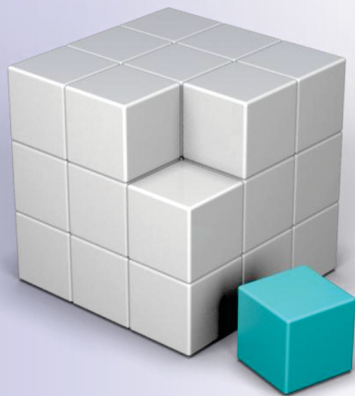ACA@UBC presents
5th International Symposium
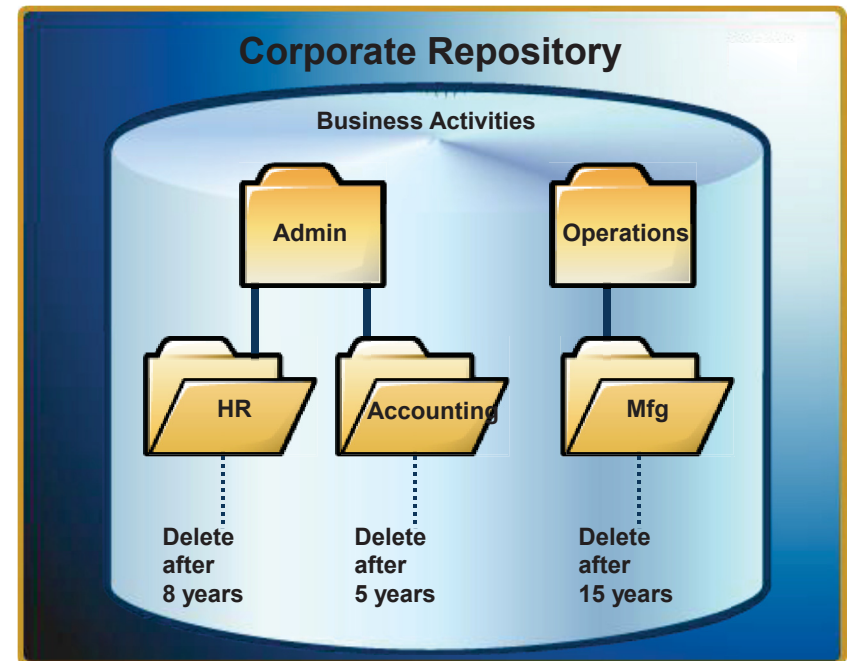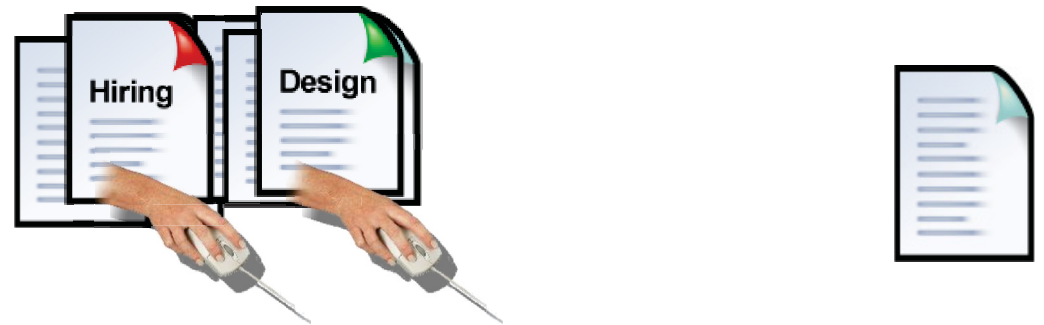
"We shape our tools, and our tools shape us"

Recordkeeping for SharePoint

The Goal of Recordkeeping

1. We organize our company into **business activities**

2. We assign official **retention policies** to business activities.

3. We must somehow **match** documents to business activities *correctly*.

Corporate Repository

Business Activities

Admin   Operations

HR   Accounting   Mfg

Delete after 8 years   Delete after 5 years   Delete after 15 years

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SharePoint
Recordkeeping Features

- Records in Place
- Information Management Policies
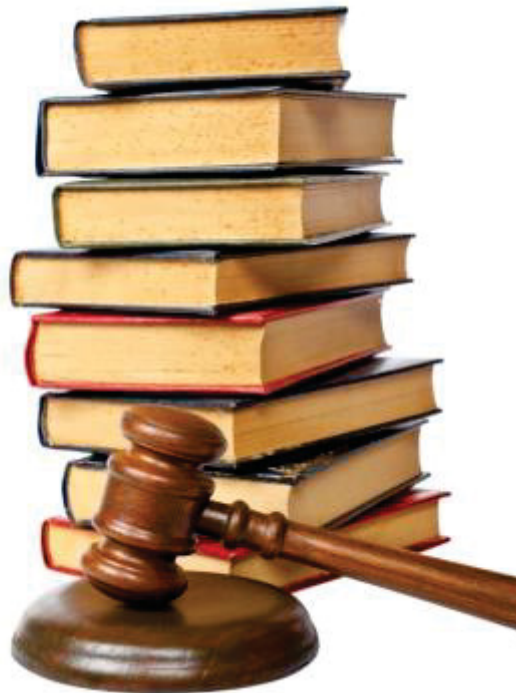- Retention Periods
- Records Centre
- Declare
- Taxonomies

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SharePoint has Recordkeeping
So – What's the Problem?

Legal Defensibility

We Need to Answer

1. What are the Requirements?

2. What are the Deficiencies?

3. How to Overcome the Deficiencies?

Recordkeeping for SharePoint 2010

WHAT ARE THE REQUIREMENTS?

US DoD 5015.2
http://jitc.fhu.disa.mil/recmgt/

- Structured, hierarchical **file plan**
- Time, **Event**, Event-Time retention rules
- Specified metadata for each declared record
- **Access** Control
- Basic **Declaration** and Classification capabilities
- Declaration of **email** message
  - Message only, attachment only, both
- Records **Scheduling** (screening)
- Delete or Transfer for final disposition
- **Non-recoverable destruction**
- **Vital** Records capabilities
- Selectable Audit capabilities

- Chapter 4 (Optional) Classified Records
  - Metadata field-level access
  - Specified allowable user access
  - Classification Up/Down-grade

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5015 Certification Program

- Based out of Fort Huachuca, AZ
- Cost $30,000+ per certification
- Mandatory for US/State Govt sales
  - DeFacto for Corporate America
- Dedicated, staffed office of 6 people
- Rigorous, repeatable, proven

JITC

HOME | TESTING | ORGANIZATION | PROJECTS | CONTACT INFO | VISITOR INFO | PAO

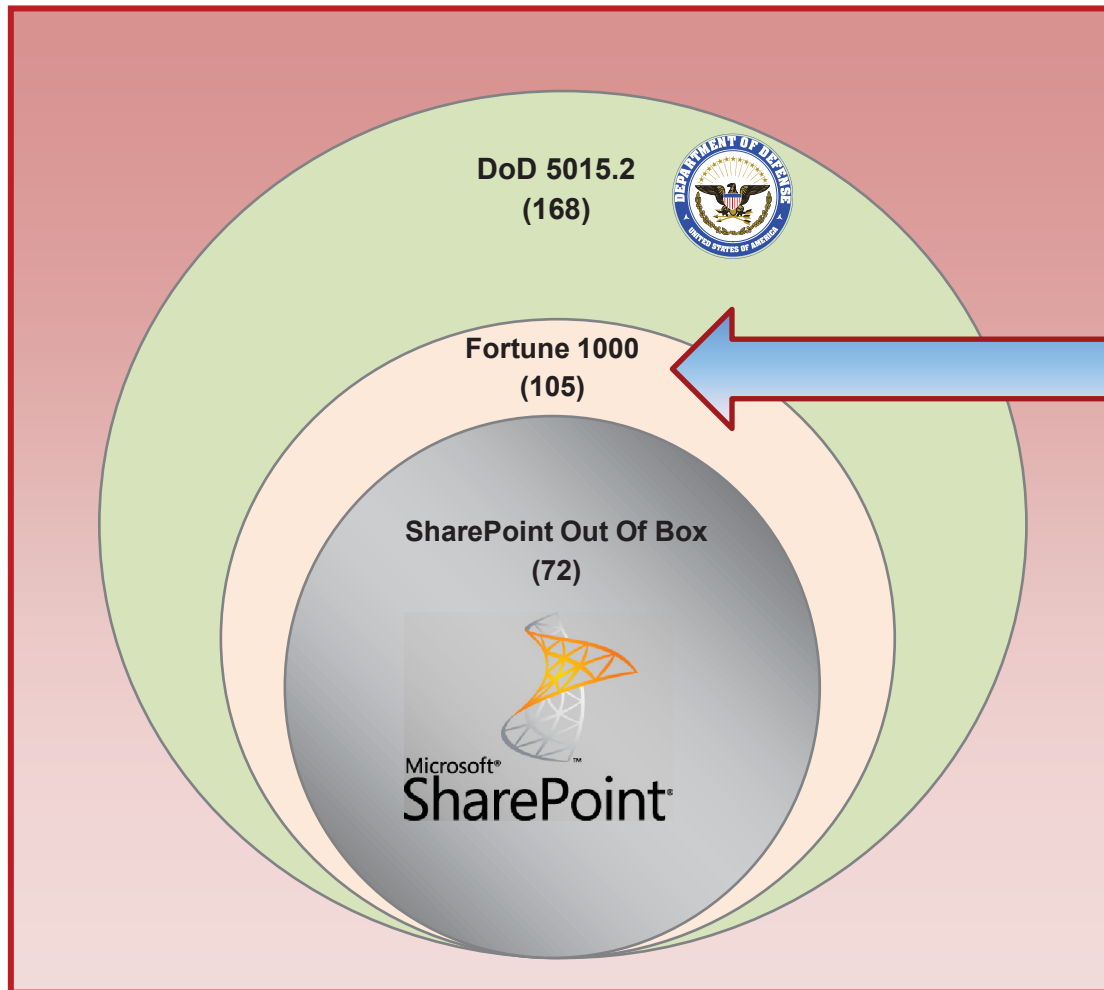Experts in Testing and Certification Accelerating the Nations IT Dominance

JITC professionally tests, operationally evaluates, and certifies IT capabilities for joint inter-operability, enabling information dominance and increasing warfighter effectiveness for the Nation

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Recordkeeping Requirements
33 Deficiencies

Target Recordkeeping Capability

For Details;

www.rimtech.ca

DoD 5015.2
(168)

Fortune 1000
(105)

SharePoint Out Of Box
(72)

Microsoft®
SharePoint®

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Summary of (33) Needed Capabilities

1) → **Case file handling.** You need proper handling of case file types. Each category in the file plan is a *Case* (person, place, event, or thing), or a *Subject* (ongoing activity). The product does not appropriately apply disposition to records classified against a category of type *Case*. ¶

2) → **File Plan Structure.** You need a hierarchical, enumerated and ordered file plan/retention schedule that can be managed independently of the records.¶

3) → **Expunge.** You need to destroy eligible records such that they cannot possibly be reconstructed within the system.¶

4) → **Container (Folder) structure.** You require the concept of a "container" to contain physical records or groups of electronic records, such as a set of records within a case file.¶

5) → **Formal Disposition.** You require a formal 3-stage process to destroy records (qualify, review, dispose), and cannot tolerate the product destroying records on its own without a formal review.¶

6) → **Transfer.** For some records, you need to move them to another location or state, before the end of their life. Or, move them to another organization at the end of their retention period.¶

7) → **Basic Cutoff.** You need to determine destruction eligibility dates based on dates other than the triggering event date, such as end of calendar year.¶

8) → **Email Integration.** You need a means whereby users can easily declare email from within Microsoft OutLook (or similar email client).¶

9) → **Classification Accuracy Measurement.** You need a way to measure and track the classification accuracy of all declared records. RIMtech deems this to be essential. ¶

10) + **Records Security Model.** You need access control of declared records to act independently of the document security within the product. ¶

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Recordkeeping for SharePoint 2010

WHAT ARE THE DEFICIENCIES?

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(3) Major Structural Deficiencies

1. **File Plan**

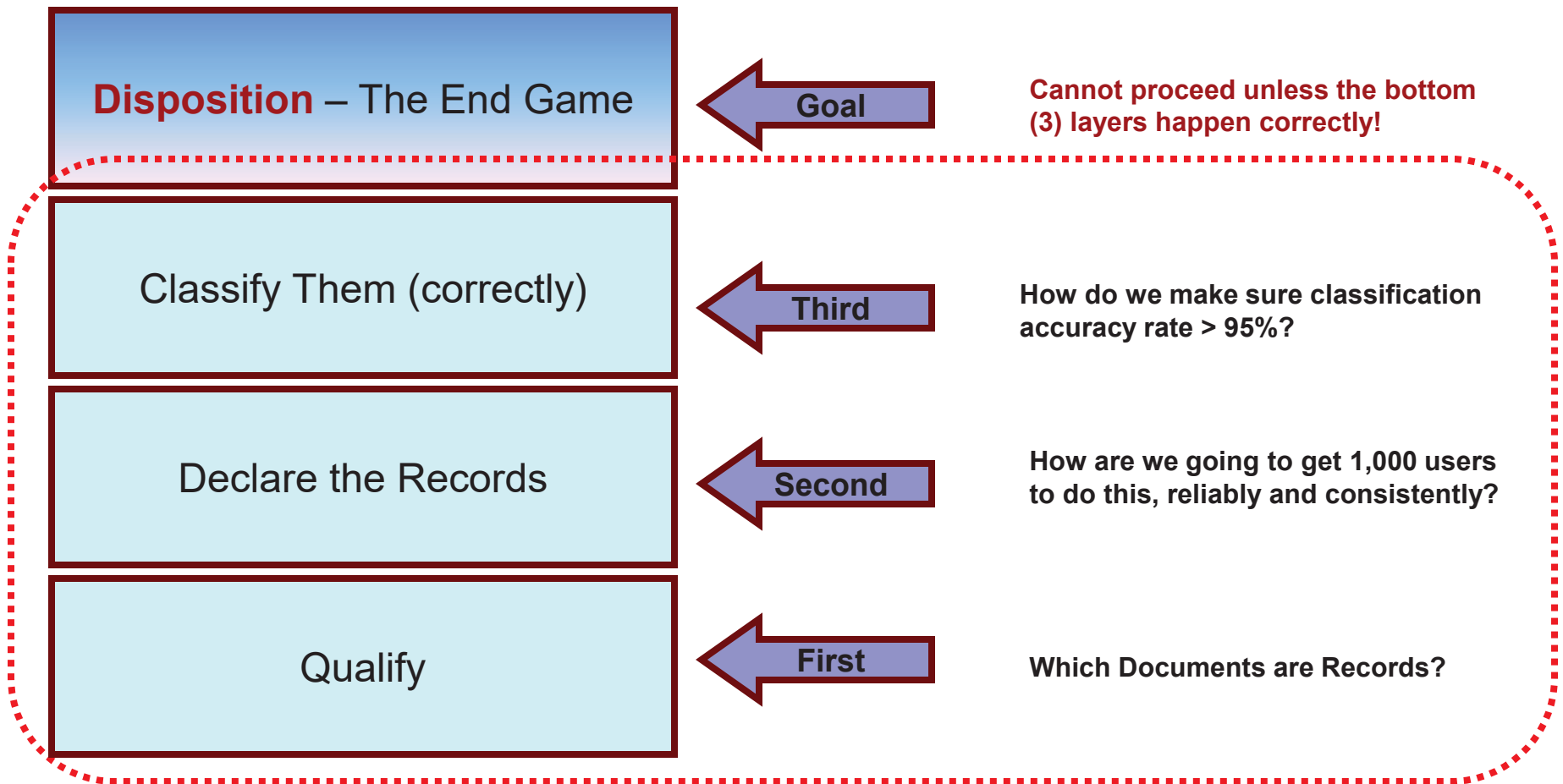   ☐ Organize/manage records by business activity

2. **Case Files**

   ☐ (2) types of records!

3. **Disposition**

   ☐ Delete the right records at the right time

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Reaching the Goal
Disposition

Disposition – The End Game	← Goal	**Cannot proceed unless the bottom (3) layers happen correctly!**
Classify Them (correctly)	← Third	**How do we make sure classification accuracy rate > 95%?**
Declare the Records	← Second	**How are we going to get 1,000 users to do this, reliably and consistently?**
Qualify	← First	**Which Documents are Records?**

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Recordkeeping Deficiency 1

FILE PLAN

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Classification

Classification

File Plan

Safety

Inspections

Incidents

Finance

Budgets

Audits

Travel

Requests

Reports

Retention Schedule

| Retention Rule 1 |
| Retention Rule 2 |
| Retention Rule 3 |
| Retention Rule 4 |
| Retention Rule 5 |
| Retention Rule 6 |
| Retention Rule 7 |
| Retention Rule 8 |
| Retention Rule 9 |
| Retention Rule 10 |
| Retention Rule 11 |
| Retention Rule 12 |

Safety Inspections — Doc 1 — Rule 1

Safety Policy — Doc 2 — Rule 3

Safety Inspections — Doc 3 — Rule 1

Budgets — Doc 4 — Rule 5

Travel Reports — Doc 5 — Rule 8

Travel Policy — Doc 6 — Rule 8
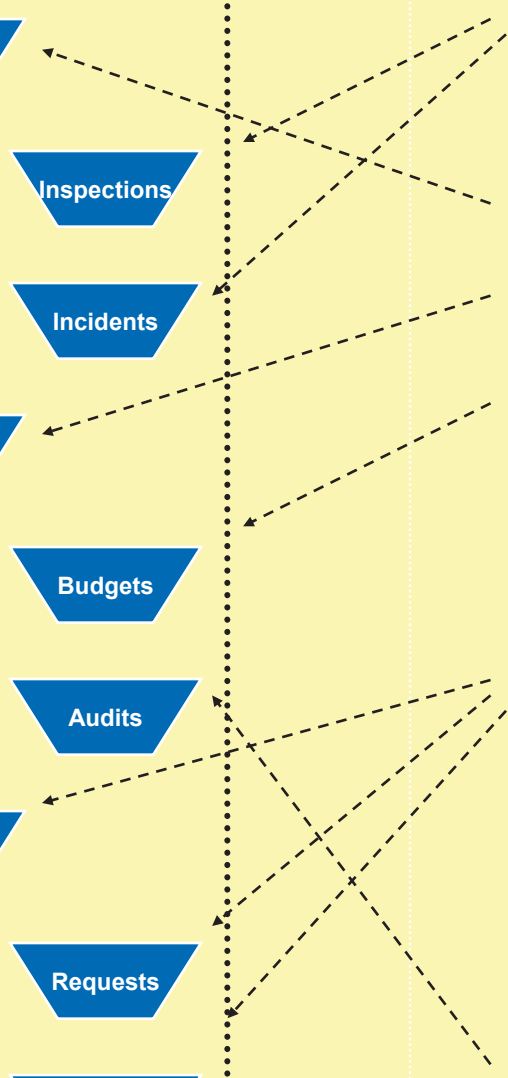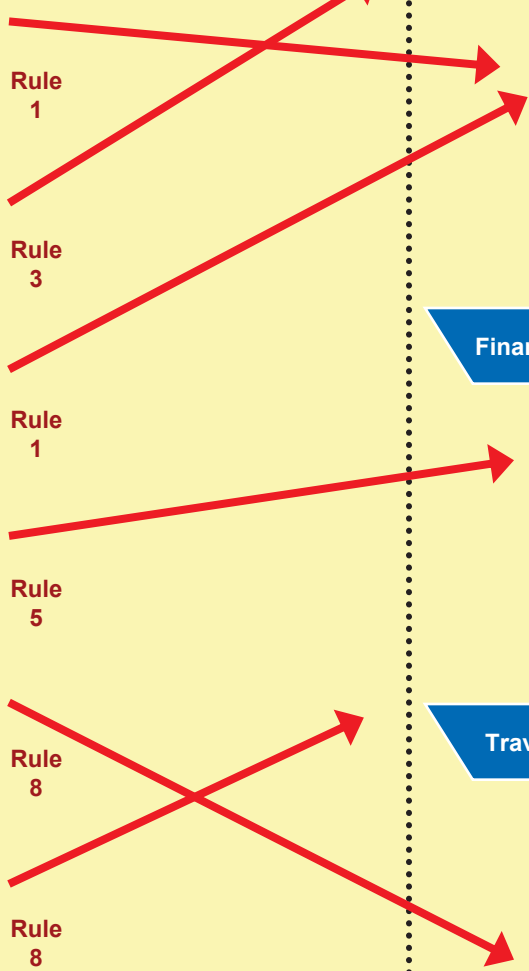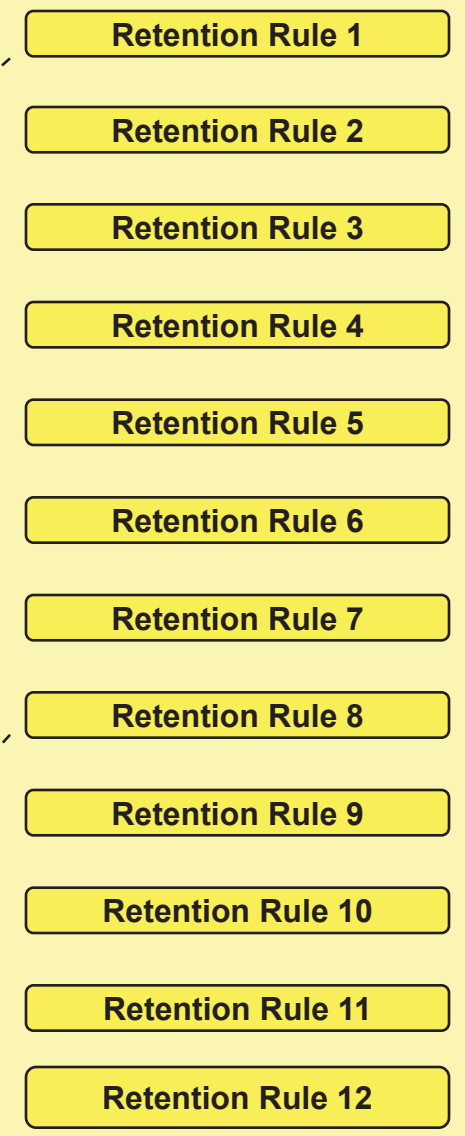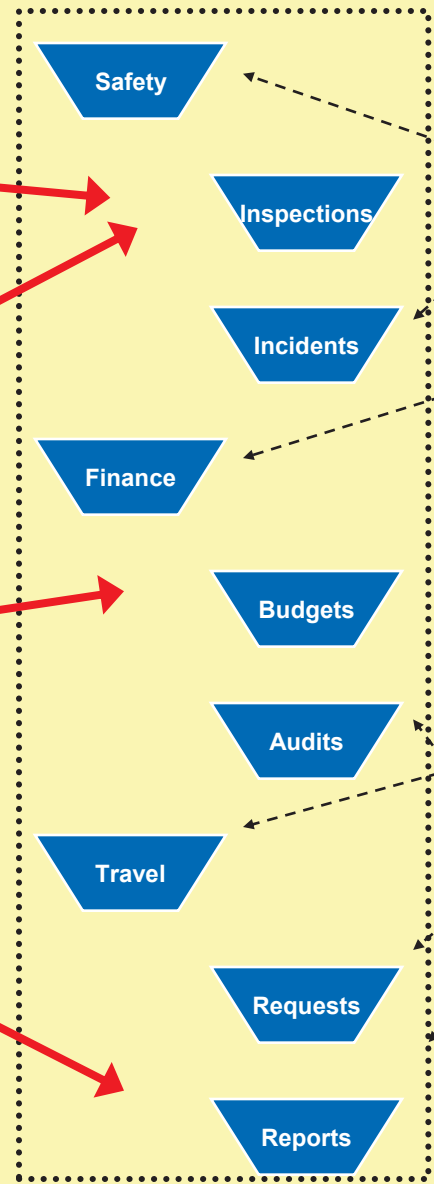
File Plan Fragment

Title			Description	File Number	Retention	Disp.
Primary	**Secondary**	**Tertiary**				
Administration 02	Travel 10		Travel application forms, approvals, Policies	02-10	2 years	Destroy
	Insurance 20		Insurance coverage, policies, renewals	02-20	7 years	Destroy
Human Resources 03	Employees 10	Smith, J 707	Employee files including offer letters, contracts, disciplinary records, promotions, etc.	03-10-707	2 years after termination of employment	Destroy
		Rubble, B 909	Employee files including offer letters, contracts, disciplinary records, promotions, etc.	03-10-909	2 years after termination of employment	Destroy
	Policies 20		General policies on employment and workplace safety, business conduct, etc. Drafts and approved copies	03-20	2 years or until superceded	Destroy
Finance 04	Accounts Receivable 10		Accounts Receivable	04-10	7 years	Destroy
	Account Payable 20		Accounts Payable	04-20	7 years	Destroy
	Budgeting 30		Budget preparation, proposed and approved budgets for current year	04-30	5 years	Destroy
	Reporting 40		Reporting obligations such as SOX, Environment Ministry, etc.	04-40	3 years after fiscal year ends	Destroy
	Contracts 50	Safe-Tee Security	Drafts and Master contracts, Negotiations, Cancellations and terminations to all contracts	04-50-1	2 years after contract end	Destroy
		Tasty Catering	Drafts and Master contracts, Negotiations, Cancellations and terminations to all contracts	04-50-2	2 years after contract end	Destroy
		Lovely Landscaping	Drafts and Master contracts, Negotiations, Cancellations and terminations to all contracts	04-50-3	2 years after contract end	Destroy
	Tax 60	Return 2008	Tax Return 2008, inc. challenges, supplementary supporting documents, notices of assessments, etc.	04-60-2008	7 years after receipt of Assessment	Destroy
		Return 2009	Tax Return 2008, inc. challenges, supplementary supporting documents, notices of assessments, etc.	04-60-2009	7 years after receipt of Assessment	Destroy

Subject Files
Case Files

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Classification Errors

- Errors Rapidly Accumulate!
- No way to correct
- **MUST** maintain accuracy above acceptable threshold

Cumulative Effect of Classification Errors				
Day	**Declared Records**	**Accuracy %**	**Classifications**	
			Right	**Wrong**
Mon	5,000	70%	3,500	1,500
Tue	5,000	80%	4,000	1,000
Wed	5,000	60%	3,000	2,000
Thu	5,000	70%	3,500	1,500
Fri	5,000	75%	3,750	1,250
Cumulative Total			**17,750**	**7,250**

Subject (Non-Case) Files/Categories

- Ongoing business activity
- Frequently administrative activities
- Disposition triggered by document AGE
  - Delete the older, leave newer behind
  - Applied to individual records
- Examples
  - Travel Requests
  - Training

Effect of Classification Accuracy
On Legally Defensible Disposition

Disposition Confidence

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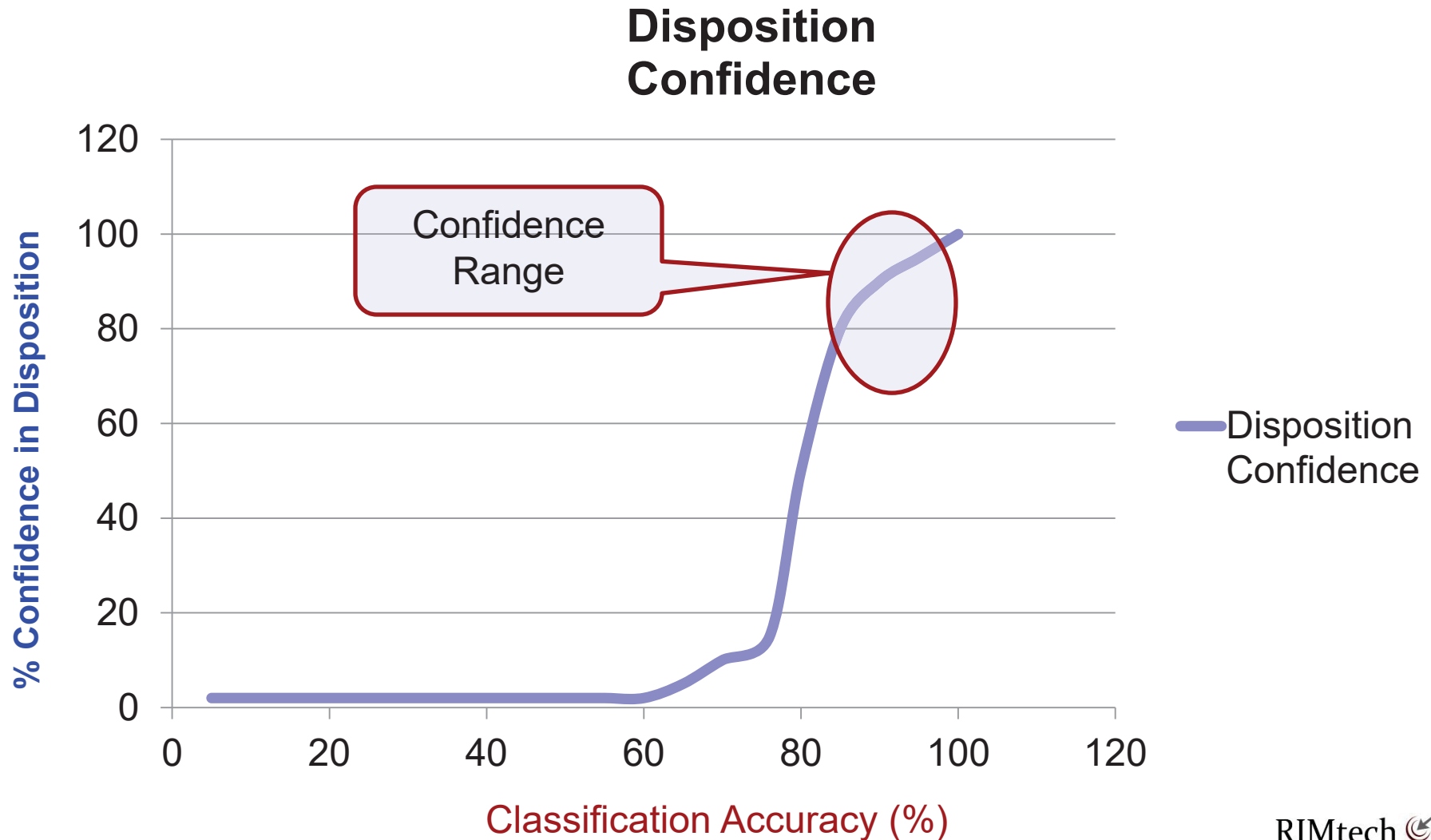
EDRMS Metric Measurement 3
Classification Accuracy Rate

- % of each 100 declared records known to be **correctly** classified

- Measured in EDRMS
  - Via statistical sampling

- Typical Target = 85%

CLASSIFICATION ACCURACY RATE %
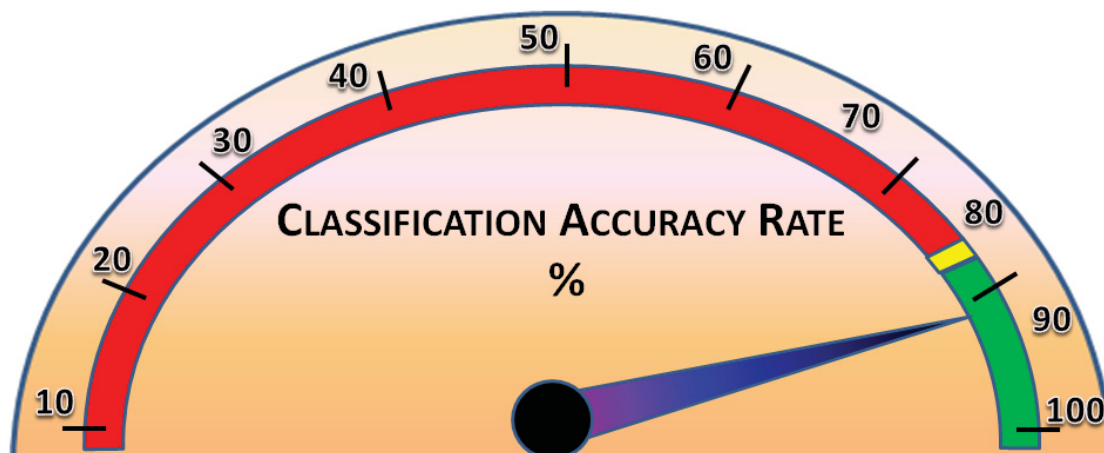
- **1,000 declared docs**
- **10 Sampled**
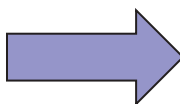
→ **7 Right 3 Wrong** = 70%
Classification Accuracy Rate

= **300 Mistakes!**

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Recordkeeping Deficiency 2

CASE FILES

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Case File/Category

- *Person*, *place*, *event*, *project* or *thing*
- All records to be kept together (case)
- Disposition triggered by an event date
  - e.g. Date of contract end
  - e.g. Employment end, etc.
  - Applied to an entire file/category
- Disposition destroys ALL at once
- Examples
  - Employment Files
  - Insurance Claims
  - Contracts

Over HALF of all Records!!

Case Vs Subject

Subject File

Travel Requests
Delete After 4 years

Case File

Contract / Safe -Tee
Delete 2 years after contract end

File Plan Fragment

Primary	Title Secondary	Tertiary	Description	File Number	Retention	Disp.
Administration 02	Travel 10		Travel application forms, approvals, Policies	02-10	2 years	Destroy
	Insurance 20		Insurance coverage, policies, renewals	02-20	7 years	Destroy
Human Resources 03	Employees 10	Smith, J 707	Employee files including offer letters, contracts, disciplinary records, promotions, etc.	03-10-707	2 years after termination of employment	Destroy
		Rubble, B 909	Employee files including offer letters, contracts, disciplinary records, promotions, etc.	03-10-909	2 years after termination of employment	Destroy
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		Lovely Landscaping	Drafts and Master contracts, Negotiations, Cancellations and terminations to all contracts	04-50-3	2 years after contract end	Destroy
	Tax 60	Return 2008	Tax Return 2008, inc. challenges, supplementary supporting documents, notices of assessments, etc.	04-60-2008	7 years after receipt of Assessment	Destroy
		Return 2009	Tax Return 2008, inc. challenges, supplementary supporting documents, notices of assessments, etc.	04-60-2009	7 years after receipt of Assessment	Destroy

| | | Subject Files |
| | | Case Files |

Site: Finance

Folder: *Contracts*

Site: Engineering

Folder: *Equipment*

Site: Administration

Folder: *Safe-Tee*

Site: Human Resources

Folder: *Complaints*

Contract end
+
2 years
Then
Destroy

Finance/Contracts/SafeTee-Security
04-50-1

Implications of Case Files

- Case Files must be created as they occur
  - New claims, new employees, new contracts
  - No way to classify against them otherwise
- Classification must present all case file to users at declaration time
- Affects Repository structure/governance
  - Do not mix up case vs subject records
  - Could create downstream disposition problems

The Deficiency
Policy vs. Retention Rule

SharePoint **IMP**
(**I**nformation **M**anagement **P**olicy)   **=**   **Retention Rule**

| IMP | 2 yrs | Dest | ✓ |

| IMP | 2 yrs | Dest | ✓ |

| IMP | 2 yrs | Dest | ✓ |

| IMP | 2 yrs | Dest | ✓ |

| IMP | 2 yrs | Dest | ✓ |

| IMP | 2 yrs | Dest | ✓ |

| IMP | 2 yrs | Dest | ✓ |

| IMP | 2 yrs | Dest | ✓ |

**SharePoint
Out of Box**
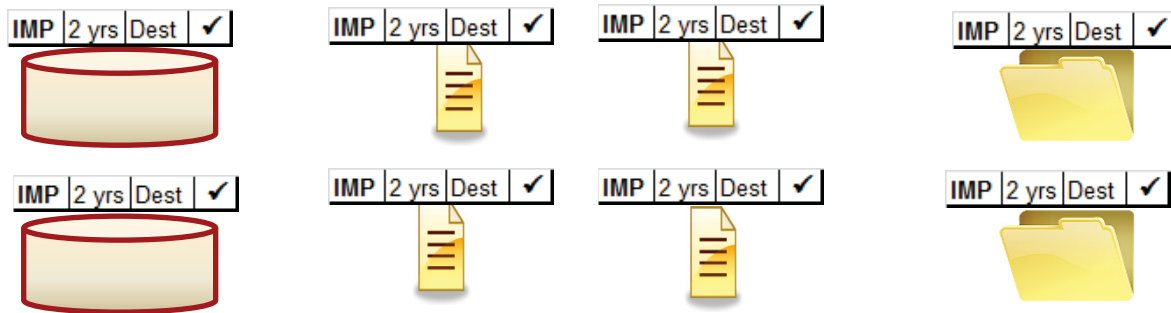
File Plan

Category 1	2 yrs	Dest	✓
Category 2	5 yrs	Dest	✓
Category 3	7 Yrs	TX	✓
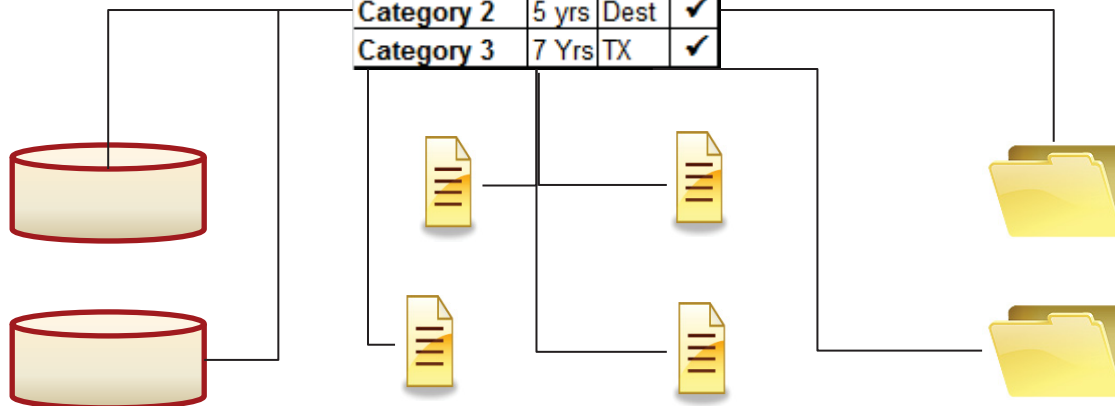
Central File Plan

Content Type Concept

Content Type
Contracts
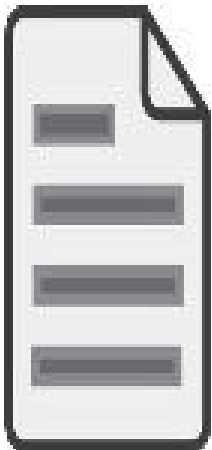
Metadata
Date
Author
Subject
Project
Security
Contractor
Start Date
End Date

Content Type
Travel

Metadata
Date
Author
Subject
Project
Security
Airline
Depart Date
Ticket #

- **"Column" = Metadata Field**
- **All Documents MUST have a Document Type**
- **Determines document's Metadata fields**
- **Doc Type = a (Mandatory) Metadata Field**

Classification Via
Document/Content Type

Site Content Types Gallery

Book Content Type

Report Content Type

Books

Books & Reports

Reports

Category 2-2-2

Category 3-3-3

Category 4-4-4
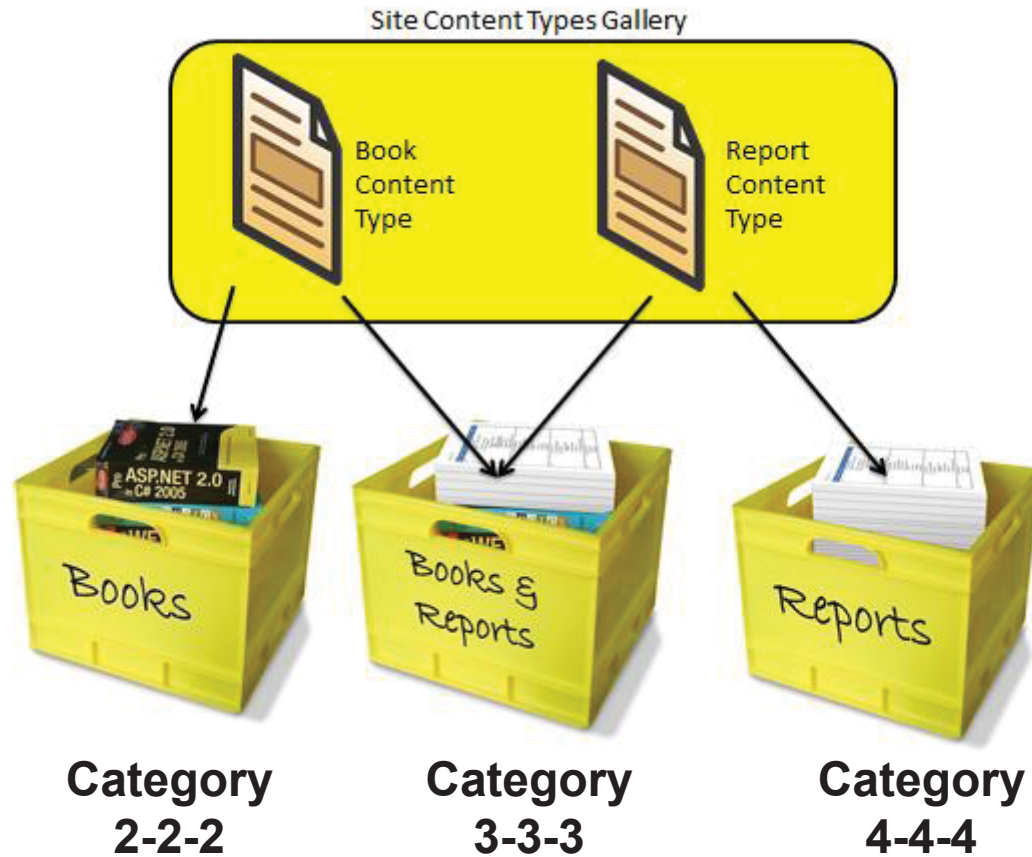
Document Type = Content Type (SharePoint)

Classification via Document Type
Fails for Case Records

- Would require 1 Document Type per Case
  - ☐ All cases are different (unique event date to trigger disposition)
- One Document Type for all employees, contracts etc. = Too Many!!!!!
  - ☐ 10,000+ document types?

Another Method Needed!!

Classifying a Case Record
Example 1

Document Type
Contract Review
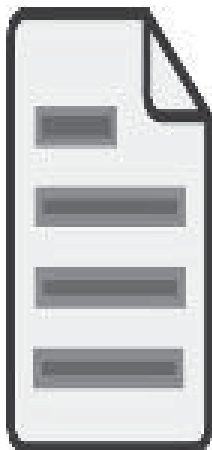
Metadata
Date
Author
Subject
Project
Security
Contractor
Start Date
End Date

Safe-Tee Security
Tasty Catering
Lovely Landscaping

- **Document Type = Business Activity**
- **Metadata Field dedicated to specifying individual Case**
- **Drop-down selection of case**
- **Case field = mandatory**

Classifying a Case Record
Example 2

Document Type
Performance Review
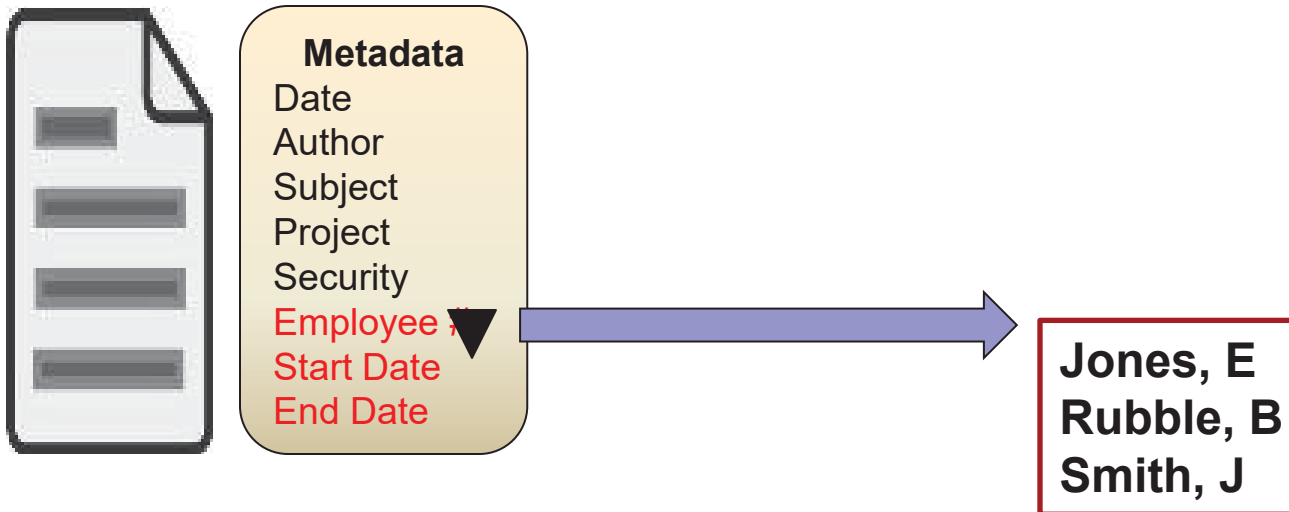
Metadata
Date
Author
Subject
Project
Security
Employee
Start Date
End Date

Jones, E
Rubble, B
Smith, J

- **Document Type = Business Activity**
- **Metadata Field dedicated to specifying individual Case**
- **Drop-down selection of case**
- **Case field = mandatory**

ARMA INTERNATIONAL

Declare a Document in SharePoint

Recordkeeping Deficiency 3

DISPOSITION

Deletion vs Disposition

Deletion

- Machine-Driven
- Everything assumed to be perfect
- Document-Level Disposition (Subject Files) only
- Initiation by machine

FOR NON-RECORDS

Disposition

- Process-Driven
- Human Oversight Assumed
- Case + Subject Files
- Initiation by People

FOR RECORDS

Disposition is a Process

- **Stage 1 – Qualify (1M records+)**
  - ☐ Which records are about to be deleted?
- **Stage 2 – Review (30-90 days)**
  - ☐ Are they all OK?
- **Stage 3 – Destroy (non-recoverable)**
  - ☐ Delete and Record Audit

Recordkeeping for SharePoint 2010

HOW TO OVERCOME THE DEFICIENCIES??

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Recordkeeping for SharePoint 2010
3 Options

Out-of-Box	Customize	3rd-Party Plug-in
Informal	**Formal**	**US DoD 5015.2**
No Structured File Plan	Hierarchical, Structured File Plan	Hierarchical, Structured File Plan
Informal Machine-Driven Records Deletion	Formal human-driven Disposition	Formal human-driven Disposition
No comprehensive mechanism for Case Files	Case File Handling	Case File Handling
Simple Lifecycle	Basic LifeCycle Cut-Off	Advanced LifeCycle Cut-Off
No Email Integration	Email Integration	Email Integration
	Basic Bulk Updater	Advanced Bulk Updater
	Classification Review Tool	Open/Close Records Folders
		Vital Records
		Physical Records Management
		Record Linking
		System to System Transfer

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Option – Customize
(Do It Yourself)

The Recipe

- Effort **90-120** Person-Days
- Achieve **F1000** level
  - ☐ From 72 – 105 capabilities
- **Not** to Government of Canada Level!

ORANGU TECH

**Implemented
(to unknown Degree)**
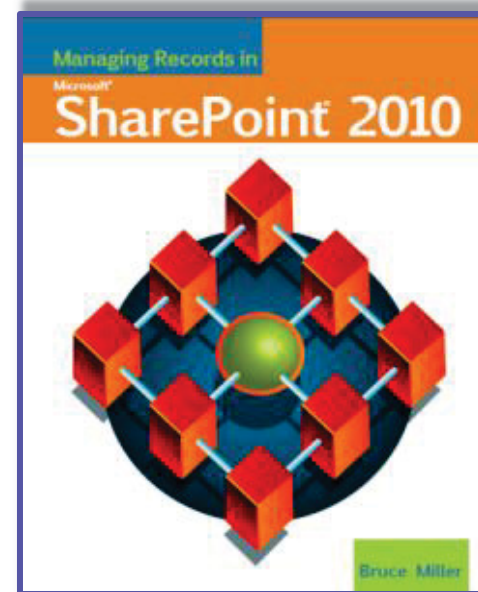
**Buy at ARMA Online Bookstore
www.arma.org**

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Create the File Plan
As a Folder Structure
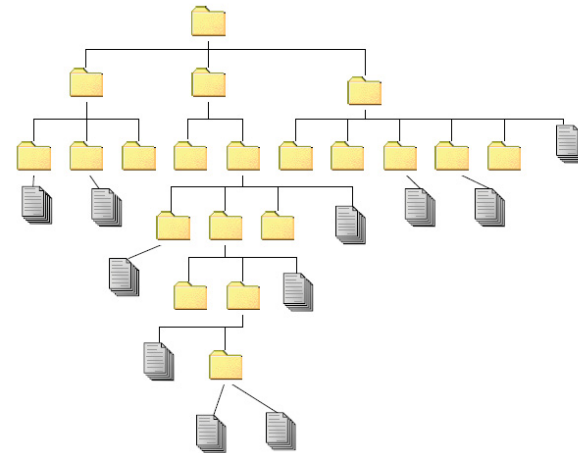
Rules

1	Only the Records Manager (RM) can create and maintain the file plan.
2	It has to be hierarchical in nature, with properties inheriting down from parent nodes (categories) to child categories.
3	All users must be able to browse it to select the appropriate category when declaring a document into SharePoint.
4	There must be a means of adding new case files to the file plan on a daily basis, as new business activities are initiated (e.g. hiring a new contractor). This will typically be done by designated authorized users within individual departments.
5	No orphan folders permitted.
6	The values of retention rule fields (*Retention Period, Retention Unit, Cutoff, Cutoff Unit, Disposition, Archival Review*) can change at any point in the hierarchy. If changed, child folders are to inherit the changed values.

File Plan Folder Metadata

Minimum Metadata Fields			
Name	**Man/Opt**	**Details**	**Notes**
File Plan Folders			
Category Number	M	72 characters, alphanumeric	Unique Number or Identifier, e.g.04-50-1
Title	M	Alphanumeric, 72 characters	Unique Number or Identifier, i.e. *A* for Administrative or *01* for Policy
Description	M	1000 characters	Scope Notes. Detailed description of what is to be filed in this Category
Type	M	C (Case) or S (Subject)	
OPR	M	Select from pre-defined values	Office of Primary Responsibility
Citations	O	Alphanumeric, 1000 characters	List of citations used
Retention Period	M	numeric nnn	
Retention Unit	M	days, months, years	Unit of measure of retention period
Cutoff	M	Yes or No	Cutoff being applied?
Cutoff Unit	O	Semiannual, Quarterly, Monthy, Annual	
Disposition	M	(D)estroy, (T)ransfer, (U)nknown	Default = D
Archival Review	M	Yes or No	This category must be reviewed by Archivist before disposition allowed. Default = No
All Folders			
Record Folder	M	(Y)es or (N)o	Identifies if the folder is a CASE Folder for storage of case records, or not.
Category	M	Category Number	Unique Number or Identifier, e.g.04-50-1

File Plan Extension

RM only

RM Only

Department Designates
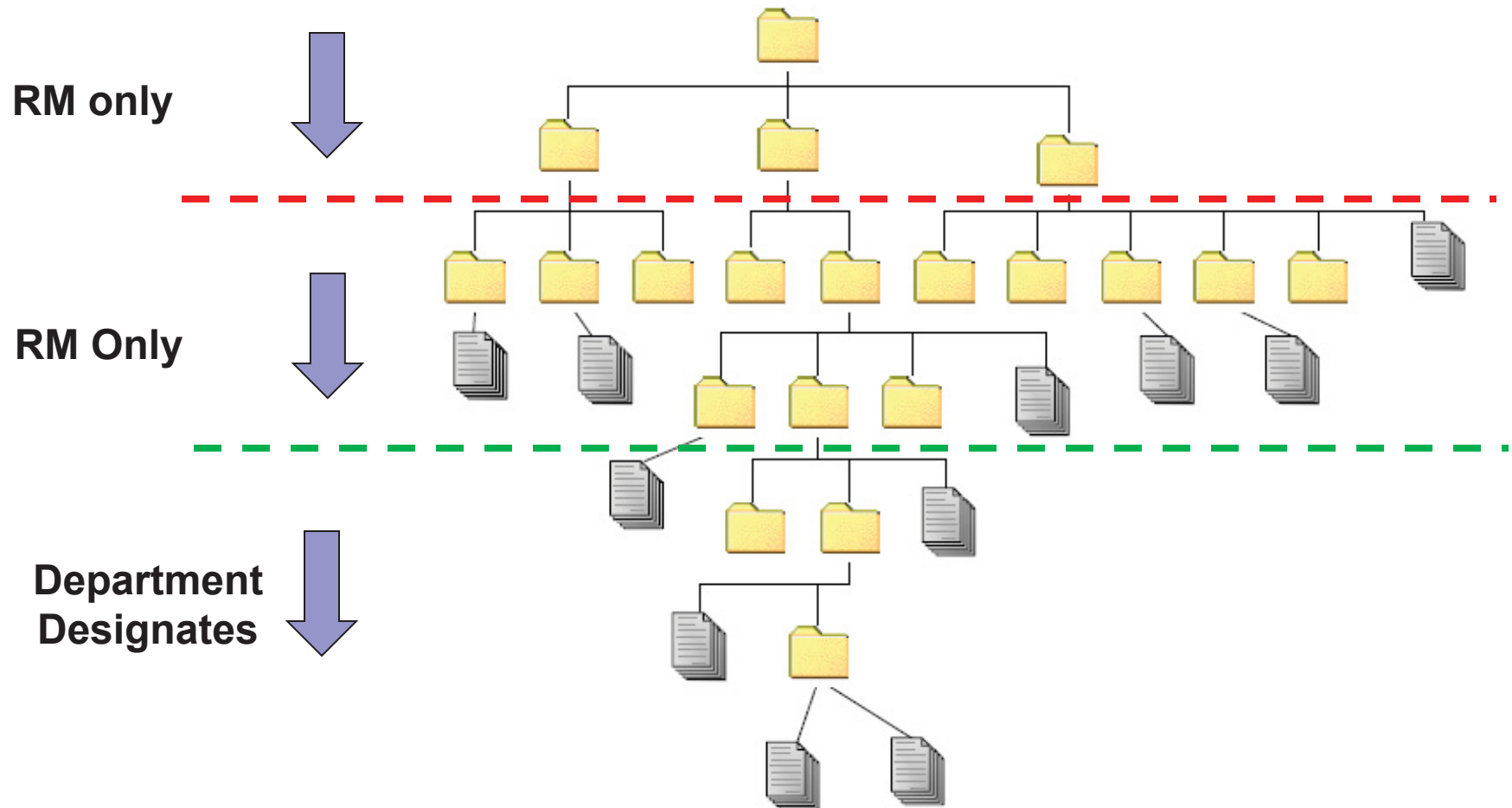
File Plan Extension (FPE)
For Case Files

- **Utility Module**
  - ☐ For RM and Department Designates
  - ☐ Adds new case files

Rules

1	Allows creation of new categories at tertiary-only level
2	New case categories inherit the properties of the parent folder
3	Available only to users who have been granted explicit access to the module
4	Enforces that all Category Number fields are unique.
5	Recommended configuration capability for this module:
	User Account Name
	Allow creation under specified secondary categories <Category L1/L2>, <Category L1/L3>, etc.
	Mask for data structure enforcement on category number, .e.g. aaa-###

Event Dates List

Rules

1	Add new Event Date
2	Edit Existing Entry
3	Only allow a new entry for a valid Category`s number
4	No duplicates permitted
5	RM Access only

Minimum Mandatory Data

Category	Category Number	Date	Retention Period	Unit	Disp.	Rule
Smith, J, Employee	03-10-707		2	Year	D	2 years after termination of employment
Rubble, B, Employee	03-10-909	13/10/2008	2	Year	D	2 years after termination of employment
Policies, Employment	03-20		2	Year	D	2 years or until superceded
Reporting, Finance	04-40		3	Year	D	3 years after fiscal year ends
Safe-Tee Security, Contracts, Finance	04-50-1		2	Year	D	2 years after contract end
Tasty Catering, Contracts, Finance	04-50-2		2	Year	D	2 years after contract end
Lovely Landscaping, Contracts, Finance	04-50-3	12/11/2006	2	Year	D	2 years after contract end
Tax Return 2008	04-60-2008		7	Year	D	2 years after receipt of assessment
Tax Return 2009	04-60-2009		7	Year	D	2 years after receipt of assessment

SharePoint (Working) Folder Structure

- All folders must have a **Category** field
- Three Rules for ALL folders
  1. Either a *Record* or *Non-Record* folder
  2. If a Record Folder, must have an assigned Category
  3. If a record folder, only documents of same subject (category) must be stored within it

Declaration = Q + C + M

Qualify/Classify/Metadata
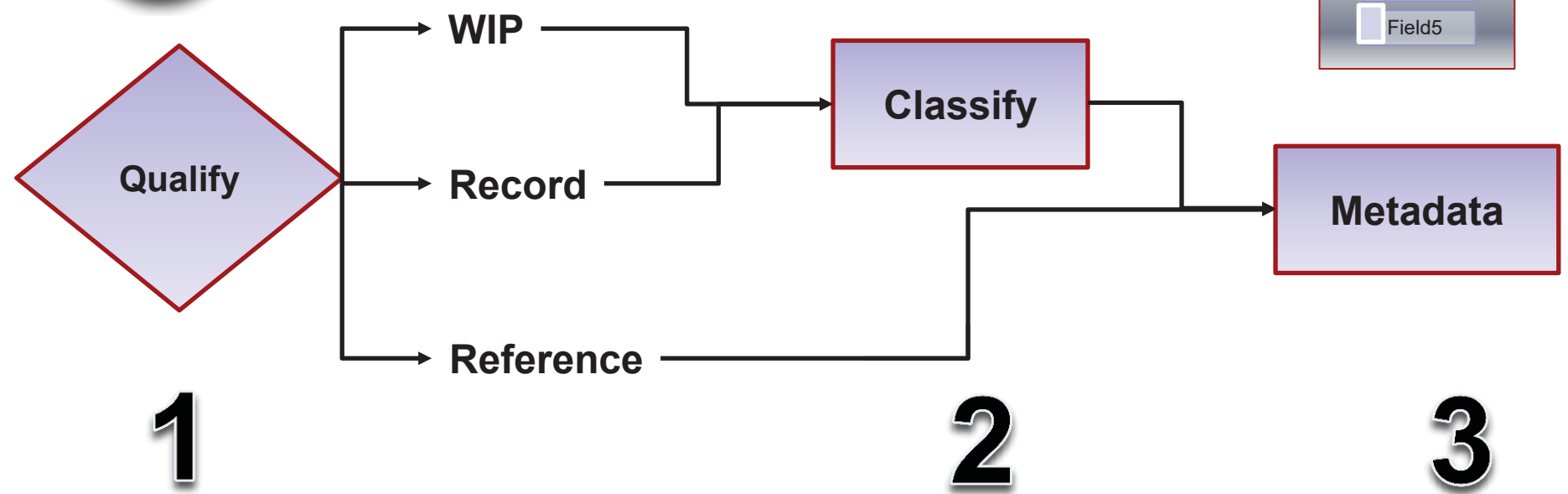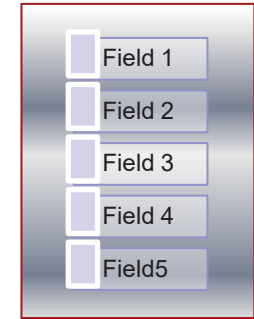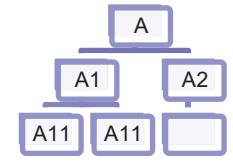
Document Metadata
12 Fields to Support RM

	→ **User-Entered**

Document Metadata			
Content Type	M		SharePoint requirement
Subject	M	Alphanumeric, 124 characters	Subject matter of this document
Category	O	Select Category from File Plan navigation tree	Mandatory for a declared record.
Security Level	O	Select from pre-defined List	Denotes Record-level security
Business Unit	M	Select from pre-defined values	Same selection list as OPR above
Author	M	72 characters, alphanumeric	Who is principally responsible for this content?
True Document Date	M	Date	Date that best reflects date of content
Status	M	(R)ecord, (W)ork-in-Progress, (R)eference	
Notes	O		Anythig that would help find or explain this document
Qualified	M	Yes or No	Qualified by disposition. Not user-entered
Qualify Date	M	Date	Date this document was qualified for disposition
Verified	M	Yes or No	Yes of verified as classified correctly. Not user-entered.
Approved	M	Yes or No	Yes if approved for disposition by archivist

Custom Upload Module
Document = Record (Case)

1. Navigate to destination folder
2. Record/In-Progress/Reference = **Record**
3. Content Type = **Correspondence**
   - o Fill in document fields that are not auto-filled:
     - ▪ **SUBJECT**
       - • Default = BLANK
     - ▪ **CATEGORY**
       - • Default = BLANK
     - ▪ **TRUE Document Date**
       - • Default = BLANK (calendar assist tool)
   - o Fill in Field CATEGORY
     - ▪ Select 04-50-1
   - o Set field STATUS = (R)ecord
   - o WARNING ➜ Current folder not a record case folder. Pick one of:
   - o Create New folder
     - ▪ Browse to location
   - o Select Another folder
     - ▪ Browse to folder
       - • If Folder = RECORD and CATEGORY = Match
         - o Move doc to folder, delete original
       - • If Folder Status = RECORD and *CATEGORY* NOT = Match
         - o Current folder not correct record case folder. Pick one of:
           - ▪ Create New folder
             - • Browse to new location
           - ▪ Select Another folder
             - o Browse to new folder

Declaring Email
3rd-Party App Needed

Disposition
The Approach

Four things to do;

1. **Stop** SharePoint from automatically destroying any records
2. **Modify** SharePoint's existing policies to tag qualified records as *Qualified*, instead of deleting them
3. Build a module to allow us to **review** qualified records and un-qualify where needed
4. Build a module to carry out actual **disposition** (destroying and transferring) qualified records

Disposition
(5) *Elements to Build*

Custom Item	Description
1. Workflow Qualify Case	A process that does nothing. Applied exclusively to case files. Used to satisfy SharePoint Policy requirements whereby an action is needed after retention period has expired.
2. Workflow Qualify Subject	Used to tag records as qualified for disposition, instead of destroying them.
3. Query Disposition Review	An on-screen means of reviewing qualified records.
4. Module Bulk Updater	A means of making changes to the qualification status of qualified records.
5 .Workflow Disposition	A process that destroys or transfers qualified, verified records.

Disposition
Disposition Review List (DRL)

List of Documents Qualified For Disposition								
Category		**Subject**	**Doc ID**	**Retention Rule**	**Doc Date**	**Exp Date**	**Disp**	**Ver**
Title	**Number**							
Insurance Coverage, Policies, Renewals	02-20	New coverage policy	101	destroy after 7 years	1999-01-01	2006-01-01	D	Y
Insurance Coverage, Policies, Renewals	02-20	Coverage Statistics	202	destroy after 7 years	1997-01-01	2003-01-01	D	N
Insurance Coverage, Policies, Renewals	02-20	Renewals Proposal	303	destroy after 7 years	1995-03-06	2002-03-06	D	Y
Insurance Coverage, Policies, Renewals	02-20	Coverage Ideas	404	destroy after 7 years	1993-02-02	1999-02-02	D	N
Safe-Tee Security	04-50-1	Annual Evaluation	505	destroy 2 years after contract end	1993-01-01	2010-02-02	D	N
Safe-Tee Security	04-50-1	Contract Dispute	606	destroy 2 years after contract end	1998-01-01	2010-02-02	D	N
Safe-Tee Security	04-50-1	Contract Violations	707	destroy 2 years after contract end	1986-04-06	2010-02-02	D	N
Safe-Tee Security	04-50-1	Contract negotiations	808	destroy 2 years after contract end	1997-02-04	2010-02-02	D	N
Safe-Tee Security	04-50-1	Vendor evaluation	909	destroy 2 years after contract end	2001-03-04	2010-02-02	D	N

Disposition
Disposition Module

Functionality

1) Locate each Document where document metadata field QUALIFIED = Yes (true). If you require an archivist's review and approval, then proceed on field APPROVED = Yes.
2) Skip unless if any of the following four values is not satisfied as shown below:
   a. Qualified = Y
   b. Approved = Y
   c. On Hold = N
   d. Disposition = (T)ransfer or (D)estroy (not Unknown)
3) Determine the disposition action
   a. If Category field DISPOSITION = Destroy
      i. Destroy SharePoint document and metadata, in non-recoverable fashion
      ii. Add document metadata to list **Disposition Audit**
   b. If Category field DISPOSITION = Transfer
      i. Export document to specified external location <location>
      ii. Destroy SharePoint document and metadata, in non-recoverable fashion

      iii. Add document metadata to list **Disposition Audit**

Option – Buy a Plug-In

- **Cost roughly = SharePoint $$$**
- **(3) Viable Choices**
  - All very different
- **Usual Build vs Buy Scenario**
  - Maintenance
  - More features
  - Upgrades
  - Ongoing Support

RIMtech ☾

(3) Viable Plug-in Vendors
Common Features

- SharePoint 2010 Plug-in
- Uses existing SharePoint Structures
- Meets F1000 RM Req'mts
- API-Compliant
- Uses existing SharePoint Policy Structures
- Built From Scratch
  - File Plan Structure
  - Case File Handling
  - Disposition

GimmalSoft

collabware

recordpoint
records management made easy

Vendor Comparison

Capability	GimmalSoft	collabware	recordpoint
File Plan	✔	✔	✔
Case Files	✔	?	✔
Disposition	✔	✔	✔
Expunge	✔	✖	✖
Email Integration	✔	✖	✔
Physical Records	✖	✖	✔
US DoD 5015.2	✔	✖	✖
ICA Mod 2	✖	✖	✖

RIMtech

GimmalSoft

- USA
- DoD 5015.2
- Microsoft-Deployed
  - In-House RM
- Email Partner = Colligo
- Metalogix (externalization)
- Physical Records Limited to Iron Mountain

Colligo Networks
Email Integration

Metalogix
Database Externalization

Iron Mountain
Physical Records (extra $$$)

Microsoft

RecordPoint
Records Management Made Easy

- Australian
- Not 5015.2 compliant
- VERS (Australia Compliant
- Email Partner = Scinaptic + Colligo
- Full Physical Records
- Titus Document-Level Security

Colligo
Email Integration

SCINAPTIC
Email Integration

TITUS
Security

VIZit
Document Viewer

- Canadian (Vancouver)
- No Email Integration
- (Future) DoD 5015.2 certification
- Case File Handling?
- Advanced Classification Rules Engine
- No Physical Records
- Strength → End User Experience

GimmalSoft Compliance Suite

GimmalSoft Declaration of Email

GimmalSoft Declaration of Email

GimmalSoft Records Centre Console

Collabware RM Admin Console

Bruce Miller

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