

Metataxis

Evaluating SharePoint for Records Management

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In other words...

Can you “do”
Records Management
in SharePoint?

Yes...

But...

About Metataxis

- Information management consultancy
- Not SharePoint specific – not Microsoft partners
- Worked on 40+ SharePoint projects
- All aspects of SharePoint - QA, strategy, requirements, information architecture, interface design, implementation, training, governance – everything but development
- Micro-organisations (20 staff) to corporates (100,000+ staff)
- Projects from 2 days to 2 years
- We like and use SharePoint...2003, 2007, 2010, 2013, 2016...

Some of our (100+) clients



What is SharePoint?

What is SharePoint?



“Office SharePoint Server 2007 provides a single, **integrated** location where employees can efficiently find organizational resources, access corporate knowledge, and leverage business insight to make better-informed decisions.”



“The **business** collaboration platform for the enterprise and the web.

- Connect and empower people.
- Cut costs with a unified infrastructure.
- Rapidly respond to business needs.”



“SharePoint 2013 is the new way to work together. A simplified user experience helps **you** organize, sync and share all your content. New social capabilities make it easy to share ideas, keep track of what your colleagues are working on, and discover experts you never knew existed.”

Functions in Microsoft Marketing speak

User Experience Modern look-and-feel, simplicity, animation, focus on core tasks	Work management Full-spectrum PM, unified tasks, site mailbox	Cloud Office 365, Azure services, external sharing, internet sites	Interoperability Business connectivity services, hybrid, OData, Duet	New app model Web standards, easier dev and deployment, marketplace
	Documents SkyDrive Pro for document sync and offline working	Mobile Anywhere access on Windows Phone, and IOS	Compliance Policy and discovery across SP/Exch/Lync, Prodiance	Management Upgrade, request manager, efficient file I/O, OAuth
	Internet Personalization, multi-lingual sites, Dreamweaver support	BI Excel 2013, Power View, PowerPivot, Excel services	Search Experience, single core, adaptive, graphical refiners, search apps	Social Personal sites, feeds, communities, follows, likes, Yammer

Functions simplified

- Document management
- Records management
- Collaboration
- Web content management
- Social media
- Business intelligence
- Enterprise search
- Workflow
- (Knowledge management)

- And all these functions can be:
 - Configured easily, kind of...
 - Customised easily, kind of...
 - Integrated easily, kind of...

That means...

It's a general purpose
information management platform,

not an application,
not a dedicated records management system

Why is SharePoint so popular?

- Microsoft's software vision of the future (O365)
- Very well funded
- Many organisations already have it...kind of...
- License (relatively) cheap
- Very broad and deep functionality
- Strongly integrated into Office
- Large ecology of products and services
- Top/highly ranked in many industry reviews
- Because it's Microsoft
- Because there is no real alternative – breadth and depth
- Because it's good enough, in general

Why does SharePoint “fail” most often?

1. No information architecture
2. No ongoing governance
3. Not enough training/support

And also...

4. Unrealistic expectations – stakeholders and project team
5. Too much configuration and customisation
6. Variable usability – not just folders anymore
7. No support for the cultural change needed
8. The project is IT driven

Some SharePoint statistics*

- SharePoint Projects
 - 33% of organisations are “struggling”
 - 28% are “stalled”
 - 40% are “moving forward”
 - 6% describe SharePoint as “a great success”
- SharePoint and Records Management
 - 45% prepared to use it (16% of which need third party products or customisation)
 - 11% of small organisations feel SharePoint still can’t meet their needs
 - 24% of large organisations feel SharePoint still can’t meet their needs
 - 21% already using a dedicated RM system (mostly not linked to SharePoint)

* AIIM Industry Watch SharePoint 2013 “Clouding the issues”, October 2013, © AIIM 2013, www.aiim.org

Document and Records Management in SharePoint

Document Management

- Create, edit, delete
- Find – search, browse, filter, view, sort, group
- Versioning - major, minor or none
- Check in and check out
- Move and copy not simple
- Edit “in page”
- Security and access control
- Auditing
- Workflows
- Rich metadata options
- Rich content structuring options
- Rich navigation options
- Significantly better than any network drive

Records Management

- Since SP2010 – now a viable RM system
- Proper scalability - 10s of million records
- Better functionality
- New functionality
- Better than nothing (includes paper systems)
- Increasingly being used – big RM system procurements gone
- Real-world advice very thin on the ground
- Case studies even thinner on the ground

Records Management functionality

- Manual and automatic record declaration
- Document/record routing mechanisms
- Retention and disposal rules – event, trigger, action, (workflow), (code)
- Retention and disposal can be based on fileplan or content type
- Support holds and e-discovery
- Supports auditing and reporting
- “In-place” and separate “records centre” models
- Very configurable and flexible
- But very information architecture dependent
- Significant simplification of the RM regime often needed

Records Management critique

- Weaknesses

- Email capture
- Non-documents - needs add-ins
- Digital preservation - needs add-ins
- Auditing and reporting patchy
- Security very configurable
- Physical RM possible – need add-ins
- Security model
- Requires mindful design

- Strengths

- Retention and disposal
- Capture and declaring
- Metadata
- Search
- Fileplan and structuring
- Workflow
- Security model
- Integration

Many add-in options for the gaps

- Managing physical records
- File format analysis
- Capturing web pages as records
- Scanning/capture
- Auditing and reporting
- Outlook email management ☆
- Security/permission management ☆

Add-in issues

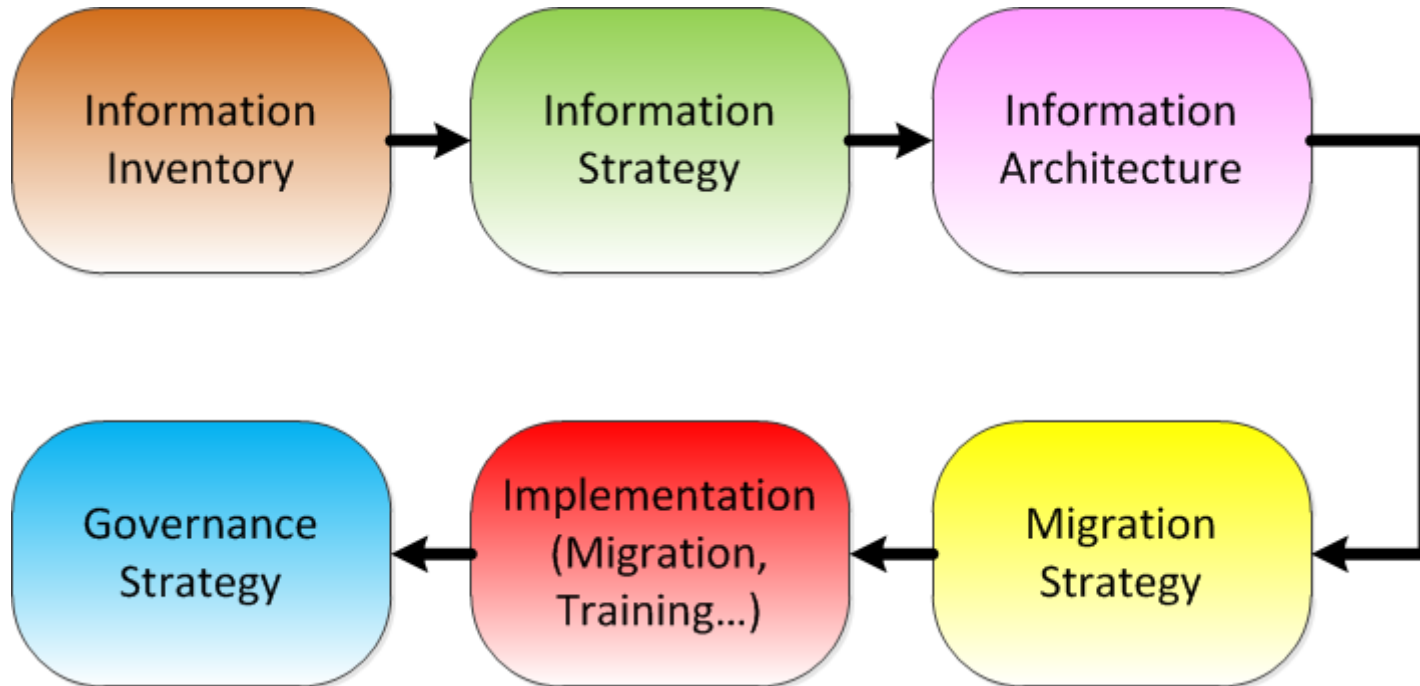
- Free to very expensive
- Simple to complex
- Easy to hard to integrate
- Often overlapping functions
- Many licence models
- Make sure you have budget for the add-in
- Evaluation of each a project in itself
- Make sure you have a budget for the evaluation

What do I need to do to
get SharePoint right?

Understand the context

- Your SharePoint implementation needs a context
- With respect to overall information management
- To be successful you need to think about the big picture...
- ...even if you don't "do" all the big picture
- Not doing so risks an unsuccessful project
- Things to think about:
 - Why am I doing this?
 - What else has to happen before SharePoint?
 - What else has to happen after SharePoint?
 - What other things do I need to think about?

Think of the “Big Picture”



Collect an Information Inventory

- Sometimes called an “information audit”
- May overlap with a “system audit” – but not the same
- Aim is how to get “a handle” on your information
- Or discover the “information landscape”
- The picture now, distinct from what it might be
- Aims are to find out:
 - What information exists
 - What it is
 - Who owns it
 - Where it is
 - How much there is
 - How it is used
 - How it relates to other information
 - What are its characteristics – size, date, format etc.

Have an Information Strategy

- Built on an information inventory
- States why information is important
- Your approach to managing information
- Refers to policies and procedures (but does not include them)
- Sets out the roadmap for development of collections and systems
- *May* contain high level statements about technology
- High level statements about engaging with users
- Helps with:
 - Reducing costs – fewer systems, less hardware
 - Improving findability
 - Improving governance and compliance
 - Improving interoperability
 - Roadmap for where you want to go – systems, content, culture, business

Have a SharePoint Strategy

- What are you trying to achieve? And why?
- Answers more complex than a “typical” IM system
 - Share Point's huge depth and breadth
- What functional areas do I need to:
 - Architect? (all width first at least)
 - Implement? (in phases)
 - Plan for?
- A good plan:
 - Intranet, DM, collaboration – do at once
 - Social media – if appropriate...
 - Extranet (collaboration) – factor into IA (infrastructure issues)
 - RM – really factor into IA – even if you don't do it
 - BI – factor into IA but can come latter
 - Internet – think about last (infrastructure issues)

Have an Information Architecture

One definition of an information architecture:

*A way of organising your information to most **benefit***

An information architecture covers at least:

- Fileplan
- Metadata
- Taxonomies
- Navigation
- Wireframes, look and feel
- Findability (not just search)
- Security model
- Retention and disposal schedules

Have a Migration Strategy

- New systems need to be populated
- That's why you create them in the first place
- Your information is valuable
- Real information in new systems helps users
- And system creators (testing, training)
- Full migration allows decommissioning of old system/s
- Saves money (hardware, licences)
- Saves effort (maintenance)
- Reduces risk (support elapsed, cleaner information)
- Simplifies your “information estate” and “IT estate”
- Strategy on semantic (what), technical (how), planning (when)

The Governance Strategy

Governance myth: *the system will govern itself once deployed*

You will need to define:

- Policies
- Procedures
- Roles
- Responsibilities
- And don't forget...
- ...ways to police them
- ...and resource them

But also consider...

Existing systems

- Will those (non-)SharePoint systems persist?
- DM, intranet and social media especially vulnerable
- What other “systems” can be brought into the fold?
- SharePoint as front-end, a homogenising layer
- Simple information systems easy to (re-)create:
 - Logs, registers
 - Excel and Access
 - Very niche systems
 - Small number of users
 - Paper
 - Commonly – contracts, FOI, planning, bugs, resourcing

Process changes

- Use SharePoint as a change agent – it will be anyway
- Use it to change the information culture
- Use it to change (streamline?) the way things are done
- You may have to change existing processes...
- ...or spend a lot of time and money
- ...go with the SharePoint ways of working

Buy-in and skills

- What is the business case?
- Is there buy in from
 - senior management?
 - middle management?
 - users?
- 80-20% rule, is “good enough” good enough?
- Really bespoke development?
- Skills in house?
- Skills transfer?
- Don't under estimate effort - this is unstructured information!
- Don't assume functionality - beware of the documentation
- A project plan \neq success - get a PM who knows IM

The wider implementation

- Be realistic – don't try to boil the ocean
- Plan for complexity, but...
- ...implement with simplicity (think big, act small)
- The right methodology – agile, but beware of “prototypes”
- The right phasing – many ways to break it up
- New systems require cultural and practise changes
- Have a communications plan - what's happening? when?
- Start infrastructure very early – many options

Training

- System should be as simple as possible, but some training always needed
- Styles
 - Drop-in sessions
 - Formal teaching – expert and standard levels
 - Online FAQs and help
 - Written – Quick Reference Guide only
- Extent
 - IT (easy to get)
 - IM about the system (harder to get) but more important
- Floor walking – kills many birds with one stone
 - Helps less IT/IM literate without slowing down others
 - Support when its needed – actual and imagined problems
 - Builds insight from floor walker
 - But hot-desks complicate it

User engagement

- System will only succeed if users believe it is relevant and useful
- Engage with users to elicit and confirm requirements
- Communicating effectively with users
 - Prior, during and after development
 - Communication should be frequent enough to build interest, but...
 - ...not be too onerous of user time
 - Show added value to users' working lives
- Written communication can be effective if not too complex
- Seeing the system as it is developed is very powerful
- Incentives and punishments for using/not using the system
- Get metrics (qualitative and quantitative)
- “Naming and shaming” - works for the good and bad

The importance of culture

Communication, training, incentives/punishments can only take things so far
Must change the culture (shared history, expectations, unwritten rules, customs)

The system must become part of the culture via fostering:

- Leadership
 - All senior staff actively endorse the system and promote its usage
 - System usage part of appraisals, inductions and organisational development
- System “champions”
 - Engage, encourage and support “change agents” or enthusiasts
 - Grass-roots activists different but as important as senior support
- Understand working practise
 - Goal is to encourage users to work more effectively
 - Must save users time and not burden them with more work (eventually...)
 - Understand user work patterns and account for them
- Cultural change must be worked on continually and must be resourced

Wrap-up

What SharePoint **isn't**...

- An application – it's an entire platform or toolkit
- A panacea (despite what Microsoft/IT departments think)
- As simple as you think
- Usually simple to configure
- Usually simple to migrate large volumes of content to
- Usually simple to manage
- Easy to get right (but it is very easy to “just do”)
- Industrial strength RM

What SharePoint **is/will be...**

- Very good for most IM tasks – especially for SMEs
- Good enough for RM - better than nothing
- Here to stay
- Ubiquitous
- Constantly improving – SharePoint 2016
- Very configurable
- Very customisable
- Very integratable
- Relatively cheap
- The death of all other IM systems?

Final thought

**It's all about
the information**

Metataxis

Questions?

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