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MANAGING ELECTRONIC RECORDS OF LOCAL GOVERNMENTS



NO RECORDS MANAGEMENT?



25%



NO RECORDS MANAGEMENT?

**Every 12
seconds
1 document
is lost.**



28,800 seconds (8 hour day)/12

=2400 documents lost each day



GOAL OF A RECORDS MANAGEMENT PROGRAM

Establish a ***systematic, repeatable, documented process*** for the retention and disposition of records created and maintained by the public office.



BENEFITS OF RECORDS MANAGEMENT

**Transparency in
Government**

**Decrease Risk in
Litigation**

**Increased
Efficiency**

Save Resources



RISK MITIGATION





Ponemon Institute's "2023 Cost of Data Breach Study"

Total average cost to handle a data breach incident in the financial industry is **\$5.9 million**.

This calculation included direct costs, such as investment in technologies and legal fees, along with indirect costs, such as investigation time and management of breach notifications.

Financial industry is the 2nd most costly.



Spam email

0.3g CO₂



Regular email

4g CO₂



Email with photo

50g CO₂



Email Carbon Footprint Equivalent

102 Emails Sent
9 Emails With an Image



Driving 1 Mile in Your Car

1 Year of Emails



Approx. 608 Miles of Driving



62 Hamburgers



3,048 Plastic Water Bottles



138 Clothes Dryer Cycles



Flying 10 Miles in an Airplane



The carbon footprint of an email

Impact measured in:

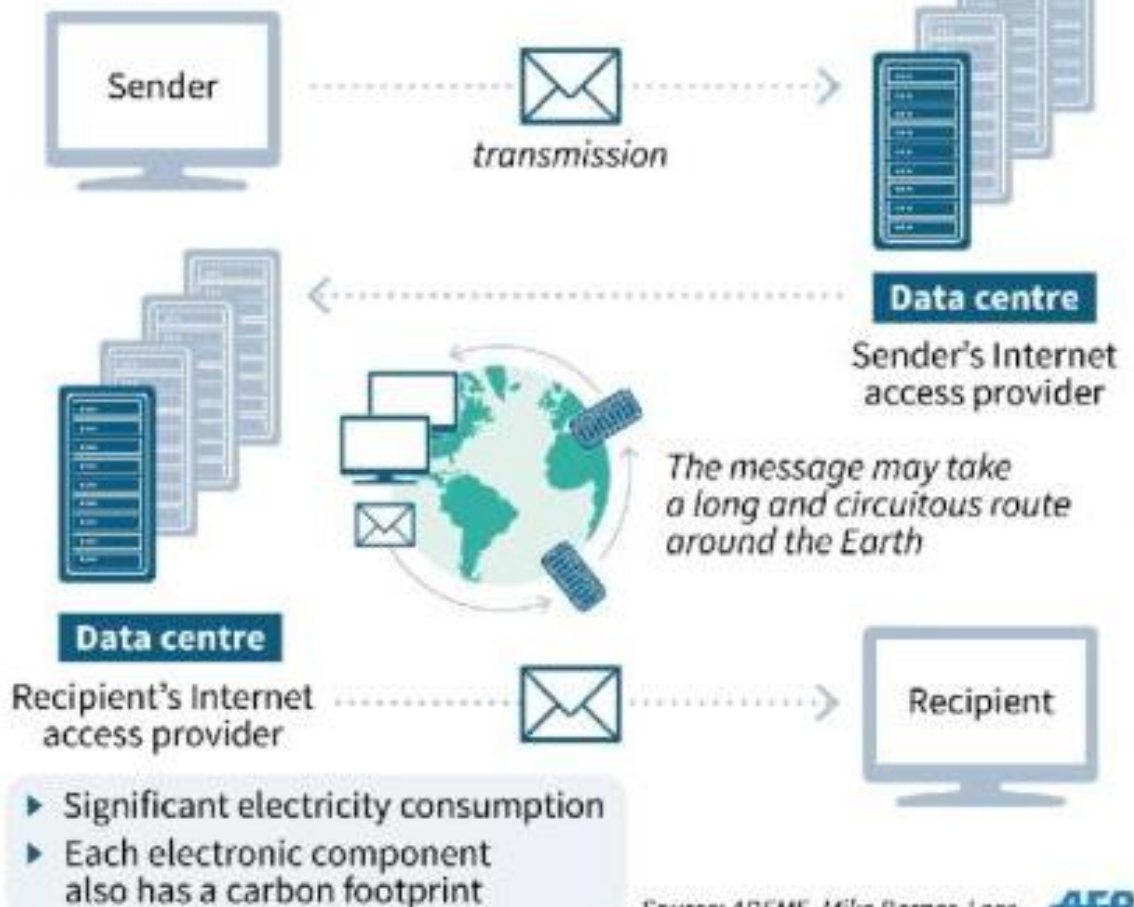
CO₂ equivalent kms covered

hours of electricity used by a low-wattage light bulb

▶ 1 short email 4 g

▶ 1 email + 1 MB attachment 2 hrs (= 25Wh)

▶ 33 emails of 1 MB each, sent to 2 recipients per day 180 kg
more than 1,000 km



Source: ADEME, Mike Berners-Leer **AFP**

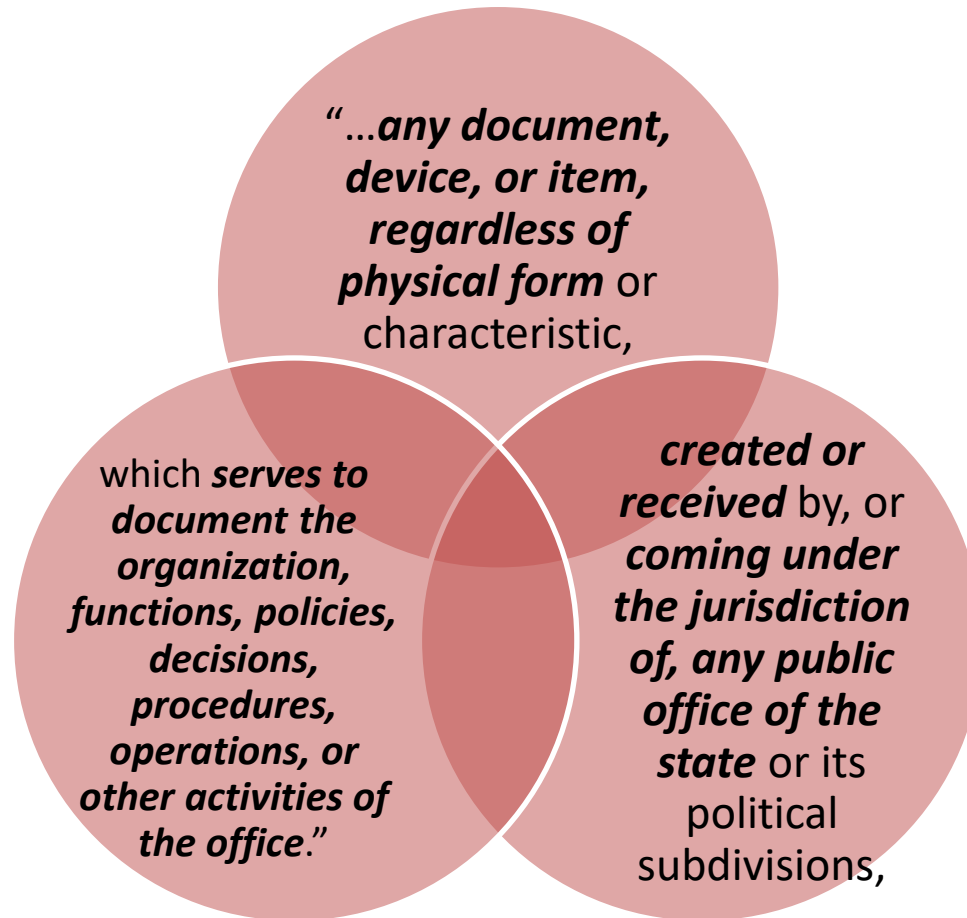


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RECORDS MANAGEMENT BASICS



WHAT IS A RECORD (ORC 149.011G)





Record Series

Files

Individual Documents

Phone Bills

2024 Phone Bills

Jane Smith's
January 2024
Phone Bill

Grant Records

Grants
Closed in
2023

Grant ABC Closed in
2023

- Proposal
- Award letters
- Budget
- Reports



**Records could be required to be retained
longer than your time in office
(and vice versa)**



It is not a matter of how long we can keep records, it is a matter of how long we should keep records.



RECORDS DISPOSITION



Imagine that you need to find your winter boots or your child's baseball glove in this closet.

- It'll take a lot of time
- More closet space is just more space to clutter

The more stuff jammed into this closet, the harder it is to find what you need when you need it.

A more efficient approach is to remove the things that are no longer needed – like the now-adult daughter's elementary school winter coat and the long-unused hats and sports equipment.

Our records storage spaces, physical and virtual, are no different than this closet.



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INFORMATION SYSTEMS / DATABASES



SYSTEMS

- What financial software systems do you use?
- What functions do you do through the systems? (payroll, accounting, billing, etc.)



SYSTEMS

- Systems are not a single record
- Systems contain many records
 - And possibly multiple record series
 - What different record series are in your finance system?
- Retention should be applied based on your retention schedule
 - But be careful of breaking relations within the database
 - Do any of the series you listed share common fields?
- How is a record defined in a system?
 - Documents
 - Fields put together to make a document



APPLICATION FOR EMPLOYMENT

PERSONAL INFORMATION

DATE OF APPLICATION: _____

Name:

Last

First

Middle

Personal information

First name *

Last name *

Email *

Confirm your email *

Place of residence

Phone number

+1 201-555-0123

Experience

+ Add

Education

+ Add

JOB APPLICATION FORM



SYSTEM OF RECORD V COPIES

- Is your finance system the official place where financial records are stored?
- Do others outside of the finance office upload documentation, such as receipts, invoices, purchase requests, etc.?
 - Did they save these somewhere else before uploading?
 - Can they access later in the system?
 - **Most likely a copy that they can delete**



RETENTION & DISPOSITION IN SYSTEMS

- Without periodically deleting database records that have met retention:
 - It becomes more difficult to locate records for business purposes, public records requests, investigations, or litigation.
 - Too many unnecessary records impact the performance of the database or information system and may be costly in staff time and expenses for to maintain or migrate.
 - The number of records affected during a security/privacy incident and the cost of responding to and recovering from the incident increases.

Records disposition should be a **routine** process conducted at **regular intervals**, not just when the system is being decommissioned or the contract with the vendor is expiring.



CHANGING OR DECOMMISSIONING SYSTEMS

Before decommissioning or changing databases or information systems, review the records to determine:

- Which records have met retention (should be deleted, not be migrated).
- Which records still need to be maintained per retention schedules (should be migrated or exported).
- Perform an analysis of the specific data fields that form the records to ensure that:
 - no relationships will be broken by deleting data that has met retention
 - fields needed to query for records that have met retention, often date fields, are not altered during the migration.



PROCURING NEW SYSTEMS

Questions to ask vendors during the procurement process:

Can the system be programmed to automatically delete records in accordance with our retention schedules?

Is manual deletion done by the customer or company?

Can different record series be deleted on different retention periods?

How can we set up queries to determine which records have met retention?

- What fields can we query for flat retention periods (3 years, 5 years, etc.)?
- What fields can we query for event-triggered retention periods (3 years from separation, 3 years from grant close-out, etc.)

Is there a report that can be run that provides information on the disposition? What type of information does the report include?



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EMAIL AND ELECTRONIC MESSAGE MANAGEMENT



What record series can come out of an envelope?





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Thomas B Anderson
 Mary B Anderson
 PO BOX 678
 2063 Main Street
 Anywhere USA 12345-6789

DATE 1/14/14

PAY TO THE ORDER OF Sample Company \$ 200.00
Two hundred + ⁰⁰/₁₀₀ dollars Dollar

MEMO MONTHLY BILL John Sample

⑆ 222370440 ⑆ 123456789123 ⑆ 1001

ELECTRIC COMPANY					
P.O. BOX 123, Anytown, USA					
ACCOUNT NUMBER	RATE	CYCLE	SERVICE ADDRESS		
123456789	General Service	708	123 Main Street		
SERVICE PERIOD	KWh USAGE	PEAK DEMAND	POWER FACTOR		
FROM TO					
08/13 09/13		440 kW	7.5%		
CUSTOMER	ENERGY CH	FUEL COS	DEMAND	POWER	SALE





What record series can come out of an email?





PARADIGM SHIFT

Save it all
“just in
case”

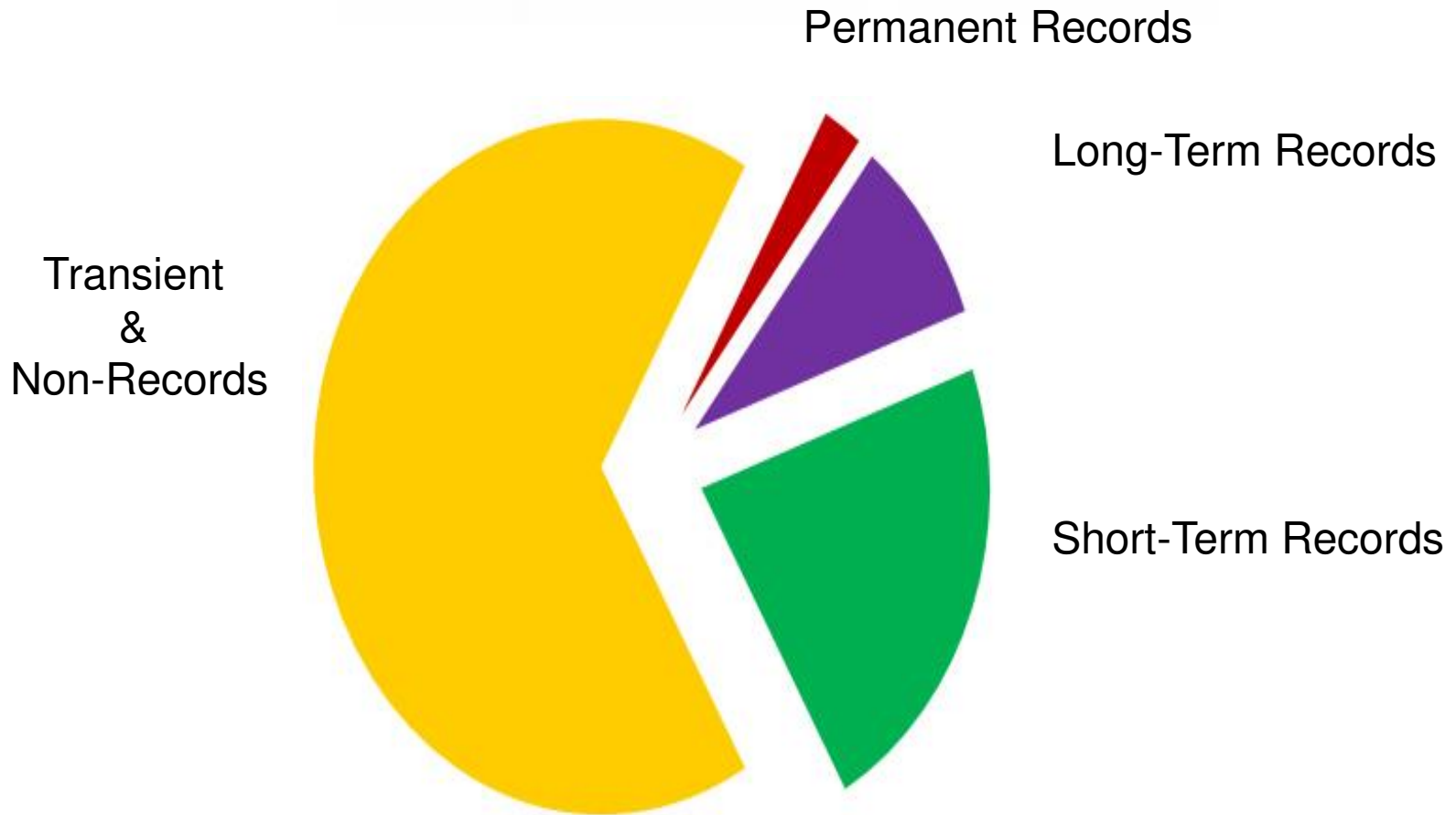
- Defensible deletion
- Retention schedules

“My email”

- Reduce impact of staff changes
- Functional filing



THE PACMAN[®] EFFECT





TRANSIENT RECORDS

Non-substantive records of limited administrative value serving to convey information of temporary importance, sometimes in lieu of oral communication. They do not set policy, establish guidelines or procedures, certify a transaction, or serve as evidence or a receipt. Examples include drafts, notes, copies (not the official record), scheduling communications, and voicemail and telephone messages.

- Temporary usefulness
- Not an integral part of a department's records series
- Not regularly filed in a department's recordkeeping system
- Only required for a limited period of time for the completion of an action or in preparation of an on-going record series
- Not essential to the fulfillment of a statutory obligation or the department's functions



Can Texts and IMs be records too?



EXAMPLE

5 City Council members hold secret meetings via text/email discussing the Mayor asking the City Manager to resign.

- Violation of open meeting law
- \$10,000 in records destruction fines for deleted texts
- Total costs over \$177,000
- 450 man-hours
- Minutes must be produced to preserve the conversations in public record
- Remaining texts must be released
- Public embarrassment over content of messages
 - Gossip, name-calling, rumors, immaturity



RISKS AND LIABILITIES OF ELECTRONIC MESSAGING

Illegal destruction
of records –
\$1000/message

Unable to provide prompt
responses to public
records requests –
violation of public records
laws – court costs

Discovery and
litigation

Basic capture
technology does
not preserve
metadata

Reputational
exposure

Making copies of everything
on a phone increases the
time and resources needed
to locate and preserve
pertinent messages and
cannot account for deleted
messages

Retaining messages beyond
stated retention would
require more time and
resources to locate and
compile under public records
and/or discovery requests

Inadvertent
information
exposure

Potential
violation of Open
Meetings Law



TO TEXT OR EMAIL?



Okay to Text

- “Stuck in traffic. Running late.”
- “Sick child, won’t be in today.”
- “Ready for lunch?”
- “What time is our meeting?”
- Transient – could it be done via phone or post-it?



Use Email Instead

- Documents a business transaction, activity, or decision
- Legal or compliance implications
- Could be needed or used as evidence or proof
- Would someone expect you to have it?
- If it were in paper, would you retain it as a record?



EMAIL CLEAN-UP STRATEGIES

Email will not manage itself.

Be a proactive manager of your inbox and sent mail and reap the benefits of efficiency in numerous other areas of your daily work.



EMAIL CLEAN-UP STRATEGIES

- Don't attempt to do it all at once
- Set aside a regular time to file. Smaller chunks are more manageable and less tedious.
 - Every Friday 4:00-5:00
 - Every day 1:00-1:15
- Delete what you know can be deleted
- File what you know must be retained
 - According to record retention schedules



EXAMPLES OF TRANSIENT & NON-RECORD EMAILS

SPAM/Unsolicited email

Ads, news articles, non-work related mail

Personal (non-record)

Ready for lunch

Pick up milk

Late meeting, can you get kids?

Not related to job

Distributed (not by you) to multiple people for administrative purposes

Schedule your flu shot

Kitchen cleaning today!

Brown Bag lunch at 12:00

OnCampus daily news headlines

System auto-generated email responses (eLeave, IT help tickets)

Listservs

Newsletters/Bulletins

Discussion boards

Other professional communities for information sharing

Transient

Accepted/Declines meeting requests

“read” receipts

Meeting arrangements

Non-substantive messages of short-term usefulness

FYI’s – no response required

CC/BCC messages

Minutes, notes, drafts, agenda that you received for information, but you are not record-keeper



OSU EMAIL CHALLENGES

[HTTPS://LIBRARY.OSU.EDU/EMAIL- MANAGEMENT-CHALLENGES](https://library.osu.edu/email-management-challenges)



DETERMINING IF AN EMAIL OR TEXT IS A RECORD TO BE RETAINED PER RETENTION SCHEDULE

Does it document a business activity, transaction or decision?

Is it proof of a business-related event or activity or evidence of work completed?

Do you need it to identify who participated in a business activity or had knowledge of an event?

Does it have legal or compliance value?

Does it support facts you claim to be true, since the person with the direct knowledge of the facts is not available?

Could it help resolve a dispute in the future?

Does the law expect that the University will retain it?

Do you have the only copy within the University? (ex. It was received from an external source)

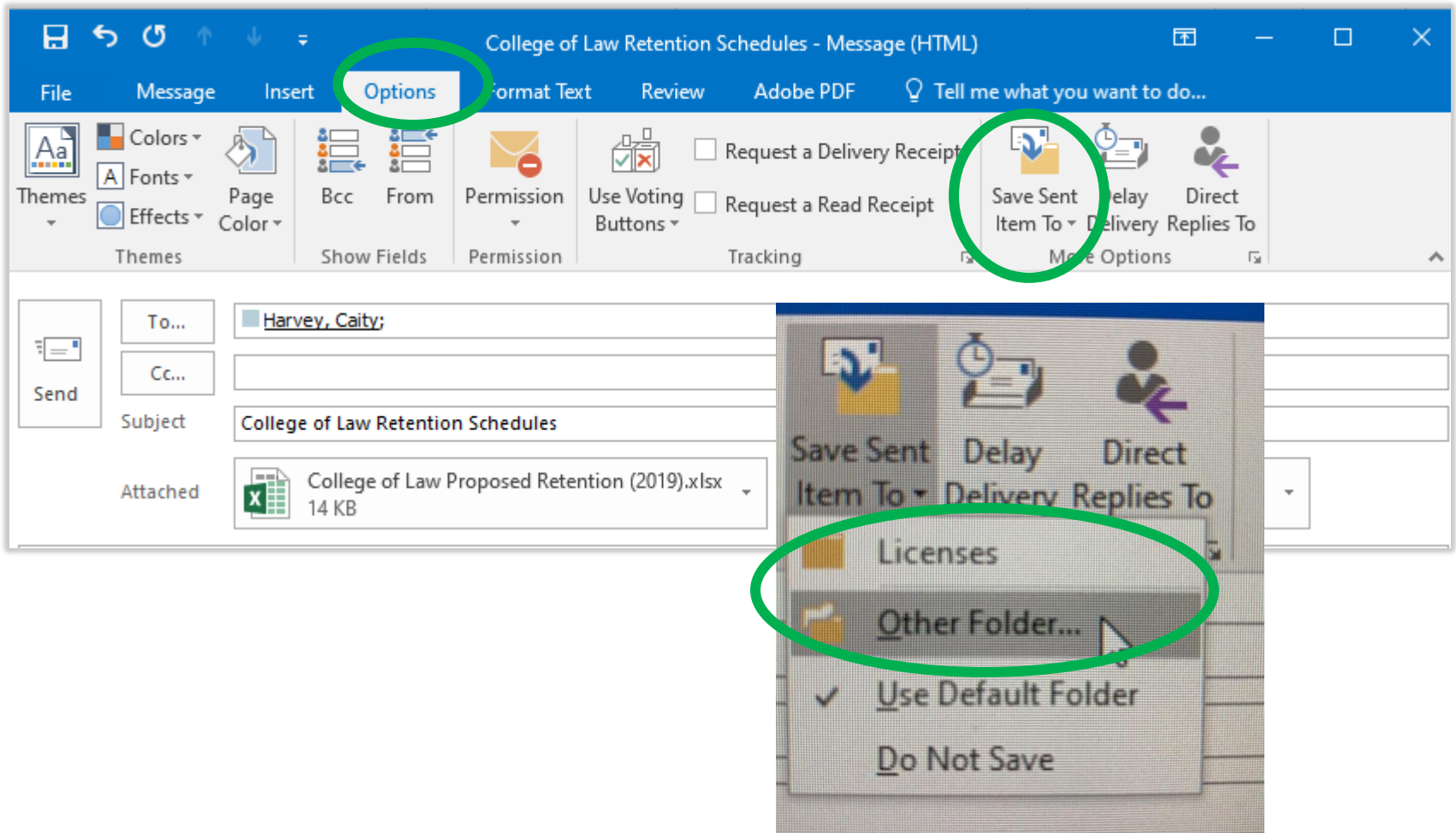
Are you the author responsible for managing it and its responses?



IDENTIFYING THE OFFICIAL COPY

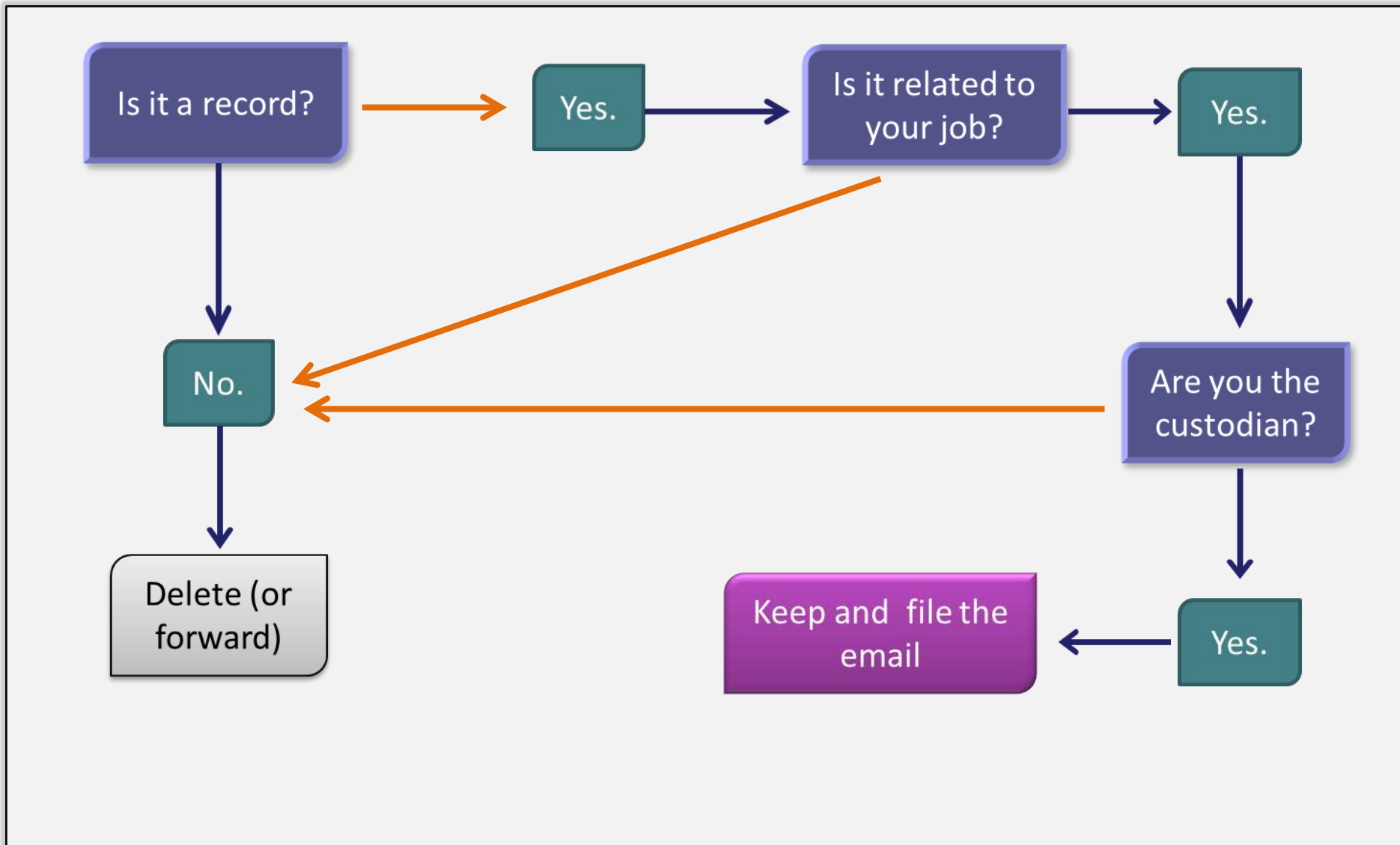
- Custodian: Person who has official copy to be maintained for duration of retention period
- Sender typically has the official copy
 - **Filing your “sent” messages is important!**
- Recipient can have official copy if:
 - Email received from external source
 - Needed to take action based on message
 - Required for documentation of an action

SEND AND FILE EMAILS





The screenshot displays an email client interface. A 'Select Folder' dialog box is open, showing a list of folders. The 'College of Law' folder is highlighted with a green circle. To the right, a 'Send' button is also highlighted with a green circle. Below the dialog box, the email list shows a message from 'Swift, Pari J.' with the subject 'College of Law Retention Schedules' and a timestamp of '8:30 AM'. This email is highlighted with a green circle. The email content is partially visible: 'Good morning, Caity. Here's the records analysis of the files for the College of Law of'. Other folders like 'Business and Finance' and 'Complete' are visible in the left sidebar, with a red 'X' over 'Business and Finance'.





EMAIL THREADS

Keep all emails or just the last one?

ALL

- Someone doesn't reply all
- Off topic
- Someone responds to earlier email
- Ability to edit
- Retain attachments

Last

- If it's not needed as evidence
- Transient



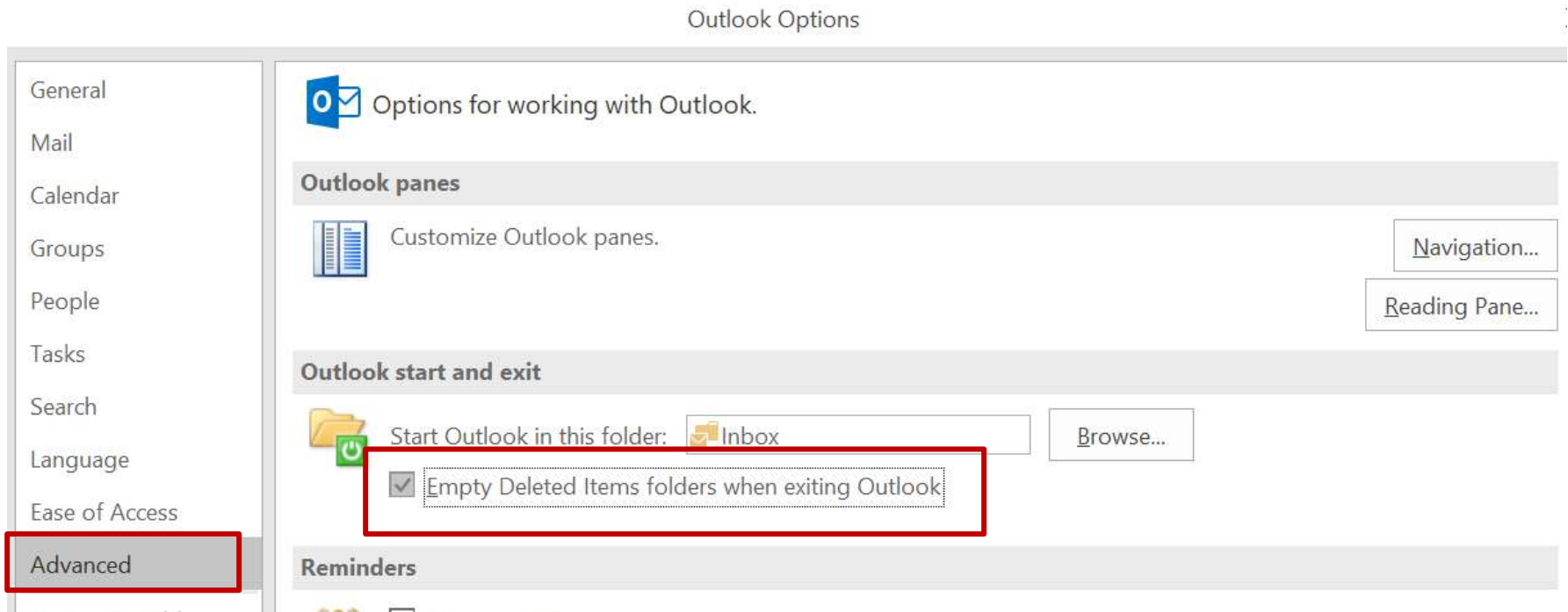
SAVE THE EMAIL OR JUST THE ATTACHMENT?

- Is there substantial content or context in the body of the email?
 - If not, just save attachment
 - If so, save both together
- For what purpose are you receiving the attachment?
 - Copy of an article to read
 - Review and provide edits
 - Use as a template
 - You have an official work responsibility related to the attachment



AUTO-DELETED YOUR DELETED ITEMS FOLDER

- File
- Options
- Advanced
- Check box by Empty deleted items folders when exiting Outlook
- OK





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FILE STRUCTURES & NAMING CONVENTIONS

UNSTRUCTURED STORAGE

Can contain important documents & records

But is intermingled with useless information

- Duplicates
- Non-Records
- Records past retention time

Generally lacks standard naming conventions

Ownership is unclear

Terminated/transferred employees

- Nobody wants to take responsibility for remaining records




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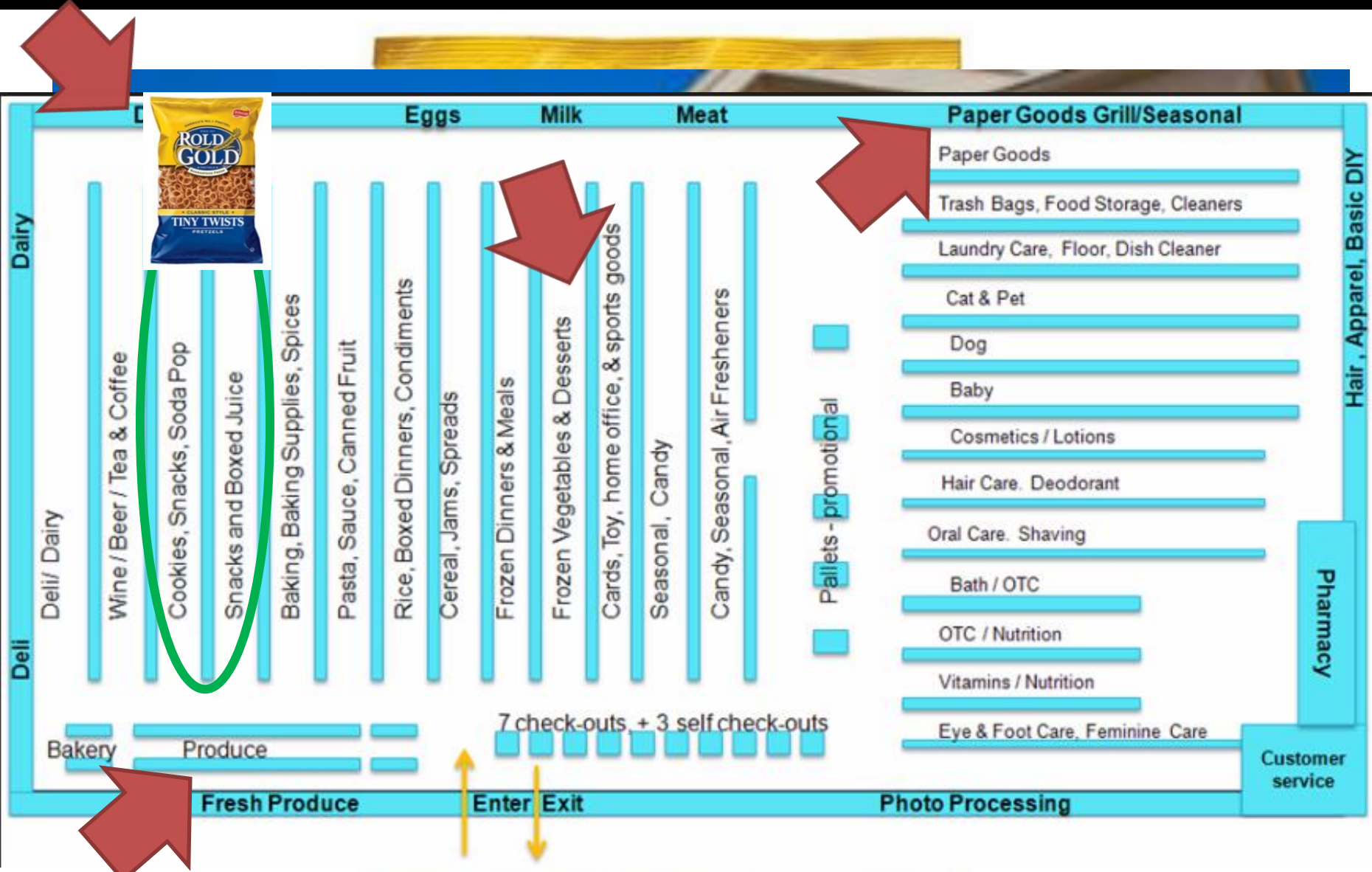
CLEAN UP THE ROT (REDUNDANT, OBSOLETE, TRIVIAL)

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday
<p>April 28</p> <p>This Week: Personal Files</p>	<p>April 29</p> <p>Pictures, Music, Videos</p>	<p>April 30</p> <p>Personnel/Payroll/ Benefit/Tax Documentation downloaded from Workday for personal use or reference</p>	<p>1</p> <p>Personal financial records</p>	<p>2</p> <p>Medical and/or school documentation</p>	<p>3</p> <p>Volunteer files</p>
<p>5</p> <p>This Week: Professional Association Files</p>	<p>6</p> <p>Copies of minutes, manuals, publications</p>	<p>7</p> <p>Working documents and drafts</p>	<p>8</p> <p>Pictures, graphics</p>	<p>9</p> <p>Emails</p>	<p>10</p>
<p>12</p> <p>This Week: Duplicates, Drafts, Versions</p>	<p>13</p> <p>Items you've scanned and saved in order to upload to Workday or system of record (travel documentation, receipts, etc.)</p>	<p>14</p> <p>Copies you've saved to OneDrive in order to share, but the official is saved elsewhere</p>	<p>15</p> <p>Extra copies of correspondence, completed forms bulletins, statistics, etc.</p>	<p>16</p> <p>Ad hoc reports downloaded from databases/infor mation systems for reference</p>	<p>17</p> <p>Downloads that have been saved into a different official system of record</p>
<p>19</p> <p>This Week: Misc. Non- Records</p>	<p>20</p> <p>Flyers and photos from work events</p>	<p>21</p> <p>Professional development: Handouts and audio recordings of trainings, workshops, webinars you've attended</p>	<p>22</p> <p>Work product from pervious jobs</p>	<p>23</p> <p>Personal notes taken during meetings but no longer needed for reference</p>	<p>24</p>
<p>26</p> <p>This Week: Reference Materials</p>	<p>27</p> <p>Whitepapers</p>	<p>28</p> <p>Newsletters</p>	<p>29</p> <p>Catalogs</p>	<p>30</p> <p>Technical reports /studies /bulletins</p>	<p>31</p> <p>Other published reference Materials received from other companies, vendors, organizations, etc. that require no action and are not needed for documentary purposes</p>
<p>June 2</p> <p>This Week: Large Files (Follow Retention Schedules)</p>	<p>June 3</p> <p>Images</p>	<p>June 4</p> <p>Video</p>	<p>June 5</p> <p>PowerPoints</p>	<p>June 6</p> <p>Obsolete datasets</p>	



NOT IDEAL

The image shows a file explorer interface with a hierarchical structure of folders. The 'Finance' folder is expanded to show sub-folders for 'Jane', 'Joe', 'John', and 'Sue'. The 'Jane' folder is circled in red. The 'Joe' folder is circled in red. The 'Purchase Orders', 'Purchase Requests', 'Vouchers', and 'Warrants' folders are circled in green. The 'John' folder is expanded to show sub-folders for 'Checks', 'Finance stuff', 'John's stuff', and 'Misc Finance stuff'. The 'Sue' folder is expanded to show sub-folders for 'Current vouchers', 'Old vouchers', 'POs', 'Things people want us to buy', and 'Warrants'.





FILING EMAIL & E-RECORDS

It is less time consuming in the long-run to file email right away while the content is fresh.

- Easier to create the basic file structure in advance, then drag and drop or save immediately
- Content is organized and accessible, even if you are not present
- Retention/disposition is easier to apply
- **No clicking and rereading each file**

WHY IMPLEMENT FILE STRUCTURE?

Creating a consistent file structure for your department/unit will:

- Reduce time spent looking for records
- Eliminate unnecessary duplication
- Decrease security risk and liability
- Enable you to easily dispose once retention has been met
- Allow for more automated, less manual application of retention in M365

TIPS FOR SHARED FILE STRUCTURES

- Create a single set of folders by record series
 - Everyone needing access uses this same set of folders
- Use subfolders for further organization*
 - Active/Inactive, Open/Closed
 - Year Closed, Calendar Year, Fiscal Year
- Avoid the following folder names:
 - Employee names (unless you are HR)
 - Misc., General, Stuff

*SharePoint is less about the file folders and more about information architecture and metadata.



Folder Structure

- Create clear filing structures on shared drive, Box, etc. that everyone in the unit can access
 - Think about filing for *retrieval* rather than creation
 - Folders are like index fields
- **Incorporate records retention schedules into the folder names**
 - Title of Folder = Title of Record Series (Per retention schedules)
- Subfolders can aid in organization, retention and disposition
 - When retention expires on a folder, right clicking once deletes all contents

Not Unlike Managing Paper Files



Structuring File Shares

▲ Leaves of Absence

2019 5

2020 4

2021 3

2022 2

2023 1

2024 Current year

5-year retention

▲ Advising Files

Active

▲ Inactive

2019 5

2020 4

2021 3

2022 2

2023 1

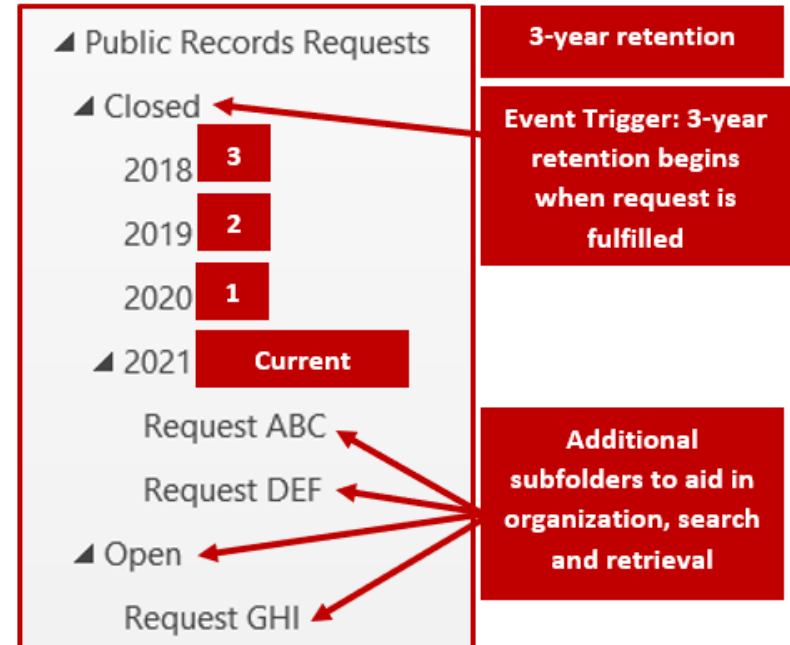
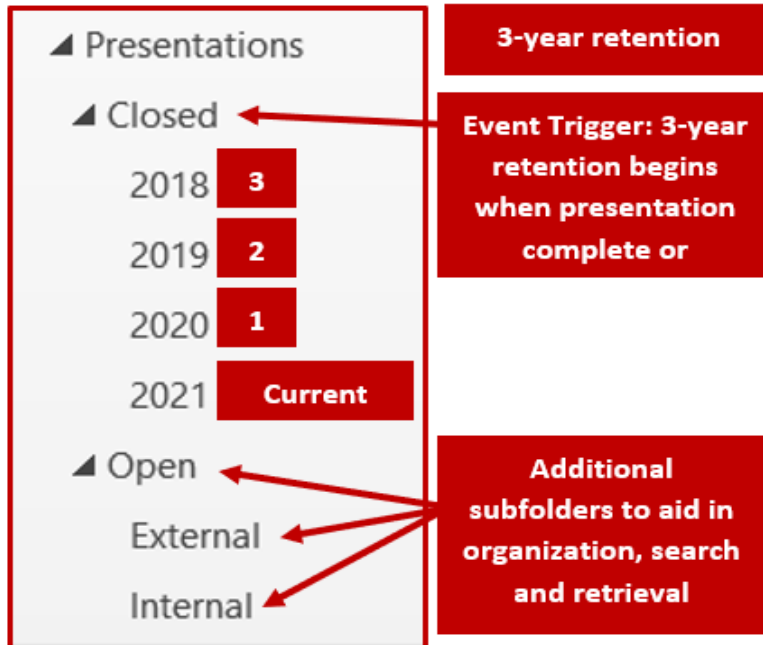
2024 Current year

5-year retention

Event Trigger: 5-year retention begins when student no longer enrolled



Structuring File Shares





WORKING FOLDERS OF PAST EMPLOYEES

If the folders/files are they organized by discernable record series or subject:

- Check your Retention Schedule. If the files have met their retention, complete an RC-3 and upon approval, delete the files.
- If there are official files that have not met their retention or have continuing value to unit operations, move them out of the “employee name” structure and save them in a functional file structure in Teams or the Shared drive.



WORKING FOLDERS OF PAST EMPLOYEES

If there is no discernable order to the folders/files

1. Determine how old the newest file is.
2. Look over the files, what are the main record series that they fall into based on your Retention Schedule?
3. Of those record series, which has the highest retention period?
4. Submit an RC-3 listing all of the main record series that you identified, noting that they are mixed files. For the date range, calculate the inclusive dates of all of the record series based on the highest retention period identified.
5. Once the RC-3 has been approved, delete the files that have met the highest retention period.
6. If there are official files that have not met their retention or have continuing value to unit operations, move them out of the “employee name” structure and save them in a functional file structure in Teams or the Shared drive.

Example

1. Files range from 4/13/2010-6/30/2020
2. Appears to contain periodic reports (1 year), presentations (Act+3), Local Travel Documentation (2 months), Unit Procedures (superseded)
3. Presentations have highest retention at Act + 3
 1. Assuming this is a past employee, at a minimum the active period expired when they left.
4. RC-3 – all end dates are 6/30/2017

RECORDS SERIES/TYPE	INCLUSION DATES (MM/DD/YYYY)	
Presentations, Trainings, & Workshops	4/13/2010	6/30/2017
Periodic Reports	4/13/2010	6/30/2017
Travel Documentation, local	4/13/2010	6/30/2017

5. Delete once RC-3 is approved
6. If the Unit Procedures are still current and the official version, move to a folder for Unit Procedures that everyone has access to.

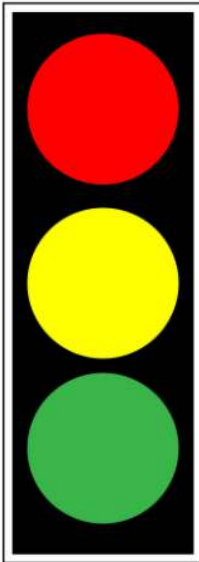
NAMING CONVENTIONS

FILE NAME FACE-OFF





NAMING DOCUMENTS – WHAT’S IN A NAME

- **What** is it?
 - Type of document (*not* file type, ex. *not* Doc, PPT, PDF, JPG)
 - **Who/what** does it represent?
 - Group
 - Unit
 - Person
 - Case/Project
 - **When?**
 - Date of meeting
- 
- | | | |
|--------------------------------------|-----------------------------|--------|
| | Minutes.docx | |
| | Minutes_Exec_Committee.docx | |
| Minutes_Exec_Committee_20191021.docx | | |
| [What] | [Who] | [When] |

A file name should be clear and concise, yet include sufficient description for the file to stand on its own, independent of where it is stored.






Records Management > CRD > Approved Certificates of Records Destruction > 13 University Hospitals > JamesCare for Life > 2020





 University_Hospitals_JamesCare_20200417.pdf

EXAMPLE

Records Management's naming convention for the Certificate of Records Destruction

- *CRD-Unit-Subunit-YYYYMMDD*
 - Every word should be capitalized
 - Use a dash between every word
 - The date is when the CRD was submitted to Records Management, not the approval date

 CRD-University-Hospitals-Radiology-20200318.pdf
 CRD-University-Hospitals-Radiology-20200507.pdf
 CRD-University-Hospitals-Radiology-20200624.pdf
 CRD-University-Hospitals-Radiology-20200626.pdf
 CRD-University-Hospitals-Radiology-20200813.pdf

 CRD-University-Hospital-James-Pharmacy-20200617.pdf
 CRD-University-Hospital-James-Pharmacy-20200717.pdf
 CRD-University-Hospital-Pharmacy-20200617.pdf
 CRD-University-Hospital-Pharmacy-20200717.pdf

 CRD-Student-Life-Human-Resources-20200228.pdf

Records Management File Naming Guide

Certificates of Records Disposal (CRD)

- *CRD-Unit-Subunit-YYYYMMDD*
 - Date = Date submitted
 - CRD-University-Hospital-Pharmacy-20200717

Retention Schedules

- *RRS-Unit-Subunit-(RG#)-YYYY*
 - RRS = Record Retention Schedule
 - Year = Year approved
 - RRS-Human-Resources-Benefits-Administration-(6.c-2)-2020
- *RRS-Unit-Subunit-(RG#)-YYYYMMDD-(draft)*
- *RRSS-Unit-Subunit-(RG#)-YYYY-(retired-YYYYMMDD)*

Internal Procedures

- *Procedure-Topic-YYYYMMDD*
 - Procedure-Certificate-Of-Records-Destruction-Review-YYYYMMDD
- *Procedure-Topic-YYYYMMDD-(Superseded-YYYYMMDD)*

DAT3/Records Inventory Spreadsheets

- *Inventory-Unit-Subunit-YYYYMMDD*
 - Inventory-OSUL-Bibliographic-Initiatives-20200608

Presentations

- *Presentation-Title-(Group)-YYYYMMDD*
 - Date = date created
 - Save a new presentation if revised or for a different group
 - Use same name if converting slides to PDF so that the names only differ by the file extension (.PPTX and .PDF)
 - Presentation-Blockchain-(AIIM Canada)-20200930

Projects

- *Project Name-Document Type-Descriptors-YYYYMMDD*

Templates

- *Template-Title-YYYYMMDD*
 - Template-Certificate-Of-Records-Destruction-20191002
- *Template-Title-YYYYMMDD-(superseded)*
 - Template-Certificate-Of-Records-Destruction-20170418-(superseded)

Reference Articles and Resources

- *Article-Title-YYYYDDMM*
 - Title can be shortened to key terms



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RECORDED CONTENT



RECORDS PRODUCED

Recording

Chat logs
(including Teams
channel chats)

Q&A

Uploaded
documents

Transcripts

AI generated
content



RECORDED CONTENT

Just because we have the ability to record, doesn't always mean that we should record.

- What is the reason/need for recording?
- Let attendees know
 - It is being recorded and who will have access
 - Demeanor
 - Could their background contain confidential information?
 - Could be a public record, discoverable in litigation, or asked for during investigations
- Take up a lot of storage space
 - IT may have pre-set retention in Zoom, Teams, WebEx, etc. which may be in conflict with your retention schedule
 - Where will you retain?



RETENTION OF RECORDED CONTENT

- Based on the content of the recording
 - Public Meeting
 - Interview
 - Training/Workshop/Presentation
- Purpose of recording can play a role
 - Statutorily required (rare)
 - Minutes transcribed from meeting
 - Could be personal notes
 - Documents posted during meeting may have longer retention than recording
 - Training



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MICROSOFT

THINGS TO THINK ABOUT

For the moment,
retention and
disposition is
probably manual

Create a Team or
Channel w/in a
Team

- Folder structures or information architecture therein
- Sync's to SharePoint

Single/One-Off
Project or
ongoing Group

Use Teams or
OneDrive

- Teams = Collaboration
- OneDrive = Individual/Non-Record

Who needs
access? Now?
Future?

TEAMS NAMING CONVENTIONS

- Locate teams more efficiently
- Reduce redundancy
- Have a sense of what files will be in the team
- Better adhere to retention and disposition requirements



MICROSOFT LICENSES AND RETENTION FEATURES

Feature	M365				O365				Other
	E5	E3	F3	F1	E5	E3	E1	F3	
									M365 Business Premium
Apply non-record retention labels manually	✓	✓	✓	✓	✓	✓	✓	✓	✓
Apply default retention labels to M365 locations	✓				✓				
Apply basic retention policies to the entire organization	✓	✓			✓	✓			✓
Apply retention policies automatically based on conditions (auto-apply policies)	✓				✓				
Apply retention based on Machine learning (trainable classifiers)	✓								
Apply retention policies manually based on an events	✓				✓				
Retention labels disposition reviews	✓				✓				
Records Management (record labels, file plan managers, records versioning)	✓				✓				
Classify Data Automatically (Sensitivity Labels)	✓				✓				



Ask your IT what Microsoft license you have
and which license IT has.



TERMINOLOGY

Retention Policy

Published to a **location**
(Sharepoint, Teams, Exchange,
etc.)

End-user isn't aware

Calculates only on create date
or last modified date (no
triggers)

Retention Label

Applied to folders, documents,
emails

End-user can see and apply

Calculates on create date, last
modified date, or event date



FUTURE AUTOMATED RETENTION/DISPOSITION

Name	Modified	Modified By	Retention label	Retention label Applied	Label applie...
Periodic Re...	January 19, ...	Swift.102a, Pari (Ad...	Periodic Reports	3/23/2022, 9:55:21 AM	Swift.102a, Pari (Admin)
Presentations	January 19, ...	Swift.102a, Pari (Ad...	Presentations Training and Workshop Files	3/23/2022, 9:53:21 AM	Swift.102a, Pari (Admin)

Presentations, Training and Workshop Files

Materials and information developed, or used to develop, internal and external presentations, trainings and workshops. Can include, but is not limited to: presentation, handouts, reference materials, logistical arrangements, copies of agreements and payment information, evaluations, promotion, registration, or attendance documentation.

ACT+3

Destroy

Active = while training is being offered; until event complete; or until revised, superseded, or obsolete
 Certain types of training, such as HIPAA, hazardous materials, etc. may require longer retention



FUTURE AUTOMATED RETENTION/DISPOSITION

Documents > General > Presentations

Name	Modified	Modified By	Retention label	Retention label Applied	Label applie...
2019	January 19, ...	Swift.102a, Pari (Ad...	Presentations Training and Workshop Files	3/23/2022, 9:53:21 AM	Swift.102a, Pari (Admin)
2020	January 19, ...	Swift.102a, Pari (Ad...	Roster - Class	2/23/2022, 2:47:35 PM	Swift.102a, Pari (Admin)
2021	January 19, ...	Swift.102a, Pari (Ad...	Presentations Training and Workshop Files	3/23/2022, 9:53:21 AM	Swift.102a, Pari (Admin)
2022	January 19, ...	Swift.102a, Pari (Ad...	Presentations Training and Workshop Files	3/23/2022, 9:53:21 AM	Swift.102a, Pari (Admin)



FUTURE AUTOMATED RETENTION/DISPOSITION

Search this library

Test Team

+ New Edit in grid view Share Copy link Download Go to channel

Documents > General

Name	Modified	Modified By	Retention
Periodic R...	January 19, 2022	Swift.102a, Pari (Admin)	Periodic Rep
Presentations	January 19, 2022	Swift.102a, Pari (Admin)	Presentation and Worksh
2020-21_Step_Three (Swift).d...	January 19, 2022	Swift.102a, Pari (Admin)	Camp Regis Forms
Annual-Report-Records-Man...	January 19, 2022	Swift.102a, Pari (Admin)	Camp Regis Forms
Executive Committee-Agend...	January 19, 2022	Swift.102a, Pari (Admin)	Camp Regis Forms

- Journals - Cash *Delete after 4 years*
- Journals and Ledgers - Annual *Delete after 6 years*
- Learning Support Consultation Form *Delete after 1 year*
- Leave Forms - Sick and Vacation *Delete after 1 year*
- Leaves of Absence *Delete after 5 years*
- Leaves of Absence - FMLA *Delete after 3 years*
- Minors - Minor Participants Policy *Delete after 3 years*
- P-Card Documentation *Delete after 4 years*
- P-Card Documentation (copies) *Delete after 2 months*
- Periodic Reports *Delete after 1 year*
- Presentations Training and Workshop *Delete after 3 years*
- Public Records Request Files *Delete after 3 years*
- Research Projects Rejected *Delete after 1 year*
- Research Projects Rejected or Declined *Delete after 1 year*
- Roster - Class *Delete after 1 year*
- Sales Tax Records - Monthly *Delete after 4 years*
- Scholarships Administered by College

group Not following 1 member

All Documents

Periodic Reports

Has access

Manage access

Properties

Name * Periodic Reports

Apply label

Periodic Reports



THE OHIO STATE UNIVERSITY

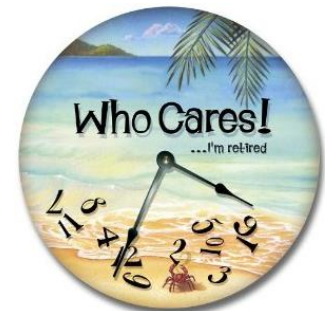
FINAL NOTES



WHEN AN EMPLOYEE LEAVES

Records (including email & other electronic records) retain their “record” status

- Be sure that turnover of records is part of employee/official separation procedures
- If organized functionally it will be:
 - Searchable and retrievable
 - Easier for those who need it to find it
 - Easier to implement retention and disposition
- Supervisor should:
 - Request access to the employee’s email account, shared drive, Teams, OneDrive, etc.



(The rest of us still care!)



PRESERVATION HOLDS

Know which employees are under litigation hold.

- With the employee (if not already known) document
 - Which records are on hold
 - Where records are located
 - Personal areas (OneDrive, locked folder, personal cell phone, personal social media, etc.)
- If an employee is under multiple, know each hold.
- Know what can be disposed of from that employee, but do not dispose until hold(s) lifted.
 - Complete RC-3 while person with institutional knowledge is still here, but do not submit.
 - When hold is released, submit RC-3 to OHC for approval, then implement disposition




WHY CAN'T WE JUST KEEP ALL EMAIL & E-RECORDS?

Increases

- 
- Storage space
 - Costs
 - Retrieval time
 - Public records requests
 - Cost of e-discovery production and preservation
 - Liability
 - Privacy & Security

Decreases

- 
- Ability to quickly locate
 - Defensibility
 - Compliance

There is a line between business value and over preservation – retention schedules define that line upfront



RECORDS MANAGEMENT TIP SHEETS

- Database Records – Retention and Disposition
- **M365 Storage Matrix**
- Recorded Content Retention and Guidelines
- **Microsoft Teams Naming Convention Guidelines**
- Buckeye Box Migration
- **File Naming Conventions**
- Transient & Non-Records
- **Guidelines for Email Management**
- File Naming Guidelines
- **File Organization Best Practices**
- Practical Tips for Instituting a Preservation Notice
- **Email Clean-up Challenges**
- Document Version Control Guidelines
- **S3 & S4 Secure Data Destruction Requirements**
- Student Employee Email Accounts
- **Security Risk Assessments**

<https://library.osu.edu/osu-records-management/guidance>



EXISTING OHIOERC GUIDANCE

Guidelines

- Electronic Records Management
- Legal Obligations
- RIM Role in E-Discovery
- Cloud Computing
- Databases as Public Record
- Digital Document Imaging
- Managing Email
- Hybrid Microfilming
- Social Media
- Scanning Feasibility
- **Blockchain Basics**
- **Blockchain v Database**
- **Blockchain Project Questions for RIM**

Tip Sheets

- **Online Conference Platforms Text Messaging**
- **Document Management Systems vs. Digital Preservation Systems**
- Email Management for Users
- Email Management for IT
- Records Manager's Role in E-Discovery
- Unique Characteristics of Electronic Records
- Case for Managing Electronic Records
- Cloud Computing
- Document Imaging
- Social Media Use
- Public vs. Private Media Tools
- Who Should be at the Table

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