Silicon Valley SharePoint Users Group 8/15/2013

Records Management and eDiscovery

## For Business Users and IT

Rajesh Agadi

Principal Consultant

My Bio   (Principal Consultant, Netwoven Inc)

- Over 20 years of Consulting Experience

- Focused on Microsoft Stack of ECM

- Worked and deployed across all SharePoint versions.

- Organizational Portals/Extranets/Public Sites/Migration/Branding/Workflows/Custom

- Infrastructure/Information/Technical Architecture and Hardcore development.

- Held Consulting Architecture and Organizational Leadership roles.

- http://rajeshagadi.blogspot.com/

- #rajeshia

Our Services – Consulting and Technology
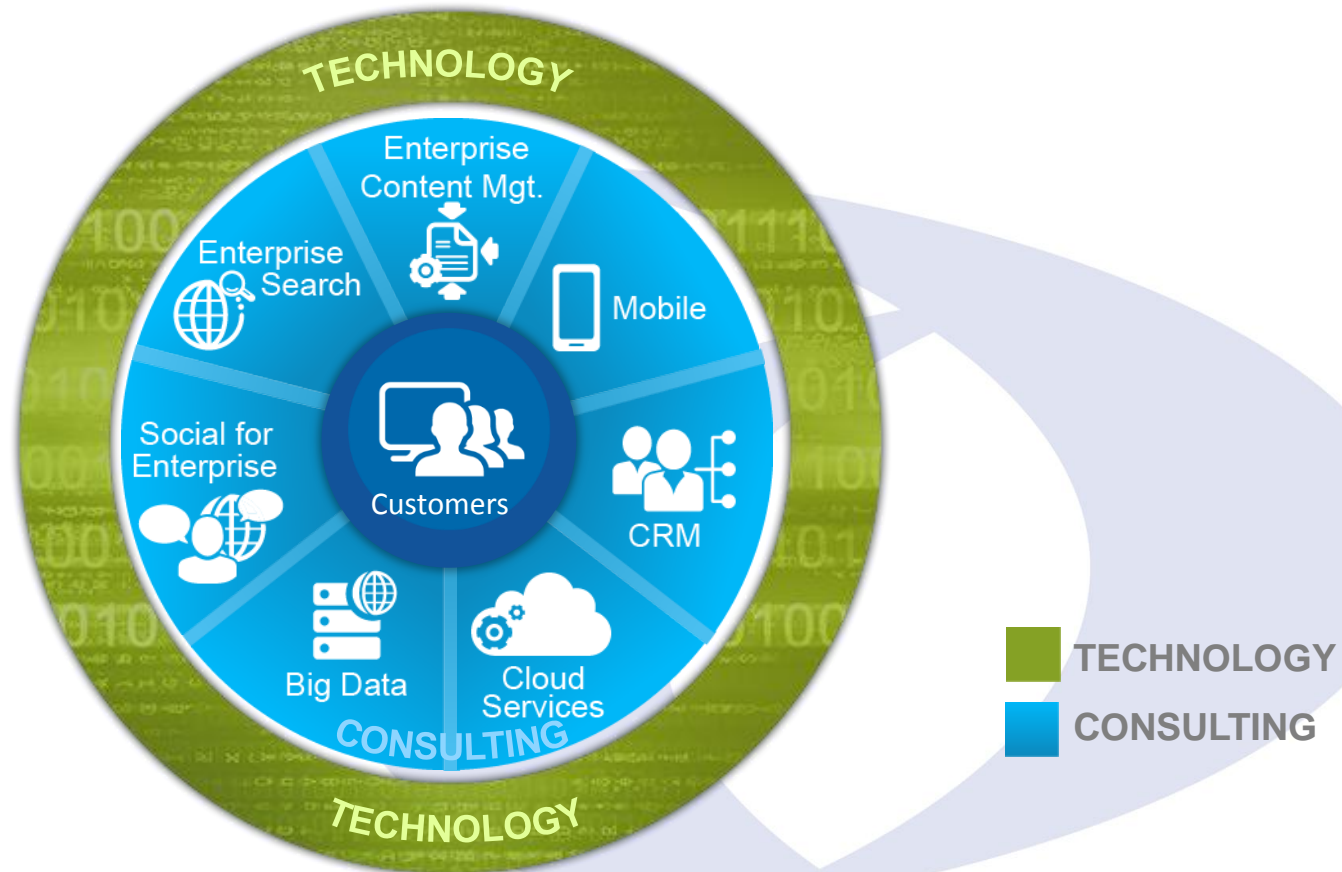
Our Services – Consulting and Technology

- Semantic Modeling
- Search based Application
- Taxonomy Design
- Text Analytics
- Search Analytics
- Data Visualization

- Microsoft Fast Search
- Smartlogic
- BA-Insight

TECHNOLOGY

Enterprise Content Mgt.

Enterprise Search

Mobile

Social for Enterprise

Customers

CRM

Big Data

Cloud Services

CONSULTING

TECHNOLOGY

Our Services – Consulting and Technology

- Web Content Management
- Document Management
- Portal and Collaboration

- SharePoint 2013
- K2 Workflow
- SharePoint Workflow

- BA-Insight
- Nintex
- AvePoint

Enterprise Content Mgt.

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CONSULTING

TECHNOLOGY

Our Services – Consulting and Technology

- Application Development
- Mobile Content Mgmt.
- SharePoint Integration
- MDM
- MEAP
- Security

- iPhone
- iPad
- Airwatch
- Android
- Mobileiron
- Phonegap
- Windows Phone

Our Services – Consulting and Technology

- Channel management
- Sale Force effectiveness
- Contact Center Automation
- Customer Analytics
- SharePoint Integration

- Salesforce.com
- Microsoft CRM
- Force.com

Our Services – Consulting and Technology

- Data Visualization
- Hadoop Consulting
- Advanced Analytics
- Enterprise Reporting
- Master Data Management
- Executive Dashboards and Scorecards

- SAP Hana
- SAP Business Objects
- Tableau
- PowerView
- Reporting Services
- Microsoft SQL Server
- PerformancePoint
- PowerPivot

Our Services – Consulting and Technology

- Social Strategy
- Social Product Selection
- Implementation
- Jive Migration

- SharePoint 2013
- Yammer
- Newsgator

Agenda

- What is Records Management and eDiscovery?

- Discuss Best Practices

- Share your Business Use Cases

- Review SharePoint eDiscovery and Records Management capabilities in SharePoint 2013

- Review products in this space

"Field of management

responsible for the efficient and systematic control of the

creation, receipt, maintenance, use and disposition of records,

including the processes for capturing and maintaining evidence of
and information about

business activities and

transactions

in the form of records"

From Wikipedia

Records Management Principles

*Association of Records Managers and Administrators (**ARMA**)*

- Records are created, received, and used in the conduct of organizational activities.
- Organizations should create and maintain authentic, reliable, and usable records.
- Records should be accessible to authorized users
- Users should be able to search for and access records in usable formats.
- Records should be organized to support access and management
- Records must be managed through their lifecycle.
- Records should be kept as long as required to meet legal requirements and business needs.
- Retaining records longer than required may increase organizational liability.
- Disposition is an accepted phase of the records lifecycle.
- Records should be disposed of at the end of the lifecycle.

Records Management Best Practices

- Mind your "Four Cs": compliance, cost, collaboration, and (business) continuity.

- Take a holistic approach

- Assign responsibility at the top

- Create a recognized, central discipline within the enterprise.

- Create a common language and controlled vocabulary

- Create classification schemes

- Apply standard indexing terms across the organization via metadata.

- Keep it simple

- Train staff and hold them accountable

- Essential computer applications

- Institute training and change management

- Point out the positives

- Avoid techie jargon

Information Governance

- Information Governance is Critical.
- Characteristics driven grading the system level
  - Level 1 (Sub-Standard) Not addressed or ad hoc.
  - Level 2 (In Development) Recognized but ad hoc.
  - Level 3 (Essential) Minimum Defined, room for streamline.
  - Level 4 (Proactive) Governance is routine business, explore business benefits.
  - Level 5 (Transformational) Compliance is routine.

- Maturity Model Assessment across eight Principles as well as foundation of standards, best practices, and legal/regulatory requirements.
  - Accountability, Transparency, Integrity, Protection, Compliance, Availability, Retention, Disposition.

http://www.arma.org/r2/generally-accepted-br-recordkeeping-principles/metrics

Approach for RM Implementation

- Capacity/Infrastructure Planning

- Plan for Scalability Aspect

- Choose In-Place vs. Record Centers

- File Plan

- Attributes and mapping in SharePoint

- Retention Schedule

- Compliance Requirements

- Hold Plan

- Security

- Monitoring and Reporting

Infrastructure Readiness

- Capacity Planning
  - Current Inventory (Count, Size)
  - Estimate Growth
- Plan for Scalability Aspect
  - RBS
  - Single Site (Millions) vs. Distributed Sites (100s of Millions)
  - Infrastructure and Farm Design
- SharePoint 2013 Improvements
  - Minimal Download strategy, Query and Index improvements, Distributed Cache, Scalable Search, Request Management, Shredded Storage

- In-Place (Feature)

  - Record stays where it is.

  - Information Policies are applied

- Record Center (Site Template)

  - Record is moved to Record Center

  - Inherits Retention Rules

Determine File Plan

- Determine Record Coding Schema

- Analyze Record Types

- Designate Record Owner(s)

- Review possible events that can occur for the record

- Formulate the Retention Period

- Determine Version Management Policy

- Decide on the Archival or Disposition

Mapping to SharePoint

- Review your record data attributes.

- Identify and design your Terms Sets and Terms in Managed Metadata

- Design your Site Columns and Content Types based on record types.

- Associate your Term Sets with appropriate Site Columns

- Associate appropriate Content Types to your lists and libraries. The Content Type maps to Record Types

- Define Retention Policies under Content Types

Retention Schedule and Hold

- Duration of record existence before disposition per Record Type
- Driven by
  - Legal Requirements
  - Risks to the Organization
  - Business Need
- Disposition process
- Hold
  - Suspend the disposition to support Litigation/Audit/Investigation

Compliance Requirements

- Define Rules for IT Systems

- System Capabilities

- Regular Monitoring Requirements

- Report on employee handling of the record.
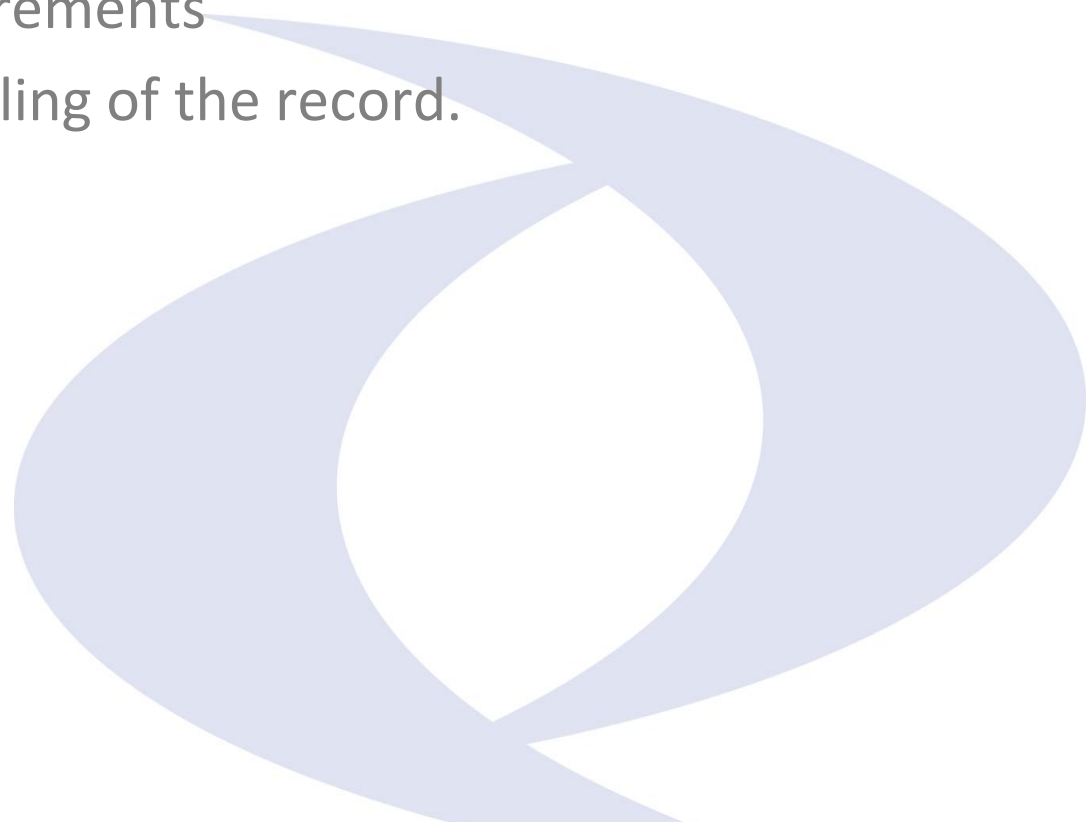
Records Management features in SP 2013

- Records Center Site Template
- Content Organizer
- Document ID
- Managed Meta Data
- Compliance Details
- Hold and eDiscovery
- Content Type Publishing Hub

- Multi-Level Retention
- Metadata based navigation
- Send To
- Document Set
- Site Policies
- Site Mail Box
- Feature Parity with O365

Record Center

- Site Collection Features
  - In Place Records Management
  - Library and Folder Based Retention
  - Document ID Service
  - Disposition Approval Workflow
  - Site Policy
- Site Features
  - Hold
  - Content Organizer
- Libraries
  - Drop Off Library
  - Record Library

Submit a Record

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Find by Document ID
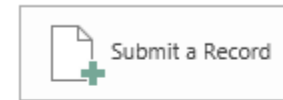
Content Organizer Settings
Content Organizer Rules
Site Closure and Deletion

- Generate file plan report
- Information management policy settings
- Record declaration settings

In Place Records Management

- Site Collection feature: In Place Records Management
- Manual and Automatic
- Mixed with Declared Record and regular documents

Site-level Retention Policies (2013)

- Compliance levels extended to sites

- Retention policy for sites and Team Mailbox associated with site

- Project closure and expiration policy

Site Mailboxes (2013)

- Site Mail Box (Site Feature)
- Create Exchange Mail box per Site
- Bring emails to SharePoint
- View SharePoint Documents in Outlook
- Drag emails in to SharePoint Document Library
- Apply Expiration Policy for both SharePoint and Site Mailbox

EDISCOVERY

eDiscovery Features (2013)
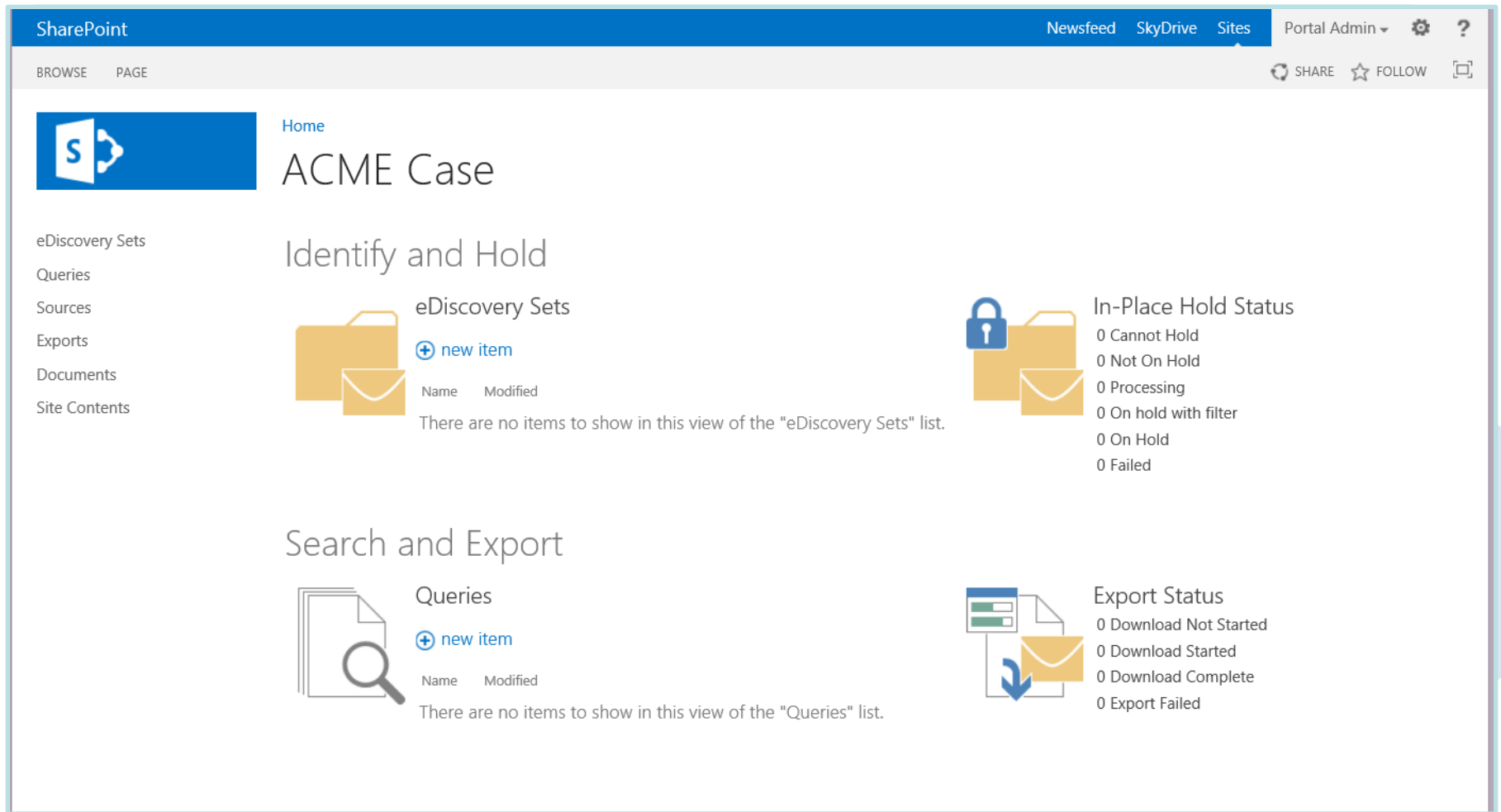
- The eDiscovery Center
  - SharePoint Farms
  - Exchange Server
  - File Shares
- SharePoint and Exchange In-Place Hold
- Export from SharePoint, Exchange and File Shares
- Query-based preservation
- eDiscovery sets

- **Cased Manager**
- **Enterprise-wide access**
- **In-Place Holds**
- **Analytics**

eDiscovery Function

- Uses Search Service Applications

- Site Holds

- Create a Discovery Case

- Retaining content where it lives

- When items are edited or deleted, places a copy Preservation Hold Library

- Most users without permissions do not see the library

- Copy on writer

- Keeps only the current checked-in or deleted version

- Programing Custom Solutions

eDiscovery Flow

eDiscovery Center Site

eDiscovery New Query Item

eDiscovery Set

- Data source
- Filter/query
- Legal hold for Changed Data

eDiscovery Export

Products

- Gimmal
- Collabware
- RecordPoint

Business Use Cases

- Compliance

- Legal Requirements

- ......

Q&A