MODULE 6 Managing Documents and Records

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Module Overview

This module explains how to leverage document management tools included in SharePoint 2016. Whether a small company or a large enterprise, this module explores how any company can leverage SharePoint for versioning, compliance, routing and eDiscovery.

After completing this module, students will be able to:

• Implement versioning and approval

• Create a compliance policy

• Configure a Records Center

• Create queries and export results with the EDiscovery Center

Lesson 1: Managing Libraries

SharePoint libraries and lists have additional settings that give site administrators the ability to control the library or list along with its contents. These settings include the ability to add additional information about documents or items within the list or library as well as enable version history or content approval. These additional settings are available from the Library/List Settings button on the ribbon.

Accessing the Document Library/List Settings

1. Navigate to the list or library.

2. Click Library or List > Library Settings or List Settings from the Settings section.

The Library Settings button
The following table provides a brief description of many of the options on the Settings page.

<table>
<thead>
<tr>
<th>Feature</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>List name, description and navigation</td>
<td>Area that controls the name of the list or library as well as the visibility of the list in the navigation</td>
</tr>
<tr>
<td>Versioning settings</td>
<td>Ability to enable version history including major versions and minor versions for items that are added to the list or library</td>
</tr>
<tr>
<td>Advanced settings</td>
<td>Settings such as the allowance of content types, opening documents in a browser or client, folders and launch forms in a dialog box</td>
</tr>
<tr>
<td>Validation settings</td>
<td>Ability to configure validation rules for columns</td>
</tr>
<tr>
<td>Column default settings</td>
<td>Ability to set default values for columns associated with a document library</td>
</tr>
<tr>
<td>Rating settings</td>
<td>Allows visitors to rate content with a 1-5 star rating or a like/dislike scenario</td>
</tr>
<tr>
<td>Audience Targeting settings</td>
<td>Allows items within the list or library to be targeted to a specific audience</td>
</tr>
<tr>
<td>Form settings</td>
<td>Ability to confirm InfoPath forms for compatible lists or libraries</td>
</tr>
<tr>
<td>Delete this library/list</td>
<td>Sends the document library/list and contents to the recycle bin</td>
</tr>
<tr>
<td>Save library/list as template</td>
<td>Ability to save the current library/list as a template for future libraries</td>
</tr>
<tr>
<td>Permissions for this document library/list</td>
<td>Ability to view or configure permissions and access to this library/list</td>
</tr>
<tr>
<td>Manage files which have no checked in version</td>
<td>Ability to view draft documents that have been added to a library that do not have a published major version (Site administrators can access this to take ownership of files that are checked out to other users)</td>
</tr>
<tr>
<td>Workflow Settings</td>
<td>Ability to create or add workflows on items within a list or library</td>
</tr>
<tr>
<td>Information management policy settings</td>
<td>Additional configuration settings that connect into an Information Rights Management Server or locally defined policies within SharePoint for the retention of information</td>
</tr>
<tr>
<td>Enterprise Metadata and Keywords</td>
<td>Ability to enable an additional field on list items to capture enterprise keywords or metadata that is not part of the primary term store</td>
</tr>
<tr>
<td>RSS Settings</td>
<td>Configuration screen where site owners can design the information visible within the library/lists RSS feed</td>
</tr>
</tbody>
</table>

Enabling Version Control and Content Approval

Traditional shared folders are notorious for becoming cluttered and unmanageable. They have the following shortcomings:

- Too many users create subfolders. The resulting nest of folders is impossible to navigate, especially for new users. This also leads to the same content being stored in multiple locations.
- Multiple users may attempt to edit the same file at the same time. If this happens, then the last person to save their file will overwrite any previously saved versions of the file.
- Users may see a draft version of a document that is not ready for public consumption.

SharePoint provides controls on the Versioning Settings page of the Library Settings or List Settings. While it is common to think of these features with respect to documents, these controls can be applied to list items as well.

Requiring Content Approval
Content approval adds another layer in the publishing of content in SharePoint. When administrators activate this feature, an additional approval step must be taken before the latest version of content is accessible to the users. Depending on the permissions, content editors may have access to the draft versions.

**Enabling Version History**

Version history directs SharePoint to store multiple versions of content. The version history is available from the item or document menu, and allows a user to revert to a previous version of the content. Because storing multiple versions takes up space in the database, administrators can configure a limit to the number of versions to store.

There are two types of versions:

- **Major version**: Indicates a version that is published and available for consumption general viewing.
- **Minor version**: Indicates a draft version in progress, not quite ready for general viewing.

**Setting Draft Item Security**

Draft item security is used in conjunction with minor versions. This setting determines which users can see the minor versions of content. Typically when using minor versions, draft item security is set to **Only users who can edit items**.
Setting draft item security

Requiring Check Out

In order to prevent multiple users from editing content simultaneously, administrators can require that the content be checked out first.

Requiring check out

Lesson 2: Setting up Compliance Policies

New in SharePoint 2016 is the ability to create compliance policies. The Compliance Center site template can be a useful way to centralize policies related to city, state, federal, or other business rules and regulations.

SharePoint 2016 comes with many preset policy templates that can be applied to a site collection. A site collection administrator or site owner should check with their organizations’ compliance officers to ensure that documents are handled properly in SharePoint.

Unlike other site templates, a Compliance Center template must be created from SharePoint Central Administration before it can be used by a site collection administrator or site owner.

Configure a Deletion Policy

One type of policy that can be created is a deletion policy. It can be configured to be assigned to a site template, like a team site or project site, or to a site collection.

To configure a compliance policy:

1. From the Compliance Policy Center home page, click Deletion Policies.

   Compliance Policy Center Home Page

2. From the Document Deletion Policy Center, click Deletion Policies.
Document Deletion Policy Center Home Page

3. From the **Deletion Policies** page, click **new item**.

Creating a new deletion policy

4. Enter a **Policy Name** and a **Description**.

5. Under **Rules for this policy**, click **New**.

Setting a new rule
6. Enter a **Name** for the rule, choose a **Delete action**, and set a **Time period**. Click **Save**.

![Setting a rule definition](image)

**Setting a rule definition**

7. Confirm the new policy has been created and then click **Save**.

![Confirming the new rule](image)

**Confirming the new rule**

**Applying a Policy to a Site Collection**

Now that the policy has been created, it can be applied to a site collection.

1. From the quick launch, click **Policy Assignments to Site Collections**.

https://skillpipe.com/#/reader/urn:uuid:9e691a33-42d3-4176-b322-412dee76a30f@2022-02-23T14:00:00Z/content
Viewing policy assignments to site collections

2. Click new item.

Assigning a policy to a site collection

3. Click First choose a site collection.

Identifying a site collection

4. Type the site collection to apply the policy to, and click the search button (magnifying glass).

5. Check the box next to the necessary site collection, and then click Save.
Searching for a site collection

6. Now that a site collection has been identified, a policy can be assigned to it. Click the link to **Manage Assigned Policies**.

Managing assigned policies

7. Select the policy to be assigned, and then click **Save**.

Selecting a policy

8. Confirm the **Site collection** and **Assigned Policies** are configured properly, and then click **Save**.
Saving the deletion policy

At this point, the new deletion policy will be in effect for the site collection specified. The new deletion policy will supersede any applied at the list or library level.

Lesson 3: Implementing Content Organizer and Records Center

The Records Center is a site template which provides tools for records management. A record can be any document that needs to be routed and retained for a certain amount of time. The Records Center uses a Drop Off Library that can be accessed from the front page by using the Submit a Record button.
It is helpful to have an overall records strategy for how records need to be organized, how long records need to be stored, and how to dispose of these records. This should be a part of the overall governance plan.

All of this functionality can be managed and maintained by the **Records Center Management** console found by navigating to **Settings > Manage Records Center**. This allows the site administrator the ability to configure the Records Center for routing of documents.

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**Manage Records Center page**

SharePoint 2016 extends eDiscovery and holds on records. These are primarily used for litigation, audits or investigations involving records. Once a hold is placed on a document, this disposition is placed on hold. Then, reports can be run to see all documents that are associated with that hold.

**Configuring the Records Center**

1. Navigate to the Records Center.
2. Click **Site Actions > Manage Records Center**.

---

Managing a records center

In the **Setup Tasks and File Plan Creation** section, notice the four-step process. This helps the administrator set up the Records Center.
Record Center steps

3. Click **Step 1: Create content types**. Create the appropriate content type that will be used within the document library and within the routing rules.

4. Once Step 1 has been completed navigate back to **Manage Records Center** and click **Step 2: Create records libraries**.

5. Create the necessary libraries and folders needed for holding the content.

6. Once Step 2 has been completed navigate back to **Manage Records Center** and click **Step 3: Create content organizer rules**.

7. In the **Content Organizer Rules** list, click **new item** to create a new rule.

Creating a new rule

8. Give the rule a descriptive **Name**.

9. In the **Rule Status and Priority** section, select **Active** or **Inactive**. If **Active** then choose a priority for this rule.
Priorities will be used to determine which rule will be applied first if there are multiple rules that are to be applied to a record.

**New rule properties**

10. In the **Submission's Content Type** window, select the newly created content type group and specific content type.

**Setting a rule content type**

11. Now, create the **Conditions** for this content type. In the **Property** drop-down, choose the column with the appropriate metadata. Choose an **Operator** and **Value** that is needed for the condition to run. Supply additional conditions if needed.
Setting a rule condition

12. Finally, in the Target Location section, click Browse for the location where this rule will be routed. Click OK.

![Target Location](image.png)

Setting a target location

13. Once Step 3 has been completed, navigate back to Manage Records Center.

14. Click Edit on the global toolbar, and adjust the Records Center home page with appropriate and detailed information about the site.

Adding Content to Records Center

1. Navigate to the welcome page for the Records Center, and click the Submit a Record button.

![Submit a Record](image.png)

Submitting a record

2. Click the Browse button or the Upload files using Windows Explorer instead link, and add files to the Drop Off Library. When complete, click OK.

![Submit Document](image.png)

Submitting a document

3. Because the Record Center uses specific metadata to route, SharePoint asks for that metadata information. Complete the appropriate metadata for the document and then click Submit.
Completing metadata

4. When SharePoint has successfully completed the routing process, it will present the end results and the URL for the routed document. Click **OK**.

Confirmation of submission

Implementing Holds

Holds needs to be configured within the SharePoint site. This can be done in the hold section of site settings.

1. Starting inside the Records Center, click **Settings > Site Settings**.
2. In the **Hold** section, click **Discover and hold content**.

Locating holds

3. Type a URL for the site within the Records Center that contains the content to be placed on hold.
4. Click **Preview Results** to open the Search Center within that location to see the content that can be discovered and placed on hold.

5. To leverage the in-place hold feature, keep the option **Keep in place and add to hold directly** selected.

6. In the **Relevant Hold** section, select the hold that the items should be subject to. If one does not exist, click **Add a new hold** to create one.

7. Complete **Title**, **Description** and **Managed By** for this hold and then click **Save**.
Creating a new hold

Manually Adding a Hold

In a Records Center, a document can be manually added to a hold by viewing the compliance details.

1. Navigate to the specific file, or perform a search.

2. From the document properties menu, select Compliance Details.

   ![Compliance Details](image)

   **Accessing compliance details**

   3. From the Compliance Details page, click Add/Remove from hold next to the Hold Status section.

   ![Hold Status](image)

   **Adding the hold**

   4. Select the appropriate hold type and click Save.
Choosing a hold type

In addition to creating holds and adding records, SharePoint offers the ability to create reports to aggregate which records are associated with a particular hold. This can be found in Settings > Manage Records Center > Generate a File Plan Report or Generate an Audit Report.

Hold Reports

To remove a document from a hold, reverse the process from Compliance Details > Hold Status > Remove from a hold.

In Place Records Management

Records Management can be done through a Records Center, or at a specific library within the site collection. The feature can be activated at the site collection level and then can be implemented within a library.

1. Navigate to the Site Collection top level site and click Settings > Site Settings > Site Collection Administration > Site collection features.

2. Activate the In Place Records Management feature.

Activating In Place Records Management

3. Navigate back to Site Settings for the site collection and under the Site Collection Administration, click Record declaration settings.
Record declaration settings

4. In the **Record Restrictions** section, choose the type of additional restriction which can include **Block Edit** and **Delete**.

5. Also dictate whether **Record Declaration Availability** is happening within the entire site collection.

6. In the **Declaration Roles** section, designate who can do the declaring and un-declaring of records.

7. Click **OK** when complete.

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**Record Declaration Settings**

- **Record Restrictions**
  - **No Additional Restrictions**
  - **Block Edit**
  - **Block Delete**

- **Record Declaration Availability**
  - Manual record declaration in lists and libraries should be:
    - **available in all locations by default**
    - **not available in all locations by default**

- **Declaration Roles**
  - The declaration of records can be performed by:
    - all list contributors and administrators
    - only list administrators
    - only policy actions
  - Un-declaring a record can be performed by:
    - all list contributors and administrators
    - only list administrators
    - only policy actions

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**Viewing record declaration settings**

8. Navigate to the desired library within the site collection and click **Library > Library Settings** from the **Settings** group, and click **Permissions and Management > Record declaration settings**.

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https://skillpipe.com/#/reader/urn:uuid:9e691a33-42d3-4176-b322-412dee76a30f@2022-02-23T14:00:00Z/content
Locating record declaration settings

9. In the **Library Record Declaration Settings** in the **Manual Record Declaration Availability** section, choose **Always allow the manual declaration of records**.

10. Click **OK** then click **OK** to finish.

11. If **Manual Record Declaration Availability** was chosen, then select a document or multiple documents and click **Library > Files > Declare Record** from the **Manage** group.

12. SharePoint will ensure that this is the action desired. Click **OK**. The records will now show the record icon.

13. To undeclare a record from the document menu, choose **Compliance Details**.
14. In the **Record Status** section, select the **Undeclare record** link.

15. Click **OK** in the SharePoint message and then click **Close**.

*Undeclaring a record*

Upon refreshing, the document should no longer be shown as a record.

**Summary of eDiscovery Cases**

To view all of the discovery sets and exports for a case, browse to the home page for the case.
Lesson 4: Using the eDiscovery Center

The collection, review and production of electronic records for litigation purposes is known as eDiscovery. The eDiscovery process requires searching for documents, website content and email messages spread across laptops, email servers, file servers and other sources. Once found, it must be collected, maintained and made available for the litigators who requested the content.

SharePoint Server 2013 introduced the **eDiscovery Center** site collection. This component provides organizations with a central location to manage the eDiscovery process. It can work not only with content in the SharePoint farm, but also content found in Exchange Server 2013 or later, on file shares, and in other SharePoint farms. Holds can be applied to SharePoint and Exchange content that is discovered. The hold ensures that a copy of the content is preserved, while still allowing users to work with their content.

![Welcome page for the eDiscovery site](image)

**eDiscovery cases**

An eDiscovery case is a collaboration site that can be used to organize information related to an eDiscovery request. An eDiscovery case enables a user to search for content, apply a hold to content, export content and view the status of holds and exports that are associated with the case.

**eDiscovery Process Flow**

To find and preserve content, create an eDiscovery set. Each eDiscovery set contains:

- **Sources**, which are locations to be searched. Exchange mailboxes, SharePoint sites, and file shares can all be sources.

- **A filter**, which defines what is being searched. A filter can include search terms, a date range, and an author's name.

- **An option to apply an in-place hold to the sources that contain content that matches the filter.**
To find and export content, create a query. Each query contains the following:

- **Query filters**, which defines what is being searched for. Query filters resemble a filter in an eDiscovery set, and can include search terms, a date range, and an author's name. However, query filters in a query can also use stemming.
- **Sources to be searched**, Exchange mailboxes, SharePoint sites, file shares, and eDiscovery sets can all be sources in a query.

When a query is run, statistics are displayed showing the items that were found. Also from the preview, results can be filtered by message type (for Exchange results) or by file type (for SharePoint results). When finished, the results of the query can be exported to another storage device such as a local disk or network share.

The content exported by using a query is formatted according to the Electronic Data Reference Model (EDRM) specification, so that it can be imported into a review tool. An export can include the following:

- **Documents**: Documents are exported from file shares. Documents and their versions can be exported from SharePoint 2016.
- **Lists**: If a list item is included in the query results, the whole list is exported as a comma-separated values (.csv) file.
- **Pages**: SharePoint pages, such as wiki pages or blogs, are exported as MIME HTML (.mht) files.
- **Exchange objects**: Items in an Exchange Server 2013 or later mailbox, such as tasks, calendar entries, contacts, email messages and attachments are exported as a .pst file. If Lync conversations are archived in Exchange, those can also be discovered and exported.
- **Crawl log errors**: An error log is included to show what may have been skipped in the eDiscovery process.
- **XML manifest**: An XML manifest provides an overview of the exported information.
Search service application is configured to crawl other websites, the eDiscovery Center can discover content on the websites.

For SharePoint 2016 farms, discovered content can be placed on hold. If an Exchange Server 2013 or later is added to the Search service application as a result source, content can be discovered in Exchange mailboxes from the eDiscovery Center and the mailboxes put on hold. If content from Lync is archived, it can also be discovered (Microsoft, 2013).

As the Search system crawls for content, it creates a search index. The search index stores data that is used to provide the results for search queries. The search index also stores information about the permissions that are required to access each piece of content. When a user performs a search, the search system uses the search index to identify the appropriate search results. Before displaying the results, the Search service application performs security trimming, by which the system compares the user’s permissions to the permissions that are required to access content that search results link to, and then trims the results to show only those results that the user has permissions to view.

Configuring an eDiscovery Center

An eDiscovery Center is a template that is used when creating a new top level site from Central Administration. Because creating a new top level site is a function of the server administrator, site collection administrators need to ask the server administrator to create a new site collection using this template.

**Step 1: Legal user permissions**: The goal of an eDiscovery Center is to provide a central repository to store documents and information that must be placed on legal hold. This process often involves a specific set of individuals on a legal team. In order for the legal team to have access to the information that is discovered, they must have a minimum of read access across the SharePoint deployment.

It is recommended to create a custom SharePoint group that contains all the members of a legal team in order to make it easier to grant access to the eDiscovery Center.

**Step 2: Identify discoverable content**: In order for SharePoint to be able to access content in Exchange 2013, Lync 2013 or other SharePoint farms, site collection administrators should confirm that the server administrator has installed the Exchange Web Services Managed Client on all SharePoint servers and has configured authentication between Exchange and SharePoint.

**Step 3:Grant legal team permissions**: In order for the legal team to be able to access information throughout the necessary web applications, they must be granted a user policy permission on each web application via Central Administration.

Because site collection administrators generally do not have access to Central Administration, ask the SharePoint server administrator to grant the read user policy to the necessary web applications.

**Step 4: Grant legal users eDiscovery permissions on Exchange**: In order for the legal users to be able to discover and view content in Exchange, they must be given rights to the Exchange mailboxes.
Because site collection administrators do not have access to Exchange, site collection administrators should ask the Exchange administrator to grant read rights to the necessary mailboxes.

Identifying Content

A case, within an eDiscovery Center, is created to house content that must be placed in a legal hold.

1. Click Create new case.
2. Type a descriptive name for the case.
3. Enter a details description for the site possibly including the scope of the content to be discovered.
4. Type a URL for the case.
   The default template selection is eDiscovery Case.
5. Under the Permissions section, select the desired permissions level. In many circumstances, the same legal team will be needing access to all cases. However, the managers may vary which may require the use of unique permissions.
6. Keep the remaining defaults for the navigation.
7. Click Create.
8. Click new item under the eDiscovery set.

Adding a new item

An eDiscovery set is a combination of sources, filters, and whether to preserve content.

9. Type a name for the set.
10. Click Add & Manage Sources under the Sources section.
11. Within the Mailbox section, enter the names or email addresses of those individuals who may have been
12. Within the Locations section, enter the URLs to SharePoint sites or file shares that house content that needs to be discovered as part of this case.

13. Click OK. Notice under Sources the number of items discovered.

14. In the Filter section, type a combination of keywords needed to filter the source contents.

### Use of Operators

Operators can be used and combined to create more powerful queries.

<table>
<thead>
<tr>
<th>Use</th>
<th>To</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>AND</td>
<td>Finds content that contains all of the words or phrases it separates.</td>
<td>Risk and value AND VAR finds content that contains all three words.</td>
</tr>
<tr>
<td>OR</td>
<td>Finds content that contains either of the words or phrases it separates.</td>
<td>Risk OR VAR finds all the content that contains either word.</td>
</tr>
<tr>
<td>NOT</td>
<td>Excludes content that contains the term within a phrase.</td>
<td>Executive NOT Summary finds all the content that contains the phrase Executive, unless the content also contains the term Summary.</td>
</tr>
<tr>
<td>()</td>
<td>Groups words or phrases to show the order in which they are applied.</td>
<td>(Risk AND management) OR (VAR or Value-at-risk) finds all the content with one or more of the following sets of terms:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Risk, management</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- VAR</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Value at risk</td>
</tr>
<tr>
<td>NEAR(n)</td>
<td>Finds words that are near each other, where n equals the number of words apart. If no number is specified, the default distance is 8 words.</td>
<td>Mid Near(5) Office finds Mid and Back Office and Mid-Office and Mid, Back, and Front Office.</td>
</tr>
</tbody>
</table>

### Using Wildcards

Wildcards can help expand keywords to include terms that contain part of a keyword or terms that have alternative spellings.

<table>
<thead>
<tr>
<th>Use</th>
<th>To</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>* at the end of word</td>
<td>Finds terms that contain the root word and any additional letters. For example, risk* finds risk, risks, risked, risking, and risky.</td>
<td></td>
</tr>
</tbody>
</table>
15. Click **Apply Filter** to reduce the number of items.

![Applying a filter](image1)

16. Click **Enable In-Place Hold**.

![Enabling a hold](image2)

17. Click **Preview Results** to view the list of items discovered.

![Previewing results](image3)

18. Click **Close**.

19. If the list returned is as expected, click **Save**; otherwise, continue to add filters to further refine the results.

**Configuring Queries**

After the identifying the source of content, a query is performed to extract the information that is pertinent to the legal hold request:

1. Click **new item** under **Search and Export**.
Creating a new search and export item

2. Type a name for the Query.

3. In the Filter section, type specific Keywords to filter the content sources.

4. Click Search.

5. Click the Exchange or SharePoint tab to view the results.

Creating a search query

6. To further refine the results, click the Specify Property menu to select additional filter properties such as content type, author or title.

Refining a query

7. Once the results returned are the desired set of content, click Save to store the specific query within the eDiscovery Case.

8. To export the contents of the query into a set of physical files outside of SharePoint, click Export.

9. Enter a name for the exported file.
10. Select the desired options to remove duplicates in Exchange as well as include versions for SharePoint documents.

11. Click OK.

Creating a new export

12. From the Download page, choose the option to continue downloading the exported files by clicking Download Results.

Exporting a result set

13. Specify a location to save the files by clicking Browse.

Specifying a location

14. Click OK.
**Summary of eDiscovery Cases**

To view all of the discovery sets and exports for a case, browse to the home page for the case.

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**Home page for the patent infringement on gaming software case**
Lab 1: Working with Advanced Document Management Features

Exercise: Working with Versioning and Content Approval

A powerful set of features for SharePoint is located in the versioning settings. In this exercise, you will enable and use versioning settings as well as the content approval feature.

At completing this lab, you will be able to:

- Apply versioning to a document library
- Configure content approval
- Configure Check In/Check Out capability

Estimated time to complete this lab: 15 minutes

1. From the Learning Lake Intranet home page, on the current navigation pane (left side of screen), click Documents.

2. On the ribbon, click Library > Settings > Library Settings.

3. In the General Settings section, click Versioning settings.

4. Click Yes to enable Content Approval on this library.

5. In the Document Version History section, click Create major and minor (draft) versions to enable versioning.

6. In the Draft Item Security section, click Only users who can edit items.

7. In the Require Check Out section, click Yes.

8. Complete the following fields:
   a. Content Approval: Yes
   b. Document Version History: Create major and minor (draft) versions
   c. Draft Item Security: Only users who can edit items
   d. Require Check Out: Yes

9. Click OK to apply these settings to this library.
10. On the breadcrumb, click Documents to return to the library.

11. Click New and open New Gears.docx from C:\Labfiles\Documents.

Notice that when you upload the file, you receive a couple of warnings.

a. The first one indicates that the file is checked out to you, this is because you required check out for item modification, and editing the metadata is a modification that needs to be controlled.

b. The second warning indicates that this item requires content approval. Observe that the version number in the lower left is 0.1. When you secure content approval, the version number will reset to 1.0 – a major version.

12. On the ribbon, click Files > Open & Check Out > Check In.
13. Select **Minor version (draft)** in the **Version** section.

14. Click **OK**.

**Check In is used here to release the file to be edited by another user. The Save button is not here because the file has already been uploaded, and thus does not need to be saved. The metadata will be saved at check-in time.**

15. Create a version history. Proceed to **Edit** and **Check In** the **New Gears.docx** document several times. The following steps will guide you through building up a version history.

   a. To the right of the **New Gears** file name, click the ellipsis (three dots).

   b. From the menu, click **Edit**. If prompted with a security warning, confirm the message. (This might take a moment to open in Microsoft Word.)

   c. In the **Check Out Required** bar, click **Check Out**.

   d. Start a new paragraph, and add a few words of text.

   e. On the ribbon, click **File > Close**.

   f. Click **Save** on the dialog box to save changes to New Gears.

   g. Click **Yes** on the dialog box to **Check In** the document.

   h. Notice the minor version number. Add a comment of your choice, and then click **OK**.

   i. On the taskbar, click your browser.

   j. Press the [F5] key to refresh the **Documents** library. (If you receive a warning dialog box, click **Retry**.) Notice the New Gears document was just modified and has **Draft** for the **Approval Status**.

   k. Repeat steps a through j two more times.

   l. When doing these steps the last time, during the check in process, publish it as a major version (1.0)
and exit Word.

16. To view the version history within SharePoint, place a check mark next to the document.

17. If prompted, do not check out the document.

18. On the ribbon in SharePoint, select Files > Version History in the Manage group. (The Version History button may be a small icon to the right of Edit Properties in the Manage group.)

Notice that you can hover a version/timestamp and a menu appears, offering the choices to View, Restore or Delete a particular version.


You can also view the version history from within Word or other Office applications. From the Backstage view (the File tab), the Info section has an area for Versions at the bottom of the page.

20. Back in the document list, notice that the Approval Status column has changed from Draft to Pending. With the document still selected, click Files > Approve/Reject in the Workflows group to approve the major version.

21. In the Approve/Reject box, select Approved and click OK.

22. Back in the document list, notice that the Approval Status column has changed from Pending to Approved. With the document selected, click Files > Version History from the Manage group.


Lab 2: Leveraging Records Management to Preserve Data
Learning Lake is interested in setting up a Records Center to allow the business to implement holds and document routing. During the original conversation, it was determined that they need a system to route documents to a specific location within the Records Center. This system will automatically route documents based on the title of the document.

At completing this lab, you will be able to:

- Configure a Records Center to house documents requiring a hold
- Configure in-place records on libraries
- Set up and leverage an eDiscovery Center

Estimated time to complete this lab: 60 minutes

**Exercise: Using a Records Center**


2. To access the management tools for the Records Center, click **Settings > Manage Records Center**.

Notice in the section called **Setup Tasks and File Plan Creation**, there is a four-step guide to getting the Records Center up and running. We will walk through those four steps next.
Step 1: Create Content Types

3. Click Step 1: Create content types.

4. Click Create for a new content type.

5. Use the following information to create this content type:
   - **Name**: Sales Record
   - **Description**: Used by the sales team to record transactions over the month.
   - **Parent Content Type/Select parent content type from**: Document Content Types
   - **Parent Content Type**: Document
   - **Put this site content type into**: New Group: Learning Lake

6. When completed, click OK.

7. In the Sales Record Site Content Type Information window, click Settings > Advanced settings.


9. Click Choose File and navigate to C:\Labfiles\Templates. (It may say Browse depending on browser used.)

10. Select LearningLakeSalesReport.xlsx and click Open.

11. Leave all other settings as the default settings, and click OK.

12. Under the Columns section, click Add from new site column.

13. Use the following information to create this site column:
- Column name: Sales Year
- Type of information: Choice (menu to choose from)
- Group: New Group Learning Lake
- Description: Choose the year for this Sales report.

Type each choice on a separate line. (Make sure each year is on a different line by pressing [Enter] after 2015 and after 2016.)

- Type 2015 then press [Enter].
- Type 2016 then press [Enter].
- Type 2017.

- Display choices using: Drop-Down Menu

- Default value: Delete any value that is already there and leave it blank.
- All other values: Leave as default.

14. When completed, click OK.

15. After SharePoint refreshes, click the newly created Sales Year column.

16. In the Column Settings section, click Required (Must contain information) and then click OK.

**Step 2: Create Records Libraries**

17. Click Settings > Add an app.

18. In the Site Contents window, click Record Library.

19. Click Advanced options and use the following information to create this library:

   a. Name: SalesRecords
   b. Description: This library is used to store Excel sales reports for Sales Reps.
   c. All other values: Leave as default.

20. Click Create.

21. On the ribbon, click Library > Library Settings from the Settings section.

22. Click General Settings > List name, description, and navigation.

23. Change the name to Sales Records and click Save.

24. Using the local breadcrumb navigation, click Sales Records.

25. Now, create a folder hierarchy to ensure the files are separated by year. Click Files > New Folder from the New section.
26. Name the folder **2015** and click **Create**. Refer to the note below if you are having issues.

![Note](https://intranet.learninglake.com/sites/records)

*The newest version of Internet Explorer, IE 11, has a bug which may prevent creation of a new folder. If this is the case, try an alternate browser such as Google Chrome and navigate to http://intranet.learninglake.com/sites/records.*

27. Create additional folders for **2016** and **2017**.

28. Next, you need to add the content type to the **Sales Records** library. Click **Library > Library Settings** from the **Settings** section.

29. Click **General Settings > Advanced Settings**.

30. In the **Content Types** section, ensure that **Yes** is selected for **Allow management of content types?** and click **OK**.

31. Under the **Content Types** section, click **Add from existing site content types**.

32. Select **Learning Lake** from **Select site content types from** and select **Sales Record** from the **Available Site Content Types**.

33. Click **Add** and then click **OK**.

**Step 3: Create Content Organizer Rules**

34. On the global navigation, click **Settings > Manage Records Center**.

35. Click **Step 3: Create content organizer rules**.
36. In the content area, click new item.

37. Type Sales Record Routing 2015 in the Name box.

38. In the Rule Status and Priority section, set to Active status and Priority to 2.

Now you will create the rules against the Sales Record content type in the Submission's Content Type.

39. In the Content type section, select the following:
   a. Group: Learning Lake
   b. Type: Sales Record

40. In the Conditions section, select the following:
   a. Property: Sales Year
   b. Operator: Select is equal to
   c. Value: 2015

41. In the Target Location section, click Browse.

42. Expand the Sales Records library, click 2015 and click OK.

43. Click OK.

44. Repeat steps 36-43 to create two additional rules for 2016 and 2017 respectively. The result should appear as follows:
Step 4: Design the Site Welcome Page

45. Click Settings > Manage Records Center.

46. Click Step 4: Design the Site Welcome Page. This will take you to the home page for the Learning Lake Records site.

47. On the ribbon, click Page > Edit page from the Edit section to switch the page to edit mode.


49. Change the description to: Use this site to submit sales reports that need to be analyzed and stored for long-term archival. Submitted records are automatically placed in the correct library and folder based on the sales year chosen.

50. On the ribbon, click the Page > Stop Editing from the Edit section.

Test Document Routing in Learning Lake Records

51. On the Learning Lake Records page, click the Submit a Record button.

52. Click Choose File and navigate to C:\Labfiles\Templates.

54. Click Open and OK.

55. In the Submit Document window, use the following information:
   a. Name: TerryVSalesReport
   b. Title: Terry Vanderbilt Sales Report
   c. Sales Year: 2016

56. When completed, click the Submit button.

57. Once submitted, a notification will display, showing where the document was saved. Click OK to this message.

58. In the current navigation, click Sales Records > 2016 folder. The sales report should be there.