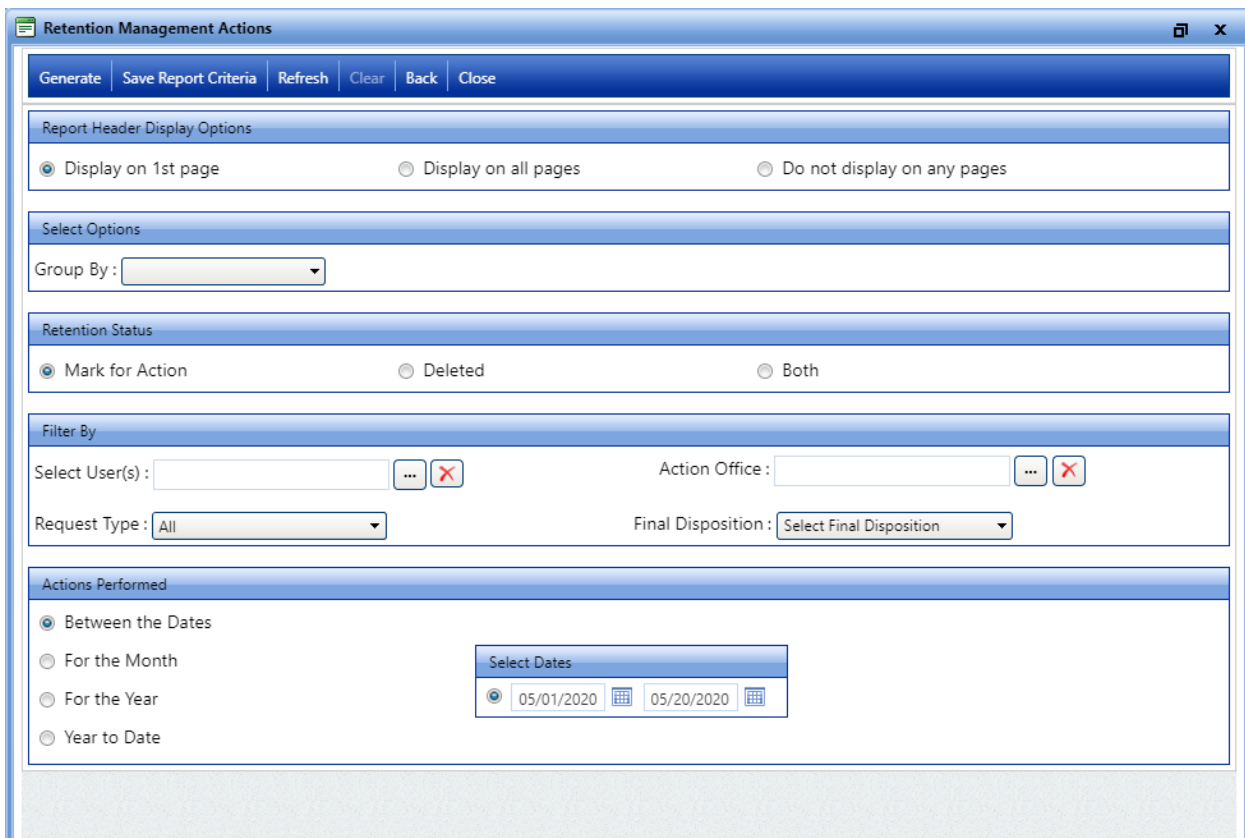
All Retention Actions are logged in the system. These actions can be reported quickly and easily using the *Retention Management Actions Report*. To view a Retention Management Actions Report,

1. Navigate to **Administration > Retention Module > Retention Management Actions Report**. The *Retention Management Actions* screen appears:



The screenshot shows the 'Retention Management Actions' window. The 'Load Criteria' section has a dropdown menu labeled 'Select Saved Report Criteria : [Select]' and a text link 'or Click Next to Create a New Report'. There are four buttons: 'Next', 'Generate', 'Delete', and 'Close'.

2. You have the option to select a saved report under the *Select Saved Report Criteria* drop-down. Otherwise, click **Next** to create a new report.
3. After clicking **Next**, the *Retention Management Actions* report appears as shown below:



The screenshot shows the 'Retention Management Actions' window with various configuration options. The top bar contains buttons: 'Generate', 'Save Report Criteria', 'Refresh', 'Clear', 'Back', and 'Close'. The 'Report Header Display Options' section has three radio buttons: 'Display on 1st page' (selected), 'Display on all pages', and 'Do not display on any pages'. The 'Select Options' section has a 'Group By :' dropdown. The 'Retention Status' section has three radio buttons: 'Mark for Action' (selected), 'Deleted', and 'Both'. The 'Filter By' section has two rows of filters. The first row has 'Select User(s) : [ ]' and 'Action Office : [ ]'. The second row has 'Request Type : All' and 'Final Disposition : Select Final Disposition'. The 'Actions Performed' section has four radio buttons: 'Between the Dates' (selected), 'For the Month', 'For the Year', and 'Year to Date'. A 'Select Dates' dialog box is open, showing '05/01/2020' and '05/20/2020'.

4. Use the options on this screen to configure the report output. There are Report Header Display Options, Group By, Filter By, Retention Status and Select Dates for the Actions Performed.



## Retention Management Actions Report

- Click **Generate** to generate the report output. You can also click **Save Report Criteria** to save this report for later use (selected in Step 2 above). A sample report output is shown below:

The screenshot shows a web application window titled "Retention Management Actions". At the top, there is a toolbar with buttons for "Print", "Print All", "Export", "Back", and "Close". Below the toolbar, on the right side, is the address information: "AINS Inc", "Street # 4", "Maximus tower Level 4 Suite 200", "Gaithersburg, MD 57683". Below this, the report date and time are displayed: "Report Date: 05/20/2020" and "Time: 11:59 PM". In the center, there is a heading "Mark for Action" followed by the date range "between 05/01/2020 and 05/20/2020". Below this heading is a table with 12 columns: "Request #", "Action Office", "Marked Date and Time", "Marked By", "Comments", "Closed Date", "Retention Expiry Date", "Reference #", "Request Disposition", "# of Days Expired", and "Request Type". The table contains one row of data. Below the table, it says "Total No of Requests : 1". At the bottom, there is a pagination bar showing "Page 1 of 1".

Request #	Action Office	Marked Date and Time	Marked By	Comments	Closed Date	Retention Expiry Date	Reference #	Request Disposition	# of Days Expired	Request Type
2018-FOIA-00017	HQ Testing	05/14/2020	Admin, Admin		8/27/2018	7/9/2019		Denied in part	316	FOIA/PA

- There are options to **Print** and **Export** the report. Click **Close** to close the report output.

