

Silicon Valley SharePoint Users Group 8/15/2013

Records Management and eDiscovery For Business Users and IT

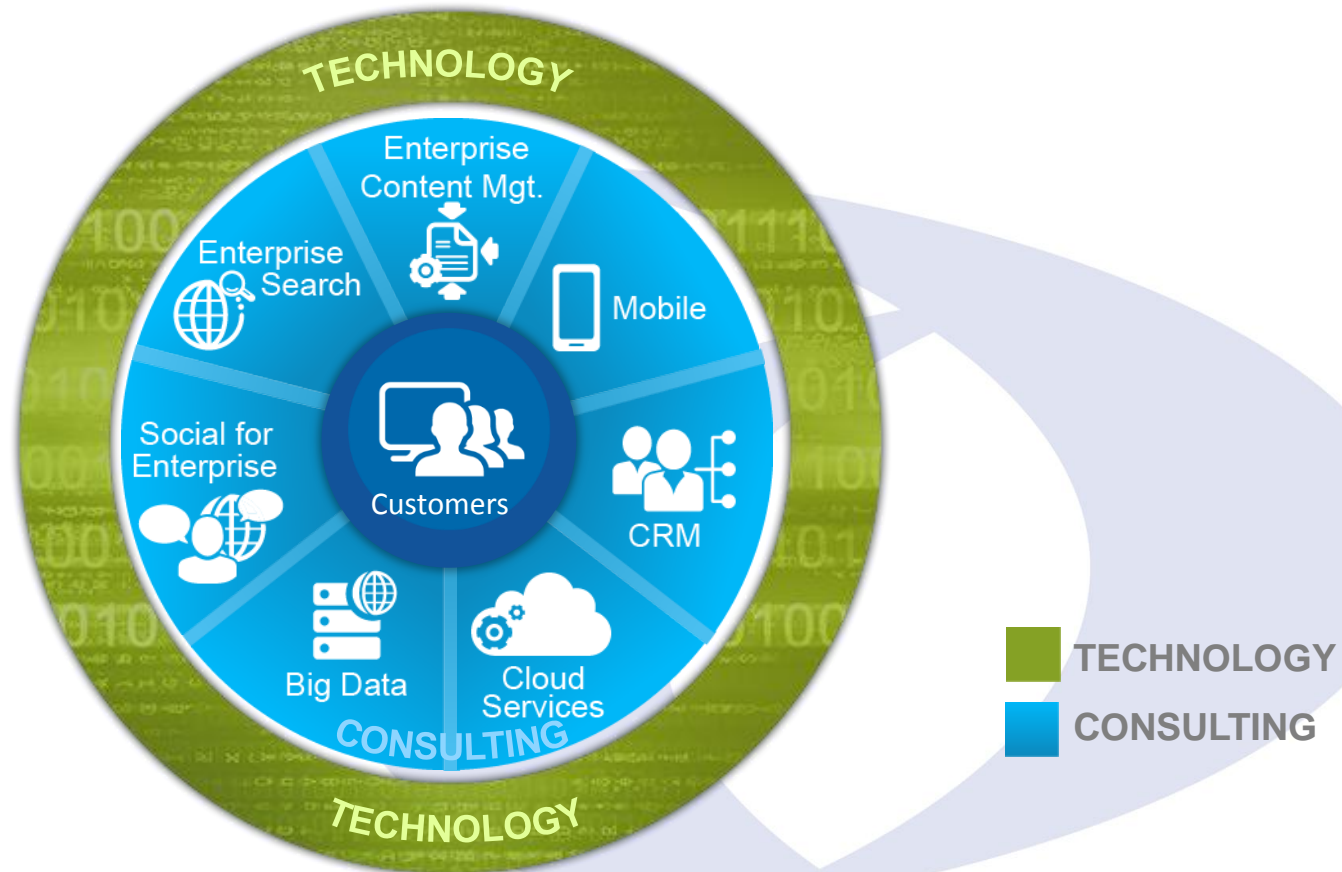
Rajesh Agadi
Principal Consultant



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



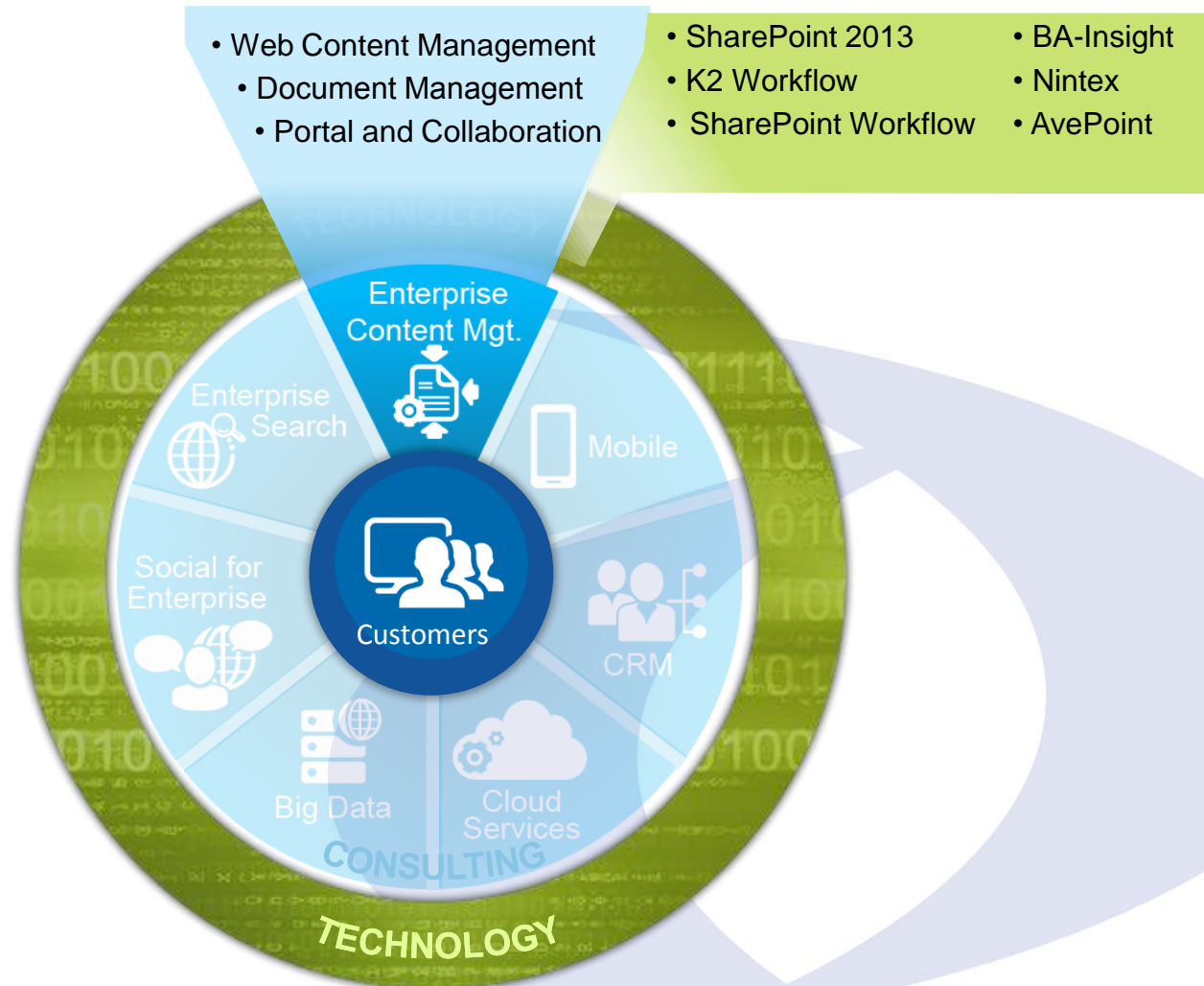
Our Services – Consulting and Technology

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

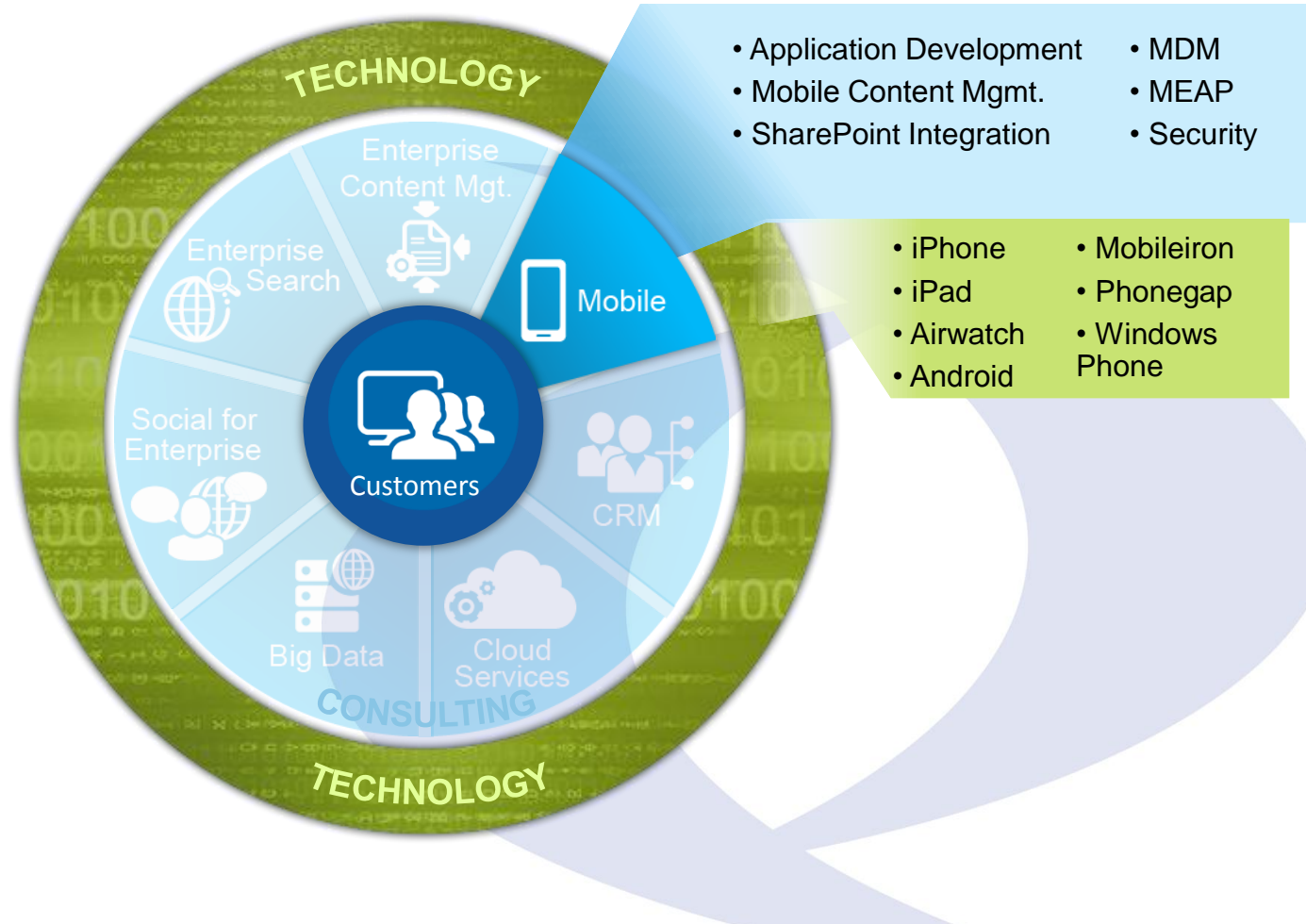
- Microsoft Fast Search
- Smartlogic
- BA-Insight



Our Services – Consulting and Technology



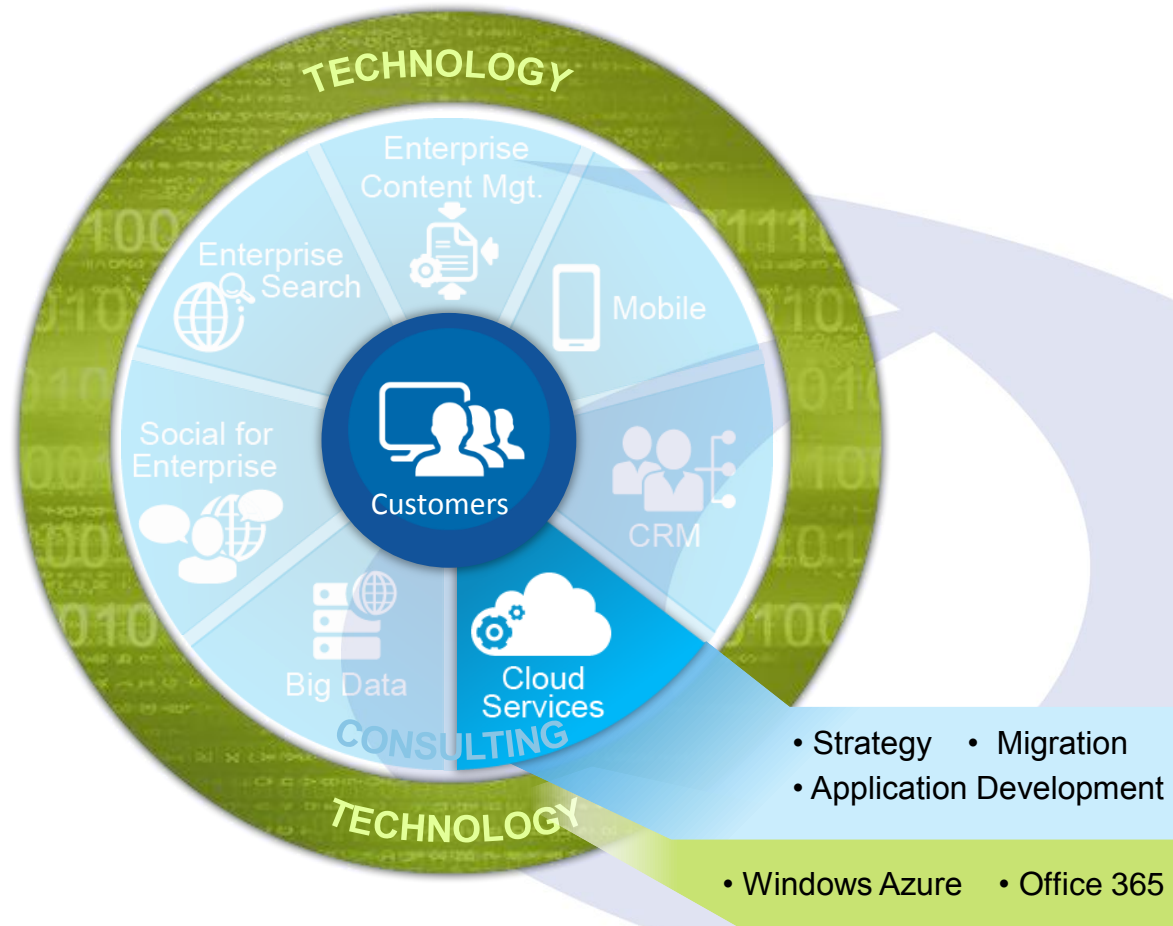
Our Services – Consulting and Technology



Our Services – Consulting and Technology



Our Services – Consulting and Technology



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

- 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

Definition: Records Management

“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.ama.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

Choose In-Place vs. Record Center

- 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

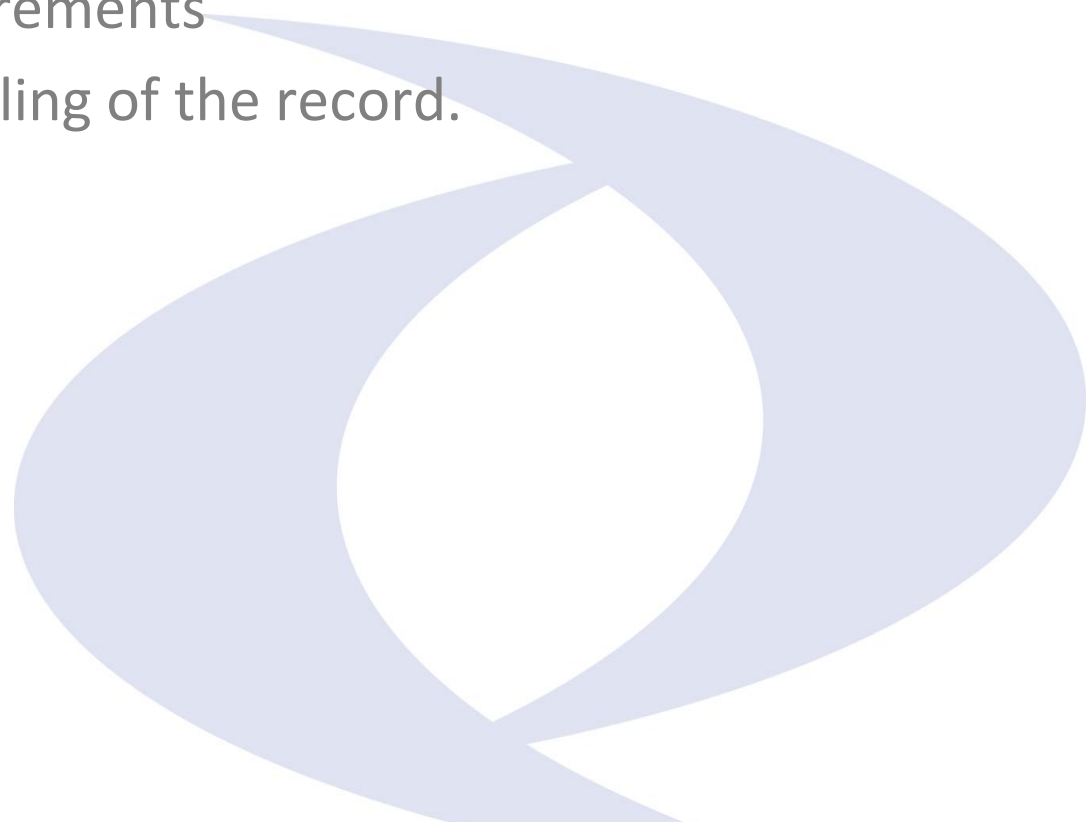
- Review your record data attributes.
- Identify and design your Terms Sets and Terms in Managed Metadata
- Design your Site Columns and Content Types based on record types.
- Associate your Term Sets with appropriate Site Columns
- Associate appropriate Content Types to your lists and libraries. The 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.

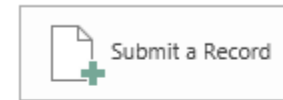


Records Management features in SP 2013

- 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



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

SharePoint

 Site Policies ▸ New Site Policy ⓘ

Recent
Tasks
Calendar
Documents
More...

Name and Description
The name and description are displayed when users classify sites under the appropriate policy.

Name:

Description:

Site Closure and Deletion
You can configure how sites under this policy are closed and eventually deleted automatically.

When a site is closed, it is trimmed from places that aggregate open sites to site members such as Outlook, OWA, and Project Server. Members can still access and modify site content until it is automatically or manually deleted.

Do not close or delete site automatically.

Delete sites automatically.

Close and delete sites automatically.

Run a workflow automatically to manage site closure, then delete them automatically.

Deletion Event:
Site closed date + months

Send an email notification to site owners this far in advance of deletion:
 months

Send follow-up notifications every:
 days

Owners can postpone imminent deletion for:
 months

The site collection will be read only when it is closed.

Site Collection Closure
When a site collection is closed, you can choose for it to become read only. Visitors will receive a notification

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



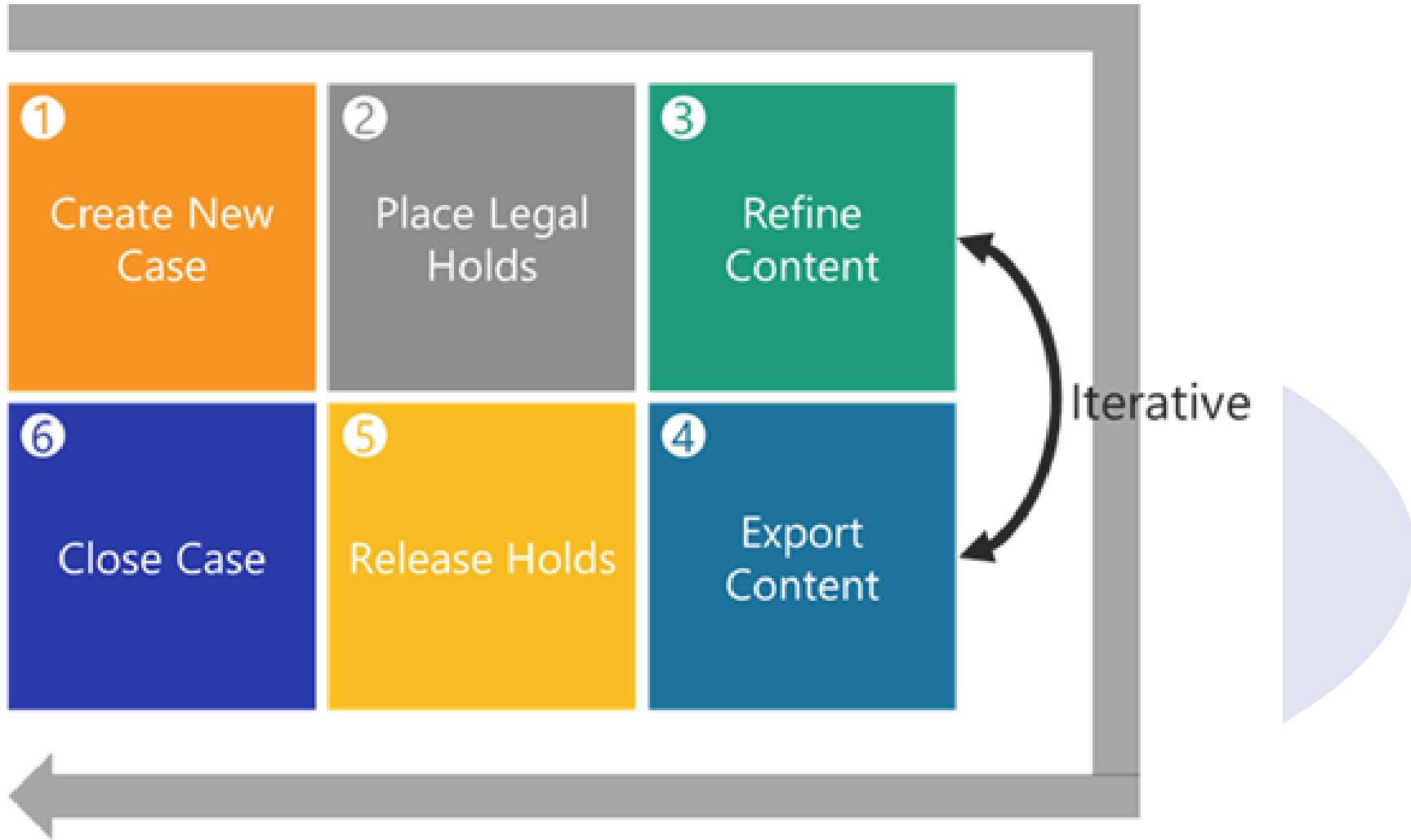
eDiscovery Features (2013)

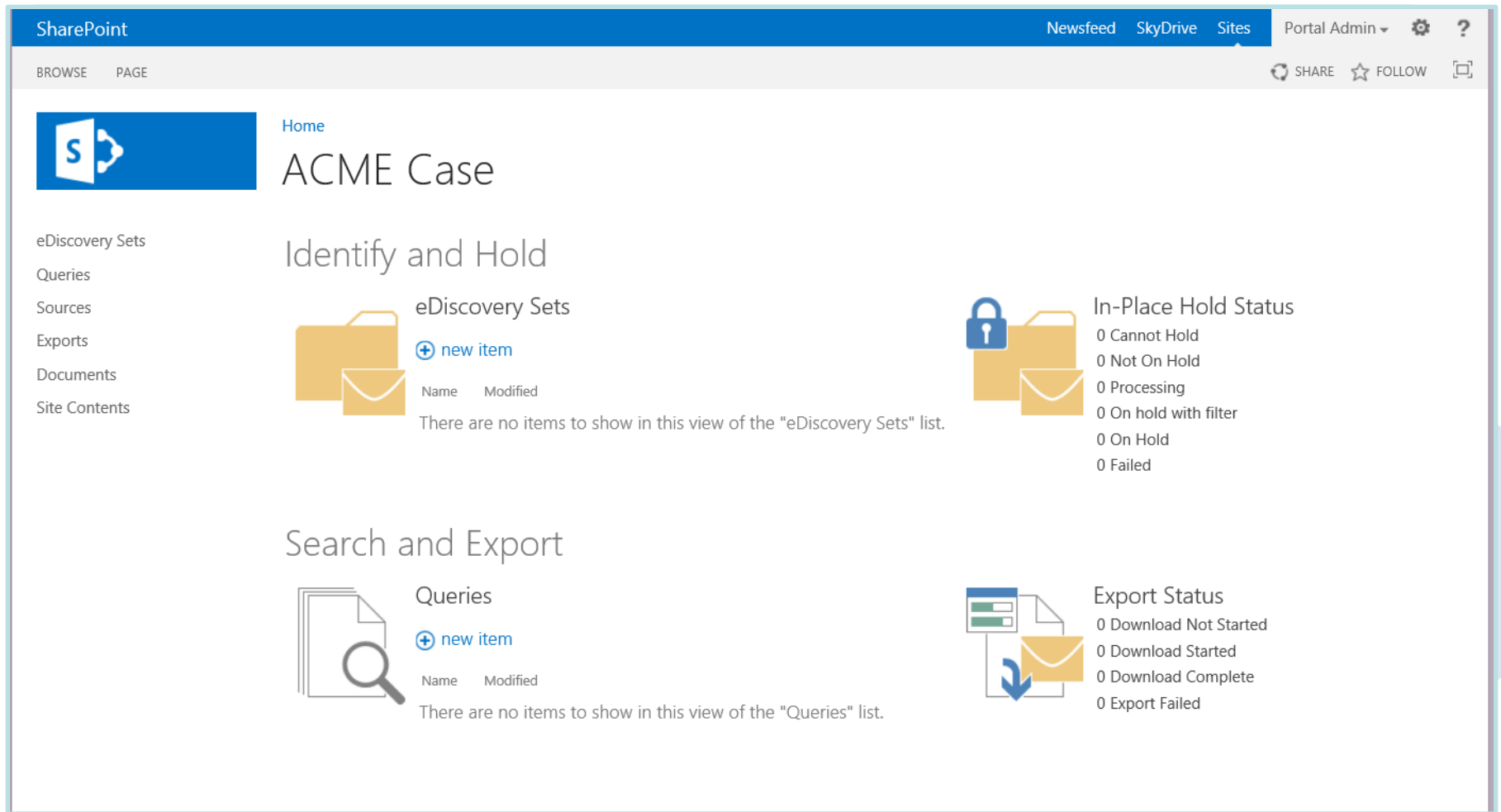
- The eDiscovery Center
 - SharePoint Farms
 - Exchange Server
 - File Shares
- SharePoint and Exchange In-Place Hold
- Export from SharePoint, Exchange and File Shares
- Query-based preservation
- eDiscovery sets
- **Cased Manager**
- **Enterprise-wide access**
- **In-Place Holds**
- **Analytics**

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 in Preservation Hold Library
- Most users without permissions do not see the library
- Copy on writer
- Keeps only the current checked-in or deleted version
- Programming Custom Solutions

eDiscovery Flow





SharePoint Newsfeed SkyDrive Sites Portal Admin

BROWSE PAGE SHARE FOLLOW

Home

ACME Case

eDiscovery Sets

Queries

Sources

Exports

Documents

Site Contents

Identify and Hold

eDiscovery Sets

[+ new item](#)

Name	Modified
There are no items to show in this view of the "eDiscovery Sets" list.	

In-Place Hold Status

- 0 Cannot Hold
- 0 Not On Hold
- 0 Processing
- 0 On hold with filter
- 0 On Hold
- 0 Failed

Search and Export

Queries

[+ new item](#)

Name	Modified
There are no items to show in this view of the "Queries" list.	

Export Status

- 0 Download Not Started
- 0 Download Started
- 0 Download Complete
- 0 Export Failed

eDiscovery New Query Item

Query, New Item

Name:

Query:

Start Date: End Date:

Author/Sender:

Search syntax and tips | Advanced Query Options | Search

Sources: [Activity](#) [Query](#) [Index](#)

Name	Items	Size
Jamison	12	3.09 MB
Total	12	3.09 MB

Query Statistics: + 8095C95 12

Exchange | **SharePoint**

About 12 results

File Extension	Title
<input type="checkbox"/> .xls	8095C95 - Copy (5)
<input type="checkbox"/> .ppt	8095C95 - Copy (4)
Other value	8095C95 - Copy (3)
Apply Clear	8095C95 - Copy (4) - Copy
	8095C95 - Copy - Copy (3)
	8095C95 - Copy - Copy (5)
	8095C95 - Copy (2) - Copy
	8095C95 - Copy (6) - Copy
	8095C95 - Copy - Copy (8)
	Jamison
	8095C95 - Copy - Copy_86409D-C4E7-4C2...
	Defining the Promise of Technology and Imp...

Specify Property ▾

8095C95 - Copy (5)

Microsoft PowerPoint
8095C95 - Copy (5)

Last modified:
Sunday, March 13, 2011

Author:
Paul Demick

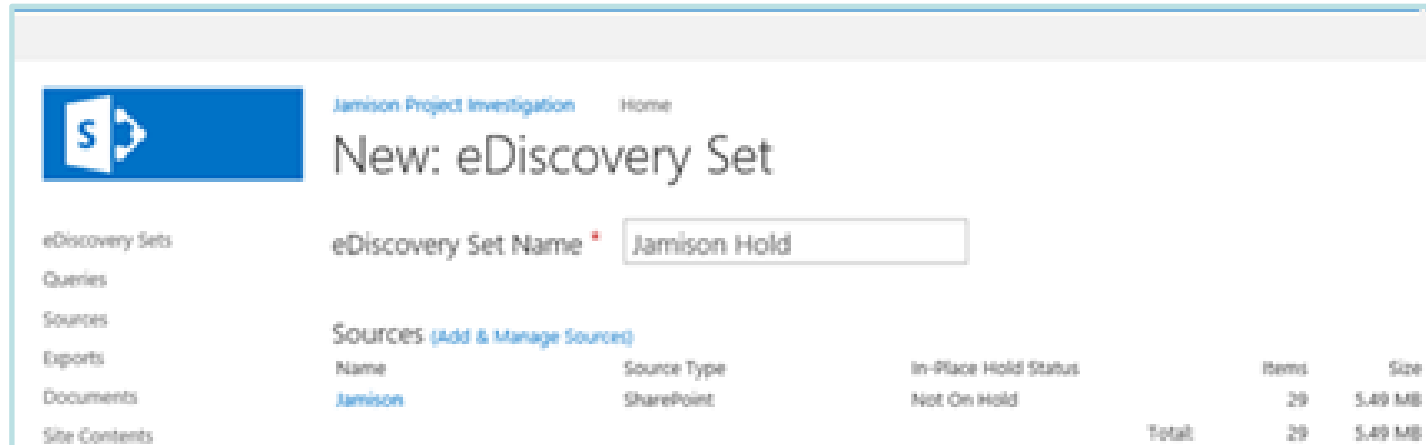
Preview:
Arcovis Formed in 2009, Co-Founded by Microsoft SharePoint MVPs and EAST Certified Engineers, Microsoft GRC Cert...

Author	Modified
Paul Demick	3/13/2011
Paul Demick	12/13/2010
Paul Demick	3/13/2011
Paul Demick	12/9/2010

Export | Save | Close

eDiscovery Set

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



Jamison Project Investigation Home

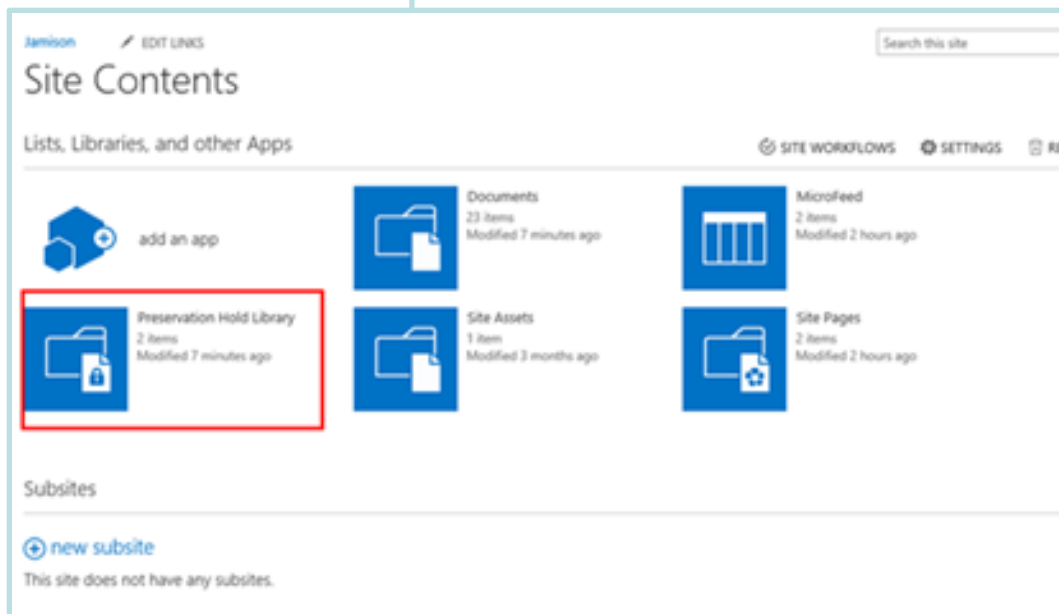
New: eDiscovery Set

eDiscovery Set Name

SOURCES (Add & Manage Sources)

Name	Source Type	In-Place Hold Status	Items	Size
Jamison	SharePoint	Not On Hold	29	5.49 MB
Total			29	5.49 MB

Navigation: eDiscovery Sets, Queries, Sources, Exports, Documents, Site Contents



Jamison EDIT LINKS

Site Contents

Lists, Libraries, and other Apps

add an app

- Documents**
23 items
Modified 7 minutes ago
- Microfeed**
2 items
Modified 2 hours ago
- Site Assets**
1 item
Modified 3 months ago
- Site Pages**
2 items
Modified 2 hours ago

Preservation Hold Library
2 items
Modified 7 minutes ago

Subsites

[new subsite](#)
This site does not have any subsites.

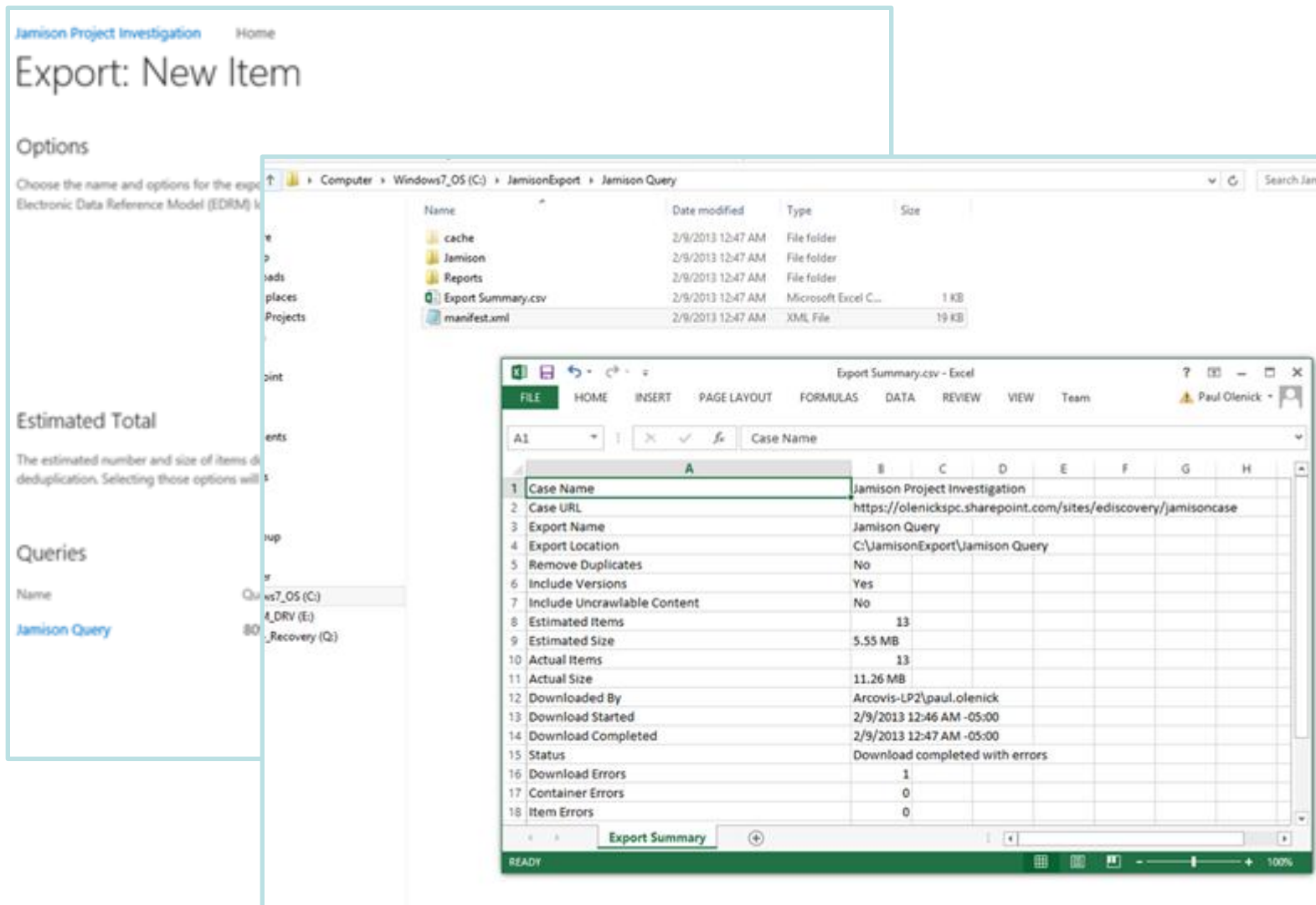
Start Date: End Date:

Author/Sender:

Domain (Exchange only):

Enable In-Place Hold
 Disable In-Place Hold

eDiscovery Export



The screenshot displays the 'Export: New Item' web interface on the left and a Windows Explorer window on the right. The Explorer window shows a folder named 'JamisonExport' containing an 'Export Summary.csv' file. The Excel spreadsheet provides a detailed summary of the export process.

Case Name	Jamison Project Investigation
Case URL	https://olenickspc.sharepoint.com/sites/ediscovery/jamisoncase
Export Name	Jamison Query
Export Location	C:\JamisonExport\Jamison Query
Remove Duplicates	No
Include Versions	Yes
Include Uncrawlable Content	No
Estimated Items	13
Estimated Size	5.55 MB
Actual Items	13
Actual Size	11.26 MB
Downloaded By	Arcovis-LP2\paul.olenick
Download Started	2/9/2013 12:46 AM -05:00
Download Completed	2/9/2013 12:47 AM -05:00
Status	Download completed with errors
Download Errors	1
Container Errors	0
Item Errors	0

Products

- Gimmel
- Collabware
- RecordPoint



Business Use Cases

- Compliance
- Legal Requirements
-



Q&A

