

Recordkeeping for SharePoint

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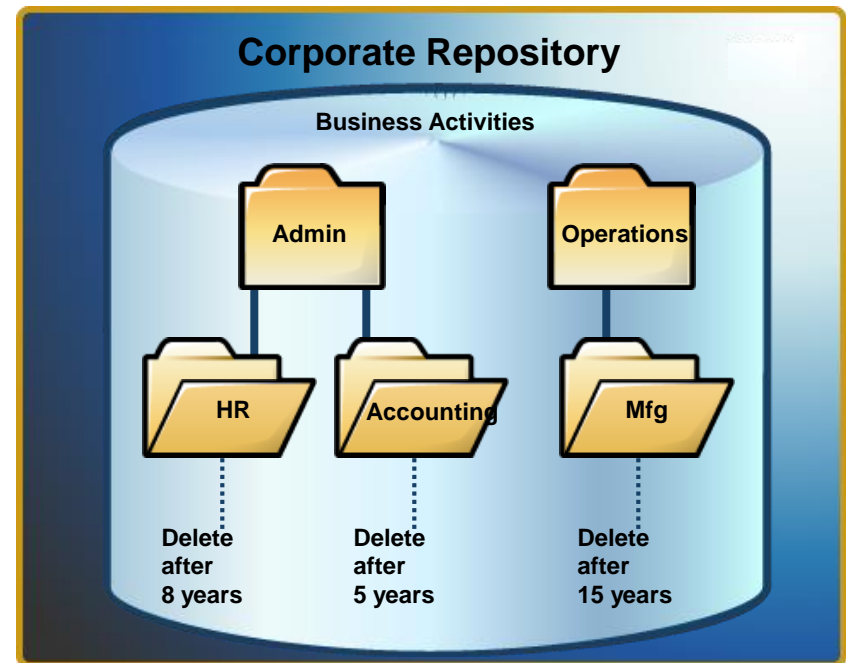
SHAREPOINT SATURDAY
OTTAWA

Thank you to all of our Sponsors!!



The Goal of Recordkeeping

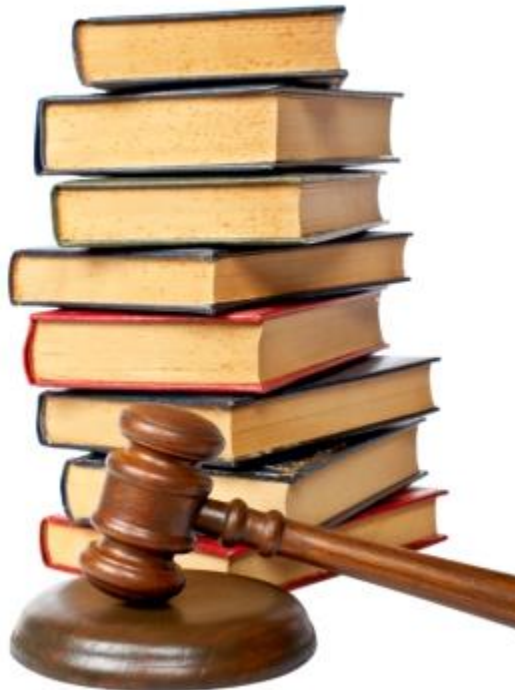
1. We organize our company into **business activities**
2. We assign official **retention policies** to business activities.
3. We must somehow **match** documents to business activities *correctly*.



SharePoint has Recordkeeping

So – What's the Problem?

Legal Defensibility





We Need to Answer

1. What are the Requirements?
2. What are the Deficiencies?
3. How to Overcome the Deficiencies?
4. What about Government of Canada?



Recordkeeping for SharePoint 2010

WHAT ARE THE REQUIREMENTS?

US DoD 5015.2

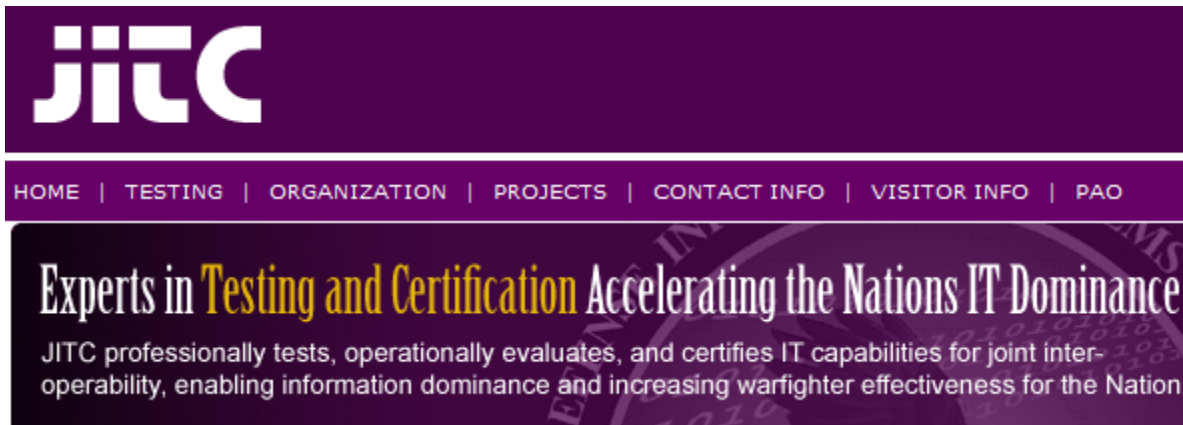
<http://jitc.fhu.disa.mil/recmgt/>

- Structured, hierarchical **file plan**
 - Time, **Event**, Event-Time retention rules
 - Specified metadata for each declared record
 - **Access** Control
 - Basic **Declaration** and Classification capabilities
 - Declaration of **email** message
 - Message only, attachment only, both
 - Records **Scheduling** (screening)
 - Delete or Transfer for final disposition
 - **Non-recoverable destruction**
 - **Vital** Records capabilities
 - Selectable Audit capabilities
-
- Chapter 4 (Optional) Classified Records
 - Metadata field-level access
 - Specified allowable user access
 - Classification Up/Down-grade



5015 Certification Program

- Based out of Fort Huachuca, AZ
- Cost \$30,000+ per certification
- **Mandatory** for US/State Govt sales
 - **DeFacto** for Corporate America
- Dedicated, staffed office of 6 people
- Rigorous, repeatable, proven



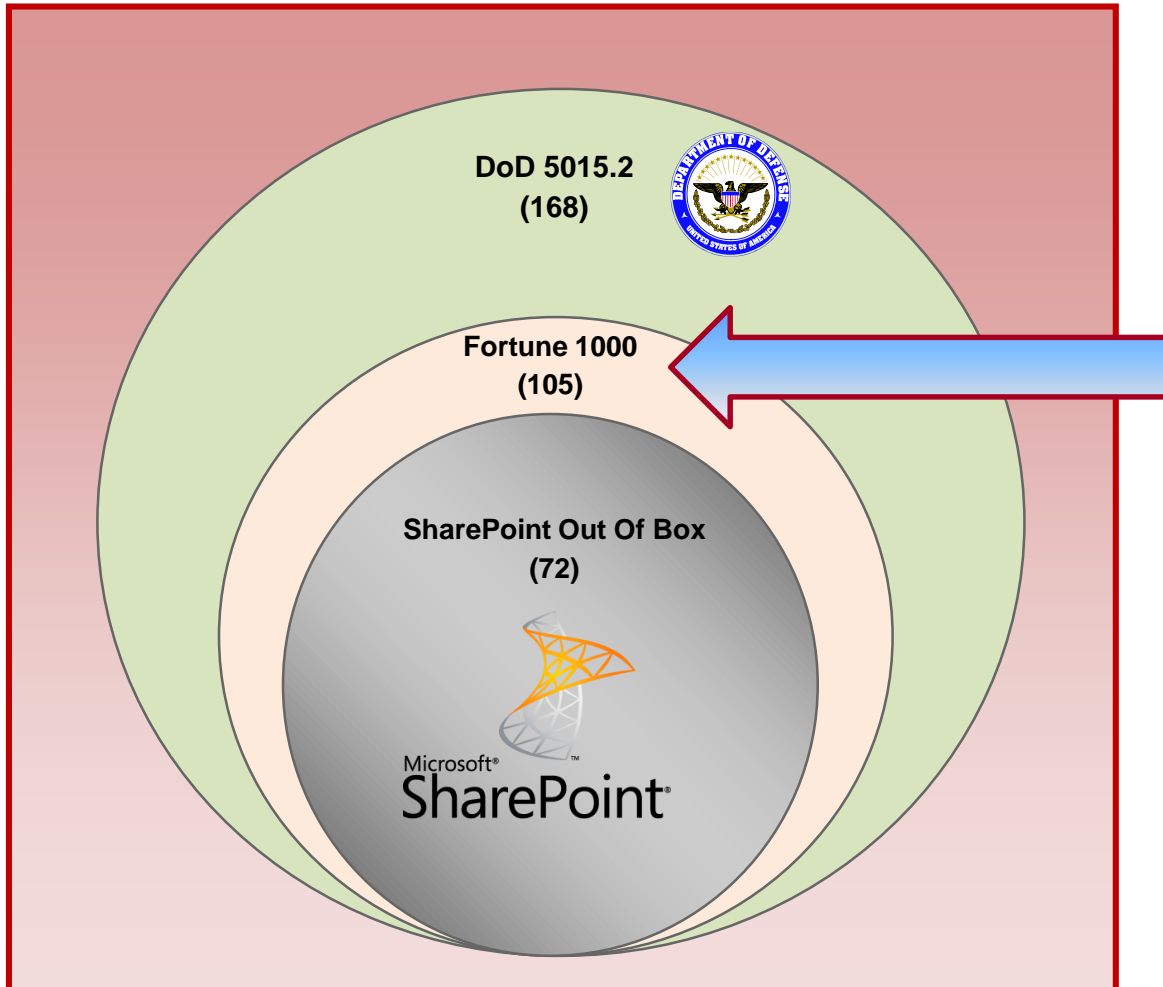
5015.2 Certifications

- There are **15** unique vendors
- **(6) are Monster ECM Vendors**
 - ECM
 - HP
 - TRIM, Autonomy (Being Purchased by HP)
 - IBM
 - Content Manager
 - FileNET
 - OpenText
 - Oracle
 - **Microsoft** (With GimmalSoft Compliance Suite Plug-in)
- **(4) are plug-in one-time “Special Projects”**
 - Northrup Grumman (Documentum)
 - SAP (NetWeaver)
 - IIUI (Lotus)
 - Iron Mountain (Accutrac)
- **(5) Remainder are boutique (small) ECM/RM products**
 - Feith
 - Wareitis
 - Infolinx
 - Alfresco
 - SystemWare



Recordkeeping Requirements

33 Deficiencies



**Target Recordkeeping
Capability**

For Details;

www.rimtech.ca

Summary of (33) Needed Capabilities

- 1)→ **Case file handling**. You need proper handling of case file types. Each category in the file plan is a Case (person, place, event, or thing), or a *Subject* (ongoing activity). The product does not appropriately apply disposition to records classified against a category of type Case. ¶
- 2)→ **File Plan Structure**. You need a hierarchical, enumerated and ordered file plan/retention schedule that can be managed independently of the records. ¶
- 3)→ **Expunge**. You need to destroy eligible records such that they cannot possibly be reconstructed within the system. ¶
- 4)→ **Container (Folder) structure**. You require the concept of a “container” to contain physical records or groups of electronic records, such as a set of records within a case file. ¶
- 5)→ **Formal Disposition**. You require a formal 3-stage process to destroy records (qualify, review, dispose), and cannot tolerate the product destroying records on its own without a formal review. ¶
- 6)→ **Transfer**. For some records, you need to move them to another location or state, before the end of their life. Or, move them to another organization at the end of their retention period. ¶
- 7)→ **Basic Cutoff**. You need to determine destruction eligibility dates based on dates other than the triggering event date, such as end of calendar year. ¶
- 8)→ **Email Integration**. You need a means whereby users can easily declare email from within Microsoft Outlook (or similar email client). ¶
- 9)→ **Classification Accuracy Measurement**. You need a way to measure and track the classification accuracy of all declared records. RIMtech deems this to be essential. ¶
- 10)→ **Records Security Model**. You need access control of declared records to act independently of the document security within the product. ¶



Recordkeeping for SharePoint 2010

WHAT ARE THE DEFICIENCIES?

(3) Major Structural Deficiencies

1. **File Plan**

- ☐ Organize/manage records by business activity

2. **Case File Handling**

- ☐ (2) types of records!

3. **Disposition**

- ☐ Delete the right records at the right time

Reaching the Goal

Disposition



Disposition – The End Game

Goal

Cannot proceed unless the bottom (3) layers happen correctly!

Classify Them (correctly)

Third

How do we make sure classification accuracy rate > 95%?

Declare the Records

Second

How are we going to get 1,000 users to do this, reliably and consistently?

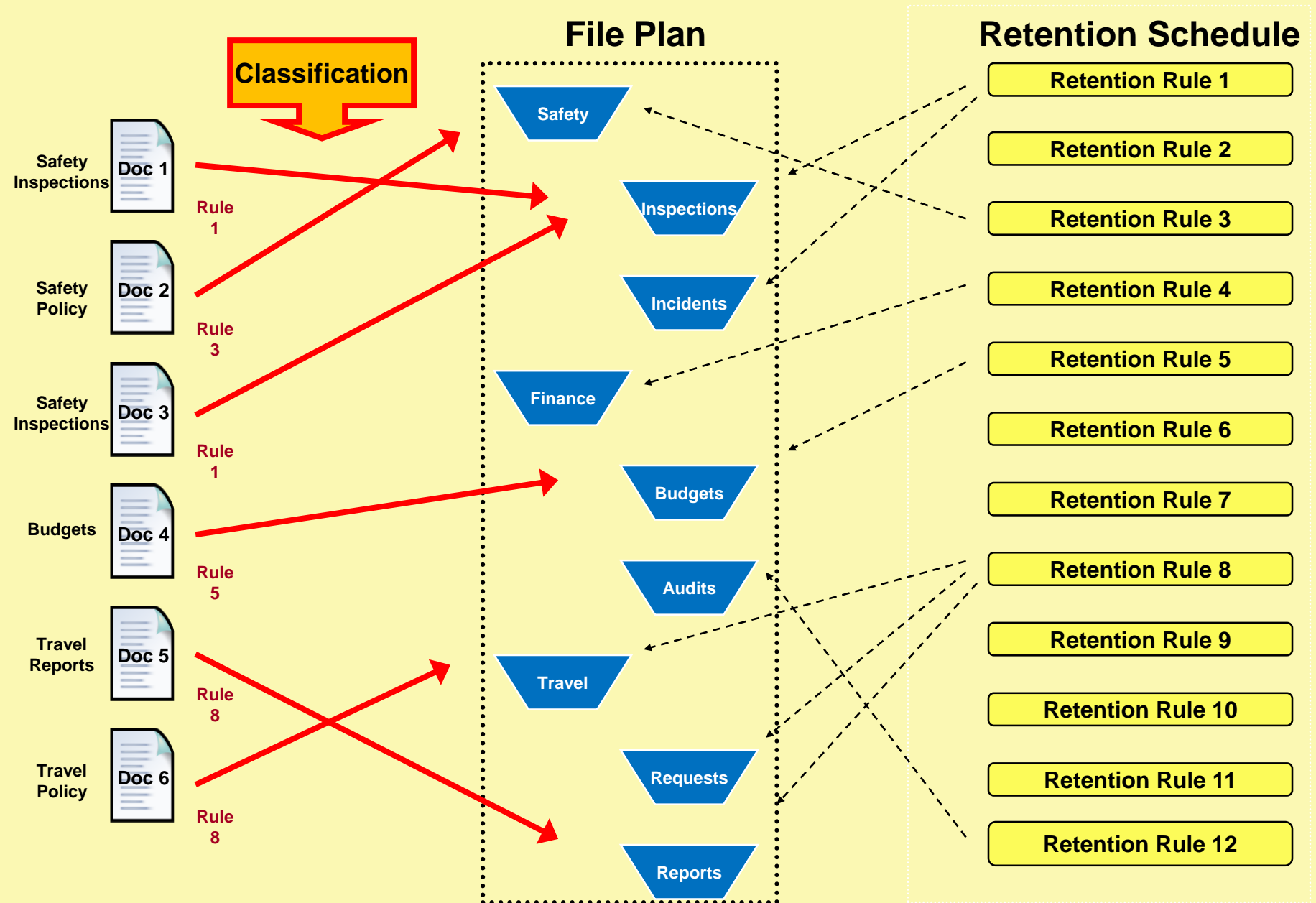
Qualify

First

Which Documents are Records?

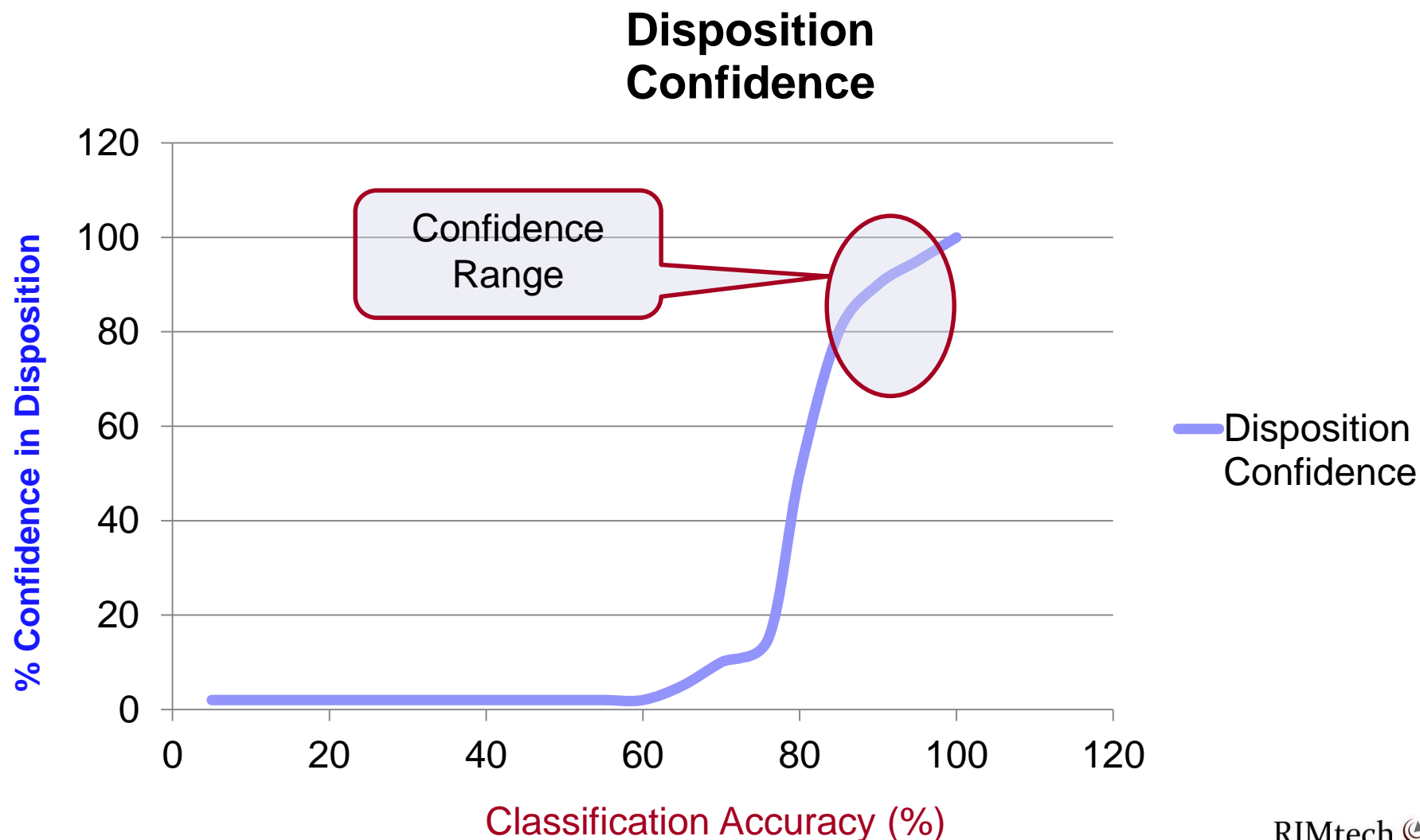
[illegible]

Classification



Effect of Classification Accuracy

On Legally Defensible Disposition



Classification Errors

- Errors Rapidly Accumulate!
- No way to correct
- **MUST** maintain accuracy above acceptable threshold


Cumulative Effect of Classification Errors				
Day	Declared Records	Accuracy %	Classifications	
			Right	Wrong
Mon	5,000	70%	3,500	1,500
Tue	5,000	80%	4,000	1,000
Wed	5,000	60%	3,000	2,000
Thu	5,000	70%	3,500	1,500
Fri	5,000	75%	3,750	1,250
Cumulative Total			17,750	7,250

Case File/Category

- *Person, place, event, project or thing*
- All records to be kept together (case)
- Disposition triggered by an event date
 - e.g. Date of contract end
 - e.g. Employment end, etc.
 - Applied to an entire file/category
- Disposition destroys ALL at once
- Examples
 - Employment Files
 - Insurance Claims
 - Contracts



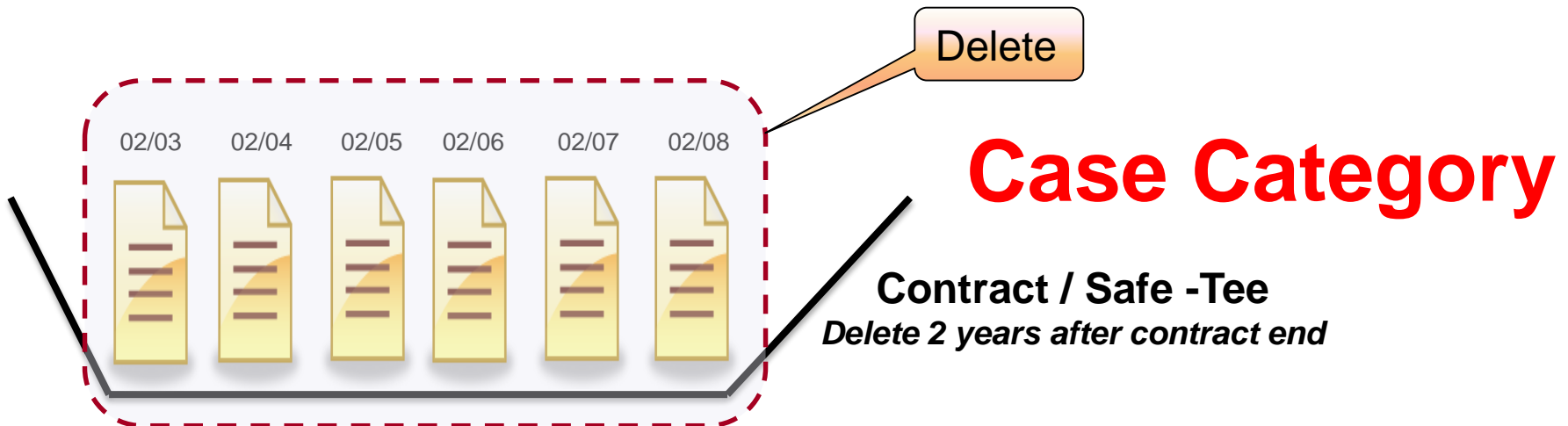
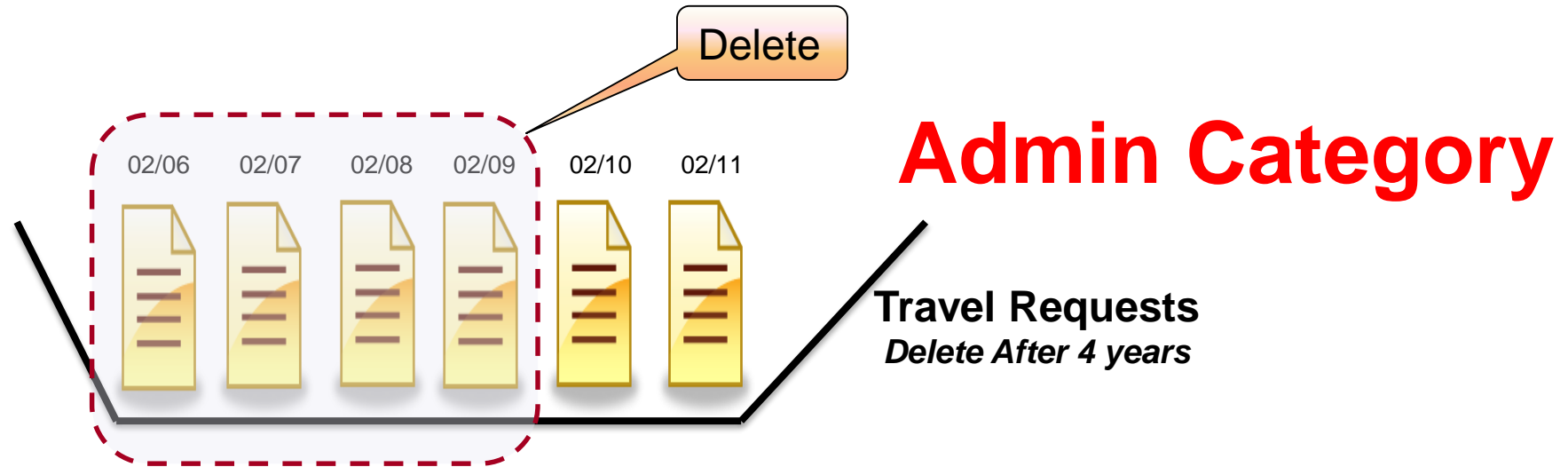
Over HALF of all Records!!



Admin (Non-Case) Files/Categories

- Ongoing business activity
- Frequently administrative activities
- Disposition triggered by document AGE
 - Delete the older, leave newer behind
 - Applied to individual records
- Examples
 - Travel Requests
 - Training

Case Vs Admin





Implications of Case Categories

- Case Categories must be created as they occur
 - New claims, new employees, new contracts
 - No way to classify against them otherwise
- Classification must present all case categories to users at declaration time
- Affects Repository structure/governance
 - Do not mix up case vs subject records
 - Could create downstream disposition problems

The Deficiency

Policy vs. Retention Rule

SharePoint **IMP**
(Information **M**anagement **P**olicy)

= **Retention Rule**

IMP 2 yrs Dest ✓



IMP 2 yrs Dest ✓



IMP 2 yrs Dest ✓



IMP 2 yrs Dest ✓



IMP 2 yrs Dest ✓



IMP 2 yrs Dest ✓



IMP 2 yrs Dest ✓



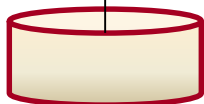
IMP 2 yrs Dest ✓



**SharePoint
Out of Box**

File Plan

Category 1	2 yrs	Dest	✓
Category 2	5 yrs	Dest	✓
Category 3	7 Yrs	TX	✓



Central File Plan

Deletion vs Disposition

Deletion



- **Machine**-Driven
- Everything assumed to be perfect
- Document-Level Disposition (Subject Files) only
- Initiation by machine

FOR NON-RECORDS



Disposition

- **Process**-Driven
- Human Oversight Assumed
- Case + Admin Categories
- Initiation by People

FOR RECORDS



Disposition is a **Process**

- Stage 1 – **Qualify** (1M records+)
 - Which records are about to be deleted?
- Stage 2 – **Review** (30-90 days)
 - Are they all OK?
- Stage 3 – **Destroy** (non-recoverable)
 - Delete and Record Audit





Recordkeeping for SharePoint 2010

HOW TO OVERCOME THE DEFICIENCIES??

Recordkeeping for SharePoint 2010

3 Options

Out-of-Box

Customize

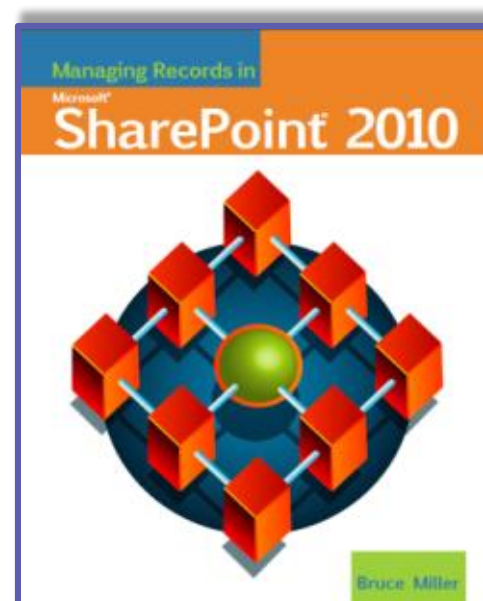
3rd-Party Plug-in

Informal	Formal	US DoD 5015.2
No Structured File Plan	Hierarchical, Structured File Plan	Hierarchical, Structured File Plan
Informal Machine-Driven Records Deletion	Formal human-driven Disposition	Formal human-driven Disposition
No comprehensive mechanism for Case Files	Case File Handling	Case File Handling
Simple Lifecycle	Basic LifeCycle Cut-Off	Advanced LifeCycle Cut-Off
No Email Integration	Email Integration	Email Integration
	Basic Bulk Updater	Advanced Bulk Updater
	Classification Review Tool	Open/Close Records Folders
		Vital Records
		Physical Records Management
		Record Linking
		System to System Transfer

Option – Customize (Do It Yourself)

- Effort **90-120** Person-Days
- Achieve **F1000** level
 - From 72 – 105 capabilities
- **Not** to Government of Canada Level!

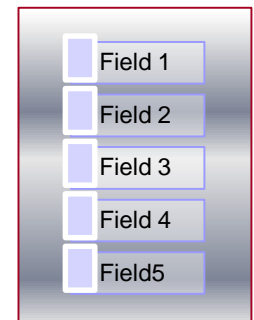
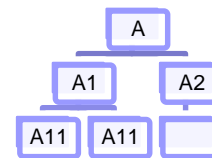
The Recipe



Buy at ARMA Online Bookstore
www.arma.org

Declaration = Q + C + M

Qualify/Classify/Metadata



Qualify

WIP

Record

Reference

Classify

Metadata

1

2

3

Option – Buy a Plug-In

- Cost roughly = \$60-\$130 per user (CAL)
- (3) Viable Choices (USA/Canada)
 - All very different
- Usual Build vs Buy Scenario
 - Maintenance
 - More features
 - Upgrades
 - Ongoing Support

(3) RM Plug-in Vendors




For Canada/USA

- SharePoint 2010 Plug-in
- Uses existing SharePoint Structures
- Meets F1000 RM Req'mts
- API-Compliant
- Uses existing SharePoint Policy Structures
- Built From Scratch
 - File Plan Structure
 - Case File Handling
 - Disposition



* Q1 2014

Vendor Comparison

Capability	 GimmelSoft	 collabware	 KnowledgeLake <small>The SharePoint ECM Company</small>
File Plan	✓	✓	✓
Case Files	✓	✓	✓
Disposition	✓	✓	✓
Content Rules Engine	✗	✓	✓
Email Integration	✓	✗	✓
Physical Records	✓\$	✓	✓
US DoD 5015.2	✓	✗	✗
ICA Mod 2	✗	✗	✗
Provisioning	✓	✗	✗
In-Place Declaration	✗	✓	✓
Non-Recoverable Disposition	✓\$	✗	✗



- USA
- DoD 5015.2 Certified
- **Microsoft-Deployed**  Microsoft
 - In-House Physical Records
- Email Partner = Colligo
- \$\$\$ Metalogix (for non-recoverable Disposition)
- \$\$\$ Physical Records = AccuTrac (Iron Mountain)
- Integration for SAP



Email Integration



Database Externalization (extra \$\$\$)



Physical Records (extra \$\$\$)



- Canadian (Vancouver)
- No Email Integration
- (Future) DoD 5015.2 certification
- In-Place or Records Centre
- Advanced Classification Rules Engine
 - *Automated Declaration*
- Physical Records
- Strength → End User Experience



* Q1 2014

- USA (St. Louis)
- New – Q1 2014
- Not 5015.2 compliant
- Content Rules Engine
 - Automated Declaration
- In-Place or Records Centre
- In-House Email Integration
- Full Physical Records

SharePoint RM Plug-In Vendors

What they're Doing in SharePoint

- Leveraging **Content Type** + **Metadata** to facilitate Classification and Declaration
 - Collabware
 - Content Rules Engine
 - Proprietary – Replaces SharePoint's Content Organizer
 - GimmelSoft
 - Extending SharePoint's Content Organizer
- Trying to automate the classification and declaration
 - From partial to “full” automation
 - Minimizing user interaction

How They're Doing It

- Leveraging **Content Type**
 - If Content Type = “*Type x*”
 - Collect Metadata Field (Column) value <value>
 - Use <Value> later
- Leveraging **Metadata fields** (Columns)
 - If <Metadata field> = “Value”
 - Then Take an appropriate action
- Example;
 - If Content Type = Contracting
 - Mandatory field **Contractor**
 - Category = Finance (04) – Contracts (50)
 - If Column *Contractor* = “*Safe-Tee Security*”
 - Add -1 to Category
 - Category = 04-50-1

Content Rules

Used to classify and/or declare

- Expressed in
 - Content Organizer Extensions (GimmelSoft)
 - Content Rules Engine (Collabware)
- Elements of content Rules
 - If **Content Type** = <value>
 - If **Metadata Field** = <value>
 - If **Event** has occurred
 - *Not modified for 6 months*
 - *Document is approved*
 - *Etc.*
- Combine elements to form a rule(s)
 - Complete the category code
 - Decide when to declare
 - (now, later, on <event>), etc.

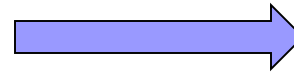
**All Rules are
Dependent on
user-entered
choices**

System-Facilitated Declaration (SFD)

Via 3rd-Party Plugins

- SharePoint facilitates any (or all) of the following (3) things

- ☐ All, or some, with no user intervention
- ☐ **Dependent on metadata values**



**Still dependent on User
Data entry!!!!**

1. **Classification**

- ☐ Category is completed via a “content rule”
- ☐ Depends on metadata values

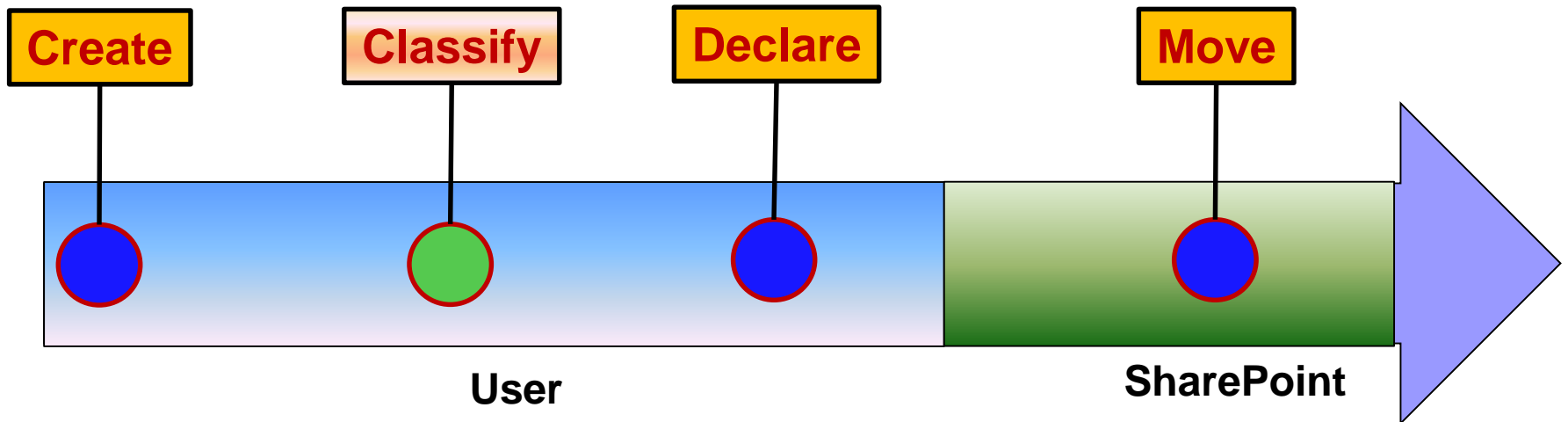
2. **Declaration Timing**

- ☐ Declared as a record
 - Immediately or delayed

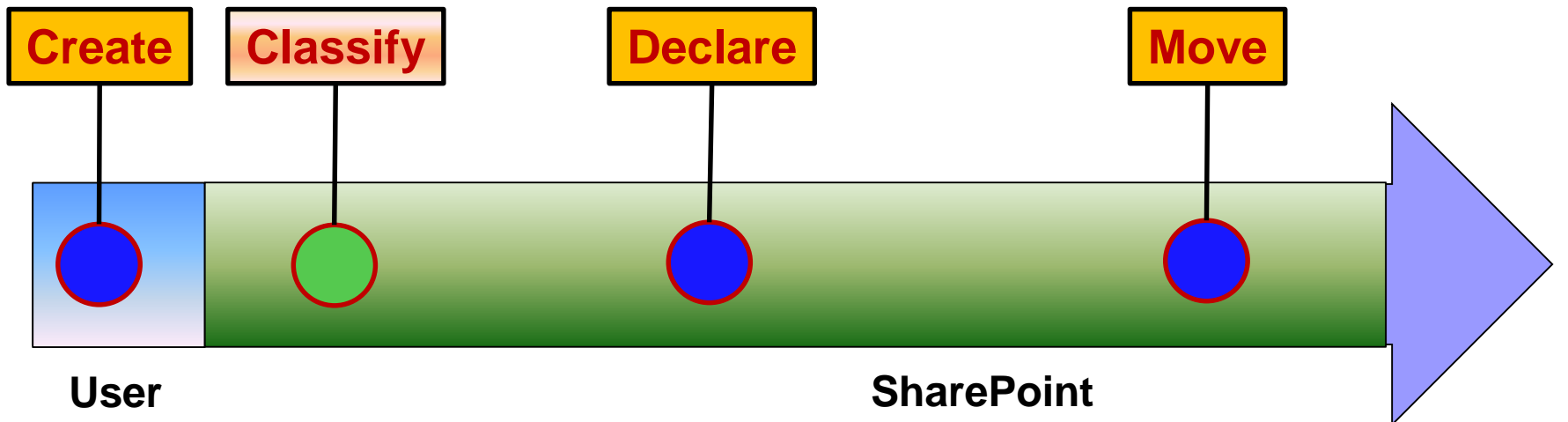
3. **Routing (to specified location)**

- ☐ To a specified location within Records Center

Declaration Timing



OR





In-Place Vs. Records Centre

Pros and Cons

■ **In-Place**

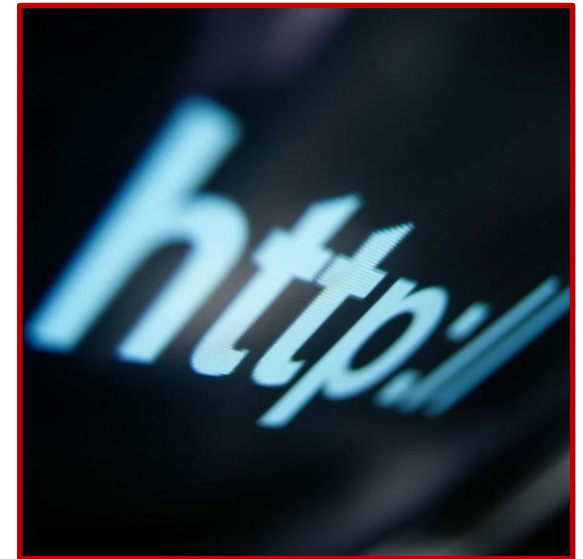
- Declared record within working site/library/folder
- Access control remains the same
- User convenience – document still here!

■ **Records Centre**

- Special area for declared records only
- Rid working spaces of inactive documents
- Access control is now different
 - More difficult to find
- Can leave a *link* behind to the record in the RC

Link Limitations

- The integration with the **Microsoft Office** suite is different. There is no property information panel. There is no task pane in Microsoft Office with information about the SharePoint site or library where the link is stored.
- SharePoint **Workflows** cannot be used with links. This means a custom workflow cannot include the linked document.
- Microsoft **SharePoint Workspace** and **Outlook** do not work with links if you should go offline with the document. You cannot take the linked document offline and work on it remotely, and return it to SharePoint.



In-Place Vs. Records Centre

Which is right?

- No right vs wrong
- Highly Situation-dependent
 - Inactive – move it
 - Active – keep it
- Certainties
 - Sooner or later, should move out of working areas
 - 95% of records will eventually be destroyed anyway
 - Technology is driving the pressure to move to records centre
 - Performance, list lengths

GimmaSoft

Move to RC Only

Collabware

In-Place or RC

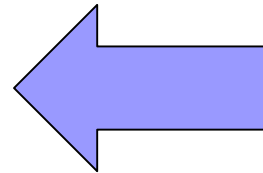
KnowledgeLake

In-Place or RC

System Facilitated Declaration (SFD)

Five Steps to Configure SharePoint

1. Create Content Type
2. Add Metadata Field for Classification
3. Populate Metadata Field
4. Create Content Rule
 1. Classify Record
 2. Time the Declaration
 3. Set Location
5. Run the Content Rules



Using Third-Party Plugins (Collabware or GimmelSoft or KnowledgeLake)

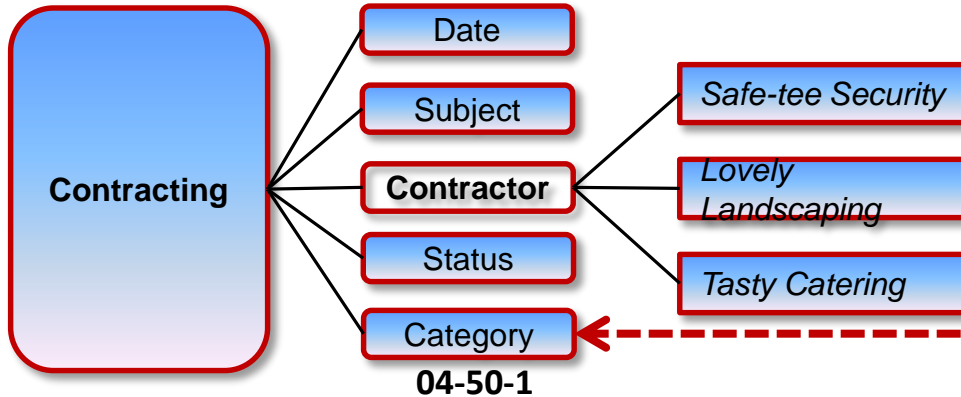
Using Content Rules to Classify

Content Rules			
Rule	IF	AND	THEN Category
1	Content Type = Contracting	Contractor = <i>Safe-Tee Security</i>	04-50-1
2	Content Type = Contracting	Contractor = <i>Tasty Catering</i>	04-50-2
3	Content Type = Contracting	Contractor = <i>Lovely Landscaping</i>	04-50-3
4	Content Type = Employment	Employee # = 707	03-10-707
5	Content Type = Employment	Employee # = 808	03-10-808
6	Content Type = Employment	Employee # = 707	03-10-909

Content Type

Fields (Columns)

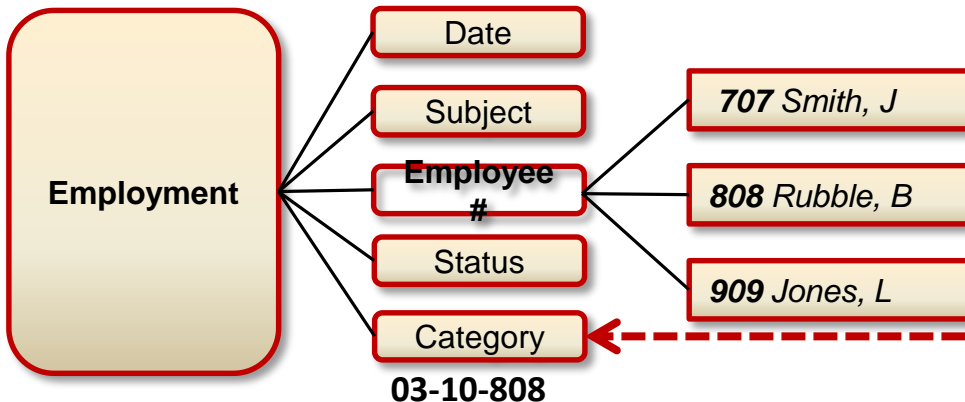
Field Values



Content Type

Fields (Columns)

Field Values



GimmelSoft Compliance Suite

File Plan Builder

Due for Vital Review Reviewed Vital Records Due For Cutoff Review Reviewed Cutoff Records

File Plan

Periods

Events

Disposition Instructions

Organization-Defined Fields

Legal Justifications

Reports

Export Tool

Administration



File Plan Structure

Manage File Plan Nodes. You can view, add, edit, and remove Nodes



Save Changes



Cancel

General

Organization-Defined Fields

Cutoff Criteria

Security

Supplemental Markings

Vital Record

SharePoint Security

Audit

Name *

Safety

ID *

SAFE-TEE

Description *

Premises security contract firm

Disposition Instructions *

Disposition Authority *

Location

Transfer to NARA

Case-Based Retention

10 Year Transfer and Delete

3 Year and Transfer

7 Year Disposition

Contract Expiration

Simple 3 Year Disposition

Simple 5 Year Disposition

☐

GimmelSoft Declaration of Email

Inbox - couric@gimsef.com - Microsoft Outlook

File Home Send / Receive Folder View Colligo

New E-mail New Items Delete Reply Reply All Forward Move to: ? To Manager Team E-mail Download Synchronize Refresh Folders Copy Folders Move Rules OneNote Tags Find a Contact Address Book Filter E-mail Send/Receive All Folders Send/Receive

Search Inbox (Ctrl+E)

From Subject Received Size Categories

Date: Older

sharepoint... Workflow Tasks - Cutoff Review record Administrative Re... Tue 8/16/20... 6 KB

sharepoint... Workflow Tasks - Cutoff Review record Product Managem... Mon 8/8/20... 6 KB

sharepoint... Workflow Tasks - Cutoff Review record Process Diagram.v... Mon 8/8/20... 6 KB

sharepoint... Workflow Tasks - Cutoff Review record Building 13 Wind... Mon 8/8/20... 6 KB

sharepoint... Workflow Tasks - Cutoff Review record Building 13 New ... Fri 8/5/2011... 6 KB

Brad Shar... Status Meeting Notes Thu 4/21/20... 5 KB

couric Status of the new Application Information policy Thu 4/21/20... 7 KB

donaldson Updated presentation for Benefits Enrollment Thu 4/21/20... 8 KB

donaldson Status Report details Thu 4/21/20... 7 KB

Brad Shar... Environment Thu 1/6/201... 5 KB

donaldson Status Meeting Minutes Thu 1/6/201... 80 KB

Marketin... Tasks - Please review Meeting Record Actions - Brian Mon 10/4/2... 7 KB

Declare in SharePoint

GimmelSoft Compliance Suite

GimmelSoft - Email Dropzone

Import Issues (2)

Marketing and Sales Team - Management

Marketing and Sales Team - Public Relations

Policies & Procedures

Sales Information

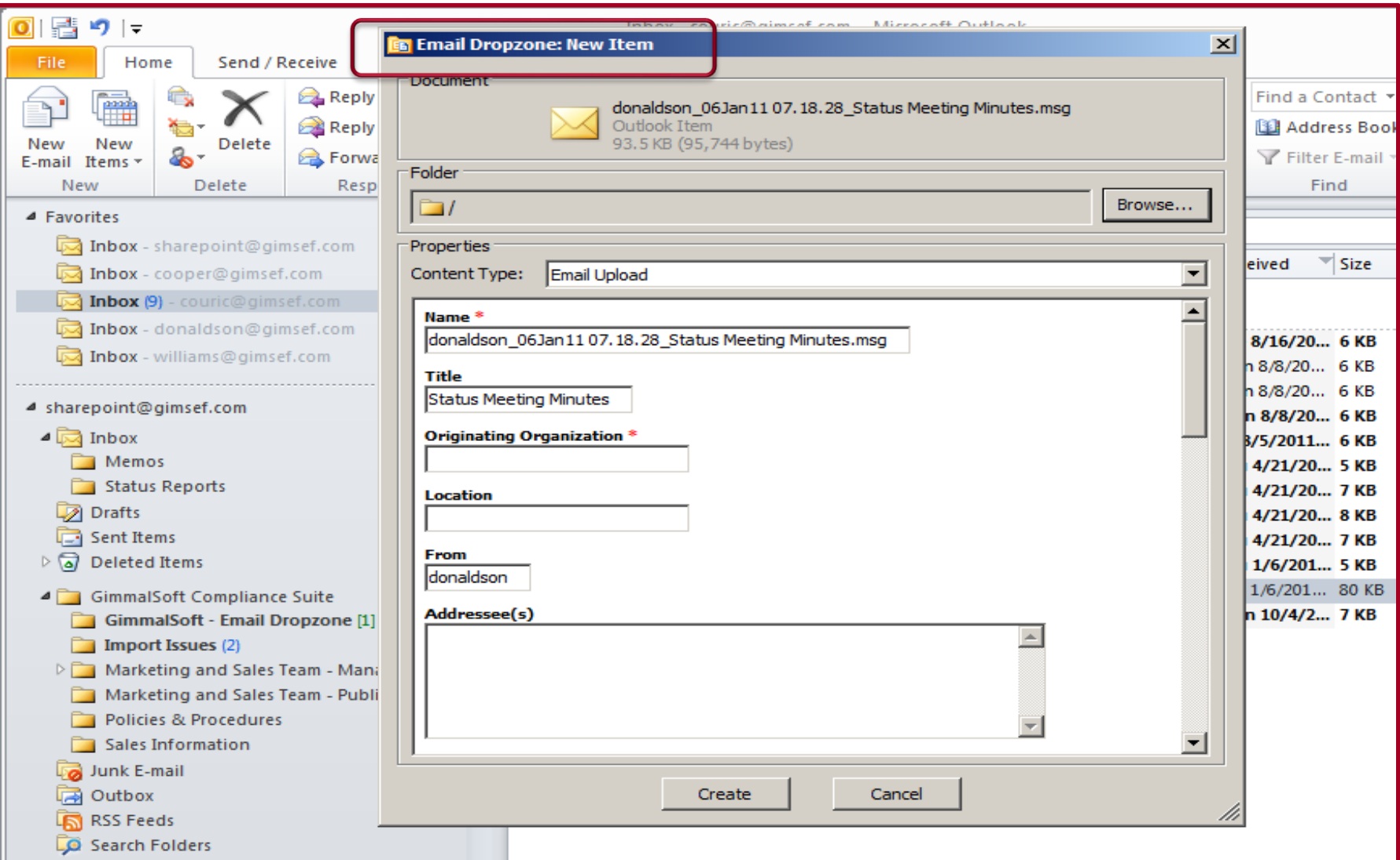
Junk E-mail

Outbox

RSS Feeds

Search Folders

GimmelSoft Declaration of Email



GimmelSoft Records Centre Console

http://gimsftdemo/_layouts/Gimmel.RMA.Reporting.AsOf/AsOfReports.aspx

Anderson Cooper

Site Actions

- Cutoff Search Reports
- Vital Record Reviews
- Vital Record Reports
- Disposition Tasks
- Period Definitions
- Libraries
 - Administration
 - Business Operations
 - Finance and Accounting
 - Legal
 - Reports
- Reporting
 - "As of" Reporting
 - User Permission Reports
- Compliance Suite Administration
 - RMA Event Management
 - Reverse Cutoff
 - Bulk Processing Administration
 - File Plan Builder
 - File Plan Container Mapping

view Results to begin analysis. NOTE: This process may take a few minutes, depending on the number of elements selected.

Sites

Start from: ☐ This Site ☒ Site Collection

Levels: ☐ Single Site ☒ Subsites ☐ Entire Site Structure

View records where:

Disposition action is:

Name of workflow:

Effective date is: ☐ in the next: day(s) ☐ between: and

Record Center

- ☒ Administration
- ☒ Business Operations
- ☒ Drop Off Library
- ☒ Email Dropzone
- ☒ Finance and Accounting
- ☒ Legal
- ☒ Record Library
- ☒ Reports

Grouped by:

Site	Container	Title	Type
Container: Business - BUS			
Record Center	Business - BUS	Continuity Plans - BUS-20	Container
Container: Continuity Plans - BUS-20			
Record Center	Continuity Plans - BUS-20	Business Continuity Plans 2011.docx	Record
Record Center	Continuity Plans - BUS-20	Disaster Recovery Plans 2011.docx	Record

Collabware RM Admin Console

Windows 7 Professional - Mozilla Firefox

https://cloud.skytap.com/configurations/484300/popup?vm_id=1048262

Policy Value Manager Level Properties Inheritance Inheritance Inheritance Inheritance
New Manage Records Managers Access Control Levels

FILE PLAN MANAGEMENT

Manage the file plan and the applicable records and information management compliance policies.

CATEGORIES POLICIES CONTENT RULES APPROVERS AUTHORITIES EVENT TYPES METADATA FIELDS

Find a Record Category

- 09 - Land Administration
- 10 - Planning and Development
 - 4720 - Planning and Development - General
 - 4720-01 - General
 - 4720-02 - Aerial Photography
 - 4720-20 - Individual Projects
 - 4720-20-MOUNT - Mountain Slope Community**
 - 4720-20-OCEAN - Ocean View Properties
 - 4780 - Demographic and Geographic Data
 - 4800 - Development - General
 - 4810 - Development - Agricultural Land
 - 4860 - Development - Waterfront
 - 4900 - Economic Development Services
 - 4910 - Floodplain Management
 - 4950 - Hazardous and Potentially Hazardous Areas
 - 4970 - Historic, Heritage and Archaeological Sites
 - 5000 - House Numbering Services
 - 5050 - Natural Resources
 - 5100 - Official Community Plans

Type Case

Description	
Open Date	November 1, 2012
Close Date	
Vital Records	No
Route Content	No

Repositories

Proxy Connection	Status	Repository URL
Records Center	Active	http://demosp.81/repositories/4720-20-MOUNT

Metadata Values

Metadata Field	Value	Populate Field	Is System
Record Classification	4720-20-MOUNT - Mountain Slope Community	N/A	Yes
GIS Block	B	Block	No
GIS Lot	A	Lot	No
Development Number	1234	N/A	No
GIS Folio	1234-AB	Folio	No
Development Name	Mountain Slope Community	Development Name	No

Compliance Policies

Configuring Declaration on Upload

Via a Content Rule

CY+1; 6y; D

Description	
Effective Date	September 9, 2012
Supersedes Policy	

Metadata Values

No Metadata Values found.

Content Rules

<input type="checkbox"/>	Name	Record Declaration	Trigger	Delay Period	Priority
<input type="checkbox"/>	Record Classification Match	Immediate	Item Added	N/A	5

Retention Stages

<input type="checkbox"/>	Name	Initiation	Action	Sequence
<input type="checkbox"/>	Active	Record Declared +1 Calendar Years	<ul style="list-style-type: none">• Electronic: Advance to Next Stage• Physical: Advance to Next Stage• Immutable• Approval Required	1

Authorities

No Authorities found.












Record Categories

Code	Name	Description
0110-05	Convenience Files	
1615-02-ACC	Accounting Department	
1615-02	Accounting Codes	





Create Case Retention Rule

Will trigger retention when case is closed

New Retention Stage

Name		Case File Close + 6y; D	
Description		Click to edit the translatable values.	
SharePoint Location		Records Center	
Immutable		<input checked="" type="checkbox"/>	
Initiation		<input checked="" type="radio"/> Calculated <input type="radio"/> Immediate	
Initiation Trigger		Lifecycle Event	Category Closed
Retention Period		6	Years
Action Retry Required		<input type="checkbox"/>	
Approval Required		<input checked="" type="checkbox"/>	

Electronic Records

Storage		SharePoint Content Database	
Action		Destroy	

Physical Records

Storage		Onsite Storage	 
Action		Destroy	



Save

Cancel

Disposition Result List

Scope workload via "Facets". Note Approvals

Approval List Item

 
Add Remove

Manage

Search Results (112) Approval Items (0)

Refine the Approval Items using the filters below.

Record Categories

Individual Committees X

Internal Organizational Priorities Work Plans X

Disposition Actions & Choices


Action ▼


Date Range



Start Date ▼ End Date ▼


Record Categories



Find a Record Category ▼

 01 - Administration and Governance

 0515 - Meetings - Committees

  0515-20 - Individual Committees

 0110 - Administration and Governance - General


  0110-02 - Internal Organizational Priorities Work Plans

Policies and Stages

Policy ▼














































Content Types

Content Type Group ▼ Content Type ▼

 Include Child Content Types

Select All Items per Page: 100 ▼

1 2 Next Go to ▼ of 2 Pages

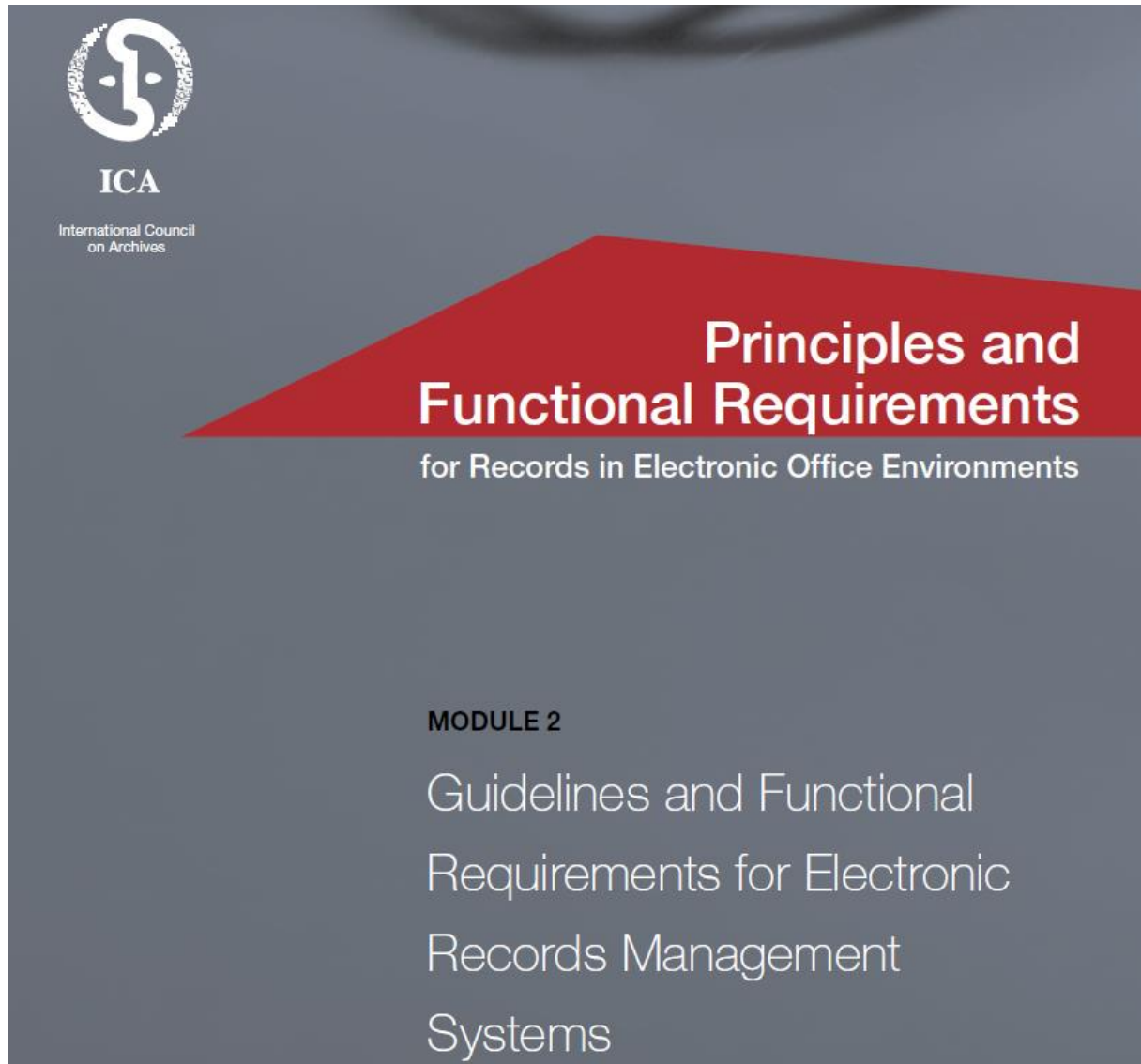
00000008BM  Advance.docx 	00000008BK  Advance - Copy.docx 	00000008AY  Advance - Copy (9).docx 	00000008AW  Advance - Copy (9) - Copy.docx 	00000008AU  Advance - Copy (8).docx 
00000008AS  Advance - Copy (8) - Copy.docx 	00000008AQ  Advance - Copy (7).docx 	00000008AK  Advance - Copy (6) - Copy.docx 	00000008AM  Advance - Copy (6).docx 	00000008AO  Advance - Copy (7) - Copy.docx 
00000008AI  Advance - Copy (5).docx 	00000008AG  Advance - Copy (5) - Copy.docx 	00000008AC  Advance - Copy (4) - Copy.docx 	00000008AE  Advance - Copy (4).docx 	00000008AA  Advance - Copy (3).docx 
00000008A8  Advance - Copy (3) - Copy.docx 	00000008A6  Advance - Copy (2).docx 	00000008A4  Advance - Copy (2) - Copy.docx 	00000008BI  Advance - Copy (17) - Copy.docx 	00000008BG  Advance - Copy (16) - Copy.docx 
00000008BE  	00000008BC  	00000008BA  	00000008B8  	00000008B6 



Recordkeeping for SharePoint 2010

WHAT ABOUT THE GOVERNMENT OF CANADA?

GoC Requirements = ICA Module 2



GoC Mandated Product for Electronic Recordkeeping

Open Text **Content Server**



[CANADA](#) > COUNTRY COMMITMENT

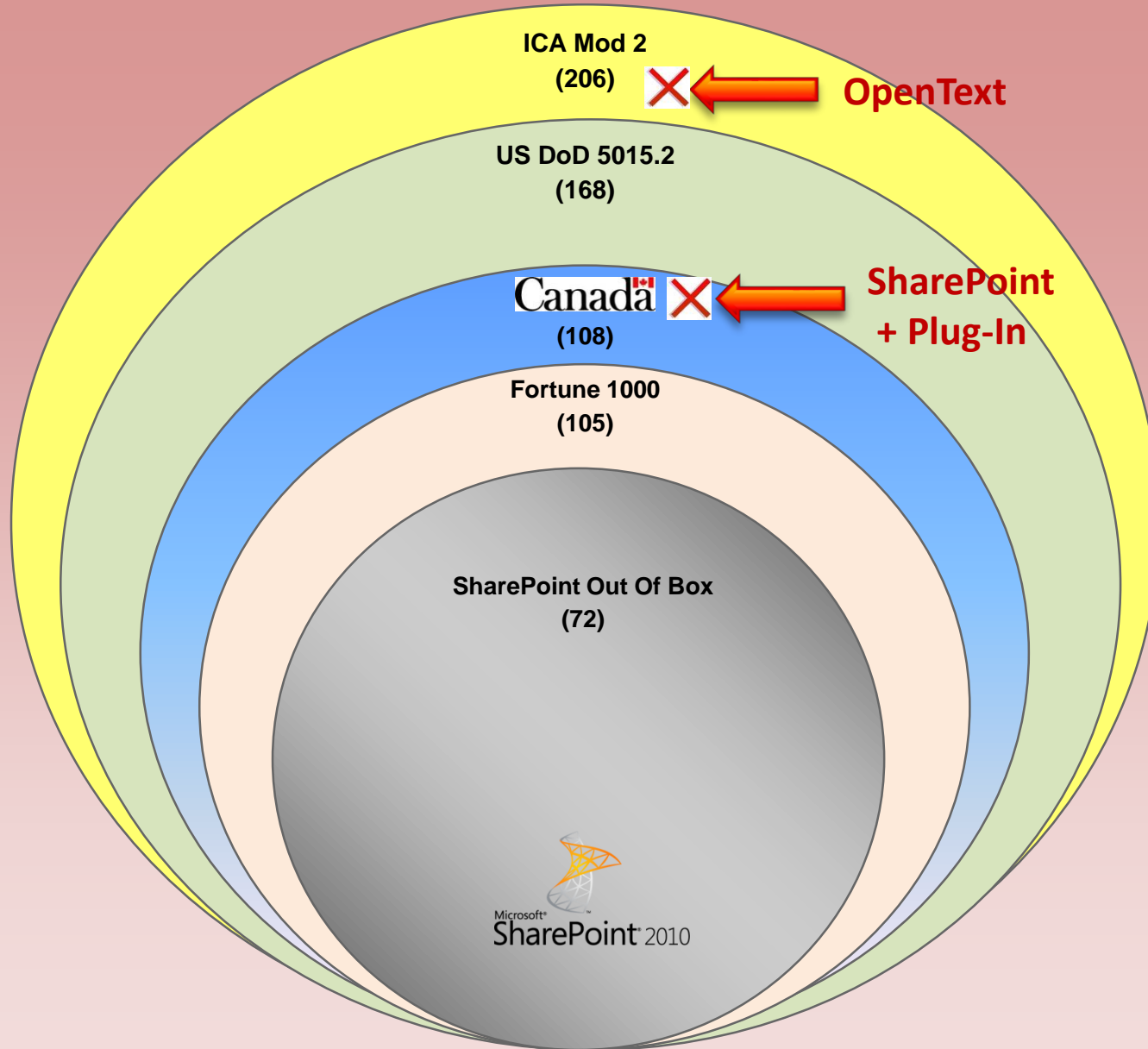


ADVANCING RECORDKEEPING IN THE GOVERNMENT OF CANADA – GCDOCS

+ 11 April 2012

🔄 In Progress

Realistic Comparison



(3) GoC Special Requirements

1. **Security**

- ☐ In ICA Mod 2
- ☐ NOT in 5015.2
- ☐ Commonwealth-wide

2. **Bilingualism**

- ☐ NOT in ICA Mod 2
- ☐ NOT in 5015.2
- ☐ Uniquely Canadian

3. **PRM** (Physical Records Management)

- ☐ In ICA Mod 2
- ☐ NOT in 5015.2
- ☐ Global



GoC Compliance

ICA Mod 2

Security

Bilingual

PRM

5015.2

F1000 Core

ICA Mod 2

PRM

5015.2

F1000 Core



(2) GoC SharePoint Options

Option 1

SharePoint + Plug-In

- Against Treasury Board
- Non-Compliant. Missing (2) Critical Needs
 - Bilingual
 - Security Model

Option 2

SharePoint + OpenText

- Treasury Board Support
- OpenText 100% RM Compliant
- (2) Competing Products
- Complex Integration
 - OpenText AGA

OpenText AGA

For SharePoint

OPENTEXT

Better Together Central

Microsoft

[Home](#)

[Resources](#)

[SharePoint Assessment](#)

[Benefits Analyst](#)

[Contact](#)

OpenText Application Governance & Archiving for Microsoft® SharePoint®

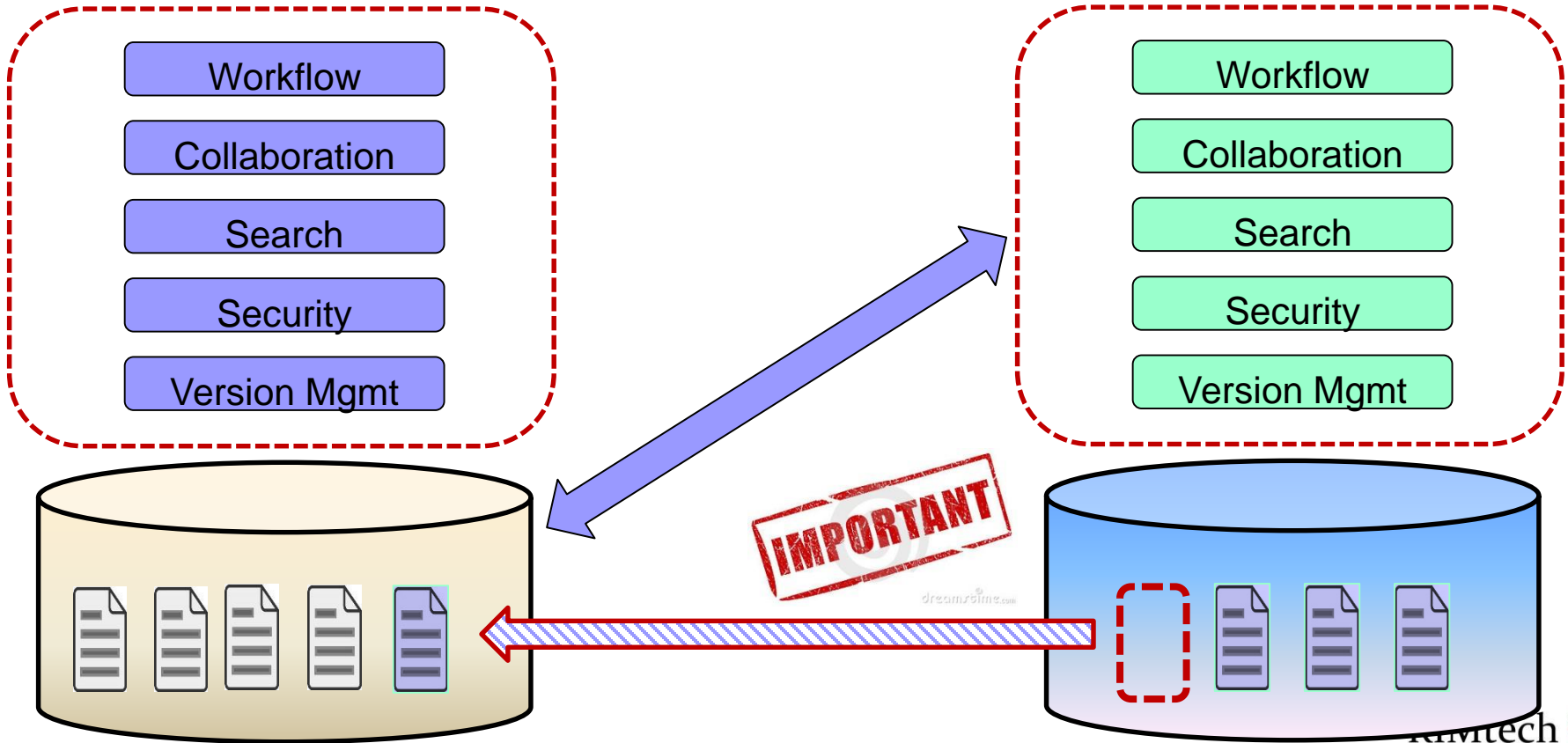


2012 PARTNER OF THE YEAR
Microsoft Alliance ISV Industry
Winner

AGA

Stay in SP, Work on CS & SP Docs

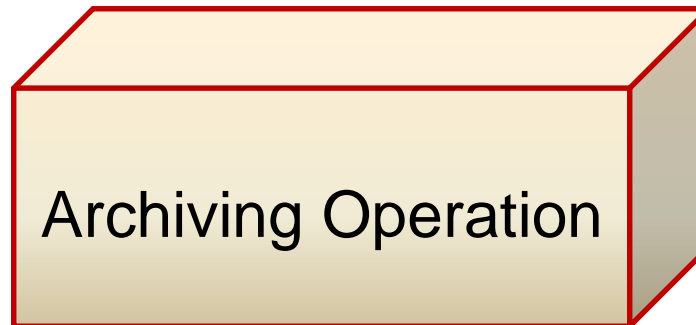
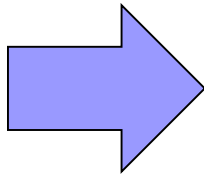
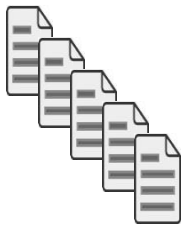
Open Text **Content Server**



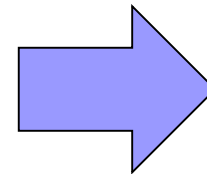
AGA Archive “Operation”

Needs *Parameters* to Complete

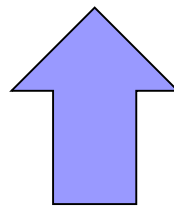
Source Documents



Destination Location



Open Text Content Server



AOPs (AGA Profile or DFAS)

Parameter 1	Parameter 2	Parameter 3
Parameter 4	Parameter 5	Parameter 6
Parameter 7	Parameter 8	Parameter 9

File Action Select the action to be performed on the document.	<input checked="" type="radio"/> Create link (ave and delete document, create link) <input type="radio"/> Move (save and delete document) <input type="radio"/> Copy (save document) <input type="radio"/> Synced Copy (store document and synchronize future versions) <input type="checkbox"/> Allow users to change the default value
Folder Action Select the action to be performed on the folder. Create link is only available if a flat folder structure is selected.	<input type="radio"/> Create link (save all child items, create link to folder and delete) <input checked="" type="radio"/> Child links (save child items, create child links and delete child items) <input type="radio"/> Move (save all child items and delete the folder) <input type="radio"/> Copy (save all child items) <input type="checkbox"/> Allow users to change the default value
Content Server Specify the Content Server to be used. If you change the server, the root folder and Records Management classification information will be discarded.	Content Server: <div>vm-clmsfs</div>
Root Enterprise Library Folder Select a root folder in the Enterprise Library where the documents are saved to by default. You have the option to allow users to change this default value.	Enterprise Library Folder: Enterprise > Compliance Records Archive > Rate Cases > RC09831 <input checked="" type="checkbox"/> Allow users to change the default value
Records Management Classification Specify content type mapping to Records Management classification and/or select default Records Management classification which will be used during the archiving process. You have the option to allow users to change this default value.	Content Type mappings: <div><div>Response Document</div><div>Submission Document</div><div>Add MappingRemove Mapping</div><div>LEGAL SERVICES > COMPLIANCE > Energy (10-220-1137)</div><div>LEGAL SERVICES > COMPLIANCE > Energy (10-220-1137)</div></div> Default Records Management classification: Select a Records Management classification <input checked="" type="checkbox"/> Allow users to change the default value
File Versions Specify the versions to archive.	<input checked="" type="radio"/> Include all versions <input type="radio"/> Include the most recent version <input type="radio"/> Include the last major version <input type="radio"/> Include the last major and last minor versions <input type="checkbox"/> Allow users to change the default value
Archive As New File Version Select the appropriate checkboxes if users should be able to select if a SharePoint document should be archived as new document or new version of an existing document, or if a confirmation page should be displayed when no "Save Version" page is shown.	<input type="checkbox"/> Enabled <div><input type="checkbox"/> Allow users to select adding of document versions <input type="checkbox"/> Require user confirmation</div>
Folder Versions Specify the file versions for folder archiving.	<input checked="" type="radio"/> Include all versions <input type="radio"/> Include the most recent version <input type="radio"/> Include the last major version <input type="radio"/> Include the last major and last minor versions <input type="checkbox"/> Allow users to change the default value
Additional Information Select the appropriate checkboxes to allow users to specify additional information that will be saved for the documents in the Enterprise Library.	<input type="checkbox"/> Allow users to change the name and description <input checked="" type="checkbox"/> Allow users to edit attributes

DiscardOKCancel

Entering AOPs
into a
DFAS

AOPs Assigned via **Profile**

For Process-Driven Archiving

Site1

Library1

Library2

Site 2

Subsite 2.1

Library3

Library4

Library5

Subsite 2.2

Library6

Site 3

Library7

Library8

Site 4

Library9

Library Profile 1		
Parameter 1	Parameter 2	Parameter 3
Parameter 4	Parameter 5	Parameter 6
Parameter 7	Parameter 8	Parameter 9

Site Profile 1		
Parameter 1	Parameter 2	Parameter 3
Parameter 4	Parameter 5	Parameter 6
Parameter 7	Parameter 8	Parameter 9

Library Profile 2		
Parameter 1	Parameter 2	Parameter 3
Parameter 4	Parameter 5	Parameter 6
Parameter 7	Parameter 8	Parameter 9

Library Profile 3		
Parameter 1	Parameter 2	Parameter 3
Parameter 4	Parameter 5	Parameter 6
Parameter 7	Parameter 8	Parameter 9

Site Profile 2		
Parameter 1	Parameter 2	Parameter 3
Parameter 4	Parameter 5	Parameter 6
Parameter 7	Parameter 8	Parameter 9

Library Profile 4		
Parameter 1	Parameter 2	Parameter 3
Parameter 4	Parameter 5	Parameter 6
Parameter 7	Parameter 8	Parameter 9

Site Profiles
Vs.
Library Profiles



Open Text Content Server



Conclusions

Go for It!

- Viable SharePoint RM Solutions
- Missing GoC Bilingual and Security
 - Workarounds Available
- OpenText + SharePoint is an Option
 - Complex Recordkeeping Issues
- (2) GoC Ottawa-Area Projects to Watch



Office of the
Privacy Commissioner
of Canada

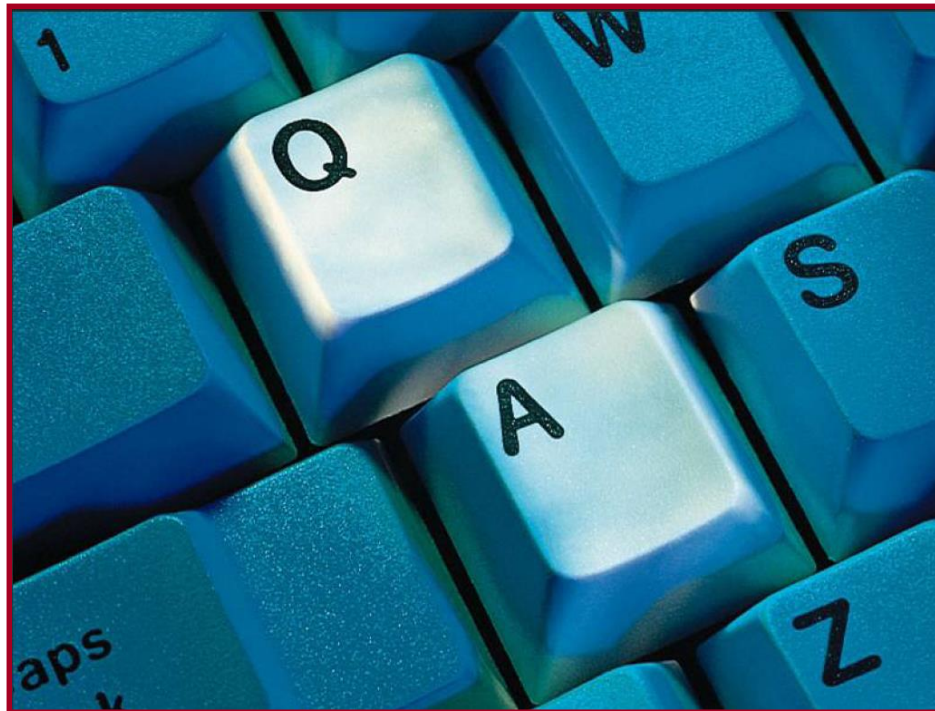
Commissariat
à la protection de
la vie privée du Canada

Bruce Miller

bruce.miller@rimtech.ca

www.rimtech.ca

613-226-8468



Remember to fill out your evaluation forms to win some great prizes!

&

Join us for SharePint today!

Date & Time: Nov 23rd, 2013 @6:00 pm

Location: The Observatory Pub,
Algonquin Student's Association

Address: A-170 on Algonquin Campus

Parking: No need to move your car!*

Site: <http://www.algonquinsa.com/ob.aspx>

*Please drive responsibly! We are happy to call you a cab ☺