Using MS SharePoint as a recordkeeping tool: pros and cons

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Outline

• Introduction
• MS SharePoint
  – Basic information
  – Shortcomings
• Distinguishing records management and archives management
• Comparison amongst international organizations
Introduction – ISO standard

• Records are defined as “information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business” (ISO 15489-1: 2016 Definition)

• Managing records is based on the following principles (ISO 15489-1: 2016 Section 4):
  a) the creation, capture and management of records are integral parts of conducting business, in any context;
  b) records, regardless of form or structure, are authoritative evidence of business when they possess the characteristics of authenticity, reliability, integrity and useability;
  c) records consist of content and metadata, which describes the context, content and structure of the records, as well as their management through time;
  d) decisions regarding the creation, capture and management of records are based on the analysis and risk assessment of business activities, in their business, legal, regulatory and societal contexts:
Introduction – ISO standard

• Managing records is based on the following principles (ISO 15489-1: 2016 Section 4):
  
  d) **systems for managing records**, regardless of their degree of automation, enable the application of records controls and the execution of processes for creating, capturing and managing records. They depend on defined policies, responsibilities, monitoring and evaluation, and training in order to meet identified records requirements.

• **Records systems** comprise a number of elements that are combined so that identified records requirements can be met within a given business environment. Records systems should (ISO 15489-1: 2016 Section 5.3.1):
  
  a) apply **records controls**;
  
  b) carry out processes for creating, capturing and managing records and
  
  c) support the creation and maintenance of logical relationships between records content and metadata for records.
Introduction – ISO standard

• What are these records controls? (ISO 15489-1: 2016 Section 8.1)
  • Records controls should be developed to assist in meeting records requirements. Records controls include the following:
    a) metadata schemas for records;
    b) business classification schemes;
    c) access and permissions rules;
    d) disposition authorities.
  • Records controls may be designed and implemented in a variety of forms, depending on the technological and business environment.
  • Therefore any organization that wishes to institute a records system (aka recordkeeping system) needs to ensure that the system can fulfill these requirements.
MS SharePoint – basic information

• It is a web-based application that was first launched in 2001 and has seen many iterations since then.
• SP is used extensively around the world and many organizations do not have a choice in terms of whether to purchase it or not. It may already be provided with the licencing of MS Office Suite.
• There are various editions that serve different functions
  – SharePoint Server
  – SharePoint Standard – Sites, Communities, Content, Search, Composites
  – SharePoint Enterprise – Search, Business Intelligence, MS Office services
  – SharePoint Online – bundled with MS Office 365, integration with Yammer and Office 365 groups
MS SharePoint - shortcomings

Can SP be used as a recordkeeping system?

• Some commentators have argued that SP doesn’t offer records management features on an out-of-the-box basis. For this reason a number of third party products have been developed that address the shortcomings that include:

• **Inability to manage non-digital records.** Therefore third-party products assist in creating, and customizing hierarchical structures for physical holdings with features including boxes, folders and records. In addition they allow for generating both single barcoding (available in SP) and bulk barcoding (not available in SP) using configurable MS Word document templates. They also have customized circulation, destruction and transfer workflows for these non-digital records (not available in SP).
MS SharePoint - shortcomings

- **Inability to have out-of-the-box unique identifiers** as well as automated content categorization (i.e. identification of potential records for declaration).
- **Inability to automatically auto-populate metadata** for documents that have been declared records and therefore requiring assigning to file plan categories, retention policies and compliance processes.
- **Inability to have event-based records retention** as well as multi-stage retention policy since this has to be manually configured on content type or library and maintained every time the environment changes.
- **Inability to have bulk, multi-participant, disposal approval workflow processes** for both digital and non-digital objects but rather on an item level for only digital objects.
- **Inability to have a file plan concept** but only manually inferred from manually created site, library and folder structure.
MS SharePoint - shortcomings

• **Inability to have automated auditing captures** for all additions, updates, dispositions, deletions and views.

• **Inability to store content and metadata in multiple languages** (it only supports multilingual presentation support for publishing pages).

• **Inability to automatically execute records management-aware reporting** across all record criteria including records categories, content types, record state (potential or declared record), retention policy, disposition action, vital records etc.

• There is time-based records retention but **doesn’t offer retention options** for either standard, fiscal or calendar calculations.

For this reason the following third-party products were identified as addressing these short-comings and the features **as advertised on their websites**.
<table>
<thead>
<tr>
<th>Product</th>
<th>Feature</th>
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</thead>
<tbody>
<tr>
<td>Collabware CLM</td>
<td>- Offers robust and advanced physical and electronic records management</td>
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<td></td>
<td>- Has been officially accepted for United States Department of Defence 5015.02-STD compliance verification</td>
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<td></td>
<td>- Fills the records management gaps of SP out-of-the-box</td>
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<td></td>
<td>- Is an end-to-end solution that manages content upon creation (before it becomes a record) to disposition</td>
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<tr>
<td>Gimmel Compliance Suite for SP</td>
<td>- Create a hierarchical file plan in a rich client interface that deploys to all site collections globally</td>
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<td></td>
<td>- Centrally update disposition schedules for existing records in different locations</td>
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<td></td>
<td>- Distribute responsibility of file plan classifications to different team members</td>
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<td></td>
<td>- Configure file plan structure and information policy, independent of the SP architecture</td>
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<td></td>
<td>- Enable users, record managers and administrations to create, move and copy records</td>
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<td></td>
<td>- Processing and approval to start the retention period for records</td>
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<td></td>
<td>- Export records into validated format, ensuring contextual links</td>
</tr>
<tr>
<td>Product</td>
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| Colligo Email    | • Allow users to easily tag, store, and manage content, including emails and attachments, directly from everyday tools like Outlook, Windows Explorer and Mac Finder.  
| RM in SP         | • Access and manage SP from Windows, Mac and iOS devices.  
|                  | • Retain control over corporate content with secure support for mobile devices.  
|                  | • Use SP in-place records management for secure email records retention and disposition.                                                                                                                                                                                                                                             |
| Record point (OBS) | • Classify, retain, and manage content by creating Rules that tie together metadata patterns to a record classification  
|                  | • Manage your entire information governance program across SP and Office 365  
|                  | • Build hierarchical Classification or File plans within RP or import them from another tool.  
|                  | • Manage the disposition of records and files that have reached the end of their retention.  
|                  | • Export and import records by level of aggregation (box, file or record)  
|                  | • Manage physical and hybrid records along with electronic records in SP all in the one interface.  
|                  | • Permanently reference records, files and boxes using a configurable, fully customizable number or series.  
|                  | • Additional features which enhance SP’s native security model and audit tracking ensuring the integrity of your records.  
|                  | • Capture and manage Facebook posts and Twitter feeds as records.  


Distinguishing records management and archives management

- Records and potential records in motion (RIM)
- Records at rest (RAR)
Comparison amongst international organizations (informal survey conducted in 2015)

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<th>A</th>
<th>B</th>
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<tbody>
<tr>
<td>Enterprise Content</td>
<td></td>
<td>SP (and others)</td>
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<td></td>
<td>SP</td>
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<tr>
<td>Management (non</td>
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<tr>
<td>Document Mgt</td>
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<tr>
<td>Records Mgt</td>
<td>Livelink (OpenText)</td>
<td>eDocs (OpenText)</td>
<td>Documentum</td>
<td>Documentum</td>
<td>Livelink (OpenText)</td>
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<tr>
<td>Archives Mgt</td>
<td>Livelink (Physical Objects Module)</td>
<td>AdLib</td>
<td>HP Records Manager</td>
<td>ICA AtoM</td>
<td>Livelink (Physical Objects Module)</td>
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## Comparison amongst international organizations

(informal survey conducted in 2015)

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<tbody>
<tr>
<td>Enterprise Content Management (non Document Mgt/ Records Mgt)</td>
<td>SP (and others)</td>
<td>SP</td>
<td>Oracle E-Business Suite</td>
<td>SP</td>
<td>SP</td>
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<tr>
<td>Document Mgt</td>
<td>eDocs (OpenText) moving to Content Server</td>
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<td>Oracle WebCenter Content</td>
<td></td>
<td>Documentum</td>
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<tr>
<td>Records Mgt</td>
<td>eDocs (OpenText) moving to Content Server (with SP interface from OpenText)</td>
<td>Livelink (OpenText)</td>
<td>Oracle WebCenter Content</td>
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