

# **Building Enterprise Records Management Solutions for SharePoint 2010**

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# Agenda

- What is Records Management?
- Records Management Options in SharePoint
- Holds and Discovery
- Managed Metadata

# WHAT IS RECORDS MANAGEMENT?



# Records

- Records serve as immutable evidence of an activity or transaction performed by an organization
- Must be tightly controlled and auditable

Immutable

Tightly controlled

Audited

# Types of Records



Document



List Item



Email



Database



Fax



Message



Receipt



Comment

# Records Management

- Determines:
  - **What** information should be classified as a record
  - **How** records should be created
  - **When** records can be archived or destroyed
  - **Who** should be able to access records



# Records Management needs...

- Content analysis
- File plans
- Compliance requirements
- Audit
- Disposition schedules
- E-Discovery and E-Hold



# Challenges for RM Projects

- What information should be classed as a record?
- When does a document become a record?
- Where should I keep my records? How long?



# **RECORDS MANAGEMENT OPTIONS IN SHAREPOINT 2010**



# In-place Records

- Documents marked as records remain in their original location
- Benefits:
  - Supporting information maintained in-context
  - Easier for collaborators to find their content
  - No additional site provisioning required



# Archive Store

- Suits organizations with dedicated records management functions
- Benefits:
  - Additional metadata, policy, or workflow might be required for records.
  - Centralized management.
  - Ease of access.
  - Control over archive structure.
  - Tighter governance enabled.
  - Better scalability.



# Hybrid Approaches

- Method depends upon type of record
  - Document vs. List Item
  - Email vs. Messenger
- Multiphase disposition
  - In Place
  - Archive based on status or metadata
  - Automate via workflow



# Record Center

- Multiple instances
- Central archive for holding records
- Enterprise site template
- Create in a separate site collection



# Structuring a Record Center

- Base on file plan
- Concentrate on policy:
  - Ignore internal company structures
- Common drivers for structure:
  - Security policy
  - Storage
  - Retention policy
  - Audit settings
  - Content types



# The Document ID Service

- Provides a unique ID and URL for a document.
- Enabled via the Document ID feature [site collection scoped].
- Document IDs are assigned via a Timer Job.



# DEMO

## Creating a Records Center

Create records center, setup document ID,  
and declare a record

# Content Organizer

- Converts metadata into structure
- Drop-Off Library:
  - Temporary upload location
  - Content held until required metadata is provided
- Rules Engine:
  - Provides rules for the system to decide where to place a record.



# Creating Rules

- Rules stored in the Content Organizer Rules list
- Options:
  - Rule Name
  - Rule Status and Priority
  - Submission Content Type
  - Conditions
  - Target Location



# DEMO

## Content Organizer

Word promotes Author property, a rule routes content on the Author property


# Manual Record Declarations

- Submit directly into the Record Center:
  - Useful for external data stores
- Mark a record in-place in a document library.
- Send a document to a Record Center.



# Defining Information Policy

- Events define activation parameters
- Actions specify activity to perform
- Retention policies allow for record declaration at key dates in the content lifecycle

 Specify the event that activates this stage and an action that should occur once the stage is activated.

**Event**

Specify what causes the stage to activate:

This stage is based off a date property on the item

Time Period:  +

Set by a custom retention formula installed on this server:

**Action**

When this stage is triggered, perform the following action:

Type of transfer:  Copy  
 Move  
 Move and leave a link

Destination location:

Reason for transfer:

**Recurrence**

This stage will execute once according to the event defined above. Use recurrence to force the stage to repeat its action.

Repeat this stage's action until the next stage is activated  
After the stage is first triggered, the stage's action will recur forever until the next stage is triggered.

Recurrence period:

# HOLDS AND DISCOVERY



# What Is a Hold?

- Preservation of content for legal or audit purposes
- Preserves the state of the content at the time of the hold
- Commonly the result of pending legal litigation
- Goes hand in hand with electronic discovery



# What Is eDiscovery?

- Discovery of electronic content for legal or audit purposes
- Locating through culling the corpus for content matching a set criteria
- This can include any electronic document or item.



# Discovering Content

- Discover content using Search and Add to Hold page (available from site settings for top-level site).
- Select the site to search (Optional).
- Create search criteria.
- Optionally preview the results.

## Search Criteria

Specify the site that you want to search and the search terms related to the hold.

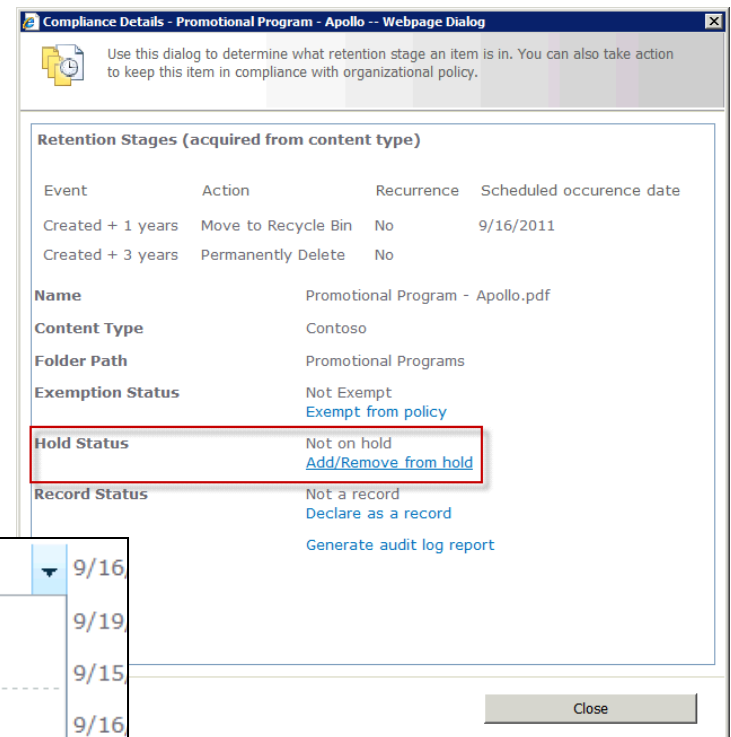
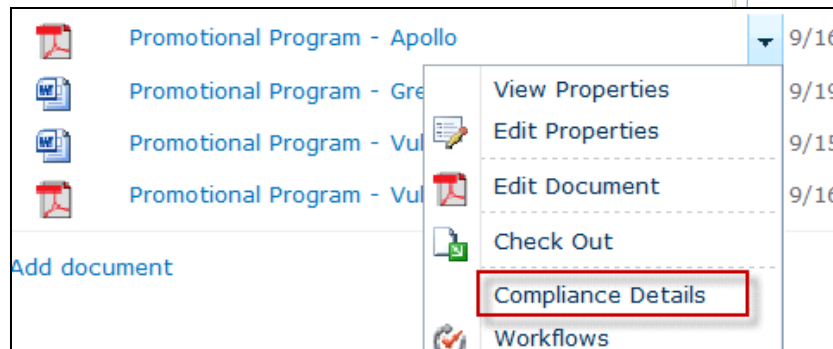
You can specify complex searches using the keyword syntax. [Learn more about keyword syntax.](#)

Currently selected site:

Enter one or more search terms into the box below:

# Associating Content with Holds (Manual)

- Individual items may be added using the Compliance Details dialog.

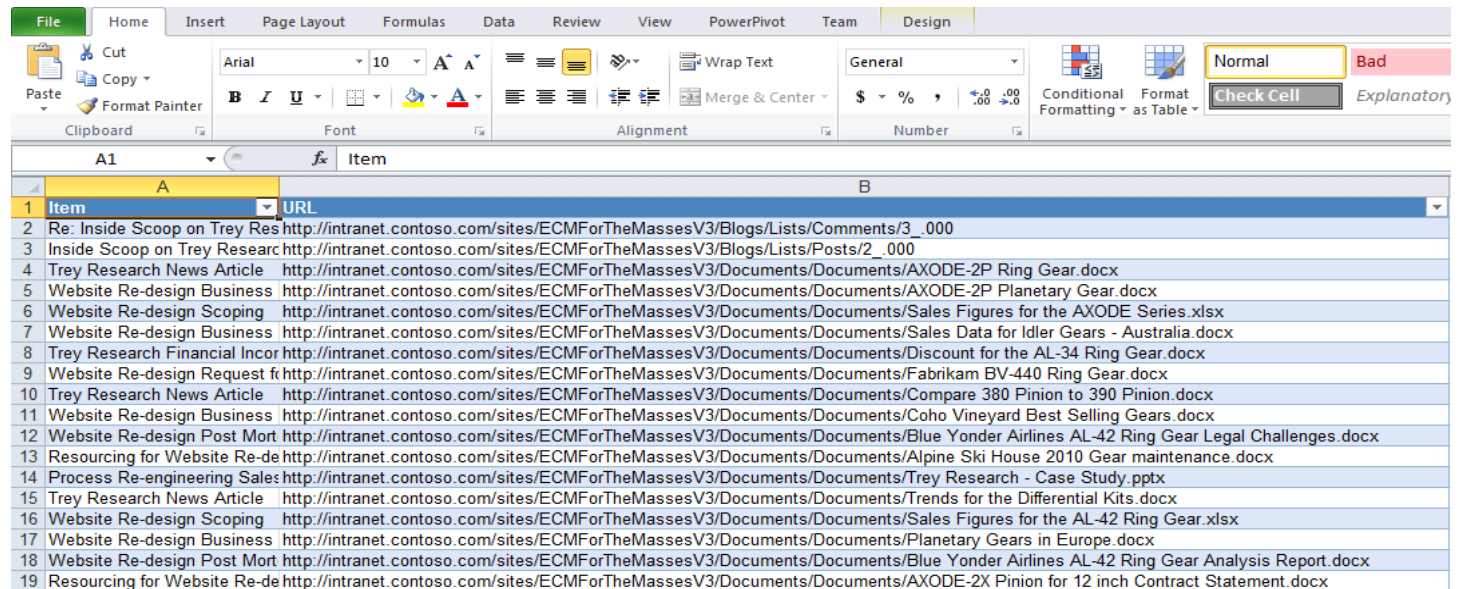


# Releasing Items and Holds

- The eDiscovery process can include results:
  - That are not relevant to the hold
  - That are not legally required
- The Compliance dialog can be used to release an item from a hold.
- Holds have a lifecycle and can be released when no longer required.
- Holds can be released by viewing the hold list item and selecting Release hold... link.

# Viewing Items in a Hold

- Use hold reports to view:
  - Status of holds
  - Items associated with holds



The screenshot shows the Microsoft Excel interface with the 'Design' tab selected. The ribbon includes options for Cut, Copy, Paste, Format Painter, Clipboard, Font, Alignment, Merge & Center, Wrap Text, General, Number, Conditional Formatting, and Format as Table. The active cell is A1, containing the text 'Item'. The table below has two columns: 'Item' and 'URL'. The 'Item' column lists various documents and articles, and the 'URL' column provides the corresponding web addresses for each item.

	A	B
1	Item	URL
2	Re: Inside Scoop on Trey Res	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Blogs/Lists/Comments/3_000">http://intranet.contoso.com/sites/ECMForTheMassesV3/Blogs/Lists/Comments/3_000</a>
3	Inside Scoop on Trey Researc	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Blogs/Lists/Posts/2_000">http://intranet.contoso.com/sites/ECMForTheMassesV3/Blogs/Lists/Posts/2_000</a>
4	Trey Research News Article	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/AXODE-2P Ring Gear.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/AXODE-2P Ring Gear.docx</a>
5	Website Re-design Business	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/AXODE-2P Planetary Gear.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/AXODE-2P Planetary Gear.docx</a>
6	Website Re-design Scoping	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Sales Figures for the AXODE Series.xlsx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Sales Figures for the AXODE Series.xlsx</a>
7	Website Re-design Business	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Sales Data for Idler Gears - Australia.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Sales Data for Idler Gears - Australia.docx</a>
8	Trey Research Financial Incor	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Discount for the AL-34 Ring Gear.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Discount for the AL-34 Ring Gear.docx</a>
9	Website Re-design Request f	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Fabrikam BV-440 Ring Gear.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Fabrikam BV-440 Ring Gear.docx</a>
10	Trey Research News Article	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Compare 380 Pinion to 390 Pinion.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Compare 380 Pinion to 390 Pinion.docx</a>
11	Website Re-design Business	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Coho Vineyard Best Selling Gears.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Coho Vineyard Best Selling Gears.docx</a>
12	Website Re-design Post Mort	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Blue Yonder Airlines AL-42 Ring Gear Legal Challenges.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Blue Yonder Airlines AL-42 Ring Gear Legal Challenges.docx</a>
13	Resourcing for Website Re-de	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Alpine Ski House 2010 Gear maintenance.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Alpine Ski House 2010 Gear maintenance.docx</a>
14	Process Re-engineering Sale	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Trey Research - Case Study.pptx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Trey Research - Case Study.pptx</a>
15	Trey Research News Article	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Trends for the Differential Kits.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Trends for the Differential Kits.docx</a>
16	Website Re-design Scoping	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Sales Figures for the AL-42 Ring Gear.xlsx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Sales Figures for the AL-42 Ring Gear.xlsx</a>
17	Website Re-design Business	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Planetary Gears in Europe.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Planetary Gears in Europe.docx</a>
18	Website Re-design Post Mort	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Blue Yonder Airlines AL-42 Ring Gear Analysis Report.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/Blue Yonder Airlines AL-42 Ring Gear Analysis Report.docx</a>
19	Resourcing for Website Re-de	<a href="http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/AXODE-2X Pinion for 12 inch Contract Statement.docx">http://intranet.contoso.com/sites/ECMForTheMassesV3/Documents/Documents/AXODE-2X Pinion for 12 inch Contract Statement.docx</a>

# Creating Retention Policies

<p><b>Name and Administrative Description</b></p> <p>The name and administrative description are shown to list managers when configuring policies on a list or content type.</p>	<p>Name: <input type="text" value="Standard Retention Policy"/></p> <p>Administrative Description: <input type="text" value="This policy can be consider the standard retention policy for Contoso."/></p>												
<p><b>Policy Statement</b></p> <p>The policy statement is displayed to end users when they open items subject to this policy. The policy statement can explain which policies apply to the content or indicate any special handling or information that users need to be aware of.</p>	<p>Policy Statement: <input type="text" value="This document or record is associated with the Stanard Retention Policy."/></p>												
<p><b>Retention</b></p> <p>Schedule how content is managed and disposed by specifying a sequence of retention stages. If you specify multiple stages, each stage will occur one after the other in the order they appear on this page.</p> <p><b>Note:</b> If the Library and Folder Based Retention feature is active, list administrators can override content type policies with their own retention schedules. To prevent this, deactivate the feature on the site collection.</p>	<p><input checked="" type="checkbox"/> Enable Retention</p> <p><b>Non-Records</b> Specify how to manage retention on items that have not been declared records:</p> <table border="1"><thead><tr><th>Event</th><th>Action</th><th>Recurrence</th></tr></thead><tbody><tr><td>Last Modified + 7 years</td><td>Move to Recycle Bin</td><td>No</td></tr></tbody></table> <p><a href="#">Add a retention stage...</a></p> <p> <b>Note:</b> You can specify a different policy that applies once an item has been declared a record.</p> <p><b>Records</b> Specify how to manage retention on records:</p> <p><input type="radio"/> Use the same retention policy as non-records</p> <p><input checked="" type="radio"/> Define different retention stages for records:</p> <table border="1"><thead><tr><th>Event</th><th>Action</th><th>Recurrence</th></tr></thead><tbody><tr><td>Declared Record + 7 years</td><td>Move to Recycle Bin</td><td>No</td></tr></tbody></table> <p><a href="#">Add a retention stage for records...</a></p>	Event	Action	Recurrence	Last Modified + 7 years	Move to Recycle Bin	No	Event	Action	Recurrence	Declared Record + 7 years	Move to Recycle Bin	No
Event	Action	Recurrence											
Last Modified + 7 years	Move to Recycle Bin	No											
Event	Action	Recurrence											
Declared Record + 7 years	Move to Recycle Bin	No											

# Assigning to a Content Type

- Policies are associated with a content type.
- Association happens at one of two scopes:
  - Site Content Type
  - List Content Type
- Where a policy is created and where it is associated determines scope and reuse.

**Site Content Type Information**

Name: Project Import  
Description:  
Parent: Contoso  
Group: Custom Content Types

**Settings**

- ▣ Name, description, and group
- ▣ Advanced settings
- ▣ Workflow settings
- ▣ Delete this site content type
- ▣ **Information management policy settings**
- ▣ Manage publishing for this content type
- ▣ Document Information Panel settings

**Specify the Policy**

Specify the information management policy for this content type. If you would like to use one of this site's predefined policies then select "Use a site policy". Alternatively, you can directly create or edit the policy settings.

Specify the policy:

None

Define a policy...

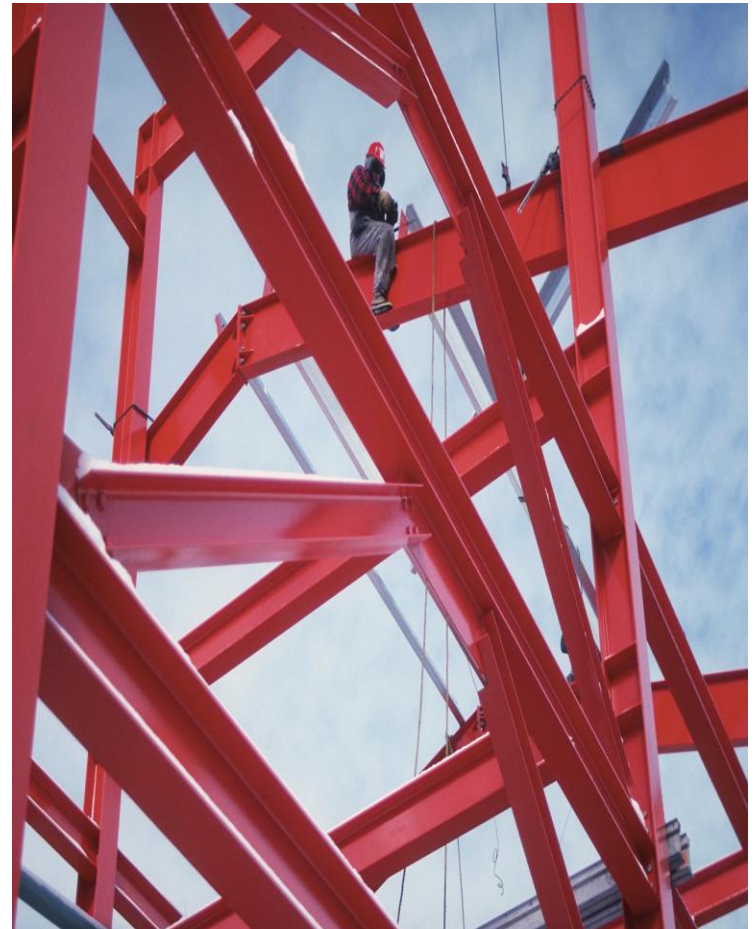
Use a site collection policy:

SOX Compliant Retention ▼

Description:  
Standard retention policy for SOX compliance records

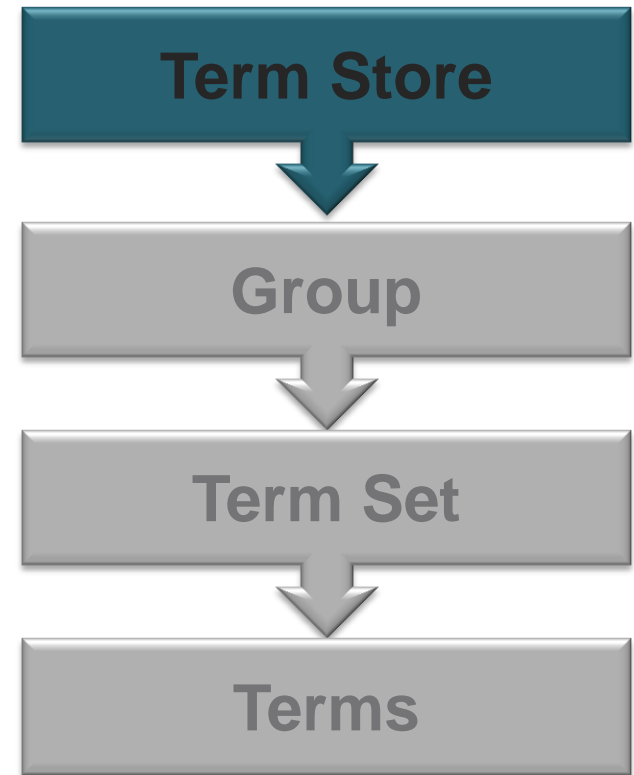
OK Cancel

# MANAGED METADATA



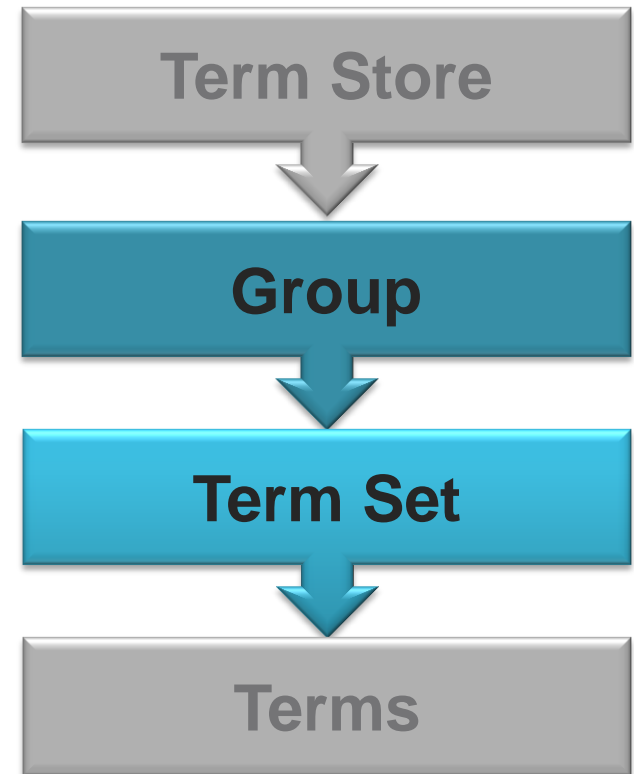
# Term Stores

- Database that contains information relating to taxonomies.
- Each Managed Metadata Service Application is a single instance of a term store.
- Includes groups, term sets, terms, and keywords.
- Web applications can have associations to multiple term stores.



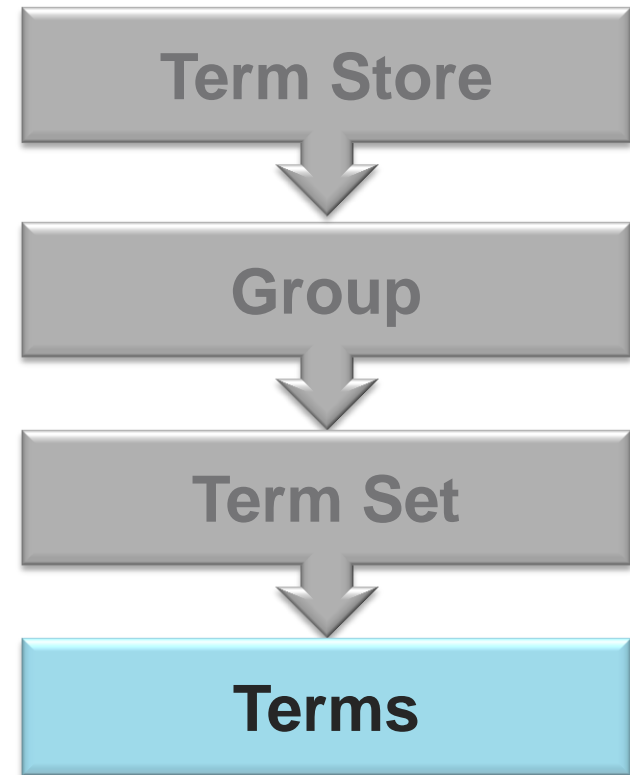
# Groups and Term Sets

- **Groups**
  - Contain one or more term sets
  - Provide a security boundary for term set administration (managers, contributors)
- **Term Sets**
  - Containers used to organize terms
  - May assign stakeholders
  - Configurable submission policy and tagging options



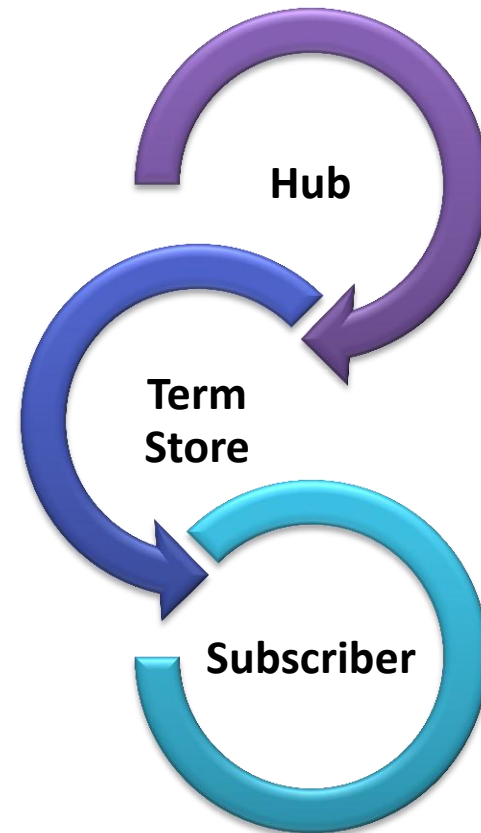
# Terms

- Predefined values that represent taxonomy objects.
- Can be nested up to seven levels deep.
- Terms can be associated with other terms as synonyms.
- Ability to define custom sort order.
- Organizational terms can be included that are not used in data selection.

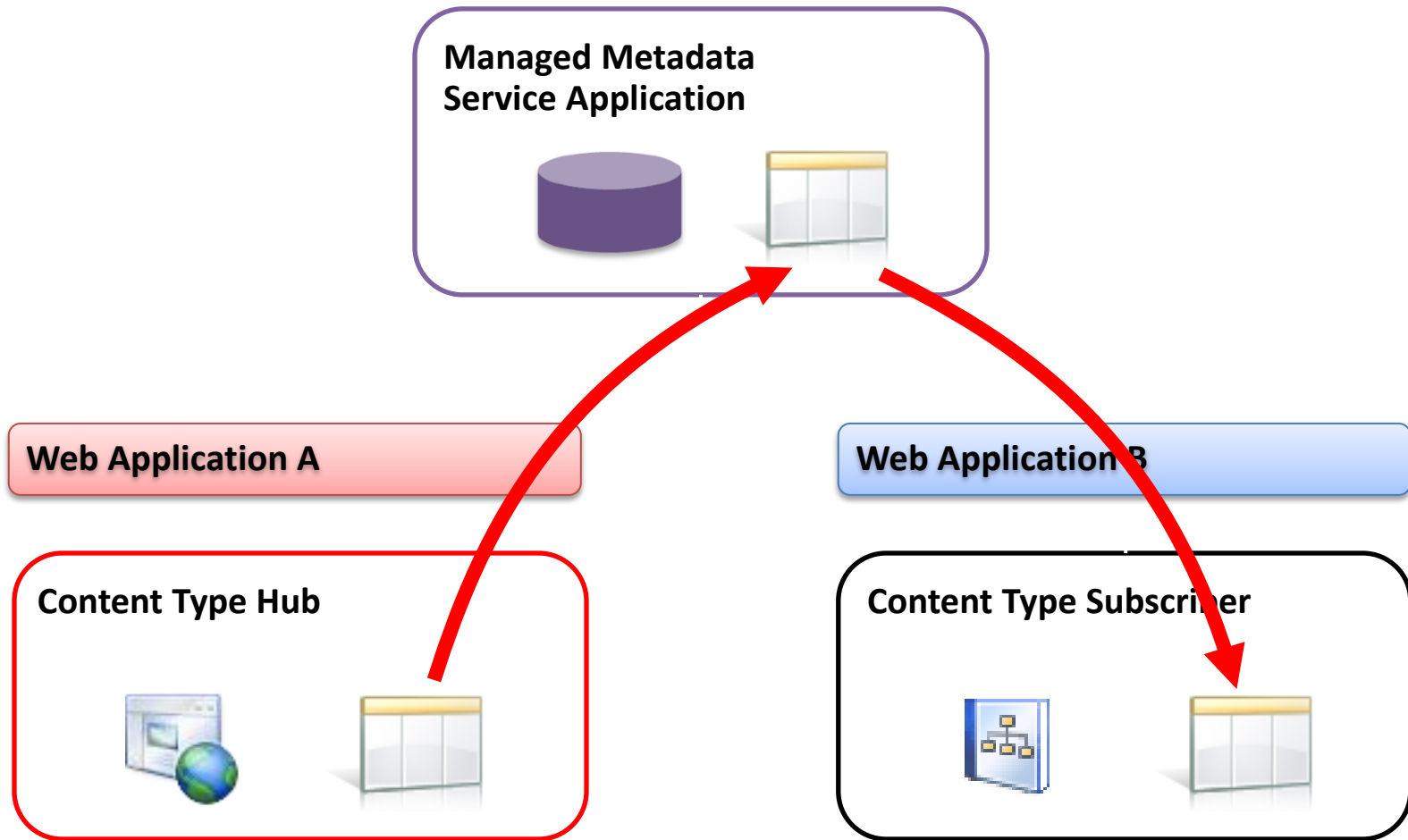


# Publishing and Updates

- Identify which site collections will serve as content type hubs and which will act as subscribers.
- Identify stakeholders and create a taxonomy maintenance plan.
- Set schedules for a content type hub and subscriber updates.



# Syndication



DEMO

# Content Type Syndication

Publish and consume an enterprise content type