

December 1st, 2012

Recordkeeping

With SharePoint 2010

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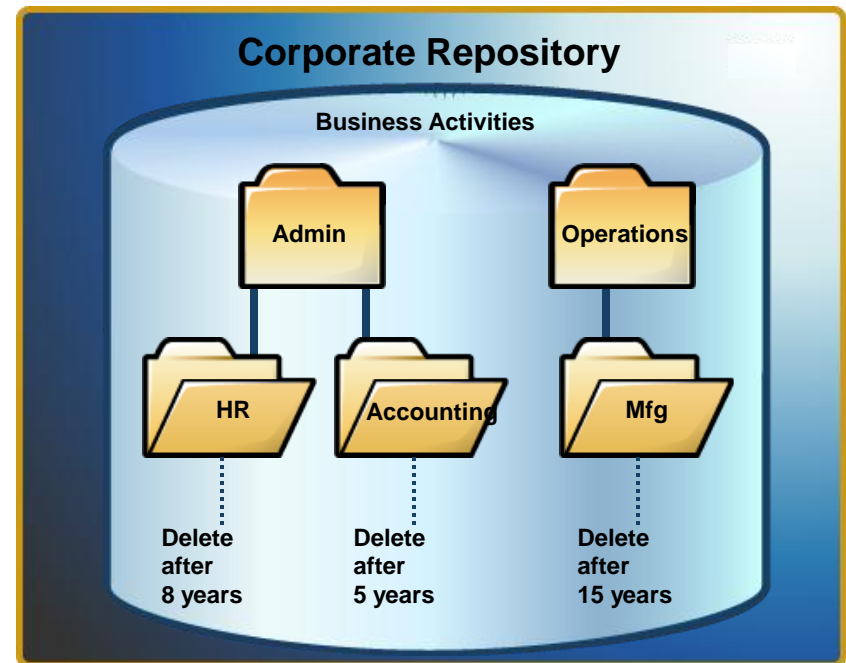
SHAREPOINT **SATURDAY**
■ ■ ■ ■ ■ ■ ■ ■
OTTAWA

Thank you to all of our Sponsors!!



The Goal of Recordkeeping

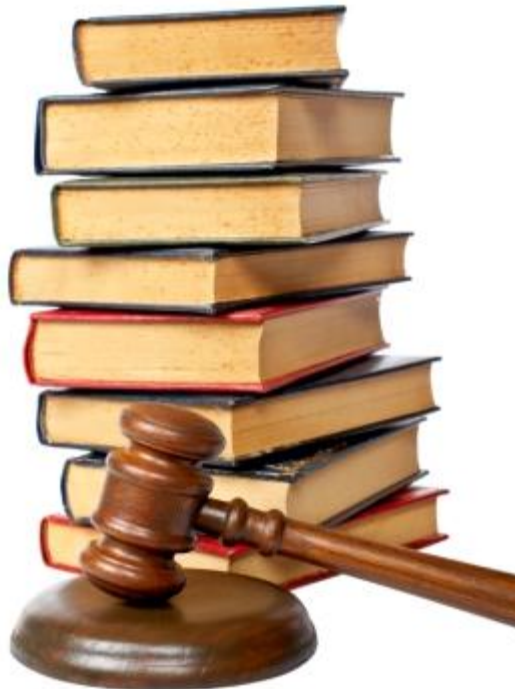
1. We organize our company into **business activities**
2. We assign official **retention policies** to business activities.
3. We must somehow **match** documents to business activities *correctly*.



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

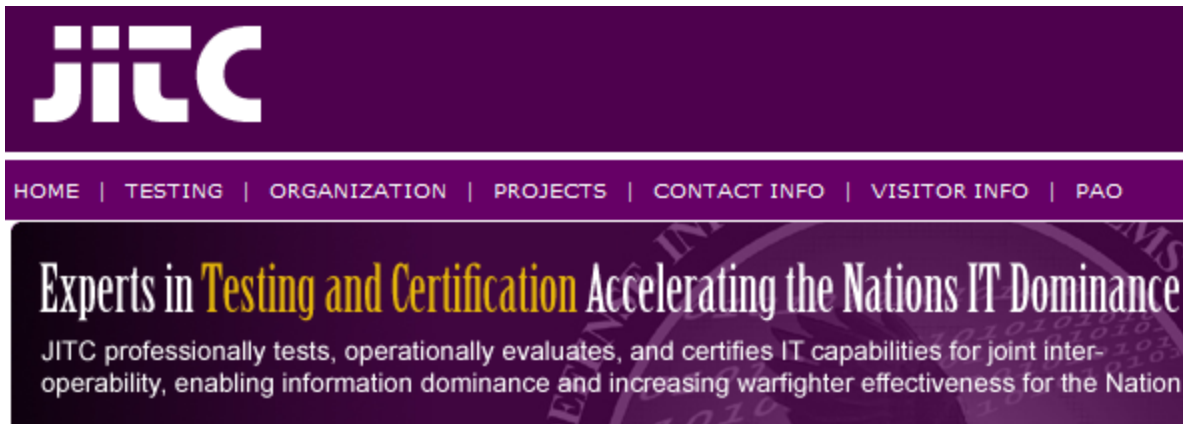
<http://jitc.fhu.disa.mil/recmgt/>

- 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



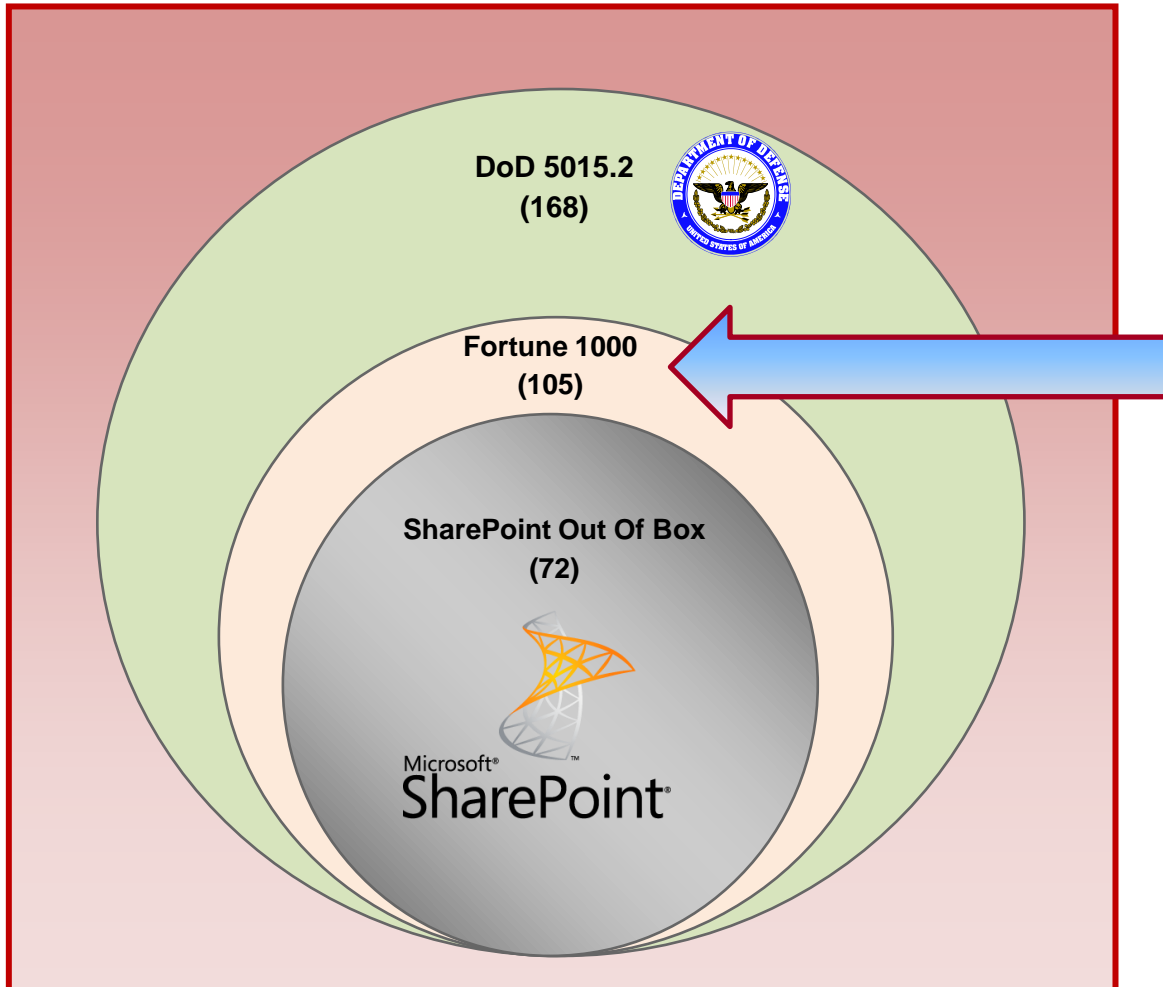
5015.2 Certifications

- 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 Files**

- ☐ (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

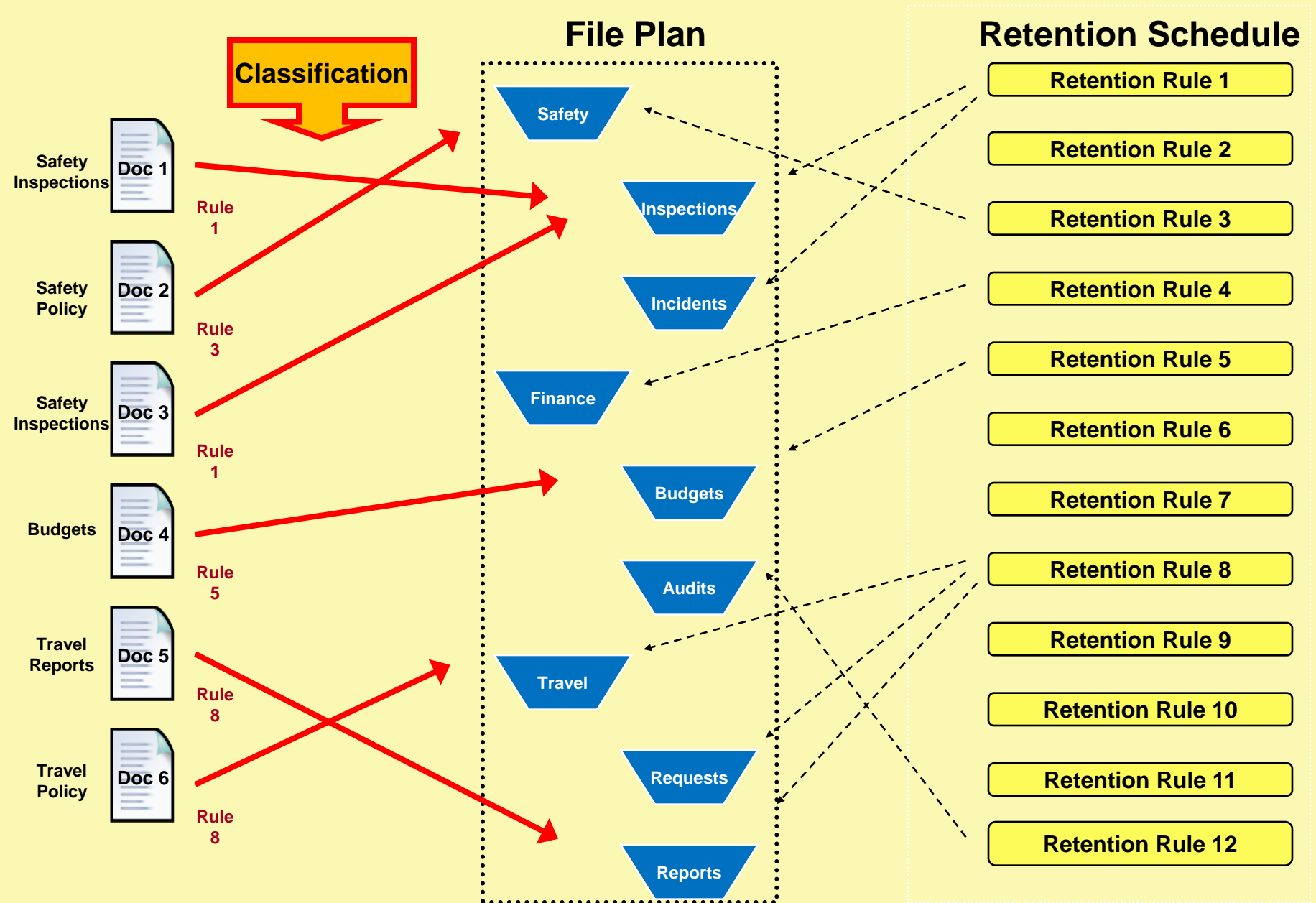
How are we going to get 1,000 users to do this, reliably and consistently?

Qualify

First

Which Documents are Records?

Classification



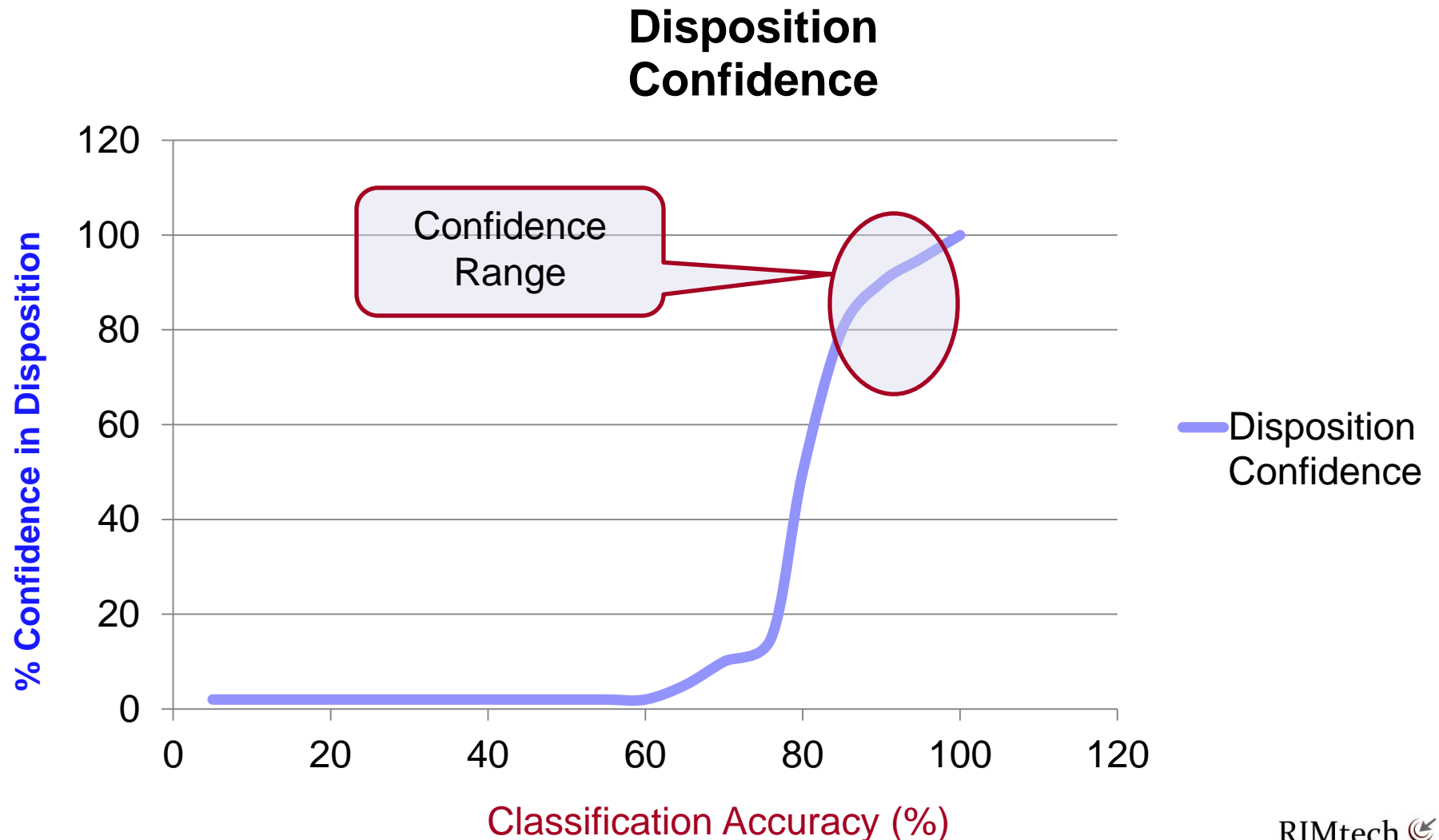
Classification Errors

- 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

Effect of Classification Accuracy

On Legally Defensible Disposition



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!!

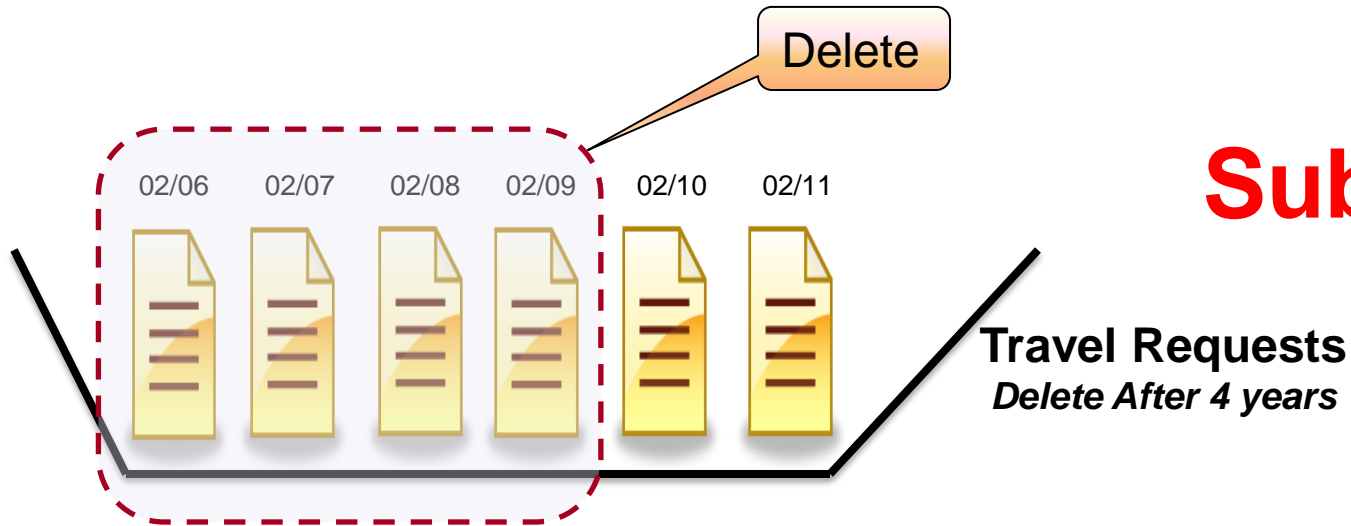


Subject (Non-Case) Files/Categories

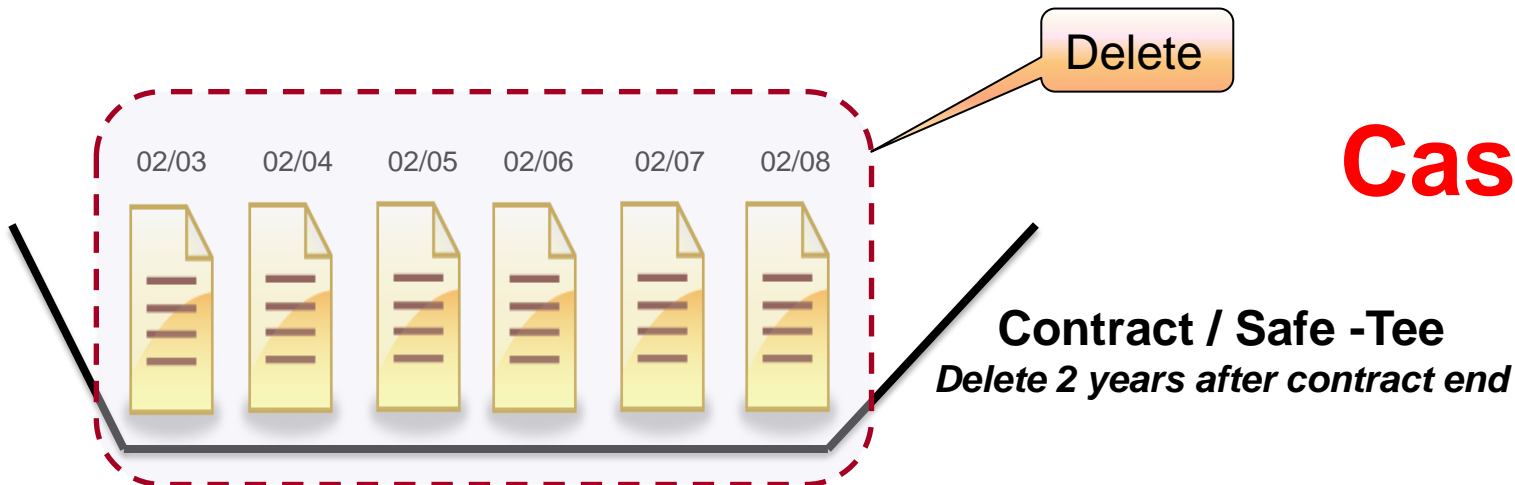
- Ongoing business activity
- Frequently administrative activities
- Disposition triggered by document AGE
 - Delete the older, leave newer behind
 - Applied to individual records
- Examples
 - Travel Requests
 - Training

Case Vs Subject

Subject File



Case File





Implications of Case Files

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

[illegible]

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 + Subject Files
- 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

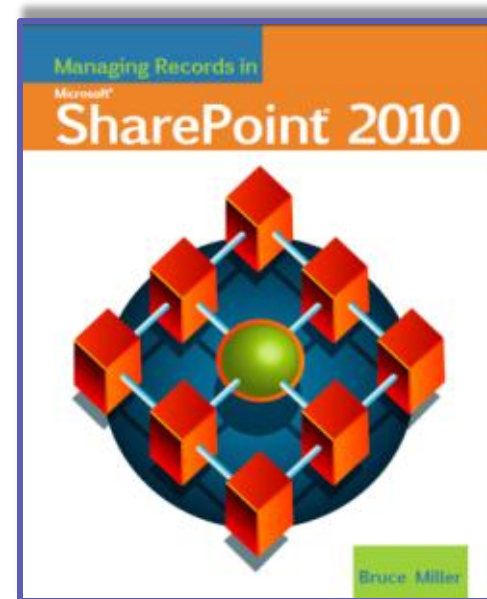
Option – Customize (Do It Yourself)

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



**Implemented
(to unknown Degree)**

The Recipe



**Buy at ARMA Online Bookstore
www.arma.org**

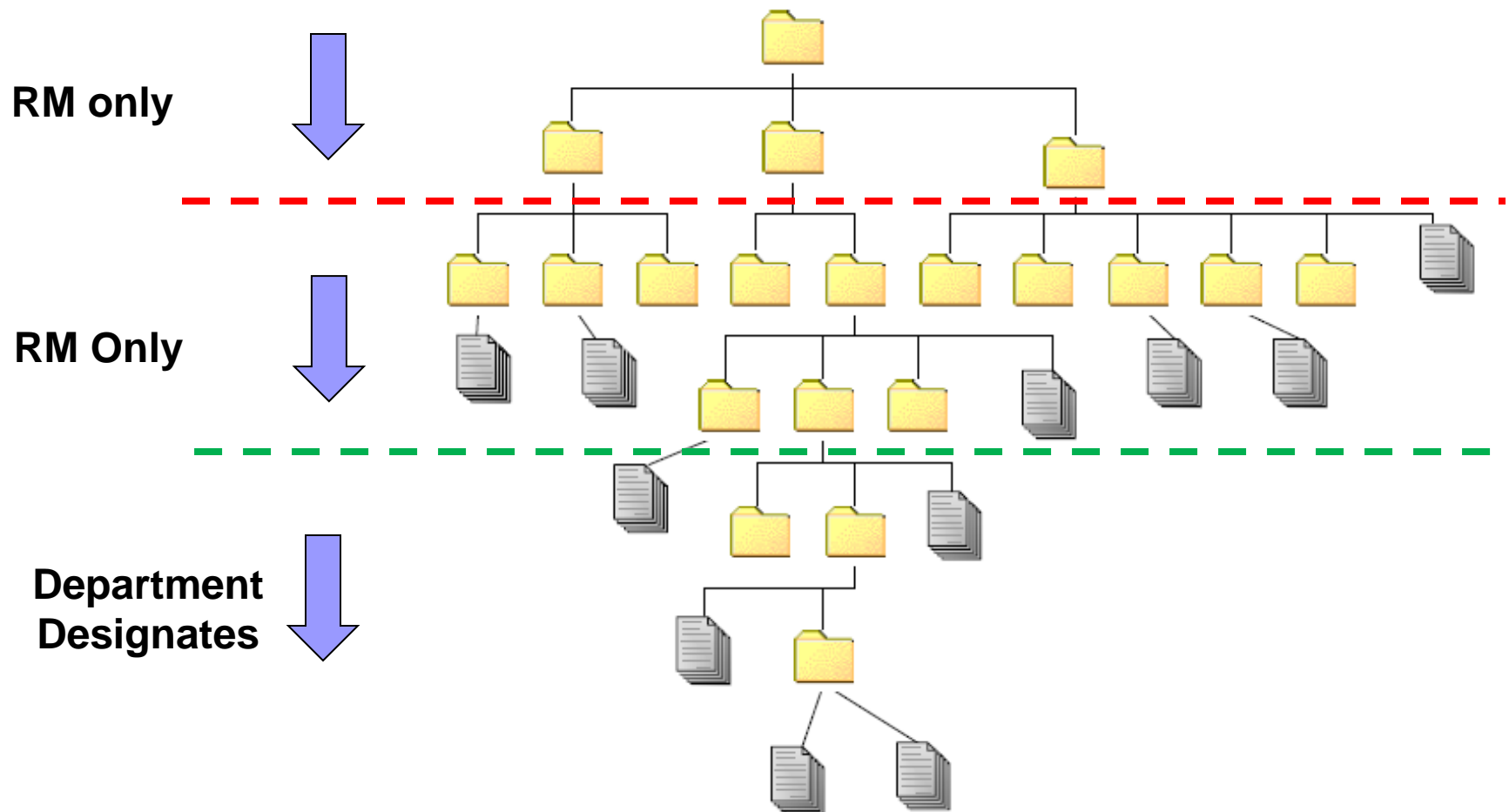
1	Only the Records Manager (RM) can create and maintain the file plan.
2	It has to be hierarchical in nature, with properties inheriting down from parent nodes (categories) to child categories.
3	All users must be able to browse it to select the appropriate category when declaring a document into SharePoint.
4	There must be a means of adding new case files to the file plan on a daily basis, as new business activities are initiated (e.g. hiring a new contractor). This will typically be done by designated authorized users within individual departments.
5	No orphan folders permitted.
6	The values of retention rule fields (<i>Retention Period, Retention Unit, Cutoff, Cutoff Unit, Disposition, Archival Review</i>) can change at any point in the hierarchy. If changed, child folders are to inherit the changed values.

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File Plan Folder Metadata

Minimum Metadata Fields			
Name	Man/Opt	Details	Notes
File Plan Folders			
Category Number	M	72 characters, alphanumeric	Unique Number or Identifier, e.g.04-50-1
Title	M	Alphanumeric, 72 characters	Unique Number or Identifier, i.e. A for Administrative or 01 for Policy
Description	M	1000 characters	Scope Notes. Detailed description of what is to be filed in this Category
Type	M	C (Case) or S (Subject)	
OPR	M	Select from pre-defined values	Office of Primary Responsibility
Citations	O	Alphanumeric, 1000 characters	List of citations used
Retention Period	M	numeric nnn	
Retention Unit	M	days, months, years	Unit of measure of retention period
Cutoff	M	Yes or No	Cutoff being applied?
Cutoff Unit	O	Semiannual, Quarterly, Monthly, Annual	
Disposition	M	(D)estroy, (T)ransfer, (U)nknown	Default = D
Archival Review	M	Yes or No	This category must be reviewed by Archivist before disposition allowed. Default = No
All Folders			
Record Folder	M	(Y)es or (N)o	Identifies if the folder is a CASE Folder for storage of case records, or not.
Category	M	Category Number	Unique Number or Identifier, e.g.04-50-1

File Plan Extension



File Plan Extension (FPE)

■ Utility Module

- For RM and Department Designates
- Adds new case files

Rules

1	Allows creation of new categories at tertiary-only level
2	New case categories inherit the properties of the parent folder
3	Available only to users who have been granted explicit access to the module
4	Enforces that all Category Number fields are unique.
5	Recommended configuration capability for this module:
	User Account Name
	Allow creation under specified secondary categories <Category L1/L2>, <Category L1/L3>, etc.
	Mask for data structure enforcement on category number, .e.g. aaa-###

Event Dates List

Rules

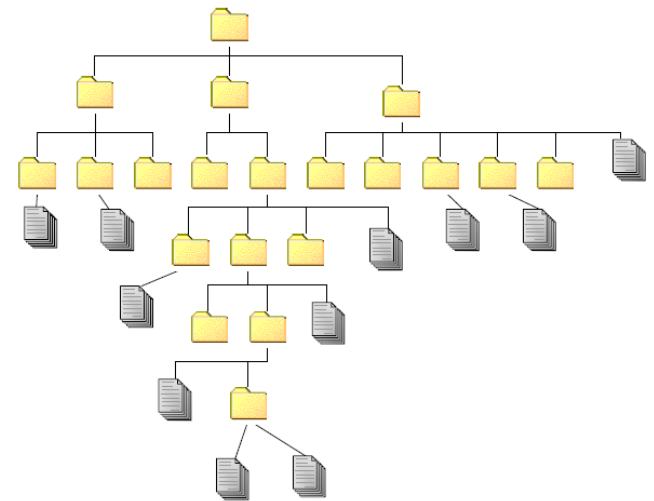
1	Add new Event Date
2	Edit Existing Entry
3	Only allow a new entry for a valid Category's number
4	No duplicates permitted
5	RM Access only

Minimum Mandatory Data

Category	Category Number	Date	Retention Period	Unit	Disp.	Rule
Smith, J, Employee	03-10-707		2	Year	D	2 years after termination of employment
Rubble, B, Employee	03-10-909	13/10/2008	2	Year	D	2 years after termination of employment
Policies, Employment	03-20		2	Year	D	2 years or until superceded
Reporting, Finance	04-40		3	Year	D	3 years after fiscal year ends
Safe-Tee Security, Contracts, Finance	04-50-1		2	Year	D	2 years after contract end
Tasty Catering, Contracts, Finance	04-50-2		2	Year	D	2 years after contract end
Lovely Landscaping, Contracts, Finance	04-50-3	12/11/2006	2	Year	D	2 years after contract end
Tax Return 2008	04-60-2008		7	Year	D	2 years after receipt of assessment
Tax Return 2009	04-60-2009		7	Year	D	2 years after receipt of assessment

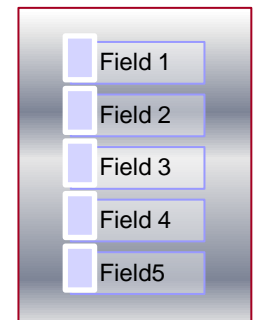
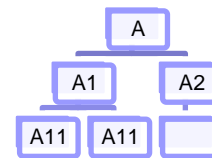
SharePoint (Working) Folder Structure

- All folders must have a **Category** field
- Three Rules for **ALL** folders
 1. Either a *Record* or *Non-Record* folder
 2. If a Record Folder, must have an assigned Category
 3. If a record folder, only documents of same subject (category) must be stored within it



Declaration = Q + C + M

Qualify/Classify/Metadata



Qualify

WIP

Record

Reference

Classify

Metadata

1

2

3

Document Metadata

12 Fields to Support RM



➔ User-Entered

Document Metadata			
Content Type	M		SharePoint requirement
Subject	M	Alphanumeric, 124 characters	Subject matter of this document
Category	O	Select Category from File Plan navigation tree	Mandatory for a declared record.
Security Level	O	Select from pre-defined List	Denotes Record-level security
Business Unit	M	Select from pre-defined values	Same selection list as OPR above
Author	M	72 characters, alphanumeric	Who is principally responsible for this content?
True Document Date	M	Date	Date that best reflects date of content
Status	M	(R)ecord, (W)ork-in-Progress, (R)eference	
Notes	O		Anything that would help find or explain this document
Qualified	M	Yes or No	Qualified by disposition. Not user-entered
Qualify Date	M	Date	Date this document was qualified for disposition
Verified	M	Yes or No	Yes if verified as classified correctly. Not user-entered.
Approved	M	Yes or No	Yes if approved for disposition by archivist

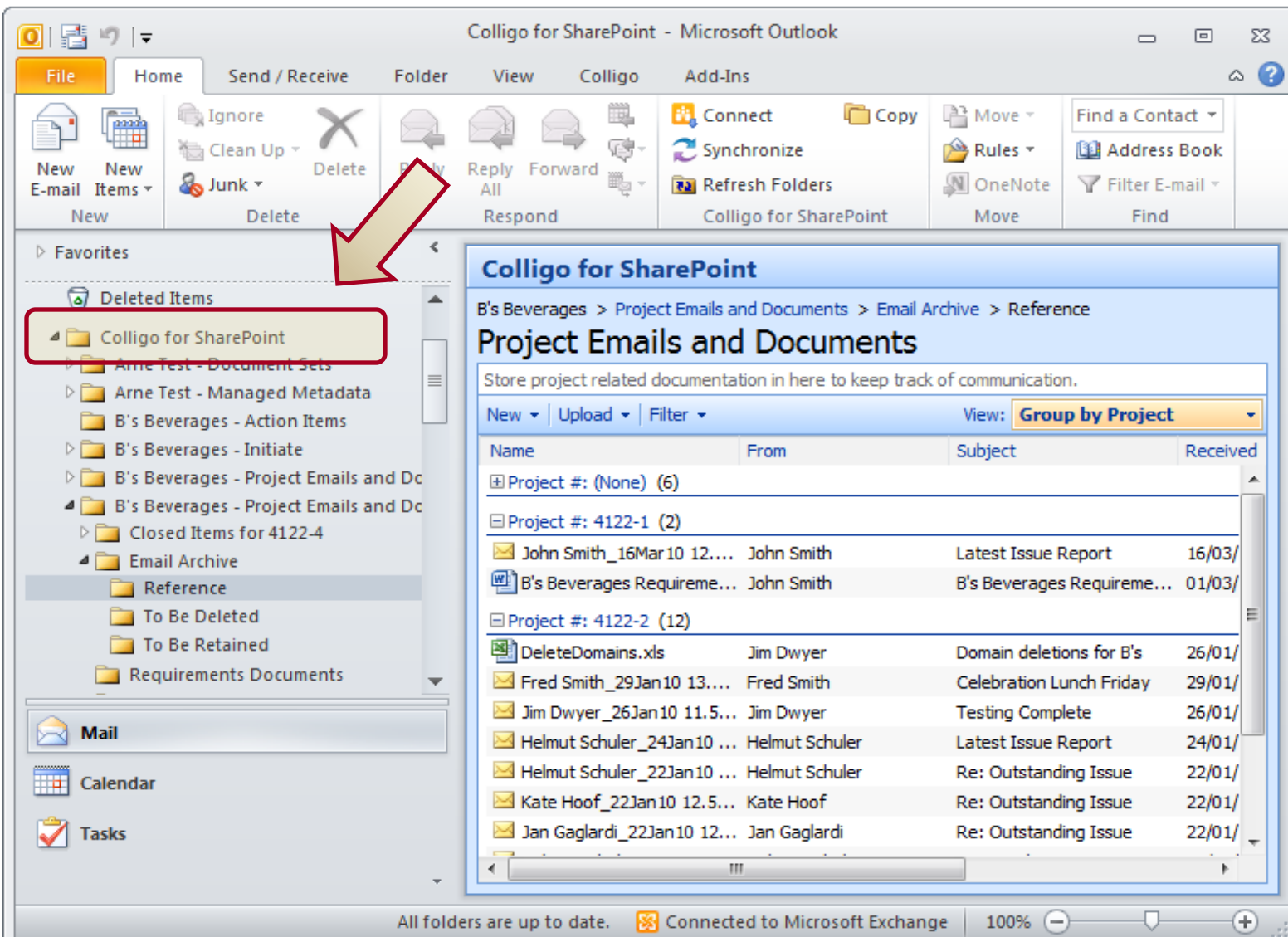
Custom Upload Module

Document = Record (Case)

1. Navigate to destination folder
2. Record/In-Progress/Reference = **Record**
3. Content Type = **Correspondence**
 - Fill in document fields that are not auto-filled:
 - **SUBJECT**
 - Default = BLANK
 - **CATEGORY**
 - Default = BLANK
 - **TRUE Document Date**
 - Default = BLANK (calendar assist tool)
 - Fill in Field CATEGORY
 - Select 04-50-1
 - Set field STATUS = (R)ecord
 - WARNING → Current folder not a record case folder. Pick one of:
 - Create New folder
 - Browse to location
 - Select Another folder
 - Browse to folder
 - If Folder = RECORD and CATEGORY = Match
 - Move doc to folder, delete original
 - If Folder Status = RECORD and CATEGORY NOT = Match
 - Current folder not correct record case folder. Pick one of:
 - Create New folder
 - Browse to new location
 - Select Another folder
 - Browse to new folder

Declaring Email

3rd-Party App Needed



The screenshot shows the Microsoft Outlook interface with the Colligo for SharePoint add-in. The ribbon includes tabs for File, Home, Send / Receive, Folder, View, Colligo, and Add-Ins. The Colligo tab is active, showing options like Connect, Synchronize, Refresh Folders, Copy, Move, Rules, OneNote, Find a Contact, Address Book, and Filter E-mail. The left sidebar shows the Deleted Items folder, with the 'Colligo for SharePoint' folder highlighted by a red arrow. The main pane displays the 'Colligo for SharePoint' interface, showing a breadcrumb path: B's Beverages > Project Emails and Documents > Email Archive > Reference. The main content area is titled 'Project Emails and Documents' and contains a table of project-related emails and documents.

Colligo for SharePoint

B's Beverages > Project Emails and Documents > Email Archive > Reference

Project Emails and Documents

Store project related documentation in here to keep track of communication.

New | Upload | Filter | View: **Group by Project**

Name	From	Subject	Received
Project #: (None) (6)			
Project #: 4122-1 (2)			
John Smith_16Mar10 12...	John Smith	Latest Issue Report	16/03/
B's Beverages Requireme...	John Smith	B's Beverages Requireme...	01/03/
Project #: 4122-2 (12)			
DeleteDomains.xls	Jim Dwyer	Domain deletions for B's	26/01/
Fred Smith_29Jan10 13...	Fred Smith	Celebration Lunch Friday	29/01/
Jim Dwyer_26Jan10 11.5...	Jim Dwyer	Testing Complete	26/01/
Helmut Schuler_24Jan10 ...	Helmut Schuler	Latest Issue Report	24/01/
Helmut Schuler_22Jan10 ...	Helmut Schuler	Re: Outstanding Issue	22/01/
Kate Hoof_22Jan10 12.5...	Kate Hoof	Re: Outstanding Issue	22/01/
Jan Gaglardi_22Jan10 12...	Jan Gaglardi	Re: Outstanding Issue	22/01/

All folders are up to date. Connected to Microsoft Exchange 100%



Disposition

The Approach

Four things to do;

1. **Stop** SharePoint from automatically destroying any records
2. **Modify** SharePoint's existing policies to tag qualified records as *Qualified*, instead of deleting them
3. Build a module to allow us to **review** qualified records and un-qualify where needed
4. Build a module to carry out actual **disposition** (destroying and transferring) qualified records

Disposition

(5) *Elements to Build*

Custom Item	Description
1. Workflow Qualify Case	A process that does nothing. Applied exclusively to case files. Used to satisfy SharePoint Policy requirements whereby an action is needed after retention period has expired.
2. Workflow Qualify Subject	Used to tag records as qualified for disposition, instead of destroying them.
3. Query Disposition Review	An on-screen means of reviewing qualified records.
4. Module Bulk Updater	A means of making changes to the qualification status of qualified records.
5 .Workflow Disposition	A process that destroys or transfers qualified, verified records.

Disposition

Disposition Review List (DRL)

List of Documents Qualified For Disposition								
Category		Subject	Doc ID	Retention Rule	Doc Date	Exp Date	Disp	Ver
Title	Number							
Insurance Coverage, Policies, Renewals	02-20	New coverage policy	101	destroy after 7 years	1999-01-01	2006-01-01	D	Y
Insurance Coverage, Policies, Renewals	02-20	Coverage Statistics	202	destroy after 7 years	1997-01-01	2003-01-01	D	N
Insurance Coverage, Policies, Renewals	02-20	Renewals Proposal	303	destroy after 7 years	1995-03-06	2002-03-06	D	Y
Insurance Coverage, Policies, Renewals	02-20	Coverage Ideas	404	destroy after 7 years	1993-02-02	1999-02-02	D	N
Safe-Tee Security	04-50-1	Annual Evaluation	505	destroy 2 years after contract end	1993-01-01	2010-02-02	D	N
Safe-Tee Security	04-50-1	Contract Dispute	606	destroy 2 years after contract end	1998-01-01	2010-02-02	D	N
Safe-Tee Security	04-50-1	Contract Violations	707	destroy 2 years after contract end	1986-04-06	2010-02-02	D	N
Safe-Tee Security	04-50-1	Contract negotiations	808	destroy 2 years after contract end	1997-02-04	2010-02-02	D	N
Safe-Tee Security	04-50-1	Vendor evaluation	909	destroy 2 years after contract end	2001-03-04	2010-02-02	D	N

Disposition

Disposition Module

Functionality

- 1) Locate each Document where document metadata field QUALIFIED = Yes (true). If you require an archivist's review and approval, then proceed on field APPROVED = Yes.
- 2) Skip unless if any of the following four values is not satisfied as shown below:
 - a. Qualified = Y
 - b. Approved = Y
 - c. On Hold = N
 - d. Disposition = (T)ransfer or (D)estroy (not Unknown)
- 3) Determine the disposition action
 - a. If Category field DISPOSITION = Destroy
 - i. Destroy SharePoint document and metadata, in non-recoverable fashion
 - ii. Add document metadata to list **Disposition Audit**
 - b. If Category field DISPOSITION = Transfer
 - i. Export document to specified external location <location>
 - ii. Destroy SharePoint document and metadata, in non-recoverable fashion
 - iii. Add document metadata to list **Disposition Audit**

Option – Buy a Plug-In

- Cost roughly = SharePoint \$\$\$
- (3) Viable Choices
 - All very different
- Usual Build vs Buy Scenario
 - Maintenance
 - More features
 - Upgrades
 - Ongoing Support




(3) Viable Plug-in Vendors

Common Features

- 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



Vendor Comparison

Capability	 GimmelSoft	 collabware	 recordpoint records management made easy
File Plan	✓	✓	✓
Case Files	✓	?	✓
Disposition	✓	✓	✓
Expunge	✓	✗	✗
Email Integration	✓	✗	✓
Physical Records	✗	✗	✓
US DoD 5015.2	✓	✗	✗
ICA Mod 2	✗	✗	✗



- USA
- DoD 5015.2
- Microsoft-Deployed
 - In-House RM
- Email Partner = Colligo
- Metalogix (externalization)
- Physical Records Limited to Iron Mountain



Email Integration



Database Externalization



Physical Records (extra \$\$\$)



- Australian
- Not 5015.2 compliant
- VERS (Australia Compliant
- Email Partner = Scinaptic + Colligo
- Full Physical Records
- Titus Document-Level Security



Email Integration



Email Integration



Security



Document Viewer



- Canadian (Vancouver)
- No Email Integration
- (Future) DoD 5015.2 certification
- Case File Handling?
- Advanced Classification Rules Engine
- No Physical Records
- Strong Focus → End User Experience

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

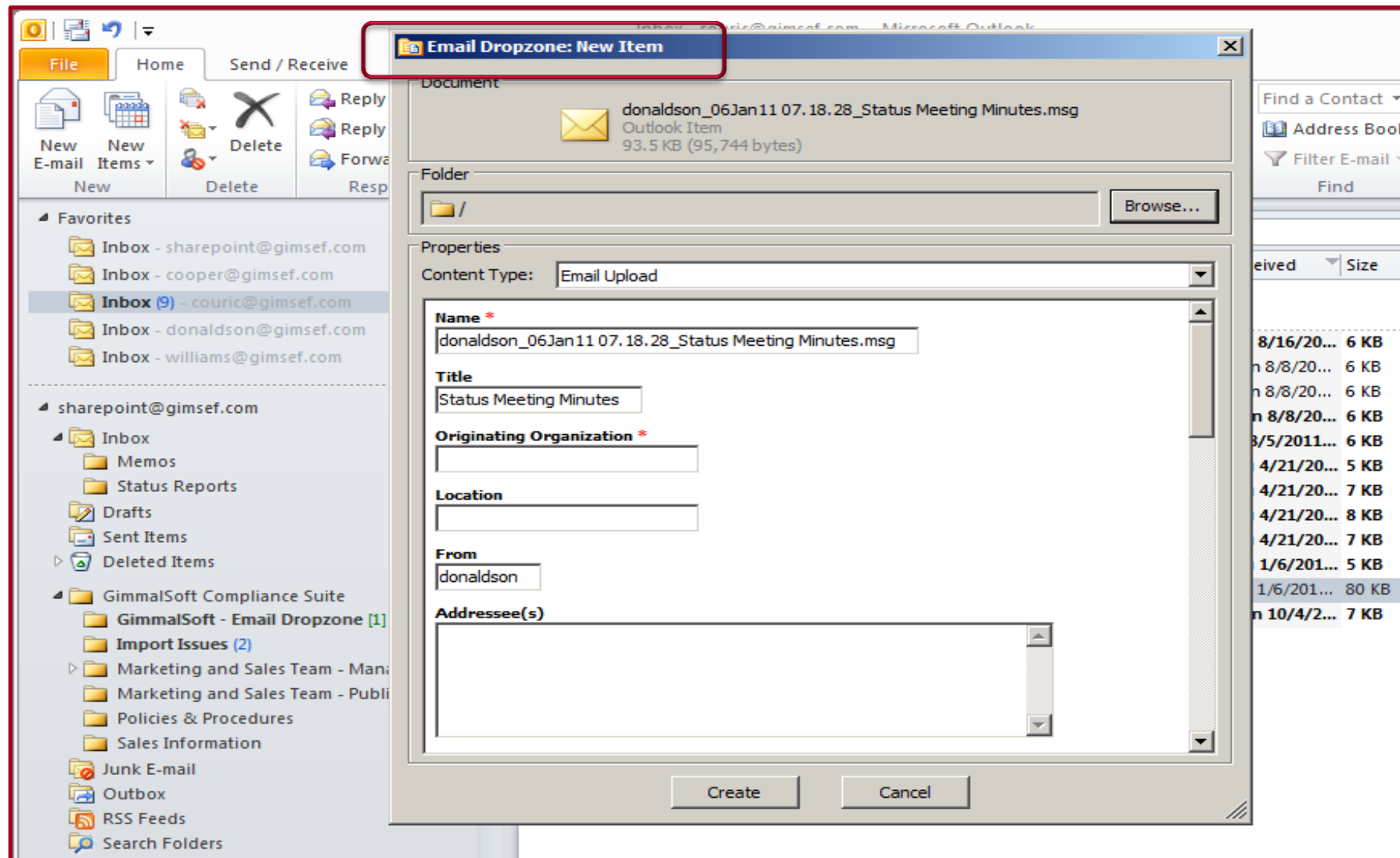
GimmelSoft Declaration of Email

The screenshot shows the Microsoft Outlook interface for the account 'Inbox - couric@gimsef.com'. The left sidebar displays the folder hierarchy. A red speech bubble with the text "Declare in SharePoint" points to the "GimmelSoft - Email Dropzone" folder under the "GimmelSoft Compliance Suite".

The main pane shows a list of emails. The email "couric Status of the new Application Information policy" is highlighted with a red box.

From	Subject	Received	Size	Categories
sharepoin...	Workflow Tasks - Cutoff Review record Administrative Re...	Tue 8/16/20...	6 KB	
sharepoin...	Workflow Tasks - Cutoff Review record Product Managem...	Mon 8/8/20...	6 KB	
sharepoin...	Workflow Tasks - Cutoff Review record Process Diagram.v...	Mon 8/8/20...	6 KB	
sharepoin...	Workflow Tasks - Cutoff Review record Building 13 Wind...	Mon 8/8/20...	6 KB	
sharepoin...	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	

GimmelSoft Declaration of Email



GimmelSoft Records Centre Console

The screenshot shows the GimmelSoft Records Centre Console web application. The browser address bar displays the URL: http://gimsftdemo/_layouts/Gimmel.RMA.Reporting.AsOf/AsOfReports.aspx. The top navigation bar includes links for Favorites, Portal, Controlled Information, Team Sites, and a search bar. The left sidebar contains navigation links for Site Actions, Libraries, Reporting, and Compliance Suite Administration. The main content area displays a form for viewing records, with a red box highlighting a table of records grouped by container.

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 records where:

Disposition action is: **Start a workflow**

Name of workflow: **Compliance Suite Transfer Record**

Effective date is: ☐ in the next: **30** day(s) ☐ between: **1/1/2012** and **2/2/2012**

Record Center

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

Grouped by: Container

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

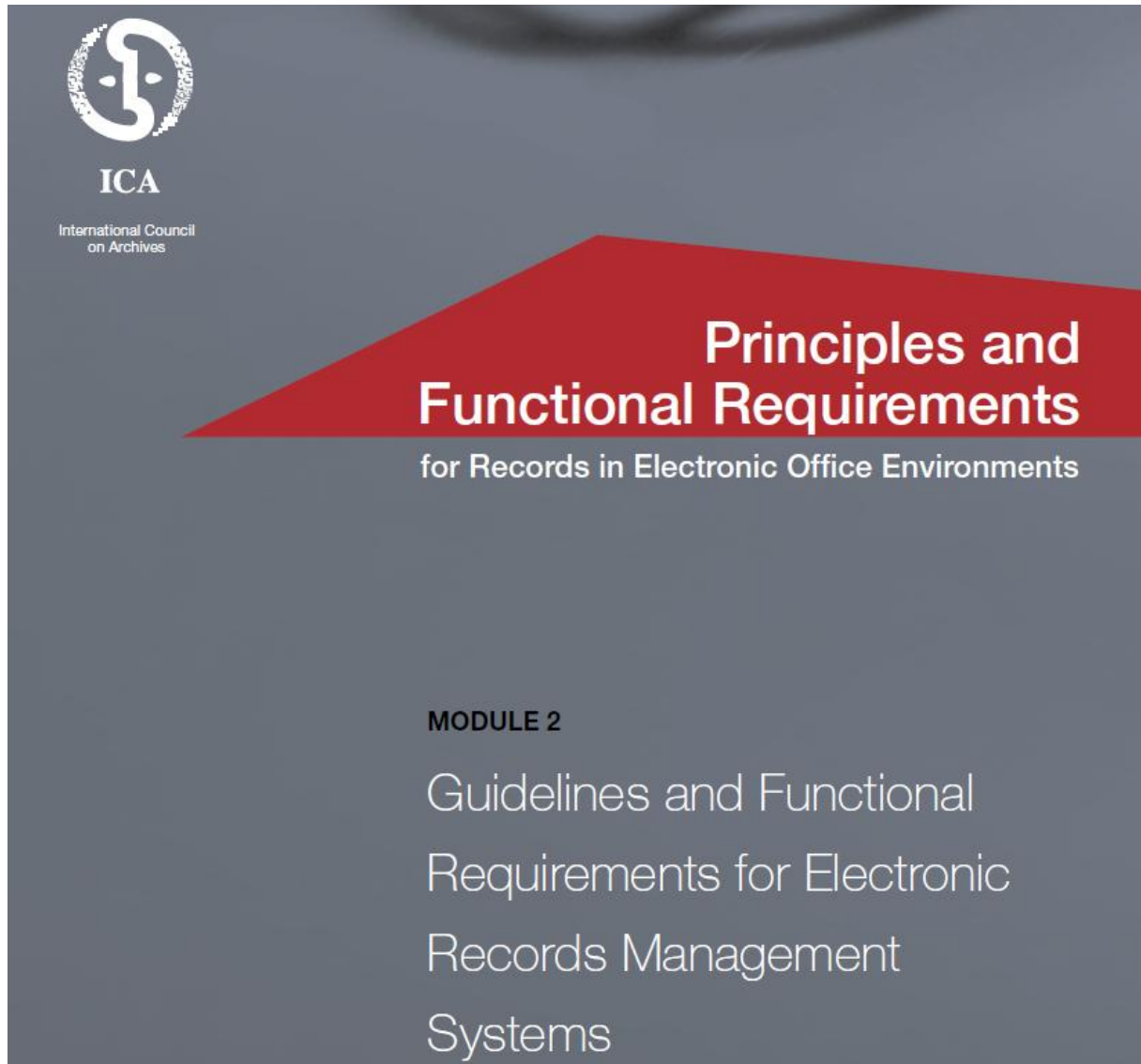
Compliance Policies



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

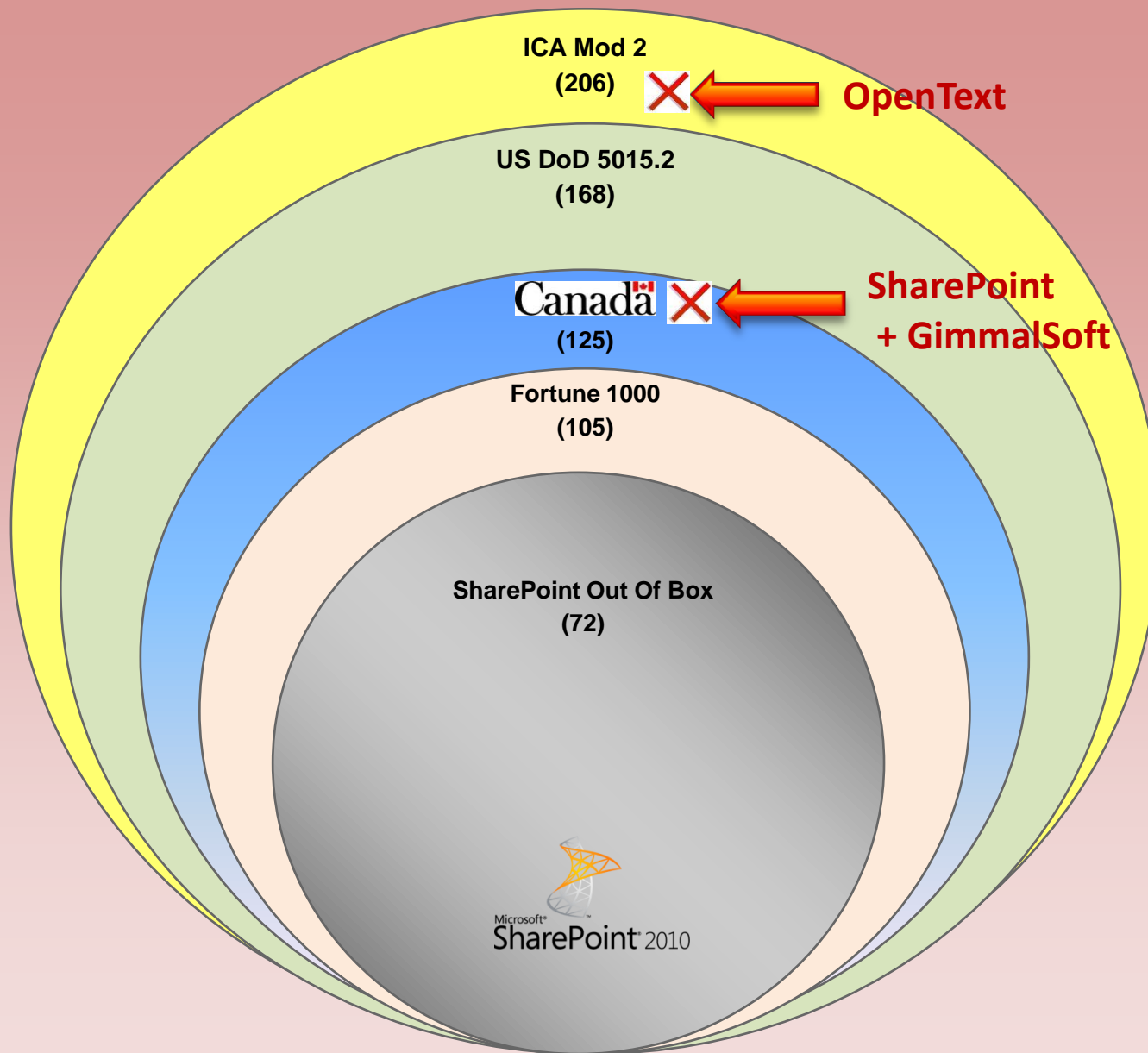


ADVANCING RECORDKEEPING IN THE GOVERNMENT OF CANADA – GCDOCS

+ 11 April 2012

🔄 In Progress

Realistic Comparison



(3) GoC Special Requirements

■ Security

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

■ Bilingualism

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

■ PRM (Physical Records Management)

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



GoC Compliance

ICA Mod 2

PRM

Security

Bilingual

5015.2

F1000 Core

ICA Mod 2

5015.2

F1000 Core



(2) GoC SharePoint Options

Option 1

SharePoint + GimmaSoft

- Against Treasury Board
- Non-Compliant. Missing
 - (3) Critical Needs
 - Bilingual
 - Physical Records
 - Security Model

Option 2

SharePoint + OpenText

- Treasury Board Support
- OpenText 1000% 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®

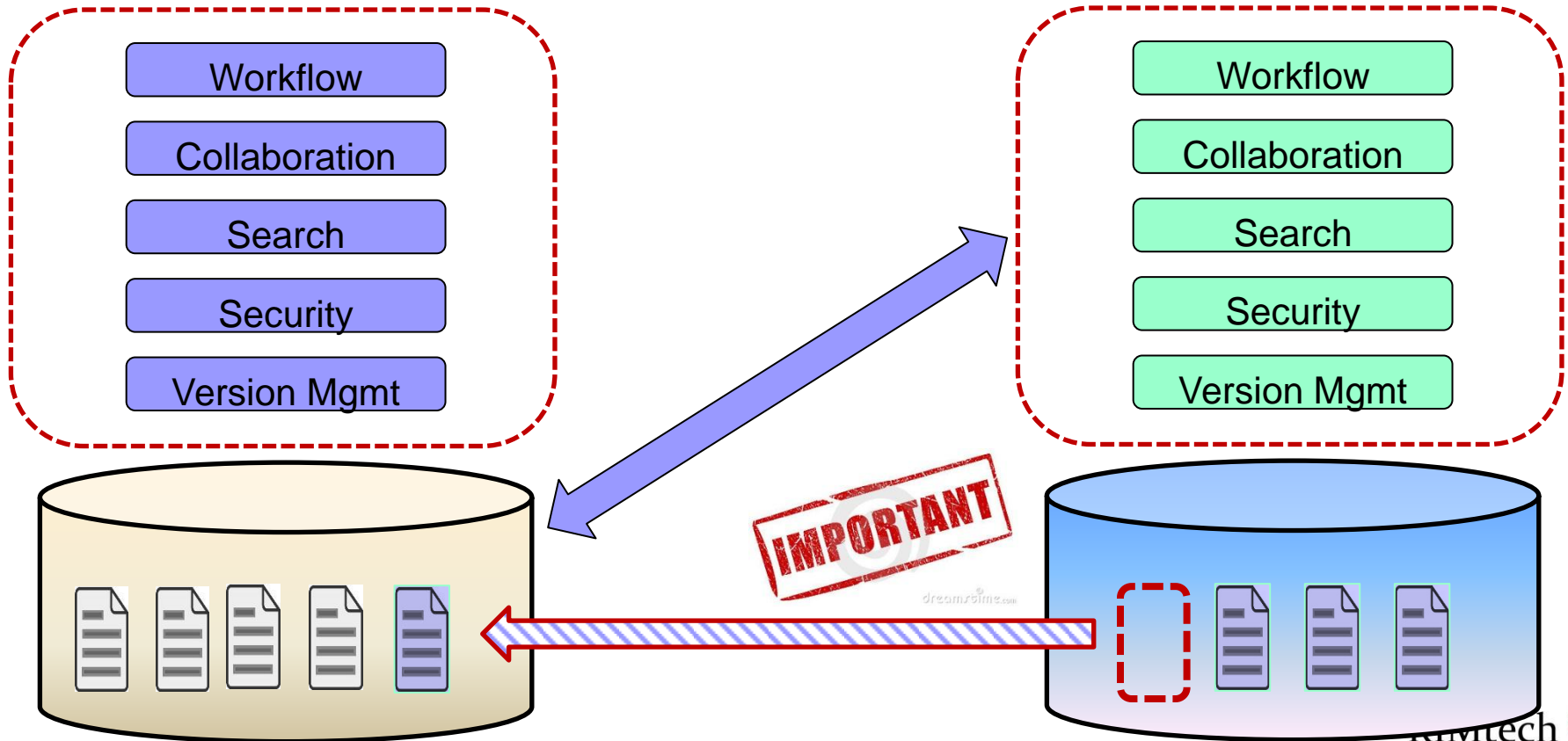


2012 PARTNER OF THE YEAR
Microsoft Alliance ISV Industry
Winner

AGA

Stay in SP, Work on CS & SP Docs

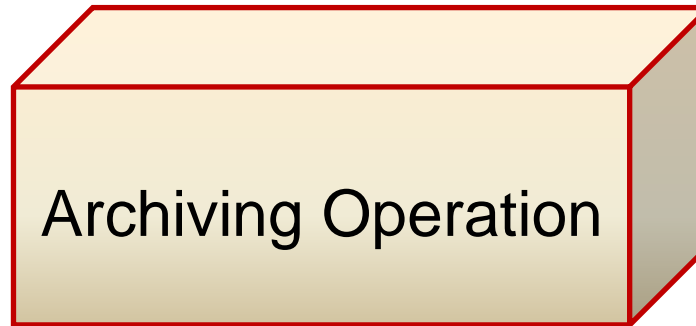
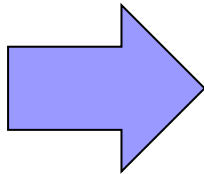
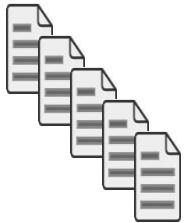
Open Text **Content Server**



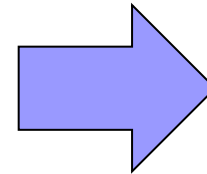
AGA Archive “Operation”

Needs *Parameters* to Complete

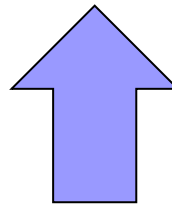
Source Documents



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 (save 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>Response DocumentLEGAL SERVICES > COMPLIANCE > Energy (10-220-1137)</div> <div>Submission DocumentLEGAL SERVICES > COMPLIANCE > Energy (10-220-1137)</div> <div>Add MappingRemove Mapping</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</div> <div><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
<div>DiscardOKCancel</div>	

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

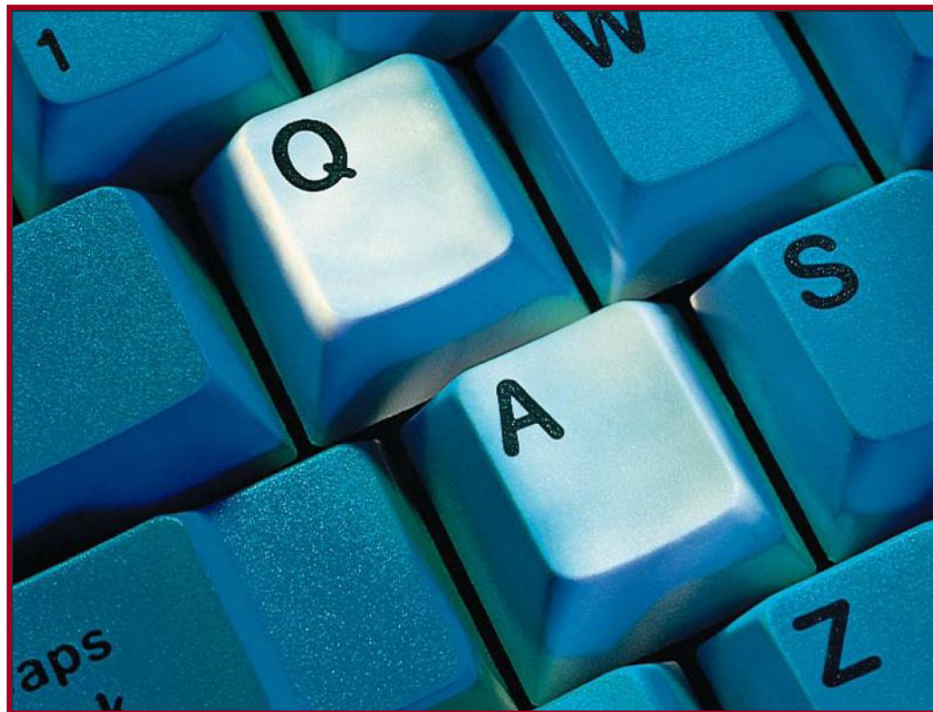


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Remember to fill out your evaluation forms to win some great prizes!

&

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