

SharePoint Records and Compliance

Barry Boudreau
Chief Technology Officer
Kiefer Consulting Inc.



Introductions



Barry Boudreau
Chief Technology Officer
Kiefer Consulting

- Technology professional with 25 years experience
- 12 years at Microsoft Consulting Services (MCS) and Enterprise and Partner Group (EPG)
- 2 years as CTO at Kiefer Consulting delivering SharePoint and Office 365 projects.
- Enterprise Architect (and Developer when possible).



Kiefer Competencies



SharePoint

Leading Solution Provider in Northern California
Over 40 Customer Success Stories
Custom Solution Accelerators
Complete Lifecycle Services



.NET

Over 200 custom solutions and integration projects
Custom framework components to expedite delivery
Legacy, n-Tier and web architecture & development services



Dynamics CRM

Case Management, Contact Center and G2C Solutions
Rapid application development
Business process management
Business Intelligence
Familiar office and web user experience



Mobile

Cross-platform solutions and services
Proven design patterns for web, embedded and native solutions
Top 100 App in the Apple AppStore

Enterprise Data Architecture – align and integrate across solutions, environments and platforms

Proven Methodology – best practices and repeatable approach based on real-world experience

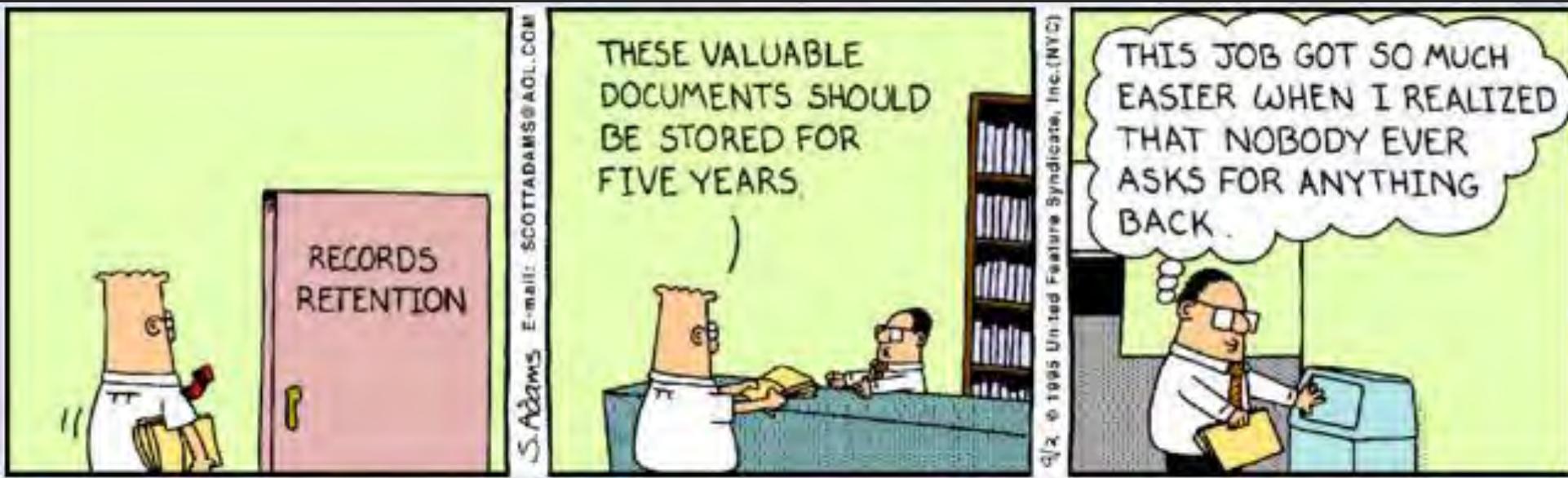
Education Commitment – Edunars™, SharePoint Saturday, Collaboration Experience

Expert Team – passionate about solving business challenges through the right application of technology

Agenda

- Why Care about SharePoint?
- What does SharePoint have that helps me?
 - Preparing for Litigation and eDiscovery
 - Protecting Key Data
 - What's in the Cloud
- Summary/Q&A

I'm pretty sure this is what happens when we're not looking...



Quick Question

- Who has SharePoint (any version) in their environment today?
 - What about Exchange?
 - What about File Shares?
- Who is using it as part of their overall Records Management Strategy?

Why should I care about
SharePoint?

SharePoint is here...

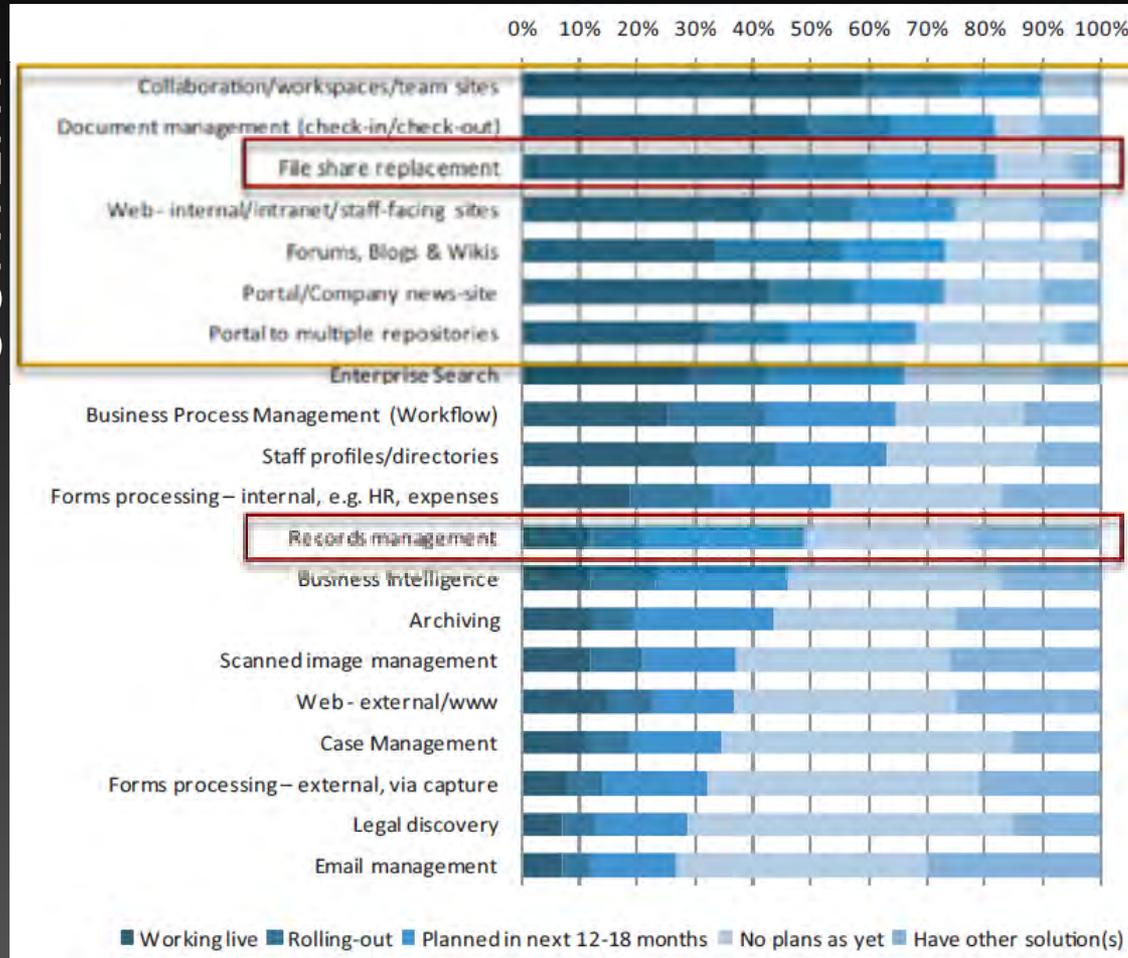
200,000,000+ 20,000/day

80% Fortune 500

Sources: "State of the ECM Industry 2011," AIIM, March 2011; "Microsoft TechNet," Microsoft, February 9, 2011

So what are we using SharePoint for?

CONTENT



Business Problem

***How do I prepare
for litigation
and eDiscovery?***

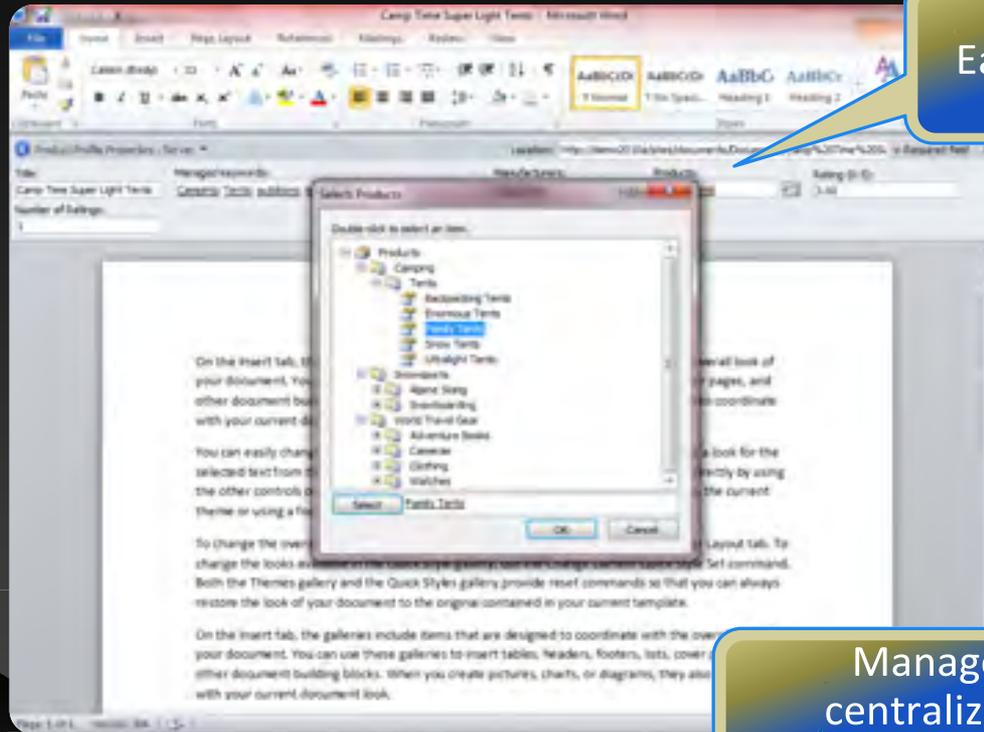
Preparation:

Basic Information Architecture

- Work out a fundamental Information Architecture
 - What Content Types are you creating?
 - What Metadata do you want to track with your documents?
 - What are the policies (retention and disposition) around those documents?

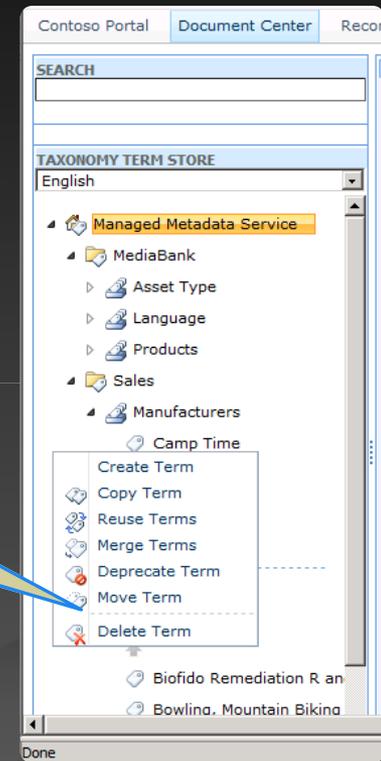
Step 1: Up Front Preparation

Simple and intuitive tagging, standardized metadata



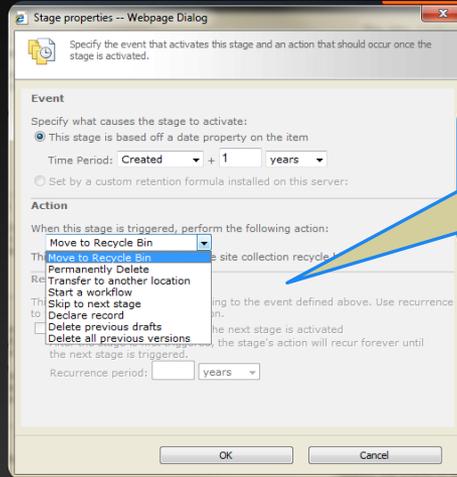
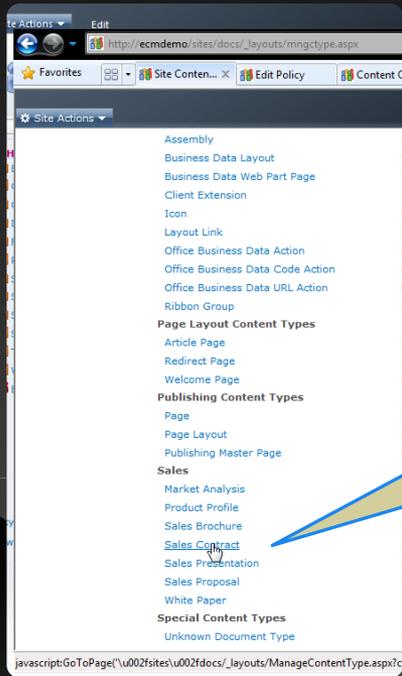
Easily tag content

Manage centralized taxonomies



Step 1: Up Front Preparation

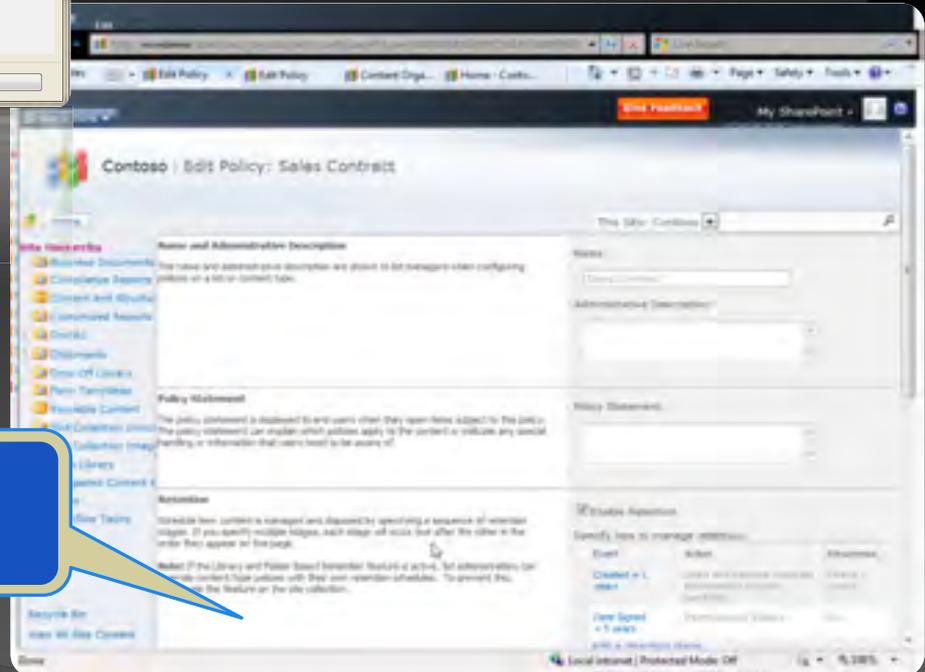
Configure multi-stage retention policies



Rich out of the box retention actions

Content type based policies

Multiple stages manages the entire lifecycle



Step 2: Respond to Discovery Requests

Hold any type of SharePoint content, in any SharePoint site

Search and Add to Hold - Windows Internet Explorer

http://demo2010a/sites/documents/_layouts/searchAndAddToHold.aspx

Site Actions

Document Center Search and Add to Hold

Use this page to discover content related to a particular litigation, investigation, or audit. Each search result can be added to a hold so that it can be properly retained. Alternatively, the results can be sent to another site, such as a Records Center.

Contoso Portal Document Center Record Center Publishing Portal

Documents

Documents

Drop Off Library

Lists

Tasks

Recycle Bin

All Site Content

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:

http://demo2010a/sites/documents Select Site

Enter one or more search terms into the box below:

harness shackle

Preview Results

Select the action to perform on the search results:

Keep in place and add to hold directly.

Copy to another location and add the copy to a hold.

Destination location:

Record Center

Select the hold to apply:

Select the hold to apply:

Description:

None

[Add a new hold...](#)

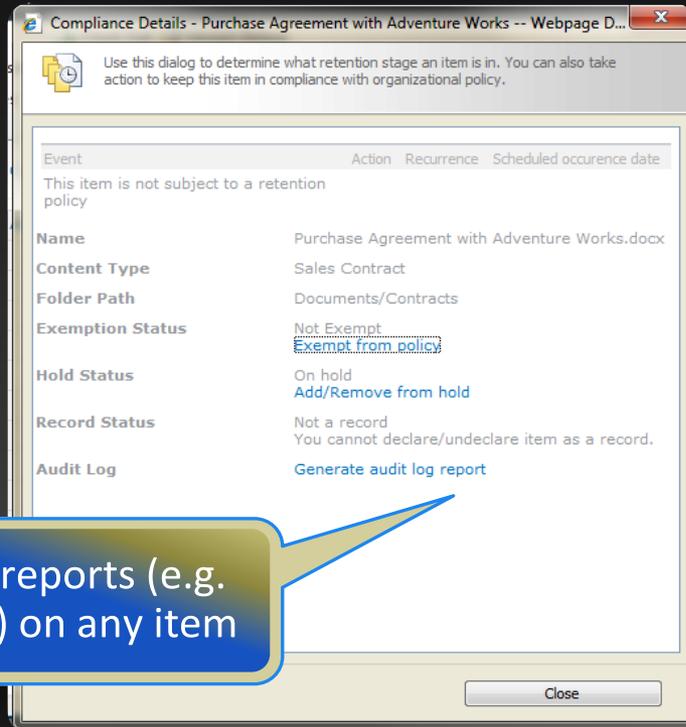
Add results to hold Cancel

Full keyword syntax

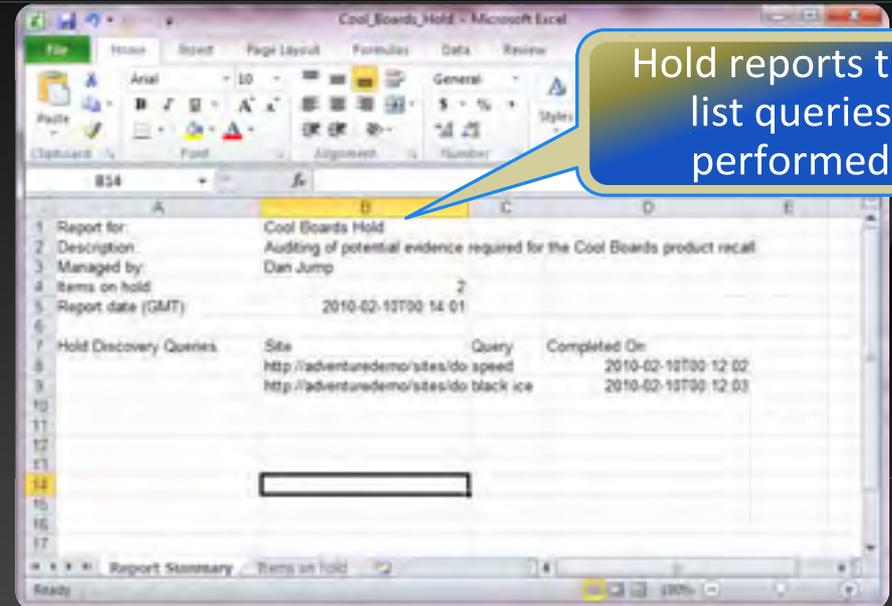
Hold in place or export to an archive

Step 3: Provable Chain of Custody

Track the process and actions inside SharePoint



Rich reports (e.g. audit) on any item



Hold reports that list queries performed

Business Problem

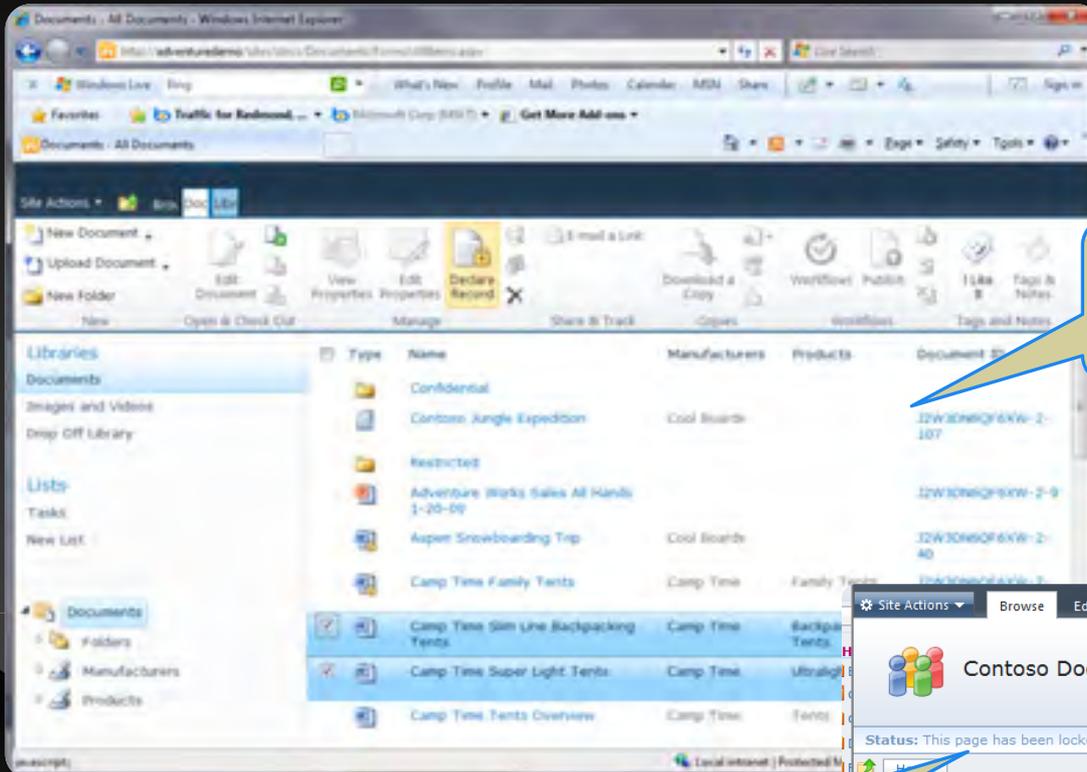
How do I protect the most important data in my enterprise?

Decide on where to keep Records

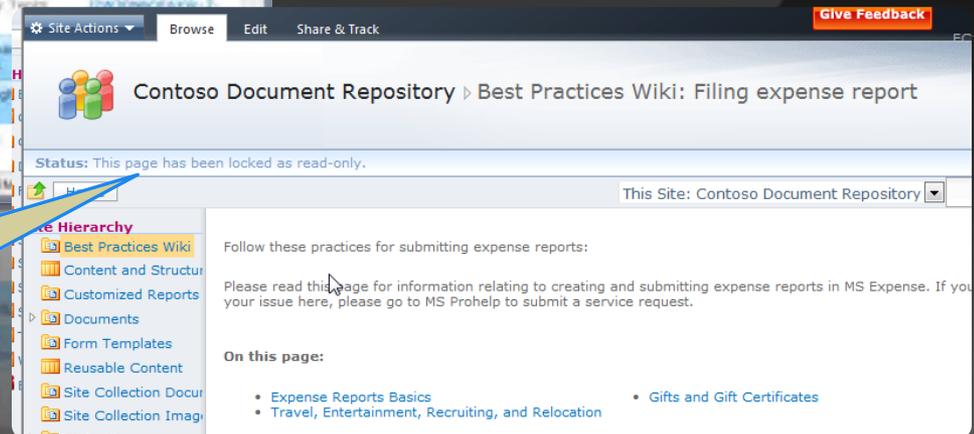
- **In-Place** – Leave them where they are and use the policies that SharePoint provides
- **Records Center** – Send them to a centrally managed SharePoint site collection for a librarian to manage
- **Send** them to your existing (non-SharePoint) Records Management Tool.

In Place Records

Locking content down without an archive



Declare items records in bulk



Lock down non-document content, like wikis

In Place Records & Policies

Record-Aware Policies

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

Non-Records
Specify how to manage retention on items that have not been declared records:

Event	Action	Recurrence
Created + 5 years	Move to Recycle Bin	No

[Add a retention stage...](#)

Note: You can specify a different policy that applies once an item has been declared a record.

Records
Specify how to manage retention on records:

Use the same retention policy as non-records

Define different retention stages for records:

Event	Action	Recurrence
Created + 0 years	Delete previous drafts	No
Created + 7 years	Send to the Copy to Record Center location	No

[Add a retention stage for records...](#)

Different policies for records

Stage properties -- Webpage Dialog

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: Created + 5 years

Use a custom retention formula (installed on this server)

Action

When this stage is triggered, perform the following actions:

- Move to Recycle Bin
- Move to Recycle Bin
- Permanently Delete
- Transfer to another location
- Start a workflow
- Skip to next stage
- Declare record**
- Delete previous drafts
- Delete all previous Retention Action

Retention period: 5 years

Schedule declaration as part of lifecycle policy

Site Retention



You can create and manage retention policies in SharePoint Server 2013, and the policies will apply to SharePoint sites.

Compliance officers create policies, which define the following:

- The retention policy for the whole site
- What causes a project to be closed
- When a project should expire

Records Center

Home Page for the Archive

The screenshot shows the SharePoint interface for the Joint Task Force Archive. The browser address bar displays the URL `http://ecmdemo/sites/rctapdemo/default.aspx`. The site title is "Joint Task Force Archive". The main content area features a "Welcome to the Joint Task Force Archive" message, a "Submit a Record" button, and a "Document ID Lookup" field containing the text "JOINTTF-XXX-XXXXXX". Below this, there is a section titled "My Records Pending Submission" with a table listing a record: "Bridge Design - Tacoma Narrows" by "ECMSPDEMO\aharmetz". The left sidebar includes a "Site Hierarchy" with links to "Customized Reports", "Drop Off Library", "Form Templates", "Records", "Style Library", and "Tasks". The bottom status bar shows "Local intranet | Protected Mode: Off" and "100%" zoom.

A place to educate employees on policies

A unique Doc ID assigned to each record

Records Center File Plan Management

The screenshot shows the 'Folder Based Retention Schedule' configuration page in SharePoint. The left sidebar lists a hierarchy of folders under 'Records', including '0020-04 Memorandums of Agreement', '0031-01 Command Correspondence', '0105-01 Unit Manning Documents', '0106 Manpower Studies Supporting Data', '0205-02 Merit Pay Records', '0205-03 Differential and Allowances', '0216-01 Standards of Conduct Correspondence', '0414-01 Acquisition Records', '0927-01 FOIA Response Register', '0927-04 FOIA Reports', and '0942-01 Science Advisor Reports'. The main content area shows a configuration form for a retention schedule with a description 'Recycle after 3 years' and options for inheritance and retention stages.

Hierarchical retention schedules with inheritance

The screenshot shows an 'Excel Web Access' report titled 'Library and Folder Schedules'. The report is organized into a table with columns for library/folder paths, retention schedules, and actions. It provides a top-down view of the policies across different folders.

Library and Folder Schedules		
/sites/rctandemo/Records		
/sites/rctandemo/Records/0020-04 Memorandums of Agreement	Retention Schedule	
Event	Action	Recurrence
Created + 5 years	Move to Recycle Bin	No
/sites/rctandemo/Records/0031-01 Command Correspondence	Retention Schedule	
Event	Action	Recurrence
Report Generation Date + 3 years	Permanently Delete	No
/sites/rctandemo/Records/0105-01 Unit Manning Documents	Retention Schedule	
Event	Action	Recurrence
Created + 1 years	Start the Approve Disposition workflow	No
/sites/rctandemo/Records/0106 Manpower Studies Supporting Data	Retention Schedule	
Event	Action	Recurrence
	Do not expire items	No
/sites/rctandemo/Records/0205-02 Merit Pay Records	Retention Schedule	
Event	Action	Recurrence
Created + 3 years	Move to Recycle Bin	No

File Plan Report shows top down view of policies

Records Center

Use metadata to navigate very large repositories

The screenshot displays a SharePoint Records Center interface. The main content area shows a list of records with the following columns: Document ID, Type, Name, Task Force Department, and Theater. The records are filtered by the 'Task Force Department' metadata field, showing only records from the '1st Division - Engineer Corp'.

Document ID	Type	Name	Task Force Department	Theater
JOINTTF-9-8	Document	central district code red specification	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-30	Document	protected final briefing	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-60	Document	project gamma contoso request for proposal	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-65	Document	FY04 overseas briefing	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-79	Document	external east coast purchase agreement	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-84	Document	white protected call to arms	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-90	Document	FY08 project beta contract	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-110	Document	protected large pitchbook	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-113	Document	environmental critical agreement	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-120	Document	rough draft task force wide advertisement	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-137	Document	asia external spec	1st Division - Engineer Corp	Europe and Middle East
JOINTTF-9-144	Document	full time overseas briefing	1st Division - Engineer Corp	Europe and Middle East

The interface includes a 'Site Hierarchy' pane on the left showing the current location: Joint Task Force Archive > Records > Theater > Europe and Middle East. A 'Key Filters' pane at the bottom left shows the 'Task Force Department' filter set to '1st Division - Engineer Corp'. A callout box points to the 'Europe and Middle East' folder in the hierarchy, stating: 'Metadata abstracts away file plan from end user'.

Metadata abstracts away file plan from end user

Records Center

Content Organizer manages submissions

Content Organizer Rules: New Rule

Conditions
In order to match this rule, a submission's properties must match all the specified property conditions (e.g. "If Date Created is before 1/1/2000").

Property-based conditions:

Property: Theater
Operator: is equal to
Value: Asia Pacific

(Add another condition)

Target Location *
Specify where to place content that matches this rule.

When sending to another site, the available sites are taken from the list of other sites with content organizers, as defined by the system administrator.

Check the "Automatically create a folder for each unique value of a property" box to force the organizer to group similar documents together. For instance, if you have a property that lists all the teams in your organization, you can force the organizer to create a separate folder for each team.

Destination:
/sites/rctapdemo/Records/0414-01 Acquisition Records/1 - Asia Pac

Example: /sites/DocumentCenter/Documents/

Automatically create a folder for each unique value of a property:
Select a property (must be a required property): Name
Specify the format for the folder name:
%1 - %2
When the folder is created:
%1 will be replaced by the name of the property
%2 will be replaced with the unique value for the property

OK

Metadata drives location & policies

Doc ID provides persistent links for stubs

Site Actions Edit

http://ecmdemo/sites/rctapdemo/Documents/_Purchase%20Agreement%20with%20Contoso.aspx

Contoso Document Repository Documents : _Purchase Agreement with Contoso

This Site: Contoso Document Repository

This document was moved to a new location

New Location	http://ecmdemo/sites/rctapdemo/_layouts/DocIdRedir.aspx?ID=ZNMKEZXP4Y4-1-162&hintUrl=Records/0414-01 Acquisition Records/1 - Asia Pacific Region/_Purchase Agreement with Contoso.docx
Reason for move	
Move Date	6/2/2009 9:53:33 AM
Moved By	Manual submission by ECMSPDEMO\aharmetz

Done Local intranet | Protected Mode: Off 100%

Business Problem

What about Cloud?

Office 365

Cloud Parity

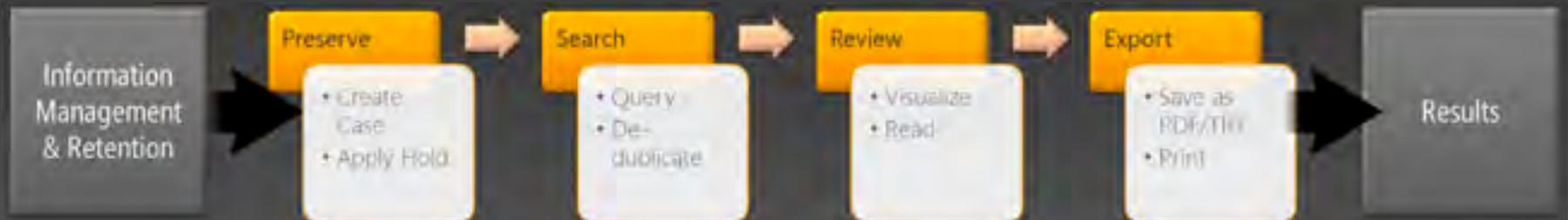
- Records Center
 - Document IDs
 - Multi-State Retention
 - Per-Item Audit Reports
 - Hierarchical File Plans
 - File Plan Report
- In-Place Records Management in the cloud
 - Taxonomy
 - Central Content Types
 - Content Organizer
 - Virtual Folders (Metadata Navigation)

Office 365

Unified Discovery across Exchange, SharePoint and Lync

- Find it all in one place (unified console)
- Find more (in-place discovery returns the richest data)
- Find it without impacting the user (Give legal team discovery, leave IWs alone)

Discovery Center in SharePoint	Unified Preserve, Search and Export
Exchange Web Services	Connect to Exchange to get mailbox data
Lync Archiving to Exchange	Exchange is the compliance store for Lync
Search Infrastructure	Exchange and SharePoint use the same search platform



Office 365

Cloud Parity – EDiscovery/PRA

Office 365 Preview

Case-Northwind Traders Home

Export: New Item

Options

Choose the name and options for the export. Exports include an Electronic Data Reference Model (EDRM) load file.

Export content to EDRM XML standard format

Name*

Remove duplicate Exchange content

Remove Rights Management Services (RMS) protection and encryption from Exchange data

Include versions for SharePoint documents

Include items that are encrypted or have an unrecognized format

Options for de-duplication, IRM removal and document versioning

Estimated Total

The estimated number and size of items do not include versions or deduplication. Selecting those options will affect the total export size.

Number of Items	0
Size of Items	0,00 KB

Queries

Name	Query
Northwind Traders	Northwind Traders

OK Cancel

Summary/Next Steps

SharePoint is being used in your organization and well integrated with your standard office tools. It should be considered as part of your overall RM strategy.

1. Do a proper Information Architecture of your content.
2. Tag your content – either automatically or train your users.
3. Create a Records Center for RM, or at a minimum, allow in-place declaration of Records.

Or

If you have an existing tool (Documentum, FileNet, etc.), think about integrating the collaboration side of SharePoint with your in-house RM Solution.

Thank You/Q&A

- barryb@kieferconsulting.com
- www.kieferconsulting.com

- Other SharePoint Resources
 - SharePoint Breakfast: spbreakfastsacramento.org
 - [Overview of records management in SharePoint Server 2013](#)
 - SharePointRecordsManagement.com