



Records Management 2.0 & SharePoint

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April 22, 2013

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Agenda

- Introductions
- Gimmel
 - What are we Building?
 - How are we Differentiated?
 - What are our Big Bets?
- Iron Mountain
 - Why do we believe SharePoint is important?
 - How do we work with SharePoint?
- Why is this Relevant?
- Discussion

Gimmel Solutions



SAP® Certified
Integration with SAP NetWeaver®



Gimmel Solution Features

Compliance Suite



- Enhanced File Plan Builder
- Record Relationships
- Event Management
- Cut-off and Disposition Processing
- Email Record Management
- Vital & Restricted Records
- Transfers



Information Governance Suite



- Compliance Hub
- Drop Zone Classification
- Enhanced Search Interface
- Enhanced Template Management
- Governance Provisioning
- Metadata Rule & Inheritance Manager
- Content Organizer Manager



ERP-Link iNet.DM



- Common ECM for SAP and SharePoint
- Full SAP and SharePoint Interoperability
- Seamless Workflows between Platforms
- Composite Interoperable Applications
- SAP Data & Records Archival in SharePoint
- Rapidly Implemented
- Connected to DoD Certified Platform



Unified Records Management



- Unified Legal Holds Physical & Electronic
- Integrated to all Iron Mountain Services
- Physical Records Processing
- Queuing Pickup, Delivery, Checkout
- Unified Application of Policy
- Bulk Processing of Physical Records



A Select List of Our Clients



Tyson Foods, Inc.



Top 10 Questions in ECM & RM

- **Can we do everything with SharePoint?**
 - Does SharePoint RM scale to the Enterprise?
 - Does SharePoint 2010 RM fix the records problems from MOSS 2007?
 - Does SharePoint 2013 RM fix the records problems from SharePoint 2010
- **Can we justify consolidating ECM & RM to a single vendor?**
 - What about our investments in “X”?
- **Do we need one File Plan and Retention Schedule for Electronic and Physical Records?**
 - What about our Paper-based Records Management?
 - How should we use “Big Buckets” in our File Plan?
- **Who should control our Records Management functions?**
- **How is SharePoint related to eDiscovery?**
- **Where do we start?**
- **If we build it, will they all come?**
- **How do I get Executives to Care?**

Records Management 1.0

Traditional ECM systems have missed the mark in delivering true records management

- Non-intuitive end user experience
- Too many systems
- Expensive to integrate and maintain
- Low user adoption
- Not usable
- Low findability
- Low % of managed content
- Too much content
- High eDiscovery costs



SharePoint is a Visionary Leader

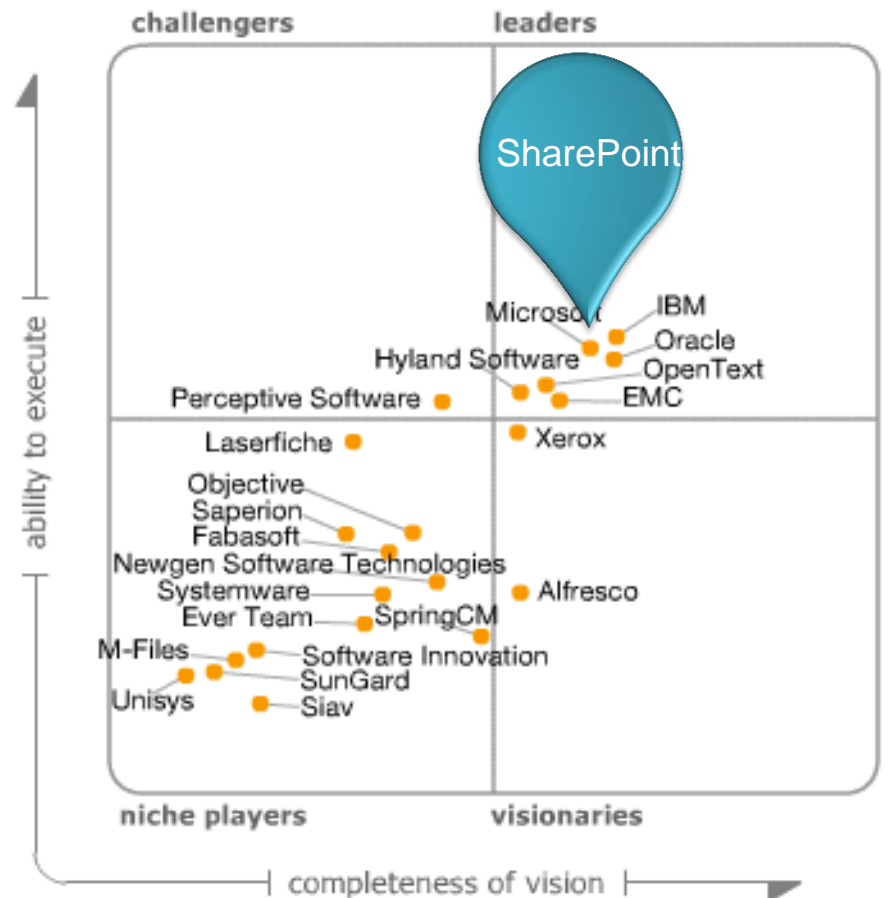
→ SharePoint is Consolidating the ECM and RM Markets

- 135MM SharePoint Licensed Users*
- 65,000 Companies*
- 67% → SharePoint to Enterprise*
- 700,000 SharePoint Developers*
- 70% of Gartner ECM inquiries
- 2012 → \$2B business

→ SharePoint is Energizing the ECM and RM Markets

- Microsoft owns productivity market, ECM and RM a natural extensions
- Many Best of Breed applications

→ SharePoint is compelling platform for compliance & enterprise RM



As of October 2012

Records Mgmt. (& Content Governance) 2.0

- Leverage viral adoption of SharePoint to connect with knowledge Workers
- Transparent participation in a compliant Information Management System
- All content is managed from a lifecycle, compliance and legal/tax/audit hold perspective
- End reliance on end users choosing to follow policy and compliance rules
- Improve SharePoint system/infrastructure performance to support worldwide (outside US) access to information
- Lines of Business collaborate with IT to define the rules and ongoing review process based on Content Types

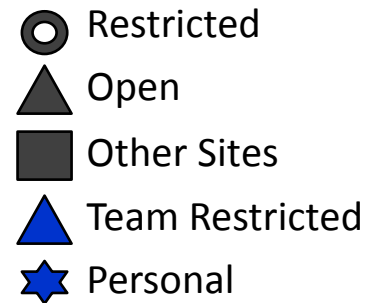
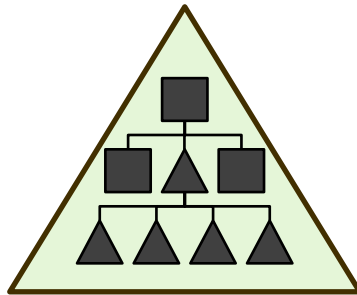
- There are 4 key elements of IM 2.0
 - Information lifecycle
 - Content Types
 - Metadata inheritance
 - Consistency in user experience



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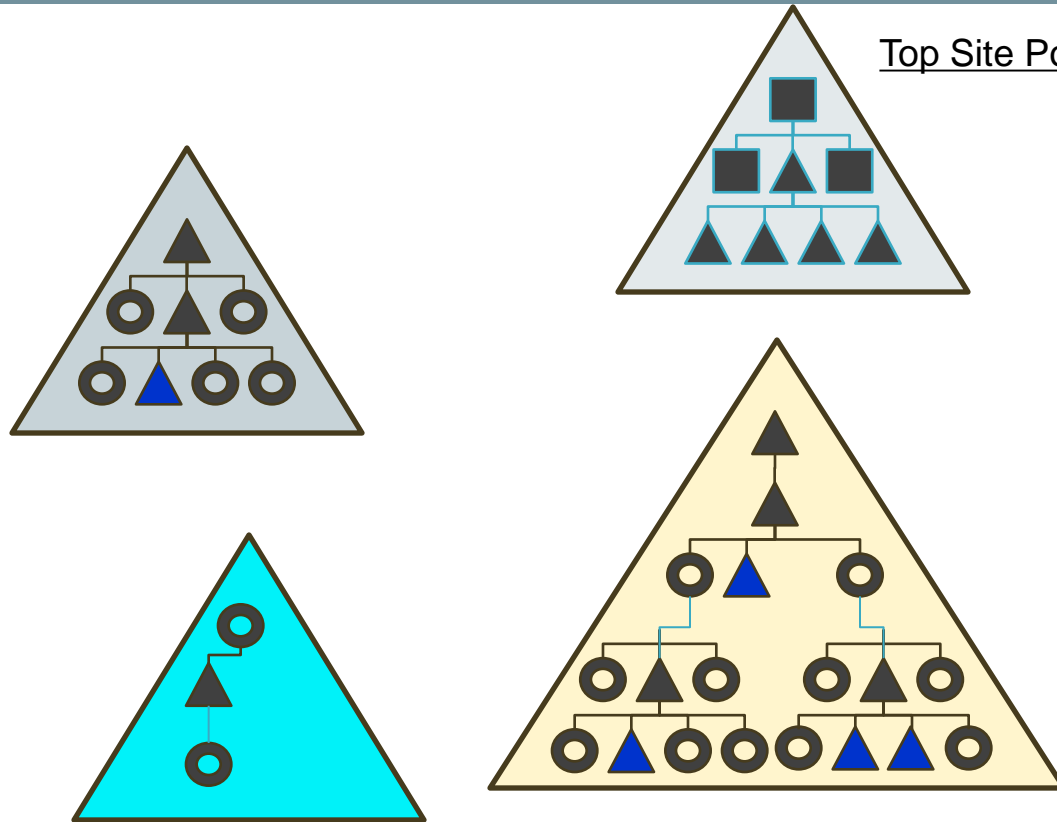
SharePoint: Challenges & Opportunities

SharePoint Site Deployment



- Enterprise Intranet Site
 - Portal to Enterprise Applications
 - Directory of Enterprise Services (e.g. HR)
- Sites
 - Organization
 - Project
 - Workgroup
 - Community Sites
 - Information Sites
 - Site Archival
 - Records Center
- Personal Sites (MySites)
 - Personalized Access to Content
 - Significant Component for Users

Ungoverned “organic” environment



Top Site Portal

Issues:

Chaos grows with new sites

- No central site directory
- Each site has own look and feel
- Navigation is inconsistent
- No standard security model

Different definitions of content

- Site 1 has “Invoice – Purchasing”
- Site 2 has “Invoice”

Content volume increasing rapidly

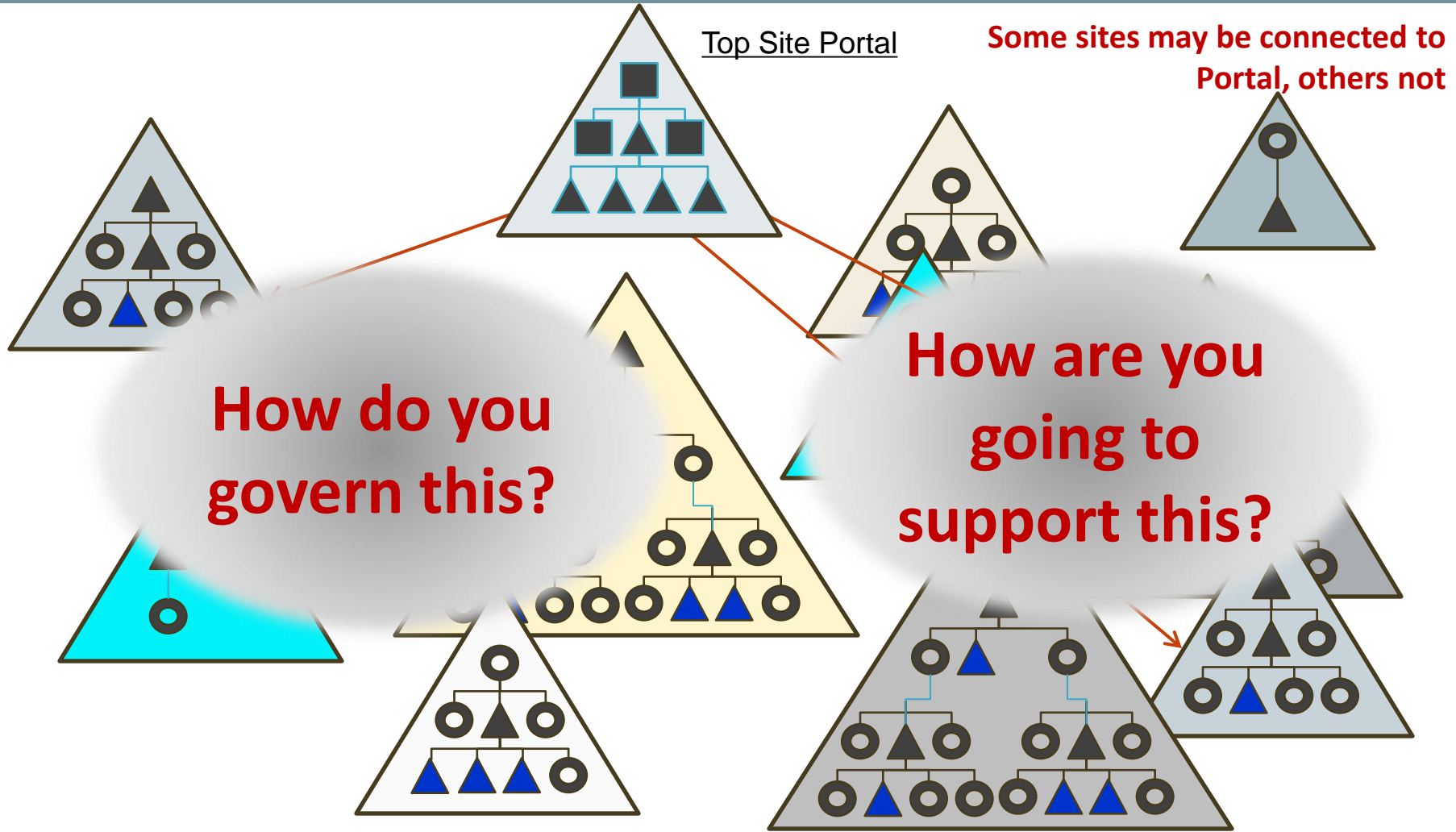
- Many convenience copies

Metadata mgmt. is inconsistent

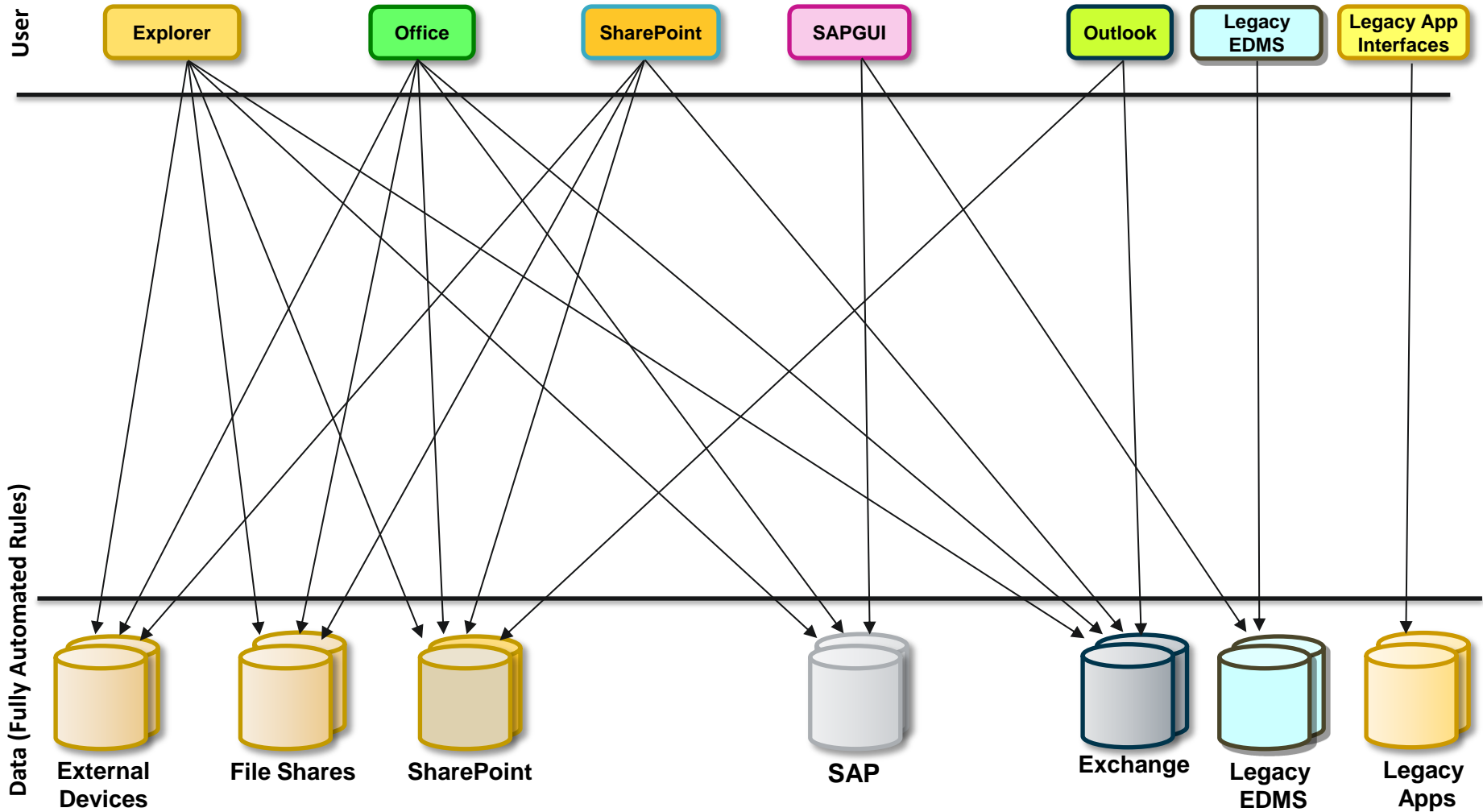
All content is retained forever

How are Records managed?

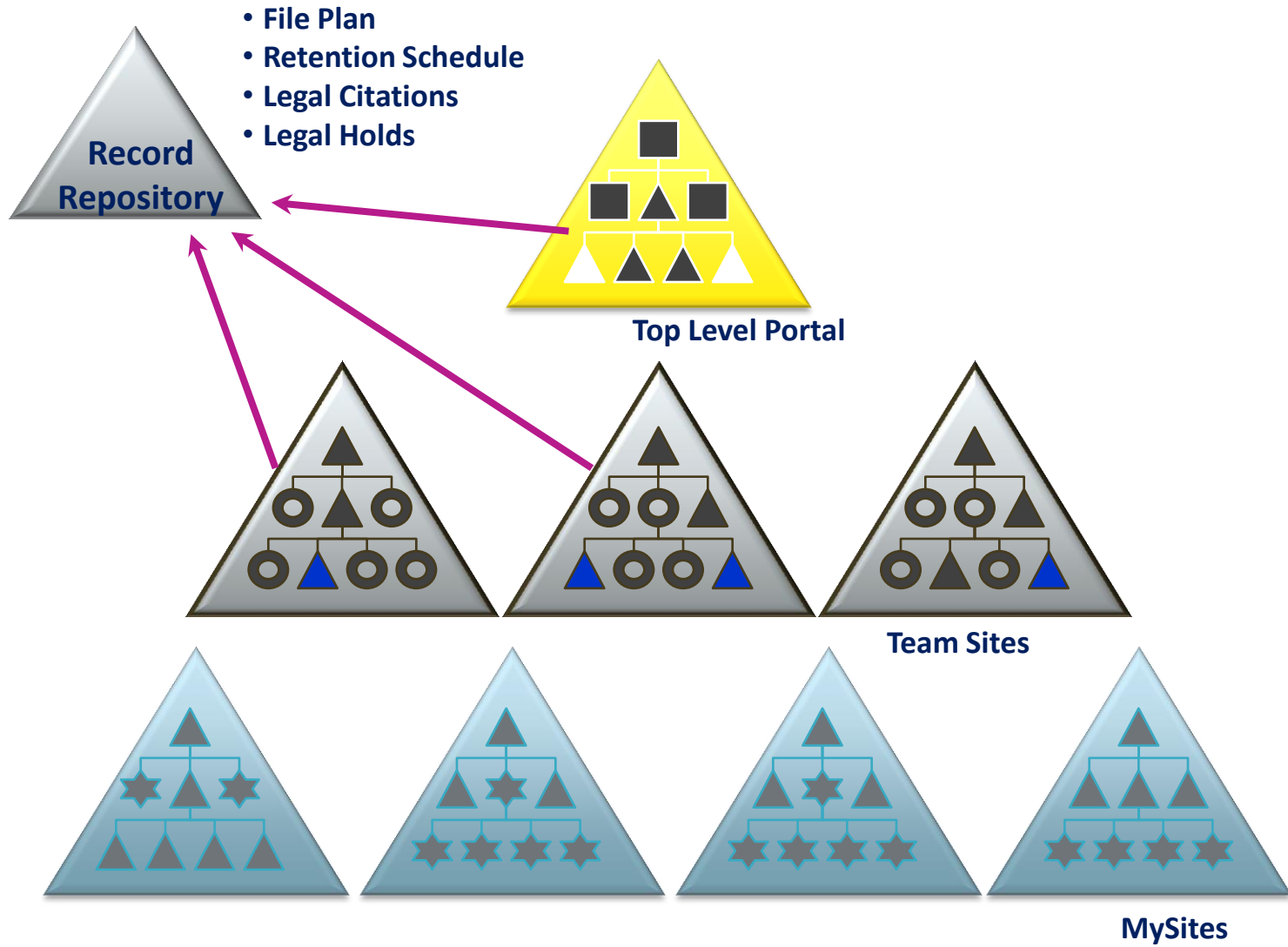
Ungoverned “organic” environment



Usage Model & Challenge



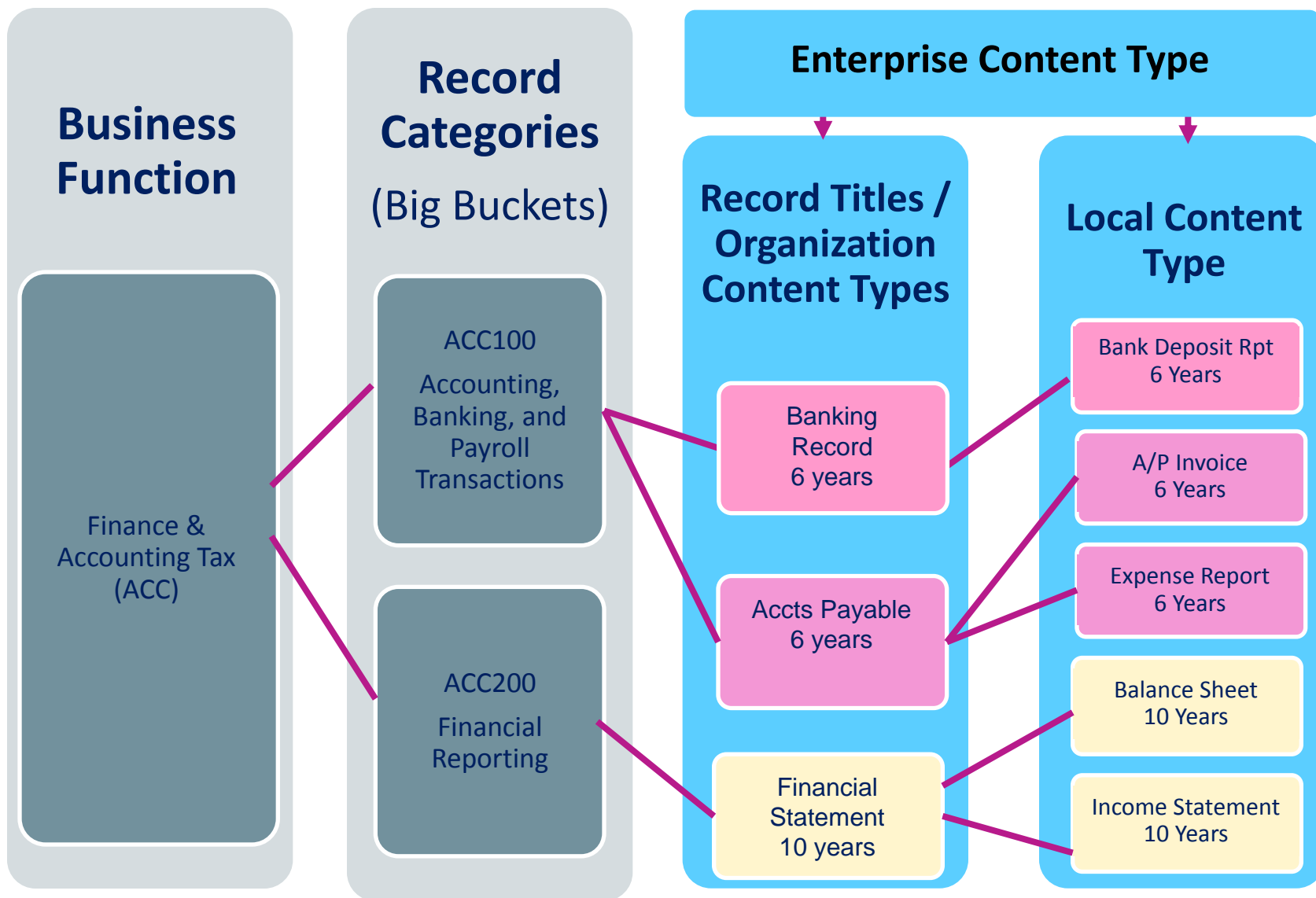
MULTIPLE CLIENTS AND MULTIPLE REPOSITORIES



Record Retention Schedule

Retention Category Code	Retention Category	Retention Category Description	Record (Content) Type	Retention Event	Retention Period
HUM70	Personnel Files – Personnel Actions	Individual employee records related to hiring, promotion, performance appraisals, transfers and disciplinary action. Also includes employee relocation.		Retention period begins with the content is market final/ declared a record.	6 years
HUM70			Employee Warnings		
HUM70			Performance Reports		
HUM73	Personnel Files – Termination, Training and Summary Records	Individual employee records with terms of employment, salary and wage schedules, technical training, safety training, resumes, applications, and termination records.		Retention period begins with the content is market final/ declared a record.	60 years
HUM73			Employee Training Attendance Records		
HUM73			Letters of Resignation		
HUM73			Termination Documents		
HUM73			Exit Interviews		
HUM73			Employment Application		

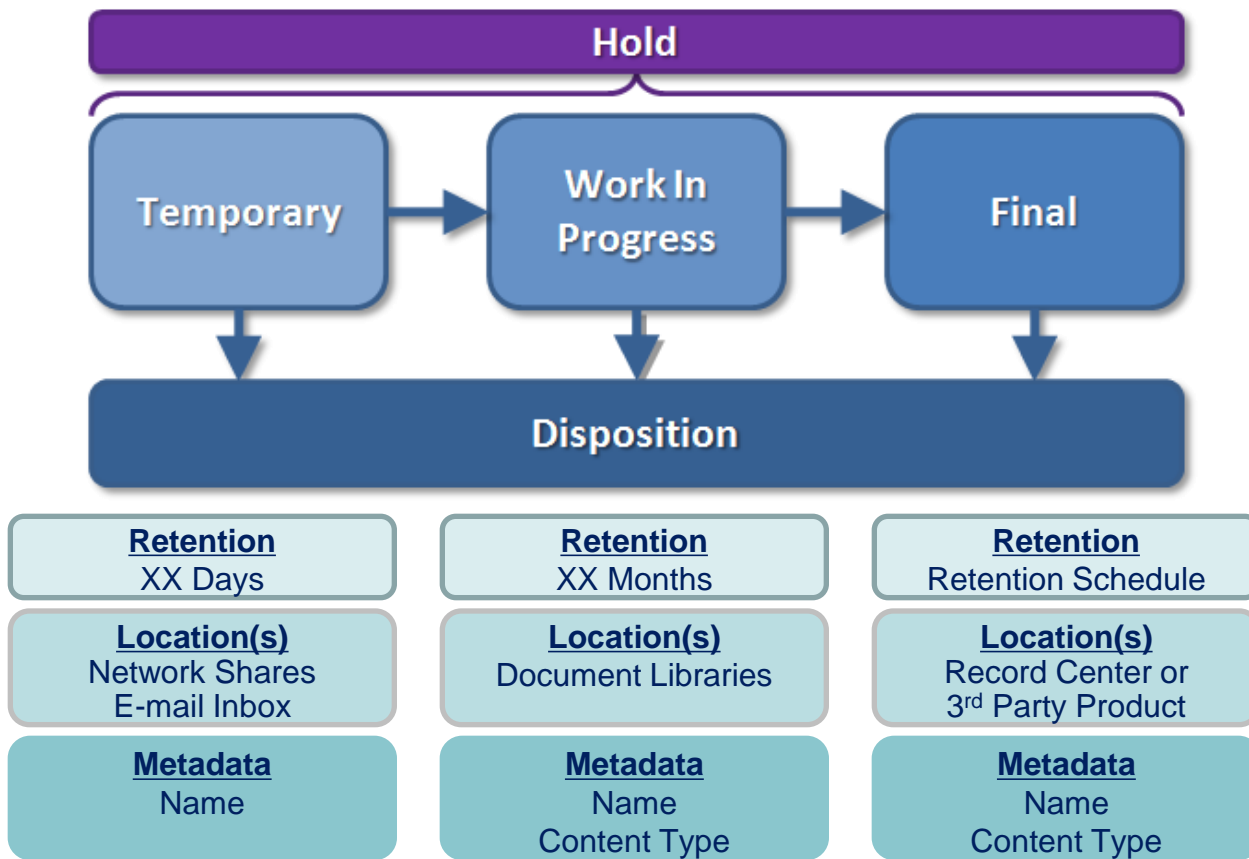
Records Retention Schedule Structure



Taxonomy Master Model in SharePoint

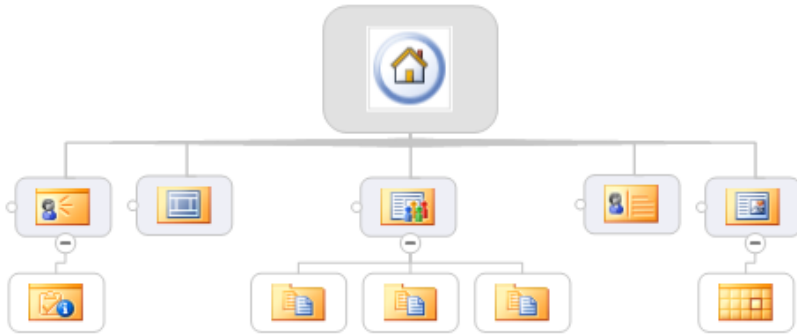
Content Type Level	Content Type Name	Owning Organization	ILC State	ILC Date	Create Date	Last Modified Date (system generated)	Security Class (internal, external, confidential)	Employee Name	Employee Number	Content Type	Retention Category Code	Event Trigger Date
Enterprise Content Type	Enterprise	X	X	X	X	X	X					
Organization Content Type	Human Resources – Employee Specific							X	X	X		
Local Content Type	Personnel Files – Personnel Actions										HUM70	X
Local Content Type	Personnel Files – Hiring, Termination, Training and Summary Records										HUM73	X

Information Lifecycle



- Retention
- Location
- Metadata
- Security
- Versions
- Disposition
- Many others

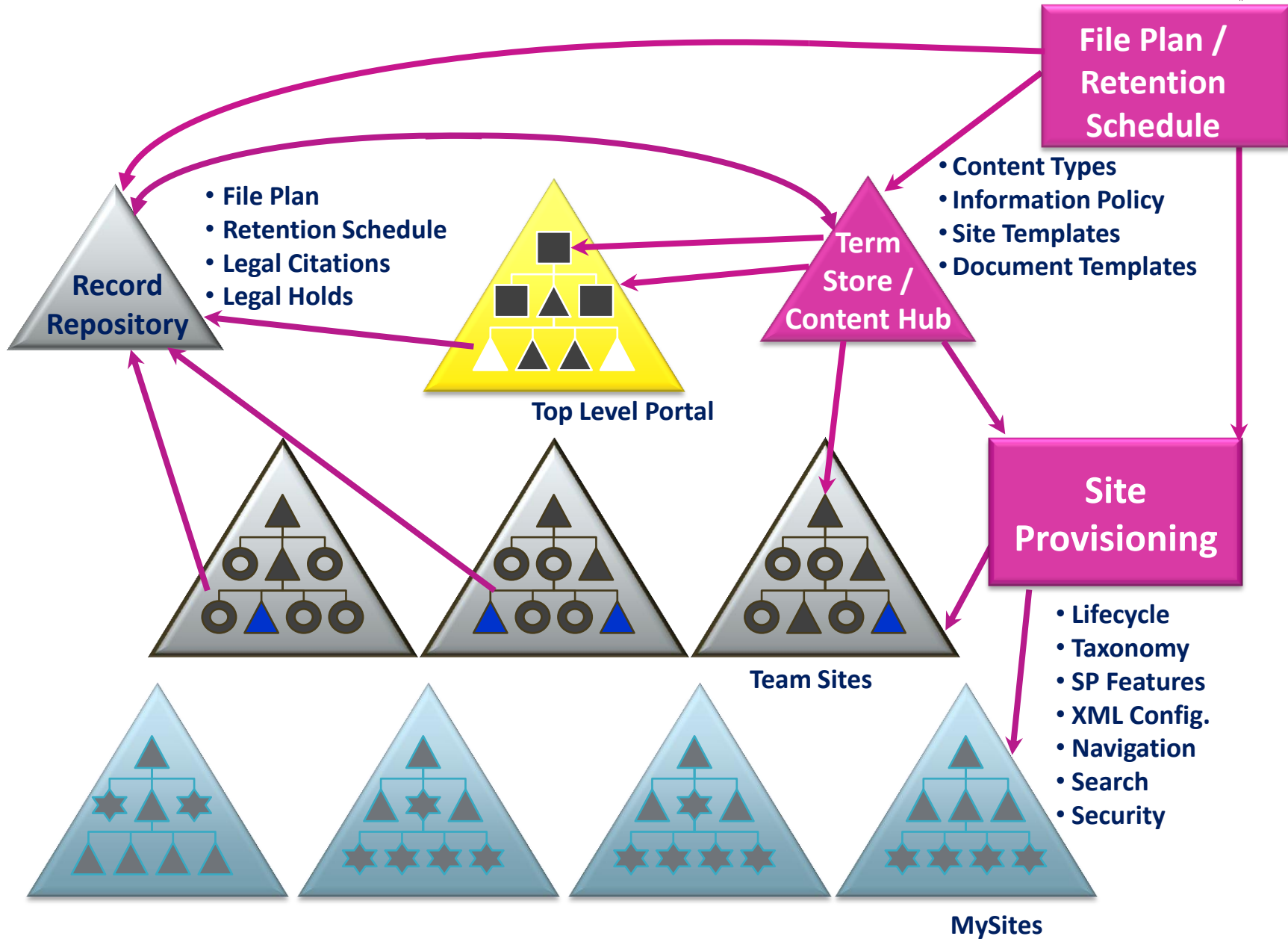
Site Provisioning



- Support all Site **Templates**
 - Publishing
 - Collaboration
 - Organization
 - Project
 - Community of Practice
 - Personal (MySites)

- Produces Standard **“Global Entities”**
 - Security groups and membership
 - Roles
 - Pages and navigation **Administrative Governance Focus**
 - Web Parts
 - Lists **Content Governance Focus**
 - Document Libraries
 - Content Types
 - Site and library columns and auto-population rules
 - Custom functions
- Leverages request and approval workflow → Content Types & Features
- Limits Local Admin’s to local needs
 - Minimizes “Administration” training
 - Ensures governance settings

Information Lifecycle



File Plan Builder



I Like It

Tags & Notes

Home

Search this site...

- Hub Settings
 - Columns
 - Content Types
- Records Settings
 - File Plan Builder
 - Policies
- Term Management
- Metadata Rules
- Provisioning
- Templates

- 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

Name	ID	Description
Administration	ADM	Records documenting departmental administrative management, p
Audit	AUD	Records pertaining to any audit of processes, financial or other inte
Audit Policies and Procedures	AUD40	Policies and procedures around audit functions
External Audits	AUD10	Externally facing audits - information for publication
Government Audits, Hearing, and Investigations	AUD30	Government Audit Information

Add Item

Edit Item Delete Item

General | Organization-Defined Fields | Security | Audit

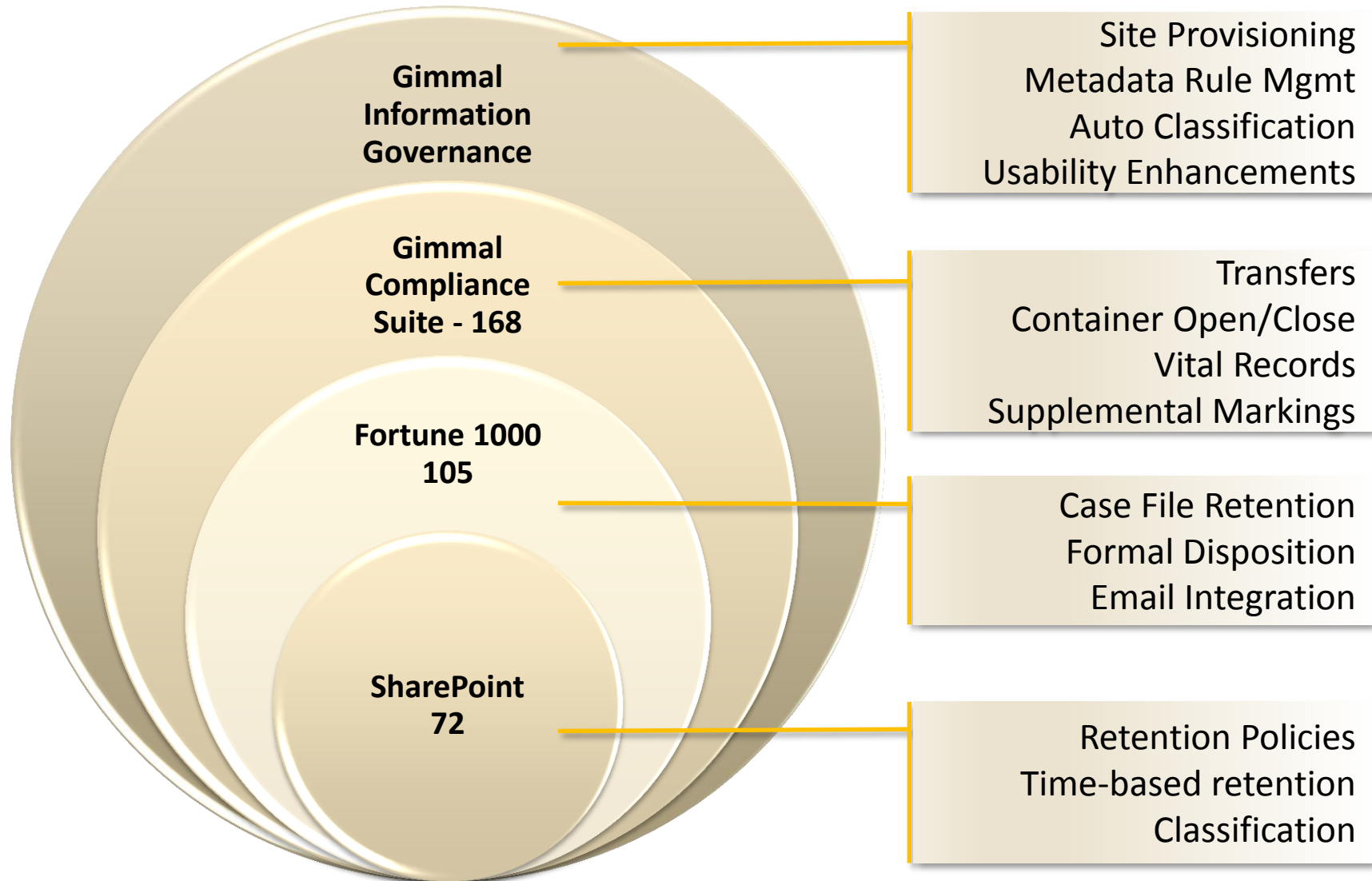
Name*

ID*

Description*

Disposition Instructions*

Gimmel Extensions to SharePoint 2010 for Governance & Records Management

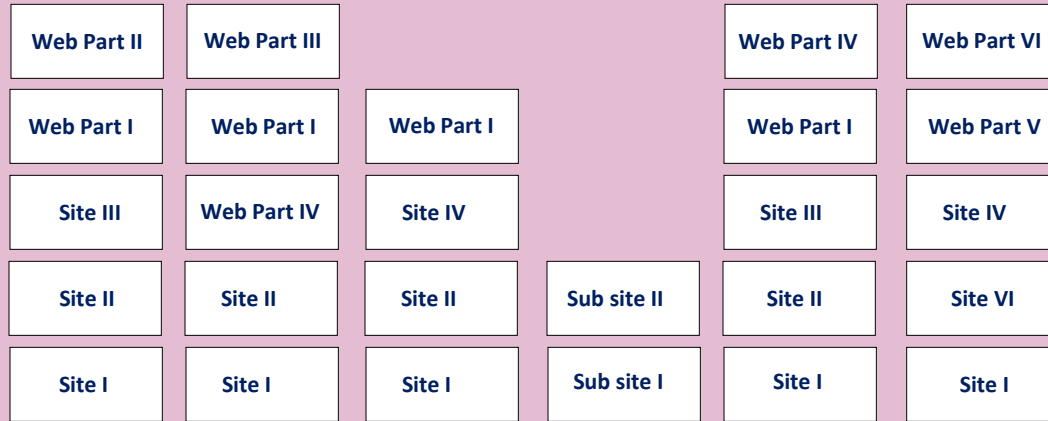


Source: RIMtech Inc. – Bruce Miller RIMTAR Report
<http://www.rimtech.ca/GimmelSoft.html>

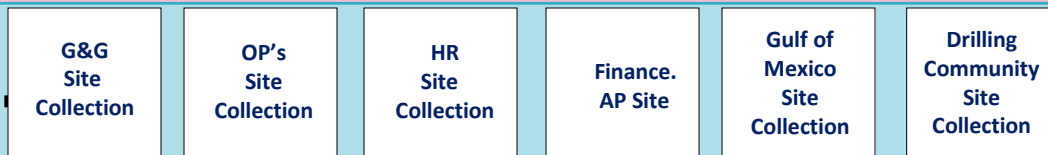
SharePoint Content Governance Model

Business Functions

Projects/Communities



Establish Governance Roadmap



- Team Site Templates Implemented
- Local Processes & Content Types
- Department or Team Administration

- Technical Architecture
- Base SharePoint Configuration
- SQL Server / .NET / RBS
- Hardware / Storage/ Networks

Marathon Oil Case Study

Integrated international energy company. 5th largest refiner in U.S. Retail marketing system comprises approximately 5,700 locations in 17 states. 18,000 knowledge workers globally.

ECM/RM Program:

- Relevant, up-to-date & trusted information
- Consistent records management
- Knowledge sharing platform



Gimmel Services:

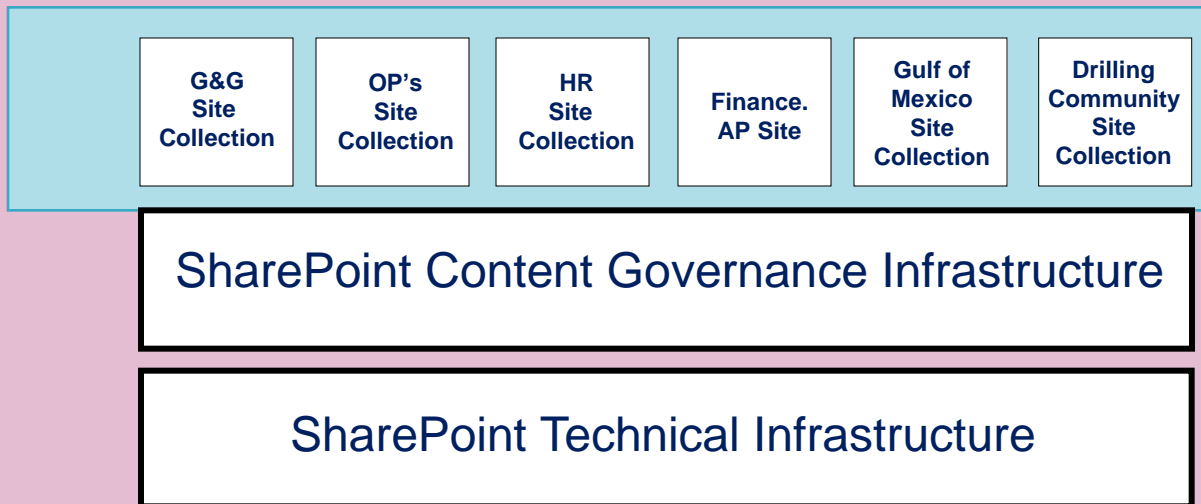
- ECM Program feasibility in MOSS 2007 timeframe (2005-2006)
- ECM vendor evaluation to support vendor selection
- Enterprise Launch to 15,000 knowledge workers
- Auto-provisioned ~15K SharePoint sites
- Enterprise File Plan & Retention Schedule Update (2011)
- Change Management Program
- Case study on Microsoft.com → search for “Marathon Oil”

Marathon Lessons Learned

- SharePoint ECM is a fine foundation for ECM & RM
 - 15K SharePoint Sites with one Information Lifecycle and Retention Schedule
 - > 12K MySites
 - Very well received by users and supported by CEO
- Divided into 2 Companies in 2011
- Completed SharePoint 2010 Team Site migration work in 2011
- Open Text works better for some things than others
 - Physical RM → yes
 - Search → no. Items found in multiple locations
 - Synchronization → no. Large % of cost is repository synchronization
 - Users prefer Office/Outlook → Native environment, not ECM or Web Parts
- Content governance needed in SharePoint regardless of ECM Suite

SharePoint Content Governance Model

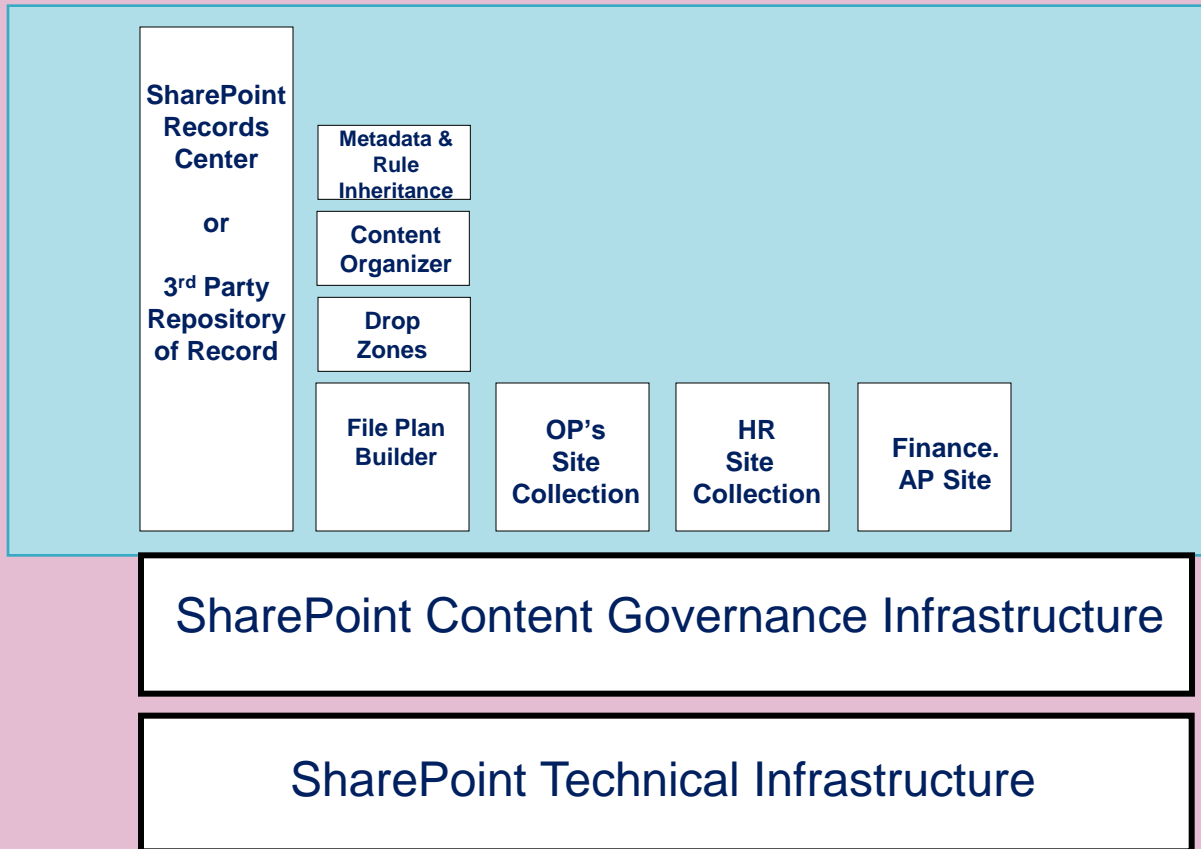
Share Drive Replacement
Basic Content Mgmt.
Windows Explorer Replacement



- Team Site Templates Implemented
- Local Processes & Content Types
- Department or Team Administration
- Content Types & Routing Rules
- Managed Metadata / Term Store
- Information Lifecycle Governance
- Administration & Provisioning
- Technical Architecture
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SharePoint Content Governance Model

SharePoint Records Management Proof of Concept



- SharePoint Records Center
- File Plan Builder Implemented
- Content Organizer Implemented
- Team Site Templates Implemented
- Local Processes & Content Types
- Department or Team Administration
- Content Types & Routing Rules
- Managed Metadata / Term Store
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Unified Records Management – A Case Study

**Microsoft Legal &
Corporate Affairs**

Microsoft®

**The World
Leader in
Information
Management
Services**

 **IRON MOUNTAIN**
INCORPORATED

 **Gimmel**
Information Management for Everyone

**Information
Lifecycle and
Governance
Solutions for
SharePoint**

Unified Records Management (URM)



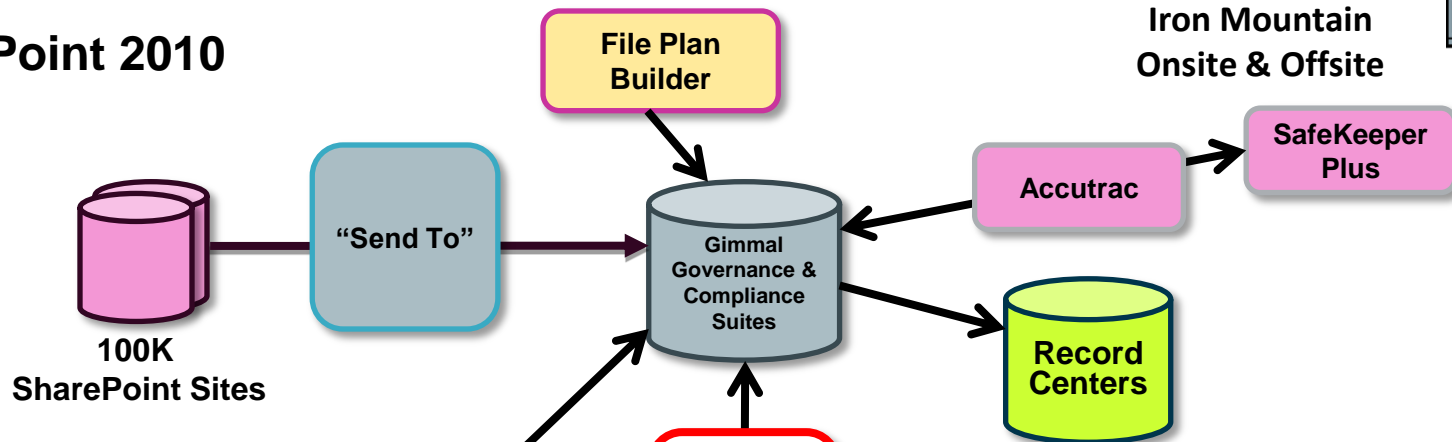
- **The role of Gimmel**
 - **Built Inside SharePoint**
 - **SharePoint Information Lifecycle & Governance Solutions**
 - > **Automated Site Provisioning**
 - > **Enterprise Information Lifecycle**
 - > **Transparent Record Declaration Processes**
 - **DoD5015.2 Certified Records Management**
 - > **The management and disposition of both electronic & physical record**
 - > **Central creation of file plan and deploys to all site collections globally**
 - > **Manage email as a record through simple drag and drop**
 - > **Case or matter based retention and disposition policies**



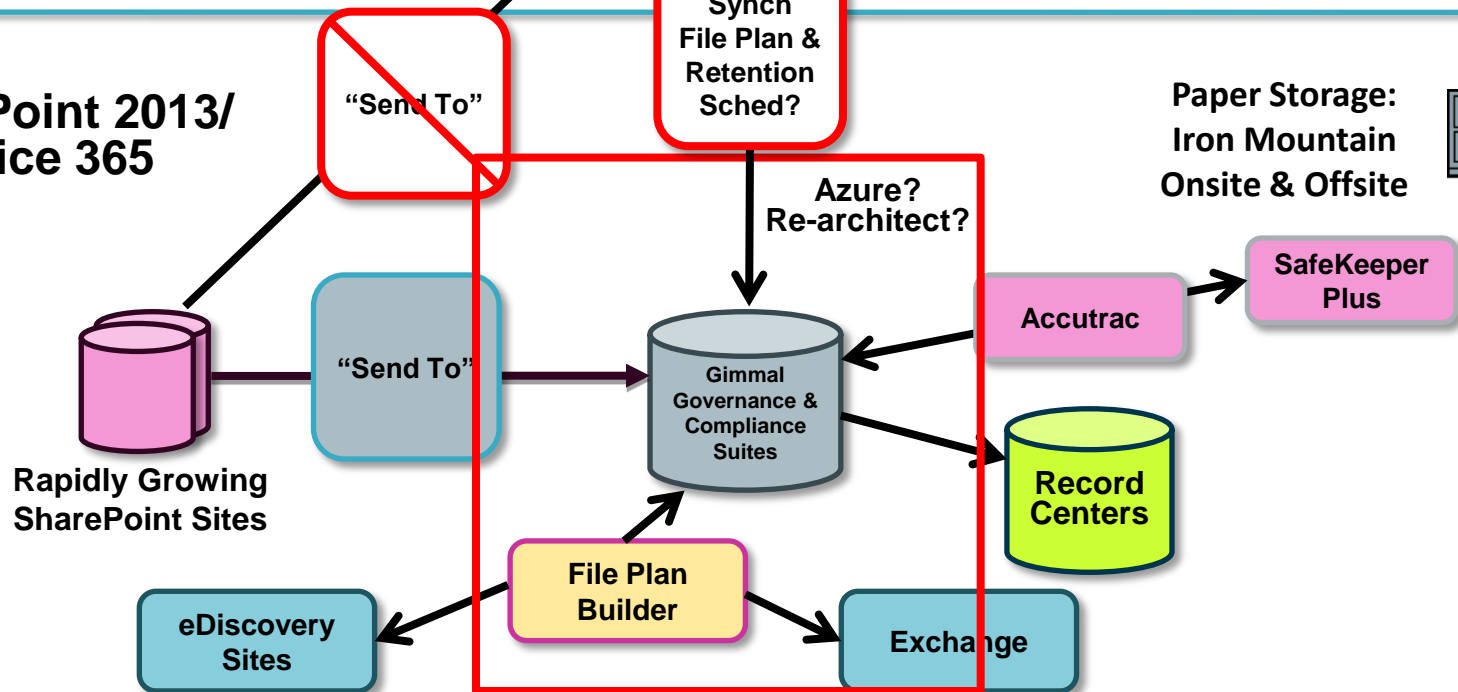
- **The role of Iron Mountain-Accutrac**
 - **Purpose Built Physical Records Management**
 - **Physical Process Workflow**
 - **Record Classification**
 - **Index and Label Files**
 - **Barcode Tracking**
 - **Request and Retrieval**
 - **View of all Physical Inventory**
 - **Access Offsite Inventory**
 - **Apply Retention and Holds**
 - **Management and Reporting**
 - **Space Management**

Hybrid Model Discussions

SharePoint 2010

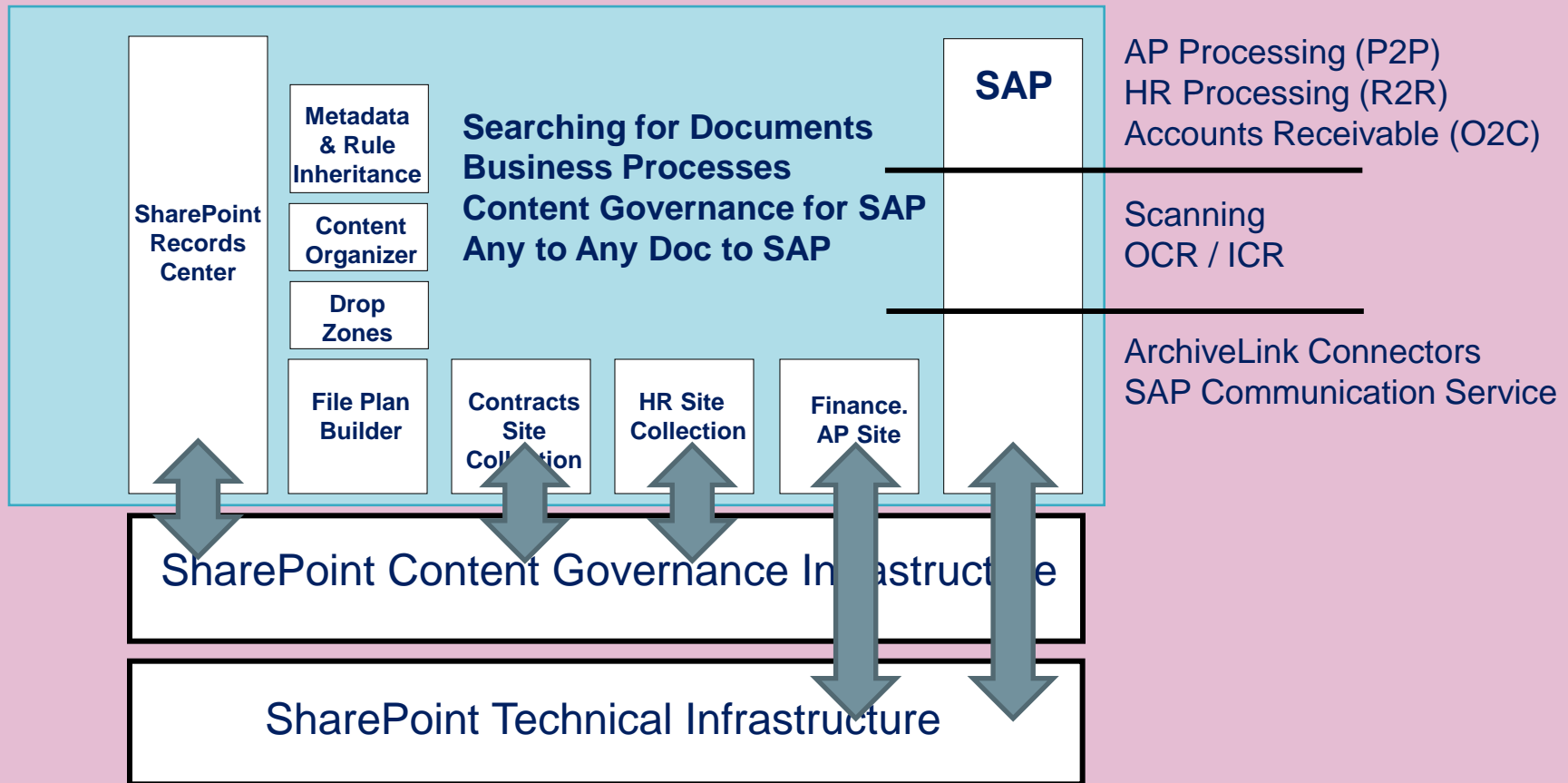


SharePoint 2013/ Office 365

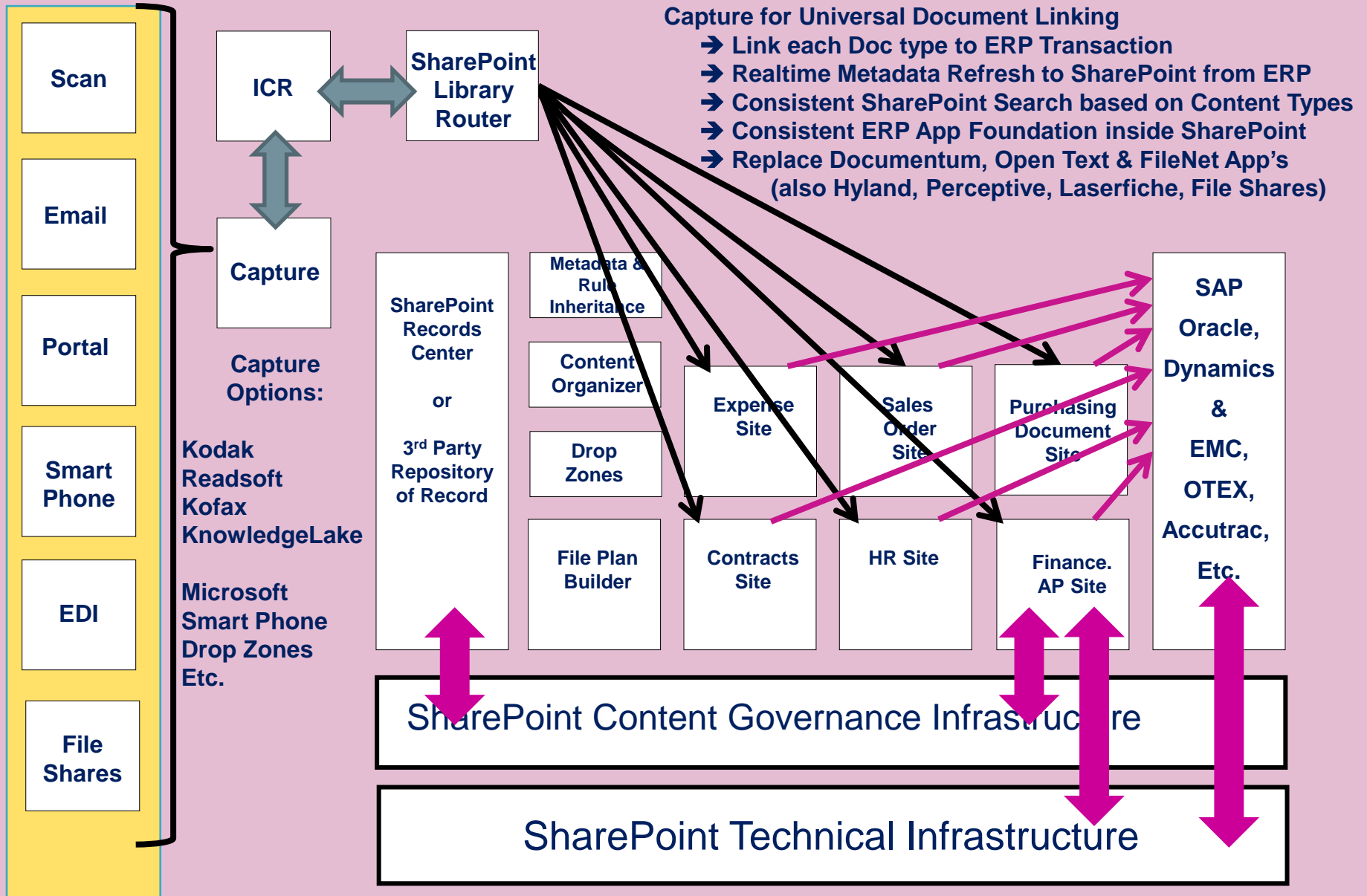


SHAREPOINT CONTENT GOVERNANCE MODEL

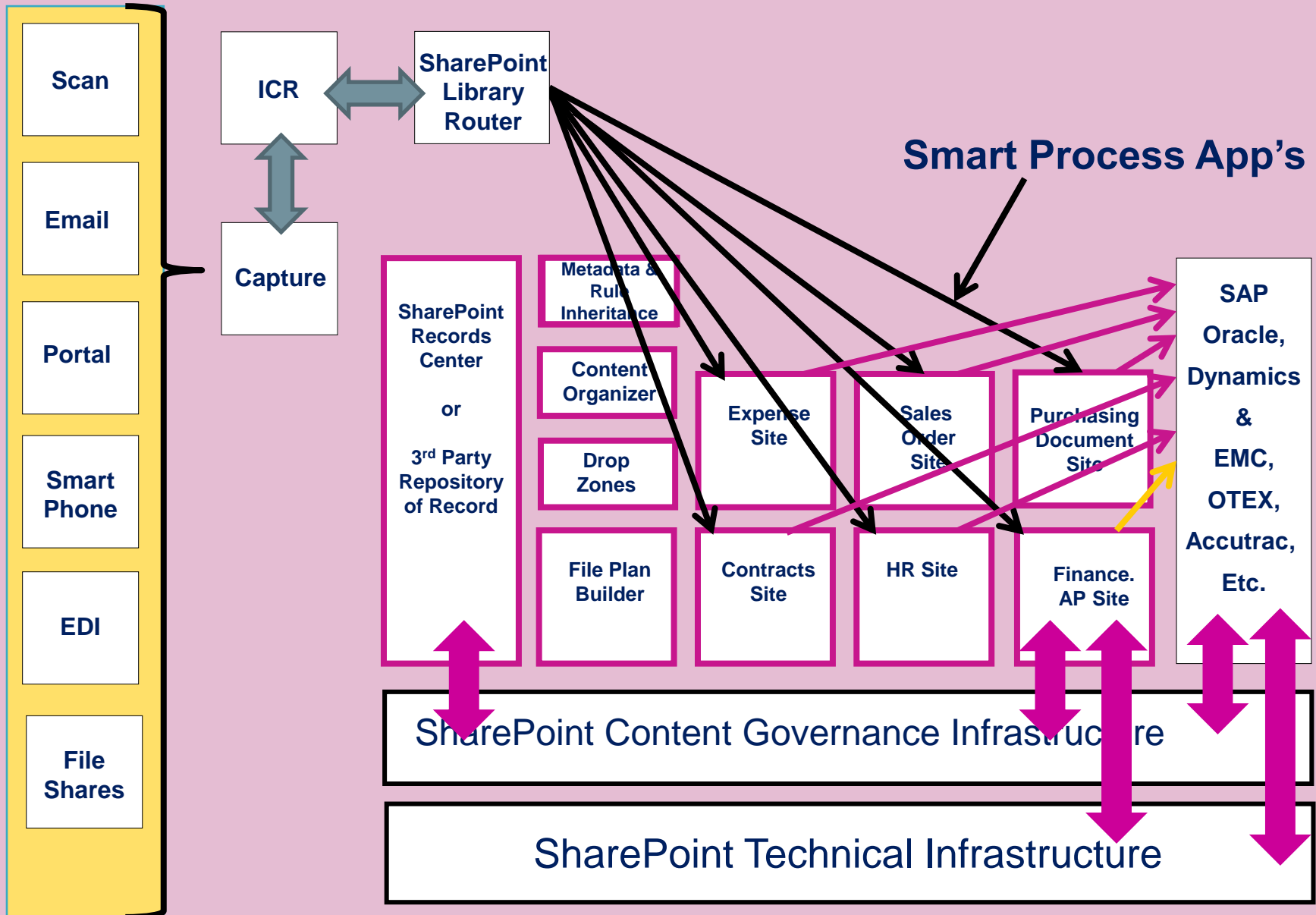
SharePoint Records Management SAP Applications



UNIVERSAL DOCUMENT LINKING



INFORMATION LIFECYCLE GOVERNANCE



SharePoint Content Governance Examples

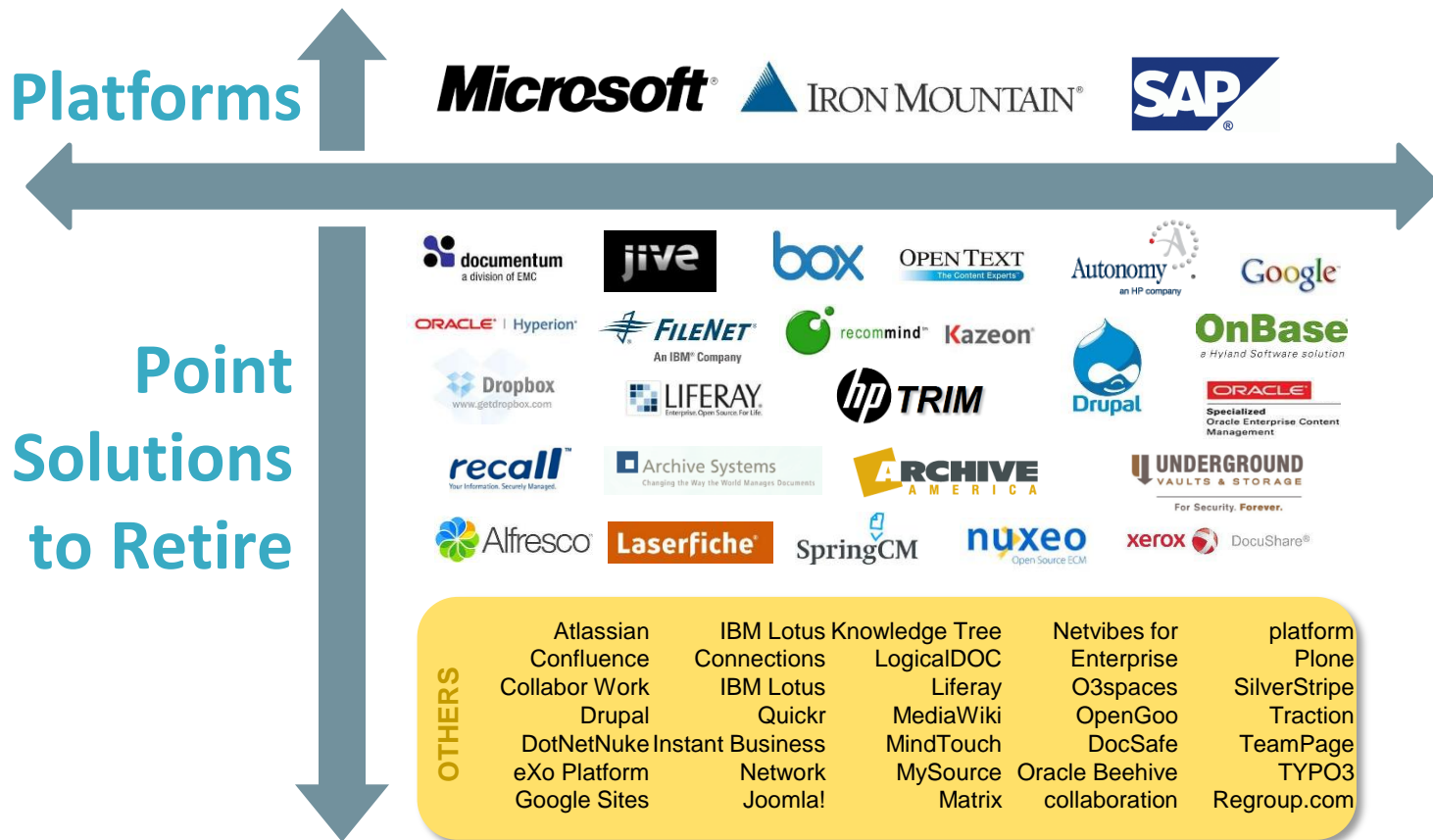
- Enterprise SharePoint RM Platform
- SharePoint RM Proof of Concept
- Windows Explorer / Share Drive Replacement
- ERP Application Integration with Built In RM
- Composite Application Integration Platform
- 3rd Party SharePoint Solution Platform

Migrations of Legacy ECM Systems to SharePoint

Tyson Foods	➤	Documentum
Monsanto	➤	Documentum
Ontario Power	➤	OpenText IXOS
Lockheed Martin	➤	EASY
Janus Funds	➤	Documentum
Minto Group	➤	OpenText IXOS
Siemens PLM	➤	OpenText IXOS
Kraft Foods	➤	FileNet
Toro	➤	Documentum
Coca Cola	➤	Stellent
Sauer Danfoss	➤	Documentum
Baker Hughes	➤	Documentum

Companies that migrated to SharePoint from these products

Gimmel Enables Platform Consolidation



4

Iron Mountain: Why SharePoint?

RIM: Good Intentions, Lagging Practice



83% are unable to locate hardcopy records when needed. What about managing them?



56% have no data map or don't know if they have one

65% cannot classify or index user-created e-records

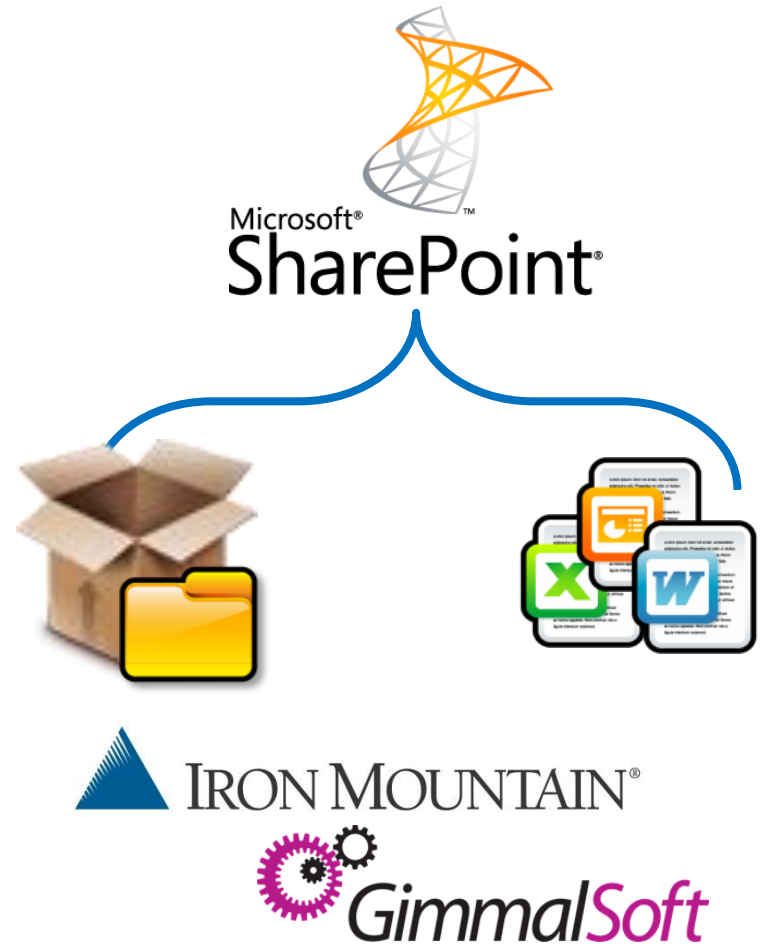


63% experienced a trigger event that cost their company money.

Source: A View Into Unified Records Management: Iron Mountain Compliance Benchmark Report, May 2012

URM Value Prop: Closing the Gap

- **Search** across physical and electronic records
- **Retrieve** physical records
- **Create** new physical records
- **Request** Pickup, Delivery, and Checkout
- **Apply one retention policy** to both physical & electronic records
- **Apply legal holds** to both physical & electronic records



URM in Action

Library Tools

Site Actions ▾ Browse Documents Library Physical Records System Account ▾

Create Physical Record ▾ Add to Cart Add to Container Request Pickup Request Delivery Transmittal Form View Cart View Contents Mark/Unmark Container Monitor Requests

Records Administration

Libraries

- Administration - ADM
- Audit - AUD
- Business Operations - BUS
- Environmental - EHS
- Finance - FIN
- Human Resources - HUM
- Information Technology - INF
- Insurance - INS
- Legal - LEG
- Marketing - MKT
- Operations - OPR
- Property and Plant - PRO**
- Purchasing - PUR
- Tax - TAX
- test2

<input type="checkbox"/>	Type	Name	Modified	<input type="checkbox"/>	Modified By	Can Contain Items
<input type="checkbox"/>		ANA123 Building Permit 2012	10/12/2012 10:32 AM		System Account	
<input type="checkbox"/>		Anaheim Occupancy Permit 2012	10/12/2012 10:32 AM		System Account	
<input type="checkbox"/>		Anaheim Occupancy Permit 2012	10/12/2012 10:32 AM		System Account	
<input checked="" type="checkbox"/>		Box of forms 2009	12/3/2012 1:30 PM		System Account	Yes
<input type="checkbox"/>		Box of forms 2010	10/24/2012 11:45 AM		System Account	No
<input type="checkbox"/>		box of forms 2012	10/26/2012 1:06 PM		System Account	No
<input type="checkbox"/>		BOX OF FORMS 2013	3/19/2013 10:07 AM		System Account	Yes
<input type="checkbox"/>		Box of Forms	4/9/2013 1:03 PM		System Account	Yes
<input type="checkbox"/>		Box of plumbing drawings	10/17/2012 3:10 PM		System Account	No
<input type="checkbox"/>		Cleaning Service Agreements 19 (48533)	10/8/2012 5:01 PM		System Account	
<input type="checkbox"/>		Contract for drilling rights	10/12/2012 10:32 AM		System Account	
<input type="checkbox"/>		Drawing Plans 2004	11/20/2012 9:36 AM		System Account	No
<input type="checkbox"/>		Drilling Agreement Communicat	10/12/2012 10:32 AM		System Account	
<input type="checkbox"/>		Engineering Drawings	2/14/2013 1:31 PM		System Account	No
<input type="checkbox"/>		Environmental Feasibility Plans--ANA123 (16714)	10/8/2012 5:00 PM		System Account	

- Add to Cart
- Request Delivery
- Request Pickup
- View Contents
- Mark/Unmark Container
- View Properties
- Edit Properties
- Edit Document
- Check Out
- Compliance Details
- Workflows
- Add to My Links
- Alert Me
- Send To
- Manage Permissions
- Delete

Business Case

Mitigate risk

- ▶ Deliver compliance-driven business solutions
 - ▶ Establish an information governance plan
- ▶ Meet records retention and eDiscovery requirements
- ▶ Manage physical and electronic records with the same consistency



Business benefit

- ▶ Easier to apply one set of policies that govern access rights, retention periods and destruction protocols, regardless of where information is stored
 - ▶ Find records faster
- ▶ Lower risks of noncompliance and cut storage costs

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THANK YOU

Extend SharePoint Content Governance and Records Mgmt.

Mike Alsup
SVP & Founder
April 22, 2013

Sue Trombley, Iron Mountain
Managing Director, Consulting

