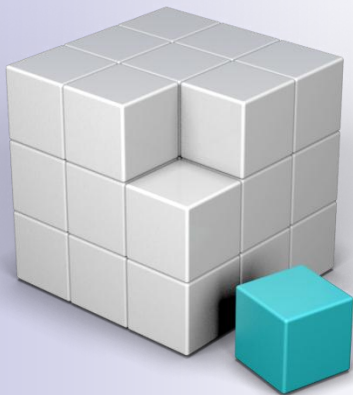


ACA@UBC presents
5th International Symposium



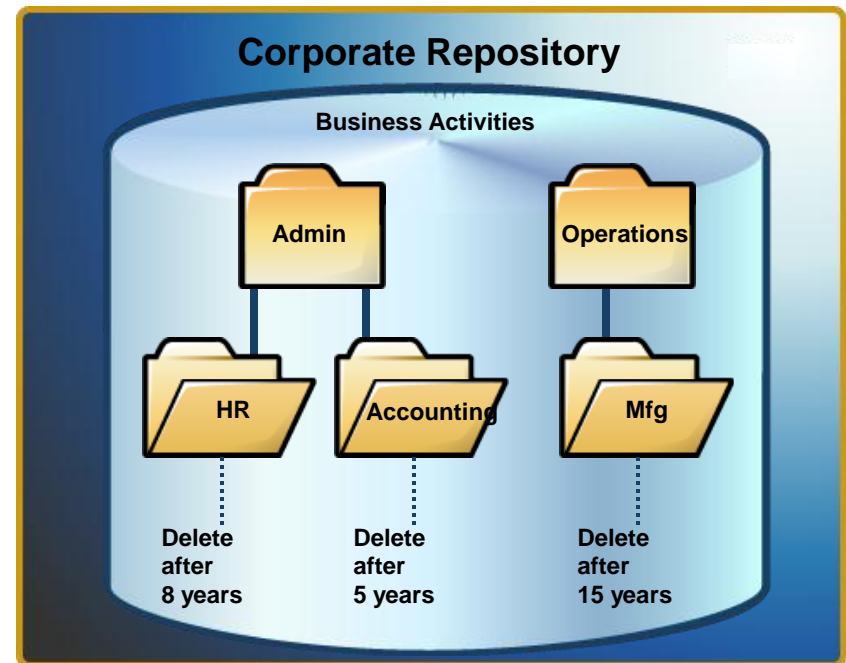
"We shape our tools, and our tools shape us"

Recordkeeping for SharePoint



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

Recordkeeping Features

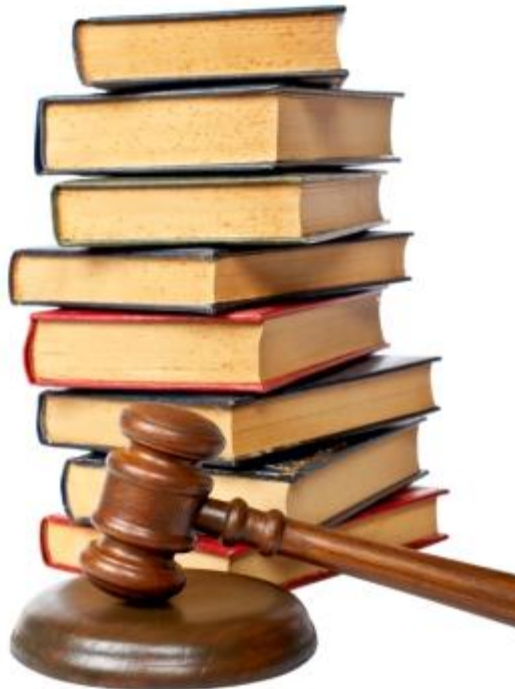
- Records in Place
- Information Management Policies
- Retention Periods
- Records Centre
- Declare
- Taxonomies



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?



Recordkeeping for SharePoint 2010

WHAT ARE THE REQUIREMENTS?

US DoD 5015.2

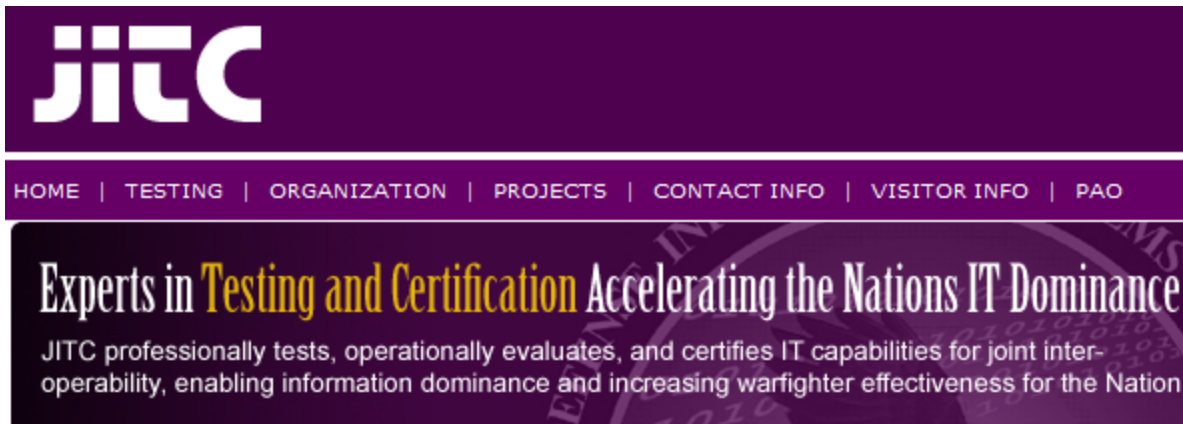
<http://jitc.fhu.disa.mil/recmgt/>

- 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



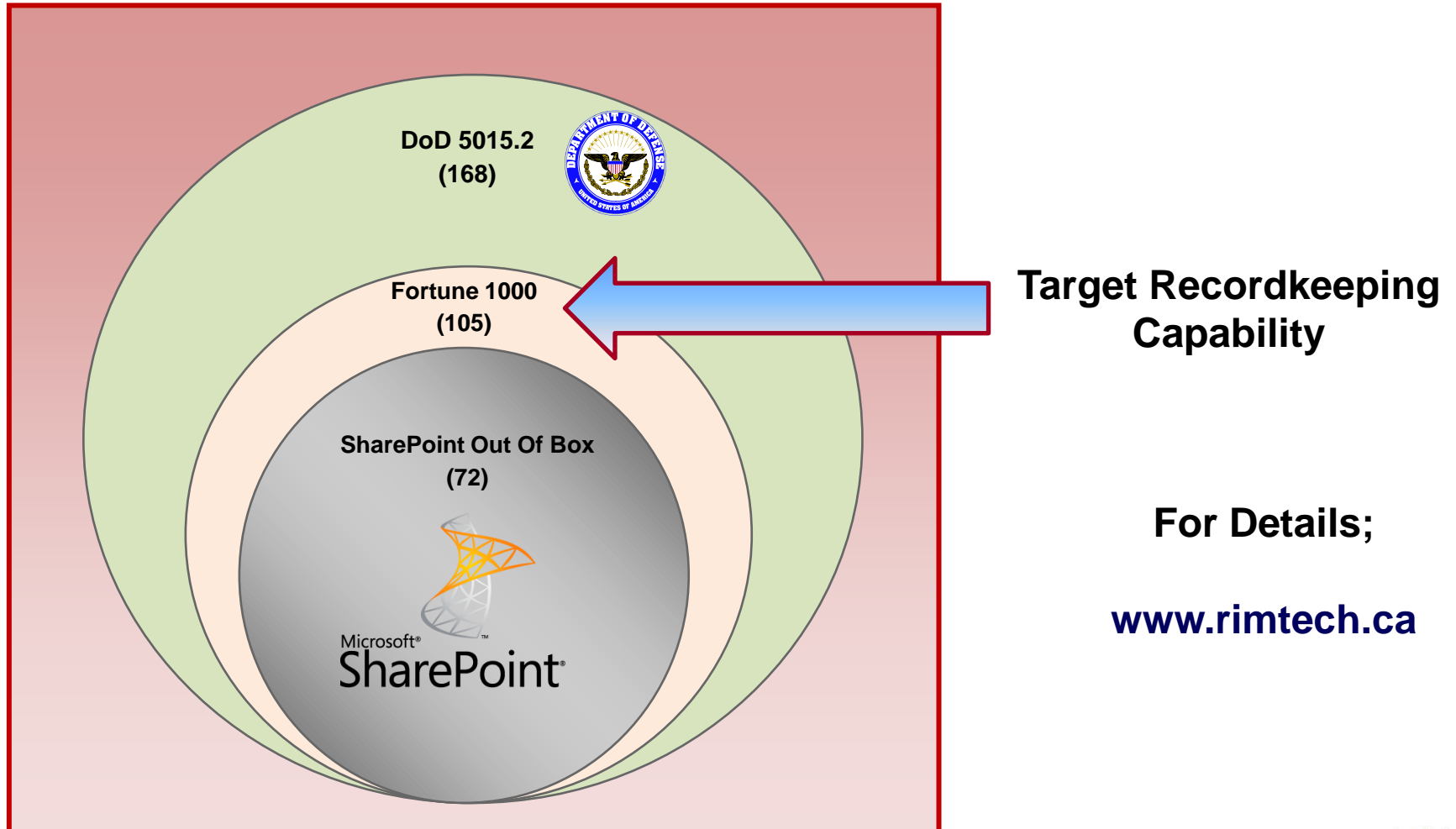
5015 Certification Program

- 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



Recordkeeping Requirements

33 Deficiencies



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

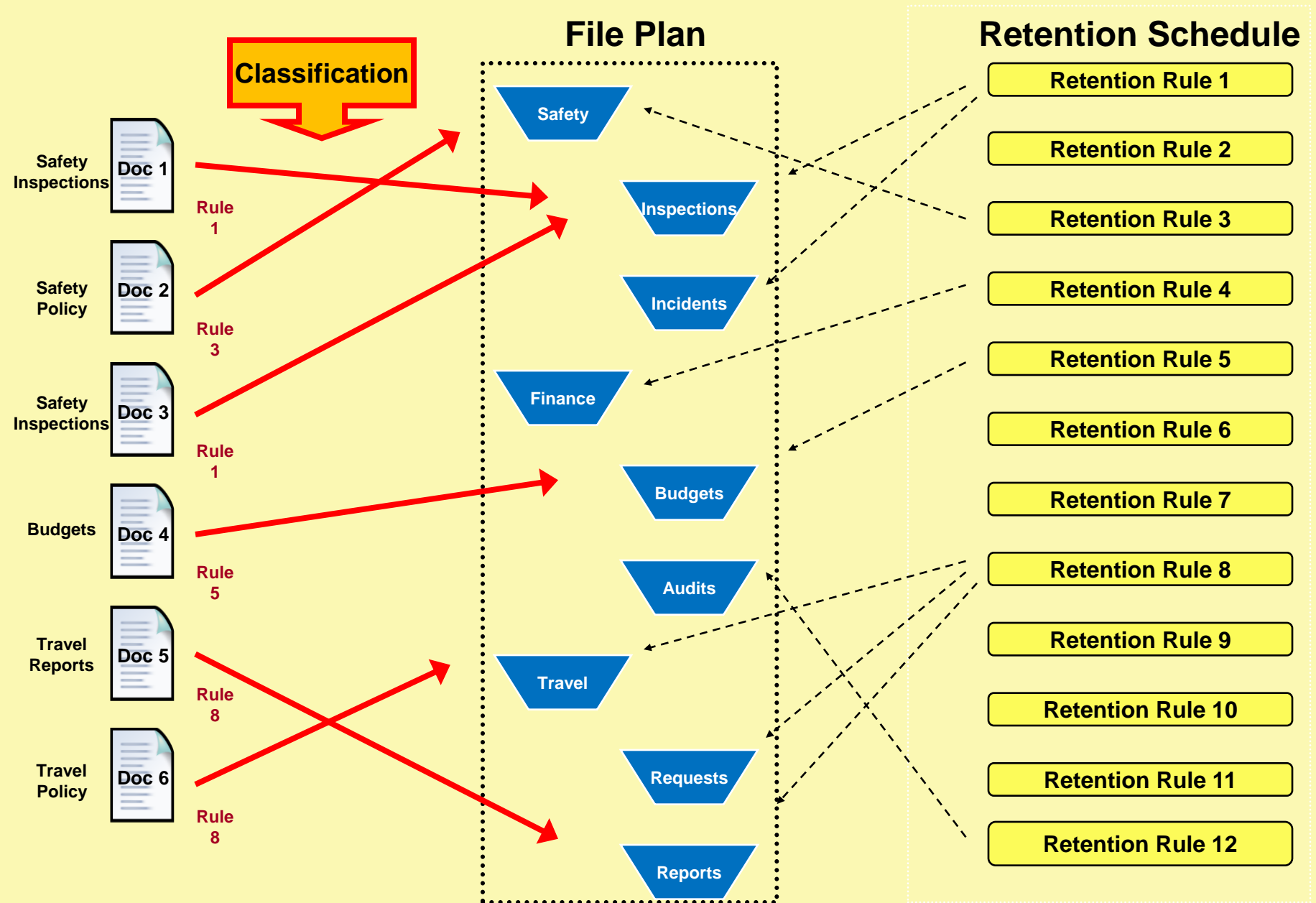
Which Documents are Records?



Recordkeeping Deficiency 1

FILE PLAN

Classification



| File Plan Fragment | | | | | | |
|--------------------|------------------------|--------------------|--|-------------|---|---------|
| Title | | | Description | File Number | Retention | Disp. |
| Primary | Secondary | Tertiary | | | | |
| Administration 02 | Travel 10 | | Travel application forms, approvals, Policies | 02-10 | 2 years | Destroy |
| | Insurance 20 | | Insurance coverage, policies, renew als | 02-20 | 7 years | Destroy |
| Human Resources 03 | Employees 10 | Smith, J 707 | Employee files including offer letters, contracts, disciplinary records, promotions, etc. | 03-10-707 | 2 years after termination of employment | Destroy |
| | | Rubble, B 909 | Employee files including offer letters, contracts, disciplinary records, promotions, etc. | 03-10-909 | 2 years after termination of employment | Destroy |
| | Policies 20 | | General policies on employment and workplace safety, business conduct, etc. Drafts and approved copies | 03-20 | 2 years or until superceded | Destroy |
| | Accounts Receivable 10 | | Accounts Receivable | 04-10 | 7 years | Destroy |
| | Account Payable 20 | | Accounts Payable | 04-20 | 7 years | Destroy |
| | Budgeting 30 | | Budget preparation, proposed and approved budgets for current year | 04-30 | 5 years | Destroy |
| | Reporting 40 | | Reporting obligations such as SOX, Environment Ministry, etc. | 04-40 | 3 years after fiscal year ends | Destroy |
| Finance 04 | Contracts 50 | Safe-Tee Security | Drafts and Master contracts, Negotiations, Cancellations and terminations to all contracts | 04-50-1 | 2 years after contract end | Destroy |
| | | Tasty Catering | Drafts and Master contracts, Negotiations, Cancellations and terminations to all contracts | 04-50-2 | 2 years after contract end | Destroy |
| | | Lovely Landscaping | Drafts and Master contracts, Negotiations, Cancellations and terminations to all contracts | 04-50-3 | 2 years after contract end | Destroy |
| | Tax 60 | Return 2008 | Tax Return 2008, inc. challenges, supplementary supporting documents, notices of assessments, etc. | 04-60-2008 | 7 years after receipt of Assessment | Destroy |
| | | Return 2009 | Tax Return 2008, inc. challenges, supplementary supporting documents, notices of assessments, etc. | 04-60-2009 | 7 years after receipt of Assessment | Destroy |

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 |

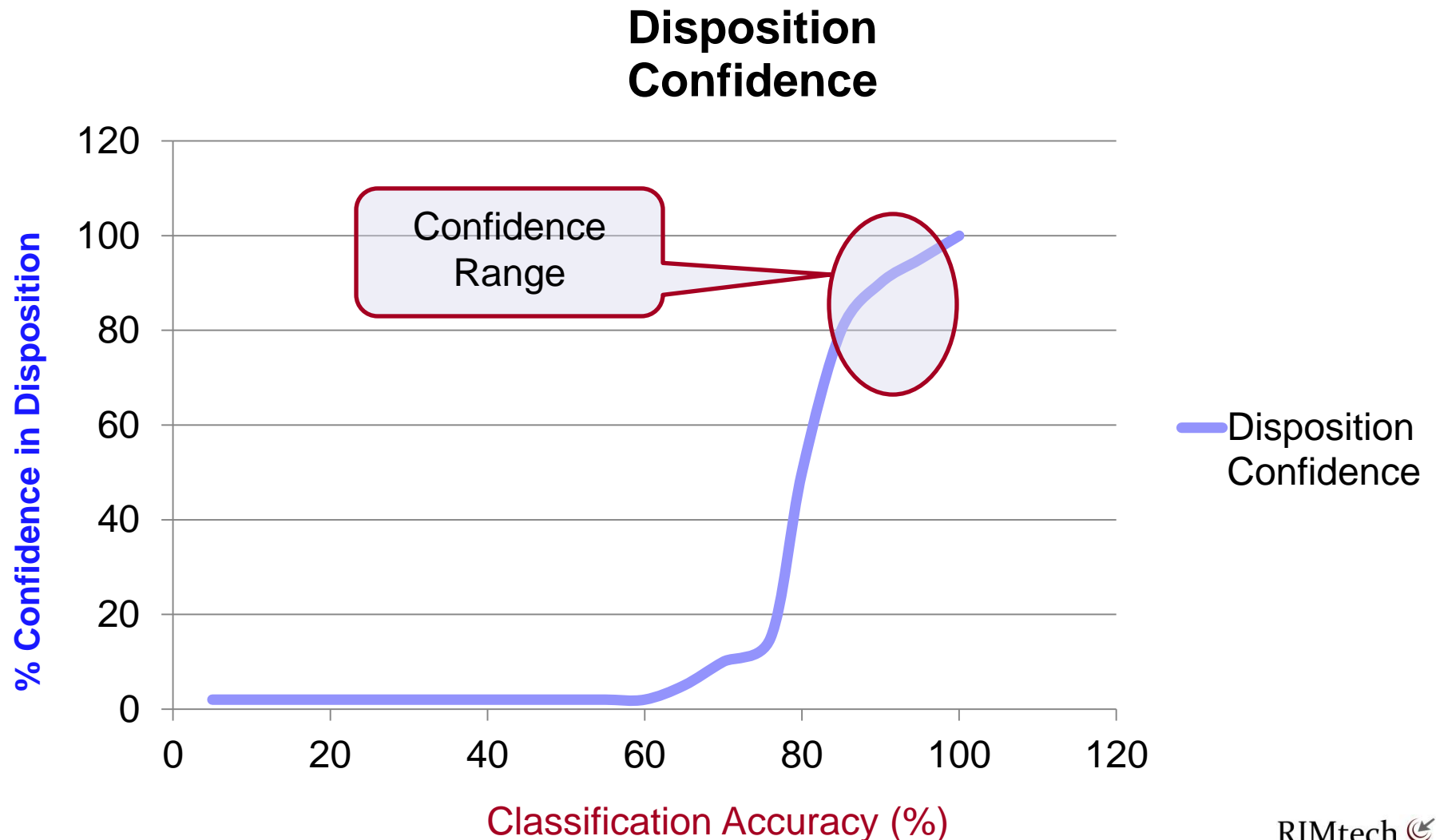


Subject (Non-Case) Files/Categories

- 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

Effect of Classification Accuracy

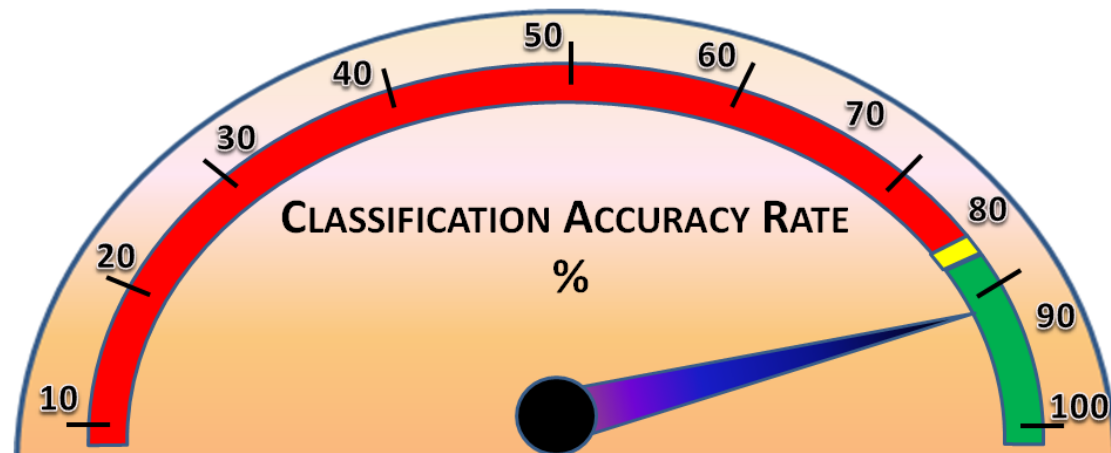
On Legally Defensible Disposition



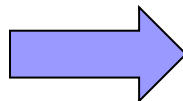
EDRMS Metric Measurement 3

Classification Accuracy Rate

- % of each 100 declared records known to be **correctly** classified
- Measured in EDRMS
 - Via statistical sampling
- Typical Target = 85%



- 1,000 declared docs
- 10 Sampled



7 Right
3 Wrong

=

70%

Classification Accuracy Rate

=

300 Mistakes!



Recordkeeping Deficiency 2

CASE FILES

Case File/Category

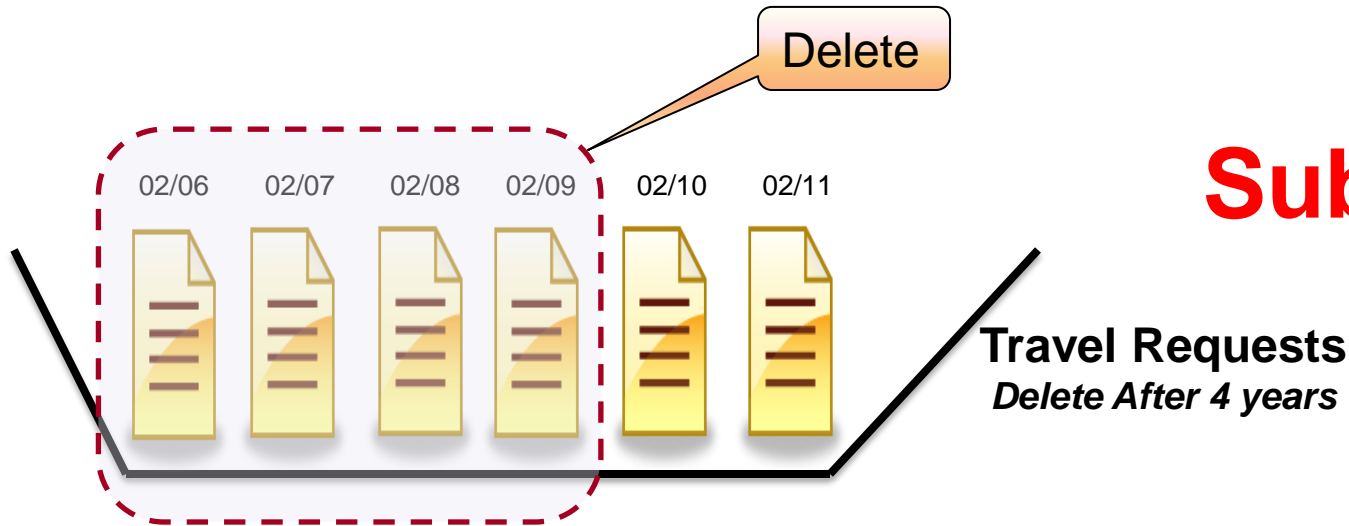
- *Person, place, event, project or thing*
- All records to be kept together (case)
- Disposition triggered by an event date
 - e.g. Date of contract end
 - e.g. Employment end, etc.
 - Applied to an entire file/category
- Disposition destroys ALL at once
- Examples
 - Employment Files
 - Insurance Claims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



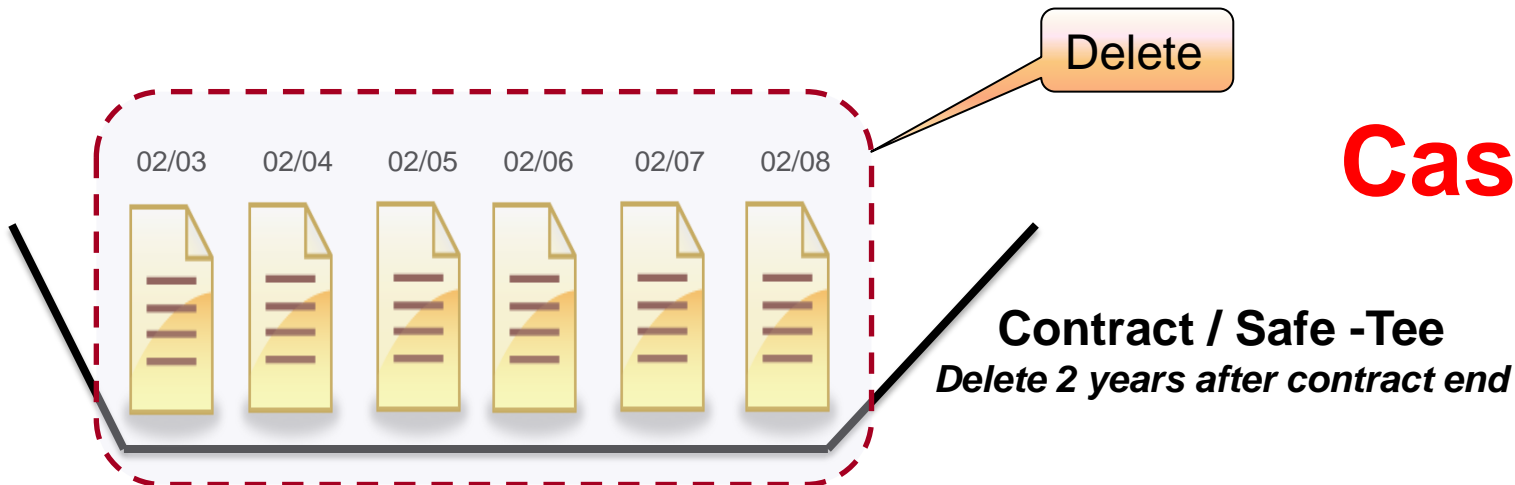
Over HALF of all Records!!

Case Vs Subject

Subject File



Case File



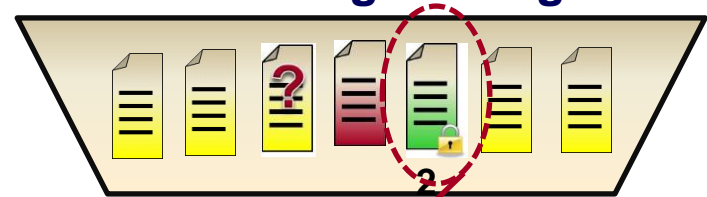
[illegible]

1 Site: **Finance**



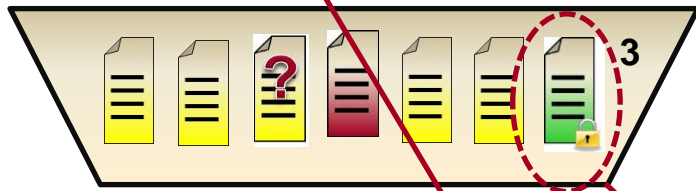
Folder: **Contracts**

Site: **Engineering**



Folder: **Equipment**

Site: **Administration**

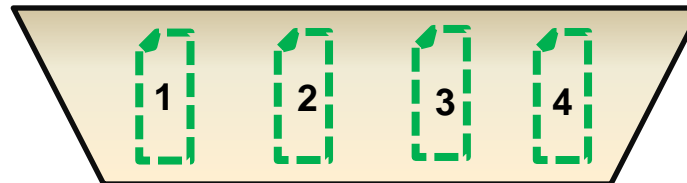


Folder: **Safe-Tee**

Site: **Human Resources**



Folder: **Complaints**



Contract end
+
2 years
Then
Destroy

Finance/Contracts/**SafeTee-Security**

04-50-1



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

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 | ✓ |



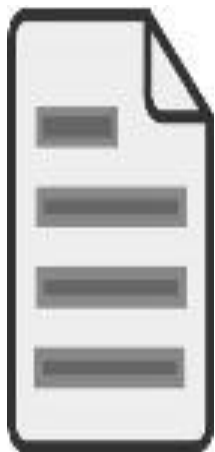
Central File Plan



Content Type Concept

Content Type

Contracts



Metadata

Date
Author
Subject
Project
Security
Contractor
Start Date
End Date

Content Type

Travel

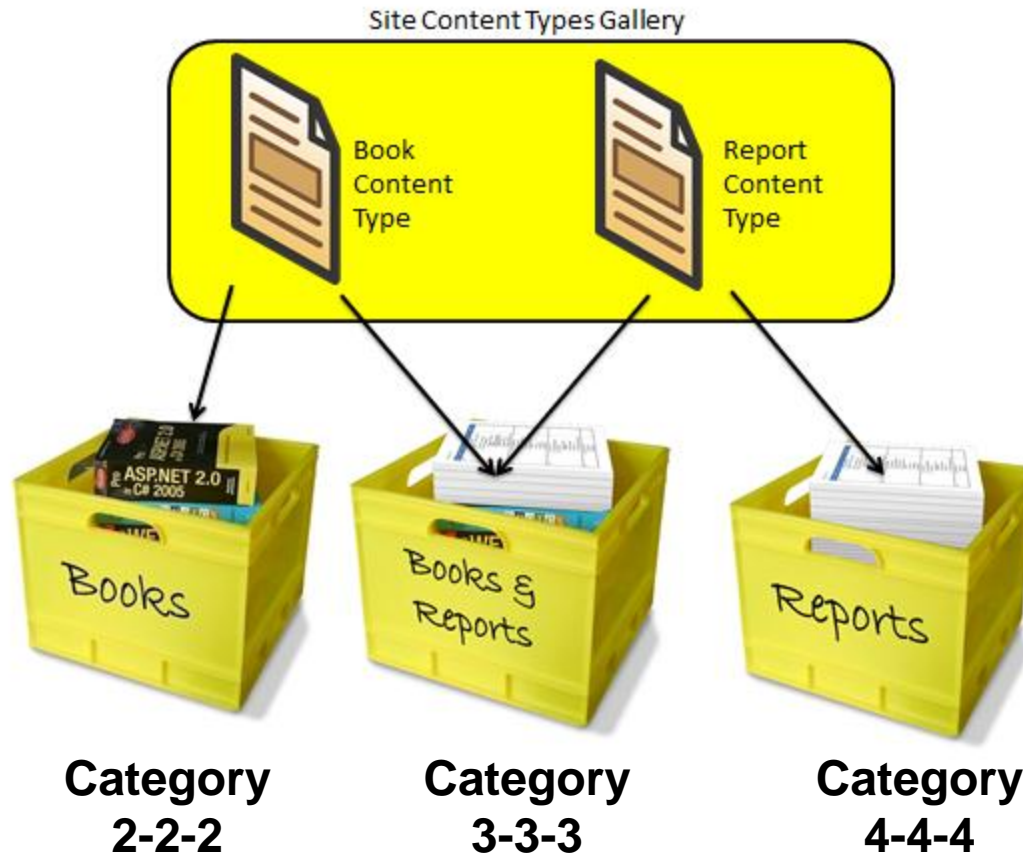


Metadata

Date
Author
Subject
Project
Security
Airline
Depart Date
Ticket #

- “Column” = Metadata Field
- All Documents **MUST** have a Document Type
- Determines document’s Metadata fields
- Doc Type = a (Mandatory) Metadata Field

Classification Via *Document/Content Type*



Document Type = Content Type (SharePoint)

Classification via Document Type

Fails for Case Records

- Would require 1 Document Type per Case
 - All cases are different (unique event date to trigger disposition)
- One Document Type for all employees, contracts etc. = Too Many!!!!
 - 10,000+ document types?

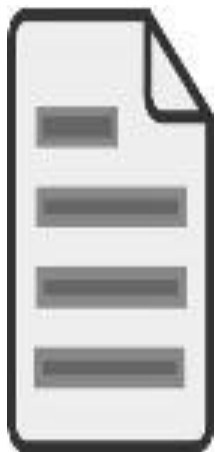
Another Method Needed!!

Classifying a Case Record

Example 1

Document Type

Contract Review



Metadata

Date

Author

Subject

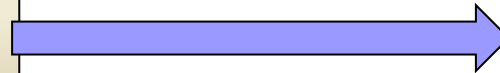
Project

Security

Contractor ▼

Start Date

End Date



Safe-Tee Security
Tasty Catering
Lovely Landscaping

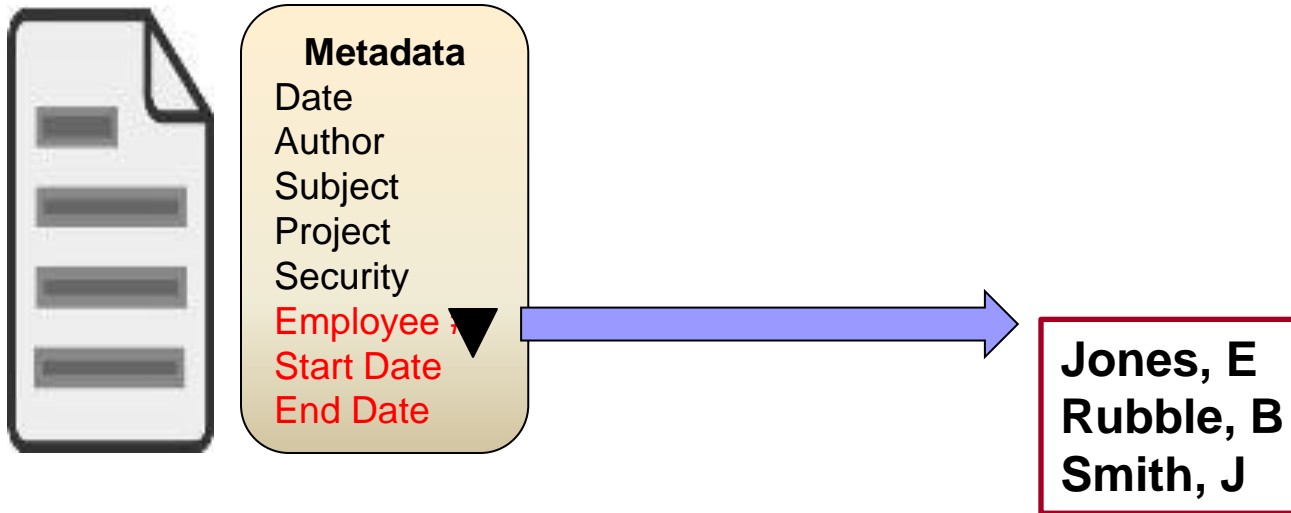
- **Document Type = Business Activity**
- **Metadata Field dedicated to specifying individual Case**
- **Drop-down selection of case**
- **Case field = mandatory**

Classifying a Case Record

Example 2

Document Type

Performance Review



- Document Type = Business Activity
- Metadata Field dedicated to specifying individual Case
- Drop-down selection of case
- Case field = mandatory

Declare a Document in SharePoint

The screenshot shows a SharePoint 2010 interface within a Windows Internet Explorer browser. The address bar displays the URL: <http://demo2010a/sites/documents/Documents/Forms/AllItems.aspx>. The interface includes a top navigation bar with 'Site Actions', 'Browse', 'Custom Commands', and 'Library Tools'. The 'Library Tools' ribbon is active, showing various document management actions. A green circle highlights the 'Declare Record' button in the 'Library Tools' ribbon. A tooltip is visible over the 'Declare Record' button, stating: 'Declare item as a record which may add restrictions and record specific policies based on system settings.'

The main content area displays a list of documents with the following columns: Type, Name, Document ID, Modified, Manufacturers, and Products. The list includes various documents related to camping and outdoor activities.

| Type | Name | Document ID | Modified | Manufacturers | Products |
|----------|--|--------------|--------------------|---------------|-------------------|
| Folder | Confidential | | 10/4/2009 7:49 PM | | |
| Folder | Restricted | | 10/4/2009 7:49 PM | | |
| Document | Activview Kenya Trip | | 10/4/2009 7:30 PM | Camp Time | Enormous Tents |
| Document | Adventure Works Sales All Regions 1-2010 | CONTOSO-2-9 | 10/4/2009 7:49 PM | | |
| Document | Amazon Expedition | CONTOSO-2-48 | 10/4/2009 7:49 PM | Camp Time | Camping |
| Document | Amazon Jungle Package Price Specials | CONTOSO-2-10 | 10/4/2009 7:49 PM | | |
| Document | Aspen Snowboarding Trip | CONTOSO-2-45 | 10/4/2009 7:50 PM | Cool Boards | |
| Document | Big Bear Skiing | CONTOSO-2-57 | 10/5/2009 1:12 PM | Cool Boards | |
| Document | Camp Time Enormous Tents | CONTOSO-2-15 | 10/4/2009 7:50 PM | | Enormous Tents |
| Document | Camp Time Family Tents | CONTOSO-2-11 | 9/30/2009 2:24 PM | | Family Tents |
| Document | Camp Time Slim Line Backpacking Tents | CONTOSO-2-12 | 9/30/2009 2:24 PM | Camp Time | Backpacking Tents |
| Document | Camp Time Super Cold Weather Tents | CONTOSO-2-18 | 9/30/2009 2:24 PM | Camp Time | Snow Tents |
| Document | Camp Time Super Light Tents | CONTOSO-2-14 | 9/30/2009 2:24 PM | Camp Time | Ultralight Tents |
| Document | Camp Time Tents 2009 Lineup | CONTOSO-2-17 | 10/8/2009 10:29 AM | Camp Time | Tents |
| Document | Camp Time Tents Overview | CONTOSO-2-13 | 9/30/2009 2:24 PM | Camp Time | Tents |
| Document | Camp Time Tiny Line Backpacking Tents | CONTOSO-2-16 | 9/30/2009 2:24 PM | Camp Time | Backpacking Tents |
| Document | Camping Gear Promo 2009 | CONTOSO-2-19 | 9/30/2009 6:20 PM | Camp Time | Camping |
| Document | Camping Gear Promo | CONTOSO-2-20 | 9/30/2009 6:20 PM | Camp Time | Camping |
| Document | Canadian Rockies Escape | CONTOSO-2-21 | 9/30/2009 2:24 PM | Camp Time | |

At the bottom left, there is a 'Key Filters' section with an 'Apply' button and a 'Clear' button. Below this is a search box labeled 'All Tags'.



Recordkeeping Deficiency 3

DISPOSITION

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 |

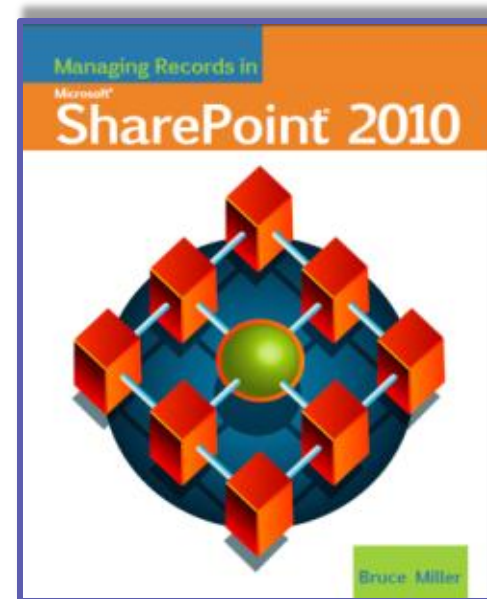
Option – Customize (Do It Yourself)

- 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**

```

graph TD
    Root[Folder] --> B1[Folder]
    Root --> B2[Folder]
    Root --> B3[Folder]
    B1 --> B1_1[Folder]
    B1 --> B1_2[Folder]
    B1 --> B1_3[Folder]
    B1_1 --> F1_1[File]
    B1_2 --> F1_2[File]
    B2 --> B2_1[Folder]
    B2 --> B2_2[Folder]
    B2 --> B2_3[Folder]
    B2_1 --> F2_1[File]
    B2_2 --> F2_2[File]
    B2_3 --> F2_3[File]
    B3 --> B3_1[Folder]
    B3 --> B3_2[Folder]
    B3 --> B3_3[Folder]
    B3 --> B3_4[Folder]
    B3 --> B3_5[Folder]
    B3_1 --> F3_1[File]
    B3_2 --> F3_2[File]
    B3_3 --> F3_3[File]
    B3_4 --> F3_4[File]
    B3_5 --> F3_5[File]

```

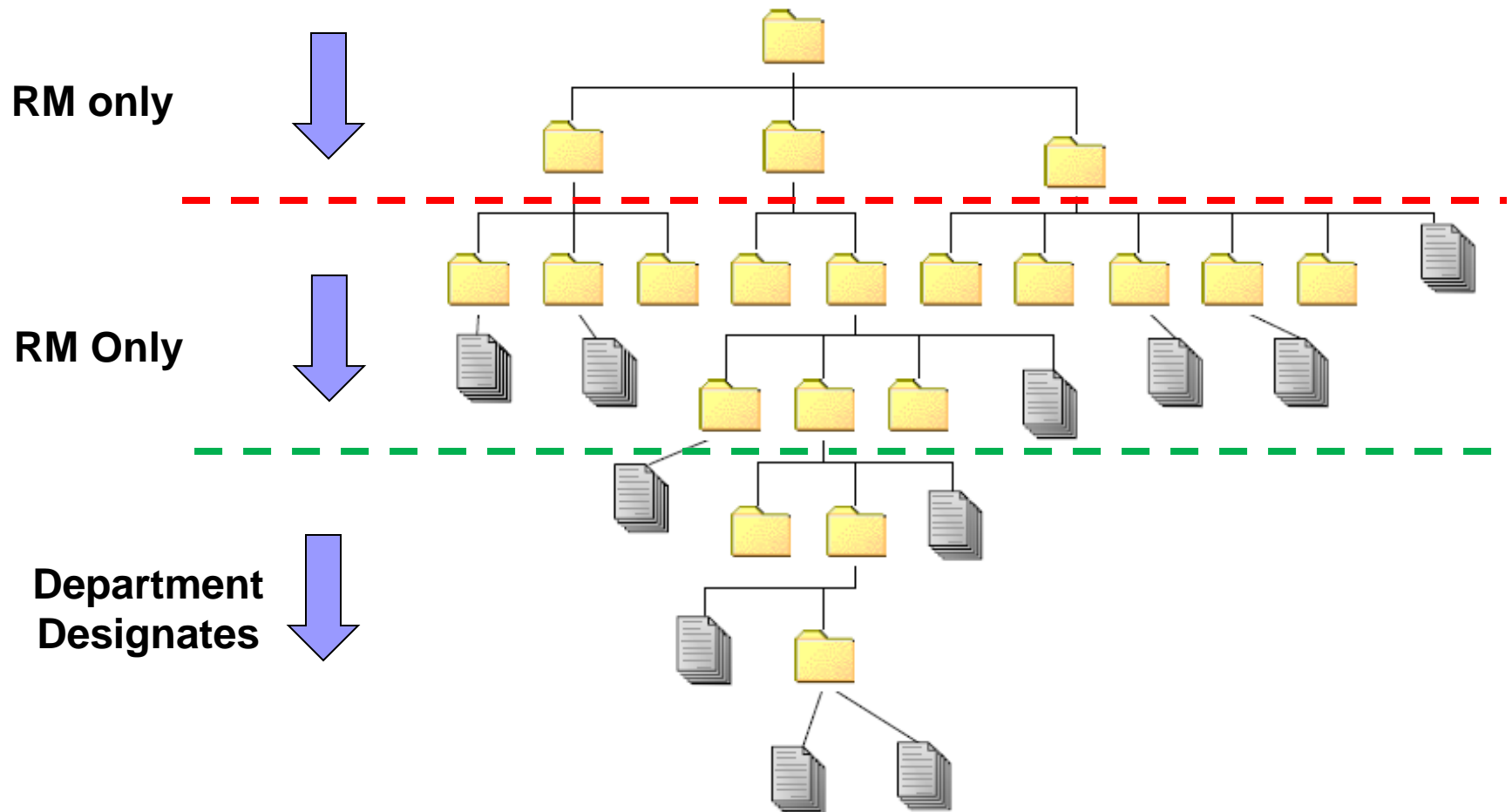
| | |
|---|--|
| 1 | Only the Records Manager (RM) can create and maintain the file plan. |
| 2 | It has to be hierarchical in nature, with properties inheriting down from parent nodes (categories) to child categories. |
| 3 | All users must be able to browse it to select the appropriate category when 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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|---|--|
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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)

For Case Files

■ 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

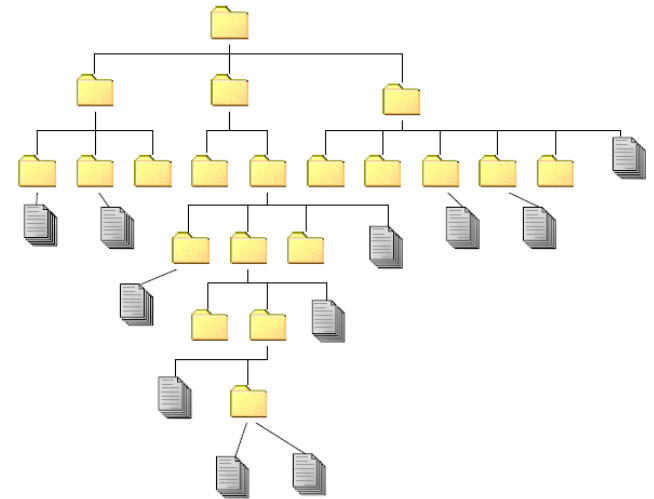
| | |
|---|--|
| 1 | Add new Event Date |
| 2 | Edit Existing Entry |
| 3 | Only allow a new entry for a valid Category's number |
| 4 | No duplicates permitted |
| 5 | RM Access only |

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 |

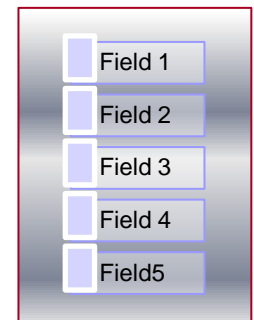
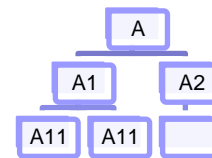
SharePoint (Working) Folder Structure

- 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 |

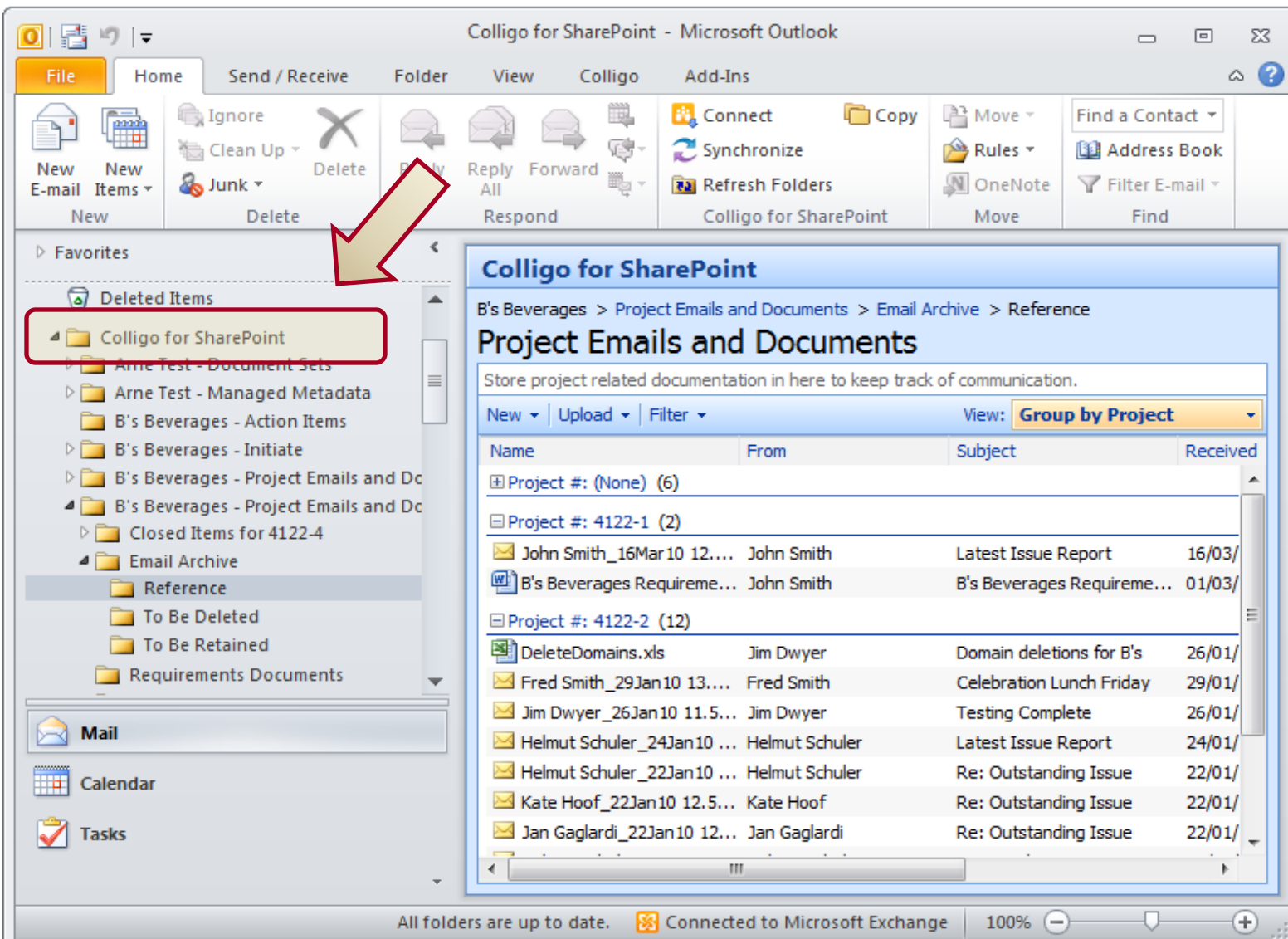
Custom Upload Module

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 a red arrow pointing to the 'Colligo for SharePoint' folder. 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 email data.

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
- Strength → End User Experience

GimmalSoft 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 Find 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

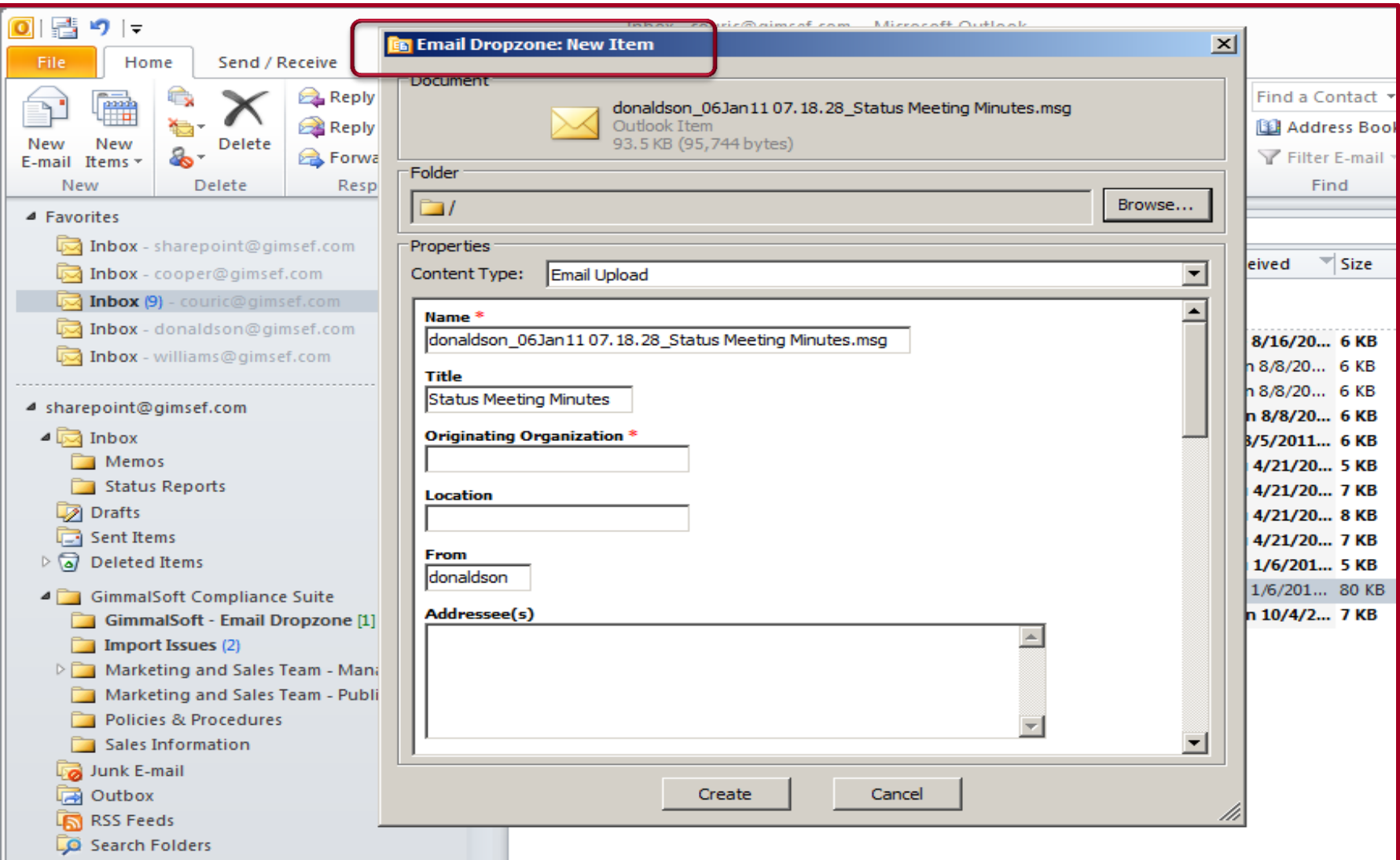
Junk E-mail

Outbox

RSS Feeds

Search Folders

GimmelSoft Declaration of Email



GimmelSoft Records Centre Console

The screenshot displays the GimmelSoft Records Centre Console interface. The browser address bar shows the URL: http://gimsftdemo/_layouts/Gimmel.RMA.Reporting.AsOf/AsOfReports.aspx. The page title is "As Of Reports". The user is logged in as 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

Sites:

Start from: ☐ This Site ☒ Site Collection

Levels: ☐ Single Site ☒ Subsites ☐ Entire Site Structure

Record Center:

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

View records where:

Disposition action is:

Name of workflow:

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

View Results

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 |

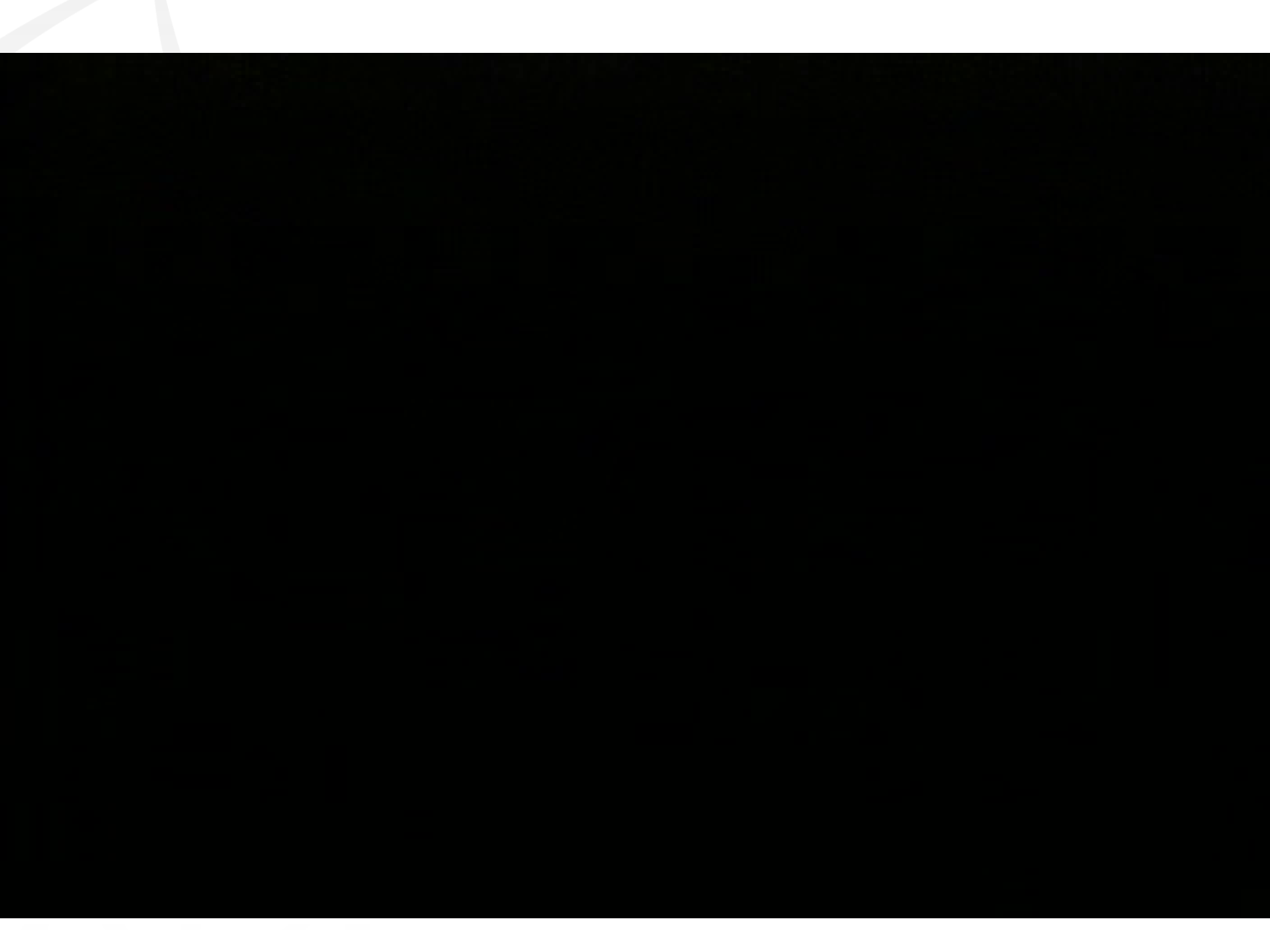
Repositories

| 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



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