Introduction to Records Management in SharePoint 2013

Real World tips and tools to build out your SharePoint 2013 Records Management System

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#CollabCon

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Noorez Khamis aka “Rez”
- Solutions Architect
- Microsoft MVP

About me:
- SharePoint Solutions Architect @ Toyota Canada
- 13+ years in managing, leading, designing and implementing SharePoint business solutions across a wide variety of verticals
- Involved in hundreds of projects spanning entire SharePoint spectrum including enterprise scale document and records management systems
- Active blogger and involved in GTA SharePoint community
- MBA, MCTS, MCDBA, MCSD, MVP

twitter: @nkhamis  blog: Rez’s SharePoint Blog Spot - http://www.khamis.net
So what’s this session about anyways?

- Provide insight on how you can build a scalable and adaptable Records Management system on the SharePoint 2013 (and Office 365) system

- Show many of the built in and add-on features that will help ease your SharePoint 2013 Enterprise Records Management deployment

Target Audiences:
- IT Professional
- SharePoint Administrator
- SharePoint Architect
- Information Architect
Agenda

- Talk a little about the history of Records Management and SharePoint
- SharePoint 2013 Records Management features breakdown
- Walkthrough of some sample client requirements and help from YOU to choose which features we could use to implement them
- Demo some sample configurations to meet those requirements
First Off....

- **What is a Record?**
  - Electronic or physical entity
  - Organizationally important
  - Requires retention for time period

- **When do you need Records Management functionality?**
  - Documents retained for legal, business, or regulatory reasons
  - You need to lock records from being edited
  - You need to dispose records when retention is met
  - Pressure to comply with corporate and regulatory policies
  - eDiscovery and holding - locating and protecting records related to litigation
  - Provides Governance - Reduces Risk - Helps ensure Compliance
In SharePoint 2007....
In SharePoint 2010....

Welcome to the Records Center

Use this web part to teach visitors to the Records Center about records management and organizational compliance.

Add information about records management topics, such as:
- The definition of a record in your organization
- What happens to a record after it is submitted to the Records Center
- Tips on how to comply with organizational policy

Add links to other organizational compliance sites, such as:
- Your organization's compliance training site
- A site about organizational retention policies
- A list of records management contacts for each department

My Records Pending Submission

<table>
<thead>
<tr>
<th>Type</th>
<th>Name</th>
<th>Modified By</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Add document

In Place Records

Records Center
SharePoint 2010 Introduced....

- Document IDs
- Managed Metadata Service (Term Store)
- Site Collection Auditing
- Content Organizer
- Compliance Details
- Holds and eDiscovery
- Content Type Publishing Hubs
- Multi-Level Retention
- Virtual folders and metadata based navigation
- Scaling
- Send To...
- Document Sets

In SharePoint 2013 ...

- Minor Improvements on most of the SharePoint 2010 features plus:
  - Unified eDiscovery & Holds
  - Site Policies for Closure and Deletion
  - Site Mailbox

- To the Cloud....
  - Main focus for Microsoft with 2013
  - Majority of the new and existing Records Management (and other IM) features have feature parity with Office 365!

SharePoint 2013 Records Management

Feature Breakdown
So where do we start as a SharePoint Admin?

- First thing, think Scalability and Performance!
- In-depth current content inventory of Records (terabytes?)
- Growth estimates

Bottom Line: Invest time in planning the SharePoint Logical Architecture for your Records Center

Why? → Flexibility, Boundaries & Limitations
## Boundaries and Limitations

<table>
<thead>
<tr>
<th>Limit Name</th>
<th>SharePoint 2010 Maximum Value</th>
<th>SharePoint 2013 Maximum Value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Web application limits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Web application</td>
<td>Not Published</td>
<td>20 per farm</td>
</tr>
<tr>
<td>Content database</td>
<td>300 per Web application</td>
<td>300 per Web application</td>
</tr>
<tr>
<td>Zone</td>
<td>5 per Web application</td>
<td>5 per Web application</td>
</tr>
<tr>
<td>Managed path</td>
<td>20 per Web application</td>
<td>20 per Web application</td>
</tr>
<tr>
<td>Solution cache size</td>
<td>300 MB per Web application</td>
<td>300 MB per Web application</td>
</tr>
<tr>
<td>Site collection</td>
<td>250,000 per Web application</td>
<td>250,000 per Web application</td>
</tr>
<tr>
<td><strong>Web server and application server limits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Application pools</td>
<td>10 per Web server</td>
<td>10 per Web server</td>
</tr>
<tr>
<td><strong>Content database limits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of content databases</td>
<td>300 per Web application</td>
<td>500 per farm</td>
</tr>
<tr>
<td>Content database size (general usage scenarios)</td>
<td>200 GB per content database</td>
<td>200 GB per content database</td>
</tr>
<tr>
<td>Content database size (all usage scenarios)</td>
<td>4 TB per content database</td>
<td>4 TB per content database</td>
</tr>
<tr>
<td>Content database size (document archive scenario)</td>
<td>No explicit content database limit</td>
<td>No explicit content database limit</td>
</tr>
<tr>
<td>Content database items</td>
<td>60 million items including documents and list items</td>
<td>60 million items including documents and list items</td>
</tr>
<tr>
<td>Site collections per content database</td>
<td>2,000 recommended 5,000 maximum</td>
<td>2,000 recommended 5,000 maximum</td>
</tr>
</tbody>
</table>

How SharePoint 2013 can help with scaling

- Features to make it easier to scale to massive archives
  - Remote Blob Storage
  - Database query optimizations
  - Internal timer job processing improvements
  - New database indexing strategies, **Minimal Download**
  - **Distributed Cache, Highly scalable search, Request Management**
  - **Shredded Storage** – Send deltas to BLOBS in SQL

- This allows:
  - Tens of millions of records in a single Records Center
  - Hundreds of millions of records in a distributed archive allowing many Record Centers to bind together to act as one logical repository
  - Fast searching
In Place Records Overview

- New feature in SharePoint 2010 where records management features can now be used on any document or site (i.e. collaboration, document, meeting and team sites)
- Instead of moving a document to a specific SharePoint Records Center in order to declare it a record (as in SharePoint 2007), a document can be declared and handled as a record within site it was created in
- Records now living alongside documents you are working on
- After having declared the document as a record, the document can now have policies and restrictions different from when it was just a document in the site
- Policies can be added either to the Content Types or directly on the document libraries
- You can specify different retention policies for active documents versus records. Documents can be declared as records either manually or automatically
- Restrict actions that users can perform on records such as preventing users from both editing and deleting them.
<table>
<thead>
<tr>
<th>In Place Records versus Records Centers</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Organizing Records</strong></td>
<td>Automatically routes to site or library via new content organizer</td>
</tr>
<tr>
<td><strong>Securing Records</strong></td>
<td>Full control on who can view, edit &amp; delete</td>
</tr>
<tr>
<td><strong>Locating Records</strong></td>
<td>All in one location</td>
</tr>
<tr>
<td><strong>Versioning Records</strong></td>
<td>Each version must be explicitly sent</td>
</tr>
<tr>
<td><strong>Finding Records without leaving your collaboration site</strong></td>
<td>Not automatic, as requires a query but there is the new option of leaving a short-cut to the record</td>
</tr>
<tr>
<td><strong>Untidiness with Records vs. non Records</strong></td>
<td>Not a problem, only records here</td>
</tr>
<tr>
<td><strong>Auditing</strong></td>
<td>Enabled</td>
</tr>
<tr>
<td><strong>eDiscovery</strong></td>
<td>Records only</td>
</tr>
<tr>
<td><strong>Admin Security</strong></td>
<td>Records Manager</td>
</tr>
<tr>
<td><strong>Number of Sites</strong></td>
<td>Extra Records Center sites to manage</td>
</tr>
<tr>
<td><strong>Scalability</strong></td>
<td>Reduces size of team sites and can expand Records Center site collections into separate databases</td>
</tr>
<tr>
<td><strong>Management</strong></td>
<td>Separate site or farm needed</td>
</tr>
<tr>
<td><strong>Storage and Backup</strong></td>
<td>Can be stored and backed up in separate databases</td>
</tr>
<tr>
<td><strong>Document Sets</strong></td>
<td>Allowed</td>
</tr>
</tbody>
</table>

The biggest drawbacks of In Place RM

- All of your Records are mixed in with non Records
- What if you have a team site that you want to delete but can’t because of one declared Record?
- Backing up Records is very important but using In Place requires backing up non Records as well
- Less control of Records and Security for your Records Managers
- There is no easy mechanism to report on all In Place Records across your SharePoint environment
But wait…. (Shameless Plug)

- In Place Records Viewer on CodePlex allows you to nicely report on all of your In Place Records

source: http://sp2010inplacerecords.codeplex.com/
Managed Metadata Service

- Centrally managed terms that you can define, and then use as attributes for list items in SharePoint
- Can be used across lists, libraries, sites, site collections & web applications
- Dynamic (better than choice field) as only managed in one location rather than each list column needs to be changed
How SharePoint 2013 can help with Taxonomy

- Use Content Type Publishing Hubs
  - Central location (any site collection) where you manage and publish content types
  - Web applications can subscribe to hub and pull down published content types from hub and receive updates on the published content types
## Deploy the Content Organizer

- Allows routing decisions to be centrally organized
- Users guided to enter appropriate metadata rather than being allowed to dump documents wherever they like
- Used to route documents to the right folder based on content types and any other metadata that you require

### Submission's Content Type

<table>
<thead>
<tr>
<th>Property</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Group</td>
<td>Custom Content Types</td>
</tr>
<tr>
<td>Type</td>
<td>HR Policy</td>
</tr>
</tbody>
</table>

**Conditions**

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

**Target Location**

- Specify where to place content that matches this rule.

**Destination**

- /sites/cd/3.0 Human Resources/3.1 Policies/Canada

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**Alternate names:**

- HR Policy

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**Property-based conditions:**

- **Property:** Country/Region
- **Operator:** Is equal to
- **Value:** Canada
Turn on Auditing on Site, List or Content Type

- Customized audit report about individual record, item, column, content type, search or permissions
- Specify events to audit such as open, edit, check out/in, move, copy, delete & restore
- Predefined reports in excel format
Implement Multi-Level Retention Policies

- Depending on how your logical architecture is setup, retention policies can be set by content type, library or folder
- Multiple stages retention policies allow specification of entire document lifecycle as one policy (e.g. review Contracts every year, and delete after 7 years)
- Ability to create hierarchal folder structures and manage retention at each folder in the hierarchy (or inherit from parent folders)
Turn on Document ID’s

- Document ID is a unique identifier for any document
- Provides static URL or permalink that opens the document associated with the ID, regardless of the location
- Format can be customized to meet your specific needs
Metadata Defaults and Navigation

- **Defaults:**
  - Allows ability for automatically filling in Metadata for a user
  - Can be done at site level, list level OR folder level
  - Allows metadata defaults on hidden columns

- **Navigation**
  - Allows tree view navigation via metadata
Implement Send To... on other SharePoint Sites

- “Send to" ECB menu option can be customized to send documents to multiple records management centers, not just one.
- It can:
  - Move document
  - Copy the document
  - Move it and leave a link to it so it is still accessible from original library
- Configured in Central Admin ➔ General Application settings ➔ Configure Send to Connections
- When sent to is configured to move and use a link, document appears with a short-cut symbol to it and points to the doc id
Site Mailboxes

- Exchange and SharePoint integration
- Provide 1 view in SharePoint or Outlook
- One expiration policy for both SharePoint and Exchange
- Drag emails from into document libraries
- Manage emails as records
Corporate Data Loss and Protection

- Data loss – huge issue for every company (i.e. Sony)
- In Office 365/Exchange 2013, DLP (Data Loss Protection) now a core component
- Inspect email flow by using Conditions, Actions and Exceptions
DLP - Turn on unified eDiscovery and holds

- eDiscovery allows RM’s or Lawyers to find and lock down content related to litigation
- For example, if a company is sued about how they use the word “eDiscovery”, records manager needs to find and process all content that contains the words “eDiscovery” or “electronic discovery”
- Works across Exchange, SharePoint and Lync
- No impact to user
- In Place holds for SharePoint and Exchange
- New Discovery Center site template
Site Policies

- Retention policy extended to entire SharePoint sites
- Site Compliance
  - closure events
  - expiry events
  - Read only events
Document Set Improvements

- Support for Folders and OneNote
- Search results Document Set Identification
- Default documents set
- CBS & CBQ web parts can query
- Versioning improvements*
  - Capture full document set as version
- Search directly in document set
Sample Records Management Requirements &

Implementation Demo
## Sample File Plan & Retention Schedule - Finance

<table>
<thead>
<tr>
<th>Record Code</th>
<th>Record Type</th>
<th>Responsible Department</th>
<th>Event</th>
<th>Retention Period</th>
<th>Official Version</th>
</tr>
</thead>
<tbody>
<tr>
<td>FIN01</td>
<td>Accounts Payable</td>
<td>FINANCE AND ACCOUNTING</td>
<td>N/A</td>
<td>Declared Date + 3 (Delete Versions)</td>
<td>In Finance Records Center</td>
</tr>
<tr>
<td></td>
<td>May contain:</td>
<td></td>
<td></td>
<td>Declared Date + 5 (Delete Permanently)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Employee Expense Reports</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Invoices</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Purchase Orders</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Receipts</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Requisitions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Vendor and Supplier Invoices</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Vendor Setup</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Vouchers for Payments</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Requirement #1: System support of many records

- Client has requirement to build out Logical Architecture to support a file plan/retention schedule that has 5 primary categories
  - (i.e. 100 – Business Management, 200 – Finance & Accounting, 300 – Human Resource, 400 – Legal & Procurement, 500 – Construction)
- Client would like to use Records Center’s to achieve this
- Each primary category has been estimated to support up to 150 GB of content

- What are some of the RM aspects you should be considering?

Let’s demo it!
Requirement #2: File codes for Finance

- All Primary and Sub-Categories will need to have unique file codes
- All documents in the Finance sub-site will need to be prefixed with “FIN01 “ so that they are easy to be found
- Once sent to the Records Center, these should persist

- What are some of the RM aspects you should be considering?
Requirement #3: IT Records

- IT doesn’t want to send records to the Records Center, they would rather have their Records stay within their site

- What are some of the RM aspects you should be considering?
Requirement #4: Default IT Invoices information

- When anyone uploads an invoice to the IT Invoices folder, the responsible owner should be changed to “Jane Doe”

- What are some of the RM aspects you should be considering?
Requirement #5: Payment Vouchers

- Payment Vouchers are used across the organizations for various departments.
- Whenever they are uploaded to the system, user should be prompted to input currency (globally used field) and amount.

- What are some of the RM aspects you should be considering?
Requirement #6: Records Center

- A payment voucher needs to be sent to the Records Center before being declared a Record.
- System should then move it, declare a record and leave a short cut on the original location.

What are some of the RM aspects you should be considering?
Requirement #7: Currency Folders

- Once a payment voucher gets to the Records Center, it should be routed to a Payment Vouchers library where it should be placed in a folder that matches the currency.
- There are thousands of Payment Vouchers each month.

What are some of the RM aspects you should be considering?
Requirement #8: IT Records

- IT would like a Technical Requirements document library where they can declare records directly in
- Those items that aren’t declared a record should be deleted to recycle bin after 3 years and then permanently deleted after another 2 years

- What are some of the RM aspects you should be considering?
Requirement #9: IT Auditing

- IT would like full auditing turned on within their technical requirements document library

- What are some of the RM aspects you should be considering?
Requirement #10: IT Team Sites Retention

- IT would like to have sites that are not in use be closed for 1 year and then deleted after another 2 years.

- What are some of the RM aspects you should be considering?
Closing

Remarks and QA
In Closing...

- While SharePoint 2013/Office 365 is vastly becoming a big player in Records Management, it takes careful planning and execution to implement a full solution that meets your RM needs.
- Use all or a combination of discussed SharePoint 2013 features.
- Be aware of OOTB limitations:
  - Physical Records, Unique Identifiers, non meta-data based security,
  - No event based retention, No ability to Supersede and Obsolete item, Disposition tracking, File Plan Management, Reporting
  - Metadata and versions
- Consider 3rd party add-ons (Collabware, Gimmal, RecordPoint, etc...)
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Q & A

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