

The logo for Wise Technology Management features the word "wise" in a lowercase, sans-serif font, enclosed within a thin orange rectangular border. To the left of the logo is a vertical grey bar with a white horizontal line extending from its top edge to the left edge of the page. The background of the top left corner is a dark, cloudy sky.

wise

T E C H N O L O G Y  
M A N A G E M E N T

# Implementing SharePoint 2010 as a Compliant Information Management Platform

## Changing the Paradigm with a Business Oriented Approach to Records Management

### Introduction

*This document sets out the results of an independent analysis of Microsoft's SharePoint 2010 platform against best practices standards for information management conducted by Wise Technology Management with Microsoft and National Archives of Australia in early 2010.*

The electronic business environment today has experienced an evolution. The concept of a record has dramatically shifted from 'paper' to information dynamically created in many formats using digital tools including office business systems and mainstream internet based technologies. Integral to this evolution, successive generations of office tools and business systems are becoming the central information store. The effective capture and management of format diverse information is an increasing priority for well managed businesses worldwide.

Organisations are turning to a new generation of information management platforms to respond to this change. At the same time they are exploring new ways of using these platforms to interact with and service their customers; to support improved processes for knowledge management, collaboration and social networking; and to automate routine business processes.

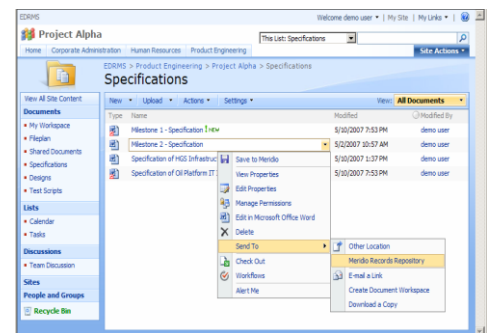
Archive agencies worldwide are responding to this shift, developing new guidelines that address the electronic business paradigm, such as the *Principles and Functional Requirements for Records in Electronic Office Environments*, now endorsed by the International Council on Archives (ICA). They are also working with software vendors to help develop commercial off-the-shelf products that in meeting contemporary business needs also strive for compliance against guidelines such as the ICA specifications.

Microsoft's SharePoint platform, first with MOSS 2007 and now SharePoint 2010, is being developed as a platform to support Web 2.0 and collaboration business activities, and to provide the necessary tools for end users to manage information for improved search and retrieval, compliance and life cycle management.

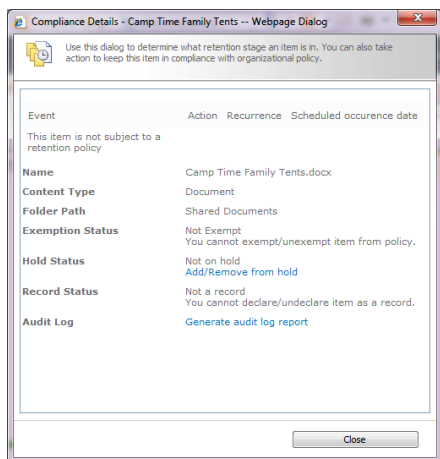
## Why is SharePoint 2010 different?

Microsoft Office SharePoint Server (MOSS) 2007 offered real promise to organisations wanting to introduce collaboration tools and improved document management processes to replace the ubiquitous share drives. While features such as content types, document libraries and default metadata capture using Office provided some benefits, MOSS 2007 had a number of limitations particularly in terms of records management. Problems included difficulties scaling to handle large volumes, limited advanced search, little support for taxonomies and more complex metadata schemes, and poor processes for large scale deployment and administration.

The MOSS 2007 Records Centre capability, based on a “send to” paradigm and with limited retention policies, was not a solution for records management. This left organisations looking for options to integrate traditional ERMS packages to solve life cycle information management needs. Such integration was of course difficult due to the manual nature of many of the interfaces and the dynamic use of SharePoint. Many ERMS integrations also failed to solve search limitations and often resulted in confusion on where correct versions were held.



SharePoint 2010 offers a solution to these problems firstly by addressing specific limitations of MOSS 2007. Scaling issues are no longer a concern, and central services such as content type syndication and term store make large scale deployments much easier. Search is improved with the inclusion of the FAST technology providing faceted results and metadata driven browsing to filter and find information easily.



The Records Centre capability secondly has been completely redeveloped with a function called Content Organiser to automatically move records to the Record Centre, support for a records file plan, unique document ids, and complex ongoing retention and disposal policies linked to file plan locations or content types as needed. The term store and a new managed metadata element also support hierarchical metadata schemes, such as business classifications, required by most record keeping standards. All content can be managed as records including Web 2.0 formats such as wikis and blogs, and vital information can be preserved and protected using record declarations and improved audit trails.

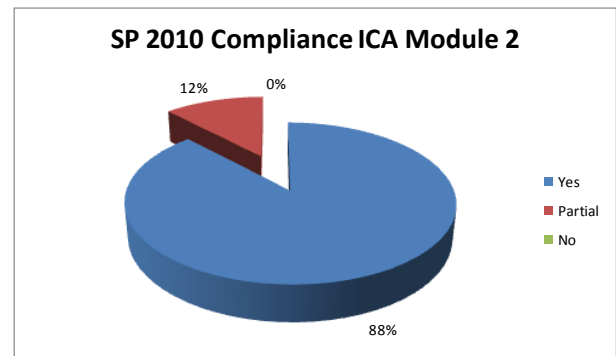
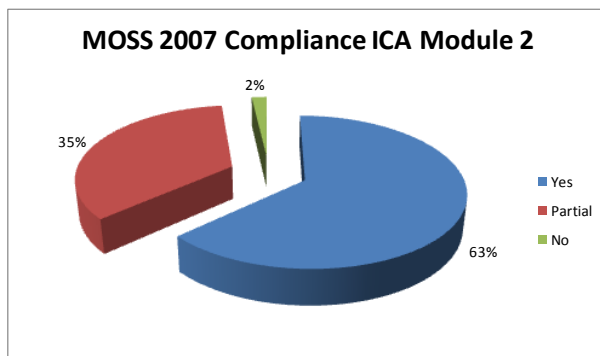
Ease of use is enhanced with improved Office integration, easy metadata filtering of information, and simplified editing of wikis. SharePoint 2010 also provides a range of enhanced collaboration capabilities, for example using social networking on specific expertise and interests and user ratings to simplify sharing of information and knowledge on areas of common interest.

## Analysis results show the progress made

The analysis assessed both MOSS 2007 and SharePoint 2010 for compliance against the ICA *Principles and Functional Requirements for Records in Electronic Office Environments* Module 2 functional specifications.

Both versions need to be configured to meet specific records management requirements. We assessed each listed function as compliant and rated as a **Yes** if SharePoint met the specified function with a standard feature or with simple configuration. Functions requiring more complex configuration or development were rated as **Partial** compliance, and missing functionality (where significant development was required) was rated as **No**.

The overall analysis results are shown below:



With a 63% compliance result, MOSS 2007 Enterprise version is clearly only a partially compliant solution out of the box. It is difficult to achieve required compliance levels with MOSS 2007 without complex configuration and add ons. While MOSS 2007 can be considered as a user friendly, collaboration front end, it needs to be integrated with a compliant ERMS back end or a pre-configured third party records management add-on to achieve substantial compliance.

With an 88% compliance result, SharePoint 2010 is shown to be largely compliant, albeit with configuration still required to address specific records management functions. Key improvements significantly reduce the complexity of configuration compared with MOSS 2007, such as records declaration, compliance views, content organiser, document sets, file plan and location based policies, and managed metadata terms.

We believe SharePoint can be a viable solution, particularly where the majority of information is in an electronic form. SharePoint 2010 has a number of key advantages over traditional systems through improved ease of use, automated metadata capture, improved search and retrieval using this improved metadata, and coverage of Web 2.0 and other rich media formats.

There is a relatively small gap to be filled by add-on software or complex configuration to achieve full compliance, the key gaps being:

- **Native security classification and access control** – despite having item level security SharePoint 2010 is unable to impose classifications on information, or to control access effectively.
- **Physical and hybrid information management tools** – SharePoint 2010 is focussed on electronic records and is unable to manage paper and other physical format information effectively.
- **Ease of email capture** – despite SharePoint supporting email enabled lists and libraries, third party Outlook add ins are still required to simplify user capture of email and required metadata.

SharePoint 2010 when combined with effective third-party providers for the above gaps is able to provide significant potential improvements to the implementation of organisational information management practices and architectures.

The analysis concluded that SharePoint 2010 has the capability, subject to suitable configuration and support to be a serious option for a compliant ERMS solution.

## Going one step further - altering the records management paradigm

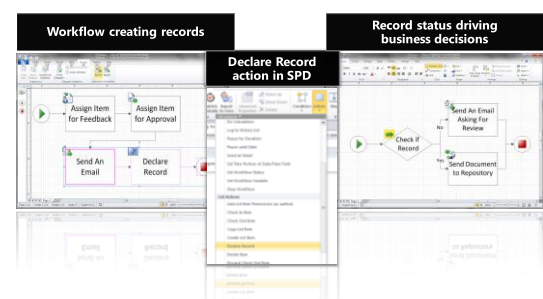
While these analysis results clearly show significant progress in meeting information and records management best practices, the results tell only part of the story of SharePoint 2010's improvement.

The broader ICA *Module One: Overview and Statement of Principles* sets out overarching records and systems related guiding principles that are equally important for a successful ERMS solution. One of the key principles is “*systems should support good business information management as an organic part of the business process*”. This principle is difficult for most ERMS solutions to achieve.

From our analysis it appears that, properly configured, SharePoint 2010 will be able to deliver on the promise of providing business focused information and processes while at the same time supporting transparent compliance and records management.

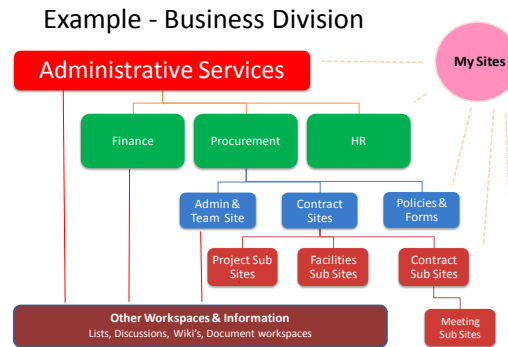
In this example workflow is used to declare records and determine where records should be saved based on business process outcomes, such as approvals.

## Workflow and Records



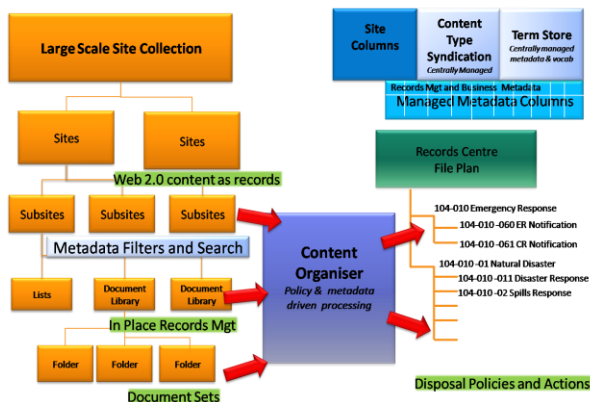
SharePoint 2010 can also support a solely business view on the part of end users, while providing a compliant records structure in the background. This chart is an illustration of a typical business division where SharePoint is configured to support the way people actually work with:

- Specific team sites where staff will find the majority of information they need to do their day to day activities
- Tailored sub site structures to suit specific business processes such as projects, specific subject areas or processes
- Capture and management of related information in context for example a site per project or contract
- Collaborative capabilities provided as required within a managed corporate framework.



SharePoint 2010 allows a business to retain a business focused approach such as this while maintaining a separate, parallel records management and metadata structure, transparent to business users.

### SP 2010 Information Architecture

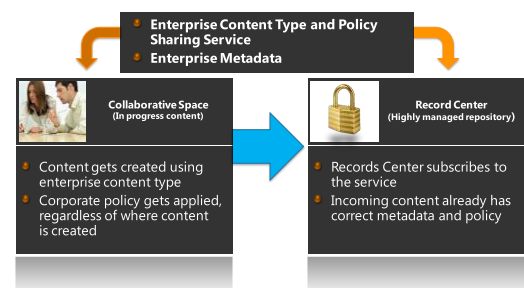


As SharePoint 2010's information architecture shows, content organiser can automatically populate a second records and lifecycle management driven file plan using metadata and other rules.

Other records management improvements include all web content being treated as a record; document sets for compound records; record declaration functions to protect records; location driven records metadata; and significantly enhanced retention & disposal policies.

The guidelines also require standardised metadata, across business and record keeping systems. SharePoint 2010 supports this with content type and term store syndication between business sites and the Records Centre; business connectivity services for line of business metadata; and exposure of content type and term store metadata via Office's backstage and document information panel.

### Content Type Syncing and Compliance Coordination

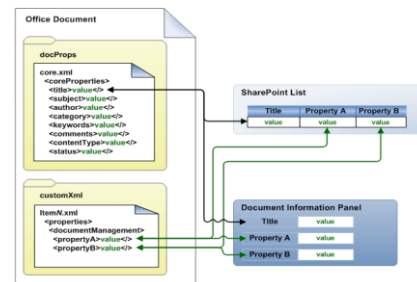


## Integrating SharePoint with Office can achieve real end user benefits

The broader ICA *Module One Overview and Statement of Principles* also provides guiding principles to ensure systems are easy to use and readily accepted by end users, with principles such as “as much metadata as possible should be system generated” and “it should be as easy as possible for users to create/capture records of business activity...It is necessary to design systems/software that automate recordkeeping in a way, ideally, that makes such recordkeeping largely ‘invisible’ to the end-users.”

SharePoint integrated with Office is able to make most recordkeeping invisible to end users by defaulting metadata based on location, content type, templates or actual content.

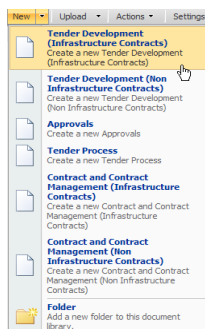
The Office XML file format is a key to this. The tight integration between Office and SharePoint makes it easy to default SharePoint data into Office and vice versa, simplifying the creation of documents, and eliminating the need for end users to have to enter metadata at time of saving.



Metadata can be also defaulted based on the best practice configuration of setting up a specific content type for each retention policy or file plan record type. In this example master control list content types are matched to disposal authorities, default business classifications and security caveats:

Shared Services > Information Management > Disposal Schedule and BACS Control  
Disposal Schedule and BACS Control

Title	Function	Activity	Transaction Descriptor	Retention Class	Archive type	Site Master List	Action Trigger	IM Policy Active Site	IM Policy Archive Site
RDS200706v0001:002.004.001	Asset Operations	Inspections	Asset Inspections	Temporary	Document with Link		Last Actioned Date	Capital Project Archive	
GDS15v0007:003.059.001	Equipment and Stores	Inventory	Asset Inventory	Temporary	Site	Employee Master	Termination Date	Personnel Archive	
RDS200706v0001:015.001.002	Procurement and Contracts Management	Contracts Management	Contract and Contracts Management (Non-Infrastructure Contracts)	Temporary	Document with Link		Last Actioned Date	Capital Project Archive	Personnel Archive



At the time of creating a new document, or uploading a file to SharePoint, a user can use this approach simply select a content type. This will then default the relevant records management metadata such as the Business Classification Scheme and disposal authority values as standard metadata, without further entry by the end user. In this diagram the user is selecting a relevant content type specific to the document library. In SharePoint 2010 this selection can also be done from Office directly.

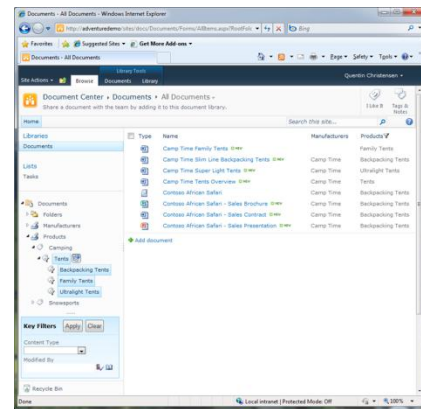
Based on the content type selected, the required records management metadata is then defaulted based on the central look up table and other system generated metadata items:

The Records Management metadata such as Function, Activity, Record ID and Security Caveat are greyed out as they are already populated and not able to be user altered.

Metadata capture can be further simplified using Office and SharePoint integration, the document information panel, and Office 2010 backstage. In Office 2010 users can also add metadata tags using the term store.

Compliance and business metadata can also be automatically captured and workflows used to automate review, comment and approval processes.

Simplified metadata capture also allows “all information to be treated as a record”, able to be managed through its lifecycle (even if the information is only retained temporarily), easily shared, and more easily searched given the default metadata properties.



## Overall Conclusions and Recommendations

Our conclusions in this analysis are as follows:

- **Significant progress has been made** through both later releases and the availability of add-on software from Microsoft software partners expanding the feature set to meet records management business requirements, while retaining ease of use and improved metadata capture promised with MOSS 2007.
- **Usability, ease of use, collaboration support and features such as default or automated metadata and records classification**, provided by MOSS 2007 and extended by SharePoint and Office 2010, means these tools are likely to become accepted solutions in many business situations.
- The recent **SharePoint 2010 release significantly improves records management functionality and overcomes limitations in sizing and scale that limited MOSS 2007's use** as the central corporate information management repository.

- These improvements and the forward direction provided by Microsoft mean that **MOSS 2007 / SharePoint 2010 can now be considered as an option for some less complex corporate records management functions**, particularly where much of the content is digital, generated via Office, collaborative sites or directly using web sources. The main downside is the need for supplementary tools or third party add-ons to meet varying needs.
- The **main areas of non compliance** in the improved SharePoint 2010 **are with security classifications, simple email and related metadata capture and the management of physical or hybrid records.**

While MOSS 2007 Service Pack 2 and SharePoint 2010 offer improved records management compliance we note that the achievement of these results is reliant on appropriate design and governance of implementation, configuration and set up to ensure consistency with desired records management outcomes.

## Further Information

The following detailed reports and further white papers may be obtained by emailing [info@wisetechnology.com](mailto:info@wisetechnology.com):

***Analysis of MOSS 2007 and SharePoint 2010 against ICA ERMS Requirements, April 2010.*** Full evaluation report setting out detailed results, recommended configuration best practices, detailed gap analysis and supported metadata standards

***How to Guide Implement SharePoint as an Information Management Platform, 2009.*** Best practice guidance on information management strategy planning, implementation, and SharePoint design and configuration as an IM platform

***Business Driven Methods for Information and Knowledge Management Strategic Planning, 2010:*** IM and KM strategies and implementation planning, including a best practice assessment framework covering processes and working practices, systems and tools and governance.

***Future Solutions: Mapped to Succeed, 2010:*** RMAA 2010 workshop introduced by National Archives of Australia, presented by Wise Technology Management demonstrating a best practice implementation of SharePoint 2010 and HP TRIM

***Office and SharePoint integration best practices, 2009:*** Keys to achieving productivity and other benefits from an integrated Office and SharePoint deployment

***SharePoint EDRMS integration best practices, 2010:*** Options for integrating an EDRMS with SharePoint including key design and success criteria