



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

Definition

Records serve as evidence of an activity or transaction performed by an organization.

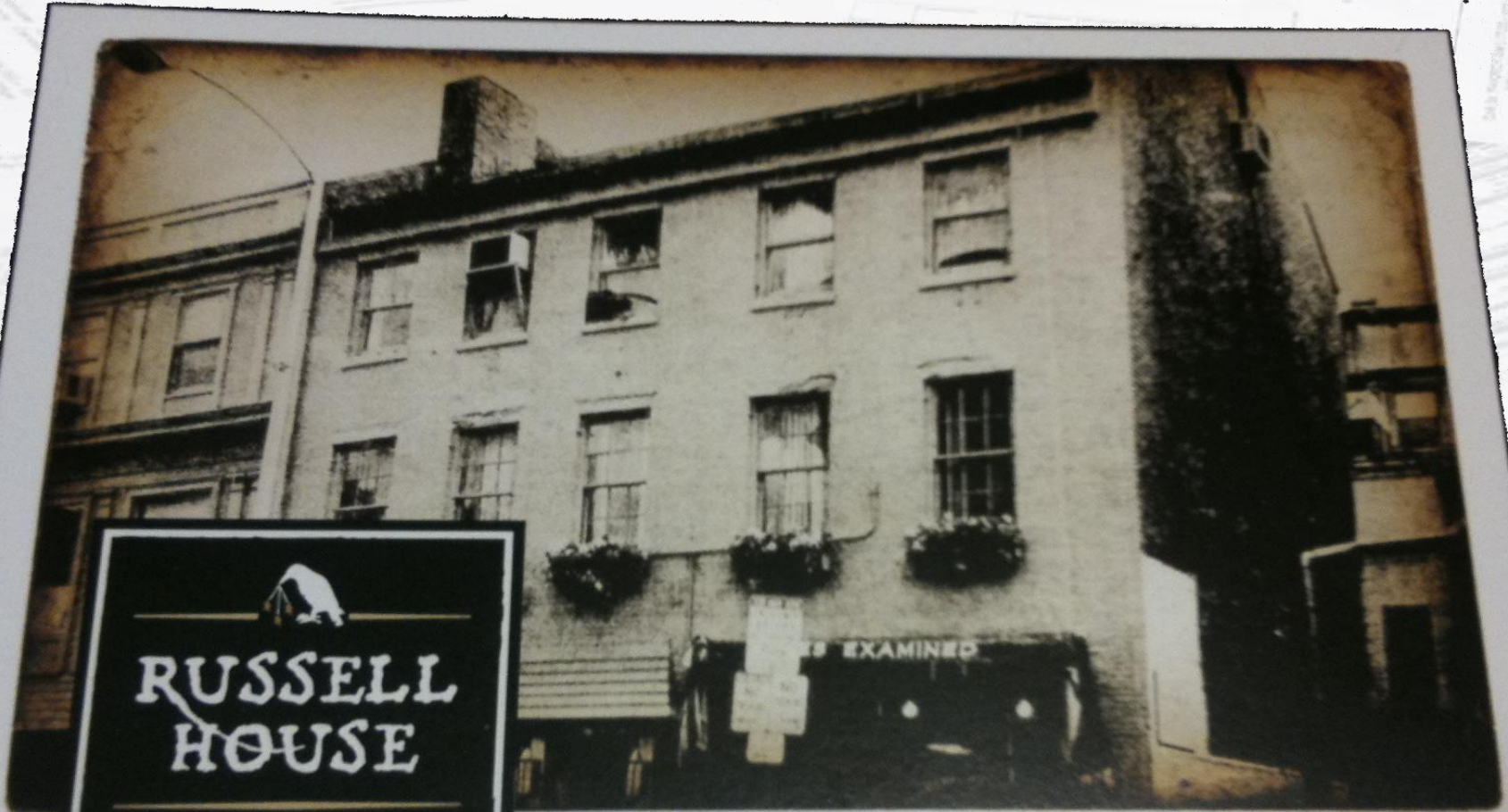
Records Are..

Immutable

Tightly controlled

Audited

Fact or Fiction



HARVARD SQUARE

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?



RECORDS MANAGEMENT OPTIONS IN SHAREPOINT

You want me to put
it where?



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

- Record type dependent:
- Multiphase disposition:
 - “in place”
 - At end of life, workflow(s) move all records into an archive.



Record Center

- Central archive for holding records
- Found in the Enterprise site template group
- Should be created in a separate site collection



Structuring Your Record Center

- Base it on your 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.



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

CREATING A RECORDS CENTER

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

The screenshot shows a web browser window titled "Content Organizer Rules - Group by Content Type - Windows Internet Explorer". The address bar shows the URL: <http://intranet.contoso.com/sites/Records%20Management/RoutingRules/Group%20by%20Content%20Type.aspx>. The browser's Favorites bar shows "Content Organizer Rules - Group by Content Type".

The main content area displays the "Content Organizer Rules: New Rule" form. The form is divided into several sections:

- Rule Name ***: A text input field for the rule name. Below it, a description states: "Describe the conditions and actions of this rule. The rule name is used in reports about the content of this site, such as a library's File Plan Report."
- Rule Status And Priority ***: A section for configuring the rule's status and priority. It includes a radio button for "Active" (selected) and "Inactive (will not run on incoming content)". A "Priority" dropdown menu is set to "5 (Medium)".
- Submission's Content Type ***: A section for selecting the content type. It includes a "Group" dropdown menu set to "Business Intelligence" and a "Type" dropdown menu set to "Select a content type...". Below this, there is an "Alternate names" section with a checkbox for "This content type has alternate names in other sites:", an "Add alternate name:" input field with an "Add" button, and a "List of alternate names:" input field with a "Remove" button. A note states: "Note: Adding the type '*' will allow documents of unknown content types to be organized by this rule."
- Conditions**: A section for defining the conditions for the rule. It includes a text input field for "Property-based conditions:" and a "Property-based conditions:" section with a "Property:" dropdown menu set to "Name", an "Operator:" dropdown menu set to "is equal to", and a "Value:" input field.
- Target Location ***: A section for specifying where to place content that matches the rule. It includes a "Destination:" input field and a "Browse..." button.

The Windows taskbar at the bottom shows the Start button, several application icons, and the system tray with the date and time: "Internet | Protected Mode: On", "100%", and "4:55 PM 3/14/2011".

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

CONTENT ORGANIZER


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

- Site Settings > Site Collection Administration > Site Collection Policy
- Retention policies allow for record declaration (in-place and archive) at key dates in the content's 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: + years

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: years

HOLDS AND DISCOVERY

Hold him girl!



What Is a Hold?

- Record management term
- 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
- Hand in hand with eDiscovery



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

- Discovery 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.

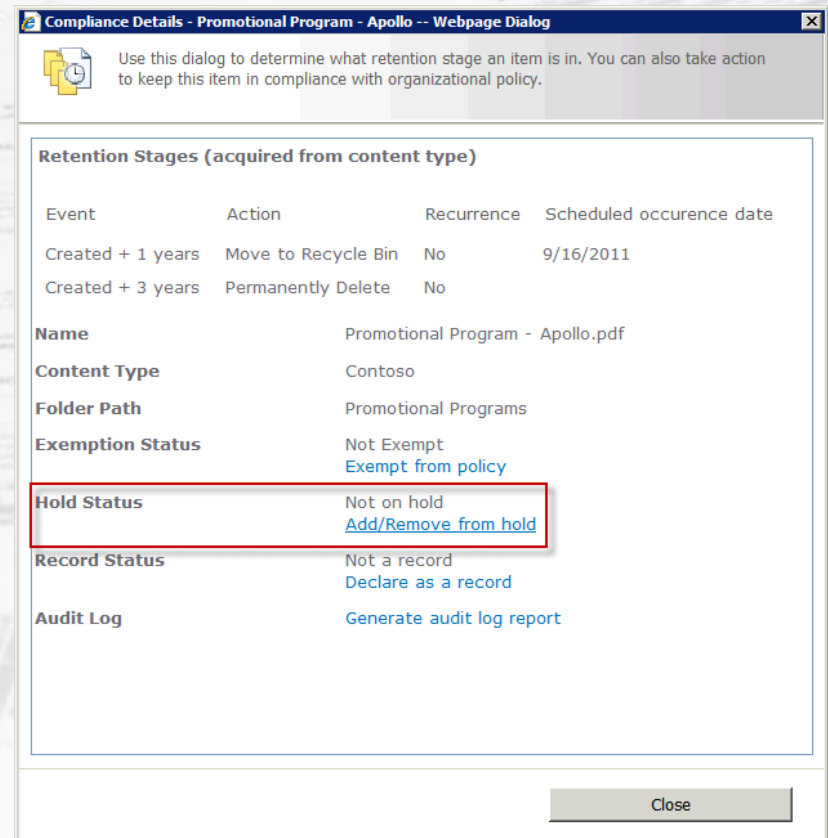
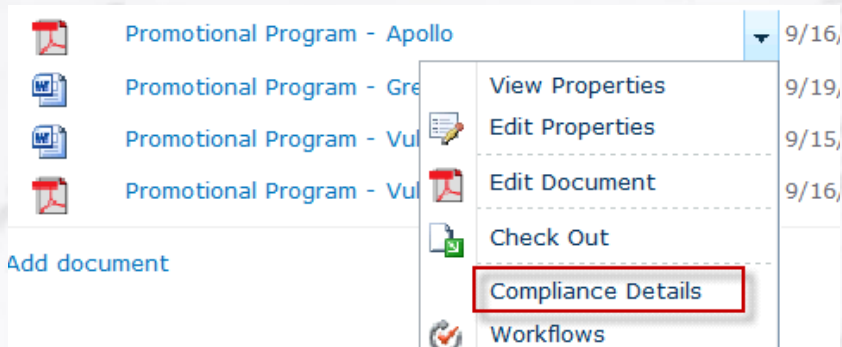
You can specify complex searches using the keyword syntax. [Learn more about keyword syntax.](#)

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.

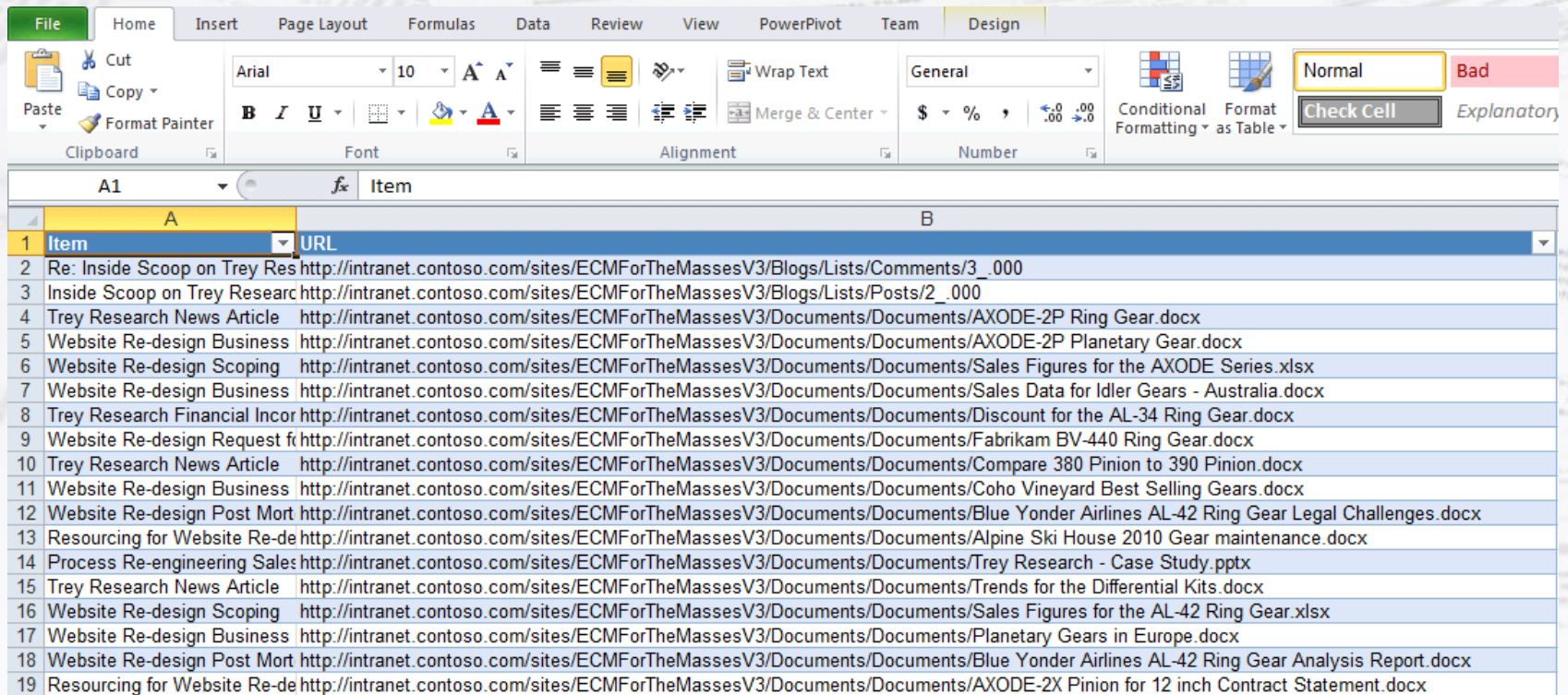


Releasing Items and Holds

- The eDiscovery process can include results:
 - That are not relevant to the hold
 - That are not discoverable
- 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 Clipboard, Font, Alignment, Number, and Conditional Formatting. The active cell is A1, containing the formula '=Item'. The table below has two columns: 'Item' and 'URL'. The table contains 19 rows of data, each with a unique item name and its corresponding URL.

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

Creating Retention Policies

Name and Administrative Description <p>The name and administrative description are shown to list managers when configuring policies on a list or content type.</p>	Name: <input type="text" value="Standard Retention Policy"/> Administrative Description: <input type="text" value="This policy can be consider the standard retention policy for Contoso."/>												
Policy Statement <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>	Policy Statement: <input type="text" value="This document or record is associated with the Stanard Retention Policy."/>												
Retention <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>Note: 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>	<input checked="" type="checkbox"/> Enable Retention Non-Records Specify how to manage retention on items that have not been declared records: <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> Add a retention stage... <p> Note: You can specify a different policy that applies once an item has been declared a record.</p> Records Specify how to manage retention on records: <input type="radio"/> Use the same retention policy as non-records <input checked="" type="radio"/> Define different retention stages for records: <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> Add a retention stage for records...	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											



Site Collection Administration

- Search settings
- Search scopes
- Search keywords
- FAST Search keywords
- FAST Search site promotion and demotion
- FAST Search user context
- Recycle bin
- Site collection features
- Site hierarchy
- Site collection navigation
- Site collection audit settings
- Audit log reports
- Portal site connection
- Site collection policies

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

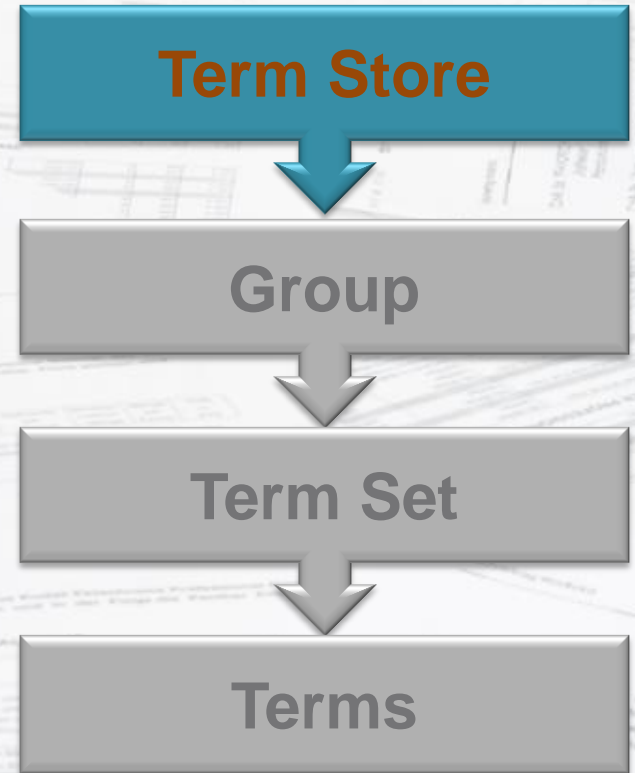
MANAGED METADATA

Whatcha talking
'bout Willis?



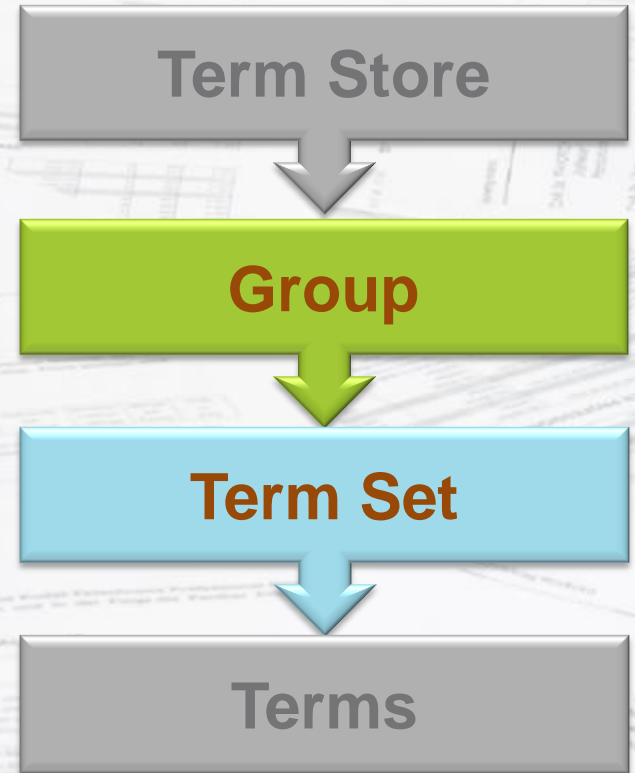
Term Stores

- 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.



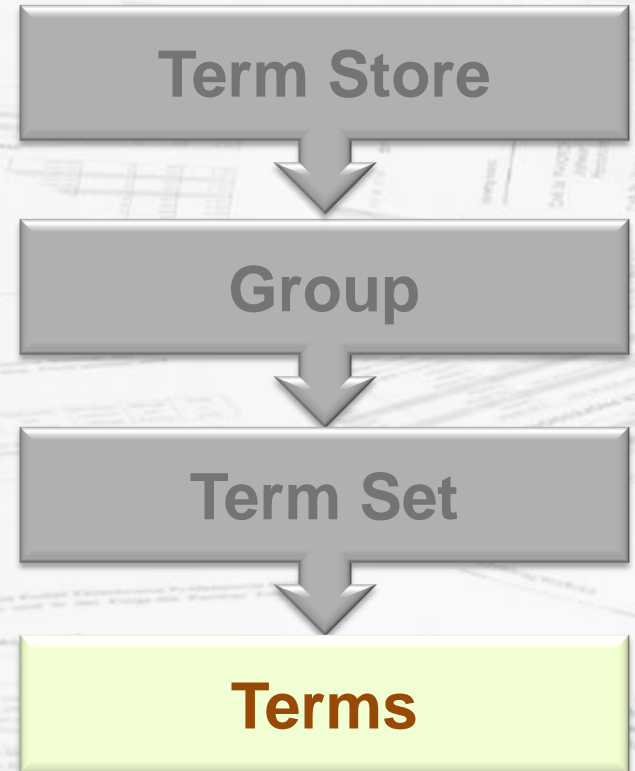
Groups and Term Sets

- **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



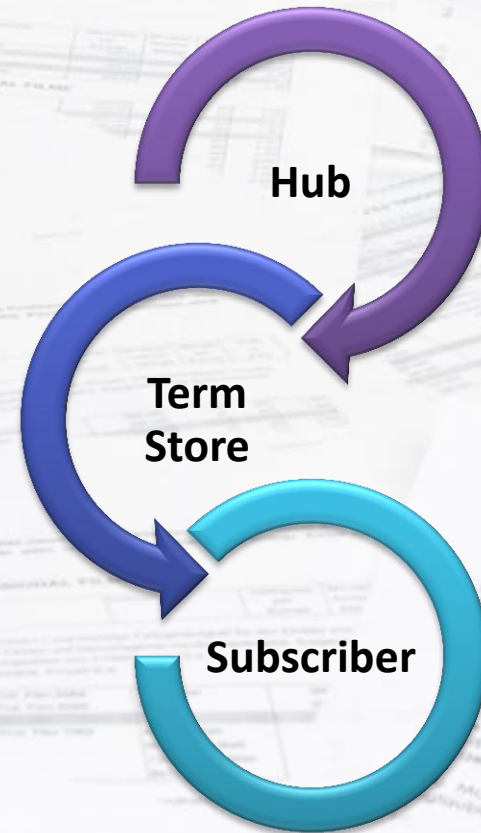
Terms

- 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.

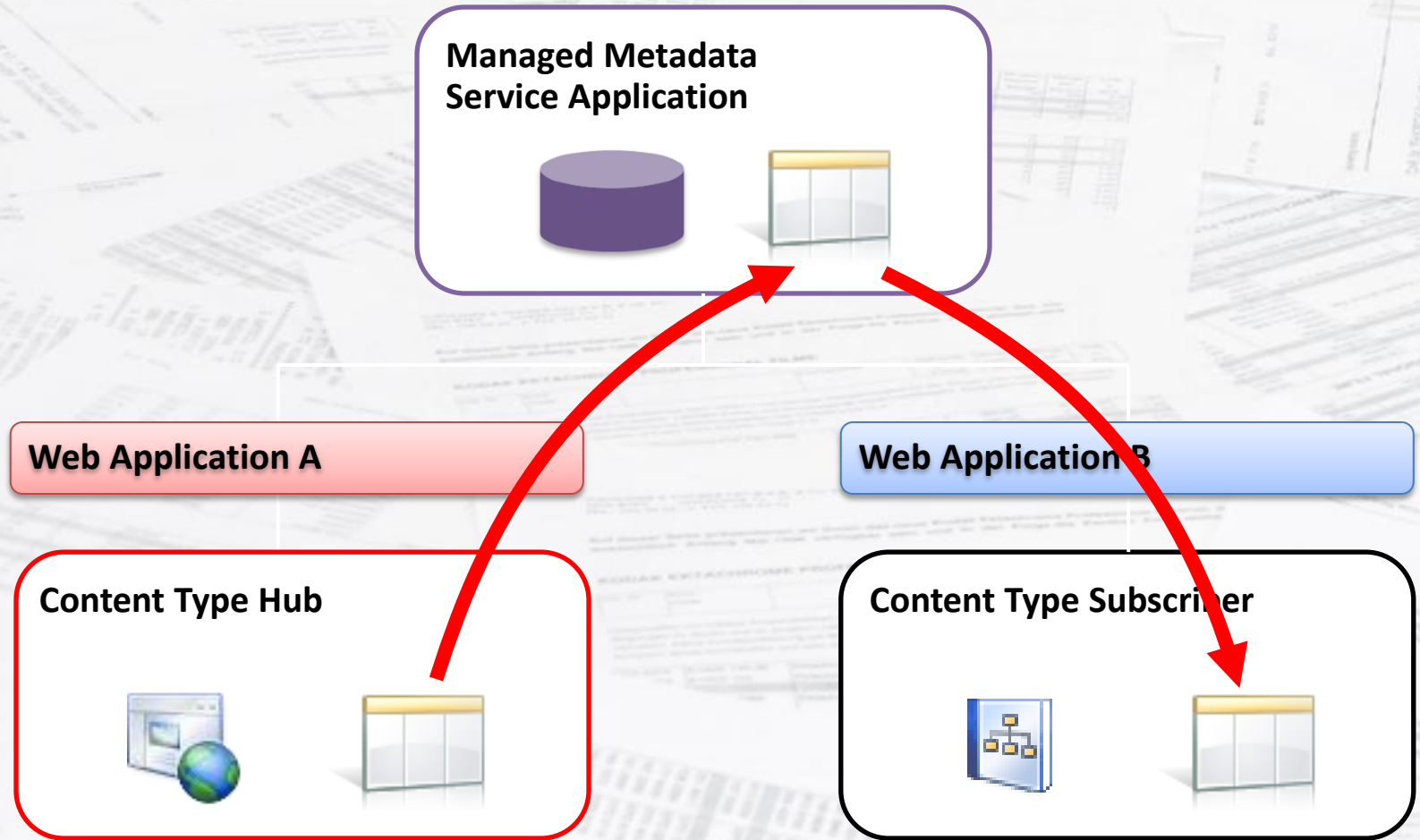


Publishing and Updates

- 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





CONTENT TYPE SYNDICATION

Please fill out your evaluations.

THANK YOU