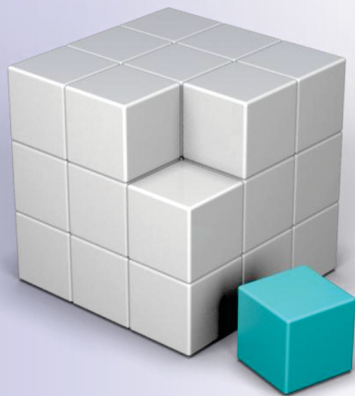


ACA@UBC presents  
5th International Symposium



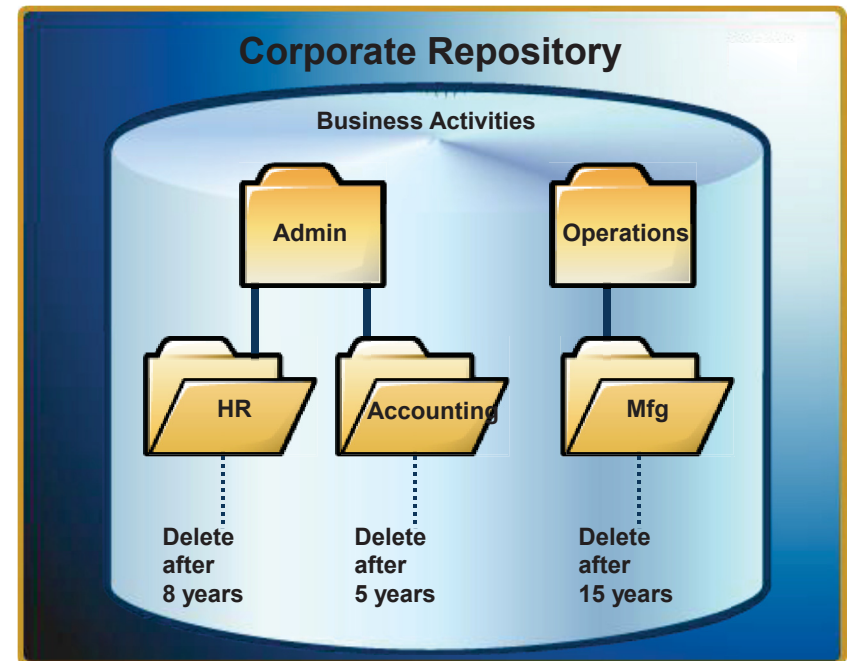
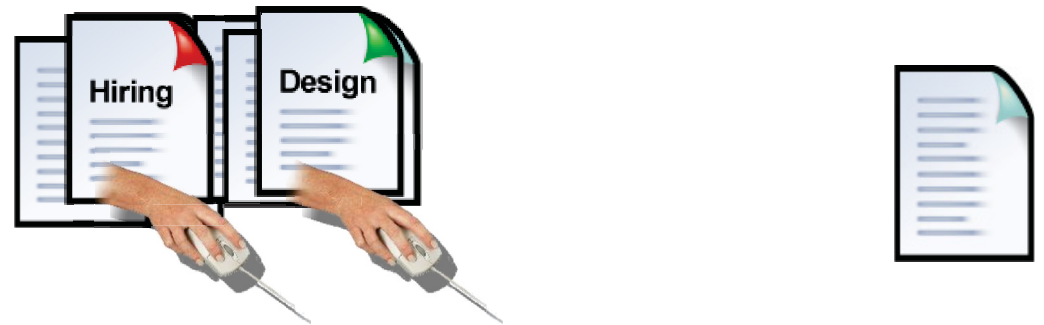
"We shape our tools, and our tools shape us"



## 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*.



# SharePoint

## *Recordkeeping Features*

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



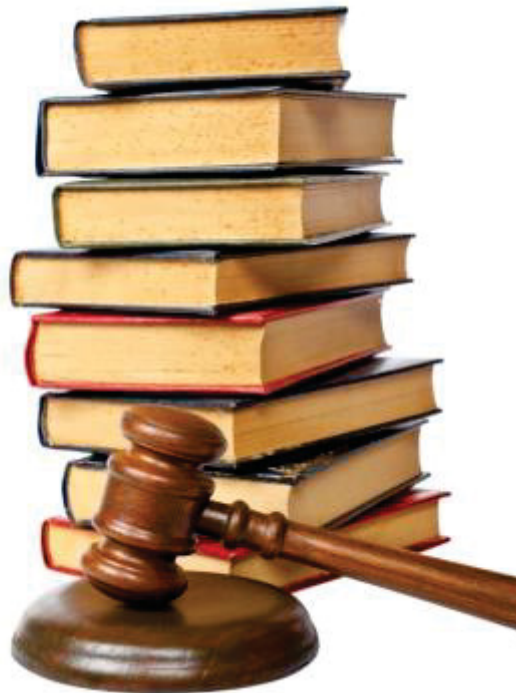


---

# 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



# 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



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

Experts in **Testing and Certification** Accelerating the Nations IT Dominance

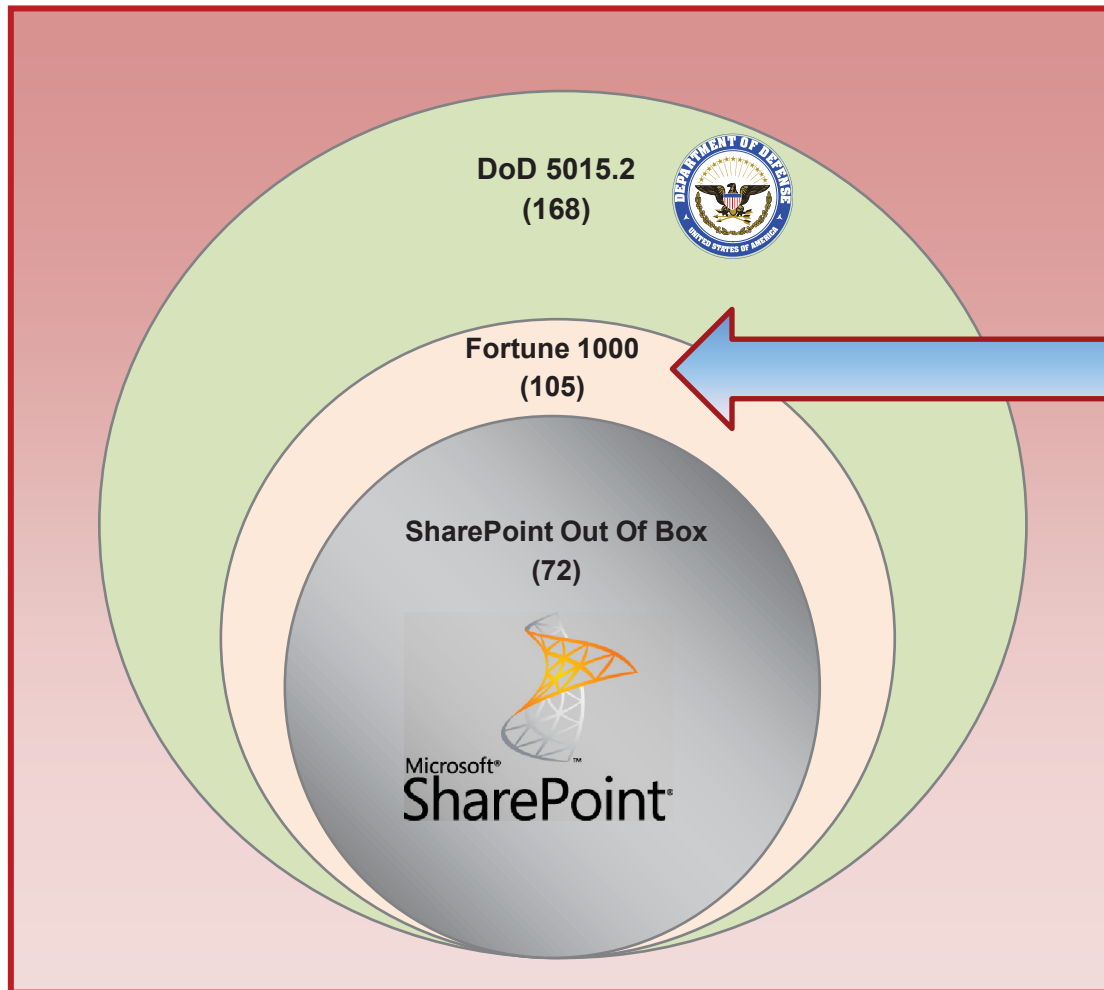
JITC professionally tests, operationally evaluates, and certifies IT capabilities for joint interoperability, enabling information dominance and increasing warfighter effectiveness for the Nation





# Recordkeeping Requirements

## *33 Deficiencies*



**Target Recordkeeping  
Capability**

**For Details;**

**[www.rimtech.ca](http://www.rimtech.ca)**



# 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. ¶



Recordkeeping for SharePoint 2010

# **WHAT ARE THE DEFICIENCIES?**



## (3) Major Structural Deficiencies

### 1. **File Plan**

- Organize/manage records by business activity

### 2. **Case Files**

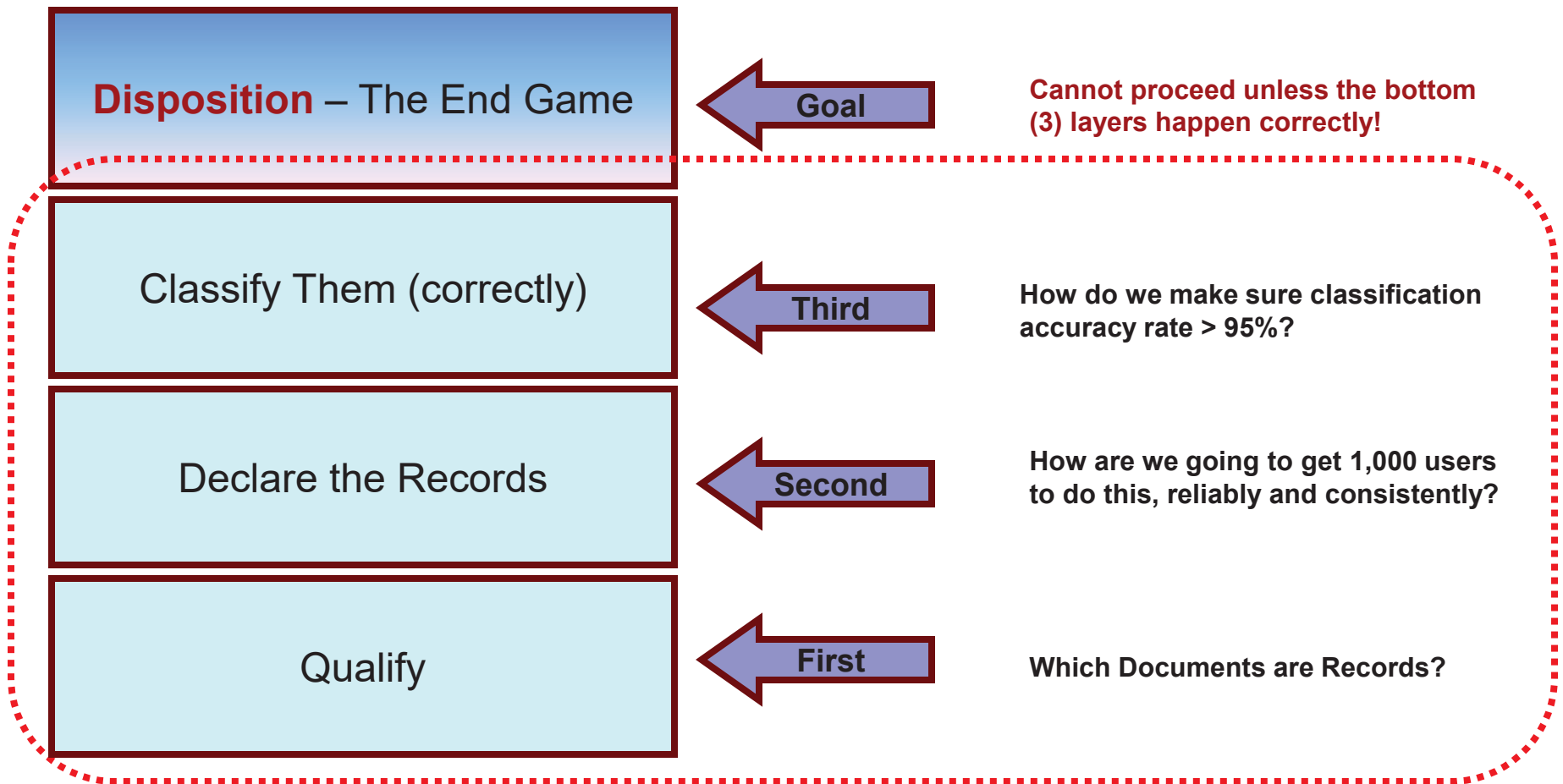
- (2) types of records!

### 3. **Disposition**

- Delete the right records at the right time

# Reaching the Goal

## *Disposition*





Microsoft®  
**SharePoint®**

Recordkeeping Deficiency 1

# **FILE PLAN**

# Classification

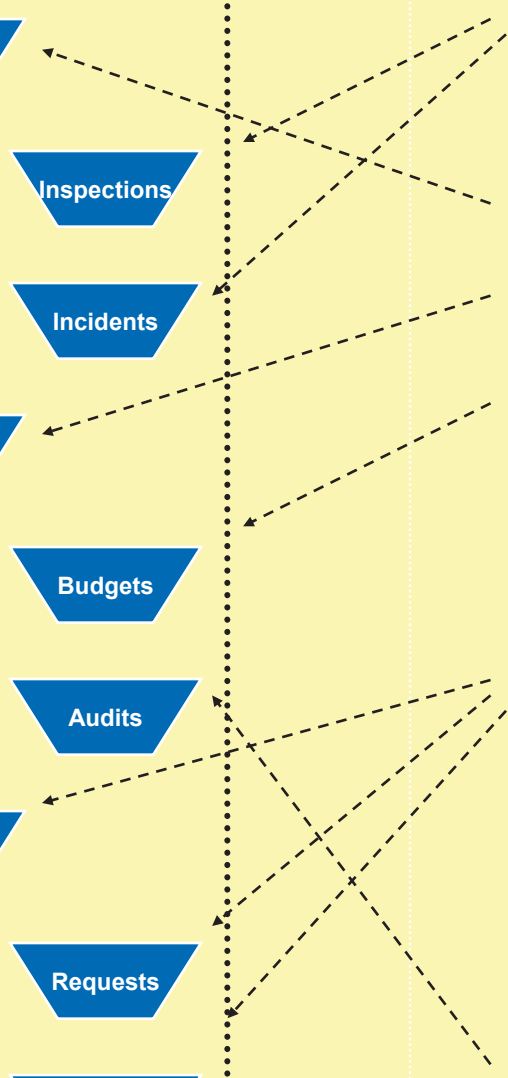
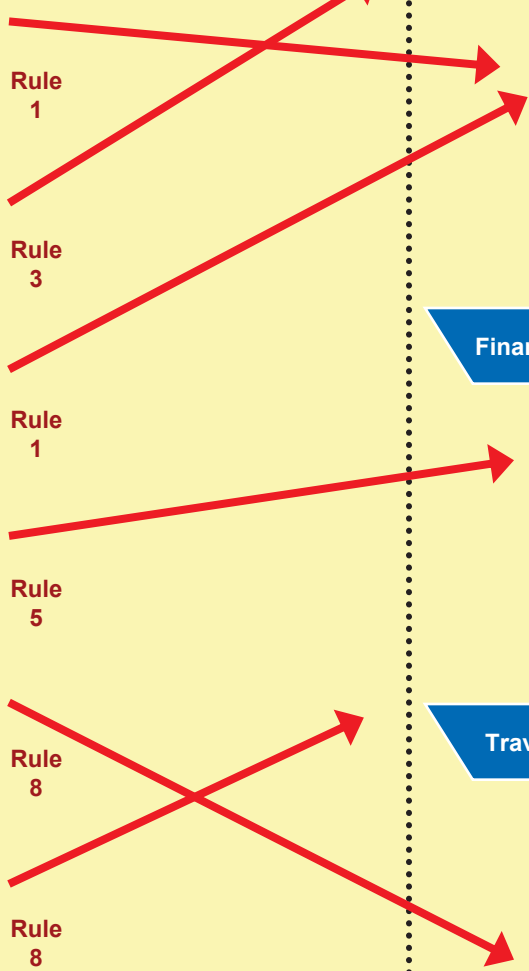
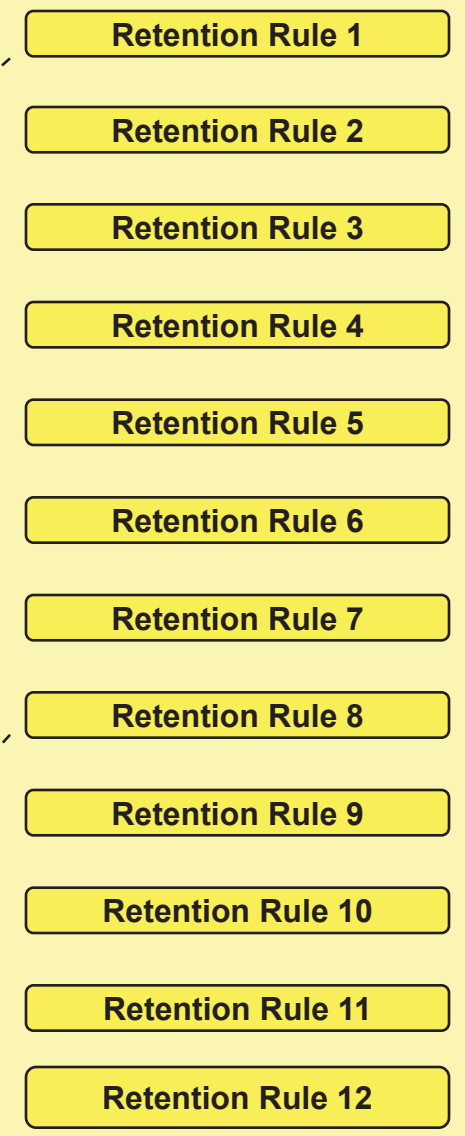
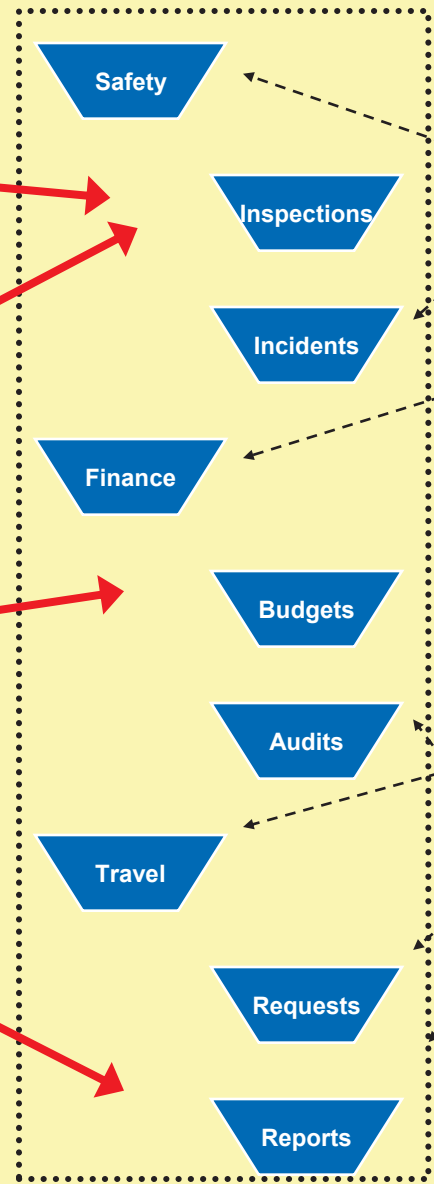
## File Plan

## Retention Schedule

**Classification**

- Safety Inspections Doc 1
- Safety Policy Doc 2
- Safety Inspections Doc 3
- Budgets Doc 4
- Travel Reports Doc 5
- Travel Policy Doc 6

- Rule 1
- Rule 3
- Rule 1
- Rule 5
- Rule 8
- 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
	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
Finance 04	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



# Classification Errors

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

<b>Cumulative Effect of Classification Errors</b>				
<b>Day</b>	<b>Declared Records</b>	<b>Accuracy %</b>	<b>Classifications</b>	
			<b>Right</b>	<b>Wrong</b>
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			<b>17,750</b>	<b>7,250</b>

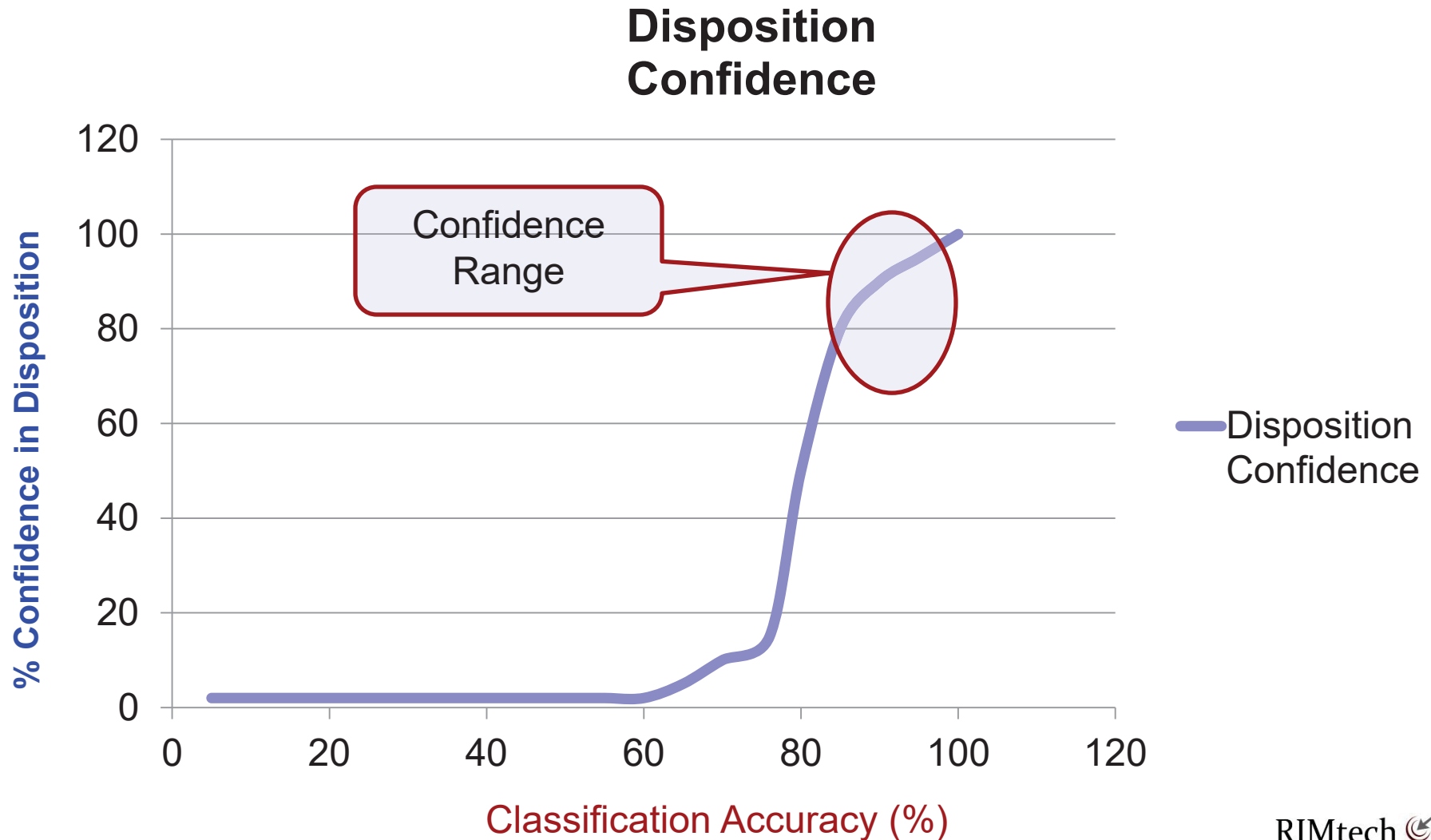


# Subject (Non-Case) Files/Categories

- 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

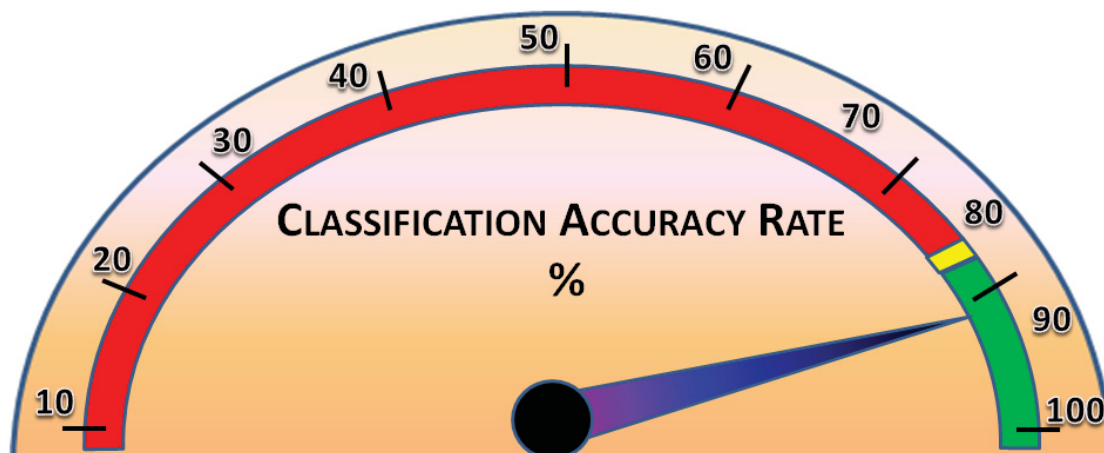
*On Legally Defensible Disposition*



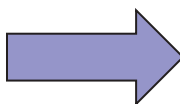
# EDRMS Metric Measurement 3

## *Classification Accuracy Rate*

- % of each 100 declared records known to be **correctly** classified
- Measured in EDRMS
  - Via statistical sampling
- Typical Target = 85%



- 1,000 declared docs
- 10 Sampled



7 Right  
3 Wrong

=

70%

Classification Accuracy Rate

=

300 Mistakes!



Microsoft®  
**SharePoint®**

Recordkeeping Deficiency 2

# **CASE FILES**

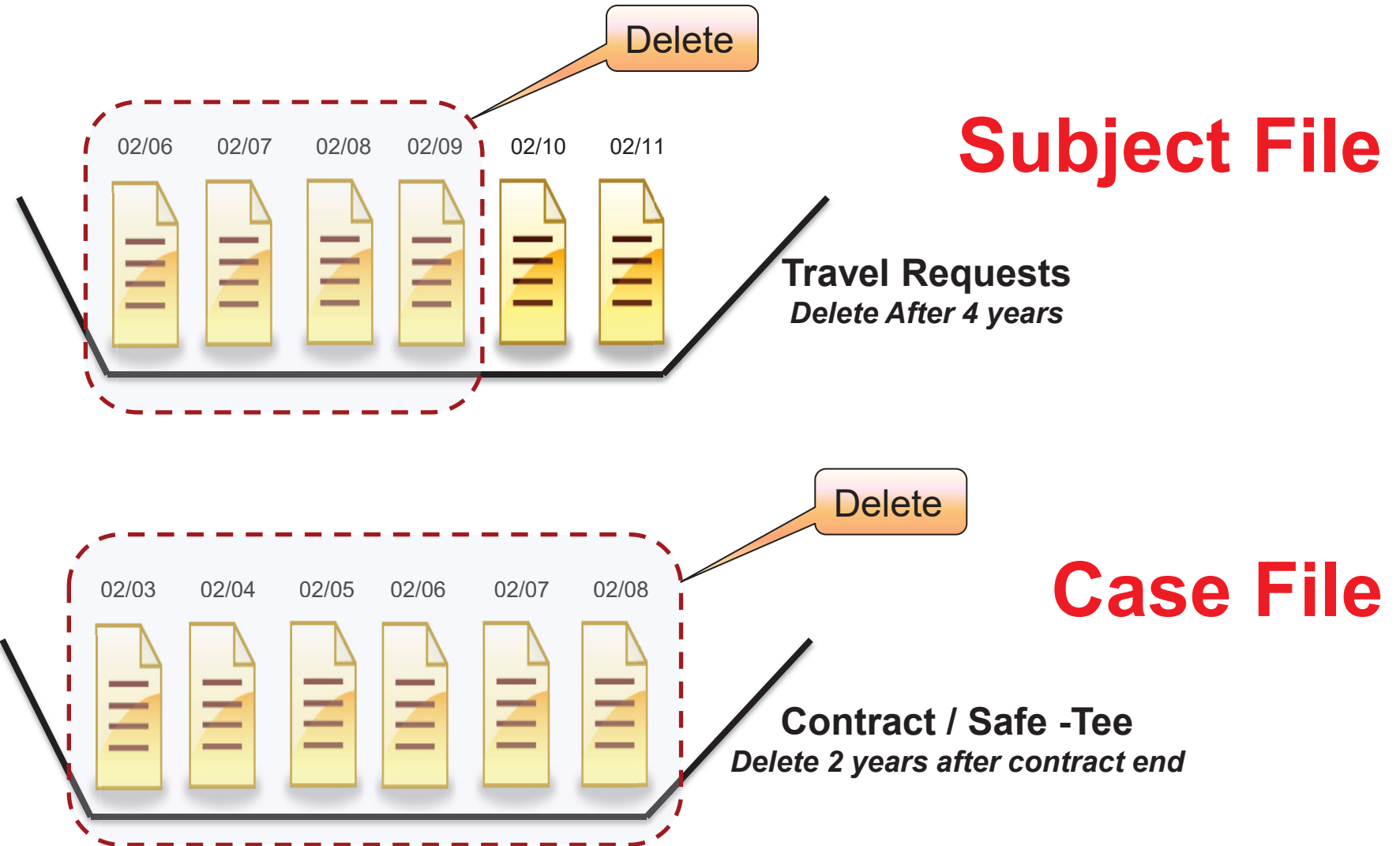
# Case File/Category

- *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!!**

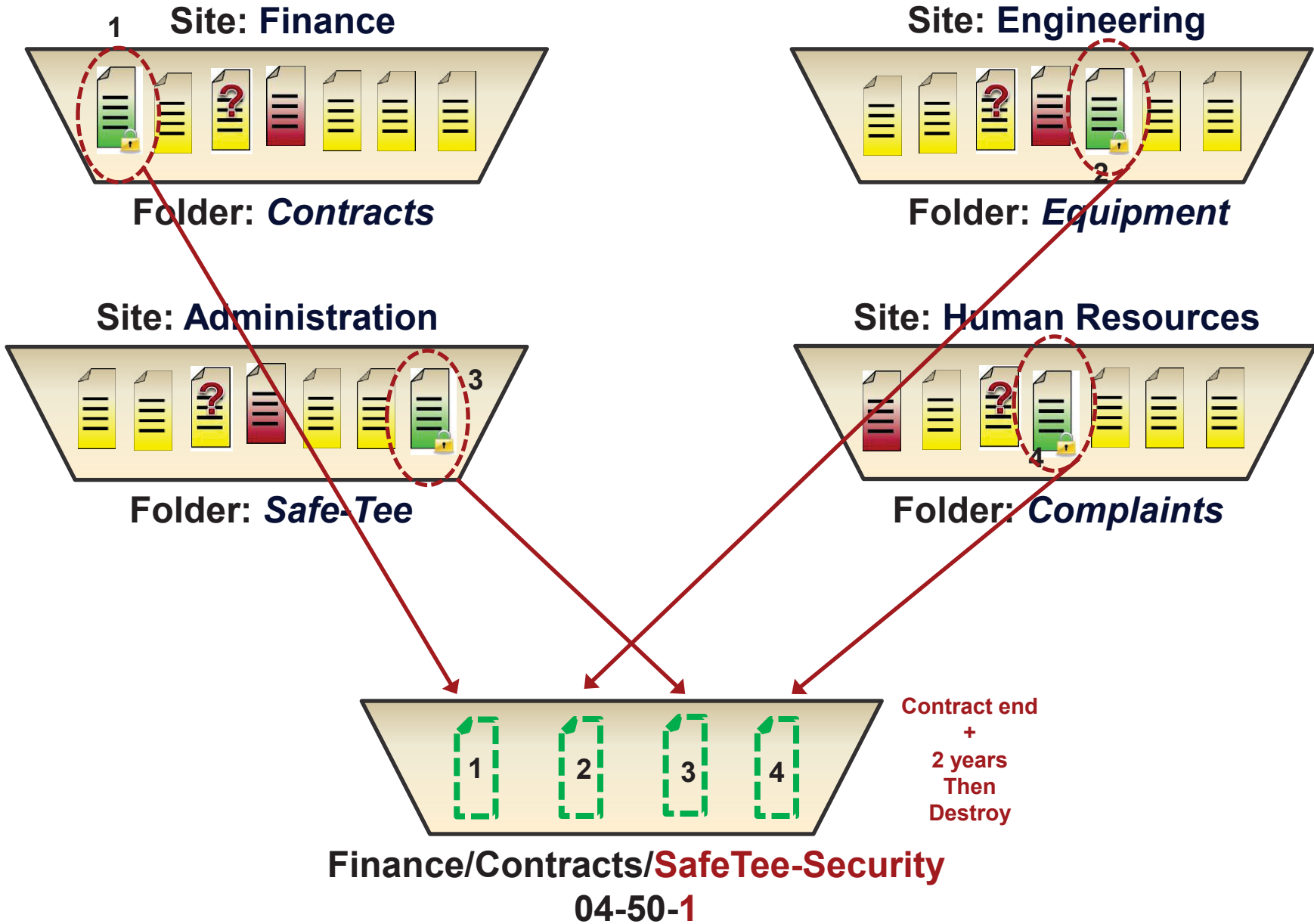
# Case Vs Subject



## 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
	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
Finance 04	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			







# 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

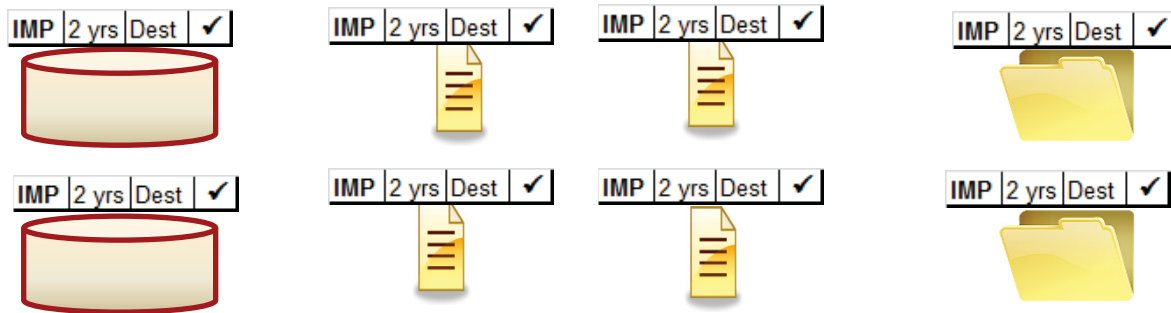
## Policy vs. Retention Rule

SharePoint **IMP**  
(Information Management Policy)

= **Retention Rule**

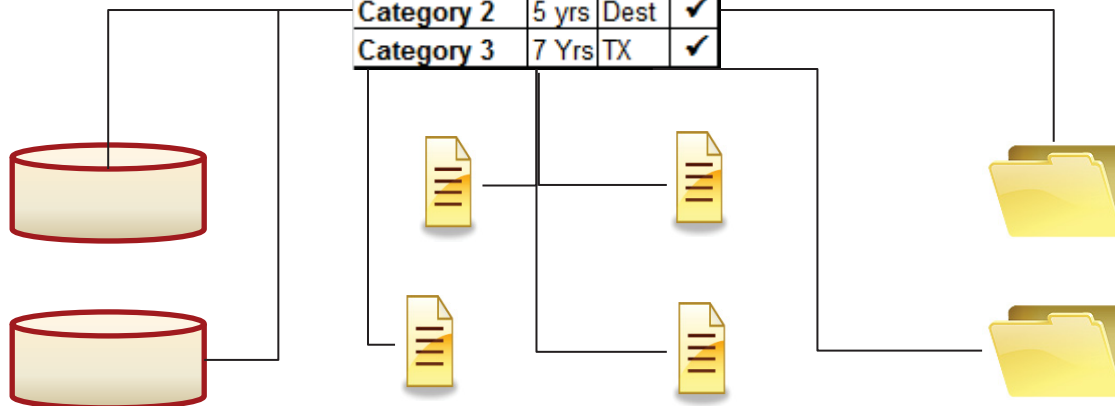


SharePoint  
Out of Box



### File Plan

Category 1	2 yrs	Dest	✓
Category 2	5 yrs	Dest	✓
Category 3	7 Yrs	TX	✓

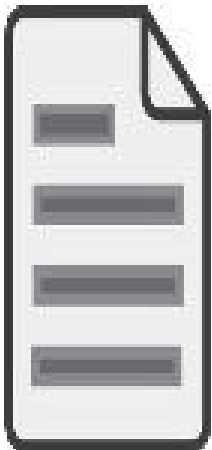


Central File Plan



# Content Type Concept

## Content Type *Contracts*



### Metadata

Date  
Author  
Subject  
Project  
Security  
*Contractor*  
*Start Date*  
*End Date*

## Content Type *Travel*

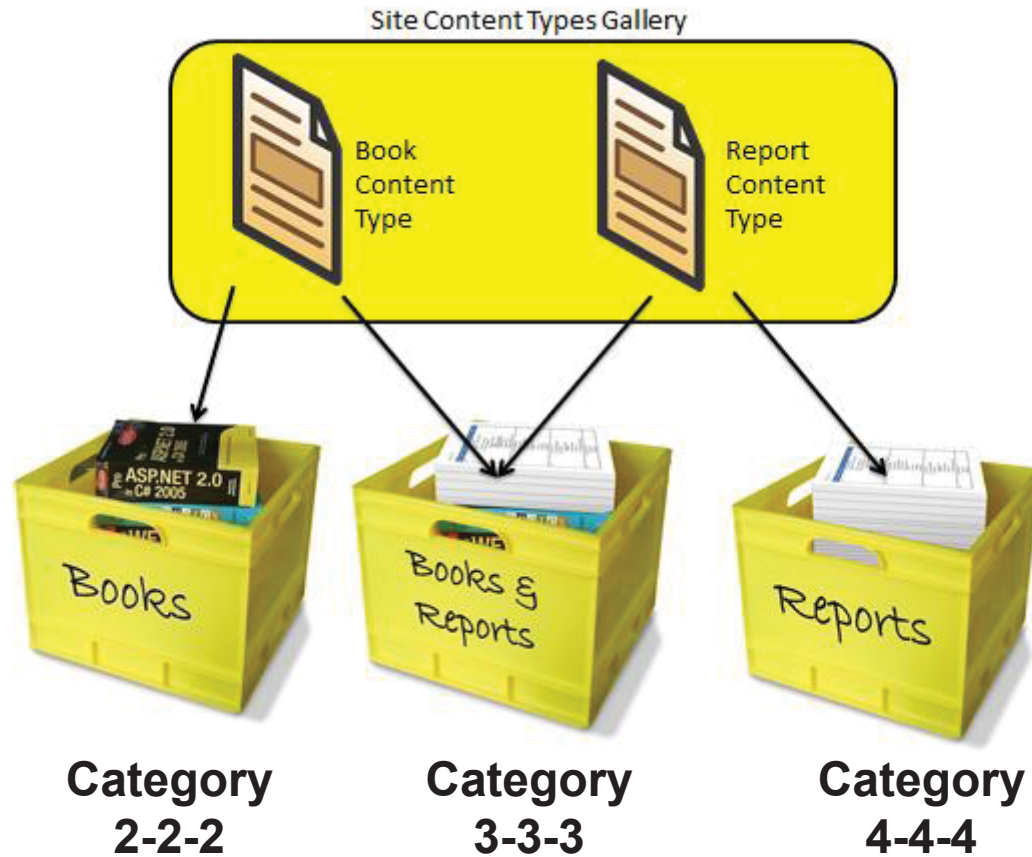


### Metadata

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*



**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?

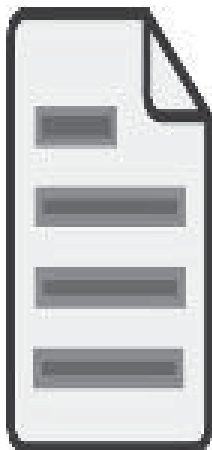
**Another Method Needed!!**

# 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**

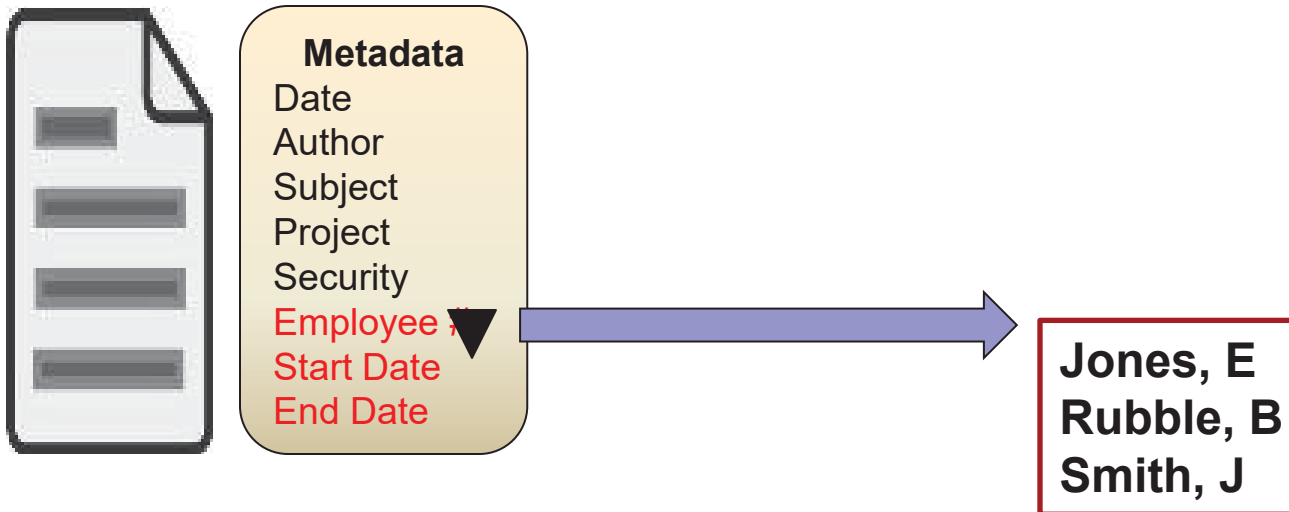
- Document Type = Business Activity
- Metadata Field dedicated to specifying individual Case
- Drop-down selection of case
- Case field = mandatory

# Classifying a Case Record

## *Example 2*

Document Type

**Performance Review**



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



# Declare a Document in SharePoint

The screenshot displays a SharePoint document library interface within a Windows Internet Explorer browser. The address bar shows the URL: <http://demo2010a/sites/documents/Documents/Forms/AllItems.aspx>. The interface includes a top navigation bar with 'Site Actions' and 'Library Tools' tabs. The 'Library Tools' tab is active, showing a ribbon with various actions like 'New Document', 'Upload Document', 'New Folder', 'Edit Document', 'View Properties', 'Edit Properties', 'Manage', 'E-mail a Link', 'Download a Copy', 'Workflows', 'Publish', 'I Like It', and 'Tags & Notes'. A green circle highlights the 'Declare Record' option in the context menu, which is also highlighted in yellow. A tooltip for 'Declare Record' is visible, stating: '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 the following columns: Type, Name, Document ID, Modified, Manufacturers, and Products. The list includes items such as 'Confidential', 'Restricted', 'Adventure Works Sales All Regions 1-20-09', 'Amazon Expedition', 'Amazon Jungle Package Price Specials', 'Aspen Snowboarding Trip', 'Big Bear Skiing', 'Camp Time Enormous Tents', 'Camp Time Family Tents', 'Camp Time Slim Line Backpacking Tents', 'Camp Time Super Cold Weather Tents', 'Camp Time Super Light Tents', 'Camp Time Tents 2009 Lineup', 'Camp Time Tents Overview', 'Camp Time Tiny Line Backpacking Tents', 'Camping Gear Promo 2009', 'Camping Gear Promo', and 'Canadian Rockies Escape'.

At the bottom left, there is a 'Key Filters' section with 'Apply' and 'Clear' buttons. The status bar at the bottom indicates 'Local intranet | Protected Mode: Off' and '100%' zoom.



Microsoft®  
**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??**

# Recordkeeping for SharePoint 2010

## 3 Options

Out-of-Box

Customize

3<sup>rd</sup>-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

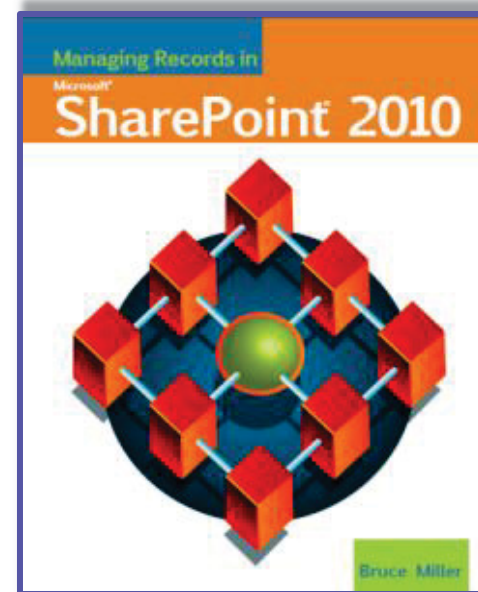
# Option – Customize (Do It Yourself)

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



**Implemented  
(to unknown Degree)**

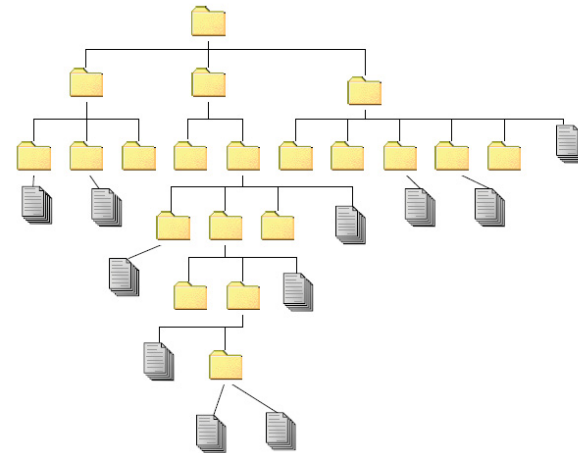
## The Recipe



**Buy at ARMA Online Bookstore  
[www.arma.org](http://www.arma.org)**

# Create the File Plan

## *As a Folder Structure*



### Rules

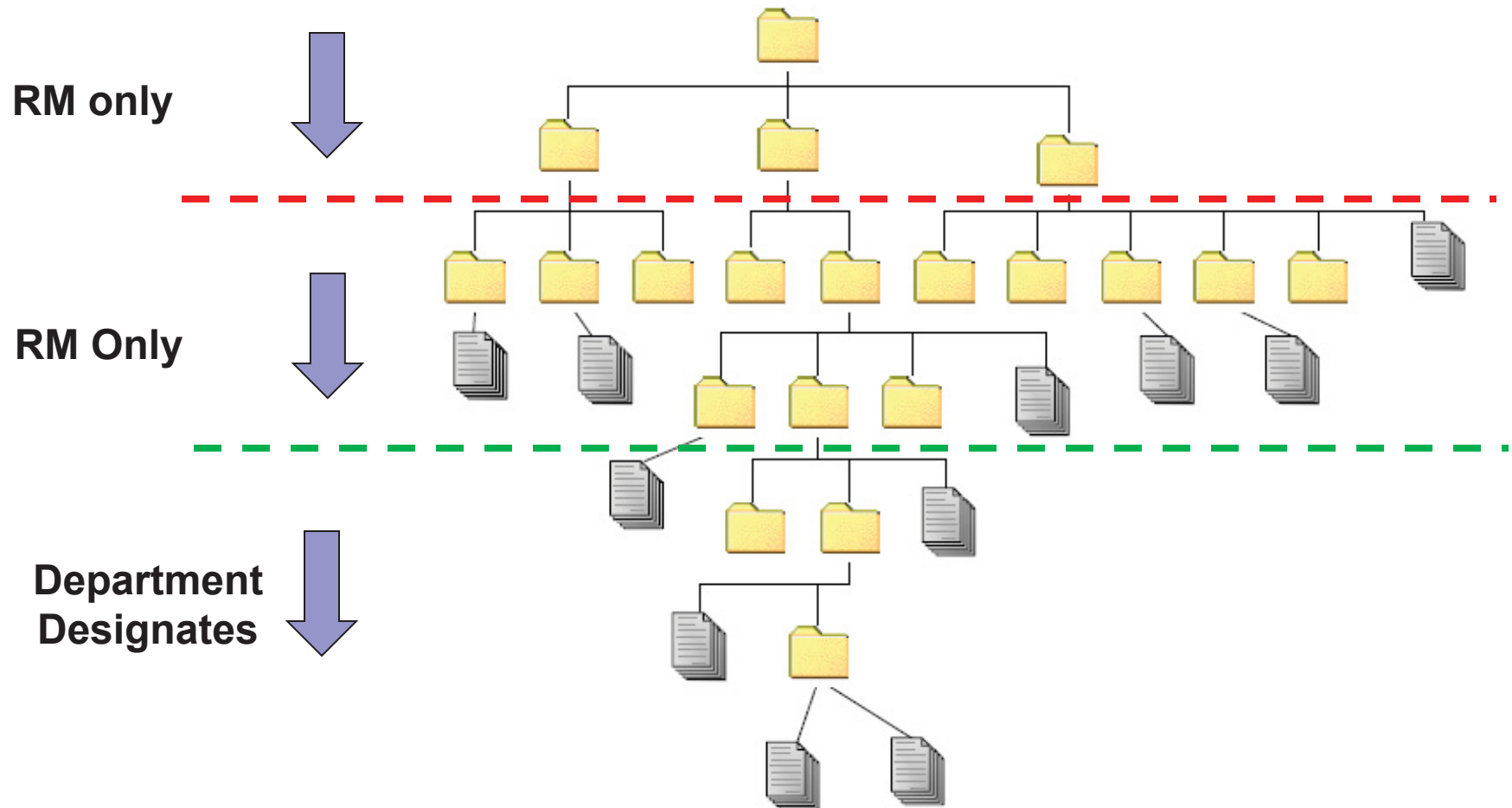
1	Only the Records Manager (RM) can create and maintain the file plan.
2	It has to be hierarchical in nature, with properties inheriting down from parent nodes (categories) to child categories.
3	All users must be able to browse it to select the appropriate category when declaring a document into SharePoint.
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 ( <i>Retention Period, Retention Unit, Cutoff, Cutoff Unit, Disposition, Archival Review</i> ) 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
<b>File Plan Folders</b>			
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, Monthly, 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
<b>All Folders</b>			
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



# 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

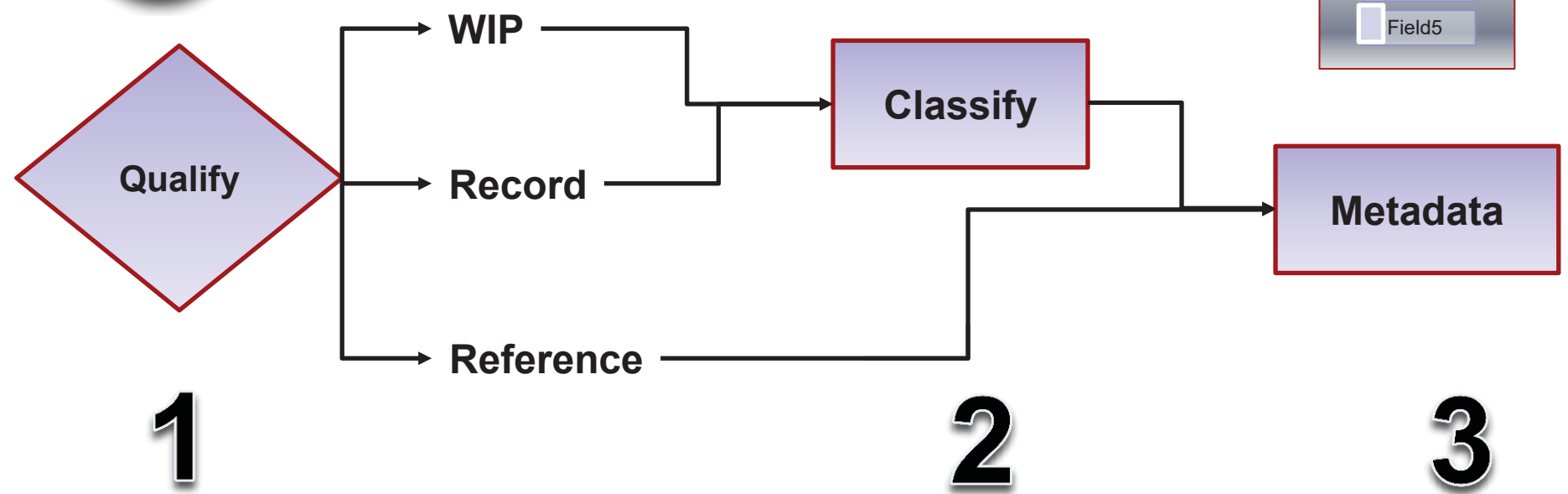
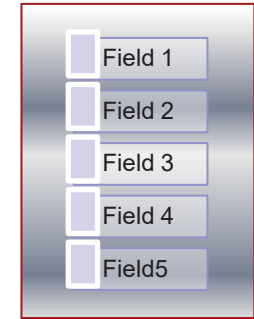
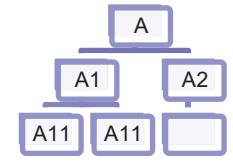
**Minimum Mandatory Data**

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



# 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		Anything 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 if 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**
  - Fill in document fields that are not auto-filled:
    - **SUBJECT**
      - Default = BLANK
    - **CATEGORY**
      - Default = BLANK
    - **TRUE Document Date**
      - Default = BLANK (calendar assist tool)
  - Fill in Field CATEGORY
    - Select 04-50-1
  - Set field STATUS = (R)ecord
  - WARNING → Current folder not a record case folder. Pick one of:
  - Create New folder
    - Browse to location
  - Select Another folder
    - Browse to folder
      - If Folder = RECORD and CATEGORY = Match
        - Move doc to folder, delete original
      - If Folder Status = RECORD and CATEGORY NOT = Match
        - Current folder not correct record case folder. Pick one of:
          - Create New folder
            - Browse to new location
          - Select Another folder
            - Browse to new folder



# Declaring Email

## *3<sup>rd</sup>-Party App Needed*

The screenshot shows the Microsoft Outlook interface with the Colligo for SharePoint add-in. The left-hand navigation pane shows the 'Deleted Items' folder expanded, with a red box highlighting the 'Colligo for SharePoint' folder. A red arrow points from this folder to the main content area. The main content area displays the 'Colligo for SharePoint' interface, which includes a breadcrumb trail: 'B's Beverages > Project Emails and Documents > Email Archive > Reference'. Below this, the title 'Project Emails and Documents' is shown, followed by a description: 'Store project related documentation in here to keep track of communication.' The interface also features a 'New' button, an 'Upload' button, and a 'Filter' dropdown. The 'View' dropdown is set to 'Group by Project'. A table of email items is displayed, with columns for 'Name', 'From', 'Subject', and 'Received'.

Name	From	Subject	Received
Project #: (None) (6)			
Project #: 4122-1 (2)			
John Smith_16Mar10 12...	John Smith	Latest Issue Report	16/03/
B's Beverages Requireme...	John Smith	B's Beverages Requireme...	01/03/
Project #: 4122-2 (12)			
DeleteDomains.xls	Jim Dwyer	Domain deletions for B's	26/01/
Fred Smith_29Jan10 13...	Fred Smith	Celebration Lunch Friday	29/01/
Jim Dwyer_26Jan10 11.5...	Jim Dwyer	Testing Complete	26/01/
Helmut Schuler_24Jan10 ...	Helmut Schuler	Latest Issue Report	24/01/
Helmut Schuler_22Jan10 ...	Helmut Schuler	Re: Outstanding Issue	22/01/
Kate Hoof_22Jan10 12.5...	Kate Hoof	Re: Outstanding Issue	22/01/
Jan Gaglardi_22Jan10 12...	Jan Gaglardi	Re: Outstanding Issue	22/01/

All folders are up to date. Connected to Microsoft Exchange 100%



# 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
<b>1. Workflow Qualify Case</b>	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.
<b>2. Workflow Qualify Subject</b>	Used to tag records as qualified for disposition, instead of destroying them.
<b>3. Query Disposition Review</b>	An on-screen means of reviewing qualified records.
<b>4. Module Bulk Updater</b>	A means of making changes to the qualification status of qualified records.
<b>5. Workflow Disposition</b>	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




## (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



# Vendor Comparison

Capability	 GimmelSoft	 collabware	 recordpoint records management made easy
File Plan	✓	✓	✓
Case Files	✓	?	✓
Disposition	✓	✓	✓
Expunge	✓	✗	✗
Email Integration	✓	✗	✓
Physical Records	✗	✗	✓
US DoD 5015.2	✓	✗	✗
ICA Mod 2	✗	✗	✗





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



Email Integration



Database Externalization



Physical Records ( extra \$\$\$)



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



Email Integration



Email Integration



Security



Document Viewer



collabware

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

# GimmelSoft Compliance Suite

File Plan Builder

Due for Vital Review   Reviewed Vital Records   Due For Cutoff Review   Reviewed Cutoff Records

File Plan Structure  
Manage File Plan Nodes. You can view, add, edit, and remove Nodes

Save Changes   Cancel

**General**   Organization-Defined Fields   Cutoff Criteria   Security   Supplemental Markings   Vital Record   SharePoint Security   Audit

Name\*   Safety

ID\*   SAFE-TEE

Description\*   Premises security contract firm

Disposition Instructions\*   [Dropdown]

Disposition Authority\*   10 Year Transfer and Delete  
3 Year and Transfer

Location   7 Year Disposition  
Contract Expiration  
Simple 3 Year Disposition

Transfer to NARA   Simple 5 Year Disposition

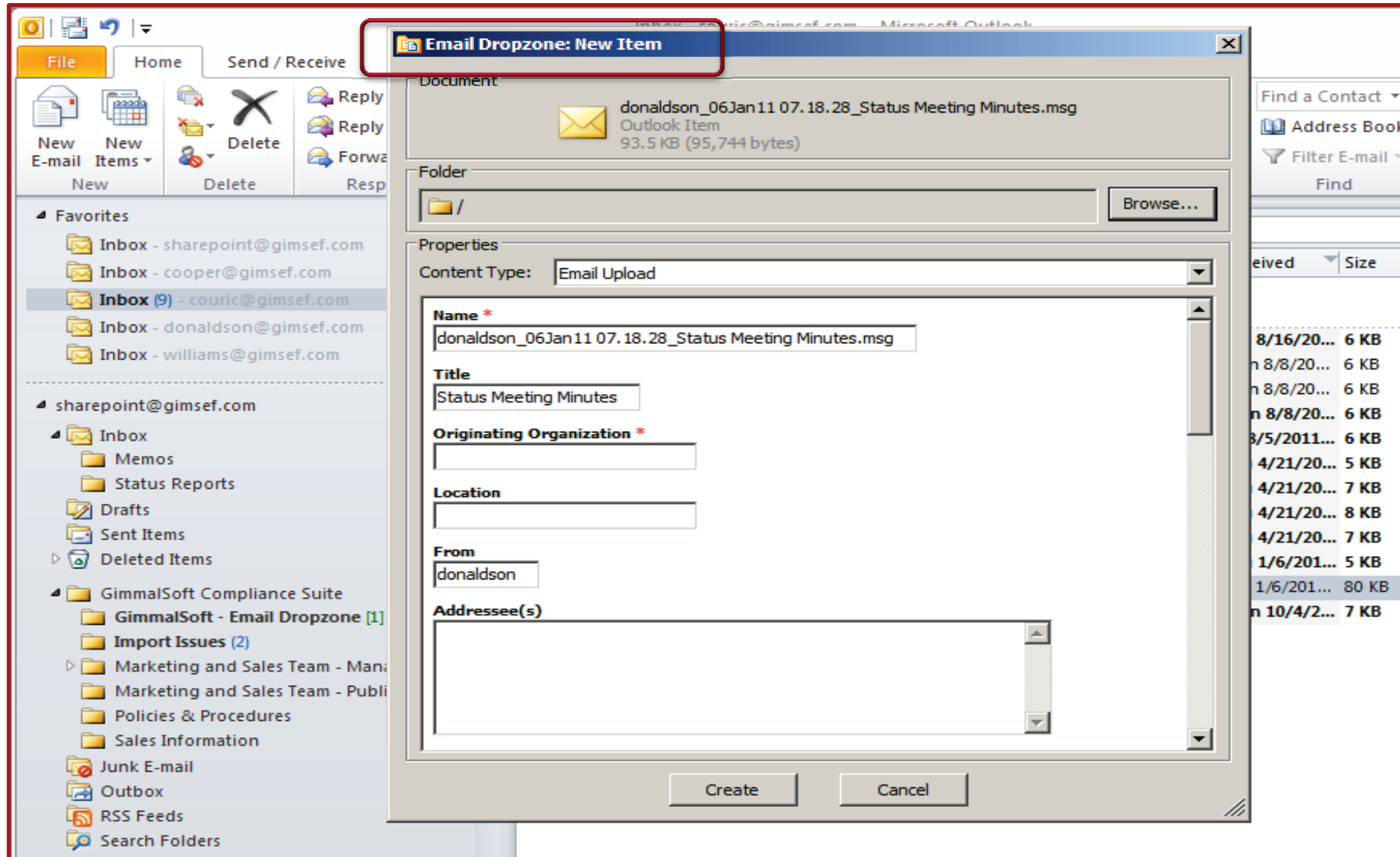
Case-Based Retention

# GimmelSoft Declaration of Email

The screenshot displays the Microsoft Outlook interface for the account 'couric@gimsef.com'. The left sidebar shows the folder structure, with 'GimmelSoft - Email Dropzone' highlighted. A red callout bubble points to this folder with the text 'Declare in SharePoint'. The main pane shows a list of emails, with one email from 'couric' titled 'Status of the new Application Information policy' highlighted in blue.

From	Subject	Received	Size	Categories
sharepoint...	Workflow Tasks - Cutoff Review record Administrative Re...	Tue 8/16/20...	6 KB	
sharepoint...	Workflow Tasks - Cutoff Review record Product Managem...	Mon 8/8/20...	6 KB	
sharepoint...	Workflow Tasks - Cutoff Review record Process Diagram.v...	Mon 8/8/20...	6 KB	
sharepoint...	Workflow Tasks - Cutoff Review record Building 13 Wind...	Mon 8/8/20...	6 KB	
sharepoint...	Workflow Tasks - Cutoff Review record Building 13 New ...	Fri 8/5/2011...	6 KB	
Brad Shar...	Status Meeting Notes	Thu 4/21/20...	5 KB	
<b>couric</b>	<b>Status of the new Application Information policy</b>	<b>Thu 4/21/20...</b>	<b>7 KB</b>	
donaldson	Updated presentation for Benefits Enrollment	Thu 4/21/20...	8 KB	
donaldson	Status Report details	Thu 4/21/20...	7 KB	
Brad Shar...	Environment	Thu 1/6/201...	5 KB	
donaldson	Status Meeting Minutes	Thu 1/6/201...	80 KB	
Marketin...	Tasks - Please review Meeting Record Actions - Brian	Mon 10/4/2...	7 KB	

# GimmelSoft Declaration of Email



# GimmelSoft Records Centre Console

The screenshot displays the GimmelSoft Records Centre Console interface. The browser address bar shows the URL: `http://gimsftdemo/_layouts/Gimmel.RMA.Reporting.AsOf/AsOfReports.aspx`. The page title is "As Of Reports".

**Site Actions:** Anderson Cooper

**Left Navigation Panel:**

- Cutoff Search Reports
- Vital Record Reviews
- Vital Record Reports
- Disposition Tasks
- Period Definitions
- Libraries**
  - Administration
  - Business Operations
  - Finance and Accounting
  - Legal
  - Reports
- Reporting**
  - "As of" Reporting
  - User Permission Reports
- Compliance Suite Administration**
  - RMA Event Management
  - Reverse Cutoff
  - Bulk Processing Administration
  - File Plan Builder
  - File Plan Container Mapping

**Search Filters:**

View records where:

Disposition action is: **Start a workflow**

Name of workflow: **Compliance Suite Transfer Record**

Effective date is:  in the next: 30 day(s)  between: 1/1/2012 and 2/2/2012

**Sites:**

Start from:  This Site  Site Collection

Levels:  Single Site  Subsites  Entire Site Structure

**Record Center Selection:**

- Record Center
  - Administration
  - Business Operations
  - Drop Off Library
  - Email Dropzone
  - Finance and Accounting
  - Legal
  - Record Library
  - Reports

**Results Table:**

Grouped by: Container

Site	Container	Title	Type
Container: Business - BUS			
Record Center	Business - BUS	Continuity Plans - BUS-20	Container
Container: Continuity Plans - BUS-20			
Record Center	Continuity Plans - BUS-20	Business Continuity Plans 2011.docx	Record
Record Center	Continuity Plans - BUS-20	Disaster Recovery Plans 2011.docx	Record

# Collabware RM Admin Console

The screenshot shows the Collabware RM Admin Console interface. The browser window title is "Windows 7 Professional - Mozilla Firefox" and the address bar shows "https://cloud.skytap.com/configurations/484300/popup?vm\_id=1048262". The interface has a top navigation bar with tabs for "Policy", "Value", "Manager", "Level", "Properties", "Inheritance", "Inheritance", "Inheritance", and "Inheritance". Below this is a sub-navigation bar with "New", "Manage", "Records Managers", and "Access Control Levels".

## FILE PLAN MANAGEMENT

Manage the file plan and the applicable records and information management compliance policies.

**CATEGORIES** | POLICIES | CONTENT RULES | APPROVERS | AUTHORITIES | EVENT TYPES | METADATA FIELDS

Find a Record Category

- 09 - Land Administration
- 10 - Planning and Development
  - 4720 - Planning and Development - General
    - 4720-01 - General
    - 4720-02 - Aerial Photography
    - 4720-20 - Individual Projects
      - 4720-20-MOUNT - Mountain Slope Community**
      - 4720-20-OCEAN - Ocean View Properties
  - 4780 - Demographic and Geographic Data
  - 4800 - Development - General
  - 4810 - Development - Agricultural Land
  - 4860 - Development - Waterfront
  - 4900 - Economic Development Services
  - 4910 - Floodplain Management
  - 4950 - Hazardous and Potentially Hazardous Areas
  - 4970 - Historic, Heritage and Archaeological Sites
  - 5000 - House Numbering Services
  - 5050 - Natural Resources
  - 5100 - Official Community Plans

Type	Case
Description	
Open Date	November 1, 2012
Close Date	
Vital Records	No
Route Content	No

### Repositories

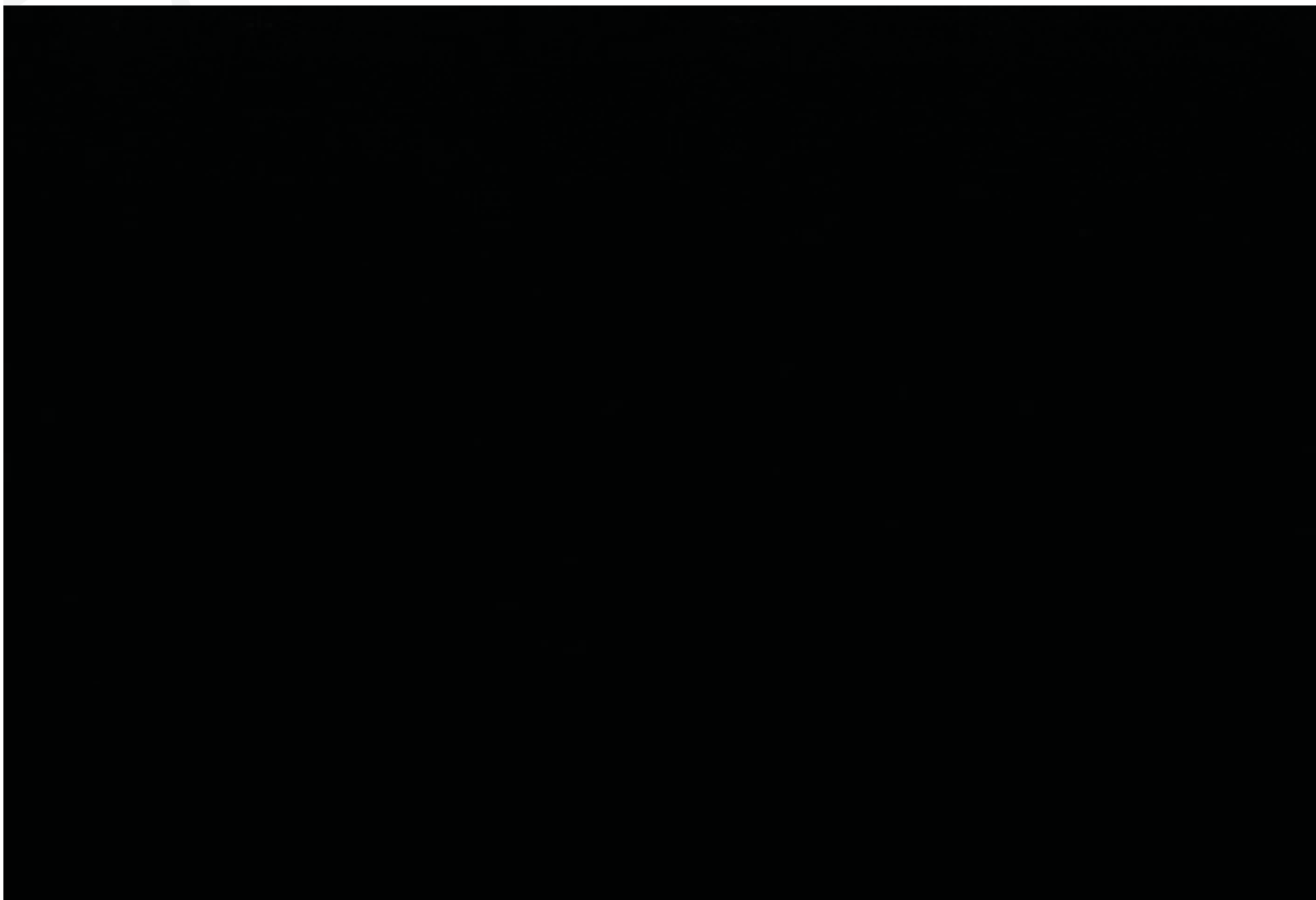
Proxy Connection	Status	Repository URL
Records Center	Active	<a href="http://demosp.81/repositories/4720-20-MOUNT">http://demosp.81/repositories/4720-20-MOUNT</a>

### Metadata Values

Metadata Field	Value	Populate Field	Is System
Record Classification	4720-20-MOUNT - Mountain Slope Community	N/A	Yes
GIS Block	B	Block	No
GIS Lot	A	Lot	No
Development Number	1234	N/A	No
GIS Folio	1234-AB	Folio	No
Development Name	Mountain Slope Community	Development Name	No

### Compliance Policies





Bruce Miller

[bruce.miller@rimtech.ca](mailto:bruce.miller@rimtech.ca)

[www.rimtech.ca](http://www.rimtech.ca)

613-226-8468

