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RSD GLASS® Governance Services for SharePoint enables customers to govern all information created in Microsoft® SharePoint from a central location, without being forced to migrate SharePoint content to expensive, proprietary Enterprise Content Management (ECM) repositories or long term archiving systems. RSD GLASS gives organizations a mechanism to apply appropriate policies to information and enforce policy-defined levels of accessibility, protection, and retention. RSD's comprehensive information governance solution enables organizations to use SharePoint for proactively managing the entire information lifecycle across all SharePoint sites.

#### **Enabling information governance within SharePoint**

Collaboration is essential to modern day businesses. Collaboration tools like SharePoint improve efficiency among individuals and teams, accelerating business processes and decision-making across the enterprise. A critical side-effect, however, is the generation of vast quantities of content, records, and information. This leads to an urgent need for an information governance platform, ensuring that companies are compliant with global and local regulations enterprise-wide.

Microsoft SharePoint has been widely adopted – it is one of the most rapidly growing enterprise technologies today. SharePoint allows companies to create web sites to share information, manage documents, and publish reports. While companies and employees certainly benefit from the ease of content creation and sharing, the amount of information generated creates a tricky situation for companies: they must comply with regulations and their approved corporate retention schedule, and SharePoint deployments are no exception.

Information governance enforces desirable behaviour in the creation, use, archiving, and deletion of corporate information. RSD GLASS® Governance Services for SharePoint enables customers to govern all information created in Microsoft® SharePoint from a central location, without having to migrate SharePoint content to expensive, proprietary Enterprise Content Management (ECM) repositories or other long term archiving systems. RSD GLASS gives organizations a mechanism to apply appropriate policies to information and enforce policy-defined levels of accessibility, protection, and retention. RSD's comprehensive information governance solution enables organizations that use SharePoint to proactively manage the entire information lifecycle across all SharePoint sites.

Organizations are inundated by demands for compliance with regulations and laws. A retention schedule lists the different types of information assets along with their agreed retention periods and disposition methods. Most organizations struggle to systematically enforce these rules across jurisdictions and SharePoint deployments. RSD GLASS enables the automatic enforcement of information governance policy across jurisdictions, IT systems, and paper records.

SharePoint delivers basic RM functionality. However, industry analysts agree that the current offering does not address all enterprise records management and information governance requirements. Some of the required capabilities missing from SharePoint include:

- Multiple jurisdiction support;
- Integrated library of laws and regulations;
- Easy file plan creation/management;
- Out-of-the-box time or event-driven disposition; and
- Physical records management.

Because SharePoint does not meet the needs of all organizations, especially global enterprises or those in highly regulated industries, the need for an approach that integrates SharePoint with more robust information governance systems is evident.



RSD GLASS enables companies to manage SharePoint content on an enterprise-level without forcing migration of the content from within their current context of use. When the document usage

## **Key Benefits**

#### **Enable information governance**

- Powerful mechanism to centrally define policies to manage information across multiple SharePoint site collections
- Entire record lifecycle (including time or event-based retention and disposition) is enforced according to defined corporate policies
- Repository agnostic architecture which enables the company to extend governance controls on all information sources including e-mail(MS Exchange), shared drives, and other ECM repositories such as Documentum, OpenText or FileNet
- Supports multiple jurisdictions taking into account different laws and regulations that must be enforced across the company

#### Mitigate risk associated with information management

- Compliance metrics and information governance dashboards to continuously measure the effectiveness of the IG program
- Promote accountability across records management, legal, IT, and business units
- Defensible disposition for all SharePoint records
- Manage legal cases at a global corporate level while propagating technical holds in SharePoint and other supported repositories

#### Foster a smooth user experience

- Pre-populate sites under governance with new Content Types automatically created from the unified RSD GLASS taxonomy to help business users complete additional metadata required by Legal and Record Management Teams directly at content creation time.
- Exploit native SharePoint Record Management capabilities (In-place or through the SharePoint Record Center) to limit the impact of RSD GLASS on the end-user experience.
- Automatic provisioning of SharePoint sites with the proper settings for effective information governance.

#### Flexible integration

- Active content remains in SharePoint while passive content may optionally and automatically be moved over time to more affordable storage tiers in the cloud or onpremise.
- Command-line bulk export utility to automate import of historical or new records into RSD GLASS.
- Built-in administration extensions to customize governance services from within SharePoint.

becomes less important for the business users, RSD GLASS automates the move of information to more affordable storage platforms allowing significant cost savings and performance improvements on the SharePoint Platform by avoiding the storing of large amounts of passive records. RSD GLASS is completely transparent to end-users and non-intrusive to the IT organization.

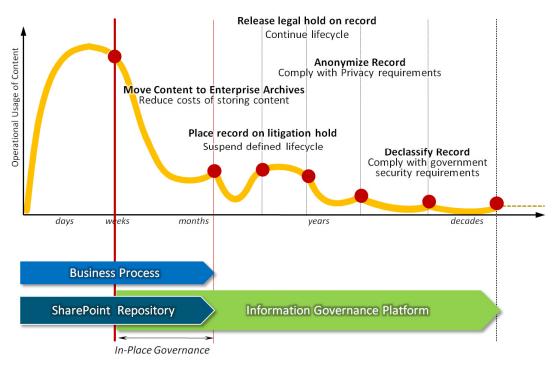


# It All Starts with Policy...

Every information governance program requires sound, validated, actionable policies, which must incorporate the requirements of all corporate functions— business, legal, risk management, compliance, IT, privacy and executive management. Creating and validating these information policies requires input from all the lines of business that intersect across the enterprise. If applicable, policies need to be designed to support multiple jurisdictions and need to be systematically enforced across all content repositories, in the cloud or on-premise. While large organizations might already have a unique set of RM policies very few are successful in applying those governance controls in the field and to promptly adjust them over time according to laws and regulation changes.

A few years back, basic time-based retention and disposition were all that organizations needed to track, but that is no longer the case. Today, information management specialists recognize that an information asset has multiple distinct milestones in its lifetime.

Declare as Record Comply with legal and regulatory record retention requirements Dispose of Record Comply with legal and regulatory record retention requirements



Moreover the lifecycle of content usually exceeds the one of the repository (or user) that created it making the management of information over time and over applications difficult if not impossible. Advanced policies should also integrate and manage more complex lifecycle actions such as being able to automate the move to a less expensive storage tier or to "anonymize" and declassify a record over time.

Policies need to link to corporate standard operating procedures, laws, regulations and more. If procedures or laws change, policies need to change too, and a complete audit trail of what changed, when it was changed, and (more importantly) why it was changed is necessary to provide legally defensible disposition.

The only effective way to manage all of this from a consistent manner is to develop information governance policies independently from the content source and automatically apply them to records, folders, sites in all your repositories including your SharePoint deployments.

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## **Records and Non-Records Governance**

SharePoint is commonly used as an environment for the development of documents— before they usually reach the stage of becoming official "records." While it is not always necessary to include all these documents under the information governance umbrella, it is essential to safely dispose all "draft" and "work in progress" once the work has been finalized. These in-process documents are legally discoverable, and storing them can be costly. In some organizations, SharePoint becomes the dumping ground for drafts and other incomplete documents, and when these are spread across hundreds if not thousands of individually created sites, there are increased storage needs, operating costs, legal risks, and potentially legal fees.

The challenge here is to maintain balance between better governance of long record lifecycles without affecting the benefits or impeding the growth of SharePoint.

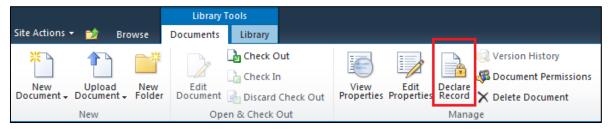
RSD GLASS Governance Services for SharePoint helps you manage content lifecycle directly at document creation time both for records and non-records. By assigning an information policy on pre-records users are encouraged to complete all the required governance metadata while they are working on a document and not later at document declaration time when the classification and metadata completion process is perceived by the business user as a useless and time-consuming task.

# Leveraging the Native SharePoint RM Capabilities

## **In-Place Record Management**

RSD GLASS Governance Services for Microsoft SharePoint relies on the native SharePoint RM capabilities to allow users to seamlessly reference and declare records into RSD GLASS. It integrates with the native SharePoint "Declare Record" functionality -- the "Declare Record" is accessible from the top navigation bar menu displayed when selecting a document. RSD GLASS extends the current SharePoint capability to let business users decide which type of documents are non-records, pre-records, or records.

RSD GLASS Governance Services for SharePoint uses the native SharePoint Records Management capabilities to freeze and hold records in-place but overides the more limited SharePoint policies with the ones developed as part of RSD GLASS. This integration enables RSD GLASS to govern all content items in SharePoint while inheriting the native RM capabilities of the repository from the "Documents" type such as Pages, Document Sets, etc. while being totally transparant to the end-user.



Overloading of the native Declare as Records Capabilities

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#### **Record Center**

RSD GLASS Governance Services for SharePoint supports the other facility provided by Microsoft to manage records in SharePoint via the usage of "Record Center". A Record Center is a dedicated SharePoint site with potentially a distinct and secured MS SQL Server database and which is focused only on the needs of Record Managers.

Although in-place record management is becoming a more common practice, organizations still use the SharePoint Record Centers to archive sensitive information assets which require more specific and particular treatment in term of access rights and long term preservation.

RSD GLASS Governance Services integrates with the MS Record Centers by provisioning all the necessary settings to automate the creation of a new File Plan and each corresponding content type mapped from their definitions in RSD GLASS. SharePoint users utilize actions to send their new records to one of the available Record Centers.

Once the document has been moved to a Record Center, it is automatically marked as immutable, and simultaneously cataloged and declared as a new record in RSD GLASS. At this point the document becomes governed under RSD GLASS, and all future actions, including litigation holds or content disposition are now directly controlled and managed by the RSD GLASS information governance platform.

# **Automated and Transparent Governance**

As mentioned earlier, the ultimate goal is to have minimal impact on the SharePoint user experience while ensuring proper compliance with the right governance policies. Much of the content created in SharePoint sits outside an organization's information governance plan and remains unmanaged.

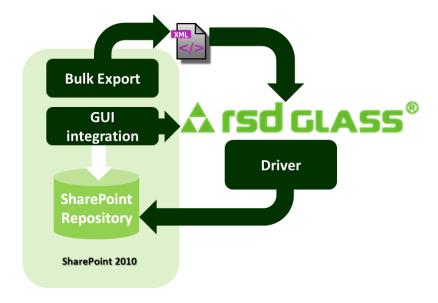
Business lines will very rarely assess content to determine its status as a record or non-record. Unless someone actively declares the content as a record, or if information policies can be automatically inherited from the content type, or from the context of the document (e.g. the Site or the Document Library), the content can remain unmanaged for life, exposing the organization to significant business risk.

RSD GLASS Governance Services provides a combination of tools and techniques to help reach this objective.

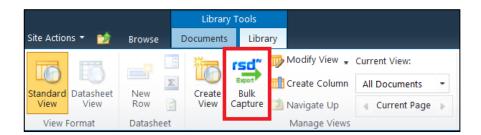
## 1. Back-end Batch Referencing Processes

RSD GLASS for SharePoint includes a set of command-line executables to automate mass-volume of content referencing and declaration in GLASS. An IT Administrator easily configures and schedules these programs to automatically export lists of documents and records to be governed according to various filtering criteria (e.g. all new documents ingested in the DocLib "Archives", or all Content Types of type "Invoices" with the metadata Status with a value set at "Validated" which was modified during the last 7 days). All of these jobs can be scheduled to fully automate the capture of new content to be governed by RSD GLASS, as well as taking control over your historical content.





These bulk referencing options are also directly available through the SharePoint user interface and may be manually executed on a SharePoint view or be scheduled as part of a SharePoint timer job if your organization does not rely on a distinct third party corporate job scheduler.



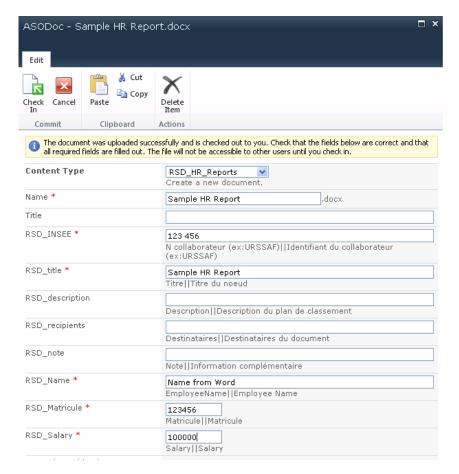
## 2. RSD GLASS Managed Content Types

Successfully implementing record management best practices often requires not only enforcing a desirable lifecycle but also ensuring that a proper level of system and business metadata can be completed and made available in RSD GLASS. This helps to ease long term content access and retrieval as well as to simplify legal e-Discovery tasks over time and across multiple content repositories.

Therefore, it is critical to map the existing SharePoint content types to the approved taxonomy associated with each record class in RSD GLASS. This mapping should be done behind the scenes in a dynamic manner —allowing users to transparently manage their documents in SharePoint.

Administrators of the RSD GLASS Governance Services for SharePoint automate the creation of new GLASS Managed Content Types across their Site Collections. A GLASS Managed Content Type inherits all of the properties, capabilities, and benefits of a standard SharePoint Content Type but it is dynamically created by RSD GLASS to exactly match the taxonomy of a RSD GLASS Record Class. All field types and other mandatory fields are automatically propagated from the RSD GLASS taxonomy, and the newly created content type is automatically associated to a File Plan and a Record Class in RSD GLASS avoiding any additional burden to the end-users for any further classification or metadata completion steps.





Not all SharePoint sites and document libraries will need to be RSD GLASS enabled as only some of them contain information that must be placed under corporate governance. Moreover an RSD GLASS enabled document library will only contain information pertaining to a subset of all the RSD GLASS Record Classes available in a File Plan.

The RSD GLASS for SharePoint administration extensions provide a double level of filtering for the SharePoint administrators to let him:

- Select what GLASS Record Classes may be applicable to a document library under a given site or site collection
- Select from the site subset the Record Classes that will be made available to a document library for record declaration into RSD GLASS.

Since the governance taxonomy is often limited to a subset of business metadata, a SharePoint Administrator can create sub-Content Types which will inherit from the RSD GLASS Managed Content Types. The sub-Content types are completed with the additional fields required by the business. These inherited Content Types benefit from the same governance capabilities as their parent type.

#### RSD GLASS Managed Content Types Key Benefits

Automatic provisioning of new SharePoint Content Types

Inherit from the RSD GLASS Managed Content Type to personalize them to your local business needs

No content declaration wizard to fulfill at record declaration time

Multiple declaration capabilities with a single click

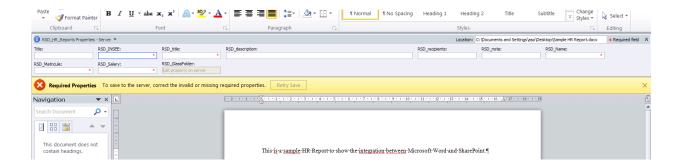
Optional auto-declaration capability

Extend the RSD GLASS Managed Content Type to add your own business metadata



#### **Native MS Office Support**

All fields are accessed by the business users directly in the Microsoft Office applications. For example, when a user selects a target SharePoint document library when "Saving As" within Microsoft Word, MS-Word will then automatically display a message indicating that some mandatory information related to the selected Content Type is missing and that the user needs to provide this information via the Document Information Panel. The user fills in all Content Type metadata fields from within the Office Application.



#### **Seamless One Click or Automated Declaration**

Since RSD GLASS Managed Content Types are already associated with RSD GLASS, their usage does not require any additional classification or metadata completion by the end-users. A SharePoint manager simply selects multiple content items and bulk declares them as records without having to classify each record individually or having to be concerned if a document belongs to multiple Record Classes. Auto-declaration rules may also be employed to fully automate the lock-down of documents after a certain event occurs, as part of a business process, or automatically over time.

## 3. Leverage state of the art Computer Assisted Technologies

Organizations often have to deal with massive volumes of unstructured historical documents either migrated from shared drives or simply inherited from prior SharePoint environments. They also have to deal with unpredictable business users and processes that might not be providing the required metadata and fields needed for classification. Computer Assisted Technologies can help in both of these cases by:

- Automating the classification of a document based on its sense and concepts
- Modifying the Content Type of a document on the fly to better reflect its true nature, including automatically switching the default content type to a GLASS Managed Content Type
- Complete other missing business metadata

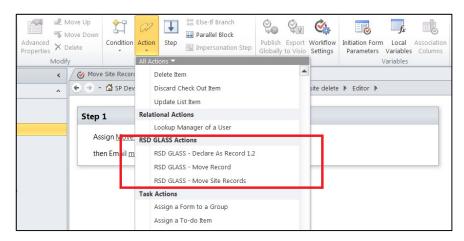
Such a process may be totally automated in certain use cases or can be part of a semi-assisted classification process where those technologies can suggest to the end user a certain content type and propose default values for each metadata at document upload time.

RSD GLASS has partnered with a number of third party SharePoint auto classification tools which are already pre-integrated to the RSD GLASS Platform. Please contact RSD to get more information about such tools and how they can help automate your information governance program.

## 4. Integrate Information Governance Actions in your Business Process

Another alternative to ease the implementation of an information governance program is to integrate its various actions as part of your existing SharePoint Workflows and Business Processes. RSD GLASS Governance Services for SharePoint already extends the default Actions provided with MS SharePoint. It's as simple as adding them within your existing business process to follow the logical flow of your operations.





RSD GLASS provides an extensive programmatic API available in both REST and SOAP. All the SharePoint web parts and other extensions mentioned in this document are already based on the public GLASS API. Your SharePoint developers and system integrators have direct access to the API if they require developing more advanced capabilities.

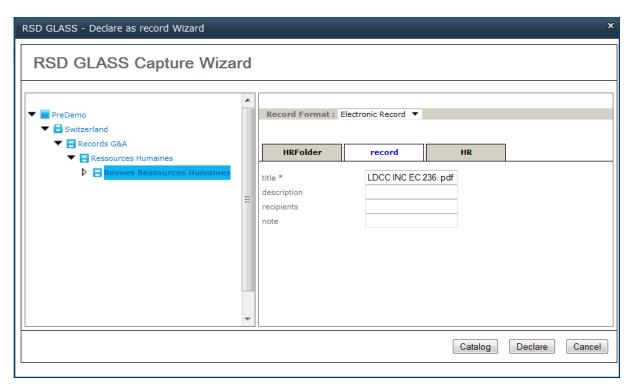
## 5. Smart Classification Assistant for all your Documents

Finally, if all the previous referencing and declaration methods fail to meet your needs, RSD GLASS Governance Services for SharePoint provides a SharePoint smart classification assistant. This step-by-step wizard works with any SharePoint Document and all content objects which inherit from the Document Type such as a Page or a Document Set. It lets any authorized user select a file plan in GLASS, navigate in the Record Class hierarchy, and complete all required metadata to catalog or declare a new information asset to govern.

To ease the end-user experience and avoid numerous clicks, RSD GLASS relies on a powerful classification rule engine and a metadata mapping and transformation utility. When a SharePoint user decides to reference or declare a new document in RSD GLASS, all the existing document metadata including its whole context (e.g the site, the doclib it belongs to and the folders hierarchy) is automatically sent to RSD GLASS. This information is then processed by GLASS to restrict the number of classification options available to the end-users and to automatically suggest some values for each listed metadata field

The business user references a new document in RSD GLASS in one single easy click.





Note that this assistant automatically adjusts the various actions possible for a given end-user. An employee may for example only be authorized to reference a pre-record in RSD GLASS while his manager will be able to review the information about the record and to finalize its declaration.

# Unified access to your records wherever they reside

Content without simple access is useless. Information is spread across the organization, both in physical and electronic forms, and resides in a variety of warehouses and content repositories. In this scenario, SharePoint can be used as a Portal to access records and information under the control of RSD GLASS regardless of where that data resides -- in the cloud or on premise on any other system than SharePoint itself. RSD GLASS for SharePoint is natively packaged with a GLASS Client WebPart which can be embedded into any SharePoint Page.





RSD GLASS also provides its own GLASS Client Web Application. If all your employees don't have access to SharePoint, RSD GLASS can still be used to provide them with a unified and secured view of all their information assets wherever they reside, including content with SharePoint. Users can directly access and open any SharePoint document directly from within RSD GLASS. They can also create additional custom "Business Views" which act as different dimensions or pivots around all their information assets. A user has the option to create RSD GLASS custom views, combining information coming from all the content repositories available in your company, and to regroup information according to various criteria. For example, it's very simple to create a new hierarchical view to navigate all patient records sorted by year, or all claims sorted by priority, even if information assets are spread out between different business applications, ECM repositories, and other third-party archiving systems.

# **Unified Legal Case and Hold Management**

RSD GLASS supports a unified legal Case Management system. Legal Teams can create and manage their cases in GLASS. They can search and put content on Hold directly from RSD GLASS without having to be concerned about where the content currently resides. Once content is on hold in RSD GLASS, the disposition policy is automatically stopped and the hold is propagated back into the underlying repository to ensure the content is frozen in-place.

RSD GLASS Governance Services for SharePoint ensures that all holds are also properly created and replicated in SharePoint along with the reason for the hold. It is then possible for the legal team to use the SharePoint e-Discovery capabilities to explore the list of their SharePoint content on hold.

# Gain Flexibility to reorganize your Site Collections at will

SharePoint was not designed to allow for the movement of records from one site to another in an easy manner. As a result of this, once a record is declared in-place it prevents the Site Collection Administrator from easily closing old dormant sites or from reorganizing his site collections according to new business needs. Even worse, SharePoint does not prevent a Site Administrator from deleting a site even if the site still contains some valid records. This may lead to the loss of important information which should have been preserved by the company according to laws and regulations.

RSD GLASS Governance Services prevents the deletion of any SharePoint site that still contains some in-place records. RSD GLASS recognizes the need for a SharePoint Administrator to have a very flexible system which can be reorganized when needed. It provides additional actions to automate the move of all, or part of the records available in a given site, into another site or to a Record Center available in the same Site Collection. This feature enables a SharePoint Administrator to easily reorganize their sites which still contain some valid records without fearing any loss of important information.

# Storage Cost Optimization: Automate the move of inactive content out of SharePoint

Some content has a short lifetime and will live and die in SharePoint. Others have decades-long lifecycles which become inactive after a certain period of time and they are no longer accessed or used by the business lines or users. For many organizations, it does not make sense to keep content in a SharePoint Farm for long periods of time when they can be moved to a more affordable and long term storage tier either on-premise or in the cloud.



RSD GLASS Governance Services automates the move of inactive content to other governed repositories including EMC Centera, HCP, Amazon S3, OpenStack Swift or any other preferred ECM repository or archiving systems chosen by your organization. Rather than relocating all inactive content from time to time using complex migration processes, RSD GLASS automatically moves content according to each defined information governance policy. Our advanced compliance policies precisely decide how and where to route content to various archiving destinations. For instance, the records manager may chose to move European HR-related content in a datacenter which would be outside EU in order to respect the European cross-border regulation, or the company may decide to avoid moving sensitive information into the cloud. RSD GLASS is the only information governance solution to provide you with this flexibility.

As RSD GLASS acts as a global and shared information governance service for the whole company, it also assures the record integrity by periodically checking the document fingerprints wherever the content is currently being stored. These integrity audit checks are completely automated and ensure to the company that the integrity of their documents is guaranteed even if the content was automatically moved to another repository for cost or performance optimization reasons.

Finally RSD GLASS unifies all activities performed in one single defensible audit trail maintained by RSD GLASS – from the first day an information asset was referenced in RSD GLASS in one given repository until it is disposed of in potentially another one.

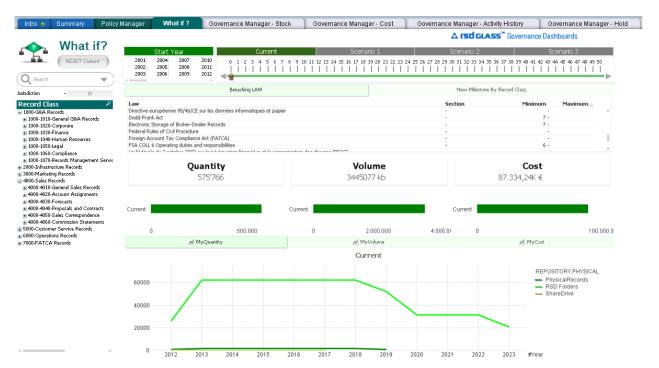
# **Closing the Loop: IG Program Measurement and Optimization**

Policies are now enforced, but the process doesn't end there. You need to be able to measure the effectiveness of those policies. RSD GLASS provides powerful and dynamic dashboards which let your organization monitor and analyze your information governance program on jurisdiction, business unit, repository, or even record type basis. For example, how many human resource records are on hold for South America or how many records are being over-retained across all SharePoint deployments?

RSD GLASS Dashboards focus on analyzing the past and the present situation as well as let your company plan for the future. RSD GLASS automatically calculates the quantity and volume of information growth in the coming years based on the existing information governance policies and past trends. It then becomes much easier to forecast future costs for certain type of repositories and to visualize the impact of existing information policies on the mass-volume of content.

RSD GLASS Dashboards are fully interactive and allow decision makers to analyze changes in real-time with "What-if" scenarios -- for example, changing the retention duration of certain policies or to accelerate the move of content from one repository to another more affordable one, and instantly see the impacts in term of information volume and storage cost. For instance what if we relocate inactive content out of SharePoint after 3 years rather than keeping them 10 years in SharePoint as it is case today? What if I move a particular Record Class to Amazon S3 in the cloud rather than keeping it on premise in expensive storage bays? Or what if I reduce the retention period from 20 years to 10 years for this class of information assets?





Compliance is not a one-time activity; it needs to be monitored and adjusted on a regular basis. Over time, business, operations and regulatory requirements will change, and when they do policies will need to be updated. The speed with which the business deploys and enforces these policies is critical to the success of your organization, which is why you need to close the loop.



# **Beyond the SharePoint Sphere**

"Align information risk and cost to value over time"

Life would be wonderful if all information were stored and governed in one single system such as SharePoint, but in reality this is not the case. Records and information assets live and move from one repository to the another all over the company; running on different platforms from various vendors—IBM, Microsoft, OpenText, EMC, HP/Autonomy, etc..

Furthermore, while physical paper records are declining, these archives still play a critical role for the business and litigation. RSD GLASS allows the records manager to govern both physical records and electronic documents under one umbrella and manage both of them in a consistent manner.

RSD GLASS also helps increase the business value of the information by providing unified access to all information assets wherever they reside and at any period of their lifecycles.

Last but not least, it is also helps to reduce costs by automating strategic content moves into other more affordable storage tiers when the business lines no longer need to access those documents within SharePoint.

The goal of an information governance platform is to combine corporate policies with systematic enforcement and content orchestration across SharePoint farms, content repositories, and physical archives. RSD GLASS for SharePoint lets you achieve this objective in a transparent, cost-efficient and pervasive manner.

## **Compatibility with RSD GLASS**

The current version of RSD GLASS Governance Services for SharePoint is compatible with RSD GLASS 3.1 and higher.

## **Supported SharePoint version**

The current version of RSD GLASS Governance Services for SharePoint supports the following SharePoint versions:

- Microsoft SharePoint 2010 and 2013 Standard Edition.
- Microsoft SharePoint 2010 and 2013 Enterprise Edition.

## **Software Components**

RSD GLASS Governance Services for Microsoft SharePoint is packaged as a set of separate modules:

• The RSD GLASS for SharePoint driver.

The driver allows RSD GLASS to access and govern information stored in a SharePoint repository and make it visible and manageable in RSD GLASS. The driver enables corporations to control content retention in SharePoint through RSD GLASS which enforces the enterprise's information policies.

• The SharePoint Application Extensions (WSP Packages)

They allow organizations to extend the default SharePoint functionalities with all the new enhanced governance capabilities mentioned in this paper.

A command-line executable for bulk export.

The Bulk Export mechanism that allows the SharePoint administrator to generate XML references to existing SharePoint documents that can then be bulk imported into RSD GLASS. Note that this executable does not export the documents per se but only useful metadata and the document UID. The content stays in-place.