efalia ecm

Version 4.5

Quick Guide GDPR



efalia
smart content suite on a human scale

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Basics

Installing Efalia ECM

Install your Efalia ECM system, as described in the Efalia ECM installation guide.

Create an Efalia ECM Cabinet



Clicking on the ***New Cabinet*** tool opens a window for the creation of a new Cabinet.

General Properties

In the ***General*** tab a name for a cabinet must be entered and a description can be added.

> **Note**
>
> A distinct name and a clear description of a cabinet will help users working with multiple cabinets.

Cabinet Level Security



Using the ***Security*** tab, the groups and users are listed and configured as to who is allowed to use the Cabinet in Efalia ECM. Cabinets will only be displayed in EnterpriseManager if the user has ***Full control***. An administrator or a user that has ***Full control*** can configure access rights for groups and users.

When a Cabinet is created, only the user that created it is granted permissions for the Cabinet.

Create Efalia ECM Fields

Overview



Efalia ECM saves the index data of documents in index fields. Information held in index fields is used for referencing and the retrieval of documents.

Efalia ECM allows an unlimited number of index fields to be created in a Cabinet for document description. These fields can be amended, changed or deleted at any time.

Fields are created globally; they can be used simultaneously in different Document Types. Because of this internal structure it is very easy to perform a comprehensive search over different Document Types, if they contain at least one common index field.

Create new field



Select ***Fields*** within a Cabinet in the left part of Efalia ECM Enterprise Manager window. Click the ***New*** tool to create a new field.

Create Efalia ECM Document Types

Overview



In an Efalia ECM Cabinet, documents are organised and filed in Document Types. Since each Document Type can be configured individually, it can specifically be modified to the customers' workflow requirements.

Efalia ECM allows an unlimited number of Document Types to be created in a Cabinet. These Document Types can be changed, amended or deleted at any time.

New Document Type



Click on the ***New*** tool after selecting ***Document Types*** and the Document Type configuration window will open.

Document Type Fields

Once fields are created, they can be used in several Document Types. If that is the case a search can be performed over more than one Document Type.

In the ***Fields*** tab select the required fields to be associated with the Document Type from the total pool of fields available. Clicking ***Add*** will display the list of available index fields for selection.

The fields are displayed in the Windows Client in the order which is specified in the Document Type setup. The fields selected for the Document Type can be sorted automatically or manually. Clicking on the ***A to Z*** button will sort the field display alphabetically, alternating between ascending and descending display.

To select the display order manually use ***Drag and Drop***. Select a field press the left mouse button and move the relevant field to the new position.

New fields can be added, and fields removed from the list. When a field is removed, the next fields move up one position. The fields can be resorted and rearranged

Document Type Security

On the Security tab, individual access profiles for the relevant Document Type can be configured. When clicking ***Add***, a list of the available users and groups are displayed for selection. For each user and group the access rights can be specified in the lower part of the window by checking boxes ***Allow*** or ***Deny***. Using the ***Remove*** button, the selected user or group entry can be removed from the list.

When a Document Type is created, only the user that created it is granted permissions for the Document Type.

Generally all rights specified on Cabinet level are automatically inherited to Document Type level. If a new user or group is added by clicking ***Add***, the inherited rights (squares) are displayed after clicking ***OK*** and refreshing this window.

For granting access rights, the user must be specified on Cabinet level because the user must be able to see the relevant Cabinet to work with it. On Document Type level a denial of rights can be configured. In order to explicitly deny rights, the check box should be set to Deny, the removal of the relevant tick is not sufficient.

Audit Trail

Efalia ECM can be configured to log activities within the system, whether automatic server activity or user activities. All activities can be listed, and filtered by various parameters such as Cabinet and user.

Active User displays a list of all users currently using Efalia ECM.

Audit Trail Configuration



To configure audit management and the activities to be audited, select the ***Audit trail*** icon and choose the ***Settings*** action.

Settings Tab

The general settings for the audit trail determine how the audit records are managed, and the types of events that will be logged.

All audit records are held within the Efalia ECM general configuration database. Depending upon what is being audited, and the level of activity within the Efalia ECM, the number of records within the database can grow to be substantial. Efalia ECM therefore allows the audit records to be managed.

Audit records can be removed from the database periodically, determined by one of two options. You can select to remove 50% of the audit records from the database once a predefined number of records have been created. Alternatively, all audit records older than a predefined number of days can be removed.

When ***Archive Log Files*** is configured, any audit records removed from the database can be exported to a defined location. You must ensure that the export location has sufficient storage space available. You must ensure that you activate this feature if you want the audit records exported.

Under ***Event Type to Log***, you can specify the types of events that will be recorded, such as ***Information***, ***Warnings*** and/or ***Error*** events.

The ***Purge Log Now*** button will remove ALL audit records from the database immediately. If you have selected to archive audit records, the records will be archived prior to being removed from the database.

Note

The audit trail should be periodically managed because all entries are saved in the database and the database size is increasing. If the export causes a timeout, please read the section **Optimization of SQL-Server performance** in the installation guide. The settings should be made so that only the entries are logged which are really needed.

GDPR compliant log data

Efalia ECM AuditTrail can be extended by ***GDPR-compliant entries***. These entries are only created when a ***Destroy*** event has taken place.

For further information also see chapter GDPR.

When ***Purge log now*** is selected, an additional prompt is displayed to confirm the purge action.

Within this window, an option can be ticked to delete also all GDPR-compliant entries.

These entries will only be deleted if the checkbox is ticked.

Note

For security reasons, the corresponding checkbox is never checked in default and must be selected explicitly in each case.

Display audit trail

After the audit trail has been configured, the database log can be displayed. Double-click on the ***Audit*** icon and an audit display template is displayed.

In the upper part the audit records to be displayed can be filtered by specific Document Types and users. The date or date range can also be selected.

Select ***Create list*** to display the relevant entries

Display archived logs

Efalia ECM may only hold a limited amount of audit records. It can happen that an entry to be displayed is not available any more. If you selected to archive audit records, you can display them by selecting ***Archived*** from the ***Duration*** drop down

When selecting ***Create list***, a list of log files on the selected archive path is displayed so that the relevant log file can be selected for display. The stored log files are time stamped.

Format Audit Trail Display

Entries can be grouped by columns by dragging the column header into the ***Drag a column header here…*** section on top of the column headers. To switch grouping off drag the column header back into the line.

Entries can be sorted alphabetically ascending and descending by clicking on the column header. The second click toggles the sort order.

Double clicking on an entry of the list opens a window with detailed information. If an entry is linked to a document, it is possible to display the document direct in the Windows Client by clicking the button ***Show document (WinClient).***

Export part of the audit information

In order to export parts from the audit trail select the relevant entries. This can be done after having sorted the entries in a particular way. After having selected the entries, use ***Export list*** tool in order to export these records into a text file.

Report/Export



In order to export parts from the audit trail select the relevant entries. This can be done after having sorted the entries in a particular way. The option can be selected either by using the icon ***Report/Export*** from the ***Action*** menu bar or from the menu ***Extended***, on the right hand side, to export the selected AuditTrail information.

The following formats are available:

PDF	XLS
RTF	CSV

Toggle GDPR filter

§

This button allows toggling the list between ***all event logging entries*** or, if configured, ***only entries of the GDPR-compliant logging***. In this case only entries of the type ***Destroy*** are listed.

Cabinets

Overview



Efalia ECM stores documents in Cabinets. These virtual Cabinets are able to store any document format. There are no limitations set by Efalia ECM on the size or number of documents stored.

Multiple Cabinets can be created to store documents. These documents are held in different Document Types within a Cabinet. It is possible to search for documents in a Cabinet over all Document Types stored.

GDPR

§

GDPR document types

In tab ***GDPR***, all settings are done to set-up a GDPR compliant Efalia ECM log.

On the one hand, the tab offers two columns which show the existing document types and fields of the selected cabinet. The corresponding document types and fields needed for an extended, GDPR compliant log, can be selected here.

On the other hand, the option ***Purge GDPR log*** can delete all extended, GDPR compliant entries of the Efalia ECM log, without touching other log entries.

GDPR Log



The option Purge GDPR log deletes all GDPR compliant log entries from the Efalia ECM log.

This option does affect any other log entries.

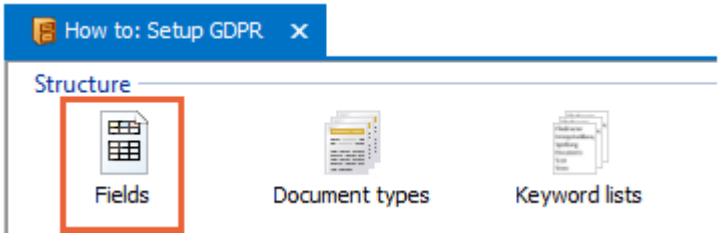
GDPR log entries are created when a ***Destroy*** event has taken place.

Example

In this example, two different document types are setup – ***Customer Communication*** and ***General Information***. The first document type will be GDPR-relevant and the second document type will be a standard Efalia ECM document type without special GDPR settings.

Fields

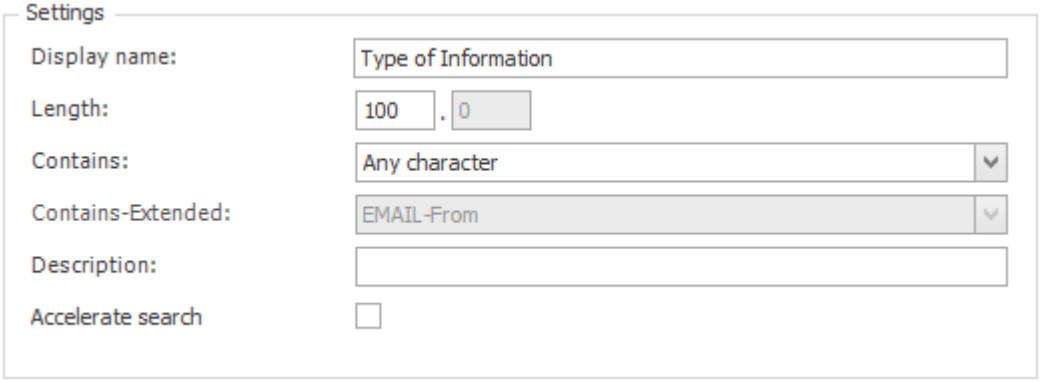
In this example, three fields are created – ***Type of Information***, ***Customer Name*** and ***Document Date***.



Type of Information

Select ***Fields*** within a Cabinet in the left part of Efalia ECM Enterprise Manager window. Click the ***New*** tool to create a new field.

Settings within General



Customer Name

Select ***Fields*** within a Cabinet in the left part of the Efalia ECM Enterprise Manager window. Click the ***New*** tool to create a new field.

Settings within General

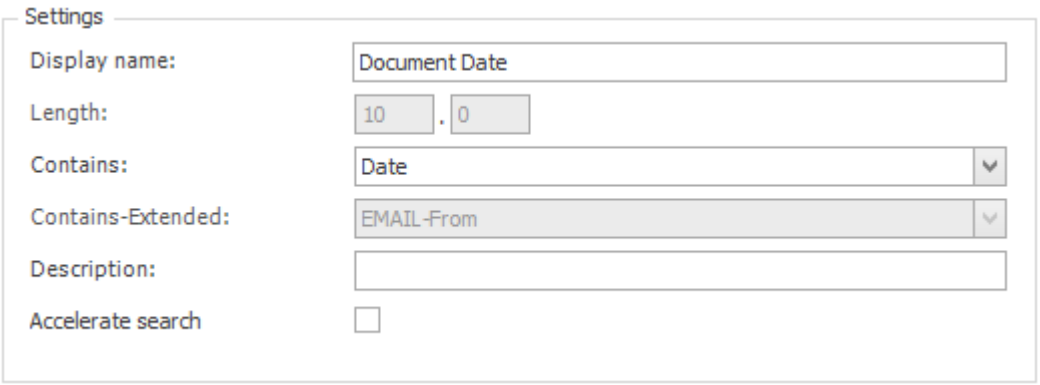


Document Date

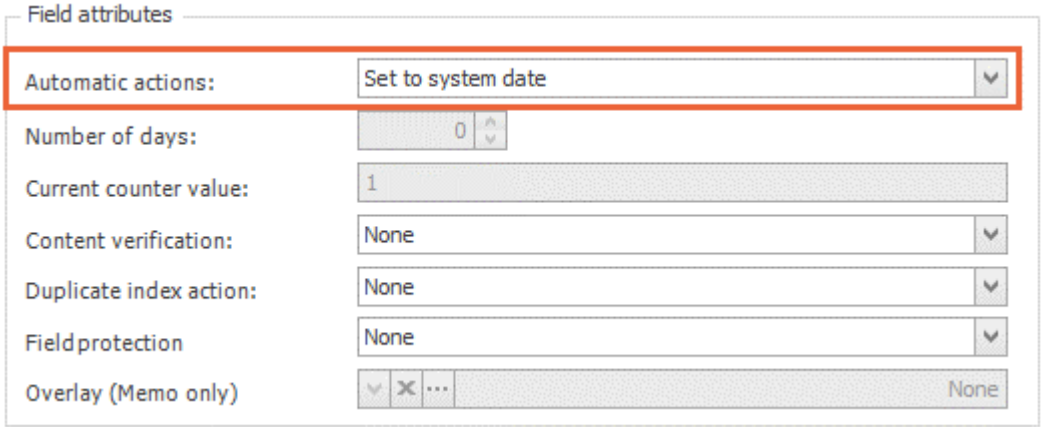


Select ***Fields*** within a Cabinet in the left part of the Efalia ECM Enterprise Manager window. Click the ***New*** tool to create a new field.

Settings within General

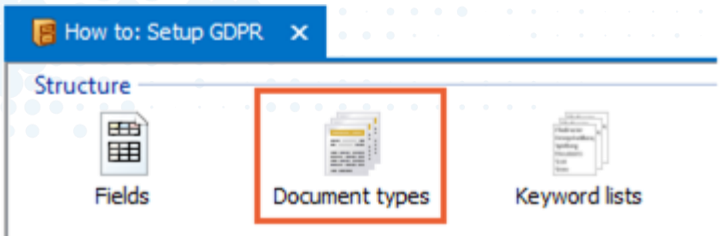


Optional: Extended Settings



Document Types

In this example, two document types are created – ***Customer Communication*** and ***General Information***.



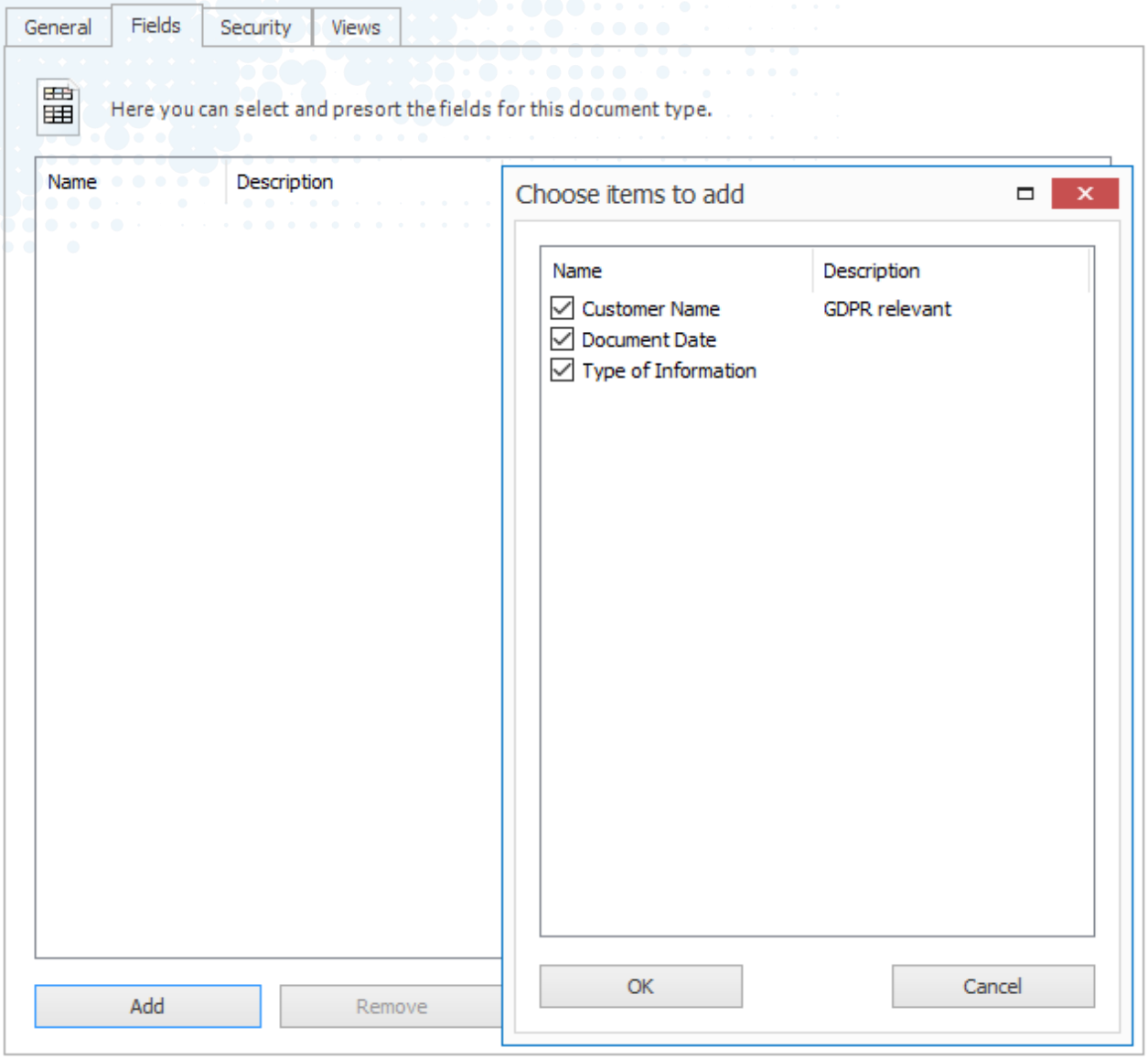
Customer Communication

Click on the ***New*** tool after selecting ***Document Types*** and the Document Type configuration window will open.

Settings within General



In the ***Fields*** tab select the required fields to be associated with the Document Type from the total pool of fields available. Clicking ***Add*** will display the list of available index fields for selection.



General Information



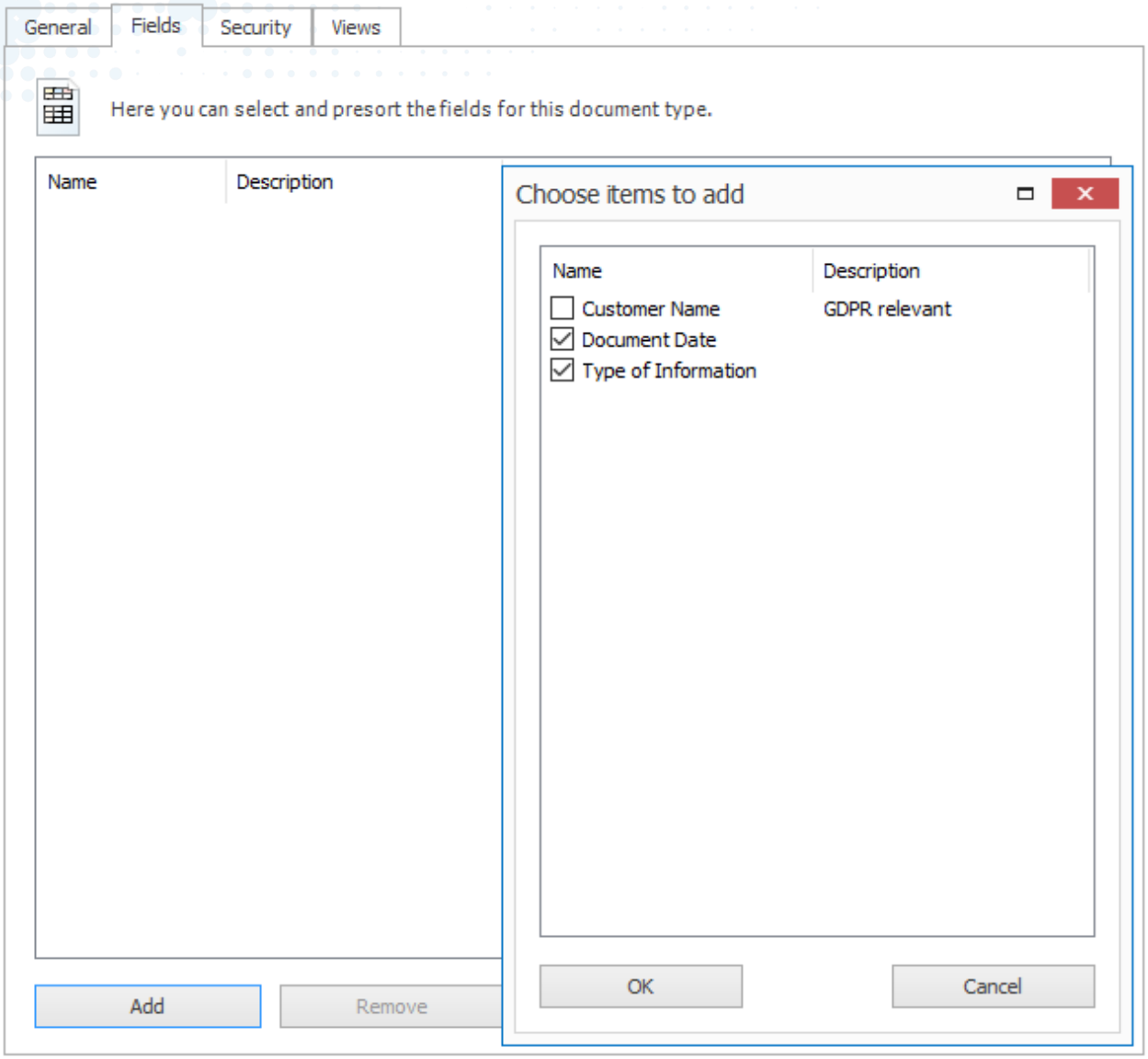
Click on the ***New*** tool after selecting ***Document Types*** and the Document Type configuration window will open.

Settings within General

Display name:	General Information
Description:	
Storage pool:	Default Storage Pool

Settings within Fields

In the ***Fields*** tab select the required fields to be associated with the Document Type from the total pool of fields available. Clicking ***Add*** will display the list of available index fields for selection.



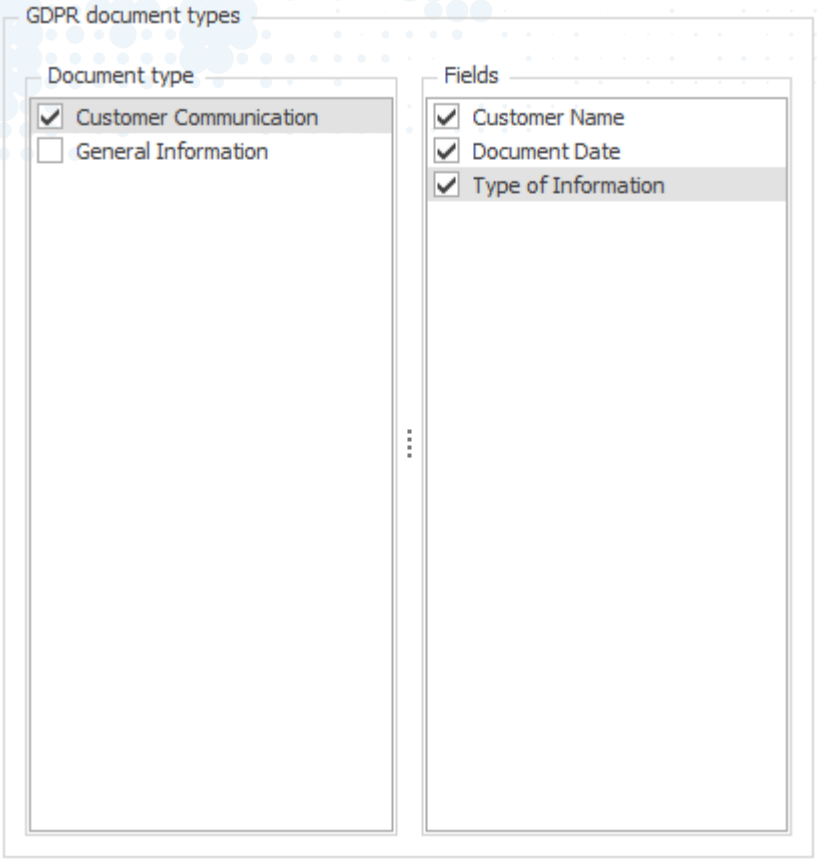
GDPR Settings

GDPR Tab in Cabinet Configuration

The tab offers two columns which show the existing document types and fields of the selected cabinet.

In this example, the document type ***Customer Communication*** with its corresponding fields is setup for a GDPR compliant log.

As the document type ***General Information*** does not contain any customer data, it is not selected. See the screenshot, below.

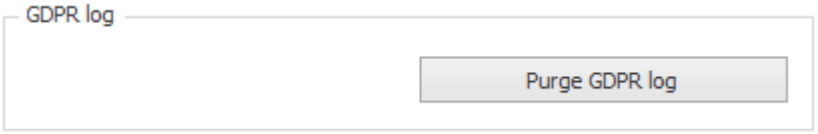


GDPR Log

The option Purge GDPR log deletes all GDPR compliant log entries from the Efalia ECM log.

This option does affect any other log entries.

GDPR log entries are created when a ***Destroy*** event has taken place.



Audit Trail

In this example, Efalia ECM AuditTrail does log all events.

Check-in

Three, new documents are checked into the Cabinet ***How to: Setup GDPR***. Two documents are stored into the document type ***Customer Communication***, which is setup for GDPR compliant logging and a third document is stored into the document type ***General Information***, which is not part of the GDPR setup.

Cabinet: How to: Setup GDPR				
	State change	Check-In	Customer Communication	Dokumenten ID: 20190819-0513-5894-4007-28d6500f57a8
	Document	Creation	Customer Communication	Dokumenten ID: 20190819-0513-5894-4007-28d6500f57a8
	Document	Creation	General Information	Dokumenten ID: 20190819-0513-3656-8857-7b3d0e0e2ca9
	State change	Check-In	General Information	Dokumenten ID: 20190819-0513-3656-8857-7b3d0e0e2ca9
	State change	Check-In	Customer Communication	Dokumenten ID: 20190819-0512-5255-3163-2eff7ac56529
	Document	Creation	Customer Communication	Dokumenten ID: 20190819-0512-5255-3163-2eff7ac56529

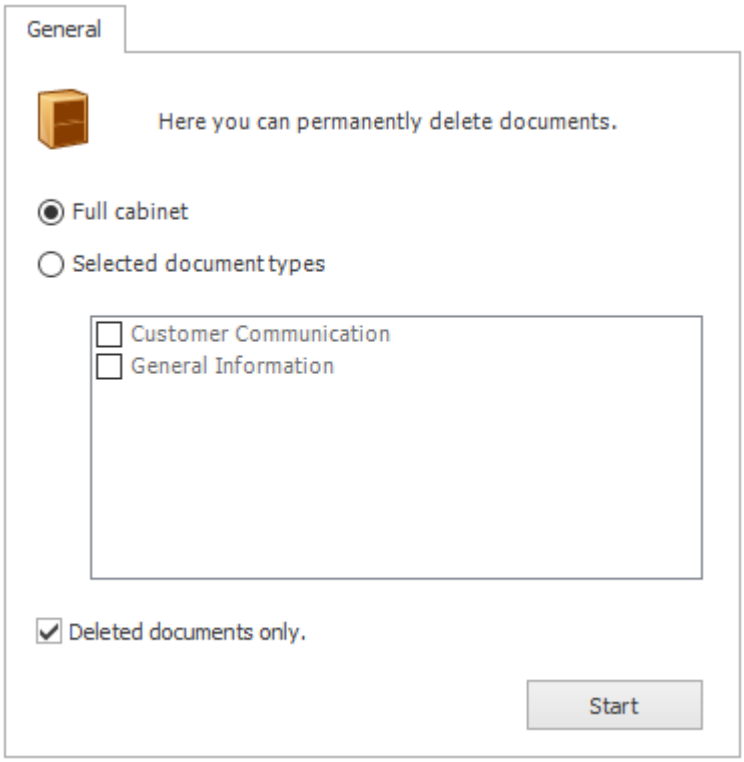
Deleted in Efalia ECM WinClient

All three documents are deleted, using Efalia ECM WinClient. They are flagged as ***Deleted***.

Cabinet: How to: Setup GDPR				
	Document	Deletion	Customer Communication	Dokument 20190819-0513-5894-4007-28d6500f57a8
	Document	Deletion	Customer Communication	Dokument 20190819-0512-5255-3163-2eff7ac56529
	Document	Deletion	General Information	Dokument 20190819-0513-3656-8857-7b3d0e0e2ca9

Purge Cabinet

A purge of the cabinet was done, using the setting Deleted documents only.

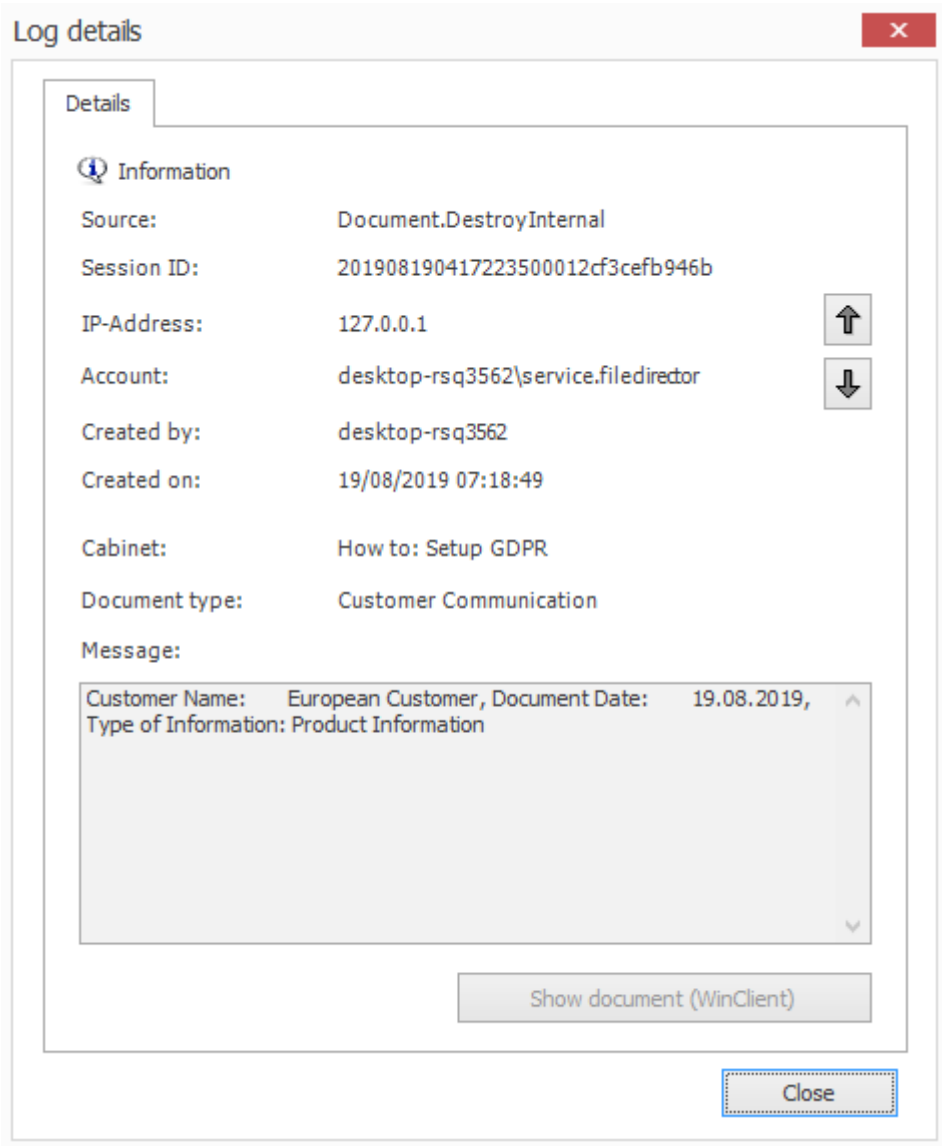


The log file lists all three documents as destroyed and provides the specific field values of the document type ***Customer Communication***.

In this way, it can be proofed that the data of the European customer was destroyed and exactly, which documents.

Document	Destroy	Customer Communication	Customer Name:	European Customer,
Document	Destroy	General Information		
Document	Destroy	Customer Communication	Customer Name:	European Customer,

See also the log details.



Extended Example/Retention Control

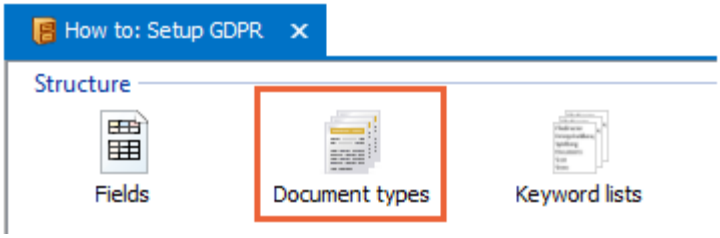
In case, users do not have the right ***Delete***, Efalia ECM Retention Control can be used.

Important

The applicable legal requirements of retention periods of business relevant data such as invoices etc. is not being touched by the GDPR.

Document Types

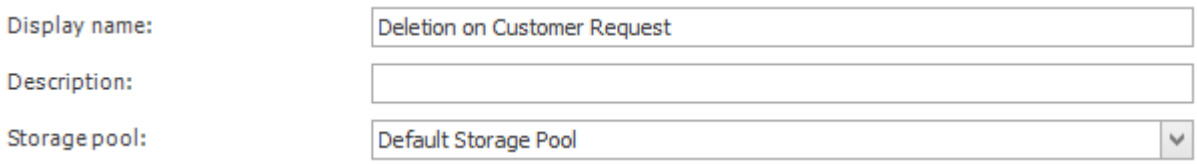
In this extended example, an additional document type is created – ***Deletion on Customer Request***.



Deletion on Customer Request

Click on the ***New*** tool after selecting ***Document Types*** and the Document Type configuration window will open.

Settings within General

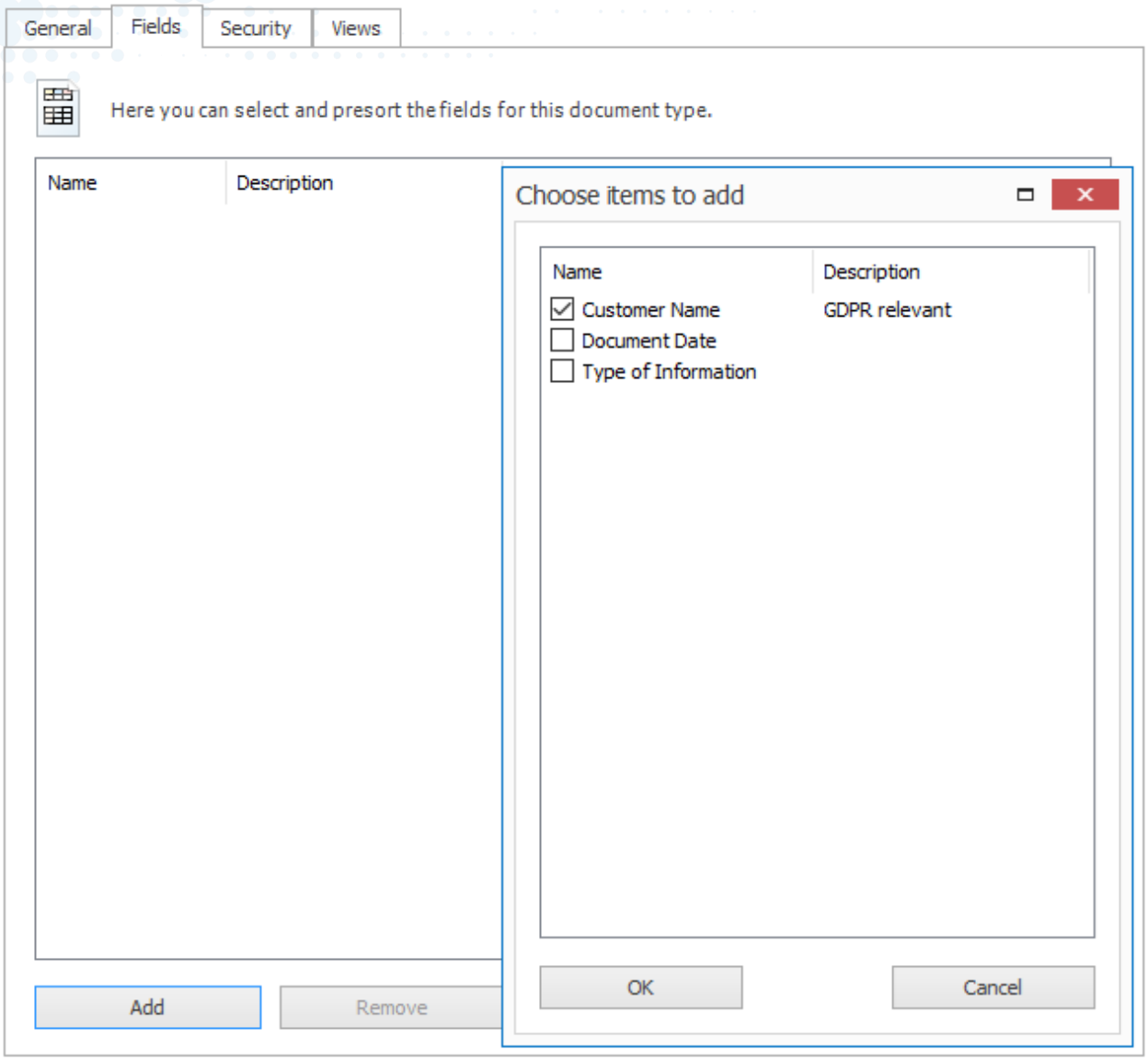


Settings within Fields

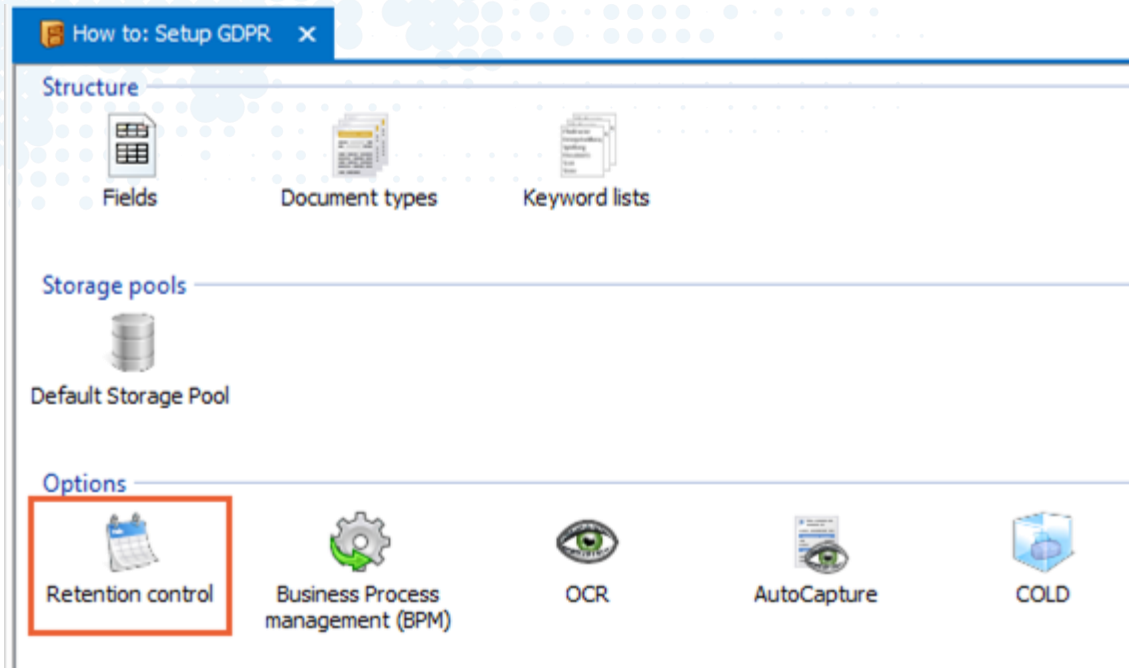
In the ***Fields*** tab select the required fields to be associated with the Document Type from the total pool of fields available. Clicking ***Add*** will display the list of available index fields for selection.

Requirements for GDPR-compliant log:

A target document type, used for this purpose must include all GDPR relevant fields, used in the source document types.

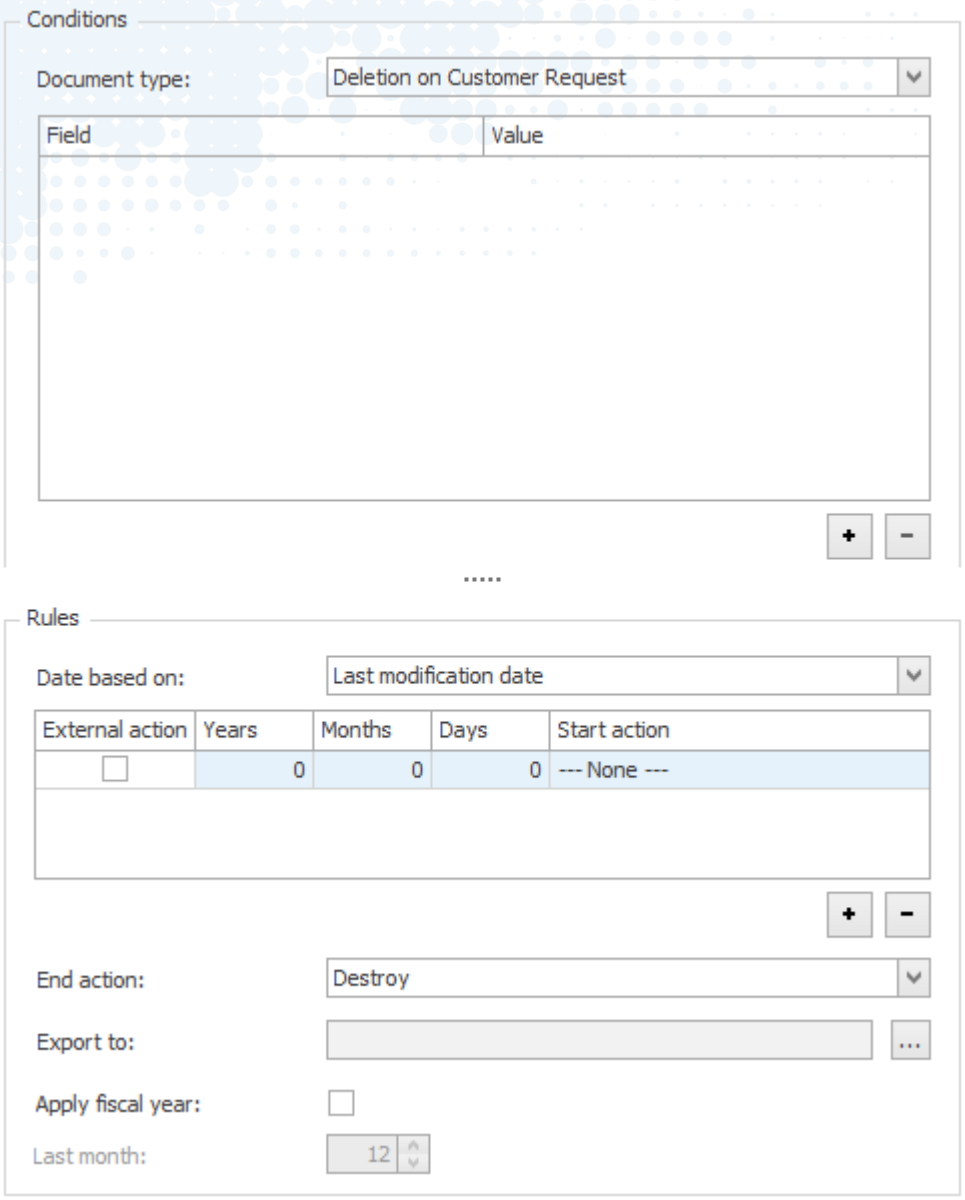


Retention Control



A user moves the respective documents into the intended document type Deletion on Customer Request.

The rule set in this example, will destroy the document immediately after a document is transferred into this document type and a run of the ***retention control scheduler***.



Conditions

Document type

The drop-down menu contains all document types in the cabinet. The rules, defined in section Rules are applied only to the selected document type. In this example, ***Deletion on Customer Request***.

Rules

Date based on

The base date upon which the documents lifetime and the action to be taken after the documents lifetime has expired must be configured.

Option	Description
Last modification date	This is the date of the last revision

Retention Period

The Retention Period can be set, applying years, months and days following the selected Base date, after which the configured retention process will start.

Press the ***Plus*** button to add a retention period.

Note

In this example, documents transferred to the document type Deletion on Customer Request are destroyed immediately, according to the retention control scheduler interval setup.

Start Action

An action can be configured to be performed on the documents once the retention period specified has been reached.

Option	Description
None	None

End Action

The End Action will be applied to the documents once all retention processing periods have expired.

Option	Description
Destroy	Deletes all document data held in the storage pool, and all data from the database.

Scheduler General Settings

There are settings that are applied to all schedulers.

Execute on server

There are special settings for every scheduler. If more than one Efalia ECM server exists the licence can be chosen for every scheduler. If ***any*** is selected, the first server found with a valid licence will run the scheduler.

Note

If several servers are configured, the scheduler can only be started when Enterprise Manager is connected to a server on which the scheduler should be started.

Enable scheduler

The scheduler must be enabled to be active and ready to start. Status displays actual status and time when the scheduler was started for the last time. This information can also be seen in the scheduler list display.

Run on server start

When set, the scheduler will automatically start whenever the Efalia ECM Server service starts, irrespective of the schedule.

Scheduler interval

The start date shows the initial start date of the scheduler.

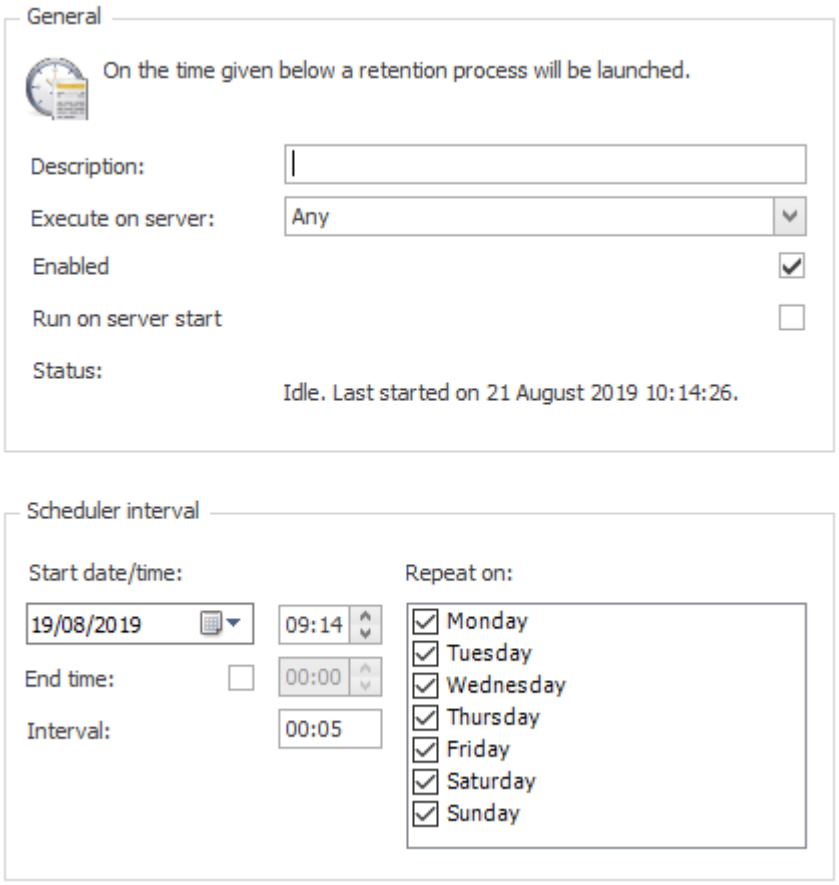
The configured start date/time is relevant for each selected day.

On each selected day the scheduler is started at the start time specified. The scheduler is restarted each time after the interval is elapsed until midnight of the specified day.

Ending a scheduler

Using the ***End time*** option the activity of a scheduler can be ended at a certain time. This way you can pause, for example, a file import so as to start a backup process.

Retention Control



Disclaimer

The examples shown in this document are general examples, how to technically enable GDPR-compliant log entries in Efalia ECM.

The periods and field information used for these examples do not reflect any applicable legal requirements for any specific type of documents.