

Atlanta SPIN

Software & Systems Process Improvement Network

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Using SharePoint to Achieve ISO 9001:2008 Certification

Mark Henderson



Mark Henderson

Enterprise Content Management compliance is addressed in several formal Process Improvement Methodologies, including CMMI; ITIL; ISO 9001, etc. Our January speaker, Mark Henderson of Abel Solutions, walked through the portions of ISO 9001 which can be addressed by ECM tools and followed up with a demonstration of how Microsoft SharePoint can be used to address those requirements. The discussion and demonstration assumed use of the Microsoft Office SharePoint Server (MOSS) version which is available to Microsoft Server users at additional cost; reduced functionality is available for free to Microsoft Server users using SharePoint Services.

The Association for Information and Image Management (AIIM) defines Enterprise Content Management (ECM) as “The strategies and methods and tools used to

capture, manage, store, preserve, and deliver content and documents.” While it is possible to store physical documents, electronic storage is superior in its ability to allow searching and controlling access, as well as for removing the necessity for physical access to the content. Above and beyond the practical aspects of content management, ECM allows easier ways to collaborate, approve, and meet legal responsibilities involving content.

Content can include Wikis; Blogs; E-mail; Forms; Workflows; Documents; Dashboards; Transactions; RSS; meetings; Instant Messages; and almost any other information media. Capturing, indexing, storing, and managing access to all these forms of communications present a tremendous challenge to the organization. Traditional

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Next Meeting - February 17, 2010 — 6:00 PM

Thriving - Organizationally and Individually
- in a Post-Acquisition Environment

Todd Ague

Time: 6:00 PM—8:30 PM
Location: La Quinta Inn & Suites,
6260 Peachtree-Dunwoody Road,
Atlanta, GA 30328



Todd Ague

Using SharePoint to Achieve ISO 9001:2008 Certification

ECM tools have been expensive, and thus often their use is not extended to the entire organization. "Content silos" make it difficult to search across the Enterprise for all related information. ECM vendors which have been rated in Gartner's "Magic Quadrant" (e.g. they rate the tool as both having the vision and the execution to be rated as superior) as of September 2008 include IBM; EMC; Open Text; Oracle; and Microsoft.

The specific area of ISO 9001 addressed by ECM is section 4.2.3 – Control of Documentation, which breaks down as follows:

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

Approvals can be accomplished in SharePoint using Workflows. Approval workflows can be "Serial" (e.g. first A approves, then B, then C – with disapproval at any step returning the document to the author for revision); or "Parallel" (where all approvers receive the request for review and approval simultaneously, and rules may be used such as "if any two approve, the document is approved").

Review and update can be assured on documents by adding an "expiration" workflow. When the expiration date passes, the status of the current version changes from "approved" and notifications are sent to the appropriate reviewers (or review group) to review the document. Similarly, documents can be set to Expire after a certain period if not updated, and then be archived. This is accomplished by Policies, and accomplishes item 6, "Prevent the accidental/unintended use of obsolete documents."

SharePoint creates a new Version of documents each time they are saved (provided Versioning is enabled – a configuration "gotcha"). However, it does a less than perfect job of logging what changed in the document (the version comment field holds only up to 250 characters). Thus, it is

recommended to have a "change log" internal to the document, and record all significant changes in that log. Too, the "document version" kept internally in the document will probably not match the SharePoint automatic version number generated each time the document is saved. Future versions may address this for Microsoft documents, but for now best practice is to store official version numbers IN the document. However document Status is stored as "Metadata" and thus it is always possible to identify "Approved" versions of each document, or to search only for "Approved" versions. For any stored document, users can review the "Version History" to easily see the change comments and version status information, as well as additional information such as the date changed and changing user.

"Identify, control and monitor documents from external sources" is handled through a combination of SharePoint features. External documents stored in SharePoint, like their internal counterparts, must have their MetaData attributes defined (e.g. data identifying the content as an external document). Microsoft Office Enterprise Sharepoint allows searching across the entire enterprise's content, but with the latest version search results are limited to documents that the user conducting the search has the right to at least "view" (thus preventing unauthorized people from searching sensitive HR documents for the existence of documents they are not entitled to know about – a bug in earlier releases). Document control can be extended down to individual documents, but will in practice usually be handled by User Groups given broad privileges based on Metadata (Company; Department; Sub-Department; Project; Document Owner; etc.) Some metadata types exist by default (e.g. "last updated by"), but SharePoint gives a great deal of flexibility in creating and maintaining custom Metadata. Finally, the on-line search and archive functions of MOSS help "preserve the usability of documents" by making it easy to locate and access the documents needed by the business, while archiving inactive / expired versions of those documents.

For companies interested in improving their access, use, and control of documentation both to improve their business and to meet legal responsibilities, the latest generation of ECM solutions has made great strides in both capability and ease of use. SharePoint offers both good value and flexibility in providing these capabilities, and should be considered when selecting ECM tools.

Special Opportunity from SQE

SQE is hosting a complimentary Agile seminar in Atlanta on Wednesday February 24th.

Join Agile ALM leaders AccuRev, Rally Software, AnthillPro, AnthillPro, and Coverity for this half day event focused on Agile engineering best practices and best-of-breed solutions to scale and optimize your development processes.

Topic: Agile Comes to You

Date & Time: Wednesday, February 24th, 2010
8:30AM - 3:00PM EST

Location: Atlanta Marriott Perimeter Center
246 Perimeter Center Parkway NE
Atlanta, Georgia 30346

[Register Here](#)

As development teams adopt Agile practices, tasks like frequent releases, continuous builds and integration and quality management become everyday activities. Join other software development professionals for an interactive half-day event designed to demonstrate 'day-in-the-life' engineering best practices and the tools needed to make Agile successful within your development team. At this unique event you will:

- Learn the core fundamentals of Agile engineering practices and what they mean to the various roles within your development team.
- Understand how you can apply software configuration management, continuous integration, static analysis and quality management best practices within your Agile team.
- See how an integrated set of best-of-breed tools can help to enable quality, collaboration and visibility for development teams, their managers and executives.
- Hear examples from industry leaders of how development organizations like yours have reduced risk, boosted productivity and cut development costs with Agile.

Seminar Agenda

8:30 AM - **REGISTRATION & WELCOME**

9:00 AM - **KEYNOTE PRESENTATION
FOLLOWED BY INTERACTIVE Q&A**

Understanding the Agile fundamentals and how they relate Engineering Best Practices and greater ROI

10:00 AM - **AGILE PANEL PRESENTATIONS
FOLLOWED BY INTERACTIVE Q&A**

Applying Agile's core principles within your development organization with AccuRev, Rally, AnthillPro, and Coverity

12:15 PM - **LUNCH BUFFET/NETWORKING**

12:45 PM - **AGILE TOOLING
DEMONSTRATION FOLLOWED BY
INTERACTIVE Q&A**

A Day-in-the-life of YOUR Agile development process: A demonstration of how using best-of-breed tools can support Agile Development.

1:45 - 2:00 PM - **CLOSING & RAFFLE**

Space is limited.

Reserve your seat now at:

<http://www.accurev.com/seminar/atlanta20100224-1>

For further information contact:

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Process Improvement Sites:**Software Engineering Information Repository**

<https://seir.sei.cmu.edu/seir/>, has over 30,000 registered users and is a forum used to contribute and exchange information about software engineering improvement activities, including CMMI.

The CMMI Process Improvement Yahoo! discussion group

http://groups.yahoo.com/group/cmmi_process_improvement/ is a forum used to contribute and exchange ideas about CMMI-based improvement.

BSCW Shared Workspace <https://bscw.sei.cmu.edu/pub/bscw.cgi/0/79783> is a forum used to contribute and exchange CMMI-related materials.

Information courtesy of SEI Customer Relations. Find out more about SEI Membership online at www.sei.cmu.edu/membership customer-relationships@sei.cmu.edu

About Atlanta SPIN, Incorporated

www.atlantaspin.org

The Atlanta SPIN organization was chartered in 1994. This group has been a force for software process improvement in the Atlanta area since then. The organization has a growing membership list that currently numbers 850+ members. The group typically meets every third Wednesday of the month. Our meetings typically attract audiences of 40 – 50 people. These meetings provide a forum for like-minded people, interested in learning from others and sharing their own experiences. There is time allowed before and after the meeting for networking among the participants, including a review from the audience of any job openings that are available. The Board, through its work with Sponsors, ensures that food and drinks are also available at no cost to the membership. Atlanta SPIN is a 501C3 non-profit corporation. Your contributions may be tax deductible and qualify for corporate matching contributions from your company.