



Records Management Guide for Microsoft Office SharePoint Server

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Abstract

This guide covers general records management planning considerations, guidelines for configuring Microsoft Office SharePoint Server 2007 enterprise content management features for records management, guidelines for planning server farm topology for records management, and guidelines for organizing the logical components of a records management system based on Office SharePoint Server 2007. The audiences for this guide include records managers, information architects, IT generalists, and program managers who are planning a records management solution based on Office SharePoint Server 2007.

The content in this book is a copy of selected content in the [Office SharePoint Server technical library](http://go.microsoft.com/fwlink/?LinkId=84739) (<http://go.microsoft.com/fwlink/?LinkId=84739>) as of the publication date. For the most current content, see the technical library on the Web.

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Introduction to the records management guide

Microsoft Office SharePoint Server 2007 includes a Records Center site and other records management features that you can use to help your organization manage its corporate knowledge and meet its regulatory and legal requirements. This guide provides records managers, enterprise solution planners and designers, program managers, and information technology specialists with the information that they need to plan and deploy a records management solution based on Office SharePoint Server 2007.

This guide covers general records management planning considerations, guidelines for configuring Office SharePoint Server 2007 enterprise content management features for records management, guidelines for planning server farm topology for records management, and guidelines for organizing the logical components of a records management system based on Office SharePoint Server 2007. The following list describes each topic in this guide.

- "What is records management?" introduces the elements of a records management system and provides general guidance on records management planning.
- "Identify records management roles" discusses the typical roles and skills that your organization needs to implement a records management solution.
- "Develop the file plan" describes the following key tasks in records management: analyzing the physical and electronic files in your organization, determining which files are records, and planning how the records should be retained.
- "Design the Records Center site" provides guidance on planning and configuring a Records Center site, which is the Office SharePoint Server 2007 site designed to implement records management and retention.
- "Plan how records are collected" reviews techniques that you can use to move content to the Records Center site and suggests a method for planning how items in your file plan will become records.
- "Plan physical records retention" describes planning tasks that are related to retaining physical records by using Office SharePoint Server 2007.
- "Plan e-mail message records retention" describes planning tasks that are related to retaining e-mail messages by using Office SharePoint Server 2007, with emphasis on integration with Microsoft Exchange 2007.
- "Design records management topology" describes the topological considerations in planning one or more server farms for records management.
- "Design Records Center architecture" provides recommendations for configuring the logical components of a records management solution based on Office SharePoint Server 2007 and provides guidance for configuring key features of a records management solution.

The content in this book is a copy of selected content in the [Office SharePoint Server technical library](http://go.microsoft.com/fwlink/?LinkId=84739) (<http://go.microsoft.com/fwlink/?LinkId=84739>) as of the date of publication. For the most

current content see the technical library on the Web. Additional records management content is posted there as it becomes available.

Related topics

In addition to using the records management content in this guide, you should review other content in the technical library to help ensure a successful Office SharePoint Server 2007 deployment. The following resources are particularly recommended:

- [Analyze document usage](#)
- [Plan content types \(Office SharePoint Server\)](#)
- [Plan information management policies](#)
- [Plan enterprise content storage](#)
- [Plan workflows for document management](#)
- [Plan site and content security \(Office SharePoint Server\)](#)
- [Plan for and design database storage and management \(Office SharePoint Server\)](#)

What is records management?

In this article:

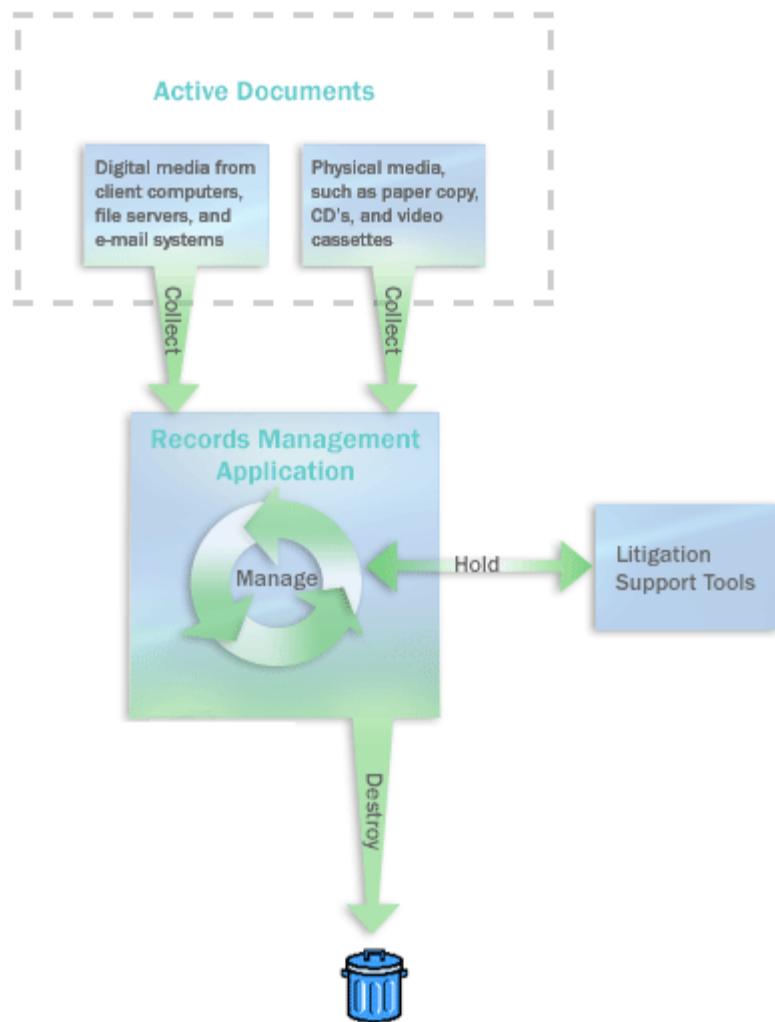
- [Elements of a records management system](#)
- [Overview of records management planning](#)

Elements of a records management system

A *record* is a document or other electronic or physical entity in an organization that serves as evidence of an activity or transaction performed by the organization and that requires retention for some time period. Records management is the process by which an organization:

- Determines what types of information should be considered records.
- Determines how active documents that will become records should be handled while they are in use, and determines how they should be collected once they are declared to be records.
- Determines in what manner and for how long each record type should be retained to meet legal, business, or regulatory requirements.
- Researches and implements technological solutions and business processes to help ensure that the organization complies with its records management obligations in a cost-effective and non-intrusive way.
- Performs records-related tasks such as disposing of expired records, or locating and protecting records related to external events such as lawsuits.

Determining which documents and other physical or electronic items in your organization are records is the responsibility of corporate compliance officers, records managers, and lawyers. By carefully categorizing all enterprise content in your organization, they can help you ensure that documents are retained for the appropriate period of time. A well-designed records management system helps protect an organization legally, helps the organization demonstrate compliance with regulatory obligations, and increases organizational efficiency by promoting the disposition of out-of-date items that are not records.



A records management system includes the following elements:

- **A content analysis** that describes and categorizes content in the enterprise that may become records, provides source locations, and describes how the content will move to the records management application.
- **A file plan** describing, for each type of record in the enterprise, where they should be retained as records, the policies that apply to them, how they need to be retained, how they should be disposed of, and who is responsible for managing them.

- **A compliance requirements document** defining the rules that the organization's IT systems must adhere to in order to ensure compliance, along with the methods used to ensure the participation of enterprise team members.
- **A method for collecting records that are no longer active** from all record sources, such as collaboration servers, file servers, and e-mail systems.
- **A method for auditing records** while they are active.
- **A method for capturing records' metadata** and audit histories and retaining them.
- **A process for holding records** (suspending their disposition) when events such as litigations occur.
- **A system for monitoring and reporting on the handling of records** to ensure that employees are filing, accessing, and managing them according to defined policies and processes.

Microsoft Office SharePoint Server 2007 includes features that can help organizations implement integrated records management systems and processes. To ensure that information workers can easily participate in your enterprise's records management system, 2007 Microsoft Office system applications, such as Microsoft Office Outlook 2007 and Microsoft Office Word 2007, also include features that support records management practices.

Overview of records management planning

This topic describes the planning steps you should take to help ensure that the records management system you implement based on Office SharePoint Server 2007 will achieve your organization's records management goals. Here is a preview of the records management planning process:

1. **Identify records management roles** Successful records management requires specialized roles, including:
 - Records managers and compliance officers to categorize the records in the organization and to run the records management process.
 - IT personnel to implement the systems that efficiently support records management.
 - Content managers to identify where organizational information is kept and to commit their teams to following records management practices.
2. **Analyze organizational content** Before creating a file plan, records managers and content managers survey document usage in the organization to determine which documents and other items may become records.
3. **Develop a file plan** After you have analyzed your organizational content and determined retention schedules, fill in the rest of the file plan. File plans differ from organization to organization, but in general they describe the kinds of items the enterprise acknowledges to be records, indicate where they are stored, describe their retention periods, and provide other information such as who is responsible for managing them and what broader category of records they belong to.

4. **Develop retention schedules** For each record type, determine when it is no longer active (in use), how long it should be retained after that, and how it should ultimately be disposed of.
5. **Evaluate and improve document management practices** Make sure that proper policies are being applied in document repositories. For example, ensure that content is being properly audited, so that adequate audits are retained along with records.
6. **Design the records management application** Office SharePoint Server 2007 includes a specialized site template, the Records Repository, which is designed for records management. Based on your file plan, design the site's libraries, content types, policies, and its *record series*, which defines where in the site record that type should be stored.
7. **Plan how content moves to the Records Center site** If you are using Office SharePoint Server 2007 for both your active document management and your records management application, you can create custom *workflows* to move documents to the Records Repository at the appropriate times. If you are using either Office SharePoint Server 2007 or external document management systems, you can plan and develop interfaces that move content from those systems to the Records Repository, based on the Records Repository's programmable interface.
8. **Plan Microsoft Exchange integration** Microsoft Exchange Server 2007, along with Office Outlook 2007, includes features designed to facilitate the flow of e-mail into the Records Repository using specialized folders and commands. If you are using Exchange Server 2007 as your e-mail server, you can plan how to classify e-mail and move it to the Records Repository.
9. **Plan compliance reporting and documentation** To verify that your organization is performing its required records management practices and to communicate these practices, you should document your records management plans and processes. If your enterprise becomes engaged in records-related litigation, you may be required to produce these records management guidelines, implementation plans, and metrics on effectiveness.

See Also

- [Identify records management roles \(Office SharePoint Server\)](#)
- [Develop the file plan \(Office SharePoint Server\)](#)
- [Design the Records Center site \(Office SharePoint Server\)](#)
- [Plan how records are collected \(Office SharePoint Server\)](#)

Identify records management roles (Office SharePoint Server)

Effective records management requires an organization-wide commitment to planning, implementing, overseeing, and participating in the records management program. To achieve this, members of your organization with a range of records management-related roles and skills must support the effort. As you start planning your records management solution, identify who in your organization will fill the following roles:

- **Records managers** Usually members of an organization's legal department. They are skilled in the process of categorizing electronic and physical documents and in deciding which documents should become records. Records managers help determine organizational records management policies and participate in designing the records management solution. They are responsible for researching and writing the file plan and retention schedule, and they participate in writing the compliance requirements document. Records managers also operate the records management system, performing tasks such as putting records on hold during litigation and disposing of records at the end of their retention periods. The participation of records managers is essential to the success of your records management system.
- **Compliance officers** Also members of an organization's legal department. In some organizations, this role is filled by records managers. Compliance officers monitor every aspect of enterprise records management to ensure that the organization is closely following relevant regulations and guidelines. They are primarily responsible for writing the compliance requirements document, which describes the enterprise records management methodology, guidelines, and training plans.
- **IT professionals** Responsible for deploying, operating, and maintaining the computers and applications that implement the records management solution. They ensure that the records management solution is secure, that it is of the proper scale, that it is reliable, and that it communicates with the document management servers and e-mail servers that supply it with records.
- **Site designers** In a records management solution based on Microsoft Office SharePoint Server 2007, they are the experts in creating and configuring Web sites implementing a Records Center site.
- **Content managers** Manage teams that produce documents or that handle physical or electronic files that might be records. Their role is to supply leadership in identifying records, in planning processes for their teams that will ensure good records management practices, and in making sure that the information workers on their teams participate in the organizational records management effort.
- **Information workers** The participants in the records management system. They create or manage the electronic and hard-copy documents, memos, reports, messages, and other

content that could be records. The success of your records management solution depends on the quality of participation by the information workers in your organization.

 **Note**

How you design your records management system can have a big impact on how well information workers comply with it. For example, by creating simple processes for retaining records, you will increase participation because information workers will be less likely to see these tasks as impediments to getting their other work done.

Also, effective records management training and documentation will increase information workers' active participation.

Your organization might have already filled all of the roles described in this article. If not, you might want to seek experts in records management and compliance. Professional organizations such as the Association of Records Managers and Administrators can be helpful in locating records management professionals in your area.

The initial tasks of the team designing your records management system include analyzing content usage in your organization, analyzing regulatory and other requirements that will affect records management decisions, evaluating hardware and application resources to use to retain records, and planning the best strategy for ensuring information workers' cooperation in managing records. Because this planning touches on so many disciplines in your organization, form a diverse team to plan your records management solution, including all the roles described above.

Worksheet action

Use the [Records management stakeholders and participants worksheet](#)

(<http://go.microsoft.com/fwlink/?LinkId=73296&clcid=0x409>) to record the name, e-mail address, role, and other contact information for each participant you enlist for the records management planning team.

Worksheet

Use the following worksheet to help plan your deployment:

- [Records management stakeholders and participants worksheet](#)
(<http://go.microsoft.com/fwlink/?LinkId=73296&clcid=0x409>)

Develop the file plan (Office SharePoint Server)

In this article:

- [About records, active documents, and archived documents](#)
- [Determine what is a record](#)
- [Complete the file plan](#)

The *file plan* is the primary records management planning document. Although file plans can differ across organizations, they typically:

- Describe the kinds of items the organization acknowledges to be records.
- Describe what broader category of records the items belong to.
- Indicate where records are stored.
- Describe retention periods for records.
- Delineate who is responsible for managing the various types of records.

About records, active documents, and archived documents

Before you can determine your file plan, you need to understand the differences among records, active documents, and archived documents.

- **Records** These are documents or other physical or electronic entities in an organization that serve as evidence of activities or transactions performed by the organization. They must be retained for some time period so they can be produced if needed, such as for regulatory or legal discovery.

When an active document is declared to be a record, it is moved or copied to a protected place such as a physical vault or an electronic records repository, and it is assigned a retention period that specifies how long the organization will keep it. (Note that the retention period could be permanent, meaning that the record would be retained indefinitely.) When a record's retention period is over, it is either disposed of by a records manager or moved to an archive for safekeeping as a document of historical interest.

- **Active documents** These are documents in use, such as the e-mail messages in an information worker's inbox, the printed product specifications on someone's desk, the documents in a document library, or the pages on a corporate Web site. It is expected that active documents will change over time, be copied and shared, and generally move about the organization.

Active documents may be declared as records if they serve as evidence of an activity or transaction performed by your organization. For example, if your organization provides a service that includes delivering content to a customer, then that content becomes a record of

the delivery of the service and a copy of the document should be retained. Some types of active documents will never become records; for example, you might not classify an e-mail sent among coworkers to agree on where to meet for lunch as a record.

At some point in a document's life cycle, it stops being active. For example, when a deliverable document is presented to a customer, it might no longer be necessary to keep managing this content as an active record. But if the document is a record, it should be saved and protected for some retention period.

- **Archived documents** These are documents that are no longer active but are not records (either because they no longer have to be retained or because they were never classified as records). Archived documents are kept by an enterprise for non-legal reasons such as for historical preservation.

Determine what is a record

Determining which active documents in your organization might be declarable as records requires the collaboration of records managers, lawyers, compliance officers, and content managers. Note that, even if your enterprise is not in a highly regulated industry, there are general laws (such as the Sarbanes-Oxley Act of 2002) that your records managers need to be aware of that might obligate your enterprise to retain records. Along with general business laws, you need to evaluate legal requirements specific to your enterprise.

It is beyond the scope of this article to provide more than general information about how to determine what is a record in your organization. Most likely, your enterprise is already doing some form of records management and has filled most of the records management roles you need, and you might already have a taxonomy of records.

Generally, to determine what are records in your organization:

1. Understand your enterprise's legal obligations and business needs.
2. In a collaborative effort across the divisions of your organization, analyze active document usage.
3. Develop a list of active document types that should become records. For example, you may determine that the following should be retained as records:
 - Contracts to rent corporate space.
 - Documents related to employees' benefits.
 - Documents related to product research and development.
4. Categorize the records.

Worksheet action
This is useful because records in the same category often have the same retention periods and might require equivalent treatment in other ways. You can use the Record categories worksheet (http://go.microsoft.com/fwlink/?LinkID=73300&clcid=0x409) to record the results of your research.

Here is a sample worksheet:

Records	Record category	Description	Sites
Benefit plans, insurance plans, pension plans	Employee Benefit Descriptions	Descriptions of all employee benefit plans.	http://example
Payroll timesheets, supplementary payroll information	Payroll Records	Summaries of hours worked, overtime, and salary paid.	http://example
Vendor invoices	Invoices	Records of goods or services purchased from vendors.	http://example
Product surveys, questionnaires, training manuals, training videos	Training Materials	Provides internal or external training.	http://example
Shipping forms, shipping reports	Shipping Records	Documents the shipment of materials.	http://example
Press releases, newspaper articles	Press Releases	Public relations information about products and services.	http://example
Emergency contact sheets, medical plan enrollment forms, resumes, benefits status reports	Personnel Records	Records of individuals' employment histories and related personnel actions.	http://example

Complete the file plan

After determining which documents should be retained as records and creating a set of record categories, complete your file plan by defining retention periods for each record category, indicating how to dispose of records when their retention periods have expired and supplying other information such as the primary records manager for each record type and the media in which the record is stored.

Here is a completed sample file plan:

Records	Description	Media	Record category	Retention	Disposition	Contact
401k plans	Description of employee benefit plan.	Web pages	Employee Benefit Plans	X years	None	Reshma Patel
Insurance plans	Description of employee insurance plan.	Print	Employee Benefit Plans	X years	None	Reshma Patel
Pension plans	Description of employee pension plan.	Print	Employee Benefit Plans	X years	None	Reshma Patel
Payroll timesheets	Summaries of hours worked, overtime, and salaries paid.	Electronic documents	Payroll Records	X years	Destroy	Reshma Patel
Supplementary payroll information	Summaries of sick time, vacation time, and other non-salary payroll items.	Electronic documents	Payroll Records	X years	Destroy	Reshma Patel
Vendor invoices	Records of goods or services purchased from vendors.	Print	Invoices	X years	Destroy	Eric Lang
Product surveys	Customer satisfaction survey.	Web pages	Survey Materials	X years	Archive	Molly Dempsey

Records	Description	Media	Record category	Retention	Disposition	Contact
Questionnaires	Questionnaire to determine customer demographics.	Print	Survey Materials	X years	Archive	Molly Dempsey
Training manuals	Hard-copy training content.	Print	Training Materials	X years	Destroy	Molly Dempsey
Training videos	Video training content.	Video	Training Materials	X years	Destroy	Molly Dempsey
Shipping forms	Configure the shipment of materials.	Print	Shipping Materials	X years	Destroy	Eric Lang
Shipping reports	Document the shipment of materials.	Electronic spreadsheets	Shipping Materials	X years	Destroy	Eric Lang
Press releases	Releases about products and services.	Electronic documents	Public Relations Information	X years	Archive	Molly Dempsey
Newspaper articles	News about products and services.	Print	Public Relations Information	X years	Archive	Molly Dempsey
Emergency contact sheets	Employee information.	Electronic documents	Personnel Records	X years	Destroy	Reshma Patel
Medical plan enrollment forms	Employees' sign-up forms for health plans.	Electronic documents	Personnel Records	X years	Destroy	Reshma Patel
Resumes	Resumes received.	Mixed	Personnel Records	X years	Destroy	Reshma Patel

 **Note**

The above example is a sample and not a recommendation of any particular file plan settings. No retention periods are supplied to reinforce that this is an example and not a recommendation of any records management policy.

Worksheet

You can use the following worksheet with this article to help plan your deployment:

- [Record categories worksheet](http://go.microsoft.com/fwlink/?LinkId=73300&clcid=0x409) (http://go.microsoft.com/fwlink/?LinkId=73300&clcid=0x409)

Design the Records Center site (Office SharePoint Server)

In this article:

- [About the Records Center site](#)
- [Planning document libraries for records retention](#)
- [Planning metadata](#)
- [Planning the record routing table](#)

To manage records in Microsoft Office SharePoint Server 2007, site designers and records managers plan and implement a Records Center site. This site, based on the Records Center site template, contains features you can use to implement your file plan and manage the records while they are being retained.

Design the Records Center site in four steps:

1. Based on your file plan, plan the document libraries you need to store your records.
2. Plan metadata for each record type, and define columns in the document libraries to contain and display the metadata.
3. For each type of record, plan policies to define retention periods and auditing specifications that help meet your enterprise's regulatory obligations.
4. Based on your analysis of active content that will become records, plan the record routing table, which maps each type of record to the appropriate library in the Records Center site. When a record is sent to the Records Center site, either programmatically or via the user interface, this table is used to determine how to classify the document within the file plan.

About the Records Center site

The Office SharePoint Server 2007 Records Center site template is designed to implement records management and retention.

By combining standard Office SharePoint Server 2007 features with specialized records management features, the Records Center site provides the following capabilities:

- **Record routing** When a document is sent to the Records Center site, either by using a default method such as the **Send to Records Center** command or by using the programmable interface, the record is routed to the correct document library based on its type. The correlation between incoming record types and their related document libraries is managed in the record routing table, as described later in this article in the section [Planning the record routing table](#).

When a record is sent to the Records Center site, other information is sent along with the record itself. This other information includes the record's audit history, which is stored in an XML file, and all of its metadata, which is stored both in an XML file and in columns of metadata in the Records Center site.

- **Policy enforcement** Office SharePoint Server 2007 includes the following policy features that are useful for records management:
 - **Auditing** Logs events and operations performed on documents. In the context of records management, this is useful to record who is viewing and accessing information in the Records Center site.
 - **Expiration** Specifies how long the record should be retained and provides an action to take when the retention period ends, such as initiating a disposition approval workflow. In the context of records management, the retention period usually starts when the record is stored in the Records Center site.
 - **Barcodes** Provides each record with a unique barcode graphic and numeric value. The value of the barcode is stored and indexed along with the electronic version of the record. In the context of records management, barcodes are useful for retaining and tracking physical records. When the records in a library have hard-copy versions, barcodes provide a way to correlate the hard-copy versions with their electronic counterparts. See the topic [Plan physical records retention](#) for a discussion of physical records retention planning.
- **Programmable interface** A comprehensive records management solution enables records to flow into the records management system from all sources of records in the organization. The Records Center site's programmable interface provides a method to send a file, its associated metadata, and its audit history to the Records Center site as part of a business process. By using this method, any document management system can be configured to send files to the Records Center site. You can also add modules that extend the classification of incoming records — for example, to classify records based on their metadata values. In addition to extending the interface for moving records into the Records Center site, you can extend other aspects of the Records Center site. For example, you can design additional policy features that meet your enterprise's unique requirements.
- **Hold** The Office SharePoint Server 2007 Records Center site provides a way to suspend a record's expiration policy. It includes a *hold* feature that lets records managers create named "holds" that protect specified records from expiring and being destroyed. For example, in the event of an internal audit or a litigation, putting the relevant records on hold ensures that those records, which you may be required to produce, will be available until the audit or litigation is complete.

Planning document libraries for records retention

The easiest approach to planning document libraries for records retention — and the approach recommended in this planning guide — is to create a document library for each type of record in your file plan (see [Develop the file plan \(Office SharePoint Server\)](#)). For example, each record in the following sample file plan could be stored in a separate library:

Records	Description	Media	Record category	Retention	Disposition	Contact
401K plan	Description of employee benefit plan.	Web pages	Employee Benefit Plans	X years	None	Reshma Patel
Insurance plan	Description of employee insurance plan.	Electronic documents	Employee Benefit Plans	X years	None	Reshma Patel
Press releases	Releases about products and services.	Electronic documents	Public Relations Information	X years	Archive	Molly Dempsey
Newspaper articles	News about products and services.	Print	Public Relations Information	X years	Archive	Molly Dempsey

Worksheet action

To help you plan document libraries for records retention, list each record type and assign it to a document library. To record information about the library, such as what policies to apply and what columns of metadata to add to it, use the [Document library for retaining records worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409>) for each library.

Planning metadata

After planning document libraries for records retention, the next step is to determine the metadata to define for each library. There are two categories of metadata to consider:

- Records metadata
- Additional metadata

Planning records metadata

Records metadata is the metadata that is submitted along with a record when it is sent to the Records Center site. Determining what the optimal metadata for a type of record depends on that type of record, and it may require discussions among records managers and the managers of the content on the active servers. Once you have determined that adequate metadata is being generated and stored for a record type, you can configure the destination document library for that type of record to retain the metadata along with the record. When a record is sent to the destination document library:

- The names and values of each column of metadata associated with it are saved along with the record in an XML file in a hidden `_properties` folder that is created in the destination library.
- The metadata values are copied to matching columns in the destination library.

For each column of metadata for a type of record, define a column in the destination document library that matches the incoming column's name and type. To specify that the column must be submitted along with the record and that it must have a data value associated with it, configure the column in the Office SharePoint Server 2007 user interface to require data. (Do this by selecting the **Require that this column contains information** option.) For example, if the source records include a "Department" column of type "Single Line of Text," define a column with that name and type in the destination document library.

 **Note**

If a record is submitted for retention and required metadata is missing (either because no value is supplied or because the column is missing entirely), the submitter will be prompted for the missing metadata. If the metadata is not provided, the record will not be accepted for retention. If the document is sent programmatically (rather than from the user interface), the file is placed in a temporary holding area, and information is sent back to the calling program that must be handled programmatically to supply the missing column of information before the record is added to the destination library.

Worksheet action

In the [Document library for retaining records worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409>), record the name and type of each column of records metadata that you want to store along with the record, and specify if the column should be required.

Planning additional metadata

Along with displaying columns of metadata associated with retained records, you may want to add other columns of information to display in your records management document libraries. For example, you may want to add a "Records Manager" column to display the name of the person on your team who is responsible for managing the records stored in the document library. Note that, as with columns submitted along with records, if you specify that these additional columns are required, the record submitter will be prompted for the missing metadata and the record will not be accepted unless that metadata is supplied. If you do not want the submitter to be prompted for the values of additional metadata, do not configure the columns to require data.

Note

You can define columns for use in multiple document libraries. To do this, you can create them in the Column Templates gallery associated with the Records Center site.

Worksheet action
In the Document library for retaining records worksheet (http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409), record the name and type of each column of additional metadata that you want to store along with the record, and specify if the column should be required.

Planning policies

An *information management policy* is a set of rules for a type of content. Each rule in a policy is a "policy feature." For example, an information management policy feature could specify how long a type of content should be retained or which actions on the content should be audited. Information management policies enable you to control who can access your organizational information, what they can do with it, and how long to retain it. Policies in a records management system should be configured by records managers to reflect the enterprise's regulatory obligations.

Microsoft Office SharePoint Server 2007 includes the following policy features that are useful for managing records in the Records Center site:

- Auditing, to demonstrate that records are being managed properly.
- Expiration, to control how long records are retained in the Records Center site.
- Barcodes, to track physical records.

Depending on your records management needs, you can also acquire or develop your own records management-related policy features that are not included in Office SharePoint Server 2007, such as policies that digitally sign records or convert them to a fixed format.

There are two recommended options for planning policies for records management:

- If the same policies will apply to multiple record types — for example, because they are in the same record category — create a separate site collection policy for each set of record types. Associate each site collection policy with the relevant document libraries.

Worksheet action
<ul style="list-style-type: none">• In the topic Develop the file plan (Office SharePoint Server), you determined record categories using the Record Categories worksheet (http://go.microsoft.com/fwlink/?LinkId=73300&clcid=0x409). For each record category that requires a policy, create and configure the policy in the Site Collection Policy gallery by adding policy features and configuring them. (For more general information about policies and policy planning, including links to policy planning worksheets, see the topic Plan information management policies.)

- If a record type requires a unique set of policy settings, associate the relevant policy features directly in the document library for that record type and configure the policy features appropriately for that library.

Worksheet action
<p>In the Document library for retaining records worksheet (http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409) for a library, record your decisions about policy configuration:</p> <ul style="list-style-type: none">• To associate a site collection policy with the document library based on the record category of the content stored in the document library, in the Policy section of the worksheet, record the name of the policy template for that record category.• To associate unique policy features directly with the document library, in the Policy section of the worksheet, enter each policy feature along with configuration notes for that feature.

Planning the record routing table

The record routing table is a list in the Records Center site that lists each type of record that might be submitted to the Records Center site and specifies the library in which to store it. When

files are submitted to the Records Center site by using the **Send to Records Center** command or the programmable interface, this list is used to route the incoming file to its proper location.

Each entry in the record routing table is a record series list item specifying:

- The title and description of the *record series*. The name of a record series indicates a type of item that can be submitted to the Records Center site for the current record series. If files are submitted to the Records Center site from a server based on Office SharePoint Server 2007 or Windows SharePoint Services 3.0, the name should match a content type name in the library containing the active record. If the files are submitted from another source, the name should match the type of document that can be submitted from that file source using the programmable interface.
- The location (a document library) in which to save the records for the current record series.
- A list of record types, called *aliases*. These are other names for the records that can be submitted to the Records Center site for this record series. For example, if your organization has multiple departments that use different names for the same underlying record type (such as "contracts" and "agreements"), you could define aliases for each name used for the same record type.

If the records are submitted to the Records Center site from a server based on Office SharePoint Server 2007 or Windows SharePoint Services 3.0, the aliases will be content types. If the records are coming from another file source, the aliases should match the types that can be specified for that record source in the programmable interface.

One record series in the record routing table should specify the default document library. When a Records Center site receives a file that does not match an alias in the record routing list, the file is moved to the specified default location where it can be manually filed by a records manager. The Records Center site template includes an Unclassified Records document library and record series as the initial default location; it is recommended that you keep this record series as the default.

A good approach to planning your record routing table is:

1. For each document library that you created in your Records Center site, plan to create an entry in the record routing table.
2. Give a record series the same title as the primary type of record to be retained using that record series.
3. Based on your analysis of active documents in your enterprise, obtain a list of all the content types or other record types that could be submitted for the current record series; these should be listed in your file plan, and they will be the aliases for the record series. For example, if, in a human resources Records Center site, you decide to retain all pension plans, insurance plans, and 401k plans in an Employee Benefits Plans document library, you would specify all these record types as aliases in the record series entry for the Employee Benefits Plans document library.
4. Determine which record series should be the default.

Worksheet action

Use the [Records routing table worksheet](http://go.microsoft.com/fwlink/?LinkId=73303&clcid=0x409)
(<http://go.microsoft.com/fwlink/?LinkId=73303&clcid=0x409>)
to record your decisions about each record series you plan
to create in the record routing table. Note that there should
be a record series for each document library in your
Records Center site.

Worksheets

Use the following worksheets with this article to help plan your deployment:

- [Document library for retaining records worksheet](http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409)
(<http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409>)
- [Record categories worksheet](http://go.microsoft.com/fwlink/?LinkId=73300&clcid=0x409) (<http://go.microsoft.com/fwlink/?LinkId=73300&clcid=0x409>)
- [Records routing table worksheet](http://go.microsoft.com/fwlink/?LinkId=73303&clcid=0x409) (<http://go.microsoft.com/fwlink/?LinkId=73303&clcid=0x409>)

See Also

- [Design Records Center architecture](#)

Plan how records are collected (Office SharePoint Server)

In this article:

- [Techniques for moving files into the Records Center site](#)
- [Completing your plan](#)

After you develop a file plan and design the Records Center site, plan how active electronic and hard-copy documents in your organization will move to the Records Center site. This article reviews techniques you can use to move content to the Records Center site and suggests a way to plan how items in your file plan will become records.

Techniques for moving files into the Records Center site

You can use the following techniques for moving files into the Records Center site:

- Manually sending content from a Web site based on Microsoft Office SharePoint Server 2007.
- Using managed e-mail folders in Microsoft Exchange Server 2007.
- Using a custom solution based on the Windows SharePoint Services 3.0 object model, such as a custom workflow.

Manually sending content to the Records Center site

If a file is stored in a document library in a Web site based on Office SharePoint Server 2007, an information worker can declare it a record by sending a copy of it to the Records Center site using the **Send to Records Center** command. When a site collection administrator configures the connection to the Records Center site, this command becomes available on all active documents in the site collection. Along with sending a copy of the document to the Records Center site, the **Send to Records Center** command sends the document's metadata, its audit history, and its location on the active document server. If additional metadata is required in the Records Center site, the user is prompted to supply it. Although manually sending records to the Records Center site is not a practical large-scale solution, you can use it to supplement other methods of moving content to the Records Center site.

 **Note**

When the **Send to Records Center** command is used to declare a record and send it to the Records Center site, it leaves the active document in its current location. The active document can continue to be used, or it can be deleted if that is appropriate.

Using managed e-mail folders in Microsoft Exchange Server 2007 to send e-mail and files to the Records Center site

Exchange Server 2007 includes policy features similar to those implemented using Office SharePoint Server 2007. In Exchange Server 2007, administrators can configure an Exchange folder so that, when a user moves an e-mail message into the folder, the e-mail message is copied to the Records Center site using Simple Mail Transfer Protocol (SMTP).

When an e-mail message copied from Office SharePoint Server 2007 is received in the Records Center site, it is handled like any other file sent to the Records Center site; it is moved to the appropriate document library based on the matching entry in the record routing table. For more information about the record routing table, see [Design the Records Center site \(Office SharePoint Server\)](#).

The policy and records retention features described above are managed e-mail folders features introduced in Exchange Server 2007. Using managed e-mail folders, Exchange administrators can define folders that are targeted to specific business purposes, such as Personnel Issues, Product Planning, or Contracts. By assigning policies to these managed folders, administrators can ensure proper expiration of content, configure connections to other servers (such as a Records Center site in Office SharePoint Server 2007), or initiate any custom actions that have been configured in Exchange Server 2007. The use of managed e-mail folders can be enforced by rules (such as moving messages into folders based on their subject lines), or the use of the folders can be voluntary, requiring information workers to manually move e-mail into appropriate folders. For a full description of implementing managed e-mail folders and other Exchange Server 2007 features, see the Exchange Server 2007 Administrator's Guide.

Using a custom solution to send files to the Records Center site

You can programmatically send files and e-mail messages to the Records Center site from file and e-mail servers, whether or not they are based on Office SharePoint Server 2007 or Exchange Server 2007. To do this, develop and install programs that have interfaces to the records management methods implemented in the Windows SharePoint Services 3.0 object model and then integrate those programs into your document or e-mail management processes.

By using the Windows SharePoint Services 3.0 object model, you can determine the list of record types defined in a Records Center site's record routing table, and then submit a file — including its contents, properties, and audit history — to a particular record series. For a full description of programming the Windows SharePoint Services 3.0 object model, see the [Office SharePoint Server 2007 Software Development Kit](#) (<http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409>).

You can use the Windows SharePoint Services 3.0 object model to create a *custom workflow* that copies files to the Records Center site. A workflow that sends files to the Records Center site can be integrated into your document management system as part of a workflow that guides a document through its life cycle. For document types that have a predictable life cycle, such as expense reports, you could implement a workflow that guides the document through its various stages and, as a final step, sends a copy of the document to the Records Center site. The workflow could be triggered by the creation of a new document.

Completing your plan

After you [Develop the file plan \(Office SharePoint Server\)](#) and review the methods for moving content into the Records Center site, complete your plan by determining how to send each type of record to the Records Center site. The factors to consider include the following:

- Is compliance enforced or voluntary?
- Can you count on the cooperation of information workers in your organization to comply with records management processes? In general, avoid manual processes; however, where they are needed, devise adequate training and monitoring to ensure team compliance.
- Will content be stored on Office SharePoint Server 2007 document management servers?
- Will e-mail be stored on Exchange Server 2007 e-mail servers? If e-mail is stored on Exchange Server 2007 e-mail servers, you can use built-in mechanisms such as managed e-mail folders to implement the connection to the Records Center site. If e-mail is stored on other e-mail servers, you can use the Windows SharePoint Services 3.0 object model to design and implement custom methods for sending files to the Records Center site.
- Are you retaining physical content? Managing active physical content, such as hard-copy documents or CD-ROMs, and sending it to a records vault for retention (along with tracking the record in a Records Center site) requires unique planning not described in this topic. For example, if no electronic version of a hard-copy document exists, you might need to track the item by using a list and its associated policies and workflows. For a full discussion of strategies and techniques for tracking a physical record, both while it is active and after it is sent to the Records Center site, see the topic [Plan physical records retention](#).

The following table illustrates how some records in a file plan will move to a records repository site:

Documents	Description	Media	Source location	Becomes a record...
Benefit plan	Description of employee benefit plan.	Web pages	Office SharePoint Server 2007 document library	Using a custom workflow associated with expiration policy
Insurance plan	Description of employee insurance plan.	Print	Physical document associated with list item in Office SharePoint Server 2007	By sending to a physical vault and creating a list item in the Records Center site to track (using a barcode)
Payroll timesheets	Summaries of hours worked, overtime, and salaries paid.	Electronic documents	Payroll records server not based on Office SharePoint Server 2007	Using a custom program
Product development files	Specifications of products and associated documents.	Electronic documents	Office SharePoint Server 2007 document library	Using custom workflow associated with expiration policy and manually using Send To Records Center command
Product development e-mail	E-mail messages related to product development.	E-mail	Exchange Server 2007 managed folders	Manually by moving messages to an Exchange folder connected to the Records Center site

Plan physical records retention

In this article:

- [Using Office SharePoint Server to manage physical records](#)
- [Planning physical records retention](#)
- [Worksheet](#)

This article describes planning tasks related to retaining physical records by using Microsoft Office SharePoint Server 2007. As with digital items, such as electronic documents and e-mail messages, a physical item can be a record and can require management. By using Office SharePoint Server 2007 in conjunction with your physical records storage and retrieval system, you can implement a records management solution that includes both electronic and physical records.

Physical records that you manage by using Office SharePoint Server 2007 can include any non-digital items, such as printed documents, DVDs, videotapes, other media, and even hardware such as product prototypes. You can manage individual physical items or a set of items, such as a box of related documents.



Note

A well-designed records management system helps protect an organization legally, helps the organization demonstrate compliance with regulatory obligations, and increases organizational efficiency by promoting the disposition of out-of-date electronic and physical items that are not records. Determining which electronic or physical items in your organization are records is the responsibility of corporate records managers, compliance officers, and lawyers. By carefully categorizing all enterprise content in your organization, they can help you ensure that records are retained for the appropriate period of time.

Using Office SharePoint Server to manage physical records

This section describes Office SharePoint Server 2007 features that you will want to consider in planning a records management solution that supports physical records retention and disposition.

Physical records and the Records Center site

The Office SharePoint Server 2007 Records Center is a site template designed to implement records management and retention. It includes records management features, such as policy enforcement, record hold, and record routing, and it has a fully programmable interface. For a full overview of the Records Center site, see [Design the Records Center site \(Office SharePoint Server\)](#).

The Records Center site is designed for managing electronic and physical records. This facilitates treating both types of records as part of the same file plan, applying the same types of metadata

to both electronic and physical records, and associating the same policies with them where appropriate. You can either manage electronic and physical records in the same Records Center site or you can use one Records Center site for electronic records and another for physical records.

When planning physical records management in a Records Center site, here are some unique considerations to keep in mind:

- Use lists rather than document libraries to track physical records. See [Lists and physical records](#) for details.
- Because the actual storage of a physical item happens separately, users do not "send" a physical item to a Records Center site by using the user interface (or by using a customization based on the programmable interface). Instead, records managers add new physical records to the site by creating new items in the lists used to manage the records, and by creating associated features (see next item) to manage the physical records by using the Office SharePoint Server 2007 lists. Typically new list items are added to lists programmatically, such as by using a custom workflow.

 **Note**

There is no need to add physical records to the Record Routing table in the Records Center site, which sends electronic records to their appropriate document libraries but does not route physical records.

- It is recommended that additional functionality, such as custom workflows, be added to lists to provide physical record-specific processes, such as inventory tracking, storage management, ownership transference, and physical records disposition. For a case study including descriptions of Records Center customizations that support physical records management, see [Case study: Physical records management at Microsoft](#).

Lists and physical records

In contrast to electronic records such as documents, which are both stored and managed in Office SharePoint Server 2007 document libraries, physical records are stored in an appropriate physical venue, depending on the type of item. To track physical records' locations, owners, status, and other information, and to guide them through their lifecycles, use Office SharePoint Server 2007 lists rather than document libraries in the Records Center site. After an item representing a physical record is added to a list, you can manage it by using the same records management features that document libraries provide for digital records:

- **Metadata** Metadata in Office SharePoint Server 2007 is implemented as columns of information displayable in lists or document libraries. Records managers use metadata to record information about records, such as their descriptions, the types of media, record category, each item's disposition, barcode value, and record owner. By using the Site Column Gallery in the Records Center site, you can define metadata columns that are useful for both your electronic and physical records. This helps you to maintain the same information about records regardless of their media, and makes it easier to search and retrieve both electronic and physical items by using list and library items' properties. For more information about site columns and metadata, see [Plan content types](#).

- **Workflows** You can associate a workflow with a list. Physical items represented in the list can then be tracked by using the workflow. For example, when a new item is added to a list, a custom workflow can be launched that assigns tasks to ensure the proper physical storage of the item. Other workflows can be added to the list — for example, to retrieve a physical item. For information about creating custom workflows, see the Office SharePoint Server 2007 [Software Development Kit](http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409) (<http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409>).
- **Forms** You can use InfoPath Forms Services integration with Office SharePoint Server 2007 to associate forms with lists, and use them to implement commands associated with physical records management. For example, you can use browser-based forms to provide access to physical records inventories or to facilitate service requests related to physical records. For information about planning forms, see [Plan InfoPath Forms Services](#).
- **Information management policies** An *information management policy* is a set of rules for a type of content. Each rule in an information management policy is a *policy feature*. Policies and policy features can be applied to list items and used in the context of physical records management:
 - **Expiration** The expiration policy feature helps dispose of items in a consistent way that can be tracked and managed. You can set list items to expire on a particular date or within a calculated amount of time. You can associate a workflow with a list's expiration policy so that, when an item expires, the workflow assigns tasks that ensure the item's destruction or other disposition. For more information about the expiration policy feature, see [Plan information management policies](#).
 - **Barcodes** The barcode policy feature enables you to track a physical item by creating a unique identifier value for the item and attaching a barcode image of that value to the item. By default, Office SharePoint Server 2007 barcodes are compliant with the common Code 39 standard (ANSI/AIM BC1-1995, Code 39), and you can plug in other barcode providers by using the policies object model. By associating a barcode value with a list item that represents a physical record, you ensure that the physical item can be located from the list item and vice versa. For more information about the barcode policy feature, see [Plan information management policies](#).
 - **Labels** The label policy feature specifies labels that Office SharePoint Server 2007 can generate, based on a set of list or document library metadata. You can customize a label's format, and you can insert labels into electronic documents or print them. In physical records management, attach printed labels to physical items to help identify the physical records and correlate them with their associated list items. For more information about the label policy feature, see [Plan information management policies](#).
 - **Auditing** The auditing policy feature logs events and operations performed on a document or list item, such as changing, viewing, or deleting the item. The actions that are audited are extensible. In the context of records management, auditing is an essential operation that helps ensure a complete record of the activities related to an item. For more information about the auditing policy feature, see [Plan information management policies](#).
- **Content types** A content type defines the information and features available for a list item, document, or folder, including its metadata, workflows, and information management policies.

Because content types can be organized hierarchically, a set of content types can have some features in common, such as shared metadata, while having unique features.

Content types are useful in records management because they can group features for records of a particular type in an easily reusable way. You can create content types for your electronic and physical records that share common information, such as metadata to categorize the records, while having unique features based on their media. For example, you can define a general "document record" content type, and then create electronic and physical document content types that inherit their metadata from the general content type. Then you can add unique features to the physical document content type that are not relevant to the electronic document content type, such as a barcode policy feature or a physical records workflow. For more information about content types, see [Plan content types](#).

- **Folders** You can define custom folder content types. In physical records management, you can use folders to represent physical storage locations, such as boxes or shelves in a warehouse. List items in the folders then represent items in the physical storage locations. For example, if a set of printed documents is stored in a box, you can store the records of each document in a folder that represents the box, with metadata that identifies the box's barcode value, physical location, and other custom information. For more information about folders and content types, see [Plan content types](#).
- **Attachments** You can attach electronic items, such as scanned images, to list items. This is useful in a physical records management context to help identify a physical record and correlate it with its associated list item.

Case study: Physical records management at Microsoft

The Microsoft Legal and Corporate Affairs (LCA) Records Management team created an inventory tracking solution by using many of the features described in this topic, including the Records Center site, forms, workflows, and information management policies. It gives Microsoft employees easy access to physical records information and eliminates the need to handle inventory searches manually. Building on Office SharePoint Server 2007 and Microsoft Office InfoPath 2007, the solution uses forms and workflows to automate the collection and management of physical records.

A white paper is available online that describes the goals and benefits of the solution along with its architecture. See [Streamlining Records Management Using SharePoint Server 2007 Workflow](#) (<http://go.microsoft.com/fwlink/?LinkId=80869&clcid=0x409>).

Planning physical records retention

Worksheet action
<p>You can use the Plan physical records worksheet (http://go.microsoft.com/fwlink/?LinkId=81626&clcid=0x409) with this article to help plan your physical records management based on Office SharePoint Server 2007.</p> <p>For each physical record type in your file plan, use a separate worksheet.</p> <ol style="list-style-type: none">1. Under Physical Record, enter the type of record, such as "Retirement Plan Description."2. Under Record Category, enter the category based on your file plan, such as "Human Resources Benefits Plans."3. Under Media, enter the type of media, such as "Print Brochure."4. Under Records Center, enter the URL of the Records Center site.5. Under List, enter the name of the list for managing this type of physical record.6. In the Metadata table, enter metadata columns to display for this record type. For each item of metadata, enter its type, such as Person. In the Source column, specify where the item of metadata is defined, such as "Site Column Gallery" or "Current List."7. In the Policies table, record the policy template to associate with this list, or record each policy feature individually and supply configuration notes as needed. For more information about information management policies, see Plan information management policies.8. In the Workflows table, record each workflow to make available for this record type, list the content type the workflow will operate on, and add any relevant notes, such as a description of the intended use of the workflow and who is responsible for developing it.9. In the Forms table, record any forms development required for this record type and add relevant notes, such as a description of the intended use of the form and who is responsible for developing it.

Worksheet

[Plan physical records worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=81626&clcid=0x409>)

See Also

- [Design the Records Center site \(Office SharePoint Server\)](#)

Plan e-mail message records retention

In this article:

- [Using a Records Center site for e-mail message retention](#)
- [Using Exchange Server 2007 with Office SharePoint Server to manage e-mail message records](#)
- [Managing e-mail message records without Exchange Server 2007](#)
- [Planning e-mail message records retention](#)
- [Worksheets](#)

E-mail messages stored in e-mail servers can be records. Because information workers increasingly use e-mail client applications to communicate business information, corporate compliance officers and records managers should include e-mail messages in their records management planning by:

- Accounting for e-mail messages in file plans.
- Providing a way to retain e-mail message records, hold them for legal discovery, and dispose of them.
- Providing a way for information workers to classify their e-mail messages as records.
- Providing a way for information workers to transfer e-mail messages to records centers.

This article describes planning tasks related to retaining messages by using Microsoft Office SharePoint Server 2007. In addition to Office SharePoint Server 2007, Microsoft Exchange 2007 includes features that support the goals of records managers and corporate compliance officers. Because the Exchange 2007 features that support records management were designed to easily integrate with Office SharePoint Server 2007 records management features, you can use the two products in a seamless way to manage message classification, retention, and expiration.

Therefore, this topic focuses on planning e-mail message records management by using Office SharePoint Server 2007 with Exchange 2007. By using a custom solution based on the Windows SharePoint Services 3.0 and Office SharePoint Server 2007 object models, e-mail message records management solutions that don't require Exchange 2007 can be implemented based on Office SharePoint Server 2007. The section [Managing e-mail records without Exchange Server 2007](#) describes planning e-mail records retention when Exchange 2007 is not in use.

For an overview of Office SharePoint Server 2007 records management capabilities, see [Plan records management](#). For information about planning, deploying, and operating a messaging system based on Exchange 2007, see the [Microsoft Exchange Server 2007 technical library](#) (<http://go.microsoft.com/fwlink/?LinkId=83249&clcid=0x409>).

Using a Records Center site for e-mail message retention

As described in the article [Design the Records Center site \(Office SharePoint Server\)](#), site designers and records managers plan and implement a Records Center site to manage records in Microsoft Office SharePoint Server 2007. The following features of the Records Center site, which are the primary features used to manage records, work for retaining e-mail messages records in the same way as they work for retaining other types of records:

- **Document libraries** You create document libraries in the Records Center site to store records. You can create new libraries for retaining e-mail records or you can store e-mail records in existing libraries. For example, if your Records Center site has a "Contracts" document library, you can store e-mail messages related to contracts in that library with other types of contract-related documents.
- **Metadata** You define and create e-mail message metadata in the same way that you create other types of metadata in the Records Center site. E-mail message record metadata typically includes common e-mail fields such as To, From, and Subject. These fields are automatically submitted to the Records Center along with e-mail message records sent from Office Outlook 2007 and Exchange 2007. For more information, see [Using Exchange Server 2007 with Office SharePoint Server to manage e-mail message records](#) later in this article. To store the metadata for e-mail message records, you must first (as with any type of record metadata) define the metadata columns in a document library or in the content type assigned to the document library. For detailed information about planning metadata for records management, see the section, "Planning metadata," in the article [Design the Records Center site \(Office SharePoint Server\)](#).
- **Record routing** When an e-mail message is sent to the Records Center site, the record is routed to the correct document library based on the content type associated with the message. The e-mail content type information is automatically submitted with e-mail message records sent from Office Outlook 2007 and Exchange 2007 using the Exchange 2007 label feature. For more information, see [Using Exchange Server 2007 with Office SharePoint Server to manage e-mail message records](#) later in this article. For custom e-mail message record solutions that do not use Exchange 2007, the content type must be determined by the custom solution and sent programmatically to the Records Center site. For more information, see the Office SharePoint Server 2007 [Software Development Kit](#) (<http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409>).
- **Policies** As is the case for other types of records, e-mail message records require auditing and expiration policies. After a message record has been sent to a Records Center site and routed to a document library, the set of information management policies configured in that document library are applied to the message records stored in that library. For more information about planning policies for records management, see the section, "Planning policies," in [Design the Records Center site \(Office SharePoint Server\)](#).
- **Hold** The Office SharePoint Server 2007 Records Center site includes a *hold* feature. In records management, a hold is an action suspending a document's disposition so that it remains protected in the Records Center until the hold is lifted. This feature enables records

managers to create named holds that protect specified records from expiring and being destroyed. You can put one or more message records on hold in the same way that you put other records on hold.

Using Exchange Server 2007 with Office SharePoint Server to manage e-mail message records

Exchange 2007 includes features that facilitate managing e-mail message records and that can easily be integrated into a records management solution based on Office SharePoint Server 2007. These features help ensure that:

- Information workers can properly classify their e-mail messages.
- After e-mail messages are classified, they remain active for a duration set by an Exchange 2007 administrator.
- E-mail messages that must be retained beyond their active retention periods are sent to a Records Center site for long-term retention.

The Exchange 2007 records management features include:

- **Managed folders** These are folders that are configured by a Exchange 2007 administrator so that information management policies are applied to the messages stored in the folders. A typical type of policy applied to a managed folder is an *expiration policy*, which specifies how long a message can be kept in a folder before it is deleted or moved to another folder for review. When used in an e-mail client application such as Office Outlook 2007, managed folders have the same features as other folders. When a managed folder is selected in Office Outlook 2007, a statement describing the policies associated with the folder is displayed.

Managed folders are typically named to indicate the business classification of the e-mail messages that they are intended to contain. For example, you can name a managed folder "Research and Development" or "Contracts and Leases." Based on a managed folder's name and policy statement, information workers are expected to understand the purpose of the folder and use familiar means such as dragging and dropping to store appropriate e-mail messages in the folder. Note that when an information worker drags an e-mail message into a managed folder, that action both classifies the message and applies the proper policies to it.

- **Journaling** The Exchange 2007 *journaling* feature sends a copy of an e-mail message to a target storage location outside of a mailbox. By configuring the journaling target location to be a Records Center site, an Exchange 2007 administrator can implement e-mail message record retention using Exchange 2007 and Office SharePoint Server 2007.

You can configure a managed folder to be journaled by specifying a journaling target location (such as an Office SharePoint Server 2007 Records Center site) and a *label* that indicates the type of e-mail message that the folder contains (such as "product development" or "business critical"). When an information worker moves an e-mail message into a managed

folder that has journaling enabled, a copy of the message, the message's label, metadata, and attachments are sent to the target location.

The label associated with a managed folder is used by the Records Center site to route a journaled e-mail message to its correct document library for long-term retention. The label must match the name of a *record series* in the Record Routing list. (Alternatively, the label can match an *alias* for the record series.) This is similar to how content types are used in the Record Routing list to determine the correct document library when a document is submitted to a Records Center. For a full description of record routing and record series, see the section, "Planning the record routing table," in the article [Design the Records Center site \(Office SharePoint Server\)](#).

- **Metadata** When an e-mail message is sent to a Records Center site by the Exchange 2007 journaling feature, the following metadata values are sent with the message:
 - To
 - From
 - Subject
 - CC
 - BCC

When an e-mail message record is sent to a destination document library, the names and values of each column of metadata associated with it are saved in an XML file in a "_properties" folder that is created in the library, and the metadata values are also copied to matching columns in the destination library. You must ensure that document libraries designed for retaining e-mail messages include the needed columns for storing the metadata values that are sent with the messages.

If a column for storing metadata in a document library is configured to require information and an e-mail message sent to the library is missing a required value, the submitter is not immediately prompted for it. (This behavior differs from what occurs when a document is submitted.) Instead, Office SharePoint Server 2007 saves the submitted message in a holding library. After a specified period of time — configurable by the Exchange 2007 administrator — Office SharePoint Server 2007 sends the submitter an e-mail message with a link to a Web page in which the submitter can specify the missing metadata values for all pending messages.

For information about planning and configuring Exchange 2007 records management features, see [Managing Messaging Records Management](#) (<http://go.microsoft.com/fwlink/?LinkId=83452&clcid=0x409>).

Managing e-mail message records without Exchange Server 2007

By using a custom solution based on the Windows SharePoint Services 3.0 and Office SharePoint Server 2007 object models, you can create a solution for records management for e-mail messages that is based on Office SharePoint Server 2007 that does not require Exchange

2007. When you implement message records retention in this way, you must develop programs that have interfaces to the records management methods implemented in the Windows SharePoint Services 3.0 object model, and then integrate those programs into your e-mail management processes. For a full description of programming the Office SharePoint Server 2007 object model, see the Office SharePoint Server 2007 [Software Development Kit](http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409) (<http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409>).

Planning e-mail message records retention without Exchange 2007 is identical to planning retention of other types of records. For general guidance on planning e-mail records management solutions in this way, see [Plan records management](#).

Planning e-mail message records retention

This section describes recommended steps for planning e-mail message records retention if you are using both Office SharePoint Server 2007 and Exchange 2007. If you are not using Exchange 2007, the steps for planning message records retention are similar to the steps for planning other types of records retention. For information, see the following resources:

- [Develop the file plan \(Office SharePoint Server\)](#)
- [Design the Records Center site \(Office SharePoint Server\)](#)
- [Plan how records are collected \(Office SharePoint Server\)](#)

The following steps describe planning e-mail message records retention using both Office SharePoint Server 2007 and Exchange 2007. These steps guide you in planning a separate document library for storing the contents of each managed folder, which is the easiest way to plan document libraries for e-mail message records retention.

1. In the [Managed folders worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=84737&clcid=0x409>), record the name of each managed folder on a separate line. Then, for each managed folder, record the following information:
 - a. In the **Folder name** column, type the name of the label to be used in journaling the messages.
 - b. In the **Label** column, specify the label that indicates the type of e-mail message that the folder contains.
 - c. In the **Metadata fields** column, list the names of metadata fields that will be submitted to the Records Center site.
 - d. In the **Notes** column, supply additional notes such as the retention policy and other policies applied to this managed folder.
2. Ensure that e-mail message records are part of your file plan.
 - a. Review the topic [Develop the file plan \(Office SharePoint Server\)](#).
 - b. In the [Record categories worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73300&clcid=0x409>), add each type of message to the **Records** column, and provide a category and description for the message record.

For example, if weekly status reports are sent as e-mail messages, you could add "Status e-mail message" to the **Records** column and categorize them as Personnel Records.

3. For each managed folder, fill in a [Document library for retaining records worksheet](http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409) (<http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409>) with the following information:
 - a. In the first section, enter the record type (for example, "Weekly status e-mail message"), the record category (for example, "Personnel records"), and the name of the document library that will retain records of this type.
 - b. In the **Plan metadata** section, in the **Column name** column, enter on separate rows the name of each metadata field that will be submitted for retention with the messages that will be stored in this library. In the **Type** field, indicate that the metadata is "record metadata." Indicate if the metadata is required. If the metadata field is new, record that in the worksheet. Note that a new metadata field requires that a new column be added to the Site Column gallery. For more information, see [Plan content types \(Office SharePoint Server\)](#).
 - c. In the **Plan policy** section, enter the policy features to associate with this document library (for example, auditing and expiration). Typically, policy settings are related to a record category, as specified in the [Record categories worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73300&clcid=0x409>).

The details of configuring policies are beyond the scope of this article. For guidance in configuring information management policies and using them in a Records Center site, see [Plan information management policies](#) and [Design the Records Center site \(Office SharePoint Server\)](#).

3. Enter record routing information for each managed folder. In the [Records routing table worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73303&clcid=0x409>), on a new line, enter the title of the record series. This should be the name of the label used to journal e-mail messages to this record series. Enter a description for this record series, such as "E-mail status report messages." Enter the name of the document library that will store the e-mail message records. This should match the name of a document library recorded in a [Document library for retaining records worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409>). If other managed folders are being routed to the same document library, enter their labels in the **Aliases** column.

Worksheets

Use the following worksheets to record your planning decisions about e-mail message records retention.

- [Managed folders worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=84737&clcid=0x409>)
- [Record categories worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73300&clcid=0x409>)
- [Document library for retaining records worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73298&clcid=0x409>)
- [Records routing table worksheet](#) (<http://go.microsoft.com/fwlink/?LinkId=73303&clcid=0x409>)

See Also

- [Plan records management](#)
- [Microsoft Exchange Server 2007 technical library](#)

Design records management topology

In this article:

- [Determine the number of farms that will host Records Center sites](#)
- [Elements of a typical records management topology](#)

Determine the number of farms that will host Records Center sites

You should determine the number of farms that will host Records Center sites based on your enterprise's organizational and geographical boundaries, rather than based on security or capacity planning considerations. By using the Microsoft Office SharePoint Server 2007 security model, you can deploy multiple Web applications in a single farm, each of which hosts sites with unique authorization and access control configurations. By using the guidelines described in [Plan security hardening for server roles within a server farm \(Office SharePoint Server\)](#), you can help secure your servers for their specific roles in your topology. By doing this, you do not need to deploy separate farms to isolate Records Center sites.

You do not need to add farms to accommodate a greater number of records. As described in [Design Records Center architecture](#), you can associate a separate database with each Records Center site in a server farm. When a Records Center site reaches its capacity limit, you can split the storage allocation based on some criteria — for example, record type — and add Records Center sites and associated databases. For a full discussion of capacity planning in Office SharePoint Server 2007, see [Plan for performance and capacity \(Office SharePoint Server\)](#).

The number of farms you deploy for records management is based on your organizational or geographical requirements. The following list describes typical examples:

- An organization's human resources department, for legal or organizational reasons, might want to retain records such as employee time card information and performance data in its own server farm.
- A small organization, for economic reasons, might decide to use the same farm for managing active documents and for hosting Records Center sites.
- Branches of an enterprise that are geographically distributed might need to implement local server farms to manage records in each region.

Work with business decision makers, records managers, content managers, compliance officers, and other stakeholders in your organization to determine the best server farm strategy based on your organizational and geographical requirements.

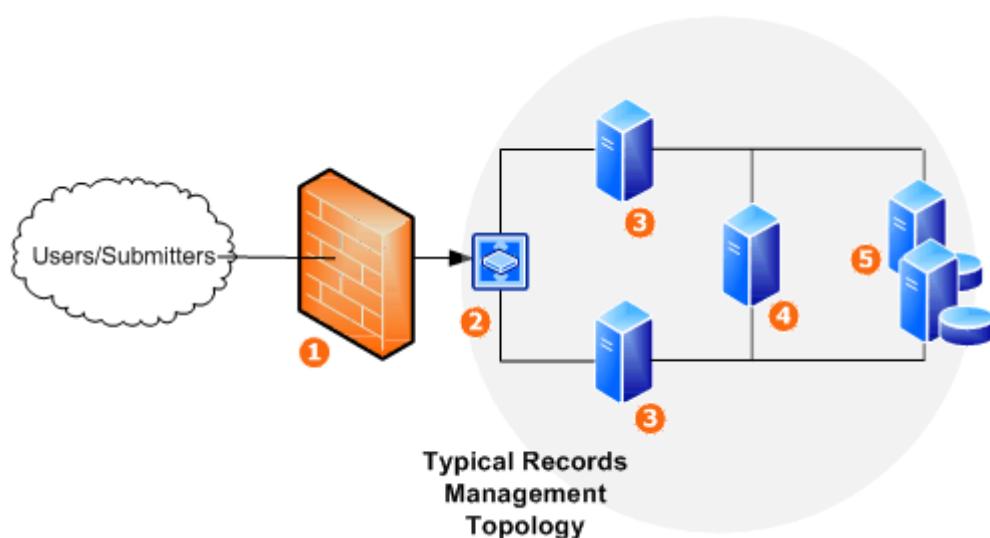
Elements of a typical records management topology

When you plan a server farm for records management and design your topology, consider the following issues:

- The primary purpose of the farm is to store large numbers of items, so you will need a large database capacity.
- Site usage is typically low, so you will have low concurrent usage and response-time requirements for Web servers. Most site activity will be records submissions and records managers' site operations. On the other hand, if you are implementing a more interactive Records Center solution — for example, one in which information workers browse the site or view site metrics — the sites will be more actively used and you might need to increase front-end capacity.
- Search is a primary tool of records management, so you should dedicate an application server to index the large body of content stored in the server farm.

A typical records management topology is a medium server farm topology, which consists of one or two database servers, an application server that runs Office SharePoint Server 2007 and Internet Information Services (IIS), and one or two Web servers that run Office SharePoint Server 2007 and Internet Information Services (IIS). In this configuration, the application server provides indexing services and, optionally, Excel Services, and the Web servers service search queries and provide access to the pages and documents that are hosted on the farm's Web sites. For a full description of deploying a medium server farm, see [Deploy in a simple server farm \(Office SharePoint Server\)](#).

The following illustration shows a typical records management topology.



The following table describes the elements that are labeled with a callout in the illustration.

Callout	Element
1	Hardware-based or software-based firewall.
2	Router. Some routers include firewall features.
3	Front-end servers.
4	Application server for indexing.
5	Database servers.

See Also

- [Deploy in a simple server farm \(Office SharePoint Server\)](#)

Other Resources

- [Plan for performance and capacity \(Office SharePoint Server\)](#)
- [Plan security hardening for server roles within a server farm \(Office SharePoint Server\)](#)
- [Design Records Center architecture](#)
- [Plan records management](#)
- [Demo: Add a library to a Records Center site](#)

Design Records Center architecture

In this article:

- [Plan Web applications](#)
- [Determine the number of Records Center sites](#)
- [Plan databases](#)
- [Plan Records Center customizations](#)
- [Plan security](#)
- [Plan e-mail settings](#)
- [Plan for logging and reports](#)
- [Plan for search](#)

This article provides recommendations that can help you configure and organize the logical components of a records management solution based on Microsoft Office SharePoint Server 2007 and provides guidance for configuring key features of your records management solution. For recommendations that can help you configure the physical components of your records management solution, see [Design records management topology](#). For an overview of Office SharePoint Server 2007 records management capabilities, see [Plan records management](#).

Plan Web applications

An Internet Information Services (IIS) *Web application* is a software program hosted on IIS that delivers Web-based information to the user in HTML. Web site solutions based on Office SharePoint Server 2007 are created in the context of IIS Web applications. When you initially create a Web application by using the Office SharePoint Server 2007 Central Administration site, you select a Web site template, and then a site collection containing that Web site is created. After you initially create the Web application, you can then add more site collections to it.

We recommend that you host Records Center sites on a separate Web application because so doing:

- Helps to ensure that the records stored in the Records Center site will not be commingled with active documents in the database.
- Ensures that the Records Center site does not inherit permissions or other security settings that might be present on existing Web applications.
- Enables you to optimize your backup schedule to meet your records management needs.

If you require multiple Records Center sites, it is not necessary to create multiple Web applications. A single Web application can efficiently host multiple Records Center sites, each in its own site collection. For more information, see [Determine the number of Records Center sites](#) later in this article.

When you configure Web applications to host Records Center sites, consider the following general configuration recommendations:

- **Quota** A quota sets limits on how much content can be added to a site collection. Because the storage model for Records Center sites is high storage combined with low site usage, there is little benefit in applying a quota to a site collection that is used for records management. However, if you want to receive a warning as a Records Center site approaches the upper limit of its storage capacity, apply a custom quota template to the site collection hosting a Records Center site. Use a template that configures the site collection to send the site owner a warning message as the site approaches its quota. For more information about storage, see [Plan databases](#) later in this article.
- **Lock** You can lock a site collection to prevent content being added to it. In records management, locking a site collection to prevent content being added to a Records Center site is rare and primarily related to emergency maintenance, such as when a site has reached its upper limit of storage capacity.
- **Maximum upload size** A Web application has a 50 megabyte (MB) maximum upload size for any item, by default. This is also the recommended upper limit of file sizes that can be submitted to a Records Center site using the Records Center Web service.
- **Recycle Bin** The Recycle Bin is a mechanism for deleting content from a SharePoint site such as a Records Center. It is designed to protect a user from accidentally deleting items by letting the user retrieve them. You configure Recycle Bins for the sites in a Web application by using Central Administration.

The Recycle Bin can be optionally configured in two stages. In this configuration, when a user deletes an item from a library, it goes to the site Recycle Bin. The user can either retrieve the item from the Recycle Bin or delete it. When a user deletes an item, it is sent to the second-stage Recycle Bin. Only site collection administrators have permissions to view deleted items in the second-stage Recycle Bin and permanently destroy them.

In a records management scenario, you could configure a second-stage Recycle Bin to provide an extra layer of protection against accidental destruction of records. You could also configure the site Recycle Bin to never delete items automatically, but instead require manual deletion. If you do this, you should provide adequate memory to contain the records that will collect in the second-stage Recycle Bin.

- **Alerts** Alerts are notification messages sent by Office SharePoint Server 2007 to list or library owners when items are changed, added, or deleted. In records management, alerts provide a way for records managers to track the status of the records for which they are responsible. You configure alerts for all sites in a Web application by using Central Administration. Ensure that alerts are enabled and that you allow a high number of alerts per user.
- **Timer Jobs** Features used in records management rely on scheduled background processes. The following list describes the job title and the schedule.
 - Policy Usage Reporting Recurrent runs daily.
 - Hold Processing And Reporting runs daily.
 - Records Center Processing runs daily.

- Search and Process runs daily.
- Bulk workflow task processing runs daily.

You can change the schedule of any timer job by using the Stsadm command-line tool. For more information, see [Stsadm.exe command-line tool \(Office SharePoint Server\)](#).

Determine the number of Records Center sites

You implement records management in Office SharePoint Server 2007 by creating and configuring a Records Center site. You can achieve a large-scale records management solution with a single Records Center site. However, in some cases, the number of records to store might require you to split your storage over two or more Records Center sites.

When you plan how many Records Center sites to deploy, work with your IT team to determine the largest database that they can back up and restore based on your schedule requirements. In a records management solution, the content in the database is not in use and accidental deletions are very rare (and therefore database restoration is also very rare). Consider that, although a 50 gigabyte (GB) content database size limit is recommended for many Office SharePoint Server 2007 solutions, this recommendation is tailored to scenarios in which quick recovery of documents is essential. In different scenarios, much larger database deployments may be achieved. For example, see the following blog article on MSDN: [How large for a single SharePoint content database?](#) (<http://go.microsoft.com/fwlink/?LinkId=86920&clcid=0x409>).

You can associate a separate content database with each site collection in a Web application, but not with separate sites within a site collection. Therefore, to associate separate content databases with each Records Center site, create each Records Center site in a separate site collection.

If your records management solution requires multiple Records Center sites, consider first creating a custom site template that is based on the Records Center site template. The custom site template should contain the following elements: information management policies, content type definitions, and column definitions required for your organization's records management solution. The custom site template enables you to easily share these elements across site collections. For more information about creating custom templates, see the Windows SharePoint Services 3.0 [Software Development Kit](#) (<http://go.microsoft.com/fwlink/?LinkId=86923&clcid=0x409>).

 **Note**

A Office SharePoint Server 2007 farm can point to a single target Records Center site as the location to which to send records from sites in that farm. If a farm hosting active documents must point to multiple Records Center sites, you must use the Windows SharePoint Services 3.0 object model to implement a custom router in the target Records Center site to route incoming records to the appropriate destination Records Center site. To do this for your custom solution, you must modify the record routing table in the target Records Center site to pass a record submission request to the appropriate Records Center site. For a full description of programming the Windows SharePoint Services 3.0 object model, including programming a Records Center site, see the Office SharePoint

Server 2007 [Software Development Kit](#) (<http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409>). For more information about database storage planning, see [Plan for performance and capacity \(Office SharePoint Server\)](#). For information about planning large-scale content repositories, see [Plan enterprise content storage](#).

Plan databases

A Records Center site must be able to store a large number of items. Because the site is acting as a vault or archive, user interactions with the stored items and with the site are typically minimal. Therefore, databases for records management generally should be planned to maximize storage and security at the expense of site performance.

Planning to back up and recover databases used for records management also requires special consideration. In records management, the goal is usually to retain records for a length of time based on business or statutory needs and then delete them. The goal in backing up Records Center sites is to guard against accidental deletion of records and to provide a way to recover from a site disaster, such as from an attack that uses malicious code. The goal is not to preserve another copy of the site's content. Backup copies of records could inadvertently be retained longer than the records themselves, which can possibly make the copies liable to discovery.

As described in the previous section, plan to associate a separate content database with each Records Center site and create each Records Center site in a separate site collection. After determining the number of Records Center sites you need, work with your IT department to determine, for each Records Center site:

- What size the content database will be. The more content you need to back up, the longer it takes to run a backup.
- How often you will back up the content database. How often to back up the content database depends on the types of records you are retaining, the frequency with which records are added to the Records Center site, and the availability of your IT team to run the backup operations.
- What the service window is for restoring Records Center content. This is the amount of time in which your IT team can respond to a crisis and restore data, based on the latest backup. The size of the service window is dependent on the amount of data to restore, which in turn is related to the size of the content database. To determine the appropriate service window for restoring content, you must balance how quickly you want to be able to restore data and how much data you want to store.

Integrate other features into a Records Center site

Use the Records Center site template for creating records sites in Office SharePoint Server 2007. Although the Records Center site template provides a full-featured records management solution, your records management goals might require that you enhance the default records management solution by adding other Office SharePoint Server 2007 features to it. Typical customizations include:

- Displaying metrics from the Records Center site. Records Center data can be displayed in Microsoft Office Excel 2007 spreadsheets, rendered in individual Key Performance Indicator (KPI) Web parts, or aggregated into a dashboard in the site. Depending on how you configure security, you can limit the availability of this information to records managers, or you can let information workers use this data to view the status of records that they have submitted. For more information about business information integration in Office SharePoint Server 2007, see [Plan for business intelligence](#).
- Displaying policies. By using lists and Web Parts, you can add documentation to your Records Center home page that describes the policies in place in the Records Center, metrics about policy usage, and other information to make the intended use of — and restrictions on — the site more transparent. For more information about Web page customization, see the Office SharePoint Server 2007 Help system, the Microsoft Office SharePoint Designer 2007 documentation, and the Office SharePoint Server 2007 [Software Development Kit](#) (<http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409>).
- Integrating forms, search, and workflows for physical records management. A physical records storage and management solution is also an inventory tracking solution, because a correlation must be kept between the lists that track items in the Records Center site and the actual physical items that the list items represent. By using forms to search for and request the retrieval of physical records and by using workflows to assign the task of retrieving the records, you can implement a solution that spans the needs of physical and electronic record keeping. For more information, see the following white paper that describes an implementation of such a physical records management solution at Microsoft: [Streamlining Records Management Using SharePoint Server 2007 Workflow](#) (<http://go.microsoft.com/fwlink/?LinkId=80869&clcid=0x409>).

For information about using the Records Center site template, see [Design the Records Center site \(Office SharePoint Server\)](#).

Plan security

To help ensure the safety and immutability of the records you are storing, carefully plan the security configuration for your Records Center sites. You should also consider documenting your security strategy and implementation so that, if needed, you can present the measures you took to secure your records.

General steps to secure your records management solution

Design your server farm and the Web application that contains your Records Center sites to be as secure as possible. For example, it is highly unlikely that you would want to permit access to a Web application that hosts Records Center sites through the Internet security zone, which allows anonymous access.

Carefully review the Office SharePoint Server 2007 security documentation in the chapter [Plan server farm security \(Office SharePoint Server\)](#) and work with your IT team to help ensure that you implement appropriate security for your records management solution. That chapter contains useful security-related guidance including:

- Hardening Web servers and database servers.
- Securing communications.
- Topology design checklist.



Note

Do not configure the Web application on which the Records Center site is running to use forms authentication. Doing this will require that you enable anonymous submissions to the Records Center site.

Configure permissions in the Records Center sites

In the Office SharePoint Server 2007 security model, individual permissions, such as the permission to add items to a document library, are grouped into permission levels, which authorize users with that permission level to perform sets of related actions, such as contributing content to a site. You can assign permission levels to named groups of users or directly to individual users. When users or groups are associated with securable objects, such as lists, libraries, list items, documents, or sites, their default permission level applies to that object, or you can change their permission level for that object. Office SharePoint Server 2007 includes a set of default permission levels. You can view and change permission levels for a site collection by using the **Advanced permissions** link on the Site Settings page. For a full description of the Office SharePoint Server 2007 security model, see [Plan for and design security \(Office SharePoint Server\)](#).

The following table lists the default groups and permission levels for Records Center sites.

Group	Permission Level
Records Center Web Service Submitters	Limited Access
Members	Contribute
Owners	Full Control
Visitors	Read
Viewers	View Only

The Records Center Web Service Submitters group, which has the Add Items permission on the Records Center site, is intended to grant limited access to users that submit records from other server farms. For each Web application from which records will be submitted, you must add the domain accounts under which the application pools are running for that Web application to the Records Center Web Service Submitters group. When users submit records from those Web applications, this is the account under which the records will be submitted to the Records Center.

site. Note that users that submit records do not need to be part of any group in the site collection containing the Records Center site.

If you plan to change default permission levels or add custom groups, consider the permissions that are required to perform records management tasks. The tasks and required permissions are listed in the following table.

This task	Requires this permission	On this securable object
Submit to Records Center site	Edit Items	Source site
	Add Items	Records Center site
Call the Records Repository Web Service	Add Items	Records Center site
Manage records	Edit Items	Records Center site
Create record series entries	Edit Items	Record Routing list
Create holds	Add Items	Holds list
Manage and release holds	Edit Items	File that is on hold
	View Items	Holds list
View records in search results	View Items.	Records Center site

Additionally, consider the following when you configure permissions in the Records Center site:

- In general, only give records managers and legal team members Edit Items permissions to content on the Records Center site. For sensitive content, you can limit the set of users with Edit Items permissions by assigning them permissions at the document library, folder, or even list item level. For example, a particularly sensitive document could have a single records manager assigned to manage it.
- Because the Holds list might contain very sensitive information, limit the set of users of the Holds list to team members who can create holds and team members who can put items on hold.
- The Records Center site includes a unique permission level, Records Center Submission Completion, which is automatically granted (temporarily) to users to allow them to fill in missing records metadata.

Maximizing vault behavior

You should configure the document libraries in a Records Center site to maximize the libraries' vault behavior, in which you protect against accidental deletion or modification of records.

Maximizing vault behavior includes the following actions:

- Requiring that documents are checked in and checked out.
- Creating major and minor versions of documents and giving no one the Delete Versions permission level.

- Not limiting the number of versions to retain.
- Enabling auditing.
- Auditing all events.

For an overview of versioning and other document management settings, see [Plan versioning, content approval, and check-outs](#). For a description of the auditing information management policy, see [Plan information management policies](#).

Plan e-mail settings

You should plan to configure your Web applications that host Records Center sites to support outgoing e-mail. Many records management scenarios are enabled by integrating e-mail with the Records Center site. The following list describes common examples of these scenarios.

- Alerts can be configured so an e-mail message is sent when a record changes or is added.
- Workflows can be configured to integrate with e-mail so that users are notified of impending workflow tasks via e-mail messages.
- When a new user is added to the site, an e-mail message can be sent to the user with a link to the site and other information about the site.

If your records management solution includes integration with Microsoft Exchange 2007, you should also configure the Web applications to support incoming e-mail. For more information, see [Plan e-mail message records retention](#). However, if you enable incoming e-mail, do not configure libraries used for records management to accept incoming messages. Records should not be sent directly to a library by using e-mail.

For more information about configuring e-mail integration with Office SharePoint Server 2007, see the following resources:

- [Plan incoming e-mail \(Office SharePoint Server\)](#)
- [Plan outgoing e-mail \(Office SharePoint Server\)](#)

Plan for logging and reports

Logging and reporting features help records managers track changes to records in Records Center sites and also provide evidence of policy usage in a Records Center site. The following list describes the logging and reporting features included in Office SharePoint Server 2007.

- **Audit logs** The auditing feature logs events and operations performed on documents and list items, such as editing a document or item, checking in or checking out a document or item, and changing permissions on a document or item. You can also use the auditing object model to write custom events to the audit log. For more information, see the Office SharePoint Server 2007 [Software Development Kit](#) (<http://go.microsoft.com/fwlink/?LinkId=71218&clcid=0x409>).

In records management, use auditing to help protect the security of your Records Center sites. You can configure auditing as part of an information management policy that you apply

to a list or document library, or you can configure auditing to audit events across the entire site collection.

The auditing data for a site collection is stored in the SQL database. You can dynamically generate reports based on auditing data. To do this, on the Site Settings page for the site collection, in the **Site Collection Administration** section, click **Audit log reports**. You can view and interact with the reports in Office Excel 2007. Reports include:

- **Content modifications** Shows all events that modified content in the site.
- **Deletion** Shows all events that caused content in the site to be deleted.
- **Security settings** Shows all events that change the site's security settings.

By using the Windows SharePoint Services 3.0 object model, you can also generate custom reports, which will be listed in addition to the default reports on the View Auditing Reports page.

- **Information management policy usage reports** To track policy usage in a site collection and to gather a record of policy usage for compliance verification, you can configure information management policy usage reports in Central Administration. The reports are generated as XML files that can be viewed in Office Excel 2007 or used as input to a custom solution. You can specify the library in your site in which the reports should be stored, the recurring schedule for creating reports, and you can optionally provide an alternative report template. You can view information management policy usage reports in the same way that you view audit log reports. (On the Site Settings page for the site collection, in the **Site Collection Administration** section, click **Audit log reports**.)

Plan for search

Search is a primary tool of records management. For example, if you want to implement a hold in which one or more items' expiration policies are suspended due to litigation or another contingency, you must first locate the items. Because the folder structure of Records Center sites is not conducive to browsing, and because items to place on hold can be distributed in multiple libraries and lists in one or more Records Center sites, the most effective way to locate items is by using search.

Considerations for search in a records management context include:

- Determining the Shared Services Providers (SSPs).
- Planning indexing.
- Planning metadata search.
- Managing search scopes.

Determine the SSP

An SSP is a logical grouping of shared services and their supporting resources. SSPs can share services across server farms. One of the services that an SSP can provide is indexing content and metadata. In Office SharePoint Server 2007, this is provided by the Office SharePoint Server Search service.

Work with your search administrators to ensure that one or more unique SSPs are available to index the content in your Records Center sites. By indexing Records Center content using dedicated SSPs, you help secure records from unwanted exposure to those users who do not have permissions to view or use the records.

 **Note**

Even if you use a common or shared SSP, document security is still respected on a per-item basis based on users' permissions to access the content.

Plan indexing

An IFilter enables the Office SharePoint Server Search service to index a particular type of file, such as a Microsoft Office Word 2007 .docx file. Be sure that your search administrators know which types of records are managed in your Records Center sites, that the appropriate file types are enabled for indexing, and that IFilters are in place for indexing the various types of records. (The Office SharePoint Server Search service includes IFilters for common file types.)

 **Note**

Documents of the same type that are produced by different versions of an application can require different IFilters. Be aware of the versions in use in your organization and communicate this information to your search administrators.

Plan metadata search

Work with your search administrators to manage metadata properties. Some metadata properties should be associated with each other for searching because they contain the same type of information. For example, if your Records Center sites contain both e-mail message records and document records, a search for content created by a particular person should treat the "From" field in e-mail and the "Author" field in documents as equivalent metadata items.

Manage search scopes

A *search scope* limits the range of a search based on the locations to search, metadata restrictions, or other criteria. One or more search scopes can be associated with the search user interface so that users can narrow the search range. In records management scenarios, it might be useful to define search scopes based on type of record, the identity of the records manager conducting the search, or other records-related criteria. Work with your search administrator to analyze your records storage and determine the best way to define search scopes for your records management solution.

See Also

- [Plan records management](#)
- [Plan enterprise content storage](#)
- [Plan for and design security \(Office SharePoint Server\)](#)
- [Plan for performance and capacity \(Office SharePoint Server\)](#)

- [Office SharePoint Server 2007 Software Development Kit](#)
- [Demo: Add a library to a Records Center site](#)