ABEL SOLUTIONS INC

Enterprise Content Management with SharePoint

ISO 9001 Document Control Demonstration

PMI Atlanta Monday April 5, 2010

Mark Henderson

Agenda

- Introduction and Contact Information
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        - Blog: http://TradeMarkATL.wordpress.com
        - Twitter: @TradeMarkATL

- Overview of Enterprise Content Management
    - Definition
    - Types of Content

- Overview of ISO 9001
    - Definition
    - Statistics of usage
    - Control of Documentation

- Document Management System
    - Demonstration

Content Management at most organizations
(does this sound familiar?)

- Documents are stored in a variety of locations
  - Individual Machines
  - Personal Hard Drives
  - File Shares
  - Email
  - Centralized Repositories (Public Folders, etc.)
- Content is often duplicated
- Version History is non-existent
  - File Names are updated to represent version (e.g. Dates/Version Numbers are added to the file names themselves)
- No guarantee that you have the latest (once located)
- Not Searchable/Shareable across the organization

Enterprise Content Management

The Association for Information and Image Management (AIIM) defines Enterprise Content Management as:

"**The strategies, methods and tools used to capture, manage, store, preserve, and deliver content and documents related to organizational processes.** "
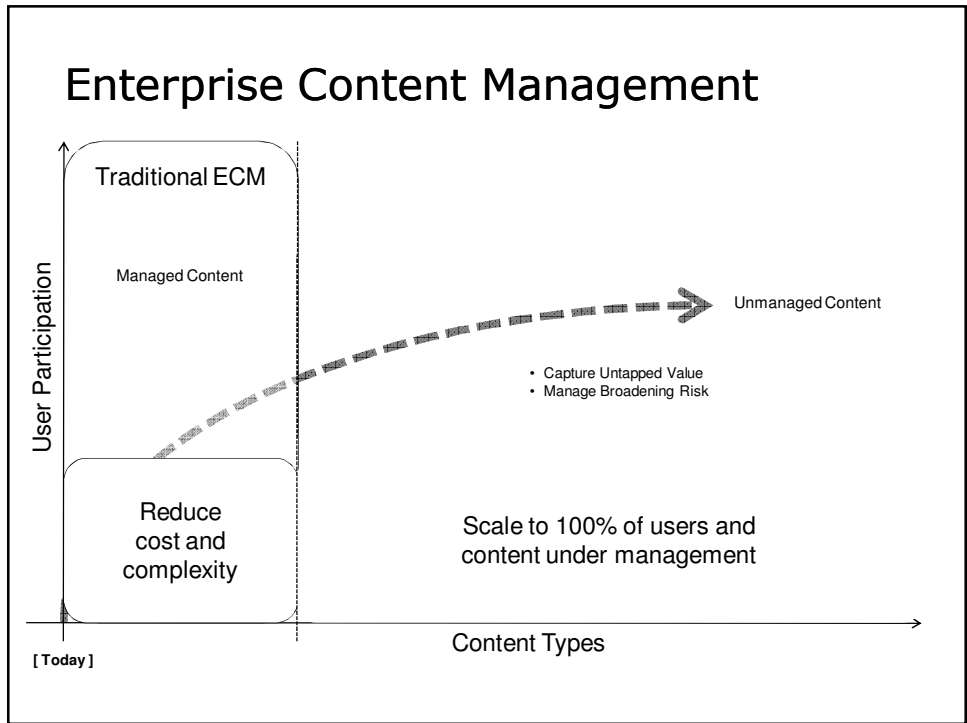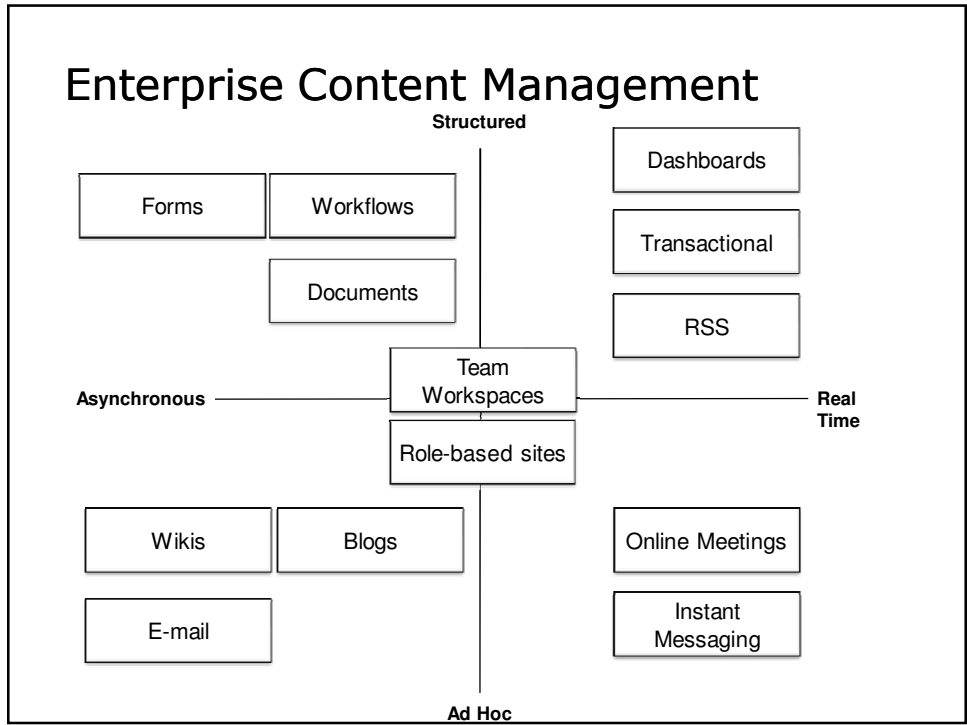
Source: http://www.aiim.org/What-is-ECM-Enterprise-Content-Management.aspx

Enterprise Content Management

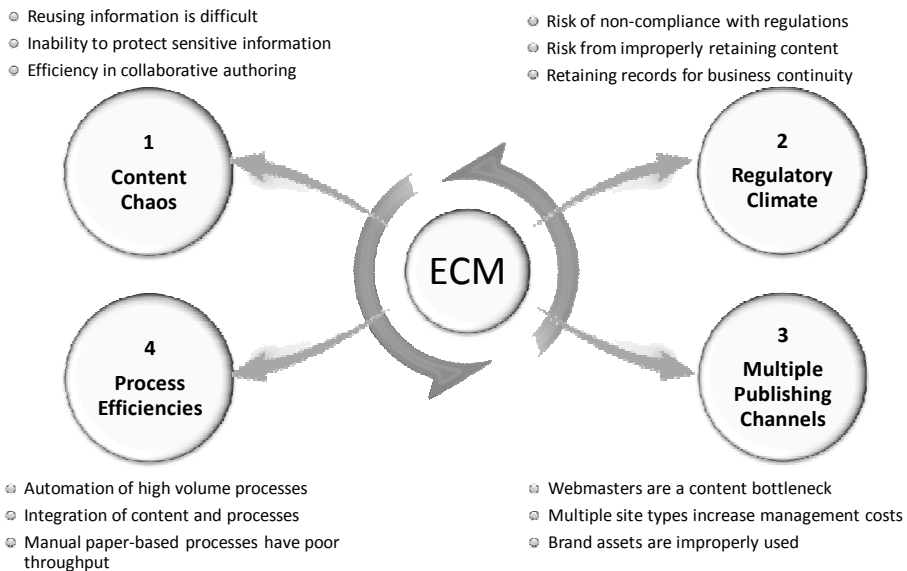Capture   Store   Deliver

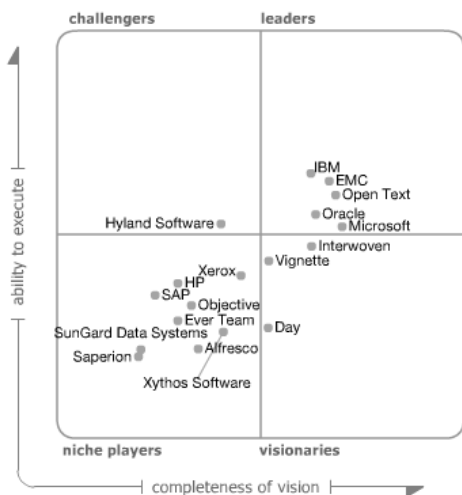Manage   Preserve
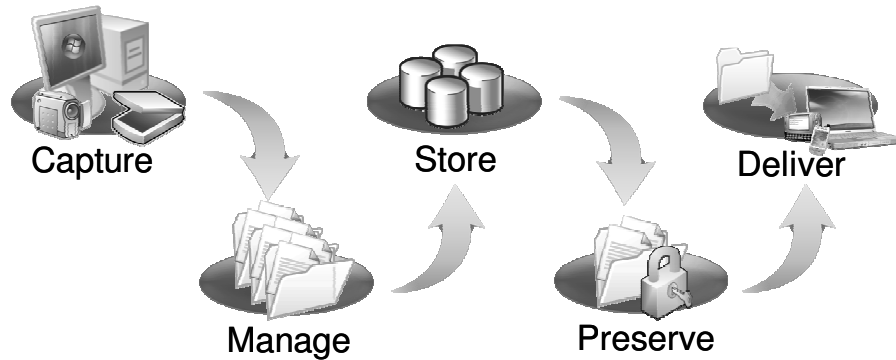
Enterprise Content Management

- Controls the life cycle of content in your organization
  - How content is created, reviewed, published, and consumed
  - How content is ultimately disposed of or retained
- Promotes finding and sharing information easily
- Helps organizations meet legal responsibilities
- Provides features at each stage of the content life cycle

Enterprise Content Management

Structured

Forms	Workflows

Documents

Dashboards

Transactional

RSS

Team Workspaces

Role-based sites

Asynchronous ——————— **Real Time**

Wikis	Blogs

E-mail

Online Meetings

Instant Messaging

Ad Hoc

Enterprise Content Management

Traditional ECM

Managed Content

Unmanaged Content

User Participation

- Capture Untapped Value
- Manage Broadening Risk

Reduce cost and complexity

Scale to 100% of users and content under management

Content Types

[Today]

What drives the needs for Enterprise Content Management?

- Reusing information is difficult
- Inability to protect sensitive information
- Efficiency in collaborative authoring

- Risk of non-compliance with regulations
- Risk from improperly retaining content
- Retaining records for business continuity

1 Content Chaos

2 Regulatory Climate

ECM

4 Process Efficiencies

3 Multiple Publishing Channels

- Automation of high volume processes
- Integration of content and processes
- Manual paper-based processes have poor throughput

- Webmasters are a content bottleneck
- Multiple site types increase management costs
- Brand assets are improperly used

Gartner's Magic Quadrant for ECM vendors

challengers | leaders

ability to execute

IBM
EMC
Open Text
Oracle
Microsoft
Hyland Software
Interwoven
Vignette
Xerox
HP
SAP
Objective
Ever Team
SunGard Data Systems
Day
Saperion
Alfresco
Xythos Software

niche players | visionaries

completeness of vision

As of September 2008

Source: http://mediaproducts.gartner.com/reprints/daysoftware/160668.html

Forrester Wave: Collaboration Platforms, Q3 '09

Forrester Wave™: Collaboration Platforms, Q3 '09
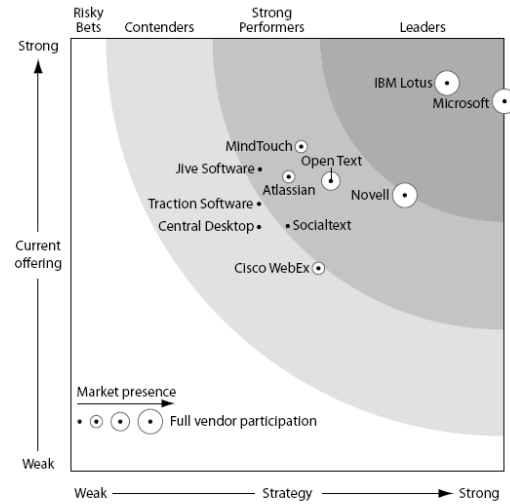
Source: http://www.novell.com/rc/docrepository/public/1/basedocument.2009-08-06.0831403126/wave_collaboration_platforms_q3_2009_en.pdf

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High Level Overview of ISO 9001 Standard

- ISO 9001:2008 specifies requirements for a quality management system where an organization:

  - needs to demonstrate its ability to consistently provide product that meets customer and applicable statutory and regulatory requirements, and
  - aims to enhance customer satisfaction through the effective application of the system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

Source: http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=46486

ISO Quality Management System Principles

- Principle 1: Customer focus
- Principle 2: Leadership
- Principle 3: Involvement of people
- Principle 4: Process approach
- Principle 5: System approach to management
- Principle 6: Continual improvement
- Principle 7: Factual approach to decision making
- Principle 8: Mutually beneficial supplier relationships

Source: http://www.iso.org/iso/iso_catalogue/management_standards/iso_9000_iso_14000/qmp.htm

Operating Principle – Plan – Do – Check – Act

Source: http://www.iso.org/iso/iso_catalogue/management_standards/understand_the_basics.htm

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Who is using ISO 9001?

- All requirements of ISO 9001:2008 are generic and are intended to be applicable to all organizations, regardless of type, size and product provided.

- ISO 9001:2000 and ISO 14001: 2004 were implemented by more than a million organizations in 175 countries

Source: http://www.iso.org/iso/iso_catalogue/catalogue_tc/catalogue_detail.htm?csnumber=46486

The ISO Survey - 2007

The ISO Survey – 2007
ISO and *The ISO Survey*

ISO is the world's largest developer of voluntary International Standards for business, government and society. Its portfolio in September 2008 comprised more than 17 400 standards that provide practical solutions and achieve benefits for almost every sector of economic activity and technology.

Of these, ISO 9001:2000 and ISO 14001:2004, which give the requirements for, respectively, quality management and environmental management systems, are among ISO's most well known and widely implemented standards ever. They are used worldwide by businesses and organizations large and small, in public and private sectors, by manufacturers and service providers, in all sectors of activity.

Many users decide to have their management systems independently audited and certified as conforming to the standards. Certification is not a requirement of the standards themselves, which can be implemented without certification for the benefits that they help user organizations to achieve for themselves and for their customers. Nevertheless, many thousands of organizations have chosen certification because of the perception that an independent confirmation of conformity adds value.

ISO itself does not perform certification to its standards, does not issue certificates and does not control certification performed independently of ISO by other organizations. However, it frequently receives requests for information on the number of certificates and this led the organization to undertake *The ISO Survey*, which is now in its 15th year. ISO provides the basic results free of charge as a public information service on its Web site: www.iso.org

The collection and compilation of data for the 2007 survey was outsourced for the fourth consecutive year to the market research firm ACNielsen of Vienna, Austria. The data was then analysed by ISO Central Secretariat.

Standards covered in this edition

This edition of the survey gives the worldwide panorama of certification to ISO management system standards at the end of 2007. The standards covered are:

- ISO 9001:2000 for quality management systems
- ISO 14001:2004 for environmental management systems.

For the fourth consecutive year, the survey includes certification data on two ISO standards that include the requirements of ISO 9001:2000, plus sector-specific requirements:

- ISO/TS 16949:2002 for the automotive sector
- ISO 13485:2003 for medical devices.

For the second year, the survey includes data on ISO/IEC 27001:2005, which provides the requirements for information security management systems, and whose requirements are aligned with ISO 9001:2000 and ISO 14001:2004.

About ACNielsen

ACNielsen is the leading global provider of marketing research information services, analytical systems and tools, and professional client services that help clients win in the market-place. The clients of ACNielsen include the world's leading manufacturers and retailers of consumer packaged goods, as well as companies that market many other types of consumer products and services. Clients work with ACNielsen to measure their market performance, to analyse market dynamics, to diagnose and solve marketing and sales problems, and to identify and capture growth opportunities. ACNielsen's operations span more than 100 countries. Founded in the USA in 1923 by Arthur Charles Nielsen, Sr., ACNielsen, the Austrian office was opened in 1961, initially carrying retail measurement. In 1990, consumer research was added to the range of services offered by the Austrian office.

Source: http://www.iso.org/iso/pressrelease.htm?refid=Ref1178

ISO 9001 Statistics

ISO 9001:2000, Quality management systems – Requirements with guidance for use

Up to the end of December 2007, at least 951 486 ISO 9001:2000 certificates had been issued in 175 countries and economies.
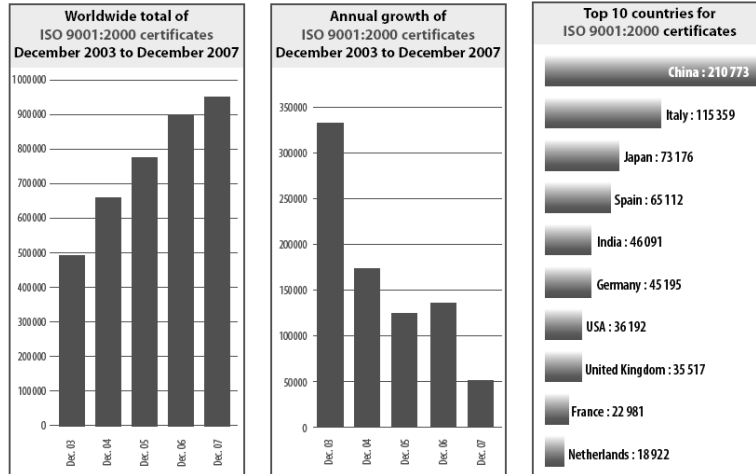
The 2007 total represents an increase of 54 557 (+ 6 %) over 2006, when the total was 896 929 in 170 countries and economies.

ISO 9001:2000 principal results

World results	Dec. 2003	Dec. 2004	Dec. 2005	Dec. 2006	Dec. 2007
World total	497 919	660 132	773 867	896 929	951 486
World growth	330 795	162 213	113 735	123 062	54 557
Number of countries/ economies	149	154	161	170	175

Source: http://www.iso.org/iso/pressrelease.htm?refid=Ref1178

ISO 9001 Statistics

| Worldwide total of ISO 9001:2000 certificates December 2003 to December 2007 | Annual growth of ISO 9001:2000 certificates December 2003 to December 2007 | Top 10 countries for ISO 9001:2000 certificates |

Top 10 countries for ISO 9001:2000 certificates:
- China : 210 773
- Italy : 115 359
- Japan : 73 176
- Spain : 65 112
- India : 46 091
- Germany : 45 195
- USA : 36 192
- United Kingdom : 35 517
- France : 22 981
- Netherlands : 18 922

Source: http://www.iso.org/iso/pressrelease.htm?refid=Ref1178

Structure of ISO 9001: 2008 Standard

- **Sections 1 to 3**
  - Scope
  - References
  - Terms and definitions

- **Sections 4 to 8**
  Define requirements
  - 4.0 General
    - Document control
    - Records
  - 5.0 Management
    - Customer focus
    - Quality Policy
    - Planning
  - 6.0 Resources
    - People
    - Buildings
  - 7.0 Product realization
    - Design
    - Purchase
    - Manufacture
  - 8.0 Measure, analysis and improvement
    - Analysis of data
    - Corrective action
    - Preventive action

Control of Documentation

- Satisfying and implementing all the requirements of the ISO standard is a large undertaking and requires the support of the entire organization.

- The intent of this presentation is to provide a demonstration of how one tool (Microsoft Office SharePoint Server 2007) can be used during this undertaking, specifically in satisfying the requirements stated in Section 4.2.3 Control of Documentation.

4.2.3 Control of Documentation

- Documents must be approved before they are distributed

- Documents must be reviewed/updated/re-approved on a periodic basis

- The correct version of document(s) must be made available at point of use

- The current revision status of documents is identified

- Identify, control and monitor documents from external sources

- Prevent the accidental/unintended use of obsolete documents

- Preserve the usability of documents

Satisfy "4.2.3 Control of Documentation" requirements

- Building Blocks
  - Information Architecture / Taxonomy
    - Define Content Types
    - Define Metadata
    - Define Topology

- Demonstration using Microsoft Office SharePoint Server (MOSS) 2007

Content Types

- Content Types are used to
  - Categorize content
  - Ensure content is saved and organized appropriately
  - Enable users to define document sets and apply consistent metadata
- Each content type can
  - Specify a document template or a schema
  - Edit and display forms, policies, workflow processes, or customized behaviors
- Content types support use of a central document repository

Content Types - Examples

- Check List
- Control Plan
- Flow Chart
- Job Qualification
- Procedure
- Quality Document
- Training
- Work Instruction

Content Types - Template

Content Types - Template

Content Types - Template

Content Types - Template

Metadata Example
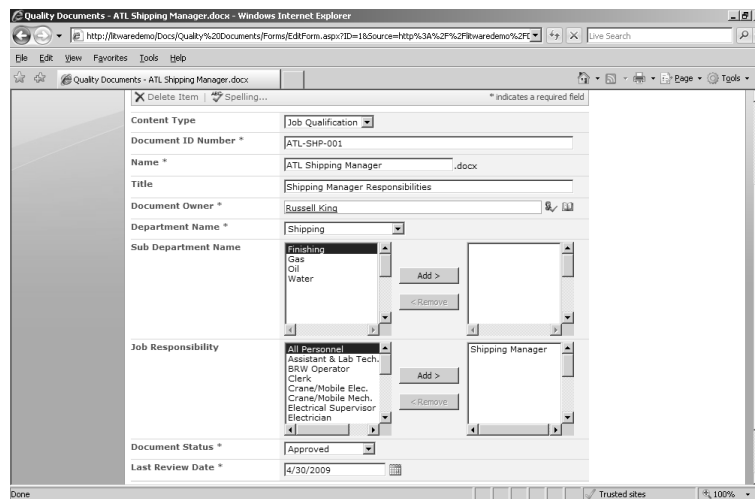
Topology Example
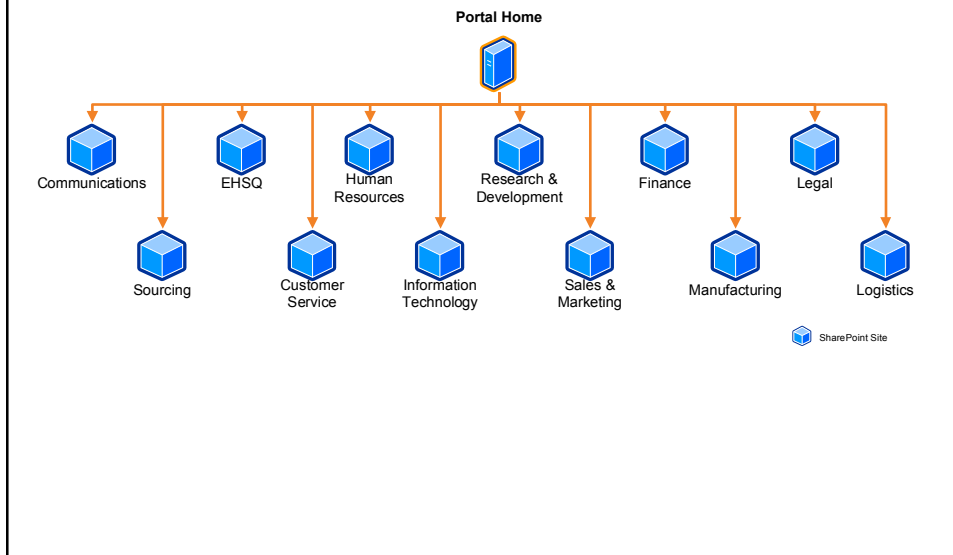
Topology Example
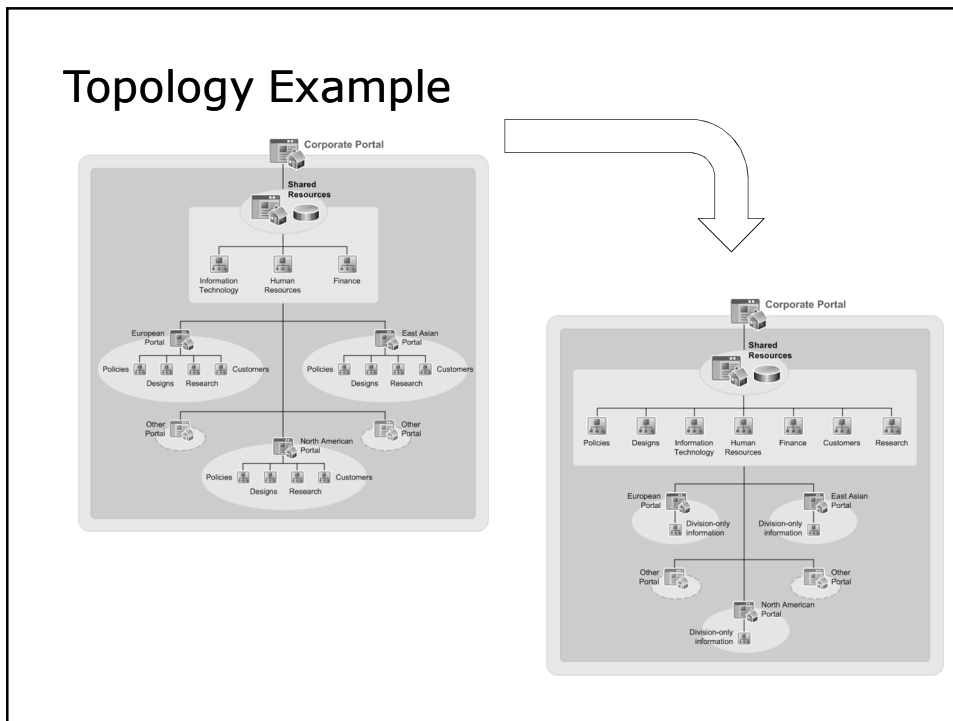
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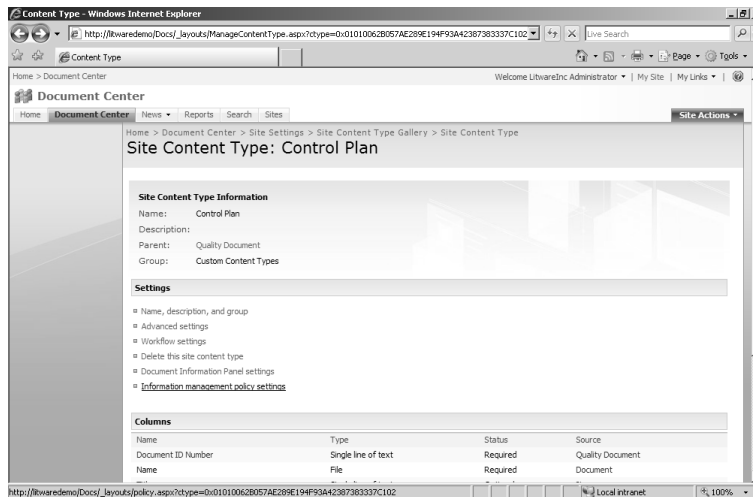
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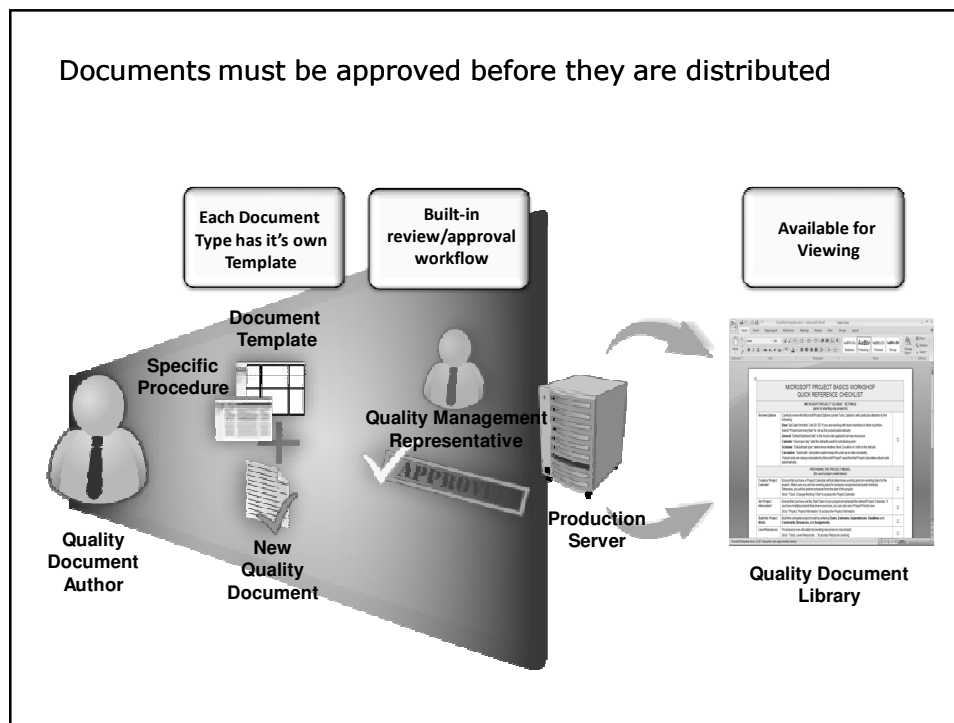
Quality Document Approval – Serial Workflow
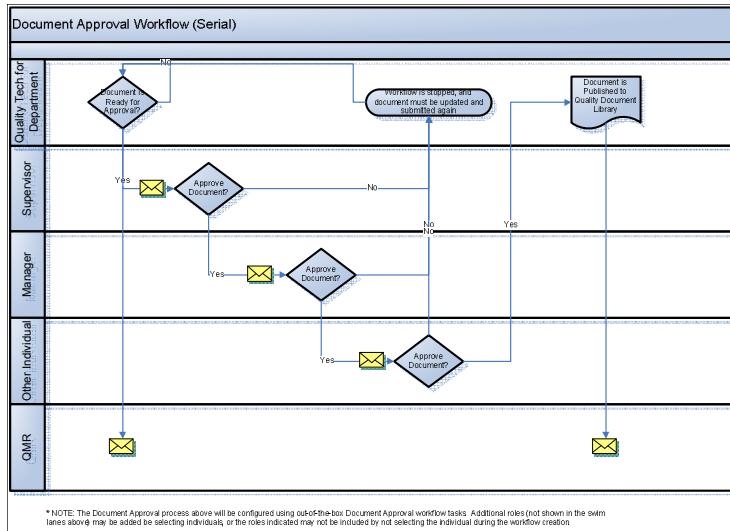
Quality Document Approval – Parallel Workflow
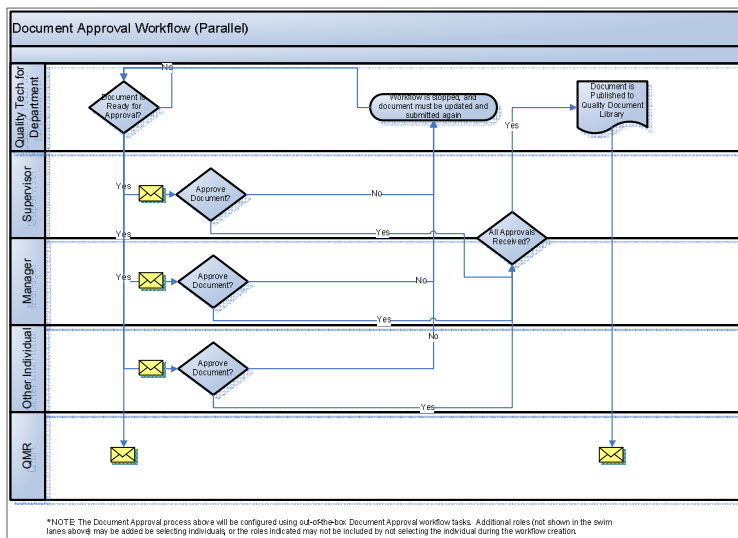
Quality Document Approval – Select "Workflows"
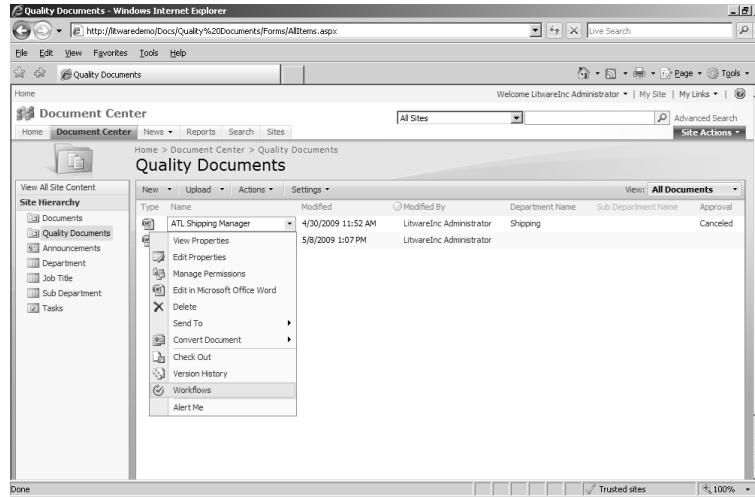
Quality Document Approval – Select Approval
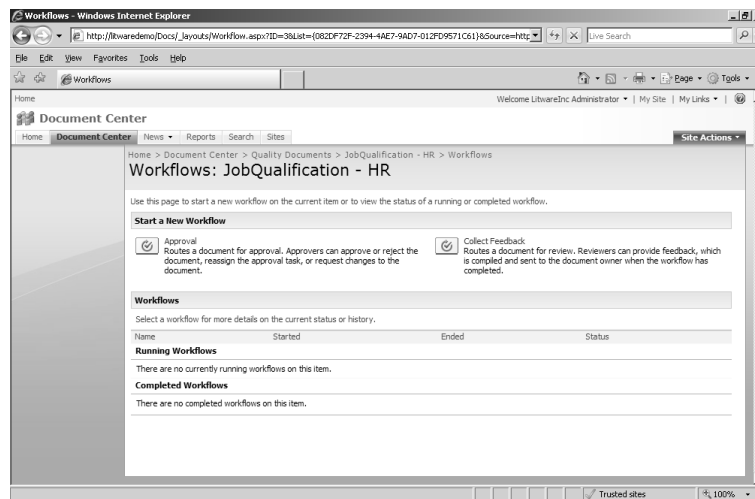
Quality Document Approval – Enter Workflow information
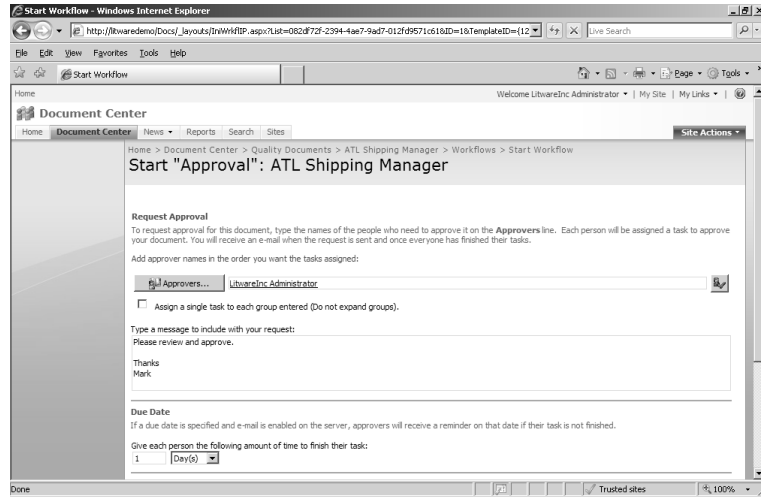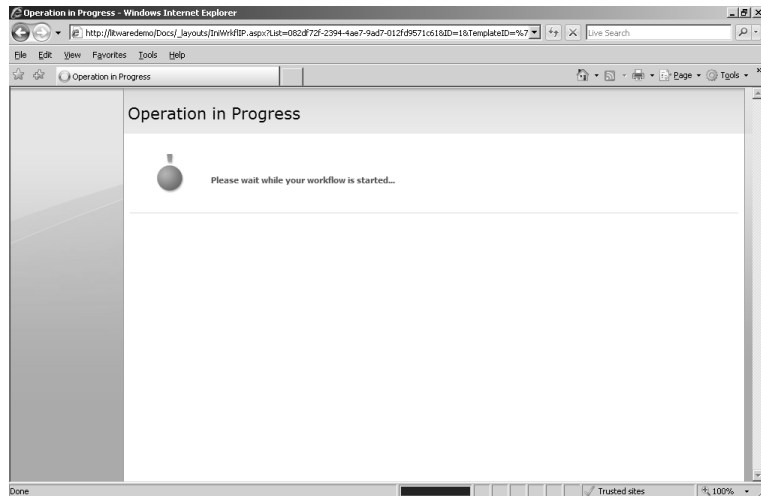
Quality Document Approval – Confirmation email is delivered to person who initiates task

Quality Document Approval – Confirmation email is delivered to person who initiates task

Approval started on ATL Shipping Manager. - Message (HTML)

Message

From: sharepoint@litwareinc.com
To: Administrator@litwareinc.com
Cc:
Subject: Approval started on ATL Shipping Manager.

Sent: Fri 5/8/2009 1:55 PM

Approval has started on ATL Shipping Manager.
Participants are LitwareInc Administrator
Each person will get 1 day

Each person will receive a task to approve ATL Shipping Manager. The tasks will be assigned one at a time in the order shown above.

View the status of this workflow.

Quality Document Approval – Workflow tasks are delivered to each of the Approvers listed

Tasks - Please approve ATL Shipping Mana... has been assigned to you - Message (HTML)

Message

From: Document Center [sharepoint@litwareinc.com]
To: Administrator@litwareinc.com
Cc:
Subject: Tasks - Please approve ATL Shipping Mana... has been assigned to you

Sent: Fri 5/8/2009 1:56 PM

Task assigned by LitwareInc Administrator on 5/8/2009.
Due by 5/9/2009.

Please review and approve.

Thanks
Mark

To complete this task:

1. Review ATL Shipping Manager.docx.
2. Perform the specific activities required for this task.
3. Use the **Edit this task** button to mark the task as completed. (If you cannot update this task, you might not have access to it. Click here to request access.)

Quality Document Approval – Approvers Approve and Edit Tasks (from Office 2007)

Quality Document Approval – Approvers Approve and Edit Tasks (from Office 2007)

Quality Document Approval – Document is Approved Email Notification
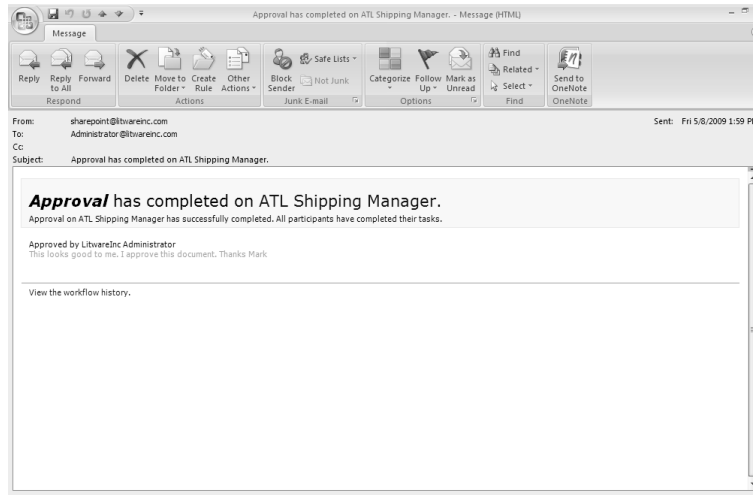
Quality Document Approval – Workflow history

4/14/2010

4.2.3 Control of Documentation

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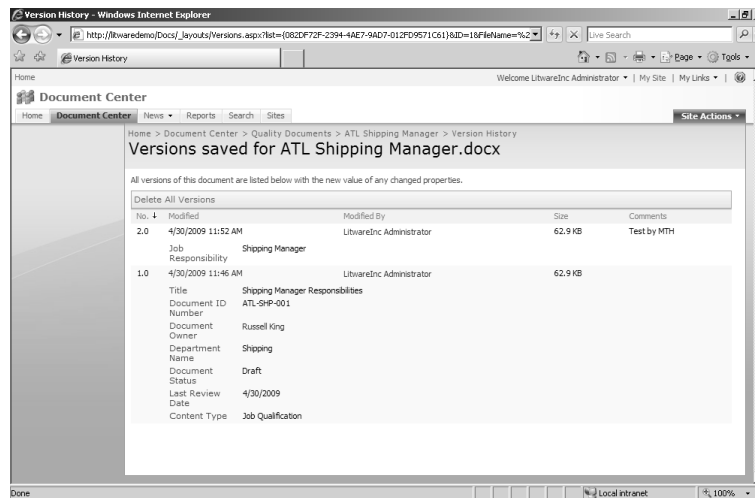- **Documents must be reviewed/updated/re-approved on a periodic basis**

- The correct version of document(s) must be made available at point of use

- The current revision status of documents is identified

- Identify, control and monitor documents from external sources

- Prevent the accidental/unintended use of obsolete documents

- Preserve the usability of documents

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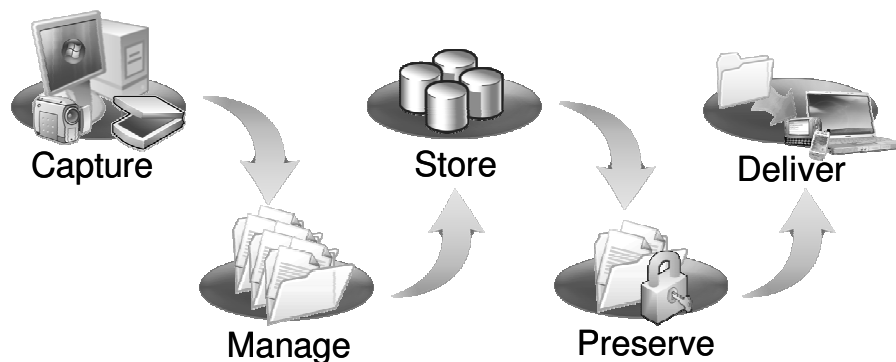
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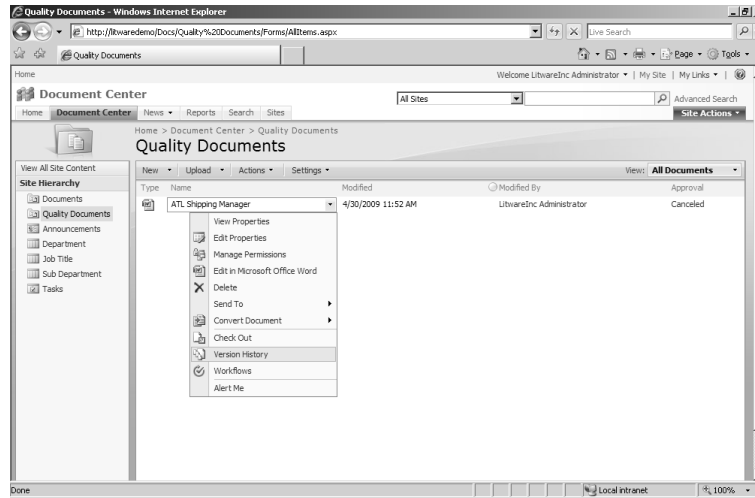
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Document Collaboration

- Library functions include
  - Check-in/check-out
    - Ensures that everyone knows who is making edits at any given time
    - History shows who worked on document when
  - Major/minor versioning
    - Comparison of versions enables users to compare the differences between any two versions of a document
- Item-level security ensures appropriate rights are given to contributors and readers
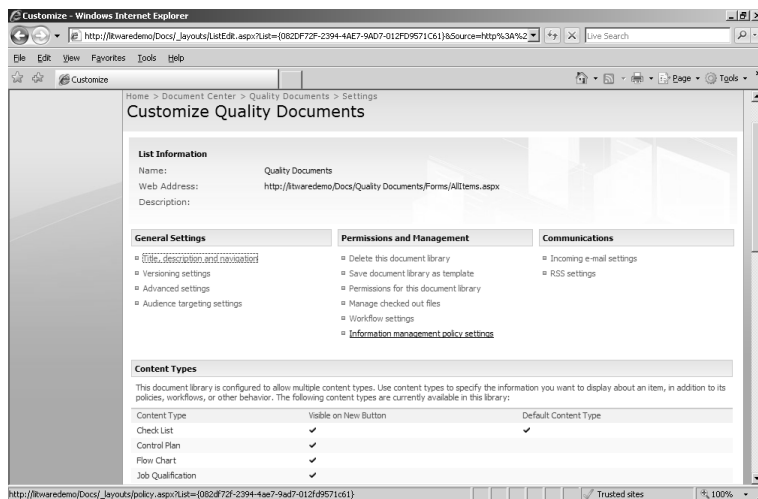
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(Identify Changes that are made to documents)
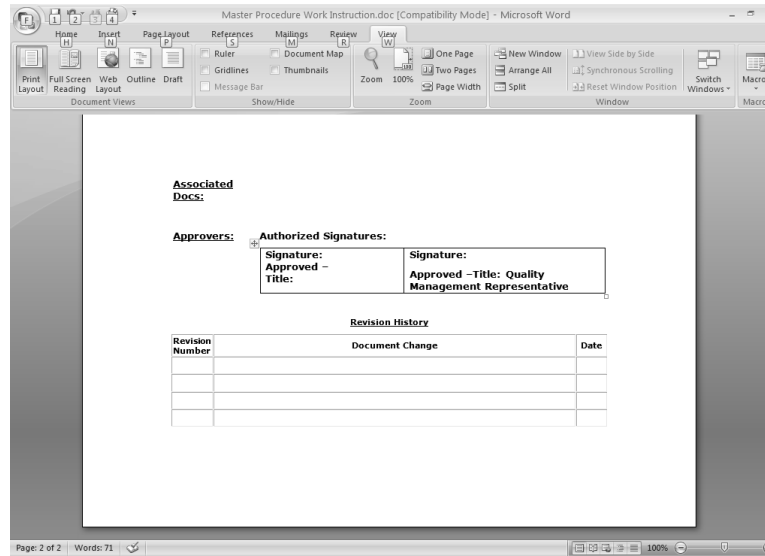
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Identify, control and monitor documents from external sources

According to ISO 9001:2008 clause "4.2 Documentation Requirements" documents may be in any form or type of medium, and the definition of "document" in ISO 9000:2005 clause 3.7.2 gives the following examples:

- paper
- magnetic
- electronic or optical computer disc
- photograph
- master sample

Identify, control and monitor documents from external sources

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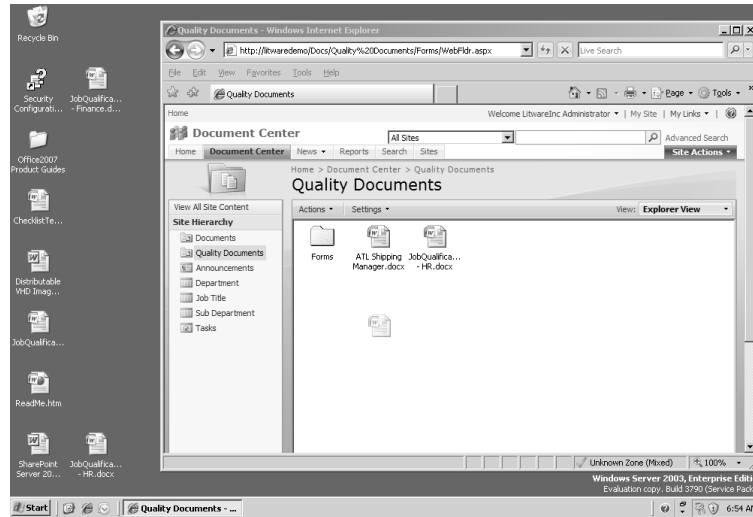
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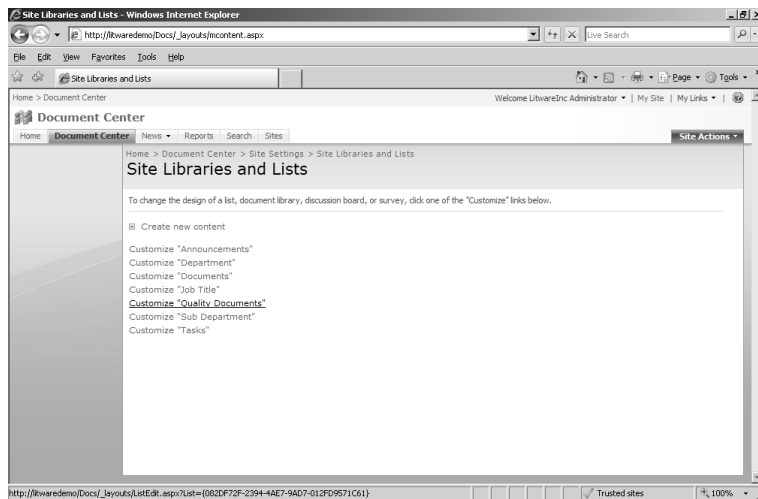
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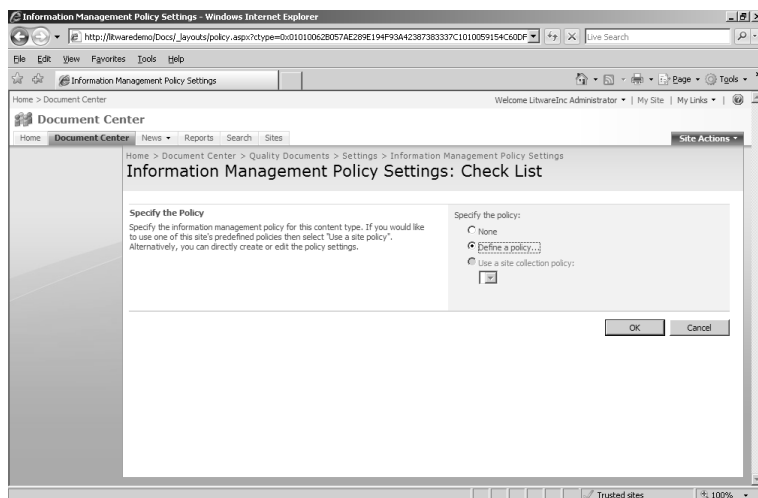
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Enterprise Search – Search Criteria
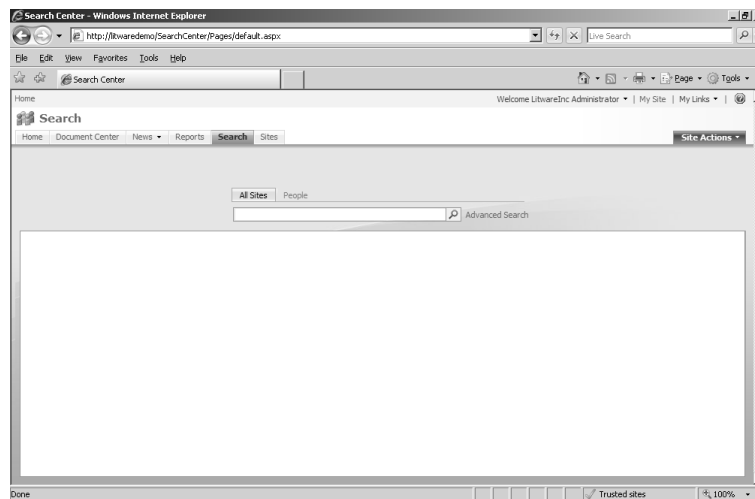
Enterprise Search – Did you mean?
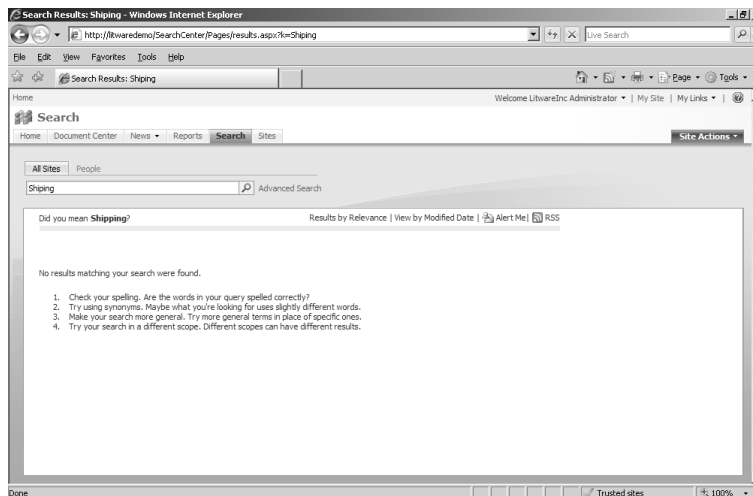
Enterprise Search – Search Results
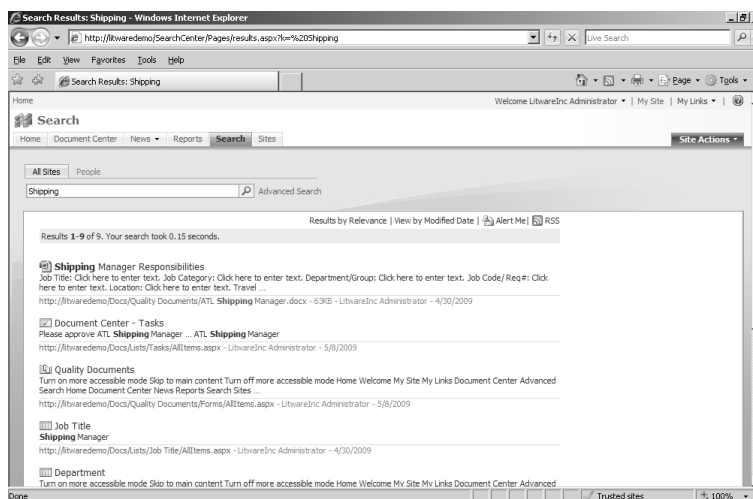
Enterprise Search – Advanced Search
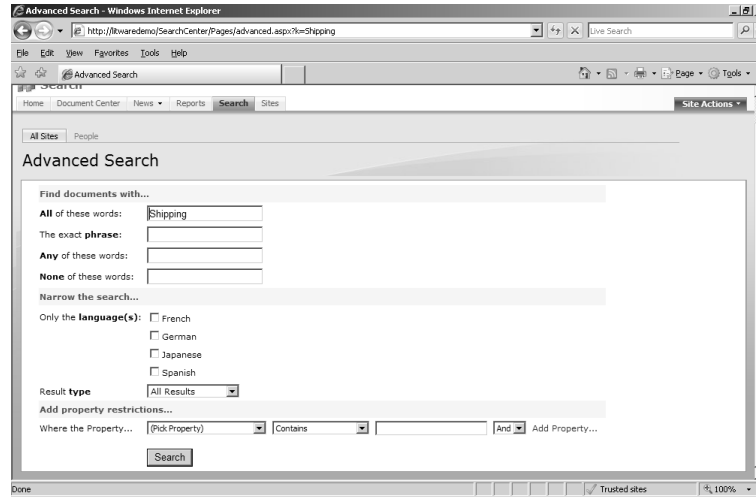
MOSS Virtual Hard Drive

MOSS Virtual Hard Drive