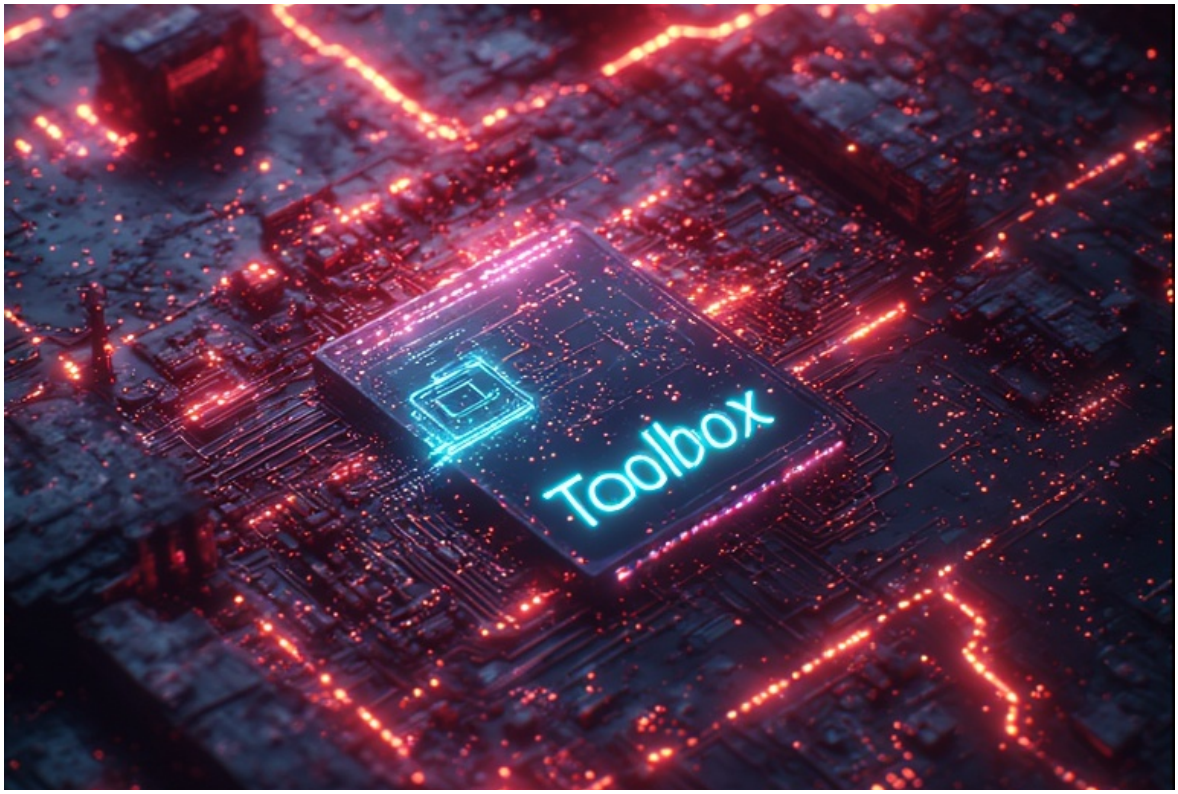
Toolbox EDRMS Guide

Document and Record Management



Toolbox Apps

Foundation Edition v1.19

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1. Overview

Our “Toolbox EDRMS” is a 100% Salesforce native “Document and Record Management” application that can be installed into your Salesforce Org.
The term “EDRMS” stands for Electronic Document and Record Management System which has been around for many years albeit the term is less often used now.
The need for this kind of system remains constant, so long as we are creating documents and storing records of our business transactions, then we need a means to manage them effectively and securely.

1.1 What is Document & Record Management

- A business makes many decisions and transactions on a day-to-day basis and these need to be managed in a compliant manner
- A business decision or transaction is considered a "Document" whilst it is being created and updated throughout the life of one or more processes (e.g. a new contract with a supplier will remain a "Document" whilst you negotiate the terms of the contract)
- A business decision or transaction is considered a "Record" when it is complete, having reached the end of a process and will not subsequently be updated (e.g. a new contract with a supplier has been finalised and signed by all parties. The contract is now binding and any updates would be by means of a separate contract or addendum and not directly to this actual contract)
- In order to make the management of these documents and records easier, a place to store this information is defined - this is called a "File Plan" (aka "Corporate File Plan" or "Business Schema"). A "File Plan" may look like a folder structure you may see in "Windows File Explorer" or "Mac Finder" however the structure is based on "Functions" – the high-level administrative or mission based undertakings of the organisation
- These records may need to be retained for a minimum period of time to conform with Regulatory or Legal obligations and can have serious financial and/or legal implications for the business if these are not adhered to

1.2 Why do I need an EDRMS

- To provide evidence of an activity or transaction, and demonstrates accountabilty
- Supports "Archival Obligations", i.e. retain only for allowed time and no longer
- Enforces integrity and security of records and explicit disposal schedules
- Retains authenticity and accessibility throughout it's lifecycle
- Trusted record keeping
- Ensures Regulatory and Legal compliance
- Aid to compliance with GDPR and similar regulations
- Comply with IRS and State regulations (USA)

1.3 Example Use Cases

Here are a few examples where management may be needed

- Legal documents like business formation records, deeds, patents and trademark registrations and other ownership records may need to be kept indefinitely
- In the US, according to the IRS, filed tax returns should be kept for 3 to 7 years
- Most personnel records need to be retained for at least 3 or 4 years
- Payroll records generally need to be retained for 3 to 6 years
- Documents relating to exposure to harmful agents might need to be kept for 30 years after employment ends
- Documents relating to an accident in the work place may need to be kept for 5 years after the incident

1.4 Main Application Features

- Definition of File Plan with Functions and Activities
- Define the Content Types that you want to be held in the File Plan
- Define Retention Policies appropriate for your needs
- Add Salesforce records into File Plan
- Add non-Salesforce records into File Plan (i.e. those outside of Salesforce org)
- Audit "Document" updates and deletions
- Mark a "Document" as a "Record" such that it falls under Retention Policy
- Options to automatically mark a "Document" as a "Record"
- Audit "Record" updates and deletions
- Prevent "Record" updates and deletions
- Notification when "Record" retention period ends
- Option to auto-dispose of "Record" when retention period ends

2. Installation

Install this application from the Salesforce AppExchange or from an app install link directly from us. Install for Admin only, additional access for other users can be given via permission sets included.

This application is a managed package which means it has passed the Salesforce security review and can therefore be listed on the Salesforce AppExchange and provides an additional assurance of quality. In addition, security approved managed packages do not count towards some of your org limits (i.e. number of custom objects in the org) and so can often be installed to extend functionality where your own implementations have exhausted those limits.

This application includes a core app, custom objects, permissions, code and visual components that allow you to be up and running as easily as possible. Once installed and configured, standard EDRMS users only need 2-clicks to add content into the system.

This application includes “hooks” into your Salesforce records/files in order to provide a trusted audit of changes and allow/disallow changes, all according to your own configuration. These “hooks” have been implemented as Apex Triggers (for Account, Contact, Case and Salesforce File) and as deployable Apex Triggers for any other object in your org.

3. Setup

3.1 Page Layouts

Included in the package are two page layouts for the two record types of the “File Plan Activity” object.
These page layouts cannot be automatically assigned due to limitations in packaging this information. Therefore you need to assign the page layouts as follows in your Salesforce Org :-

In Setup / Object Manager
- Select “File Plan Activity” object on left hand side objects list
- Select Page Layouts under left hand side “Details”
- Click “Page Layout Assignment” button on top right of this page
- Click “Edit Assignment” button
- Select all the profiles in the right hand column named “Activity With Content” (the number selected should show near the “Page Layout To Use” dropdown field).
- In the “Page Layout To Use” dropdown field select “File Plan Activity Layout”
- Press “Save” button

A valid assignment should look like the following :

	Record Types		(1-3 of 3)
Profiles	Master	Activity Only	Activity With Content
Analytics Cloud Integration User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Analytics Cloud Security User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Chatter External User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Chatter Free User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Chatter Moderator User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Company Communities User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Contract Manager	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
CPQ Integration User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Cross Org Data Proxy User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Force.com - App Subscription User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Force.com - Free User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Gold Partner User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Identity User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Marketing User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Minimum Access - API Only Integrations	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Minimum Access - Salesforce	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Partner App Subscription User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Partner Community Login User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Partner Community User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Silver Partner User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Solution Manager	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Standard Platform User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Standard User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
System Administrator	Activity Only Layout	Activity Only Layout	File Plan Activity Layout
Work.com Only User	Activity Only Layout	Activity Only Layout	File Plan Activity Layout

This ensures the correct page layout is shown for“File Plan Activity” records.

3.2 Apex Triggers

This application makes use of Apex Triggers as a means to “hook” into the processing of your Salesforce records when these records are updated or deleted.
For example, an Apex Trigger on a Case record would allow us to check whether any changes are allowed to be made to the record or to audit the changes that have been made. This is a powerful feature of this application.

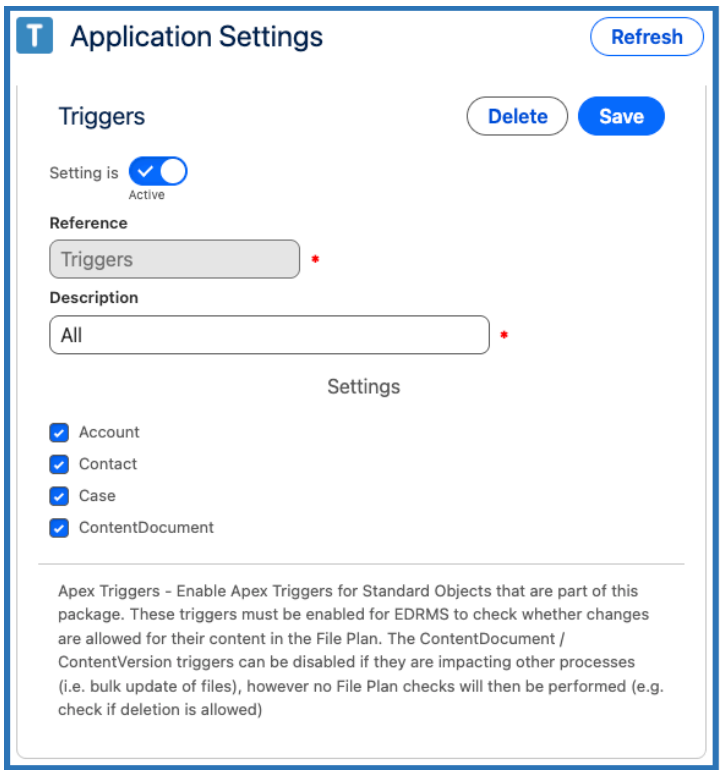
The application comes with four Apex Triggers as part of the package, these triggers act upon the following Salesforce objects

- Account
- Contact
- Case
- ContentDocument (Salesforce File)

The included triggers for Account, Contact and Case are NOT enabled on install and can only be enabled by a user with sufficient access (EDRMS Administrator permission set). The application home page includes “Application Settings” component that allows an administrator (via “Triggers” tab with access) to enable these triggers. The trigger for Salesforce File is enabled as this is required for Trusted Audit processing.

IMPORTANT: If these triggers are not enabled then these Salesforce objects will not be checked for allowed changes; auditing; nor will the auto-dispose feature remove Content Definition records automatically; nor will Content Definition record be removed if Salesforce record deleted manually.

Below image shows the Triggers tab when the four triggers have been enabled, setting is active and saved.



3.3 Additional Apex Triggers

Although we have provided four triggers for main standard objects in Salesforce there are lots more standard and possibly custom objects in your org.
If you require the change checking and auditing functionality for any other Salesforce object then there are two choices available.

3.3.1 Manually Create

You can create an Apex Trigger via Setup (usually this would be a System Administrator of the org to perform) in your org (non-production), via change sets from a sandbox into production org or via deployment using a tool like the Salesforce CLI etc…
The “Deploy Trigger” tab in the EDRMS component (EDRMS Administrator permission set for access) on the application home page has an option to “Generate” the trigger code and test code and display this on the UI. You could then copy/paste that code into an Apex Trigger / Test class in a sandbox and use change sets to move that to production org.

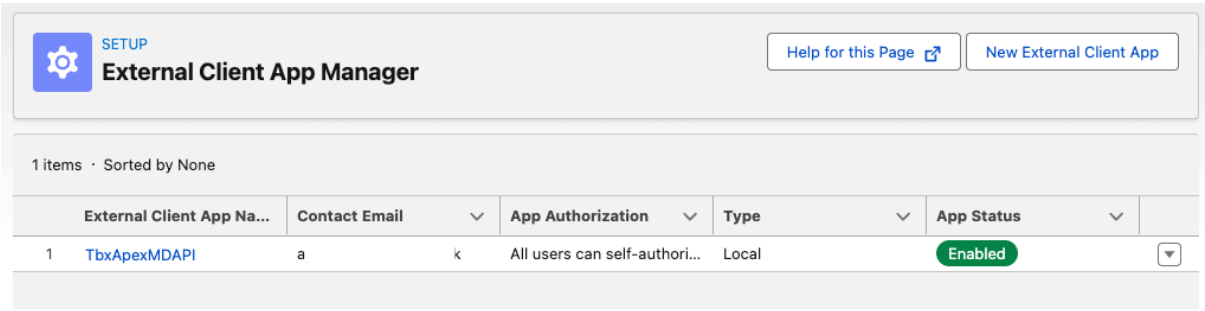
3.3.2 Automated (optional)

The “Deploy Trigger” tab in the EDRMS component (EDRMS Administrator permission set for access) on the application home page has an option to “Create” the trigger for you. This effectively uses the output of the “Generate” option and makes a call to the Salesforce Metadata API to deploy the Apex Trigger / Test class into the org.
This automation is only possible when an External Client App has been created in the org which provides the authentication to make the Metadata API call by our application.
You do not have to create the External Client App if you are going to create the trigger manually or you do not want to use the functionality it helps provide.
The following sub-sections are only required if you wish to use this automated process - the creation of the External Client App will require setup access and would normally be a System Administrator task.

3.3.2.1 External Client Apps

In your Salesforce org you can define “External Client Apps” via setup that can be used for integration with external systems or to allow secure access to the Salesforce org metadata API.

Below image shows an external app in setup.



Setup / External Client App Settings

Allow creation of connected apps.
New connected app (opens page to add new app)

Enter details as follows :

Name	Value
Connected App Name	TbxApexMDAPI
API Name	TbxApexMDAPI
Contact Email	<your own email>
Enable OAuth Settings	checked
Callback URL	https://localhost/dummy
Selected OAuth Scopes	Full access Perform requests at any time

Press “Save” button
Press continue to view connected app
Press Manage Consumer Details button and go to step 2 below

Note.
Salesforce process may have changed (Salesforce Winter 26 release) at 'Save' step above to below:

Create (instead of save)
Settings tab in external connected app
Expand OAuth settings and click 'Consumer key and secret', authenticate then secrets shown

Consumer key and secret

Take a copy of key and secret for later step e.g.

Key	3MVG9SbEb96x…
Secret	4E5EF99CAEF5…

Press link to go back to managed app

Setup / Auth Providers

Open in new window so easier to go back to managed app later.

Press New button and enter details as follows :

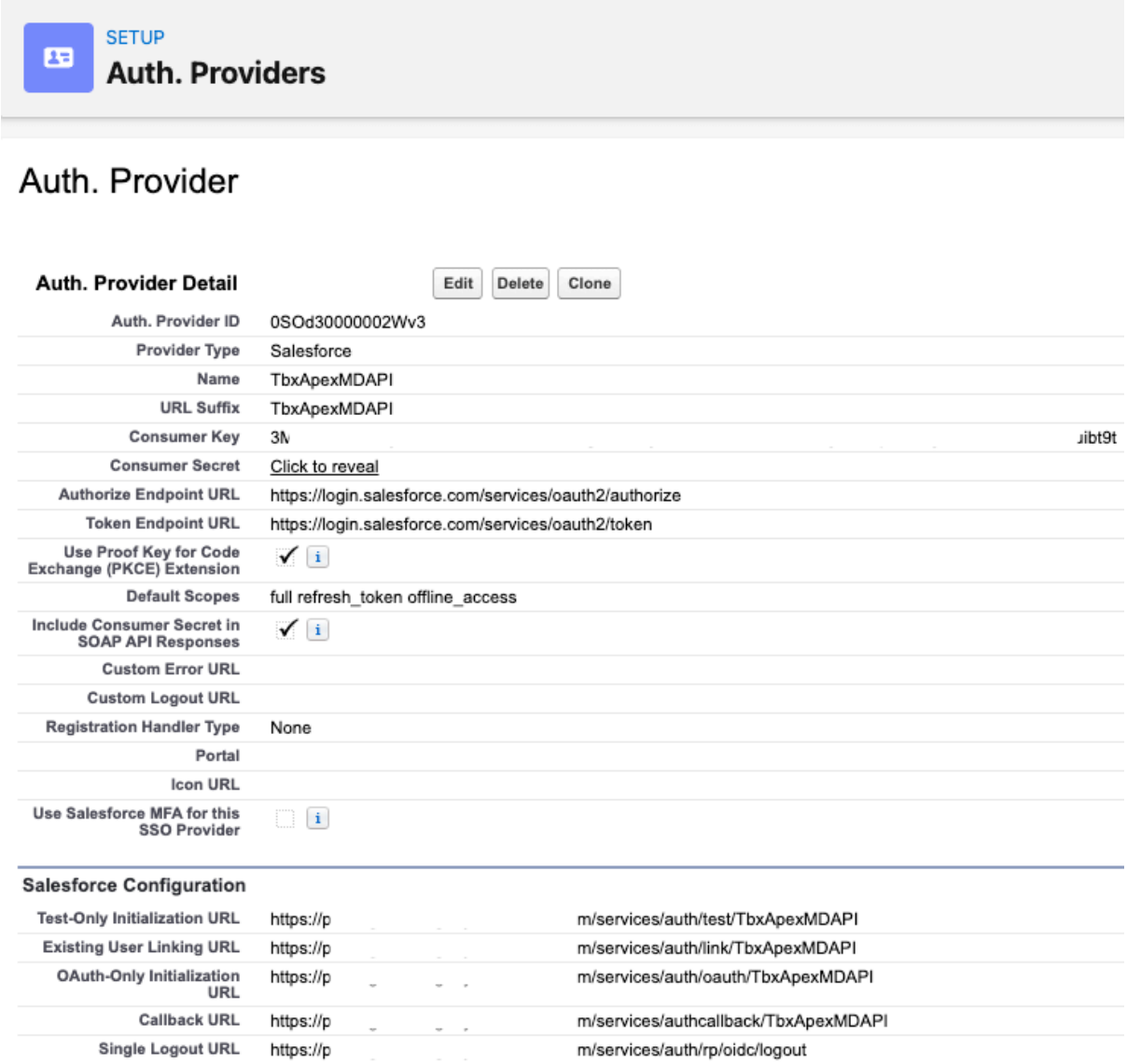
Name	Value
Provider Type	Salesforce
Name	TbxApexMDAPI
URL Suffix	TbxApexMDAPI
Key and Secret	Paste key / secret previously copied
Default Scopes	full refresh_token offline_access

Press “Save” button
Copy the callback URL shown at bottom of page for later.

Go back to managed app window/tab or Setup / Apps / App Manager.
Select 'Edit' for your connected app.

Replace dummy callback URL with the new callback URL copied from above step
e.g. instance URL for org https://efficiency-nosoftware-1234-dev-ed.scratch.my.salesforce.com/services/authcallback/ApexMDAPI
Press “Save” then “Continue”

Below is an example of an Auth Provider



Setup / Named Credential (new legacy)

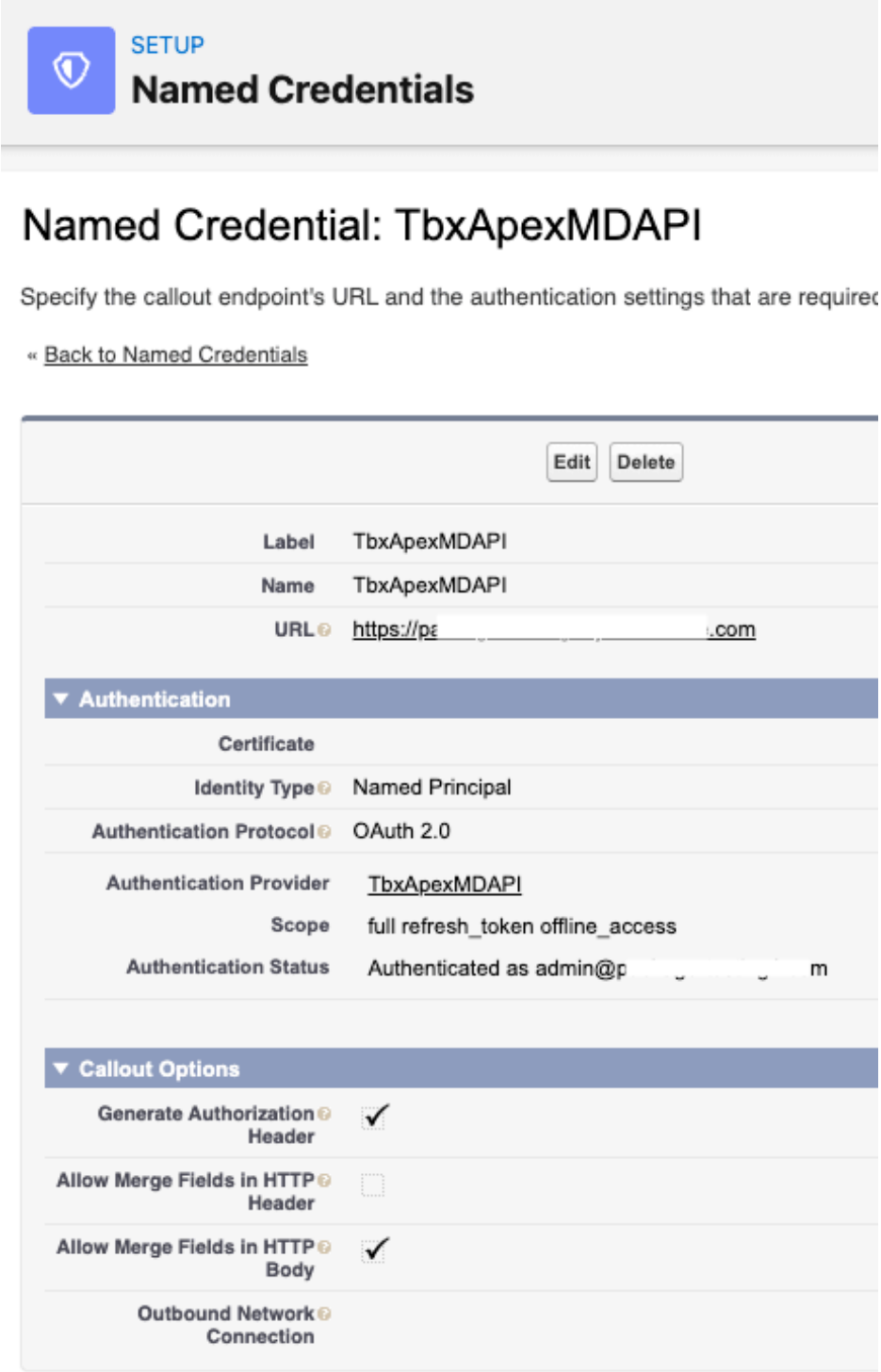
Open in new window so easier to go back to managed app later.
Note. make sure current URL is same as instance URL not one with '-setup' on it as this stops authentication flow on save with mismatch url error.
Add Named Credential with following values :-

Name	Value
Label	TbxApexMDAPI
Name	TbxApexMDAPI
URL	Use instance URL for org e.g. https://efficiency-nosoftware-1234-dev-ed.scratch.my.salesforce.com

Name	Value
Identity Type	Named Principal
Authentication Protocol	OAuth 2.0
Authentication Provider	TbxApexMDAPI
Scope	full refresh_token offline_access
Allow Merge Fields in HTTP Body	checked

Press “Save” button

On save, the OAuth flow will try to start - if successfully started, you will be asked to login to your org. Below is an example of a Named Credential



OAuth flow to login to org and allow access

If mismatch url error shows but url is correct - wait a couple of minutes and try again as some of the configuration may not yet have taken effect
Various Salesforce help pages say it can take 10 mins for changes to take affect.
If error above occurs, you can go back to the Named Credential, press Edit button and as long as the “Start Authentication Flow on Save” is checked, pressing Save button will attempt the authorisation process again.

3.3.2.2 Deploy Triggers

Once the External Client App has been created, the triggers you require can be deployed.
On application home page (with EDRMS Administrator permission set), select the “Deploy Triggers” tab on EDRMS component.

You need to select the Salesforce object to create a trigger for, see “SObject Type” picklist options. If your org has more than 1000 objects available, you may need to filter those down such that the picklist shows the object you require. Enter part of the object name in the search box above “SObject Type” and press the search icon button, this will find all objects with this text in their label and populate the picklist with them for selection.

Once the “SObject Type” has been selected, press the “Create” button. A deployment job will be initiated and the job id displayed. This job runs in the background and you would need access to org setup / Deployment Status to see how this deployment is progressing.
On successful deployment, the trigger will be ready, nothing more is needed.
Each trigger you require is created in the same way.

Note. In order to create a trigger in this way, at least one record of this SObject Type must exist in the org. This is because the test class for the trigger uses an existing record for a test update (not an actual update) which tests the trigger itself and allows deployment.

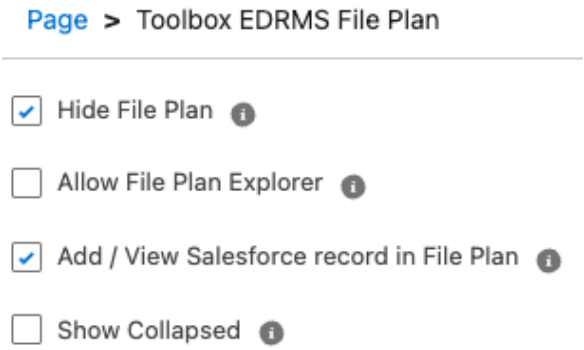
3.4 Record Detail Pages

A component has been provided that should be added to the Record Detail page of the Salesforce objects you wish to use within the EDRMS. Access to the component requires “EDRMS Standard User” permission set.

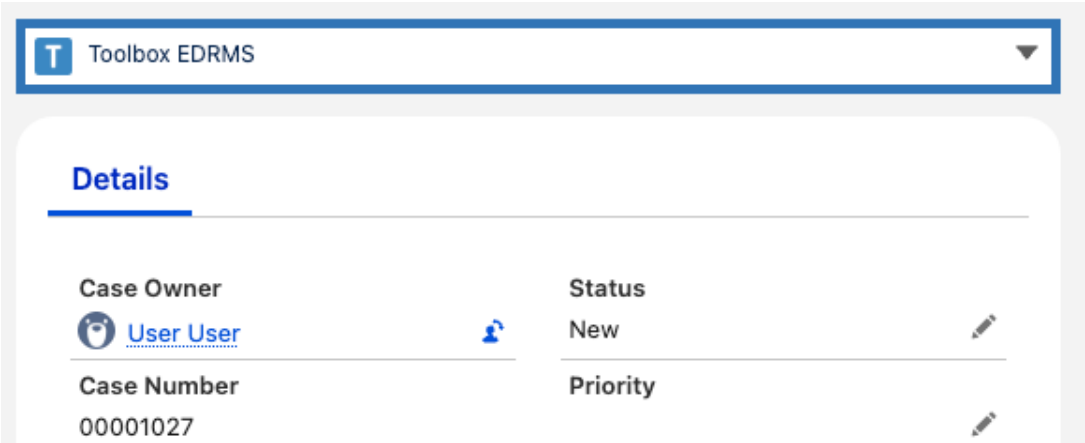
Simply view a record (e.g. Case), at the top right of the page is the cog icon button (alongside the notifications / profile icon buttons), press the cog button and choose “Edit Page”. If these options are not visible to you then you may not have sufficient access, in which case ask your System Administrator to do this for you.

In the “Edit Page”, select the “**Toolbox EDRMS File Plan**” component from the left hand side component menu under “Custom - Managed” and drag the component to a location on the page. The component has an option to be collapsed on load and so takes up less space on the page. If you are choosing to add the component into the page, then choose a location where the width of the container is as wide as possible.

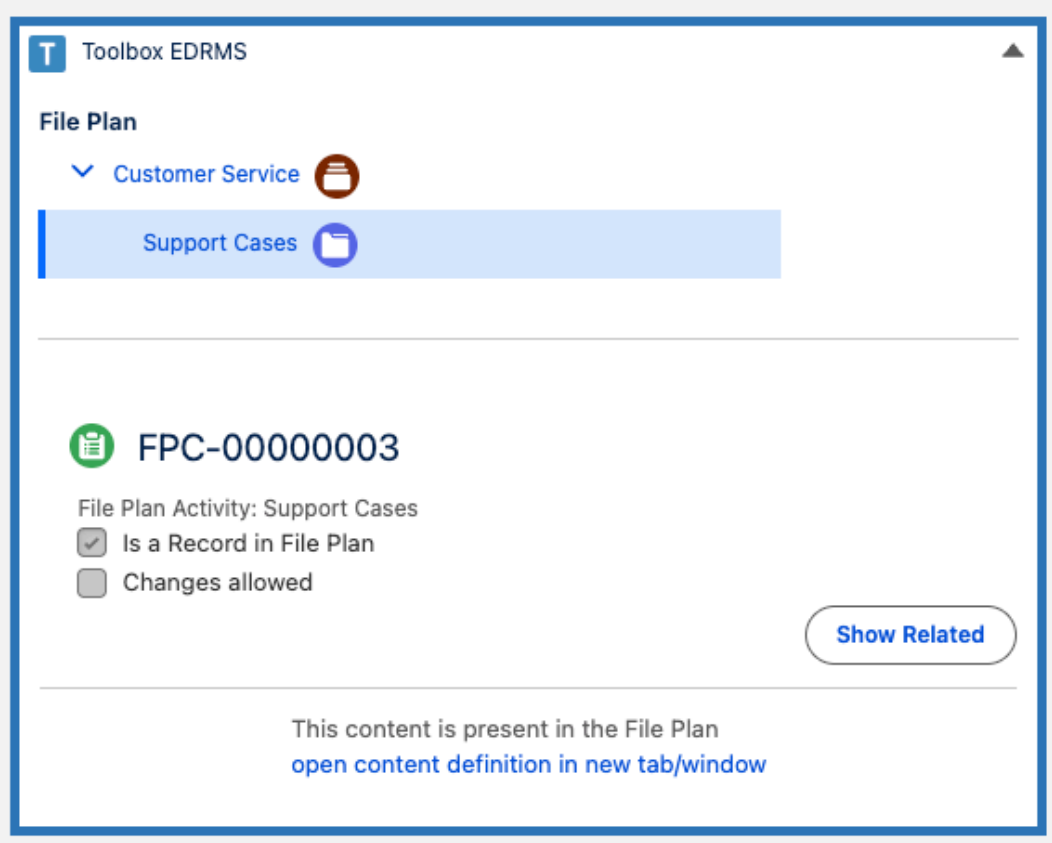
Once the component is dragged into a location on the page, the component properties are shown on the right hand side of the page as follows:



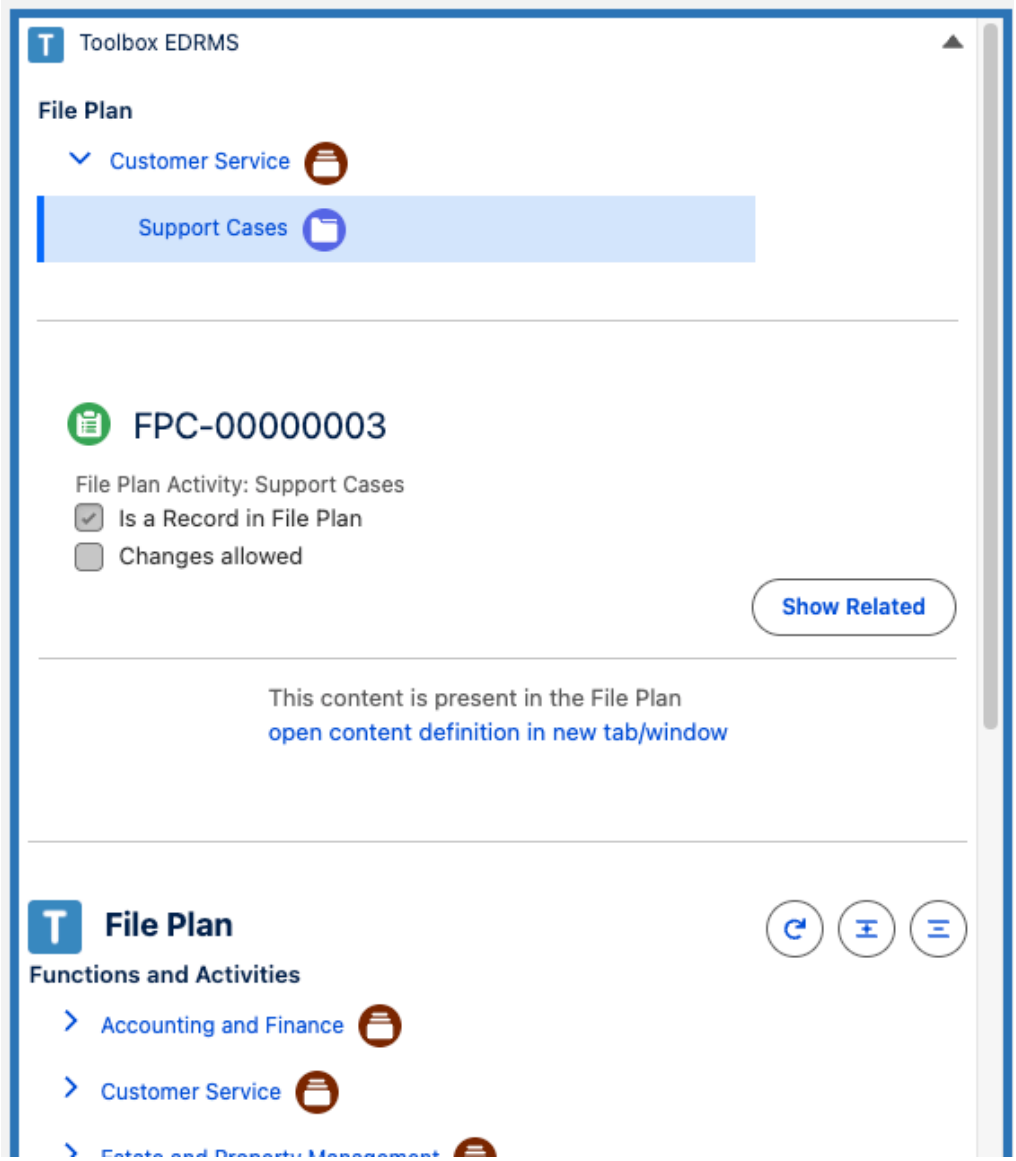
When the component is added to a Record Detail page it is to allow the user to easily see where the record exists in the File Plan (or allow it to be added), allow it to be moved to a new location in the File Plan (if appropriate) and to see whether it is a “Record” (in EDRMS terms). If this is your requirement then check the “Add / View Salesforce record in File Plan”.
If you also wish the component to take up less space on page load then also check “Show Collapsed” - the component then shows as a “T” icon and title that can be clicked to open it out.
If you also want the users to be able to see the whole File Plan (not just what’s relevant for this record) then uncheck the “Hide File Plan”.
If you uncheck the “Hide File Plan” then you may want to check the “Allow File Plan Explorer” which allows the additional File Plan content to be shown - this includes Function/Activity descriptions, summary of content and ability to browse content definitions.
Note. A user is still limited by their permissions as to what they can/can’t see even if the component has been configured to allow it.
Below is an example where “Hide File Plan”, “Add / View Salesforce record in File Plan” and “Show Collapsed” are all checked. The “T” icon and title is the component.



Below is the same component when the “T” / title is clicked. In this example, this Case is already in the File Plan (the “Is a Record in File Plan” field is checked), no changes are allowed to the Case (the “Changes allowed” field is unchecked, it has been added into the Activity named “Support Cases” (the current location is highlighted in blue) and it’s parent Activity “Customer Service”.

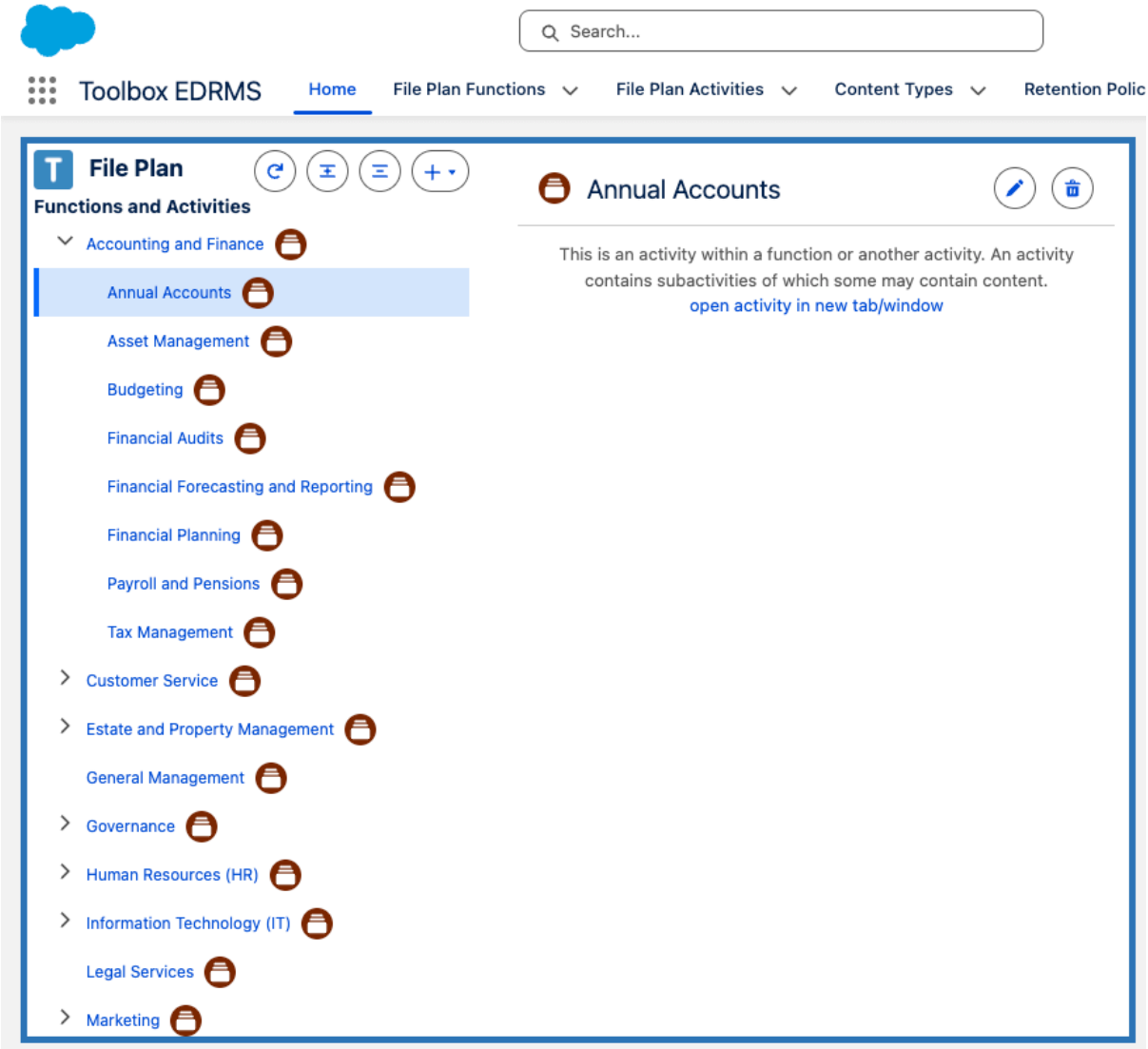


Below is an example where the component has been configured to show the File Plan.



As you can see in above, the same content specific items are shown and the main File Plan is shown below. It is uncommon to display the main File Plan on a record detail page like this. The application home page or another lightning page with this component added where the “Add / View Salesforce content in File Plan” and “Show Collapsed” are unchecked is more common, to allow a larger view.

Below is an example of the application home page where this same component was added and configured for File Plan with explorer (this is how the home page comes from the package install).


Search...
Toolbox EDRMS
Home
File Plan Functions
File Plan Activities
Content Types
Retention Polic
File Plan
Functions and Activities
Accounting and Finance
Annual Accounts
Asset Management
Budgeting
Financial Audits
Financial Forecasting and Reporting
Financial Planning
Payroll and Pensions
Tax Management
Customer Service
Estate and Property Management
General Management
Governance
Human Resources (HR)
Information Technology (IT)
Legal Services
Marketing
Annual Accounts
This is an activity within a function or another activity. An activity contains subactivities of which some may contain content.
open activity in new tab/window

3.5 User Permissions

Permission Set / Role	Key Access	Description
EDRMS Administrator	Application Settings, Deploy Triggers, Trusted Audit, Log Entries	Oversees application behaviour
EDRMS File Plan Administrator	Functions, Activities, Content Types, Retention Policies, File Plan, EDRMS Manager	Main administrator of the EDRMS. Can create/maintain the File Plan.
EDRMS Activity Administrator	Activities	Access to maintain Activities in the File Plan. Allows delegation of some responsibilities.
EDRMS Data Owner	Content Definitions, Retention Actions	Is responsible for specific Content and its review/disposal when retention reached
EDRMS Standard User	Managing their content in the File Plan	Able to add new content into the File Plan. May decide when content becomes a “Record” in EDRMS terms.
EDRMS API User	EDRMS API	Able to call our Core API. Contact us for details.

In addition a permission set group “Toolbox Administration” is provided that contains all the above permission sets. It is not common for this group to be used however it may make sense to provide to an Org’s System Administrator should their help be needed now or in the future.

Assign permission sets from above table to users as appropriate for their needs.

4. User Guide

IMPORTANT: Parent / Child Salesforce Objects / Records
You may use Salesforce objects in your org which have special functionality built-in which means that deleting one record (e.g. an Account) will automatically delete dependent records (e.g. Opportunities on that Account). This is known as cascading deletes. These deletions of dependent records are not detected by this app (as no Apex trigger fires for them) therefore any Content Definition records (if present) for them may not get removed and become orphaned.

Here are some of the Salesforce objects that have cascading delete function :-
Account, Asset, Opportunity, Case, Campaign, Contract, Event, Order, Quote, Task, Solution, ServiceContract

Orphaned Content Definition records take up a small amount of storage space (approx 2k per record). Orphaned Content Definitions that are EDRMS “Records” and have an auto-dispose action will eventually be removed on expiration.

Recommendations
- Add the parent and dependent records into the File Plan when no longer “living” documents (e.g. Case is now closed) as EDRM “Records”. File Plan activity should not allow changes. This prevents any deletion until retention expiration.
- The parent retention expiration should come after its dependents, so that dependents are deleted before the parent. This can be achieved by putting parent into one activity and dependents into a different activity and applying suitable retention on each so dependents expire first (e.g. a week or two earlier)

In an upcoming release, we will provide an automated process that can be run to find and remove orphaned Content Definition records.

4.1 Types of User

4.1.1 EDRMS File Plan Administrator

The “EDRMS File Plan Administrator” is responsible for creating the File Plan, Content Types and Retention Policies. Whilst the “EDRMS Activity Administrator” can assist with creating the File Plan Activities (allows a user within a functional area to define the Activities that they perform, under a structure that makes sense to them).

The “EDRMS File Plan Administrator” will schedule the EDRMS manager job (which performs various background processes) and can manually run the “Auto-add” batch job when appropriate.

4.1.2 EDRMS Administrator

The EDRMS Administrator will manage any Application Settings, be able to view Trusted Audit records and view log entries.

4.1.3 EDRMS Data Owner

A Data Owner is specified for each File Plan Activity. This Data Owner will be the “owner” in Salesforce terms of the Content Definition records created and when a Retention Action is required, a task will be created for the Data Owner to action (or delegate to another user).
The Data Owner is likely to be a user within the functional area who has the access to perform retention actions on the related Salesforce record (i.e. to delete a specific Case if the retention period had ended and the retention action was for disposal).
The Data Owner can put a record “On Hold” for legal / regulatory reasons which prevents deletion until removed.

4.1.4 EDRMS Standard User

The “EDRMS Standard User” is any other user of this application who has content that may want to go into the File Plan (e.g. owner of a Case, an Account owner).
This user can add their Salesforce record(s) into the File Plan and may decide when they become a “Record” from EDRMS perspective.
This user can at times (whilst not a “Record”), move the location of their content from one File Plan Activity to another.
This standard user can also add content related to their Salesforce record into the File Plan easily (where the related content type is also specified on the same File Plan Activity (e.g. a Case they have added to the File Plan has related Salesforce files, which is a valid content type on the File Plan Activity their Case is in, so they can add these files into the File Plan with just a couple of clicks).

4.1.5 EDRMS API User

This is a special user for integration use. This user may be used to allow other processes to make calls on the EDRMS application to set content as a “Record” or initiate an Auto-add batch Job for example.
Ask us for more details of available APIs.

4.2 Retention Policies

Retention policies are what defines how long to keep something for and what to do when that time has expired (can be never if deemed permanent).
A retention policy defines the retention period (how long to keep something) in days, months and years or you can indicate permanency.
You will need a retention policy for all the permutations you are going to use in the File Plan. Although this sounds a lot, it's likely to be less than 10 unless you have some niche areas that need specific retention periods.
For example, a retention policy for 3 years and a retention action of "Review" and the same for 7 years, covers several different types of content that all need the same retention.

There are five retention actions you can choose from:

1. **Review** - a common action which means after the retention period is over, have a look at the content and make a decision whether to keep it longer or dispose of it
2. **Dispose** - when retention period is over we want to dispose of the content, this may entail the "Data Owner" performing the disposal or delegating the task to the owner of the content (e.g. ask Case owner to delete it)
3. **Preserve** - when retention period is over, we want to keep the content indefinitely
4. **Extend** - when retention period is over, we want to keep the content for a time longer
5. **Auto-Dispose** - this is the most destructive action but also arguably the most useful. When the retention period is over the application will attempt to automatically delete the content (not for external content). Using this option means you don't have to rely on users performing the disposal. **Notes.** If a user with appropriate access to delete a record, cannot manually delete a record (i.e. due to triggers, dependencies, Salesforce platform restrictions etc..) then Auto-Dispose will also be unable to delete it. Only use Auto-Dispose where manual deletion is possible. This is a hard delete meaning the items do not appear in recycle bin and cannot be undeleted.

4.3 File Plan

The key to a successful EDRMS is the File Plan. The File Plan should reflect your business Functions and Activities and it should be intuitive enough that a User is never unsure where their content belongs.

At the top level are **Functions** that represent functional areas of your business, like

- Accounting and Finance
- Customer Service
- Estate and Property Management
- Risk Management
- Sales

The next level down are the **Activities** that the Function performs, for "Account and Finance" these may include

- Annual Accounts
- Asset Management
- Budgeting
- Financial Audits

- Payroll and Pensions

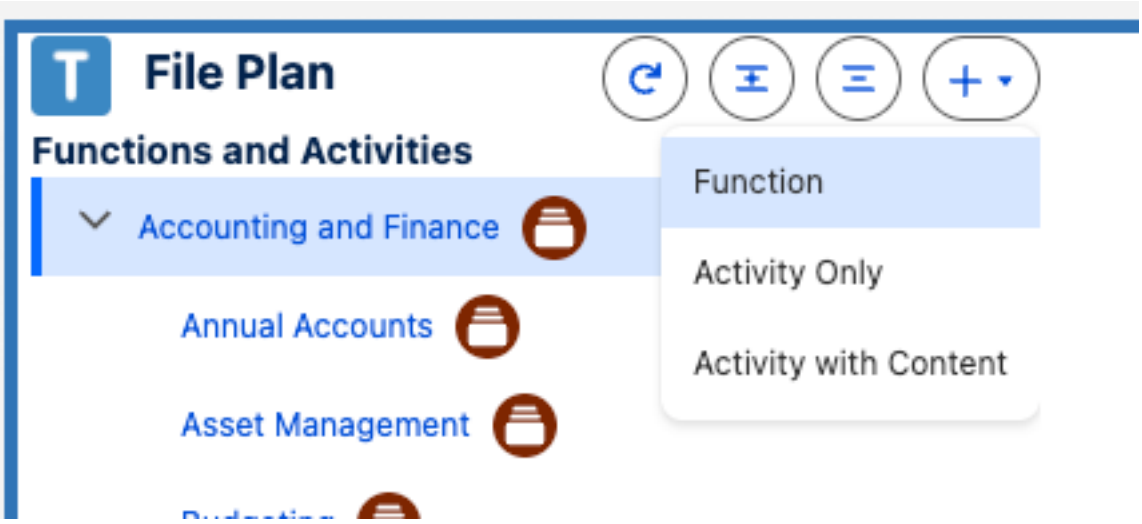
When defining an “**Activity**” they can be defined as one of two types
- **Activity Only** - this Activity is providing additional structure and will have sub activities that will hold the actual content
- **Activity with Content** - this Activity will hold the actual content and no further activities can be added below this

You should try and have around 2 to 3 levels in total and no more than 5, in order that Users are not confused as to where their content belongs.
There is no need to create Functions/Activities for areas of your business that you don’t wish to manage in this way.

Note. You can add documents/records that reside outside your Salesforce org (either in another system or as physical items) in to File Plan Activities therefore you may wish to add those business areas. External items are added with minimal detail that include a reference and location details.

4.3.1 Adding Functions / Activities

You can add Functions and Activities in two main ways, either via the File Plan component (already present on application home page for those with permissions) or from the File Plan Functions and File Plan Activities tabs, adding new records as normal.
The File Plan component is the most intuitive approach as you can easily see the relationships and structure as you add new Functions / Activities.
The File Plan component for a user with File Plan Activity Administrator permission set will allow the creation of both Functions and Activities from the “add” menu as shown below



Note. In the above example, the user has selected the Function “Accounting and Finance” therefore the options in the “add” menu are for “Function”, “Activity Only” and “Activity with Content”. Had the user not selected anything first, the “add” menu would only show “Function” as that is all that can be added at the top level.

If the user had selected an Activity with Content then only Functions would be possible and that Function would be at the top level.

Around 10-20 Functions is usual.
Each Function may have different numbers of Activities depending on how your functions are defined and what you wish to hold in the File Plan - only define what you need now.

4.3.1 Retention Trigger

When creating / updating a File Plan Activity that can have content, you will be asked to select the Retention Trigger from six options as follows

1. **None** - You don't want to trigger retention on this activity at this time. If you later change this retention trigger it will affect content added afterwards not content already present. It is not recommended to use this option unless you never plan to change this for this activity
2. **Made a Record** - Retention is triggered when the content is manually set as a record - this is normally done by the owner of the content itself, using the EDRMS File Plan component on the record detail page. The retention period is calculated from the date/time it was made a record
3. **On creation** - Retention is triggered when the content is added to the File Plan Activity and uses the created date of the content to calculate the retention period (for example, if you added an old Case into the activity and it was created five years ago, then the retention period would begin five years ago). This action allows you to add old data into the File Plan and get an accurate retention period/action that may indicate the item needs disposing of already. Note. Content is automatically marked as a "Record" when added to an activity with this retention trigger.
4. **End of Financial Year** - Retention is triggered at the end of the financial year (the start of the financial year can be specified in the Application Settings on the home page). The retention period will start from the end of the financial year that the item would have fallen into given its created date. This allows old data to be added and the correct retention period calculated. For example, in 2026, a financial year start of 5th April and a Case created on 1st June 2000 would mean the retention period would start from 4th April 2001 (as the Case was created after the end of the last financial year), therefore a 3 year retention would give a retention expiry of 4th April 2004. Note. Content is automatically marked as a "Record" at the end of the financial year.
5. **End of Calendar Year** - Similar to the End of Financial Year except the normal Jan-Dec calendar year is used. Using the same example as above, in 2026, a Case created on 1st June 2000 would mean the retention period would start from 31st Dec 2000, therefore a 3 year retention would give a retention expiry of 31st Dec 2003. Note. Content is automatically marked as a "Record" at the end of the calendar year.
6. ***Custom criteria*** - this is reserved for future use and cannot be saved.

Note. The "**End of Financial Year**" and "**End of Calendar Year**" are often needed where an item needs to be kept for a period of 3yrs + current year.

4.3.2 Audit Level

You can specify one of three levels of auditing as follows

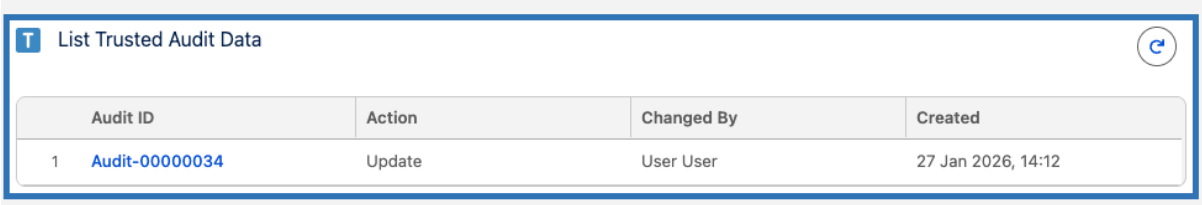
1. **None** - You don't wish to audit any changes
2. **Record Only** - You only wish to audit changes when the item is a "Record" (in EDRMS terms)
3. **Always** - Irrespective of whether item is a "Record" an audit of changes should be made

Where a change occurs that meets the audit requirements, a Trusted Audit record is created of the change. This audit record includes the user who made the change, the Salesforce record it relates to and the changes made.

Note 1. Changes to Salesforce files can be audited but the changes that can be see on the audit record are limited to the title / description. This is due to the size of the content and that file versions can be seen on the file itself.

Note 2. In order to audit changes the application needs to be made aware that a change is being attempted. This is by means of Apex Triggers that either come with this application and have been enabled, have been auto-deployed via the "**Deploy Trigger**" functionality or have been added by some other means into the org. If there is no Apex Trigger for the object type being changed then no audit can occur.

There is a component called "**Toolbox EDRMS - List Trusted Audit Data**" that can be added to record detail pages that allow users with the EDRMS Administrator permission set to view any audit record related to the Salesforce record being viewed.
Below is an example of this component having been added to the Case record detail page



4.3.3 Allow Record Changes

By default the "**Allow Record Changes**" field is unchecked to ensure that when an item becomes a "Record" (in EDRMS terms) no changes are allowed. This is part of the expected behaviour of an EDRMS.
Only check "**Allow Record Changes**" in exceptional circumstances (i.e. where a mistake has been made and an item needs to be changed in some way) and then this should be temporary.
A change to the "**Allow Record Changes**" is audited so there is a record of the changes given its implications.

Note. When "**Allow Record Changes**" is not checked and a user tries to amend the content in the File Plan Activity when it is a "Record", they will receive an error indicating the activity does not allow a change to be made. As per auditing in previous section, this relies on the application being made aware of changes to content via Apex Triggers. No trigger, no change checking.

4.4 Content Types

Once the File Plan Functions and Activities are defined (or as you are creating these), you will need to define what content can be held in which File Plan Activities. This is to make it easier for a user to add content (application can help guide them) but also to prevent incorrect content being added into the wrong place.

Each Content Type specifies either a Salesforce object type (e.g. Account) or that it relates to external content.
Only one Content Type is created per Salesforce object type, so name the content type appropriately bearing in mind it may be used in several places (albeit its clearer and allows automated adding into File Plan if only one Salesforce object content type is assigned to just one File Plan Activity).

4.4.1 Content Types and File Plan Activities

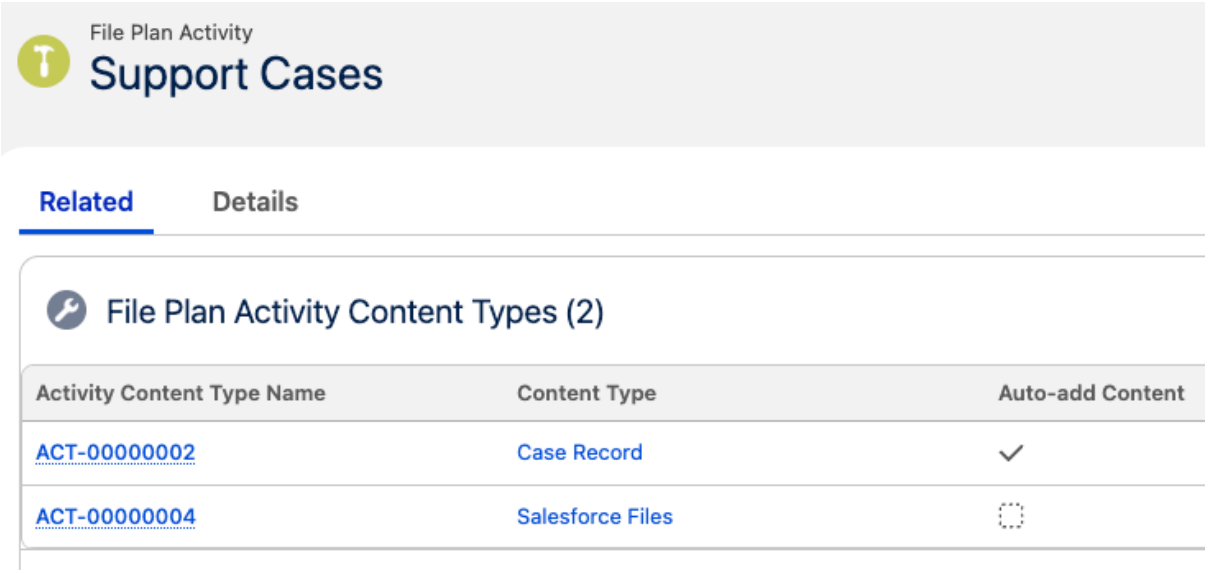
Once you have defined Content Types then they can be assigned to any File Plan Activity that can have content.
Open the File Plan Activity, go to the related tab and there you will see the File Plan Activity Content Types. Press “New” button to add another Content Type.
Whilst adding Content Type you can specify the Content type on the activity to allow “Auto-add Content”. This option can only be specified on the same Content Type on one File Plan Activity (i.e. if you have two Activities that have a Case content type, only one of those can be “Auto-add” enabled). This is so that the application knows which Activity it can auto-add content into.

The ability to auto-add content means you can more easily get content into the File Plan without relying on users to do it manually as needed. The EDRMS Manager job that should be running everyday, checks whether any records created recently (that are not already in the File Plan) can be automatically added.

CAUTION: It is not recommended to auto-add Salesforce files, Events, Tasks or any generic object as they are used across multiple objects and unlikely that you’d want them located in a single Activity. It is more likely that these would not be added into the File Plan or added into specific location appropriate to their usage.

Where most content of a particular type should go in one activity and a small number in another, you could define the first activity to be auto-add and rely on users to change the location of the smaller number as necessary (this is only practical when the activities do not have a retention trigger of “On creation” as once an item is a “Record” it cannot be moved.

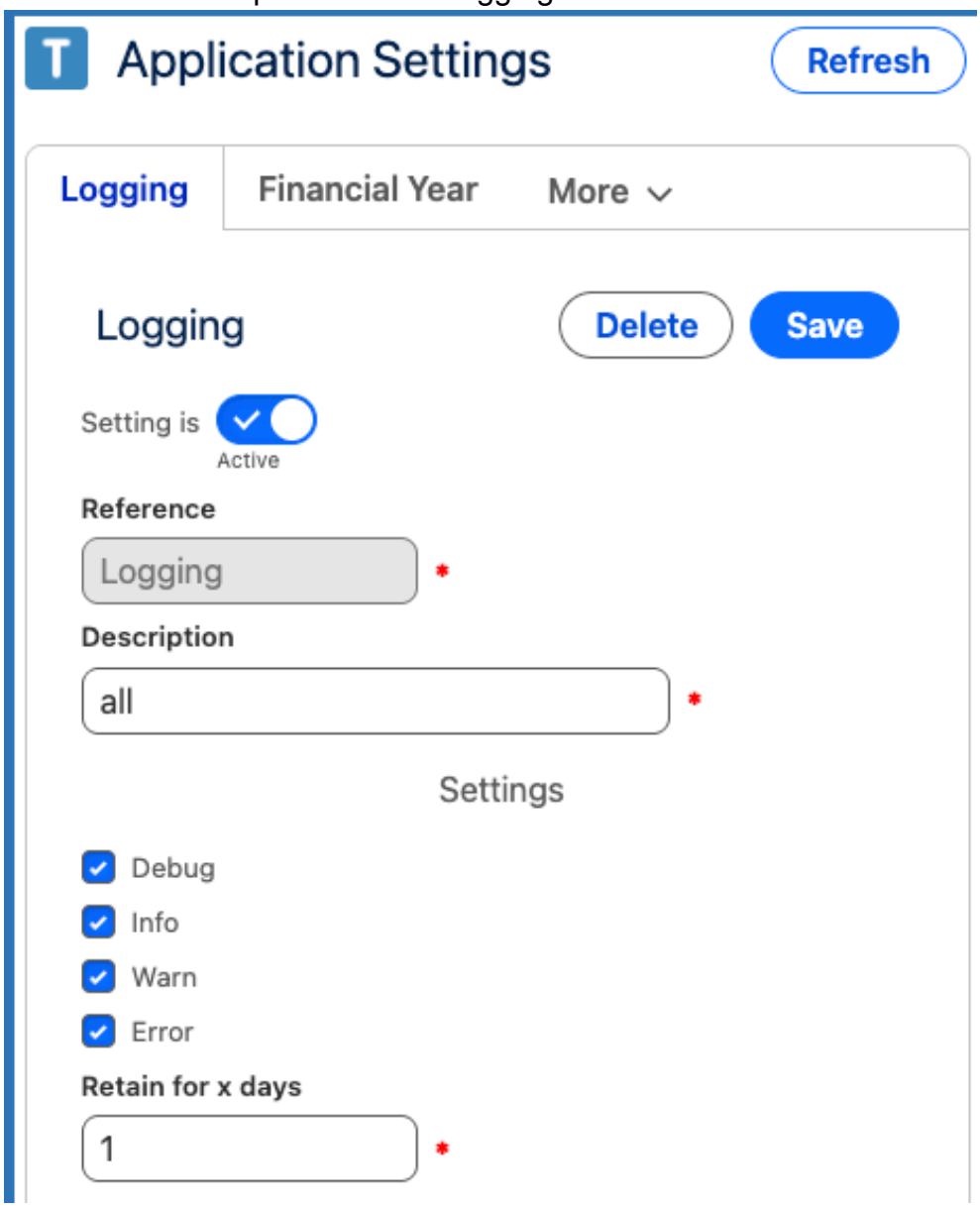
Below is an example of a File Plan Activity with two content types (“Case Record” and “Salesforce Files”) allowed.



In this example, the “Case Record” content type allows Salesforce Case records and the “Salesforce Files” allows Salesforce files. In addition, as this activity allows both Cases and Files, should a Case have related Files, they could both be added to the same activity easily.
Given Salesforce files can be related to any Salesforce object type it is usually pertinent to define this Content Type and allow it in all activities with content.
You will also notice in this example that the “Auto-add Content” is enabled for the “Case Record”, which means content could be added through the automated processes.

4.5 Logging

This application can log messages to the Salesforce standard debug logging mechanism which creates logs that both customer and (subject to access) your supplier can see. The content of logs is mostly obscured when viewed by customer apart from some SOQL.
In addition, we use a mechanism to log to Salesforce records which then provides some visibility to the customer of events that have occurred.
This logging is enabled via the Application Settings on the application home page (subject to user having EDRMS Administrator permission set).
Below is an example where the logging has been enabled for all four levels and is active.



Note. No personal information is being logged. Log messages are informational and provide details of background processes that have run or errors that may have occurred and therefore may aid your supplier in any investigation.

4.6 Document & Record Lifecycles

Here are a few standard examples of document and record lifecycle scenarios (i.e. what processing of the document and subsequently the “Record” occurs from creation to destruction or permanent retention).

4.6.1 Document retained for subsequent “Review”

Processing of a document (a record in Salesforce org) in this scenario might be

1. Document creation
2. Document revisions
3. Document ready to become a “Record” (in EDRMS terms)
4. Document added to File Plan
5. Document marked as a “Record” (or automatically)
6. Retention period determined and begins
7. Retention period ends and a “Review” task is created (automatically by background process) for the Content Definition record owner (this is the user specified on the File Plan Activity as the “Data Owner” at the point the document became a “Record”)
8. The Data Owner reviews the “Record” (and if not external, the related Salesforce record) and either chooses to
    - 8.1. “Extend” the retention period (I.e. defer any decision on whether to dispose of the “Record” for a period of time) by pressing the “Extend Retention” button on the Content Definition record and choosing a new action date
    - 8.2. “Dispose” the “Record” by pressing the “Confirm Disposal” button on the Content Definition record then going to the related record and deleting it
    - 8.3. “Preserve” the “Record” which means you want to keep this “Record” indefinitely. This should be a rare occurrence given few things are kept indefinitely and there is an option on the Retention Policy for content to be considered permanent from the beginning
9. If the Data Owner only marks the “Review” task as complete then another task will be created the next time the automated processes run. In the end, the Data Owner has to make a decision.

Notes. The Document can be added to the File Plan prior to becoming a “Record”, this depends on your needs/processes. By adding into the File Plan as a document, you can audit changes made to the document however, documents often go through change which is natural part of normal processing and may create unnecessary auditing (albeit auditing can be set for when a record only).

This scenario is common for most retention actions apart from “Auto-Dispose” where the Data Owner can decide what action should be taken when retention period ends.

4.6.2 Document retained for subsequent “Auto-Dispose”

Processing of a document (a record in Salesforce org) in this scenario might be

1. Document creation
2. Document revisions
3. Document ready to become a “Record” (in EDRMS terms)

4. Document added to File Plan
5. Document marked as a “Record” (or automatically)
6. Retention period determined and begins
7. Retention period ends and related Salesforce record is deleted (automated process)

Notes.
For external content, the auto-dispose option will create a task for the Data Owner, to indicate they need to go to the external content’s location and delete the record (or delegate it to another person). The deletion is a hard delete (deleted record does not appear in recycle bin) for regulatory purposes and cannot be undone. If you have an appropriate backup of the data and suitable tooling then you may be able to restore the data but this is outside the functionality of this application.

5. Background Processes

There are a number of background processes managed by the "**EDRMS Manager**" job that can be scheduled by a user with the "**EDRMS File Plan Activity Administrator**" permission set from the application home page.
The **EDRMS Manager** job can be set to run at a specified time either every day or just weekdays.
This job initiates the following processes

- **Calendar Year End Retention** - this process looks for content in the File Plan within activities that have a Retention Trigger of "End of Calendar Year". Content found is (if appropriate) marked as a "Record" and retention period calculated
- **Financial Year End Retention** - this process looks for content in the File Plan within activities that have a Retention Trigger of "End of Financial Year". Content found is (if appropriate) marked as a "Record" and retention period calculated
- **Retention Expiration** - this process looks for content that has reached the end of its retention period and does not have an outstanding retention task (i.e. not previously been picked up and has outstanding task already) and either creates a task for its Data Owner to action or if retention action is Auto-Dispose, then will attempt to delete the content (this is a hard delete and undelete is not possible)
- **Logging Housekeeping** - this process looks to remove log entries older than what has been configured in Application Settings (or 90 days if not configured)
- **Audit Housekeeping** - this process looks to remove log entries older that what has been configured in Application Settings (or 90 days if not configured)
- **Auto-add Content** - this process looks for content (that's not already in File Plan) that was created within the last 2-3 days and adds in into the appropriate File Plan Activity. This only occurs where a content type has been added with auto-add to an Activity.

Note. All the above processes will log some information to the Salesforce standard logging and (if configured) to the Log Entry records.

5.1 Retention Expiration

The Retention Expiration process may need to create tasks for the appropriate Data Owner to inform them that content has reached its retention period and needs action.
The task is created with some default field values as follows

- **Subject** - "Retention Reached: " followed by the appropriate Retention Action
- **Type** - The is the Task type of "Other"
- **Status** - The Task status of "Not Started"
- **Priority** - the Task priority of "Normal"
- **Activity Date** - Current date + configured "Due in x days" value of days or 3 days if not configured

If the Task Type, Status or Priority values are not valid in your org then you must override them with valid values via the Application Settings component "Retention Task" tab on the application home page (EDRMS Administrator permission set for access).
If these three field values are still valid then you don't have to make any changes unless you wish to.

5.2 Auto-add Content

In addition to being run as part of the daily **EDRMS Manager** job, the Auto-add process can be run independently from the "EDRMS" component "**Auto-add Content**" tab on the application home page.

There are two input fields

1. **Start Created Date** - the created date to start looking for records that can be auto-added
2. **Delay start by x minutes** - how long to wait before the job can start

When this process is run as part of the “**EDRMS Manager**” job, the start created date is the last 2-3 days (this is designed to pick up content since the last run, with some leeway if the job only runs on weekdays).

If you have installed this application into an org that has data created some time ago that you’d like included in the File Plan, then the daily job may not pick these up (unless created in last 2-3 days). You can therefore run this job with a start created date as far back in the past as you wish to go and auto-add much older content into the File Plan.

6. Package Contents, Security

6.1 Managed Package Contents

The Toolbox EDRMS managed package contains the following
- Apex classes
- Permission sets
- Permission set group
- Lightning app pages
- Lightning web components
- 1 x Lightning application
- 9 x Custom objects
- 1 x Platform event object
- Schedulable Apex job
- Batch Apex jobs
- Apex triggers

6.2 Security

The Toolbox EDRMS managed package has been through a Salesforce security review and various code scanners to identify and rectify any potential issues.

This application uses standard Salesforce approach to user access, making use of custom permissions and permission sets to grant specific access to users and minimising those processes that need to run with elevated permissions (which are always behind a custom permission granted via a permission set).

The application makes no calls out of the Salesforce org nor exposes any function via REST.

7. Appendices

7.1 Appendix A - Implementation Checklist

Here is a checklist for the “Toolbox EDRMS File Plan Administrator” of the tasks and suggested order that need completing in preparation for rolling out to all users.
This list assumes that the package has been installed and setup completed beforehand.

If only part of your organisation is using your Salesforce org for their activities, and you’re not looking to manage content outside of the Salesforce org then you can just create that part of the File Plan. You don’t have to define everything upfront, you can add to it as other parts of the organisation decide to use it.

1. File Plan - planning
   - ☐ Decide which of your organisation’s functions will be implemented in the File Plan (initially this may be driven by what you use your Salesforce org for already (e.g. Customer Service, Sales, Finance)
   - ☐ For each business function, define what activities the function performs. An activity may have sub-activities where the actual output will be held.
   - ☐ For each activity, decide what artefacts they create (the items of content e.g. Salesforce Case records) whilst performing these activities. This will drive what Content Types you need to create.
   - ☐ For the various artefacts being created, decide how long each should be kept for. Some items may not have a specific legal, financial or business obligation that determines the time period, in which case the business function could decide what is useful to them. This helps define the Retention Policies.
   - ☐ Note 1. This planning stage is best not done in isolation but with key stakeholders in the various business functions in order that the functions get the structure that represents their area and that their users can understand. For example, some functions may use specific wording for an activity that means little to those users outside of that function but is well understood by all in that area. This is not something that one person is likely to be aware of.
   - ☐ Note 2. Remember that the File Plan is not about how users want to store content and browse it like they do with Windows File Explorer. The File Plan represents the business organisation, its functions and activities.
2. File Plan - implementation
   - ☐ Create the business functions as “File Plan Function” records
   - ☐ Create the “Content Types”
   - ☐ Create the “Retention Policies”
   - ☐ Create the activities within each function as “File Plan Activity” records. As you create these activities you will specify whether an activity is to aid the structure of the file plan (to make it easier for users to use) or whether the activity will hold content.
   - ☐ Decide whether you want to add older data into the File Plan. For this, you will need to add content types to activities with the “Auto-add enabled” checked and then run the “Auto-add Content” batch Job with s suitable “Start Created Date” to pick up the items you need.
   - ☐ Schedule the "EDRMS Manager” job to run daily at your specified time. Ideally the time of day would be when your org is under utilised.
   - ☐ Let the business function(s) know they can use the system and the benefits to them of retaining data only for as long as needed, ensuring trust in the “Record” of a business

transaction and auditing of key changes. Users need to know that their extra 2-clicks (if not fully auto-add) to add content into the File Plan is worthwhile.

In general, the File Plan once implemented, doesn't change much over time. You may wish to add / change the lowest level activities but the functions and main activities rarely.
Content Types and Retention Policies may need additions / updates from time to time as different content is being created or you start to use new functionality within your Salesforce org (e.g. you're using Salesforce Sales cloud and decide to start using Salesforce Service cloud).

7.2 Appendix B - File Plan Example

In the following examples, the icon refers to a Function or Activity that is used for structuring the File Plan (i.e. you do not add content to it).

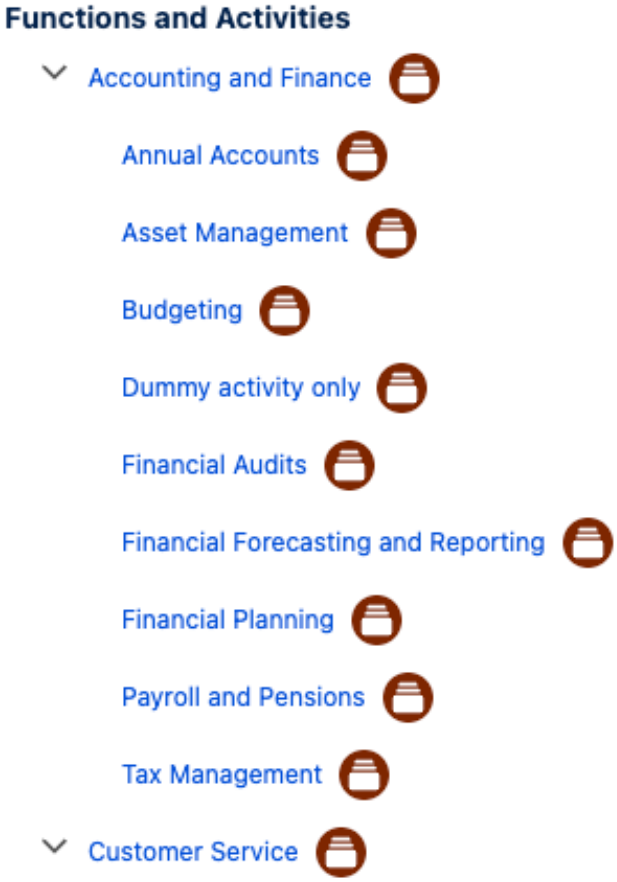
The icon refers to an Activity that can hold content.

Below is an example of a File Plan defined in this application where only the top level Functions are shown

Functions and Activities

- Accounting and Finance
- Customer Service
- Estate and Property Management
- General Management
- Governance
- Human Resources (HR)
- Information Technology (IT)
- Legal Services
- Marketing
- Operations
- Organisation
- Public Relations (Communications)
- Purchasing (Procurement)
- Research and Development (R&D)
- Risk Management
- Sales
- Strategy

In the example below, the “Accounting and Finance” function has been expanded to show its activities



Note. There are no activities yet defined that can hold content. You would expect the next level down to start defining the activities that can hold content.

7.3 Appendix C - Additional Use Cases

Over and above wanting to employ a full EDRMS, you can also use this app in a more limited capacity as follows

- Auditing Updates / Deletions - you can implement a very basic File Plan with a single “Activity with Content” which can contain all the content types you want to audit and set audit as “Always”. When content is added to this activity, either manually or via auto-add function it will be auditable. Any update or delete will create an audit record.