Enhancing SharePoint's Records Capabilities
Real Life Cases for 3rd Party Solutions

December 9, 2013
Agenda

• About the Speaker and his Company
• What is Driving Information Management
• Why SharePoint? Why Not SharePoint
• Use Cases
  – Compliance Challenges
  – Cloud Challenges
About the Speaker

Member of the Executive Team at Gimmal
Helped found an RM company in Vancouver
25 Years Developing and Marketing Technology
20 year Providing Software to the Public Sector

20 Year ARMA Member
Member of the 1st ARMA ERM Committee to comment on the DOD Standard
Subject Matter Expert in RM Technology & Programs
Has delivered over 100 presentations over 20 years at various Universities & Trade Association seminars

Past Presentations

MER Conference
ARMA International, Regional and Local Chapters
AIIM
FOSE
UBC, SLAIS
University of Washington
Vancouver Community College
About my Company

Gimmal is the Information Management Expert

Headquartered in Houston TX.
110+ employees Worldwide (wholly owned)
Revenues: $25 Million annually
Globally Managed Microsoft Partner
Business Critical SharePoint Partner
Microsoft-SAP Unite Program Partner

Gimmal focuses on:
Information Governance for SharePoint
Targeted Business Solutions
Business Application Interoperability
Formal Records Management
Centralized Information Management

From PLANNING to DEPLOYMENT and long-term SUPPORT...
US Federal Mandates Driving Information Management...

**Driving Core Records**
- All permanent records must be managed in digital format by 2019.
- Email must be managed in electronic format in a Records Management system by 2016

**Driving Consolidation**
- The intent is to improve performance and promotion of openness and accountability by better documenting agency actions and decisions

**Driving Cloud**
- Requires that all agencies move new IT systems to the cloud if possible, to lower operating costs and to consolidate applications

**Driving Accountability**
- Mandates that all DoD organizations be “audit ready” by 2016
- Must be able to pass financial audit process for all financial transactions and asset management
How can we show value with Governance?

Records management is not enough:

true information governance protects intellectual property (IP), helps exploit it effectively, improves IT performance and performance management, and cuts costs.

1. Reducing storage costs
2. Decreasing the cost and risk of e-discovery for litigation
3. Enabling regulatory compliance (or, avoiding non-compliance)
4. Improve IT efficiency and responsiveness

Gartner, “IT Cost Savings With Information Governance” - April, 2012
SharePoint is a popular platform...

So what are we using SharePoint for?

What were your two main reasons for implementing SharePoint?

- Access to corporate content and the ability to “share” that content
- Why aren’t we doing this?
The Information Management Ideal

When a document enters the organization it is managed immediately.

Centralized Management

Access & Governance

Unified Policy

Connecting to business systems, legacy repositories, & managing content “In-Place”

Discovery & Long-term Preservation

Legacy Records System

File Shares/ System

Traditional ECM System

“In-Place”

Information Management for Everyone

The Information Management Ideal

Centralized Management

Access & Governance

Unified Policy
SAP processes are not always Content Enabled. Organizations look to leverage content by connecting it (and people) to business processes & workflows. Executing on actions bi-directionally.

SharePoint can be the connecting factor to help content enable SAP.
SharePoint Case Study: Compliance Challenges

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Canadian Privacy Commissioner: Bringing Certified Compliance to SharePoint

**Goals and Objectives**
- Uncontrolled information growth; increasing IT costs
- Numerous disparate content repositories; no single source of truth
- Strong focus on compliance and records management

**Value Gained**
- Improved access through centralized management
- Unified policy management
- Connected data sources
- Certified RM to replace legacy system
## Extending Full Formal Records to SharePoint

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<th>Retention Policies</th>
<th>Time-based retention</th>
<th>Classification</th>
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**Built Inside SharePoint**

- Leverage Current SharePoint Investment
- Leverage Current Hardware Investment
- Reduce Change Management
- Content Remains inside SharePoint

**SharePoint**

- Fortune 1000
- Department of Defense 5015.2
  - Chapters 2, 3 & 5

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RIMtech Inc, Bruce Miller, GimmalSoft Compliance Suite, A First Look
SharePoint is the centralized content and records repository for unstructured content.

Delivery of content to multiple channels through integration of enterprise applications with SharePoint.

Improved search, access and legal holds through SharePoint.

Reduced risk through centralized governance and RM.

Lower redundancy and IT costs with “built inside” SharePoint solution.
SharePoint Case Study: An Ascent to the Cloud

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US Federal Mandates Driving Information Management...

**OMB Managing Government Records Directive (NARA)**
- All permanent records must be managed in digital format by 2019.
- Email must be managed in electronic format in a Records Management system by 2016.

**Presidential Managing Government Records Directive**
- Requires all agencies to reduce duplicative solutions and modernize business processes to improve the way government works.

**Cloud First Directive**
- Requires that all agencies move new IT systems to the cloud if possible, to lower operating costs and to consolidate applications.

**Audit Readiness**
- Mandates that all DoD organizations be “audit ready” by 2016.
- Must be able to pass financial audit process for all financial transactions and asset management.

Driving Core Records  Driving Core Records  Driving Cloud  Driving Accountability
Scattered Clouds...

50 Million Enterprises

Those using Office productivity in the Cloud:

8%

INHIBITORS

1. Security compromised
2. Compliance
   - Regulatory
   - Data Sovereignty
3. eDiscovery costs

Gartner, “New Developments in the Cloud Office System Market” - May, 2013)
What are your plans to leverage the Cloud?

"Where do you expect to deploy SharePoint 2013?"

- On-premises: 62%
- Hybrid of on-premises and online: 26%
- Online in a Microsoft partner’s data center (Office 365/SharePoint Online): 4%
- Online in a Microsoft data center (Office 365/SharePoint Online): 8%

The responsibility for “Cloud Governance” remains at home...

Source: Forrester, “Global SharePoint Usage Online Survey,” August 2012
What is the practical step to get us there?

- Email
- Collaboration & Social Media
- Unified Communications

External

Internal

Collaboration & Social Media

Final Work Product & Records
Gimmal Brings DOD Compliance to the Cloud

- Gimmal part of the winning team at US Department of Labor
- Providing DOD5015.2 certified solution for email in the cloud
- Hybrid approach addresses OGC and OIG concerns about records in the cloud
- Helped meet the data center consolidation mandate and the presidential initiative on records management

... **Gimmal** Provided a Hybrid option that allowed DOD5015.2 in a Cloud Environment
<table>
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<th>Resulting Benefits</th>
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<tr>
<td>Lowered costs by leveraging multi-tenant Office 365 environment for email</td>
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<td>Improved confidence with the security of a “Private Cloud” for content and DOD5015.2 certified records</td>
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<tr>
<td>Emails that are records can be declared from O365 to private cloud through simple drag and drop</td>
</tr>
<tr>
<td>Can comply with the “cloud first” and “OMB Managing Government Records Directive (NARA)” directive</td>
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So WHAT DO I GO FROM HERE?
Things to Consider
When would I need a 3rd party tools with SharePoint?

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<tr>
<th>If your retention schedule requires event based retention to be calculated or formal disposition approval workflows</th>
<th>If you require both physical and electronic records to be managed within the same SharePoint environment</th>
<th>If you require transfer of records or digital shredding of content at the end of the disposition cycle</th>
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<tbody>
<tr>
<td>If you require email to be managed as a record</td>
<td>If you require the management of case files in SharePoint</td>
<td>If you need to place and manage holds across multiple sites or site collections in SharePoint</td>
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Realize SharePoint is a Journey

**Initial Deployment**
Deploy collaboration sites that connect teams, improve access to information and increase productivity

**Broad adoption**
Deliver advanced workloads that broaden adoption, drive compliance and reduce the cost of maintaining multiple systems

**Business Solutions**
Build tailored business - critical solutions that provide insights, improve decisions, and increase organizational agility
Gimmal is focused on Governance Innovation

Mobility  Social  Cloud  Big data
Questions
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