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the
SharePoint
Users of
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present:

Records Management with SharePoint Server 2010



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Presenter:

Radu Gavrila

President & Instructor

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Agenda

SharePoint ECM Overview

In-Place vs. Archived Records Management

Components of SharePoint Records Management

Legal Holds and eDiscovery in SharePoint 2010

Records Center Features



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SharePoint ECM Overview

... in Microsoft's words:



Drive Compliance

"With SharePoint Server 2010, we've achieved a consistent records management infrastructure while giving business units the flexible taxonomies that they desire."

Faheem Larik | Senior Technical Analyst
Towers Watson

SharePoint 2010 Content: ECM for the Masses

SharePoint 2010 Content makes Enterprise Content Management (ECM) easy for everyone. Combining traditional content management, social capabilities, and powerful search, it is as natural to manage as it is to use. With its simple, "behind-the-scenes" administration, you can quickly set up compliance policies, while its familiar interface lets your people work just as they would in Microsoft Office. The result is well-managed information that is easy to find, share, and use.

SharePoint ECM Overview

Top Features (1 / 5): In-place record declaration (one item or bulk)

The screenshot displays the SharePoint ECM interface. The top navigation bar includes 'Site Actions', 'Browse', 'Custom Commands', 'Documents', and 'Library'. The 'Library Tools' ribbon is active, showing various actions like 'New Document', 'Upload Document', 'New Folder', 'Edit Document', 'View Properties', 'Edit Properties', 'Declare Record', 'E-mail a Link', 'Download a Copy', 'Workflows', 'Publish', 'I Like It', and 'Tags & Notes'. The 'Declare Record' button is highlighted, and a tooltip explains: 'Declare item as a record which may add restrictions and record specific policies based on system settings.'

The main content area shows a list of documents with columns for 'Type', 'Name', 'Document ID', 'Modified', 'Manufacturers', and 'Products'. Several items are selected, and the 'Declare Record' button is visible above the list.

Type	Name	Document ID	Modified	Manufacturers	Products
Folder	Confidential		10/4/2009 7:49 PM		
Folder	Restricted		10/4/2009 7:49 PM		
Document	Actiview Kenya Trip		10/4/2009 7:38 PM	Camp Time	Enormous Tents
Document	Adventure Works Sales All Hands 1-20-09	CONTOSO-2-9	10/4/2009 7:49 PM		
Document	Amazon Expedition	CONTOSO-2-48	10/4/2009 7:49 PM	Camp Time	Camping
<input checked="" type="checkbox"/>	Amazon Jungle Package Price Specials	CONTOSO-2-10	10/4/2009 7:49 PM		
<input checked="" type="checkbox"/>	Aspen Snowboarding Trip	CONTOSO-2-45	10/4/2009 7:50 PM	Cool Boards	
<input checked="" type="checkbox"/>	Big Bear Skiing	CONTOSO-2-57	10/5/2009 1:12 PM	Cool Boards	
<input type="checkbox"/>	Camp Time Enormous Tents	CONTOSO-2-15	10/4/2009 7:50 PM		Enormous Tents
<input checked="" type="checkbox"/>	Camp Time Family Tents	CONTOSO-2-11	9/30/2009 2:24 PM		Family Tents
<input checked="" type="checkbox"/>	Camp Time Slim Line Backpacking Tents	CONTOSO-2-12	9/30/2009 2:24 PM	Camp Time	Backpacking Tents
<input type="checkbox"/>	Camp Time Super Cold Weather Tents	CONTOSO-2-18	9/30/2009 2:24 PM	Camp Time	Snow Tents
<input type="checkbox"/>	Camp Time Super Light Tents	CONTOSO-2-14	9/30/2009 2:24 PM	Camp Time	Ultralight Tents
<input checked="" type="checkbox"/>	Camp Time Tents 2009 Lineup	CONTOSO-2-17	10/8/2009 10:29 AM	Camp Time	Tents
<input checked="" type="checkbox"/>	Camp Time Tents Overview	CONTOSO-2-13	9/30/2009 2:24 PM	Camp Time	Tents
<input type="checkbox"/>	Camp Time Tiny Line Backpacking Tents	CONTOSO-2-16	9/30/2009 2:24 PM	Camp Time	Backpacking Tents
<input checked="" type="checkbox"/>	Camping Gear Promo 2009	CONTOSO-2-19	9/30/2009 6:20 PM	Camp Time	Camping
<input type="checkbox"/>	Camping Gear Promo	CONTOSO-2-20	9/30/2009 6:20 PM	Camp Time	Camping
<input type="checkbox"/>	Canadian Rockies Escape	CONTOSO-2-21	9/30/2009 2:24 PM	Camo Time	

SharePoint ECM Overview

Top Features (2/5): Item-level metadata access (view or change)

The screenshot displays the SharePoint Library Tools interface. A 'Compliance Details' dialog box is open, showing the following information for the document 'Camp Time Family Tents.docx':

Event	Action	Recurrence	Scheduled occurrence date
This item is not subject to a retention policy.			
Name	Camp Time Family Tents.docx		
Content Type	Document		
Folder Path	Documents		
Exemption Status	Not Exempt You cannot exempt/unexempt item from policy.		
Hold Status	Not on hold Add/Remove from hold		
Record Status	Not a record Declare as a record		
Audit Log	Generate audit log report		

The background shows the SharePoint library view with a left-hand navigation pane containing 'Documents', 'Lists', and 'Tasks'. The main content area displays a list of items with columns for 'Manufacturers' and 'Products'. The 'Key Filters' section at the bottom left includes 'Apply' and 'Clear' buttons.

SharePoint ECM Overview

Top Features (3/5): File Plan Reports

File Plan Report: Record Library: File Plan Report

Site:	Archives
URL:	http://demo2010a/sites/records/Records/Forms/AllItems.aspx
Description:	Upload finished documents to this library. Documents added to this library will automa
Report Generated	2009-10-08T23:04:12
Created By:	Contoso Administrator
FolderCount:	9
Item Count:	5
Versioning:	Create major versions
Require Content Approval:	No
Draft Item Security:	Any user who can read items can see drafts
Source of retention schedules:	Library and folders
Records Declaration:	Records cannot be edited or deleted. Any changes will require the record declaration to be revoked. The declaration of records can be performed by: Only policy actions Undeclaring a record can be performed by: Only policy actions Items are automatically declared as records when they are added to this list.
Has Records:	Yes
Has Items on Hold:	No

SharePoint ECM Overview

Top Features (4/5): Document Sets

The screenshot shows a SharePoint interface for a Document Set. The top navigation bar includes 'Site Actions', 'Browse', 'Page', 'Custom Commands', 'Documents', 'Library', and 'Document Set' (selected). A 'Give Feedback' button and 'Contoso Administrator' are also visible. The ribbon contains 'Edit Properties', 'Permissions', 'Delete', 'E-mail a Link', 'Send To', 'Capture Version History', and 'Workflows'. The main content area displays the document set 'Actiview Kenya Trip' with a description 'This will be one to remember.' and a table of properties: Account Name (Actiview), Manufacturers (Camp Time), Pitch Date (10/22/2009 12:00 AM), Products (Enormous Tents), and Sales Consultant (CONTOSO\dianep). A table below lists the documents in the set.

Type	Name	Document ID	Modified	Manufacturers	Products
	Actiview Kenya Trip - Sales Brochure	CONTOSO-2-108	10/4/2009 7:38 PM	Camp Time	Enormous Tents
	Actiview Kenya Trip - Sales Presentation	CONTOSO-2-109	10/4/2009 7:38 PM	Camp Time	Enormous Tents
	Actiview Kenya Trip - Sales Contract	CONTOSO-2-110	10/4/2009 7:44 PM	Camp Time	Enormous Tents

SharePoint ECM Overview

Top Features (5/5): Legal Discovery and Holds

The screenshot shows the 'Search and Add to Hold' interface in a SharePoint Document Center. The page title is 'Document Center > Search and Add to Hold'. The main heading is 'Search Criteria', with instructions to specify the site and search terms. A search box contains 'harness shackle' and a 'Preview Results' button is visible. Below this, the 'Local Hold or Export' section explains that content can be kept in place or copied to another repository, with a dropdown menu set to 'Record Center'. The 'Relevant Hold' section allows selecting a hold to apply, with a dropdown menu set to 'Select the hold to apply:'. At the bottom, there are 'Add results to hold' and 'Cancel' buttons.

Site Actions **Give Feedback** Contoso Administrator

Document Center > Search and Add to Hold

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

I Like It Tags & Notes

Contoso Portal **Document Center** Record Center Publishing Portal

Documents
Documents
Drop Off Library

Lists
Tasks

Recycle Bin
 All Site Content

Search Criteria
Specify the site that you want to search and the search terms related to the hold.
You can specify complex searches using the keyword syntax. [Learn more about keyword syntax.](#)

Currently selected site:
 Select Site
Enter one or more search terms into the box below:

Preview Results

Select the action to perform on the search results:
 Keep in place and add to hold directly.
 Copy to another location and add the copy to a hold.
Destination location:

Select the hold to apply:

Description:
None
[Add a new hold...](#)

Add results to hold **Cancel**

In-Place vs. Archived Records Management

In-Place Records Management

Allows a document to be flagged as an official file or record within collaboration sites, thus prohibiting any future changes. These official Records can now reside within the same document libraries that contain other documents people are collaborating on.

Archive-Based Records Management

Process moves the document into a specialized site (different Site Collection recommended) and protects it as a Record.

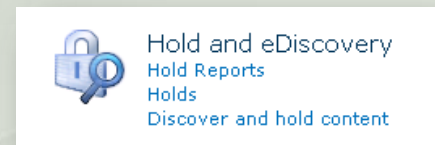
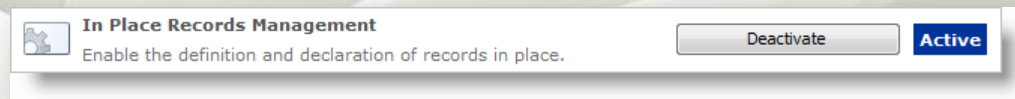
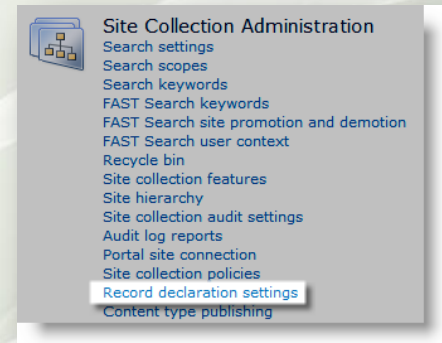
Factor	In-place records	Records archive
Restrict which users can view records	No. Permissions do not change when a document becomes a record. However, you can restrict which users can edit and delete records.	Yes. The archive specifies the permissions for the record.
Ease of locating records (for records managers)	Harder. Records are spread across multiple collaboration sites.	Easier. All records are in one location.
Maintain all document versions as records	Automatic, assuming versioning is turned on.	The user must explicitly send each version of a document to the archive.
Ease of locating information (for team collaborators)	Easier.	Harder, although a link to the document can be added to the collaboration site when the document becomes a record.
Clutter of collaboration site	Collaboration site contains active and inactive documents (records), although you can create views to display only records.	Collaboration site contains only active documents.
Ability to audit records	Dependent on audit policy of the collaboration site.	Yes.
Scope of eDiscovery	The same eDiscovery search includes records and active documents.	Active documents and records are searched separately.
Administrative security	Collaboration site administrators have permission to manage records and active documents.	A records manager can manage the records archive.

Components of SharePoint Records Management

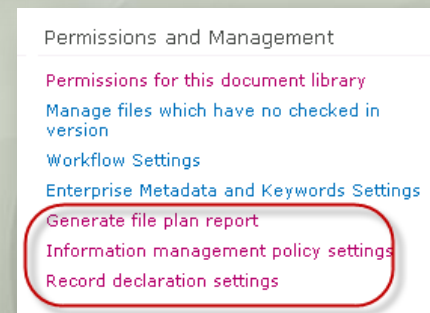
- Central administration:
Configure Sent To Locations (Records Center)

- Site Collection Settings:
Record declaration settings

- Site Settings:
Feature: In-Place Records Management
Hold and eDiscovery



- Document Library Settings:
Generate file plan report
Record declaration settings
Information management policies

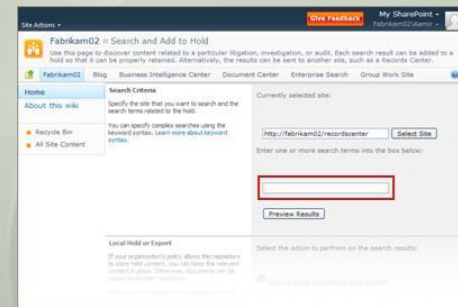
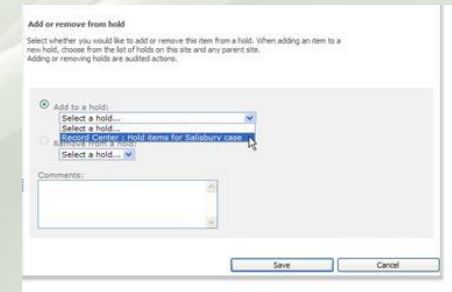
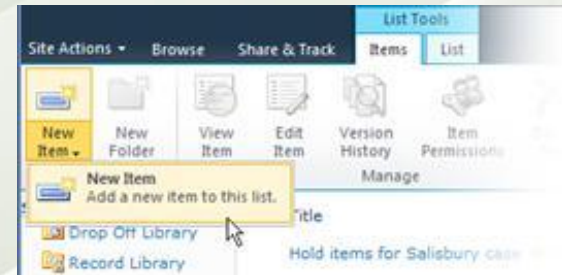


Legal Holds and eDiscovery

- The Hold and eDiscovery feature must be activated for any site that will host items in order to use the Hold feature
- When an item is added to a hold, its hold status is updated to indicate that it is on hold, and the application prevents this item from expiring or being deleted

Adding Items to Holds

- First, create Hold
- Add Items Manually
- Using a search



Records Center Features

Records Center Manager

Welcome to the Records Center

Use this site to submit and find important documents that should be stored for long term archival. Submitted records are automatically placed in the correct library and folder based upon the properties you fill out.

Submit a Record

VQUUYTWJFH2Y-1-1
Find by Document ID

My Records Pending Submission

Setup Tasks and File Plan Creation

Use these instructions to finish configuring the Records Center site.

To make this site ready to accept records, configure it to match your organization's file plan:

- Step 1: **Create content types** - Define types of records and the properties on each type.
- Step 2: **Create records libraries** - Build a hierarchy of record libraries and folders and assign each a retention schedule.
- Step 3: **Create content organizer rules** - Define rules that route submitted records to the correct folder.
- Step 4: **Design the Site Welcome Page** - Explain your file plan and records management policies to users.

Once you are done, you can remove this web part.

[Content Organizer Rules](#)

Common Records Management Tasks

- **Create a new Record Library** - Create a new library to store records.
- **Manage Content and Structure** - Use a hierarchical tool to rearrange the site's folder structure.
- **Create Content Organizer Rules** - Manage the rules that determine where records are stored.
- **Discover and Hold Records** - Search for records that should be preserved due to litigation.
- **Generate a File Plan Report** - View a spreadsheet of a Records library's structure and retention schedule.
- **Generate an Audit Report** - Access a history of events that occurred on records (requires Site Collection Administrator privileges).

VQUUYTWJFH2Y-1-1



Find by Document ID



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