

Corporate Information – Controlled and Accessible with SharePoint and TRIM Context

**This paper has been written by In-Form Consult Ltd,
leading independent information management consultants**

Sponsored by TOWER Software (UK) Ltd



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Compliance and the Information Management Malfunction

Compliance demands are requiring all organisations in both the public and private sector to undertake a corporate review of their information management practices. Regulators are demanding that business practices are shown to adhere to legal information reporting requirements and business best practices. Legislation has granted consumers new rights to ensure information is held securely, accessible and disposed when no longer required. Examples include:

- In the UK, Freedom of Information Act requests require public organisations to provide quality information to meet demanding timescales.
- European Data Protection directives place demands on organisations personnel information to be managed so that it is stored securely, accessibly and is disposed when no longer required.
- In the financial sector, companies must comply with the reporting demands of regulations such as Mfid. Organisations with listed US parent companies must meet the requirements of the Sarbanes Oxley Act.

Except where special steps have been taken, information is typically organised in autonomous filing systems. Unnecessary duplication occurs and often the information is stored in both electronic and paper formats. It is organised to meet local team or individual needs and is not shared effectively. The result can be that information is difficult to locate and regulatory requirements are not met. This may lead to fines or interfere with operations leading to reputational damage to the organisation.

Organisations need to understand the implications of legislation and regulations and put a corporate programme in place to comply with them. Efficiency savings from such programmes, and from introducing better information management practices, can provide a good return on the investment.

Good information management practice is now recognised as a vital part of corporate business planning.

This white paper reviews compliance regulations and EC directives that require an organisation to make changes to its business and information management practices. It identifies the vital role of corporate records management and shows how Microsoft® Office SharePoint® Server and TRIM Context from Tower Software can address these requirements.

The European Regulatory Nightmare

The Economist Intelligence Unit Survey in June 2005 (www.economist.com) demonstrated that the regulatory environment is seen as a major business consideration and expense across Europe. The survey also highlighted that failure to meet compliance requirements is a major risk to business; with ratings above IT and other risk areas.

The regulatory environment in Europe is in many ways more stringent than in the US and Asia. European organisations have to address a multitude of local, national, and European regulations as well as strong privacy and consumer protection laws that impact the life cycle of data. Across the EU, the European Data Privacy Directive (implemented at the national levels such as the UK Data Protection Act) forces organisations to carefully apply a life cycle to all sensitive personal identifiable data. Amongst other regulations, they must ensure the personal data is destroyed when it is no longer required. It may also only be used for the purpose for which it was collected.

Freedom of Information legislation has already been introduced in some European countries and may be extended to all EU countries in the future. Many European public sector organisations are struggling with the effects of Freedom of Information Act (FOIA) requirements to deliver digital content to meet requests within the specified timeframes.

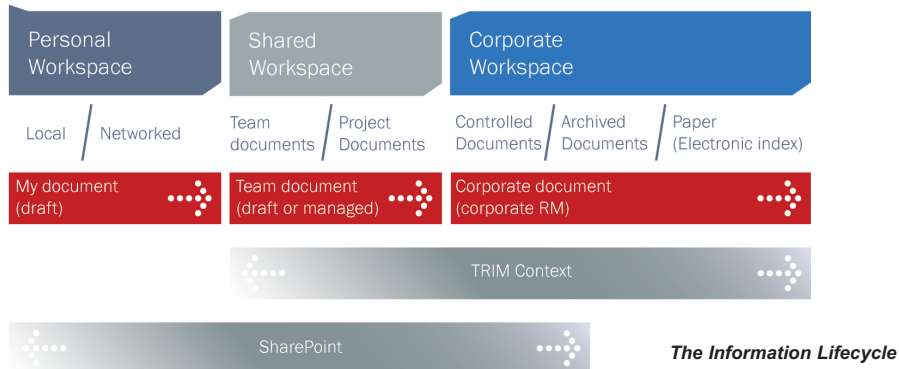
Most of the current and emerging regulations require organisations to re-assess, improve and extend the scope or depth of their management of business information and archives. The financial and public sectors in particular have in the last few years been subject to significant legislation that requires improved information management practices.

This need has seen the development of International and European standards in information management to help organisations to meet the reporting and controls required by the regulators. Guidance and strong national certifications for the management of unstructured content have been introduced. These are exemplified by the UK National Archives, European Model Requirements (MoReq), and the German DOMEA and Norwegian Noark specifications.

The Information Lifecycle

Information is either received or generated by individual members of staff. Typically they may be involved in working collaboratively and the information goes through some form of processing or review before it is completed and stored. Compliance demands a closer relationship between information capture or generation and the corporate ownership and management of the information.

A benefit of SharePoint has been its ability to simplify internal and external collaboration. It can empower employees to create and take advantage of people networks to connect and share knowledge more quickly and efficiently with other. It allows users to have dedicated sites, which can be used to store, present, view and manage content, information and applications. This allows information about skills, roles, colleagues and groups, distribution lists and documents to be presented. This is excellent for sharing knowledge with



The information lifecycle is important because the requirements of regulation and legislation often involve accessing information long after it has been created or captured. Organising information to be accessed many years into the future involves different structures than those to share information today. An effective solution considers not only the current information management requirements but provides a framework for accessing and then eventual disposal of information many years hence. Throughout this period the information must be held securely.

SharePoint in a Corporate Information Management Strategy

SharePoint provides some excellent facilities to manage content and process. It allows controls to be introduced over a wide range of content including documents, web pages, PDF files and e-mail messages. It incorporates out-of-the-box workflow, easy-to-use electronic forms and a consistent user experience through familiar client applications.

New features in Office SharePoint Server 2007 have improved the document management capabilities

- Check-in and check-out of documents can now be enforced.
- Both major and minor version numbers of a document are now supported.
- A user is notified if a copy of a document they hold has been updated, allowing them to update their copy if required.
- A document may be held in different file formats and recognised as the same item.
- Draft item security can be enforced. A draft document is not made visible until it has been authorised.
- Support for Microsoft Office rights-managed file formats. Rights management allows the author to specify how a file may be shared and viewed.

others. Privacy control and enhanced security mechanisms allow the user to control how much information is presented and to whom.

Managing information corporately to meet the compliance and regulatory demands in a medium or large-sized organisation requires more thorough and comprehensive facilities. The US Department of Defence 5015 standard distinguishes between Chapter 2 requirements that support basic record management features and Chapter 4 requirements that address more specific requirements, particularly with regard to security.

A corporate records manager may be responsible for access, security and disposal of tens of millions of records. To administer this collection, information is classified and policies are applied to these classes. Applying policies to several thousand classes of records is still a complex undertaking but is significantly easier than apply policies to millions of individual documents. Requirements for electronic record management systems have been developed to address these requirements. European standards are based on ISO 15489, the international record keeping standard.

A new standard for electronic records management systems is currently being compiled. MoReq2 (MoReq is short for Model Requirements) is a development of the successful MoReq standard published in 2001. It will incorporate features from the plethora of European standards including the UK National Archives, German DOMEA CONCEPT, Dutch REMANO, Norwegian NOARK, Swedish Transfer and Finnish SAHKE standards. It will also add new functions to reflect the latest developments in technology.

TRIM Context provides the facilities to meet the challenge of managing records on this corporate scale. TRIM software has achieved compliance with all these standards as they have been developed.

SharePoint and TRIM Context – Letting the Information Flow

TRIM Context has proven software to extend the features of SharePoint to support corporate records management. This SharePoint Integration seamlessly connects TRIM Context and SharePoint Portal Server.

TRIM Context includes all the facilities to manage records corporately in the most demanding of regulatory regimes. It meets all the security requirements of standards such as US DOD 5015 Chapter 4 and the UK National Archives. It provides comprehensive tools to manage a corporate classification scheme and fileplan. This includes the ability apply comprehensive access controls, retention schedules, define metadata (information about the classes, folders and records) and maintain them with a comprehensive easy-to-use interface and full statistics and reporting features.

TRIM Context searching is integrated and unified. A single click from a browser permits SharePoint content sources to be searched with multiple TRIM Context information stores. The TRIM Context classification schema can be integrated with SharePoint portal topics to allow easy browsing or taxonomy navigation.

The TRIM Context security model is extended for SharePoint use through an integrated authentication model. Corporate security requirements are satisfied in addition to user security requirements. No additional security model or process has to be implemented.

The integration of TRIM Context and SharePoint allows the organisation to manage information effectively throughout the lifecycle. User requirements for day-to-day handling of information to deliver products and services to the customer are combined with the corporate requirements for long term storage, security, access and eventual disposal of information.

A great advantage of using TRIM Context with SharePoint is that the concepts are familiar to current SharePoint users. This reduces the amount of training required as it feels less like learning a new application and much more like an extension to an existing product.

Conclusion

Information needs to be classified, controlled and managed at a corporate level over its lifecycle to support the user and meet compliance requirements. TRIM Context and SharePoint provides the opportunity for an organisation to manage its information effectively throughout the information lifecycle. By combining the ease-of-use to manage and access documents, improve business insight, simplify collaboration and provide an integrated platform with the corporate control of a leading electronic records management platform a business can operate its two key assets, staff and information to best effect. Efficiency savings are achieved through reduced time accessing information, avoiding unnecessary duplication and creation of information that already exists. Operational and reputational risks are reduced because information is managed consistently through a corporate approach and information is disposed when it is no longer required.

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