

# Records

## Management For SharePoint



*A sponsored educational guide on records management for Microsoft SharePoint managers*

Kollabria Technology eGuide

March 2010

### What is a record?

*Just about anything ranging from physical paper documents to instant messages, electronic documents, emails, websites and information captured in company databases can be considered a record.*

**Page 2**

### Microsoft SharePoint and Records Management

*As its capabilities grew, SharePoint became a more capable document management repository for Microsoft Office documents.*

**Page 3**

### How SharePoint Handles Records

*A key consideration regarding records management is how documents are handled in SharePoint.*

**Page 4**

### SharePoint Security and Permissions

*Carefully designing file plans that include what employees can do with records is of utmost importance to maintain proper records management rigor.*

**Page 5**

### Extending SharePoint Records Management

*Extending SharePoint's native capabilities through third-party solutions has many advantages over trying to build custom applications, especially in the area of records management.*

**Page 7**

### Introduction to HP TRIM

*The software is powerful, secure and easy to use. Its native security architecture has met DoD certification standards for over a decade.*

**Page 8**

## What is Records Management?

### INTRODUCTION

The International Standards Organization (ISO) defines records management as "The 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". Many definitions abound, but this one is the widely regarded standard. Because records management is a professional occupation, with its own certification



**High performance Records Management software helps not only keep your electronic house in order, but your physical documents as well.**

called the CRM (Certified Records Manager), it is important to understand the best practices related to records management in the enterprise from the point of view of professionals engaged in that activity. While the ultimate responsibility for

records management rests with the compliance officer, the management and administration of the SharePoint environment is the ultimate responsibility of the IT department that controls and manages its deployment and application.

A connection needs to be made between the two because as a collaborative information sharing environment both inside and outside of the organization, the "efficient and systematic control" of records is a subject of deep concern to the enterprise, and SharePoint deployments can not ignore those requirements.

This Kollabria eGuide is not intended to be an exhaustive treatise on Records Management and how it

applies to the modern enterprise. Instead it is intended to be an introduction to the basic concepts, requirements, and best practices, as well as a primer on how SharePoint accomplishes records management. This eGuide is a “must read” for SharePoint system administrators, managers or IT professionals responsible for managing content and records, particularly in a SharePoint environment.

## WHAT IS A RECORD?

The worldwide increase in regulations regarding business information and content management requirements has dramatically increased the importance of records management software. In a nutshell, records management software has become as essential as data backup solutions. The excruciating pain and high cost of being faced with a legal request or eDiscovery issue is exponentially higher than the minor expense of records management software. For this reason it is important that IT professionals working with SharePoint understand this subject matter so they can choose the right amount of “coverage”.

Just about anything ranging from physical paper documents to instant messages, electronic documents, emails, websites and information captured in company databases can be considered a record. Naturally, not every single information item is a record, but those that are deemed to be records must be managed in a systematic way. Therein lies the rub, while everyone in the organization is involved in records management,

both the determination of what is a record and the systematic way in which records are managed, once that determination has been made, is usually decided by the compliance officer or records manager.

## RECORDS MANAGEMENT POLICIES- WHAT AND WHY?

Companies, and government bodies have spent many years developing a variety of regulatory policies that specify the systematic principles, features and requirements for managing physical and electronic documents throughout their lifecycle from origination through disposition. In the United States, the best known and most widely used standard for these systematic principles, features and requirements is the Department of Defense records management standard known as the DoD 5015 specification. This specification is continually modified and amended as technologies and requirements change. The most current iteration is DoD 5015.2 version 3, and all records management software sold to the U.S. Government must be DoD 5015 certified. While its origin is in government, the thoroughness of the standard is considered the absolute level of “coverage” for commercial enterprises as well. The principles it specifies are applied to documents and information items at various stages in their lifecycle depending on the nature and content, including the existence of any classified content, privacy, considerations and security requirements.

Records managers and compliance officers use these DoD guidelines, as well as other industry standards such as ISO 15489 and MoReq, to

determine records management policies that are then carried out and applied by individual workers handling documents and information items. These policies determine not only the items tagged as records, but the systematic steps each record must go through for proper management and disposition. Of primary importance is the element of security.

## RECORDS MANAGEMENT SOFTWARE

In the early 1990s when electronic document and content management software began to proliferate, the records management software that existed underwent a significant overhaul and modernization. New products that could keep pace with the rapidly evolving world of enterprise content management revolutionized the records management profession and the entire concept of electronic records management. In lay-person terms, the resulting records management solutions can be classified into four groups:

**Enterprise Records Management Software** - Records management software that can be deployed across the entire enterprise to manage data of any kind as records, while simultaneously providing physical records management support for the analog world.

**Electronic Records Management Software** - Software that allows for the systematic management of records in the digital world.

**Physical Records Management Software** - Software that provides for the management of information in the

physical or analog world. (Think paper boxes, microfilm etc.)

**Enterprise Content Management Suites** - Software that manages documents, document images, web sites, etc., and has a component within it to provide either electronic or physical records management (in some cases both).

Records management software rarely comes in a one size fits all and there are significant differences between the above categories and between products within each category. **Enterprise Records Management (ERM)** software provides the highest level of capability. ERM not only covers collaborative environments like SharePoint, but can be used to manage any and all data silos in the enterprise as a single platform. ERM typically provides physical records management as well.

The next two product categories are self explanatory in that they either manage electronic records or just physical records, but not both. In many cases the software can only work on one data set at a time and cannot be deployed with a single consistent interface across the enterprise.

Records management functionality is often included as part of an ECM suite. The records management capability is a functional requirement of the suite itself, and while it allows you to perform records management, it typically only works for content housed within the suite itself. Secondly it may or may not be ISO or DoD standards compliant. Finally, its functionality is usually customized to be relevant to the uses and

application areas of the suite, not to records management in general.

So, while any records management software can make your compliance and eDiscovery burden easier, and ultimately improve your business productivity, an important issue in realizing the benefits of the software is the systemic standards employed when executing records policies. Supporting the aforementioned standards is a significant certification requirement for any records management software. Standards determine the systematic manner in which records are treated and this goes along way to defend your legal argument should there be a question about the manner in which records management policies were carried out. These standards call for and describe specific capabilities like:

#### **RELATIONAL INTEGRITY -**

Assurance that “children” in a database are updated or deleted;

**RENDITION** - Replication that provides the same content but differs from the reference because of storage format, or document format such as PDF and TIFF, etc.;

**MOVE** - Function that allows the user to relocate records and metadata.

How the software implements classification, file plans, retention and disposition and many other activities is a key component in assuring a defensible compliance argument, and executing a pain free eDiscovery or legal request.

## Microsoft SharePoint and Records Management

SharePoint was originally built as a tool for extended collaboration around Microsoft Office documents. It allowed portals to be built as meeting places where documents could be added, modified and eventually published to a website. As its capabilities grew, SharePoint became a more capable document management repository for Microsoft Office documents.

As of Microsoft Office SharePoint Server 2007 (MOSS), the system has grown into a very capable document management system leveraging MSSQL server as a backend to better manage document routing and handling. Customers began to expect SharePoint to handle many common document management tasks - including records management. This section looks at how SharePoint defines records management, the way records management is handled in SharePoint and identifies changes and improvements to records management in SharePoint from MOSS 2007 and SharePoint 2010.

A record, as defined by Microsoft, is a document or physical entity in an organization that serves as evidence of an activity or transaction performed by the organization and that requires retention for some time period<sup>1</sup>. With this in mind, SharePoint was designed to offer records management for documents in its repository. This means any content in SharePoint can be treated as a record. However, much of the planning and process for records

management is handled externally to SharePoint. Documents that reside outside of SharePoint's repository are not natively managed by SharePoint's records management capabilities.

## THE SHAREPOINT RECORDS CENTER

The key feature for records management in SharePoint 2007 is the Records Center Site - a SharePoint site dedicated to managing records. SharePoint 2010 has added the ability to do both: manage records "in place", or in a dedicated Records Center Site. The site is a records repository built into SharePoint for handling records management and compliance. Documents classified as records are copied to the repository and are managed from within this site (or sites). The records classification process can be completely manual - a document is declared a record via clicking on the 'Send to Records Center' command, or it can be automated through workflows. A document can be declared a record at a certain point in the workflow and will be automatically routed at that time to the Records Center.

The record center is a specially-configured site designed to handle the general rigor of records management. It contains the libraries that hold each specific type of record within the organization. Each library is designed for a specific record type as defined by the organization's records manager. This means each library holds the specific metadata and manages policies for auditing and retention for one specific record type. This granularity allows for proper maintenance of each type of record within the organization.

When a document is declared a record, an instance of the document, associated metadata and any current audit history is copied to the records center. The site then parses the record to the correct library via the records routing table. The routing table is used to identify the document entering the records center site, validate the document, and submit the document to the appropriate library. The validation process reviews the document and the metadata to ensure it contains all of the relevant data required to be submitted. If metadata is missing, the person who submitted the record is notified and required to fill in any missing information before the record can be entered into the repository. Records that are routed to the repository automatically are held in an Unclassified Records document library by default until a records manager reviews the document and classifies it accordingly.

Once in the Records Center repository, records are maintained according to the policies assigned to the library. In most cases, this would mean user permissions are applied so that only the appropriate users have access to the document, auditing is activated to monitor who accesses the document, and expiration for the record is established. These policies are specific to each library in the records center to allow granular control over each type of record in the organization.

The policies manage the lifecycle of the record from declaration to disposition. Once in a record library, a record must adhere to the policies applied to it with the exception of a

legal hold which will suspend the policies applied to a record for a temporary period time during legal discovery. After the hold is lifted, all policies return and are back in effect as originally applied. It is noteworthy to mention that in SharePoint 2007 formal records exist only in a records center site and it is in this site only that the records compliance rigor is applied. Documents outside of the records center are not managed as compliant records at all. SharePoint 2010 offers the ability to handle records in place, but this applies only to SharePoint native content and will be explained later.

## HOW SHAREPOINT HANDLES RECORDS

SharePoint's records management capabilities allow for document compliance on native SharePoint content only, but many issues need to be taken into account when considering SharePoint as a sole records management solution - particularly understanding how documents are handled.

A key consideration regarding records management is how documents are handled in SharePoint. Documents contain metadata that determine how it is to be handled in SharePoint. These data define user and/or group rights (as determined through Active Directory), document classification, and levels of auditing. A document that is declared a record is copied to the Records Center repository which means that the original document is kept in place with its original properties - and no indication that it has been declared a record. The version copied to the Record Center is now under the



records management rigor including access and expiration rights, but the original document is left unaltered. If changes are made to the original document after it was declared a record, a new record must be declared of the modified document. Likewise, if the original document resides as copies in multiple sites but is declared a record in only one location, the other copies are not affected. This can result in a series of 'records' that are essentially the same document until the original document is secured in its original location - adding a level of complication to the legal discovery and document management processes.

When considering the enterprise, it is important to consider not only the documents managed by SharePoint, but records outside the SharePoint environment including physical records. Total compliance with records management standards also needs to be addressed as part of the enterprise plan.

## RECORDS DECLARATION IN SHAREPOINT

Records management and compliance rules are defined externally to SharePoint. While the Records Center handles all items of record within it, the decision to declare a record is based on external company policy. Therefore, a document may be declared a record in error, or a document that should be declared a record is ignored, altered or removed from the system. SharePoint offers automation for records through its workflow capabilities, but that is provided that the workflow process was defined with the assistance of the corporate records authority to

properly define when the document becomes a record, and when that document is copied to the correct library. Defining a solid file plan by a qualified records manager is extremely important for handling records in SharePoint.

SharePoint 2007 is capable only of managing SharePoint content as records. This means that in order for an item to be declared a record it needs to reside in SharePoint. As a result, items not in SharePoint - like DVDs, the physical paper forms of contracts or standalone file servers not managed by SharePoint - are not natively maintained within the records management library. It is possible to manage external content, but it requires building a SharePoint List, and then manually maintaining that list in the Records Center. The list may contain the required metadata for the physical record, workflows that automate records declaration, forms created in InfoPath, etc. It is worthy to note, that if both a physical copy of a contract and an electronic copy of a contract are being managed simultaneously, the records management occurs in two separate libraries and can even occur in two separate Records Center sites.

### Emails as Records and SharePoint

Emails can be managed as records in SharePoint through a connection to Microsoft Exchange. Managed folders can be created in Exchange that are linked to SharePoint. When an email is dragged to a managed folder, that email will be processed and submitted to the Records Center. It is the employee's responsibility to manually move the email to the correct managed folder in order to

make an email a record. If metadata is missing, the managed folder will automatically produce a message requesting the proper information before the email is submitted. If an employee mis-identifies an email an erroneous record may be created, or an email that rightfully should be a record may be missed. Clear and understandable managed folder names and proper user training must be used to mitigate errors in email records submission.

## SHAREPOINT SECURITY AND PERMISSIONS

The security policies of SharePoint also have an effect on records management. SharePoint natively uses an inheritance method for security rights based on settings in Active Directory. This means that a user's right to read or edit a document in SharePoint is determined in by privileges set initially in Active Directory, then for a given SharePoint Site, and finally the document itself. These permissions stay with the document until they are changed. If a document was saved in a site where a user has edit access and it becomes a record, the user still has edit access to the document. Carefully designing file plans that include what employees can do with records is of utmost importance to maintain proper records management rigor.

As one can see, the majority of the issues with managing records in SharePoint revolve around supporting and maintaining rigorous compliance for legal requirements. The baseline standard for legal records compliance is the Department of Defense (DoD) 5015.x standard for electronic records management. This

standard sets very strict guidelines for how a record is managed in an electronic management system. This standard meets government level compliance for records and is often considered a baseline for determining whether or not a record was properly managed, or if it was in violation of a compliancy requirement. Part of this determination is dependent on the type of record that is being managed and the context of why the record's stewardship is being challenged for legal reasons.

SharePoint's native records management capabilities are not DoD 5015.x compliant and will not fully reach that level of certification. There was a resource kit available from Microsoft that added this level of certification, but it excluded classified documents (DoD 5015.2 chapter 4 certification) and was not considered a complete solution. The certification of the resource kit has since expired and is no longer offered as a solution for MOSS 2007.

The primary reason for being unable to achieve certification is due to the relative openness of SharePoint as a whole to the enterprise. SharePoint was designed to allow users to share documents and collaborate easily. The infrastructure therefore requires a relatively open way to share information. DoD-grade records management is in conflict with open communication, especially in terms of security and secure access to records data. If DoD compliance is a requisite baseline for records compliance, SharePoint can be extended through third-party records management solutions that allow both the open connectivity of SharePoint with the

necessary rigor of DoD 5015.x electronic records management.

The information above discusses records management as it applies to MOSS 2007. SharePoint 2007 is the most actively-used version of SharePoint at this time. However, SharePoint 2010 has made several changes to how records are managed across the repository, most notably the ability to manage records in place.

#### MANAGING RECORDS WITH SHAREPOINT 2010

SharePoint 2010 has provided the capability to manage records in place. This means that a document can be declared a record without having to copy it to a records center site. The document becomes locked in its current site and immediately follows records policies for that particular record's content type. The record has the ability to stay in the existing site, and be moved at a later time which can be useful for keeping certain records in context. The trade off with how SharePoint 2010 manages records in place is that it makes legal discovery more complicated.

One advantage to holding records in place is the ability to maintain the record's context. The record is kept within the site it was created in providing a logical association of the formation of the record. If a SharePoint site was built for collaboration to obtain a major contract, having the actual contract record kept with its supporting documentation may make sense. Plus, displaying the record in the site with a distinct icon indicating it is a record provides a visual cue to the site members and therefore mitigates

accidental alteration of the original document. Declaring a record in place works directly on the document in question and does not create a copy.

SharePoint 2010 also maintains the more traditional Records Center site for records similar to MOSS 2007. Both forms of records management can be operated simultaneously within SharePoint 2010. However, the decision to declare records in place or use the Records Center needs to be weighed thoughtfully.

#### RECORDS IN-PLACE VS. RECORDS CENTER SITE

The Records Center site, as its name suggests, is a new site within the SharePoint Farm. All records that are kept in the site are easy to search, but are taken out of context from the original site where the document was declared. This also adds an additional site that needs to be maintained by the SharePoint Administrator. Using a records center site allows a records manager to have ultimate control over the records.

Having a dedicated Records Center allows for easy records maintenance for the records manager. All records are in one place. However, it can make things more difficult for the collaborators who created the record originally. A link would need to be manually created in the original site to connect to the record now residing in the Record Center.

Maintaining records in place makes working with records easier for the collaborators that created the record. It keeps the record in the original site and provides an identifiable icon indicating that the document is now a record. However, the record now

follows different policies than the rest of the document in the site. Moreover, as a result of SharePoint's native security policies, the record is still subject to the original site's administration policy. This means a person with site administrator permissions can still manage the record like any other document in the site (including the ability to "undeclare" the record). The corporate records manager will now also need to know the location of every site containing a record and be given permissions to have access to maintain the records. You also need to consider, when workflows are not in place, all content in the record center needs to be manually declared and classified, putting the onus on the SharePoint user.

An additional consideration when selecting to maintain records in place or through a dedicated Records Center site is legal discovery - a primary reason records are maintained with such rigor. Records kept in a Records Center site are easy to find for discovery purposes because all records are in one location. Records declared in their original location requires a legal discovery search across each site that may contain information valid in the discovery process. However, for most cases of legal discovery, all collaborative sites in question will be evaluated as part of due process.

## EXTENDING SHAREPOINT RECORDS MANAGEMENT

SharePoint has become a capable document management platform with significant improvements to its records management abilities. In many instances, depending on the

records needs of the organization, SharePoint's records services can handle the task for native SharePoint content. To handle records that are not native or are external to SharePoint, solutions that can extend SharePoint's native capabilities can be added either by customization, or by adding third-party solutions.

Proper design of the corporate file plan from a skilled compliance expert prior to designing the Records Center Site or the decision to manage records in place (in SharePoint 2010) is paramount. If SharePoint's native records management capabilities do not extend enough to handle specific compliance functions for a given organization, they can be modified by building directly on the SharePoint platform using Visual Studio, or by extending SharePoint's native capabilities through a third-party solution.

Designing a custom solution through Visual Studio allows for highly customizable applications built specifically for the organization. However, records management is a highly specialized skill and building customizations to meet records compliance standards will require a lot of time and expense - including requiring each new function to meet the approval of a compliance officer. Further, since SharePoint is currently not in compliance with Department of Defense standard 5015.x, trying to build to that level of compliance would be even more complex, requiring more time and money. In addition, there is the distinct possibility that it may even fail to reach the proper level of compliance.

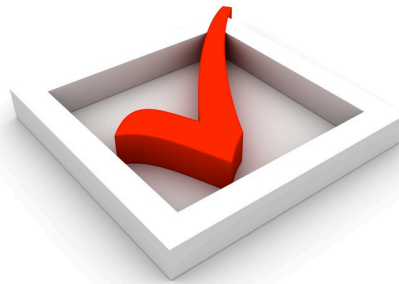
Extending SharePoint's native capabilities through third-party solutions has many advantages over trying to build custom applications, especially in the area of records management. A third-party records management solution may already have DoD 5015.x security and compliance and may resolve other issues that arise from SharePoint's native records handling. Plus, a well-built third-party solution will integrate wholly into SharePoint providing all of its capabilities without interfering with the users normal work experience. Extending SharePoint in this way allows end-users to continue using the familiar SharePoint and Microsoft interface which increases acceptance and adoption of the new third-party solution.

"What is records management?" Microsoft TechNet: Resources for IT Professionals. Microsoft, 26 Feb. 2009. Web. <<http://technet.microsoft.com/en-us/library/cc261982.aspx>>.



# HP TRIM

*An exceptional example of the type of solution discussed in the white paper above is HP TRIM. Specifically designed for enterprise records management in SharePoint, HP TRIM provides a solid solution for any corporate or institutional environment*



## Introduction to HP TRIM

HP TRIM software is records management and compliance software built from the ground up. It was created specifically for records management - designed to meet all aspects of compliance from both the International Standards Organization (ISO 15489) and the United States Department of Defense (DoD 5015.2) and does so "out-of-the-box" without any add-ons or modifications. It is the de-facto standard for records compliance software.

The software is powerful, secure and easy to use. Its native security architecture has met DoD certification standards for over a decade. HP TRIM can be scaled to handle hundreds of thousands of users and

billions of documents, and yet maintains an easy and intuitive user interface aimed at keeping up a compliant records management rigor to all content regardless of the originating application. This focus on strict records management combined with a simple interface adds great flexibility to HP TRIM.

These features and flexibility make HP TRIM ideal for expanding upon Microsoft SharePoint's collaboration capabilities. It naturally picks up where SharePoint leaves off providing uncomplicated strict records management rigor in SharePoint without any interference to the users' normal SharePoint experience. This integration into SharePoint offers many benefits to both HP TRIM and Microsoft, but provides the ultimate benefit to

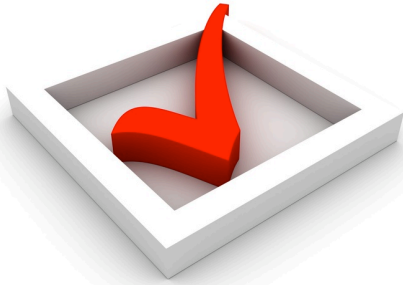
company employees who are familiar with the Microsoft interface and use SharePoint for collaboration.

### EXTENDING SHAREPOINT

Using HP TRIM to expand SharePoint essentially adds features to SharePoint allowing the business community familiar with using SharePoint to have the full capabilities of HP TRIM's strict compliance rigor. The features added by HP TRIM are a necessity to any organization that is required by law to follow very high standards of records compliance. This section will discuss the key features and benefits gained from adding HP TRIM into a SharePoint architecture.

SharePoint is capable of records management on its own, however, its native records management capabilities are limited and only





apply to SharePoint content. Both Microsoft Office SharePoint Server 2007 (MOSS 2007) and SharePoint 2010 are not DoD 5015.2 certified, for example. While Microsoft offered a service pack for MOSS 2007 that added some DoD 5015.2 capabilities to SharePoint's records management, it did not meet full DoD compliance and therefore cannot be certified to full DoD standards. SharePoint 2010 is currently below DoD certification standards as well.

Additional records management features could be added to SharePoint via custom programming with Visual Studio. This option, however, is very time consuming and expensive with a result that is often short of the intended goal. Very few SharePoint developers are familiar with the rigors of full records compliance.

### THIRD GENERATION SHAREPOINT INTEGRATION

HP TRIM on the other hand, is fully DoD 5015.2 version 3 certified for Baseline, Classified, and Privacy and FOI records management. HP TRIM has a SharePoint Integration module that, as its name implies, integrates into an existing SharePoint environment (MOSS 2007 or SharePoint 2010). It is important to note that this is a full, what we at

Kollabria call a third-generation integration and not simply a peripheral web-part or lightweight connection. The result is an environment where HP TRIM completely manages all records compliance from within SharePoint as well as from outside the SharePoint server farm. It does not, however, interfere with any other aspect of SharePoint functionality.

Records management policies are now administratively defined and managed by HP TRIM. This includes a lifetime management policy for all content defined in SharePoint including entire SharePoint sites. A lifetime management policy means that policies regarding the handling of a particular document or piece of content are managed from the creation of the content until its ultimate disposal. There is no gap on how content is managed under these policies. The SharePoint user is unaffected by these back-end changes and continues to perform her or his tasks normally.

### FEATURES & BENEFITS

HP TRIM is extended into SharePoint in a similar fashion through this integration. It is now capable of an extended reach into all content on SharePoint. This is a very subtle, but

important point to consider when integrating HP TRIM with SharePoint. HP TRIM can handle all records management on its own as it was designed to do. However, as a standalone system, HP TRIM's reach is limited to documents it is exposed to. Documents in a fileshare not connected to HP TRIM would be unaffected and therefore not managed. By integrating HP TRIM with SharePoint, all content within the SharePoint farm can be managed by HP TRIM, and all records managed by HP TRIM can be viewed and handled within SharePoint.

Another key feature gained by integrating HP TRIM with SharePoint is the ability to keep records in place and in context, but still maintain a complete distinct set of compliance regulation on the record. In MOSS 2007, records are maintained in a separate records center site where all records policies can be applied, but the record is removed from the existing site and therefore loses its context. SharePoint 2010 has added the new ability to manage records in place, but the strict rigor for complete compliance is not present. A site admin in SharePoint 2010 still has the ability to modify a record kept in place which jeopardizes the records integrity. With HP TRIM managing



the record through SharePoint, policies for maintaining records integrity are kept intact. The permissions on the record are managed under HP TRIM and supersede any permissions set by SharePoint. These permissions even include an individual user's right to see the record in the site. As mentioned earlier, HP TRIM is certified to the world's best practice records management security benchmark, DoD 5015.2 v3 for classified records management. This is essential for organizations concerned with secure access to business records.

eDiscovery is also extended through HP TRIM. SharePoint can either store records in a records center site or in the original site (in SharePoint 2010). However, this means searching for records may need to be done on a site by site basis (i.e. the record center site and any additional sites that may / or may not contain records). HP TRIM manages every record across every site in the SharePoint farm and integrates with SharePoint's federated search capabilities. In addition HP TRIM manages all records in the enterprise regardless of source including physical records. This means all records can be found through one search reducing the



chance of an item being overlooked due to a site being unavailable. This means that legal discovery, investigation and audit processes are greatly simplified providing the confidence that organizations are demanding.

### UNIFIED RECORDS MANAGEMENT

HP TRIM enhances SharePoint's ability to perform unified records management. Unified records management is the ability to simultaneously maintain relationships between records, physical and electronic regardless of where they emanate. - an electronically drafted contract, all the related and iterative documents that were used to produce the contract and its signed paper version for an example. SharePoint can manage both records, but it handles the electronic record in one library and the physical record is maintained through a manually established SharePoint list in a separate library. Having these records in separate libraries runs the risk of a records audit that may run out of synch - challenging the integrity of the record. HP TRIM manages both records in the same library through SharePoint providing a clean, traceable audit trail for both items simultaneously. HP TRIM also



manages physical records (DVDs, paper documents, etc.) and exposes these with ease within the SharePoint environment providing even better context.

### POLICY MANAGEMENT

Policy management is enhanced with HP TRIM. File plans can be implemented across an entire SharePoint farm and documents can be automatically declared records based on these policies. All of the rules and policies are governed through HP TRIM and override permissions established in SharePoint. This ensures the integrity and authenticity of a record in the SharePoint environment. What's even better is that these policies are bound to documents automatically.

Users do not need to identify records. Instead, the records compliance officer defines the policies and the metadata that defines a record. SharePoint can assign metadata to documents automatically based on site, library, etc. When the metadata assigned by SharePoint coincides with the records policy metadata, the document automatically gets declared a record without user intervention and the policies guide the record through its entire lifetime. This is completely transparent to the user.



HP TRIM also adds compatibility with the Freedom of Information Act (FOIA) and Privacy Act. This allows for records to be shared as an image with private information redacted. The image cannot be altered so the redaction stays intact with the shared record.

### ARCHIVAL CAPABILITIES

The archival capabilities of HP TRIM also adds full SharePoint Site archival and retrieval. This means an entire site can be declared a record and can be stored in the HP repository freeing up valuable space in the SharePoint farm. The site, a library or even a single file within the site can be retrieved quickly. The entire site, when declared as a record is subject to the policies and rigor of HP TRIM limiting access to the site and applying proper disposition to the site and the contents therein.

### CONCLUSION

In conclusion, the capabilities of SharePoint are greatly extended by adding HP TRIM which provides transparent records management and

seamless site archiving for all SharePoint content. The tight integration allows for robust DoD and ISO records compliance directly in SharePoint. Policy enforcement is automatic allowing SharePoint users to perform their day-to-day tasks without having to be familiar with rigorous records management practices. This translates into greater user productivity and reduced corporate exposure. The added reach provided by HP TRIM to SharePoint extends records management coverage to all enterprise records, including physical records, thereby providing compliance throughout the corporation. HP TRIM provides the robust, granular security and full auditing capabilities for all records across the enterprise. Performance, productivity and compliance makes HP TRIM and SharePoint a winning combination for any organization.

### *A Note From the Authors*

*The goal of this educational guide is to clearly and concisely explain records management and to outline its benefits within the SharePoint environment.*

*We have provided a primer on records management within the SharePoint environment and discussed how the records management process can be significantly streamlined using state-of-the-art document management solutions.*

*Lastly we have provided a review of a leading edge software solution called HP TRIM, specifically created to address many of the issues discussed in this educational white paper.*

*Thank you and Best Regards,*

*Raimund Wasner*

*Barry Baronas*



## COPYRIGHT INFORMATION

*This book is the property of Kollabria & ECMsharepoint Corp. and is made available upon these terms and conditions. Kollabria reserves all rights herein. Reproduction in whole or in part of this book is only permitted with the written consent of Kollabria. This report shall be treated at all times as a proprietary document for internal use only. This book may not be duplicated in any way, except in the form of brief excerpts or quotations for the purpose of review. In addition, the information contained herein may not be duplicated in other books, databases or any other medium. Making copies of this book, or any portion for any purpose other than your own, is a violation of United States Copyright Laws. The information contained in this report is believed to be reliable but cannot be guaranteed to be complete or correct.*

### Raimund M. Wasner - Biography



Raimund Wasner has a diverse technology background ranging from his time at the University of California at Berkeley where he led a language and translation project to create the worlds first hand talking translator for Sharp Corporation. As Senior Vice-President of BIS Strategic Decisions (now Forrester Research), he designed and directed the first market research practice in document imaging, workflow, document management technologies. ([click here for more](#))

### Become a subscriber:

Registered members have access to educational material found in the Kollabria guidance section of the site. Member registration is FREE.

[Kollabria - the voice behind techinfocenter.com](http://Kollabria - the voice behind techinfocenter.com)

### Kollabria

**800 Hingham Street, Suite 111s  
Rockand, MA 02370  
866-557-9974**

### Barry Baronas -Biography



Barry Baronas is an experienced network, security and IT management professional. For the past two years as Research Director in the Kollabria ECM team, he has spent every waking moment of his workday on developing a solid understanding the business benefit of ECM technologies and the impact they have streamlining business processes and generating return on investment for the modern enterprise. He has

focused much of his effort on developing a comprehensive understanding of the benefits and features that various ECM products and technology vendors promote in order to give practical advice to businesses eager to adopt such solutions.