



**Gimmel**  
Information Management for Everyone®

# Upgrade Guide

## Compliance Suite (Feature-Activated)

For SharePoint 2013/2016

Software Version 4.13.1

January 2019

Title: *Compliance Suite (Feature-Activated) Upgrade Guide*

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# 1 Introduction

This document contains detailed upgrade steps for Gimmel Compliance Suite (Cs) V4.13.1 in a SharePoint 2013 or SharePoint 2016 environment.

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## Note:

For **SharePoint 2013**, Compliance Suite V4.13.1 can be upgraded from Compliance Suite V4.13 or V4.12.3.

For **SharePoint 2016**, Compliance Suite V4.13.1 can be upgraded from Compliance Suite V4.13 or V4.11.2.

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## Important!

Prior to upgrading Compliance Suite, Gimmel strongly recommends that you create a backup of your Compliance Suite data and your system.

Gimmel's iGs Enhanced Search application is no longer bundled with the Compliance Suite installation/upgrade package. If you have an existing or older version of iGs Enhanced Search on your system, you must remove it manually prior to upgrading Compliance Suite.

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## 1.1 Intended Audience

The intended audience for this document consists of SharePoint Administrators. A SharePoint administrator is the domain user who has Farm Administrator rights in Central Administration and is a local administrator on the WFE (Web Front End) where the upgrade is being performed.

## 2 Downloading Packages and Upgrading Bulk Task Processing

This chapter describes the steps for downloading the upgrade packages and upgrading Bulk Task Processing.

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### Important!

**Bulk Task Processing is packaged with Compliance Suite, but must be separately upgraded before you upgrade Compliance Suite as described in [Chapter 3](#).**

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### Note:

For SharePoint 2013, Compliance Suite V4.13.0 can only be upgraded from Compliance Suite **V4.12.3**.

For SharePoint 2016, Compliance Suite V4.13.0 can only be upgraded from Compliance Suite **V4.11.2**.

Although the upgrade paths are different for both SharePoint 2013 and SharePoint 2016, the steps you perform to upgrade to the latest version are the same.

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### 2.1 Downloading Packages

To download the latest Cs versions, follow these steps:

1. Log in to the [Gimmel Download Site](#) and download the Compliance Suite (FA) V4.13.1 zipped ISO package.
2. Extract the downloaded zip file to the WFE where the upgrade will occur. The extracted Upgrade folder contains an ISO file.

### 2.2 Upgrading Bulk Task Processing

Follow these steps to upgrade Bulk Task Processing.

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Important!

**When performing an upgrade, you must upgrade Bulk Task Processing before you upgrade Compliance Suite!**

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3. Navigate to the folder that contains the ISO file, right-click it, and select **Mount**.

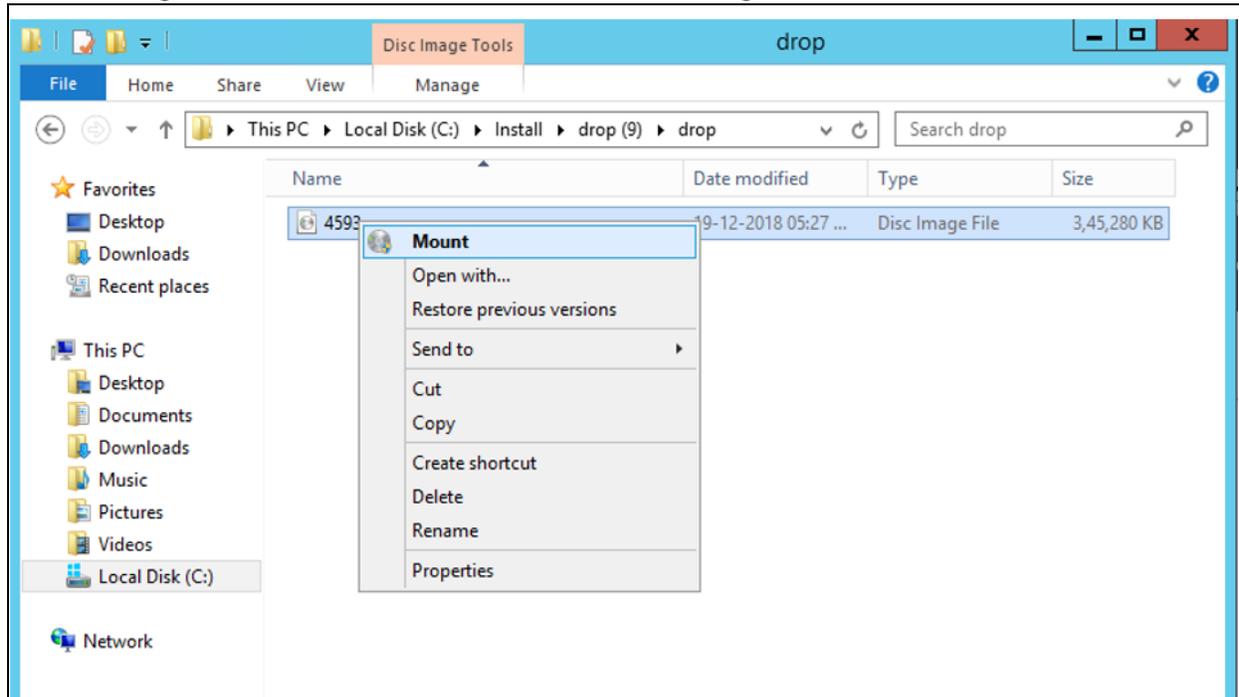


Figure 2-1 Mount ISO File

4. The installation setup should start automatically. If not, double-click the **setup.hta** file in the root folder of the ISO.

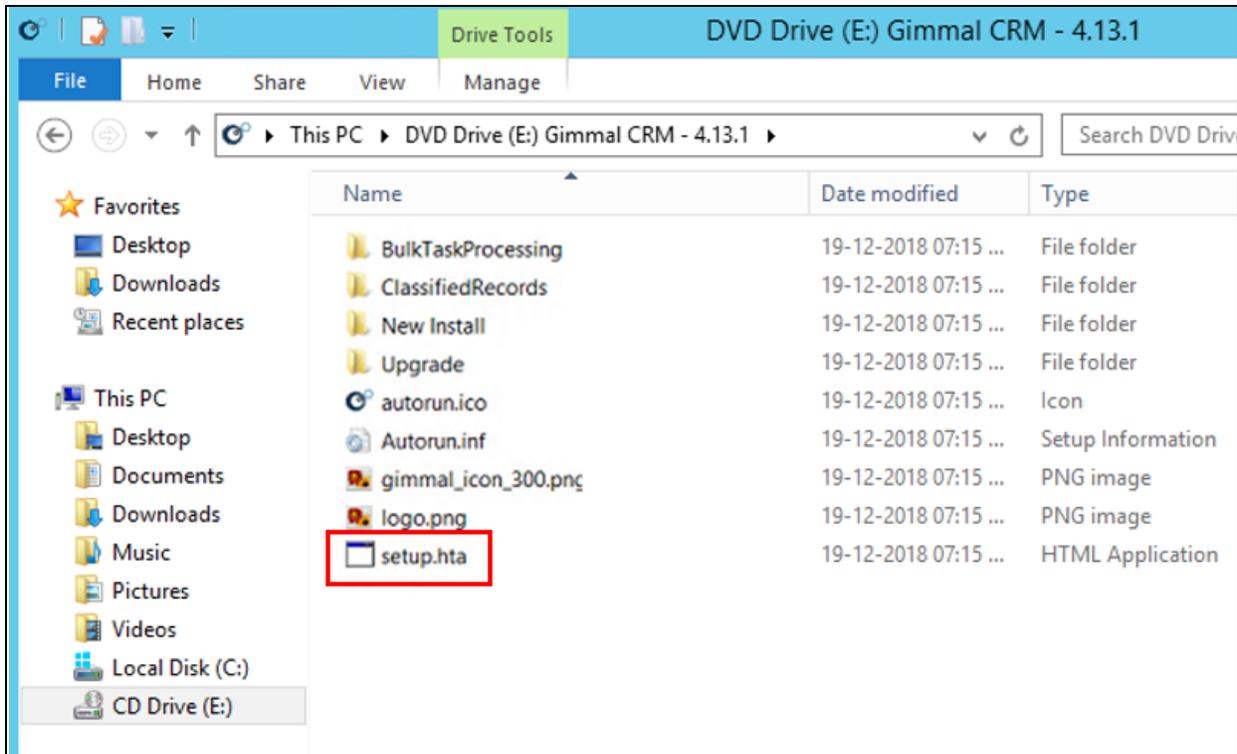
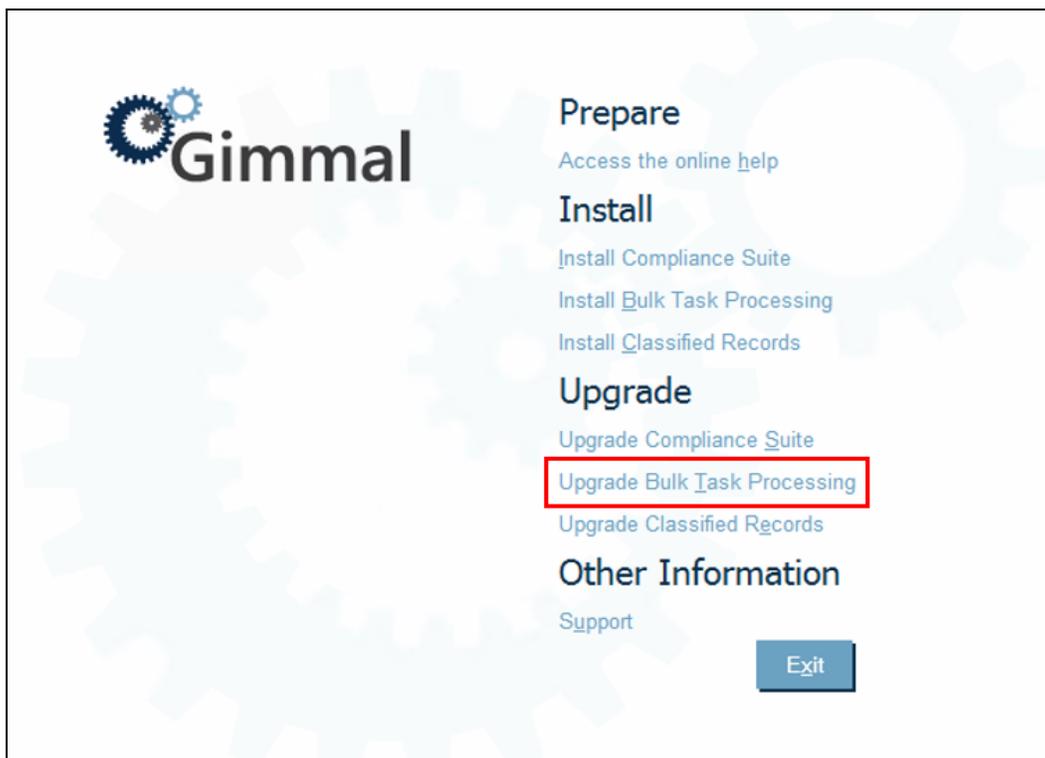


Figure 2-2 Setup File

The Certified Records Management splash screen launches, which provides a link to the Bulk Task Processing upgrade tool.



*Figure 2-3 Splash Screenfd*

5. Click **Upgrade Bulk Task Processing**. A Windows PowerShell opens and the .wsp file deploys automatically.
6. From the farm where Compliance Suite is installed, launch Central Administration and go to **System Settings > Farm Management > Manage Farm Feature** and verify that **Global Compliance Suite - Bulk Task Processing** is activated.

### 3 Upgrading Compliance Suite

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#### Warning!

When performing an upgrade, you must upgrade Bulk Task Processing (see “[Downloading Packages and Upgrading Bulk Task Processing](#)” on page 2) before you upgrade Compliance Suite!

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To start the upgrade process, follow these steps:

1. You should have downloaded and extracted the software ISO package to a temporary directory (see [Chapter 2](#)).
2. Navigate to the folder that contains the ISO file and double-click the **setup.hta** file in the root folder of the ISO.

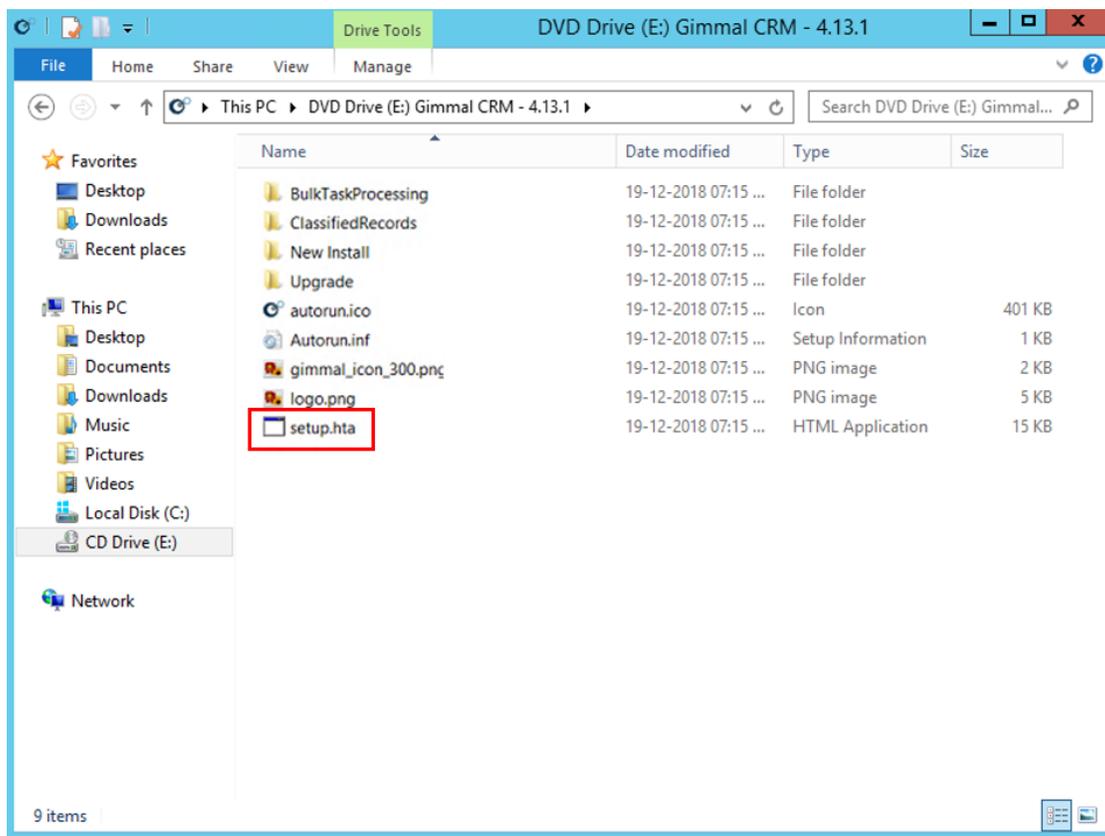


Figure 3-4 Setup File

The Certified Records Management splash screen launches, which provides a link to the Compliance Suite upgrade tool.

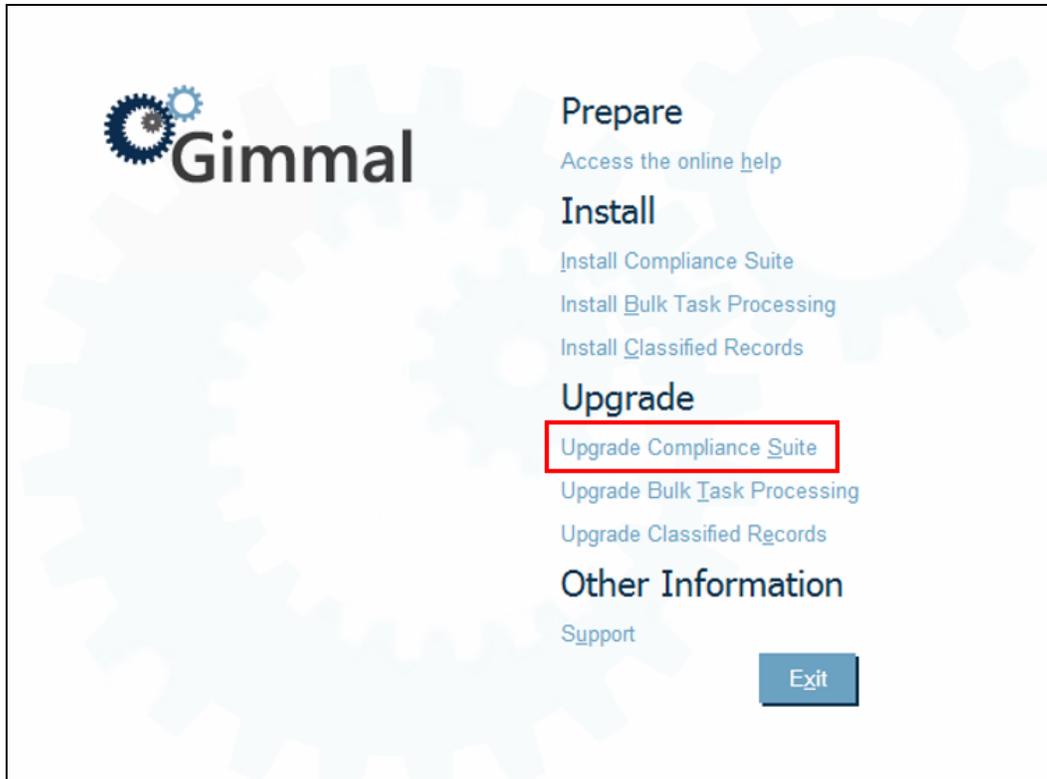


Figure 3-5 Upgrade Compliance Suite

3. Click **Upgrade Compliance Suite**. The upgrade process starts. You first see WSPs being upgraded, which deploy new assemblies, files, etc.
4. When all WSPs finish upgrading, the script launches another PowerShell window and begins to upgrade features.

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**Note:**

You might see a warning that the script failed to upgrade one or more features. If this happens, the script automatically attempts again to upgrade any features that failed to upgrade.

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5. Once finished, the script displays *Press Any Key to Continue*. Doing so finishes upgrading the features and closes the window.

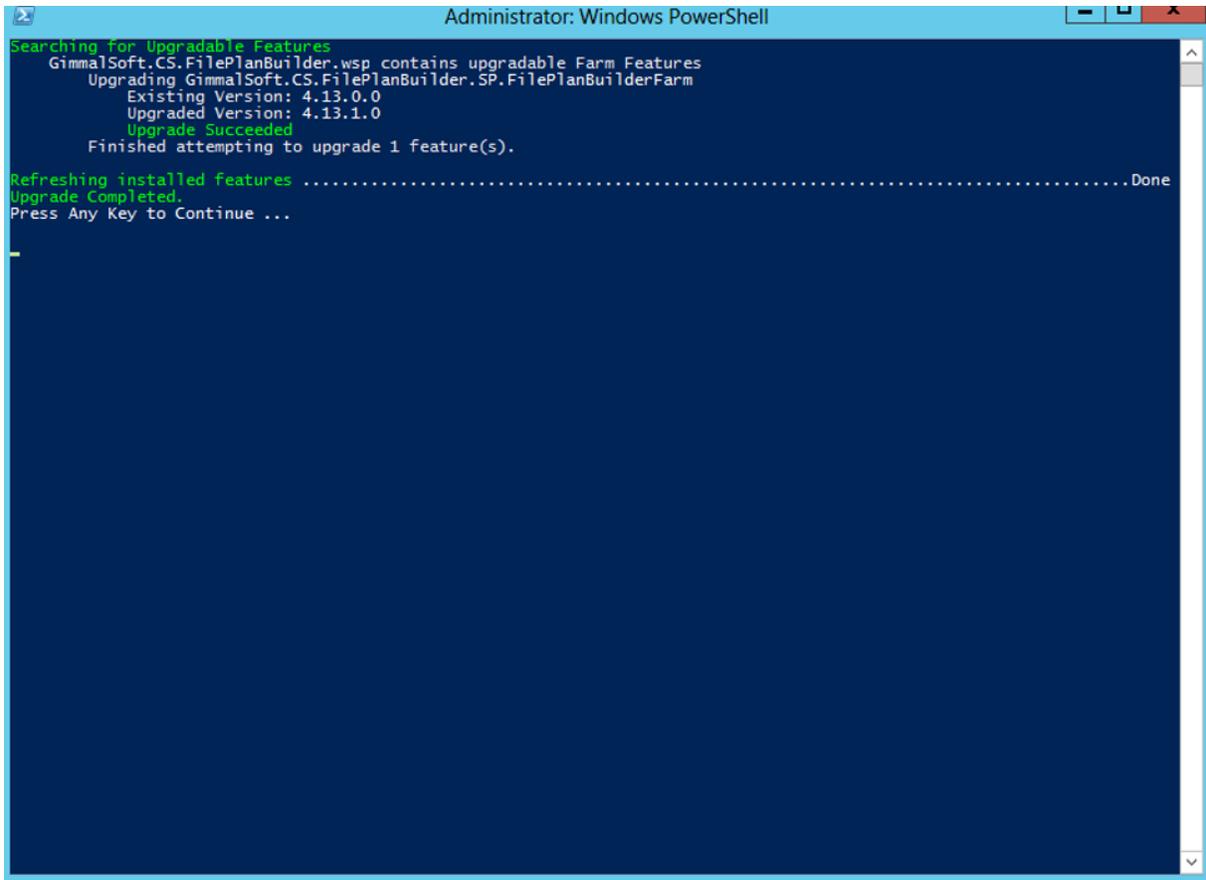


Figure 3-6 Upgrade Complete

6. Once all features are upgraded, the script activates or reactivates new and upgraded features, if necessary. Once finished, the script prompts you to *Press Any Key to Continue*.
7. Perform an **iisreset** and restart the SPTimer service on all SharePoint servers.

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#### Note

If you are using the Internet Explorer (IE) browser, ensure that you perform the remaining steps running IE as an **administrator**. If you do not run IE as an administrator, you may receive an error message when trying to perform step 8.

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8. Navigate to the Central Administration home page and click **File Plan Builder Settings** under the Compliance Suite category. The File Plan Builder Settings page opens.
9. Scroll to the bottom of the page and click **Save**.

## 4 Performing Post-Installation Configuration Tasks

This chapter provides the procedures to configure Gimmel Compliance Suite after it is upgraded.

### 4.1 Verifying Windows Authentication

As a best practice, after you install Compliance Suite and activate File Plan Builder, but **before** File Plan Builder is launched through the browser, you must verify that Windows authentication is configured to use the application pool account.

1. Open the IIS Manager from your Web front end server.
2. Select the **FilePlanBuilder** site from the list of **Sites** in the left pane.

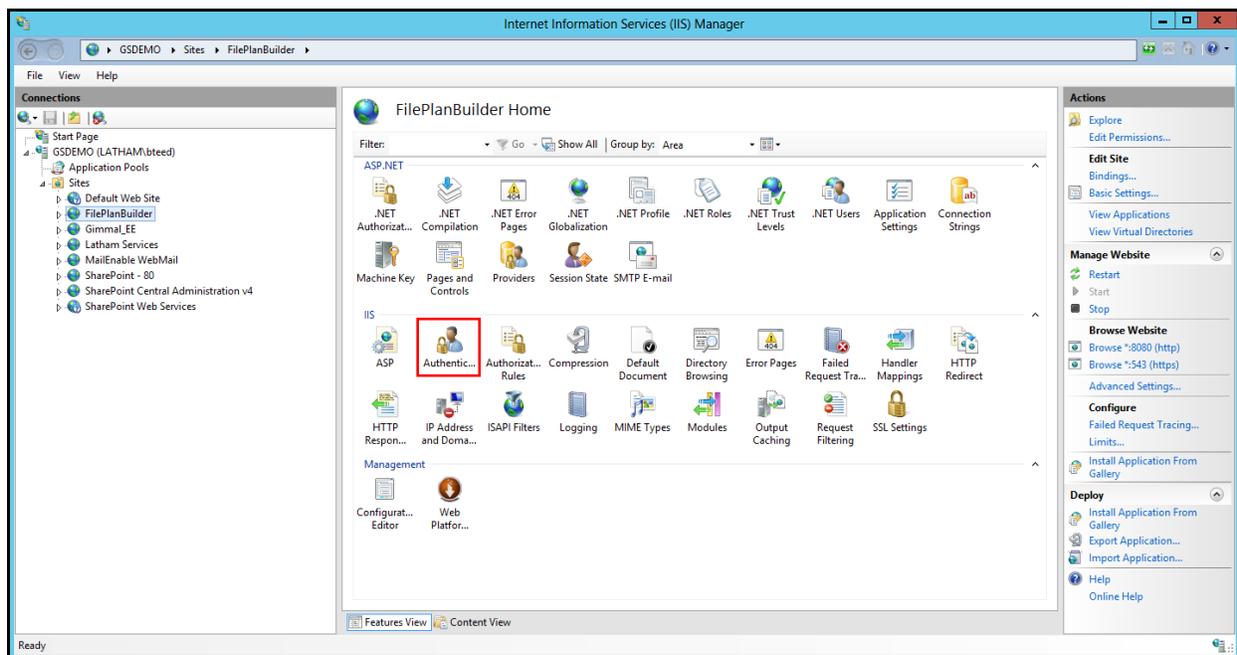


Figure 4-7 Authentication Button in IIS settings

3. Double-click the **Authentication** button in the **IIS** settings section.

4. To enable Windows authentication, right-click on the **Windows Authentication** button and select the **Enable** option from the context menu. The Status changes to "Enabled."

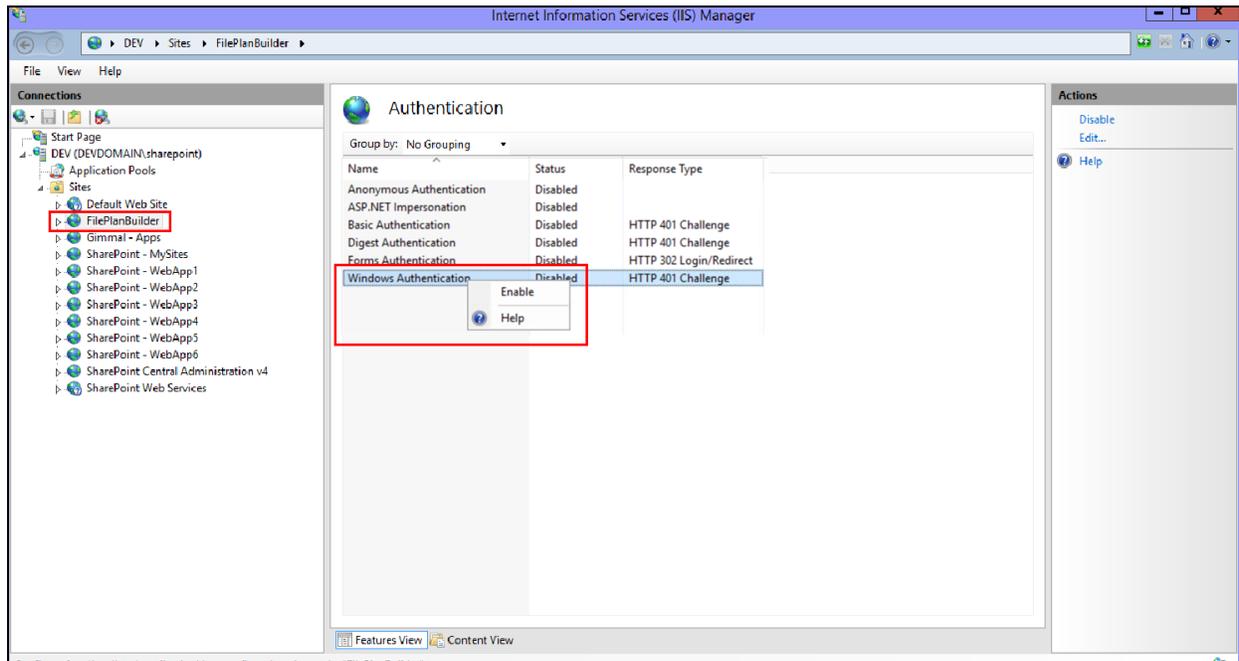


Figure 4-8 Authentication Method Enabled