Records Management and SharePoint 2013

SHAREPOINT MANAGEMENT, ARCHITECTURE AND DESIGN

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http://www.CollectiveKnowledgeSolutions.com

Implementing SharePoint solutions since 2001

Led the implementation of more than 100 enterprise-class SharePoint DMS, KMS and RMS solutions

Specializing in architecture, information architecture, library science, design, implementation, BPM/BPA, governance and user adoption

SharePoint Blog
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Agenda

What is Records Management?
Records Management Lifecycle
SharePoint In-place Records Management
SharePoint Records Center
SharePoint eDiscovery
What is Records Management?

ISO standard 15489: 2001 defines Records Management (RM) as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

Defined as the creation, retention and scheduled destruction of an organizations physical or electronic documents

A record is defined as:

- Physical or electronic entity (document)
- Entity that represents proof of existence
- Required to support legal obligations or the transaction of business
- Complies with records management lifecycle

When is it important to implement a records management solution?

- When you have documents that require retention for legal, business or regulatory purposes
- When you need to lock-down documents from being edited
- When you need to archive or dispose of records once retention has been met
- Corporate and/or regulatory compliance requirements
- eDiscovery and holds; locating and protecting records related to litigation

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Balancing Act

Balance design and implementation with ease of use and governance

Don’t expect all employees to be records managers

Remember – if it’s not intuitive and easy to use, users will either not use it or use it incorrectly
Fail or Succeed at Records Management

HOW TO FAIL AT RECORDS MANAGEMENT

Make records schedule and management complex

Don’t integrate your records management requirements with processes

Depend on staff to evaluate content, accurately declare as correct record type, and accurately add all needed metadata

HOW TO SUCCEED AT RECORDS MANAGEMENT

Simplify records management schedule

Educate users

Integrate records management with content management workflow

Use default metadata values
Records Management Lifecycle

The records management lifecycle consists of discrete phases covering the lifespan of a record; from its creation (or identification) to its final disposition. The most common phases for a record include:

- **Creation and Identification**
  - Governance, policies and procedures for the creation and identification of documents that are to be managed as records.

- **Classification**
  - Applying information architecture techniques to support retention/disposition plans and aid in retrieving records for legal, business and regulatory purposes.

- **Storing and Securing**
  - Coordinating access to records; internally and externally.

- **Archiving and Preserving**
  - Providing a storage archive for records, securing them before eventual permanent destruction.

- **Retrieving and Tracking**
  - Retrieving records to support eDiscovery and case management, tracking the life of a record.

- **Destruction**
  - Providing a means of permanent record destruction.
Records Management Lifecycle

(1) Creation and Identification

Document policies and procedures to support your specific records management initiatives

SharePoint must be configured to identify documents that are records and become records

- Use content types, metadata, policies, workflow, content routing, in-place records and records center

Educate content owners where and how to store/manage their content and how to declare content as records

- Better yet – automate records declaration using normal document management processes

ROLES

- **Records Management Team** – responsible for the management of all records in organization
  - Legal, records librarian, custodian
- **Record Owners** – typically a business user who has been identified as the owner of specific types of records
- **Record Owner Manager** – Manager of record owners
- **Record Site/Library Owner** – Administrator of a records management site and/or libraries
Records Management Lifecycle

(1) Creation and Identification

Identify documents that are to be managed as records
- Use a Records File Plan and Retention Schedule

<table>
<thead>
<tr>
<th>RETENTION &amp; DISPOSITION RULES</th>
</tr>
</thead>
<tbody>
<tr>
<td>RETENTION ID</td>
</tr>
<tr>
<td>---------------</td>
</tr>
<tr>
<td>CONTRACT</td>
</tr>
<tr>
<td>SALES CONTRACT</td>
</tr>
<tr>
<td>VENDOR CONTRACT</td>
</tr>
</tbody>
</table>

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Records Management Lifecycle
(1) Creation and Identification

Identify documents that are to be managed as records
- Use a Records File Plan and Retention Schedule

**FILE PLAN**

<table>
<thead>
<tr>
<th>RECORDS</th>
<th>DESCRIPTION</th>
<th>RETENTION ID</th>
<th>ALLOW MANUAL DECLARATION</th>
<th>AUTOMATIC DECLARATION</th>
<th>NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer Sales Contract</td>
<td>Contractual product sales agreements between us and our clients.</td>
<td>SALES CONTRACT</td>
<td>Yes</td>
<td>[Today] &gt; [Contract End Date]</td>
<td>Before a sales contract can be declared a record, it must be approved by the Sales Manager or delegated Sales Content Management Custodian.</td>
</tr>
<tr>
<td>Vendor Contract</td>
<td>Contractual agreements between us and our vendors.</td>
<td>VENDOR CONTRACT</td>
<td>Yes</td>
<td>[Today] &gt; [Contract End Date]</td>
<td>Before a vendor contract can be declared a record, it must be approved by the Procurement Manager.</td>
</tr>
<tr>
<td>Corporate Policy</td>
<td>All corporate policy documents published and made available to our employees.</td>
<td>CORPORATE POLICY</td>
<td>Yes</td>
<td>[Policy Published to Employees] = True</td>
<td>Each time a corporate policy is published, a copy is declared a record (in our record repository).</td>
</tr>
</tbody>
</table>
Records Management Lifecycle

(1) Creation and Identification

Retention Policy Example
- Declared + retention period
- Declared (but active) -> Inactive + retention period
- Holds block disposal (no destruction allowed while record on hold)

Customer Contract Example
- Contract End Date triggers retention approval
- Sales records manager approved
- Workflow submits record to records center
- Records center manages retention and disposition rules
Records Management Lifecycle

(2) Classification

Apply Information Architecture techniques to support consistent storage, management and retrieval of records

Create SharePoint content types to support record document types

Use metadata to support findability and workflow triggers
  ◦ Store metadata at collaborative level to reduce input during record submission

Use auditing to record events
Records Management Lifecycle

(3) Storing and Securing

Use a single records destination
  ◦ Will contain many records center site collections, sites and libraries

Include source library URL (metadata) in records

Group records of similar classification
  ◦ Audience – avoid item level security
  ◦ Sales Contracts, Vendor Contracts, Policies, Run Books, Projects, etc...

Governance
  ◦ Content declared as records should not allow modification of any type
    ◦ If modification is required, store a new version of record
Records Management Lifecycle
(4) Archiving and Preserving

Records can have one to many retention schedule phases
- Example: in-place hold (active) -> inactive route to records center -> hold for 3 years -> route to archive – hold for 7 years

Archiving can move records to an archive repository
Records Management Lifecycle

(5) Retrieving and Tracking

Enterprise Search

Aggregation – content query, content search

eDiscovery

Record auditing
  ◦ Move/copy, delete/restore, check-in/check-out, edit, open, view
Records Management Lifecycle

(6) Destruction

Destroy all instances of record

◦ Including links in source (collaborative) libraries
Implementation and Automation

- Term Store
- Content Type Hub
- Records Libraries
- Content Organizer

1. Standard Taxonomy (Information Architecture)
2. Centralized Content Types, Metadata, Retention Schedule, Policy & Disposition Workflows
3. Apply Content Types
4. Content Routing Rules
## In-Place Records Versus Records Center

<table>
<thead>
<tr>
<th>IN-PLACE RECORDS</th>
<th>RECORDS CENTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records remain in original location</td>
<td>Records are moved to a special records center location</td>
</tr>
<tr>
<td>Users can easily find and use records</td>
<td>Record is no longer stored in it’s original location; can be accessed in many</td>
</tr>
<tr>
<td>Security and retention can be overridden by site administrators</td>
<td>ways (link in original location, search content search, etc.)</td>
</tr>
<tr>
<td>In-place records are not part of a central repository as such, they will be</td>
<td>Security and retention are centrally managed by records management administrators; compliance and legal</td>
</tr>
<tr>
<td>deleted when the site is deleted</td>
<td>Records are stored and preserved centrally</td>
</tr>
</tbody>
</table>

*Rarely an “either or” use... Most often use is a combination of both...*
SharePoint In-place Records Management

Places hold on document, cannot be edited/deleted

Records are managed in their original location

Can be used for records requiring hold while still active (in collaboration environment)

Supports an in-place records management lifecycle

Once inactive

- Remove in-place hold -> route to appropriate records center

**Records will be deleted when site is deleted**
SharePoint Records Center

To serve as a central repository to store and manage your corporate records; such as financial and legal documents.

Supports the most common 6 phases of the Records Management Lifecycle

Can be customized to support more elaborate records management lifecycle needs

Supports content routing (content organizer rules)
Records Management Process

Document to be Uploaded to Records Center

Document Uploaded to Drop Off Library

SharePoint Records Center

Drop Off Library

Legal Destination Library

Legal Destination Library

Legal Destination Library

Documents routed, from the Drop Off Library, to a Legal Destination Library once all routing rules are met.
Drop Off Library

The Drop Off Library is the initial library where all documents, that are to become records, are uploaded.

In most business scenarios, the Drop Off Library has versioning disabled.

Documents will be held in Drop Off Library until routing condition(s) are met.

Documents will be routed, from the Drop Off Library, to a destination record(s) library when specific rules are met. These are known as content organizer rules.

- Content organizer rules are executed based on administrative configuration settings.

Drop Off Library is not a point of content collaboration.
Uploading/Sending Documents to a Drop Off Library

A Drop Off Library is based on a standard SharePoint Document Library

- All means provided to a standard SharePoint Document Library can be used:
  - Upload a document and drag-n-drop a document

Send To

- Configure “Send To” records center
- In many scenarios there can be too many “Send To” items; consider a central Records Center Hub and custom workflow for routing

Matching metadata will be copied to drop off library

- The more metadata being managed at the collaborative level reduces the metadata input requirements at the time of record submission
SharePoint Records Center Best Practices

Governance
- Federated governance model
- Ownership – every record should have an owner
- Records Management Librarian or Custodian
  - Review and approve records
- Provisioning process for new records centers
- Strict rules for content classification

Libraries
- Create libraries to store specific classifications of documents (content types/metadata)
- Avoid item level security; consider audience during design phase
  - If specialized security is required, use a workflow (reduces error)
Records Center Hub

For larger implementations, consider a Records Center Hub

- Responsible for the collection and routing of all records
eDiscovery

eDiscovery, or electronic discovery, is the process of discovering electronically stored information that is relevant to legal matters such as litigation, audits and investigations.

Though it is called eDiscovery, the process typically entails more than just the discovery.

Most important for reducing legal processing and review costs.
SharePoint eDiscovery

- Create a (named) Case for each discovery need
- Add content sources
- Refine using filters
- Query eDiscovery Sets
- Further refine
- Save/export results
SharePoint eDiscovery

Cases

For each discovery requirement, you create a new case

Used to store and manage content sources and filters (eDiscovery Sets)

Used to store and manage queries; search, store and export content related to case
Sales Contract Management Design

Data Taxonomy - Content Types & Metadata

Defined in central content type hub
Sales Contract Management Design

Data Taxonomy - Content Types & Metadata

Defined in central content type hub
Sales Contract Management Design

Site Taxonomy

Defined in central content type hub


Customer Management
- Customer Contract Documents
  - Customer Sales Contract Document (Content Type)

Sales Department Records Center
- Drop Off Library
  - Customer Sales Contract Record (Content Type)
- Customer Sales Contract Records
  - Customer Sales Contract Record (Content Type)
Sales Contract Management Design

Contract Document Management

In-place Records Management
- \([\text{Contract Start Date}] \geq [\text{Today}]\)
  - Management Approval
    - Declare in-place record
- \(\text{Manual Declaration of In-place Record}\)
  - Management Approval
    - Declare in-place record

Send to Records Center
- \([\text{Contract End Date}] < [\text{Today}]\)
  - Management Approval
    - Undeclare in-place record
    - Send to records center (leave link)
- \(\text{Manual Send To Records Center}\)
  - Management Approval
    - Undeclare in-place record
    - Send to records center (leave link)
Sales Contract Management Design

Contract Record Management

Applied Retention and Disposition Policy Rules (Stages)

Retention
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.

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.

Enable Retention

Specify how to manage retentions:

- Event
  - Contract End Date + 7 years
  - Contract End Date + 7 years
  - Add a retention stage...

Action

- Delete all previous versions
- Permanently Delete

Recurrence

- No
- No

Auditing

Specify the events that should be audited for documents and items subject to this policy.

Enable Auditing

Specify the events to audit:

- Opening or downloading documents, viewing items in lists, or viewing item properties
- Editing items
- Checking out or checking in items
- Moving or copying items to another location in the site
- Deleting or restoring items
Questions

Please contact me to discuss your SharePoint Records Management needs!

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