



***LOCAL GOVERNMENT RECORDS: RETENTION,
DISPOSITION, AND ELECTRONIC RECORDS
CONSIDERATIONS***

OHIO ASSOCIATION OF PUBLIC TREASURERS

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AGENDA

- Importance of Records Management
- Records Inventory and Analysis
- RC-1, RC-2, RC-3 Forms
- Email & Electronic Messages
- File Naming & Organization
- Electronic Record-keeping Systems
- Resources

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No RECORDS MANAGEMENT?



25%

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No RECORDS MANAGEMENT?

Every 12 seconds
1 document
is lost.



28,800 seconds (8 hour day)/12

=2400 documents lost each day

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No RECORDS MANAGEMENT?


Computer users spend 7.5% of their time on a computer looking for files.

260 work days/year
2080 work hours/year
x 0.075
= 156 hours/year
= 19.5 days/year

Time spent looking for files.

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PURPOSE OF RECORDS MANAGEMENT

Ensure that records are available when needed

- Internally for office functions
- Public records requests
- Discovery

Protect records from improper or unauthorized destruction


Ensure that records are not retained unnecessarily

- Destroy records when retention period has expired

Retaining records too long can be as much of a liability as not retaining them for long enough.

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BENEFITS OF RECORDS MANAGEMENT

Transparency in Government

Decrease Risk in Litigation

Increased Efficiency

Save Resources

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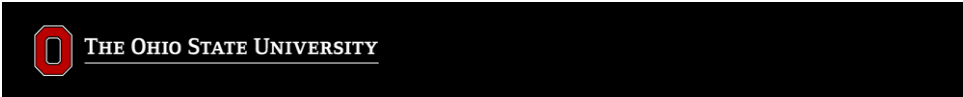
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MITIGATING RISK



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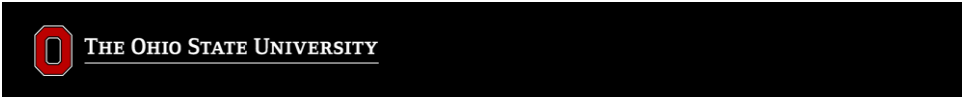


GOAL OF A RECORDS MANAGEMENT PROGRAM

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

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DOCUMENTS FOR COMPLIANCE

- Retention Schedules (RC-2)**
- Lists record series and how long to keep
 - Compliance – It’s the Law!
 - Provides for ongoing records disposal
 - Prevents build-up of unnecessary record
 - Saving space
 - Improving efficiency
 - Legal Asset
 - Negotiate public records requests
 - List of records kept by office
 - Create schedule for someone who has no knowledge of the records

- Records Disposal Documentation (RC-3)**
- Administrative
 - Your unit knows whether the records still exist or not
 - Legal
 - Proof that you complied with retention schedules
 - Shows the authority by which records were disposed
 - Shows the appropriate amount of time had passed prior to disposition
 - E-Discovery
 - Demonstrates consistent business practice

- Additional Documentation**

 - Records Management policy
 - Incorporation of records management in other policies
 - Litigation hold policies
 - Written procedures

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ESTABLISHING INTELLECTUAL CONTROL

(KNOWING WHAT YOU HAVE AND WHERE IT IS STORED.)

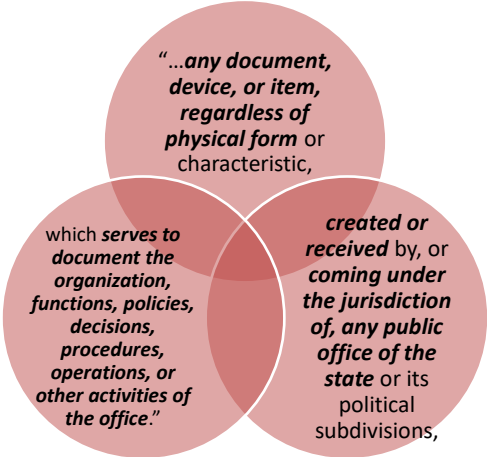
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WHAT IS A RECORD (ORC 149.011G)




“...any document, device, or item, regardless of physical form or characteristic,

which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.”


created or received by, or coming under the jurisdiction of, any public office of the state or its political subdivisions,

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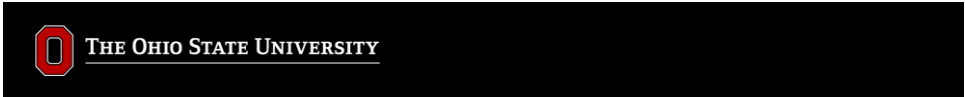
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ACTIVITY – WHERE ARE THE RECORDS?

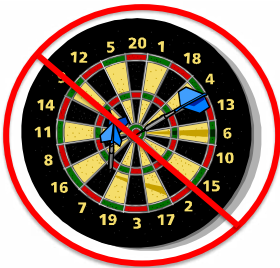
Hardcopy	Electronic	Other Media
<ul style="list-style-type: none">• Paper• Bound	<ul style="list-style-type: none">• Storage Media• Systems	<ul style="list-style-type: none">• Film• Cassettes• Blueprints

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Conducting a Records Analysis



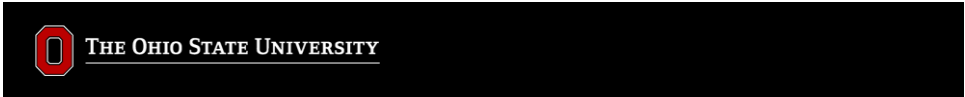
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*All records,
public or not, are
subject to
records
management
and retention
laws.*

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RETENTION SCHEDULES

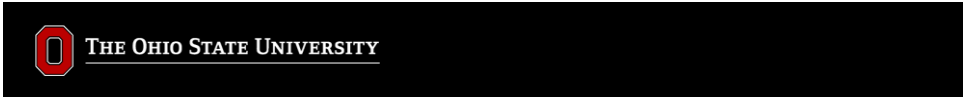
Include information for each series that:

- Describes the *purpose* and/or *function* (use)
- Tells what *types of information* can be found in the series

Create the retention schedule for someone who has no knowledge of the records.

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DETERMINING RETENTION PERIODS

Administrative Value

- Used by office or agency to carry out its duties
- Based on how often or for how long a record is used
- Would the program be in jeopardy upon the disposal of the record
- *Examples: phone records, meeting agendas, annual reports*

Consult Office of Origin

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DETERMINING RETENTION PERIODS

Fiscal Value

- Pertains to the receipt, transfer, payment, adjustment, or encumbrances of funds
- Required for audit
- *Examples: canceled checks, purchase orders, budget reports, voucher books*

Contact: Auditor, Treasurer

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Sample Questions

- Does this records series control or document the generation, expenditure, or movement of public funds?
- **How long are these records needed to administer the funds?**
- What are the audit requirements of the funding authority?
- **Are there any regulations covering retention of audited records?**
- How long must this records series be kept to meet all fiscal and audit requirements?



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DETERMINING RETENTION PERIODS


Legal Value

- Documents or protects rights or obligations of citizens or of the agency that created it
- Retain until legal rights and obligations expire
- *Examples: contracts, opinions, case files, deeds, birth/death/marriage certificates*

Contact: Prosecutor/Legal Counsel

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Sample Questions

- Does this records series prove the state agency's claim to property?
- *Is this records series necessary for the state to prosecute or defend against an action?*
- Is this records series necessary to protect the rights of citizens?
- *Are these records of state licenses or regulations? How long are these licenses or regulations valid?*
- Are there federal or state regulations mandating a minimum retention period for this records series?
- *How long must this series be kept to meet all legal retention requirements?*
 - *How long is this series necessary to protect or defend agency or client rights?*
- Be sure not to equate “case file” with “research file”
 - Knowing that a case file may become valuable reference material in the future should not affect the retention period for a series’ *legal* value

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DETERMINING RETENTION PERIODS


Historical value

- Documents an agencies' organization, policies, decisions, procedures, operations, and other activities
- Contains significant information about people, places, or events
 - Secondary value: source of information for persons other than the creator
- *Examples: Photographs, maps, court records, tax records, speeches, deeds, minutes*

Contact: OHC State Archives/LGRP

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DETERMINING RETENTION PERIODS

Retention periods are determined and expressed in three ways

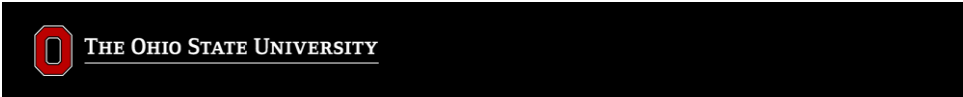
- Time
- Event
- Time and Event or Action



Set retention period to the longest value

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STORAGE MEDIA  RECORD SERIES

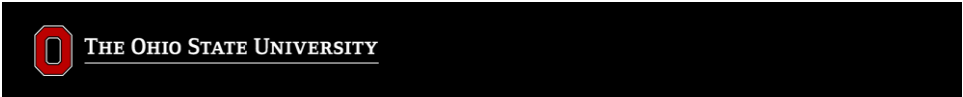
STORAGE MEDIA  RETENTION PERIOD

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

In fact, the determined retention period may ultimately play a role in determining the best storage media for a particular record series

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RC-1, RC-2, RC-3 FORMS AND PROCESSES

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REMOVAL OF PUBLIC RECORDS

All records are the property of the public office concerned and shall not be removed, destroyed, mutilated, transferred, or otherwise damaged or disposed of, in whole or in part, except as provided by law or under the rules adopted by the records commission.

---ORC 149.351

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RECORDS COMMISSIONS

Township 149.42 ORC

- Chair of Township Trustees
- Township **Fiscal Officer**
- Meets at least once every 12 months

Special Taxing Districts 149.412 ORC

- Chairperson of governing board
- Fiscal representative**
- Legal representative
- Others if appropriate
- Meet at least once every 12 months

School District/ESC

- President of Board of Education
- Treasurer** of Board of Education
- Superintendent
- Meet at least once every 12 months

Municipal 149.39 ORC

- Chief Executive (*or appointed representative*) as chairman
- Chief Fiscal Officer**
- Chief Legal Officer
- Citizen* (appointed by the chairman)
- Meet at least once every 6 months
- Can hire an archivist or records manager
- Shall appoint a secretary who may or may not be a member of the commission

County 149.38


- Member of County Commissioners as chair
- Prosecuting attorney
- Auditor**
- Recorder
- Clerk of Courts
- Meet at least once every 6 months
- Can hire an archivist or records manager
- Shall appoint a secretary who may or may not be a member of the commission

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RECORDS COMMISSION RESPONSIBILITIES


- ORC 149.381
- Provides rules for retention and disposition of records
- Reviews and approves:
 - Retention Schedules (RC-2)
 - Applications for One-Time Disposals (RC-1)
- Meetings as prescribe or upon call
 - Open to public
 - Notice must be given
 - Detailed minutes kept

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Ohio History Connection
State Archives of Ohio
Local Government Records Program
800 E. 17th Avenue
Columbus, OH 43211-2474

Page _____ of _____


RECORDS RETENTION SCHEDULE (RC-2)- Part 1

See instructions before completing this form. Must be submitted with PART 2.



Section A: Local Government Unit

(local government entity)	(unit)		
(signature of responsible official)	(name)	(title)	(date)




Section B: Records Commission

Records Commission		(telephone number)	
(address)	(city)	(zip code)	(county)

To have this form returned to the Records Commission electronically, include an email address: _____


I hereby certify that our records commission met in an open meeting, as required by Section 121.22 ORC, and approved the schedules listed on this form and any continuation sheets. I further certify that our commission will make every effort to prevent these records series from being destroyed, transferred, or otherwise disposed of in violation of these schedules and that no record will be knowingly disposed of which pertains to any pending legal case, claim, action or request. This action is reflected in the minutes kept by this commission.

Records Commission Chair Signature	Date
------------------------------------	------



Section C: Ohio History Connection - State Archives

Signature	Title	Date
-----------	-------	------



Section D: Auditor of State

Signature	Title	Date
-----------	-------	------


Please Note: The State Archives retains RC-2 forms permanently. It is strongly recommended that the Records Commission retain a permanent copy of this form.

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SAC-JLGRB- RC-2 (Part 1 & 2), Revised August 2014

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Page ____ of ____

Section E: RECORDS RETENTION SCHEDULE (RC-2) - Part 2

See instructions before completing this form.

(local government entity)

(unit)

(1) Schedule Number	(2) Record Title and Description	(3) Retention Period	(4) Media Type	(5) For use by Auditor of State or LGRP	(6) RC-3 Required by LGRP
Schedule #	Title & Description	RETENTION PERIOD	Media Type		<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>

Boxes checked by OHC

University

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SAO-VLGRP- RC-2 (Part 1 & 2), Revised August 2014

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Page 2 of 3

Section E: RECORDS RETENTION SCHEDULE (RC-2) - Part 2

See instructions before completing this form.

Ohio Village, Village of
(local government entity)

General Records/Village Wide
(unit)

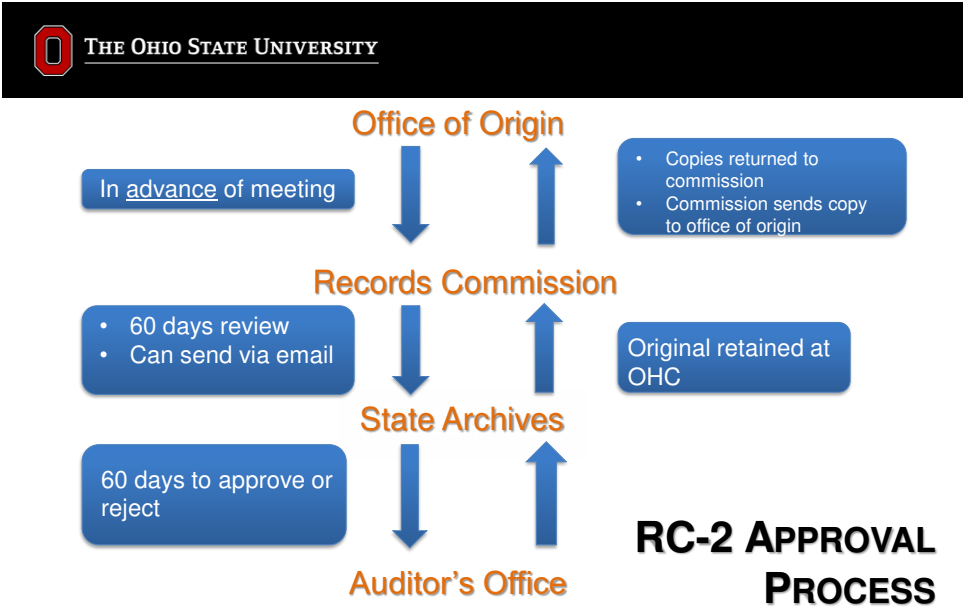
Please Note: The State Archives retains RC-2 forms permanently. It is strongly recommended that the Records Commission retain a permanent copy of this form.

(1) Schedule Number	(2) Record Title and Description	(3) Retention Period	(4) Media Type	(5) For use by Auditor of State or LGRP	(6) RC-3 Required by LGRP
Gen-001	Agendas Records documenting items to be discussed during a meeting	1 year	Paper/ Electronic		<input type="checkbox"/>
Gen-002	Awards Certificates and awards given to municipal departments, divisions, and/or officials	Until no longer of administrative value	Paper/ Electronic		<input type="checkbox"/>
Gen-003	Bids (Successful) Records documenting the publicizing, hearing and awarding of quoted bids to vendors for services and/or merchandise, including request for proposal, invitation to bid, requests for qualifications and statement of qualifications	8 years after expiration of contract (ORC 2305.06)	Paper		<input type="checkbox"/>
Gen-004	Bids (Unsuccessful) Records documenting the publicizing and hearing of quoted bids to vendors for services and/or merchandise not selected, including request for proposal, invitation to bid, requests for qualifications and statement of qualifications	2 years	Paper		<input type="checkbox"/>
Gen-005	Blank Forms Unused forms that are either obsolete and/or superseded	Until obsolete or superseded	Paper/ Electronic		<input type="checkbox"/>
Gen-006	Bulletins, Posters, Notices and Displays Announcements and informational notices related to municipal functions	Until no longer of administrative value	Paper		<input type="checkbox"/>
Gen-007	Calendar (Desk/Appointment) Calendars used to track meetings and events in conjunction with job functions	Until no longer of administrative value	Paper/ Electronic		<input type="checkbox"/>
Gen-008	Contracts & Agreements Legal agreements with individuals, organization or entities to procure goods and/or services	8 years after expiration (ORC 2305.06)	Paper		<input type="checkbox"/>

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OBsolete Records (RC-1)

- Used for:
 - Record series no longer created or maintained
 - Series not on retention schedule
- These records should be listed on an Application for One-Time Records Disposal of Obsolete Records (RC-1)
- Same approval process as the RC-2

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ONE-TIME DISPOSAL OF OBSOLETE RECORDS (RC-1) – Part 2

See instructions before completing this form. Must be submitted with PART 1

Section E: Table of Records to be Disposed

Ohio Village, Village of

Council

(local government entity)

(unit)

(1) Schedule Number	(2) Record Title and Description (Inclusive Dates)	(3) Media Type to be disposed	(4) Media Type to be retained	(5) For use by LGRP or Auditor of State
16-01	Jan 1972-Dec 1980 Mayor's Court Correspondence (Mayor's Court no longer in existence), 1 box	Paper	Microfilm	
16-02	Jan 1942- Aug 1945 Civilian War Assistance Records, 2 folders	N/A	Proposed for transfer to Ohio Village Historical Society pending review	

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- RC-2 (Retention Schedule)

– Mandatory

• ORC 149.43(B)(2)

– Ongoing disposal

– NO Dates, instead retention period

– One RC-2 to many RC-3s
- RC-1 (One-Time)

– Optional, only if needed

• If records are NOT on RC-2

– Only good for 1 disposal of the specific records listed

– Must include DATES

– No RC-3 needed

The one similarity...the approval process.

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SAO/LGRP-RC3 (Part 1 & 2), Revised August 2014

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CERTIFICATE OF RECORDS DISPOSAL (RC-3) – Part 2
See instructions before completing this form. Must be submitted with Part 1








Page ____ of ____

Ohio Village, Village of

Human Resources

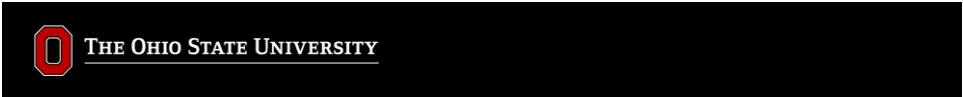
(political subdivision name)

(unit)

(1) Records Series Title	(2) Authorization for Disposal		(3) Media Type To be destroyed	(4) Media Type To be retained (if any)	(5) Inclusive Dates of Records		(6) Proposed date of destruction <small>(15 business days from receipt by LGRP)</small>	(7) For LGRP use
	Schedule Number	Date the RC-2 was approved by the Records Commission			From	To		
Applications for employment (not hired)	HR-11 	7/28/2008 	Paper	N/A	1/1/2013-	12/31/2013	5/18/2016	
Worker's Compensation Case Files	HR-28	7/28/2008	Paper 	Electronic 	1/1/2012-	12/31/2012	5/18/2016	
Employee Time Cards	HR-14	7/28/2008	Paper	N/A	1/1/2012-	12/31/2012 	5/18/2016 	
Employee Manual	HR-34	7/28/2008	None	Paper	1951		Proposed transfer to Ohio Village Historical Society pending review	

SAO/LGRP-RC3 (Part 1 & 2), Revised August 2014

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CERTIFICATE OF RECORDS DISPOSAL (RC-3)

- Submit original to Records Commission, which will submit it to OHC.
 - Keep copy in your department files
 - Can now be submitted via email provided OHS can add electronic dates and comments
- If there are records OHC wants to select for archival storage, they will contact you prior to the proposed date of disposal
- If there are not records OHC wants to select, you will not be contacted or receive a copy of the form back

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HB 153 CHANGES AFTER 9/29/2011

- RC-2s prior to 9/29/2011 – RC-3s must be submitted before any disposal
- RC-2s approved AFTER 9/29/2011 – RC-3s only required for series indicated by State Archives on RC-2
 - Be descriptive of the record series on new RC-2s!
 - Records Commission should keep record of ALL record disposals as a legal asset
- **RC-3 required for ALL records over 50 years old**
- RC-3s not required for records on RC-1

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DOCUMENTING DISPOSITION WITHOUT RC-3

Even if OHC does not want to see an RC-3 for certain record series, it is important to document disposition locally.

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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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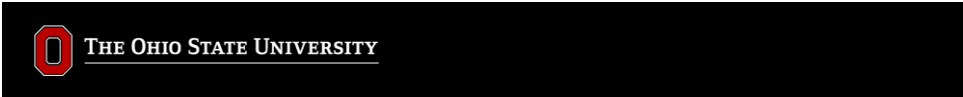
RECORD DISPOSALS

- Not just when you *have* to
- Dispose at regular intervals



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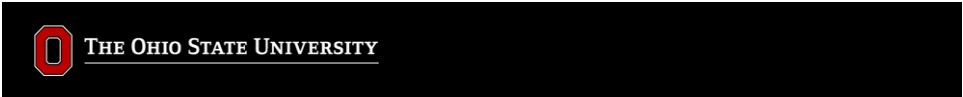


DISPOSITION OPTIONS

- Recycle
 - Shred
 - Incinerate
 - Transfer to State Archives
-
- Keep in mind the contents of the records when selecting an option.
 - Confidential Personal Information (CPI), Personally Identifiable Information (PII), Personal Health Information (PHI) and other laws dictate the security measures for records while active and awaiting disposition.

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IMPORTANCE OF DOCUMENTING DISPOSITION

- **Administrative**
 - Your unit knows whether the records still exist or not
- **Legal**
 - Proof that OSU complied with retention schedules
 - Shows the authority by which records were disposed
 - Shows the appropriate amount of time had passed prior to disposition
 - E-Discovery
 - Demonstrates consistent business practice

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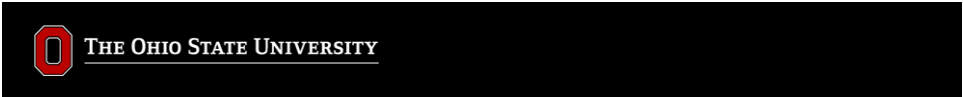
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For More Information:

Ohio History Connection – State Archives
614-297-2553
localrecs@ohiohistory.org
www.ohiohistory.org/lgr

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What record series can come out of an envelope?




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What record series can come out of an email?



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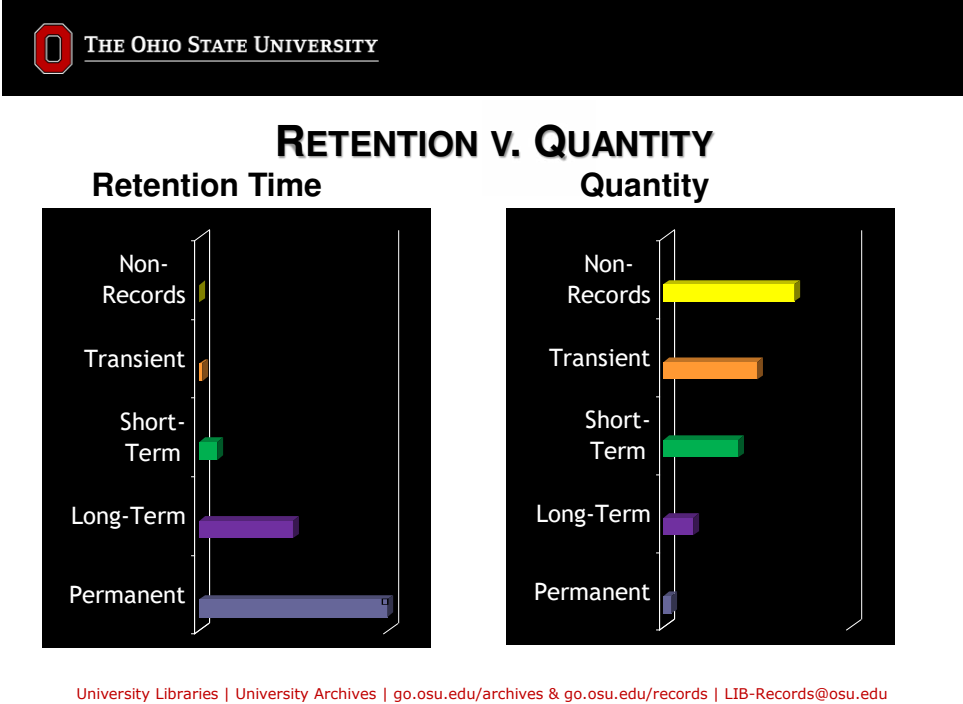
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Here to There

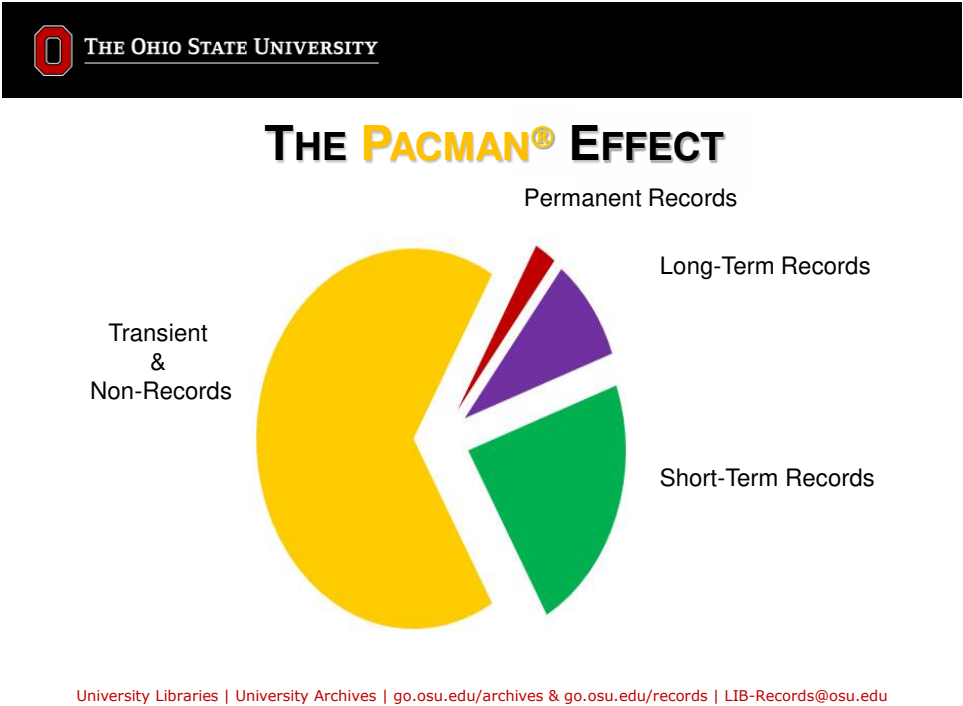
- Save it all “just in case”
 - Ownership “my email”
 - Lost productivity searching for information
- Defensible deletion with retention schedules
 - Reduced impact of staff changes
 - Reduced information retrieval time

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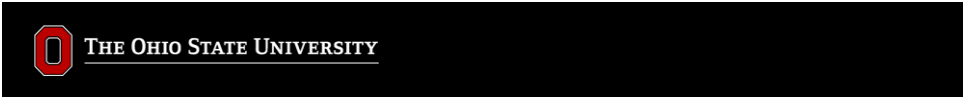
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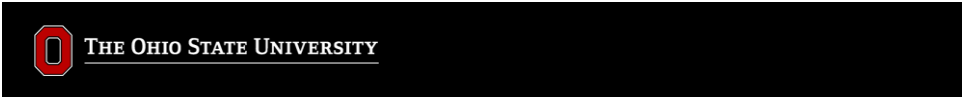


TRANSIENT RECORDS

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

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Can Texts and IMs be records too?

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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

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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

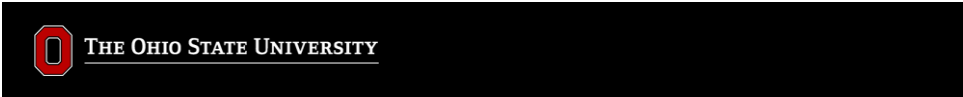
Retaining messages beyond stated retention would require more time and resources to locate and compile under public records and/or discovery requests

Inadvertent information exposure

Potential violation of Open Meetings Law

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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?

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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.

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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

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EXAMPLES OF TRANSIENT & NON-RECORD EMAILS

SPAM/Unsolicited email	Personal (non-record)	Distributed (not by you) to multiple people for administrative purposes	Listservs	Transient
Ads, news articles, non-work related mail	Ready for lunch Pick up milk Late meeting, can you get kids? Not related to job	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)	Newsletters/Bulletins Discussion boards Other professional communities for information sharing	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

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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?
- If it were in paper form, would it be retained?

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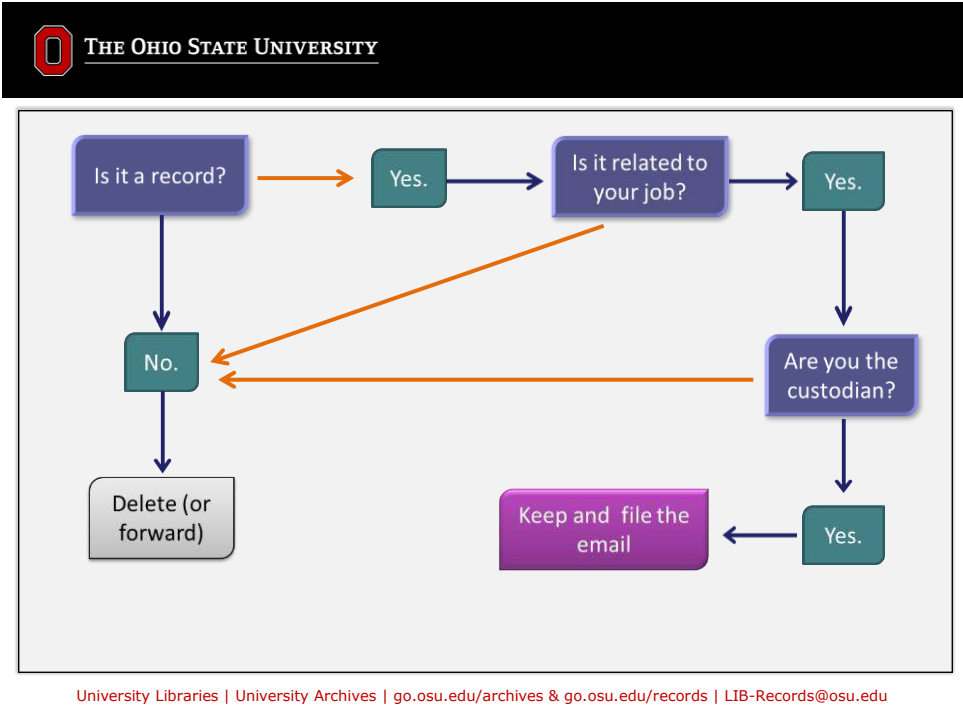
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IDENTIFYING THE OFFICIAL COPY

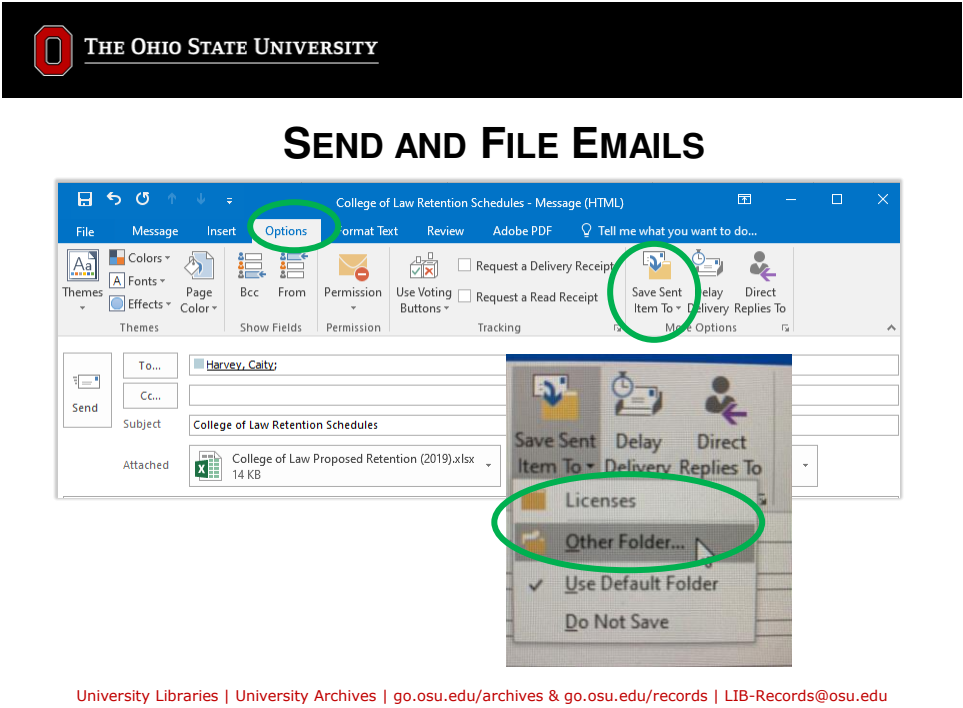
- Custodian: Person who has official copy to be maintained for duration of retention period
- Sender typically has the official copy
 - Filing your “sent” messages is important!
- Recipient can have official copy if:
 - Email received from external source
 - Needed to take action based on message
 -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

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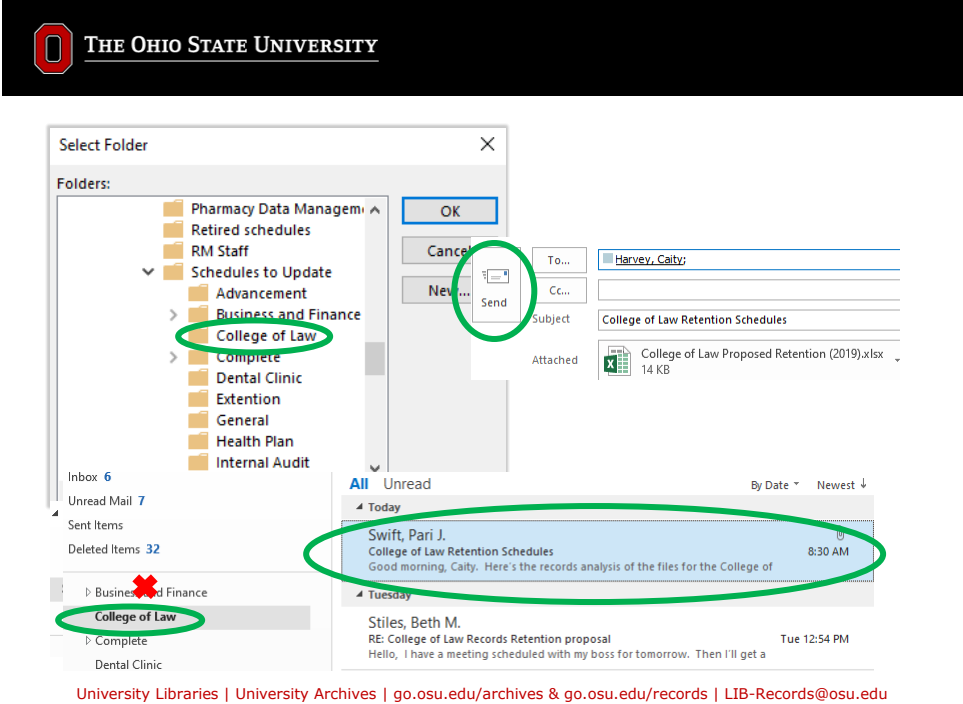
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EMAIL THREADS

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

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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

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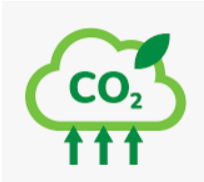
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BENEFITS OF USING LINKS

- Fewer duplicates are saved
 - Easier clean-up later
 - Less to review for public records or litigation
- Smaller emails & fewer duplicates on servers = smaller carbon footprint




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EACH TIME YOU SEND OR READ AN EMAIL, MAKE AN IMMEDIATE DECISION:





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

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Spam email

Regular email

Email with photo

0.3g CO₂

4g CO₂

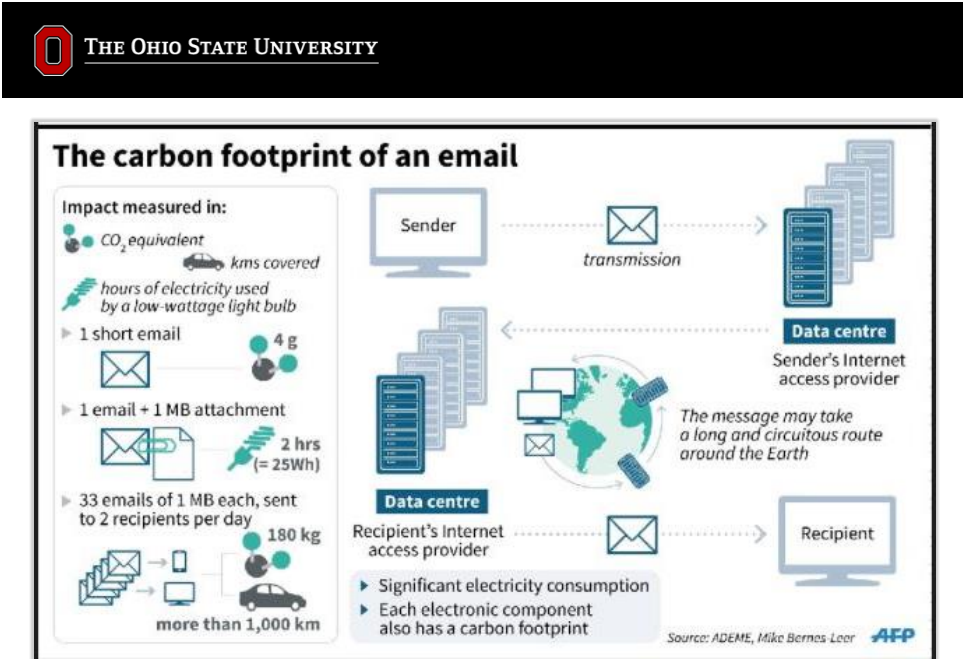
50g CO₂

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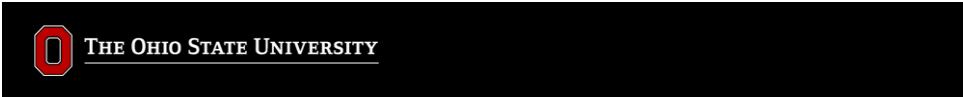
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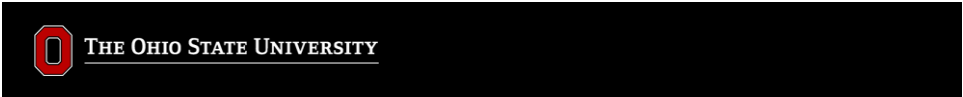
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ORGANIZING EMAIL AND ELECTRONIC RECORDS

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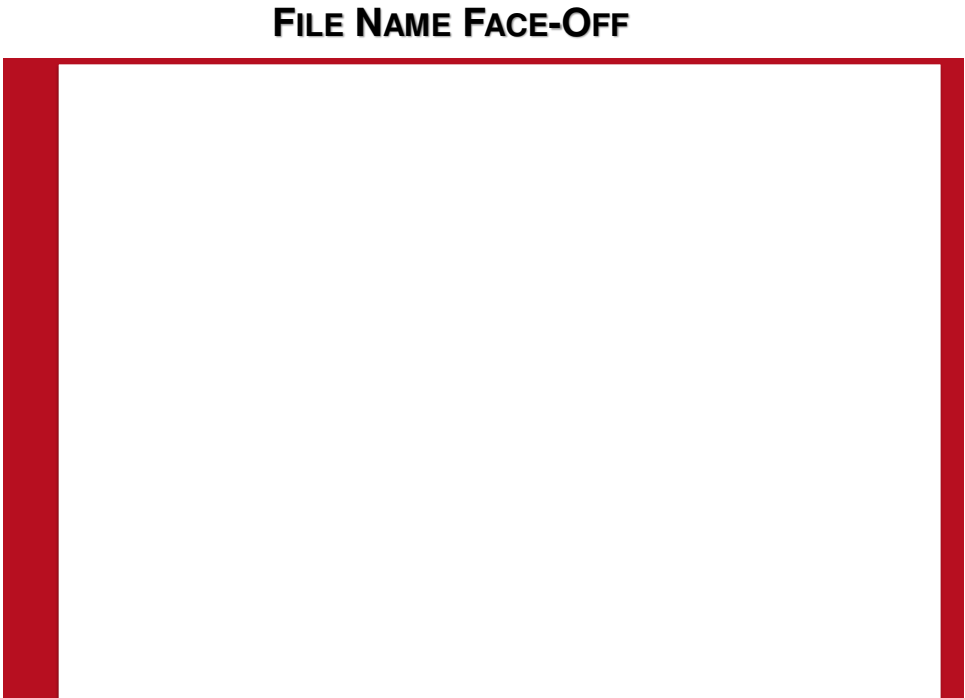
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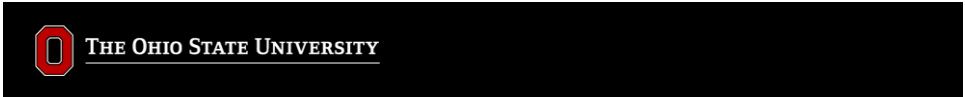
FILE NAMING BEST PRACTICES

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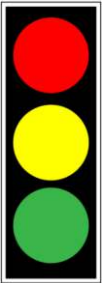
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NAMING DOCUMENTS – WHAT’S IN A NAME

- **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]

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UNIFIED NAMING CONVENTIONS

- Standardizing your own approach to file naming is a start
- A unified departmental approach is the next step
 - Small working group
 - Consider records that multiple people create/receive
 - For each type of record, think about how it makes sense to have results sort
 - Document the naming convention
- Standardized filing structure

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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-(RGR)-YYYY
 - RRS = Record Retention Schedule
 - Year = Year approved
 - RRS-Human-Resources-Benefits-Administration-(6.c.2)-2020
- RRS-Unit-Subunit-(RGR)-YYYYMMDD-(draft)
- RRS-Unit-Subunit-(RGR)-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-OSU-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 (AIM Canada)-20200930

Projects

- Project Name-Documents-Type-Descriptors-YYYYMMDD

Templates

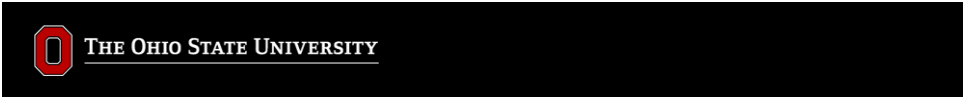
- Template-Title-YYYYMMDD
 - Template-Certificate-Of-Records-Destruction-20191002
- Template-Title-YYYYMMDD-(superseded)
 - Template-Certificate-Of-Records-Destruction-20170418-(superseded)

Reference Articles and Resources

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

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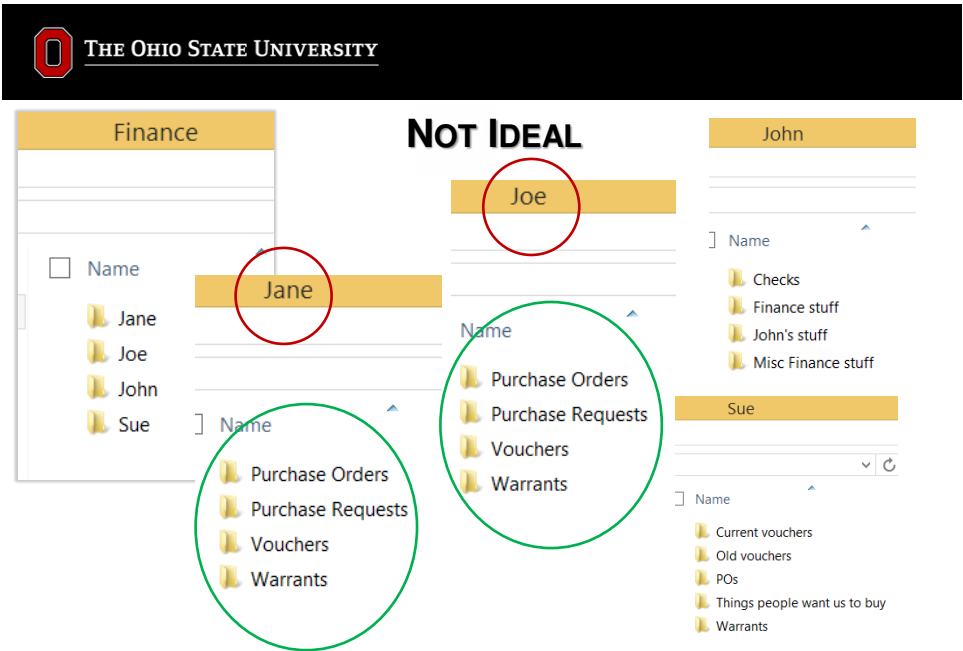
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FILE STRUCTURE & ORGANIZATION BEST PRACTICES

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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 UNNECESSARY COPIES

Copies of records officially stored elsewhere	Superseded/Drafts	Non-Records
<ul style="list-style-type: none">• Ex. Minutes and agendas	<ul style="list-style-type: none">• Draft documents that have been superseded by others can be deleted per the Transient record series on the government’s Retention Schedule	<ul style="list-style-type: none">• Outdated articles/resources (reference, not produced by the city)• External, non-work collaborations such as professional associations• Flyers for events such as birthday, baby shower or retirement parties

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

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WHO SHOULD ADHERE TO THE FILE STRUCTURE?

Everyone! You are the custodian of your records.

Filing structures should be consistent and easy to understand for:

- You
- Your colleagues and collaborators
- Future staff who may inherit your files

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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

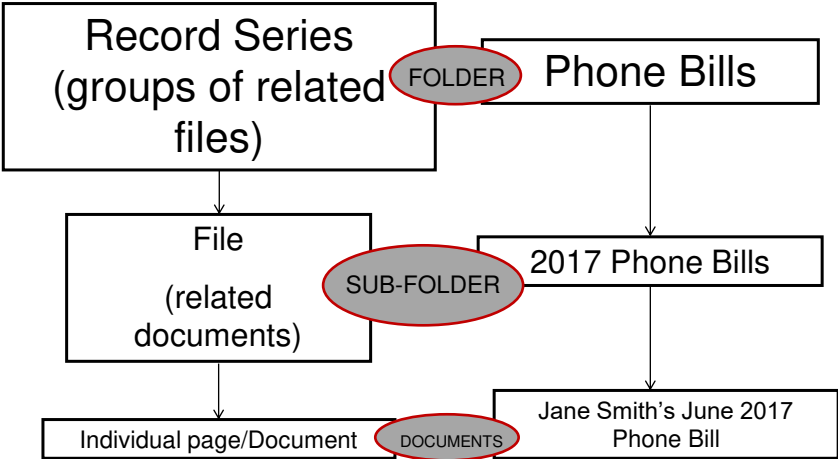
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TERMINOLOGY: RECORD SERIES




```
graph TD; RS[Record Series<br/>(groups of related files)] --> F[File<br/>(related documents)]; F --> IPD[Individual page/Document]; PB[Phone Bills] --> P2017[2017 Phone Bills]; P2017 --> JS[Jane Smith's June 2017<br/>Phone Bill];
```

Labels in diagram: FOLDER, SUB-FOLDER, DOCUMENTS

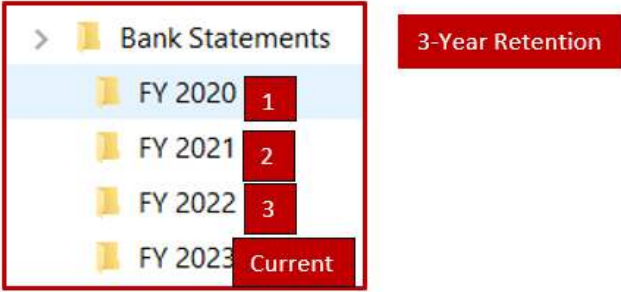
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Structuring File Shares




Bank Statements

- FY 2020 1
- FY 2021 2
- FY 2022 3
- FY 2023 Current

3-Year Retention

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Structuring File Shares

> Bad Debt

Active

> Paid or Settled

> 2021 1

> Water Bills

Jones, Bob

Smith, Sue

2022 2

2023 Current


2-Year Retention

Event Trigger: 2-year retention begins when debt paid or settled

Additional subfolders aid in organization.

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Structuring Outlook

Advising Files

Active

Inactive

2014

2015

2016

2017

Leaves of Absence

2012

2013

2014

2015

2016

2017

Public Records Requests

2014

2015

2016

2017

Closed

Request ABC

Request DEF

Open

Request GHI

Advising Files

Active

Inactive

2014

2015

2016

2017

Leaves of Absence

2012

2013

2014

2015

2016

2017

Public Records Requests

2014

2015

2016

2017

Closed

Request ABC

Request DEF

Open

Request GHI

Structuring File Shares

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WHEN AN EMPLOYEE LEAVES

Email & electronic records retain
their “record” status

- If organized functionally it will be:
 - Searchable and retrievable
 - Easier for those who need it to find it
 - Easier to implement retention and disposition

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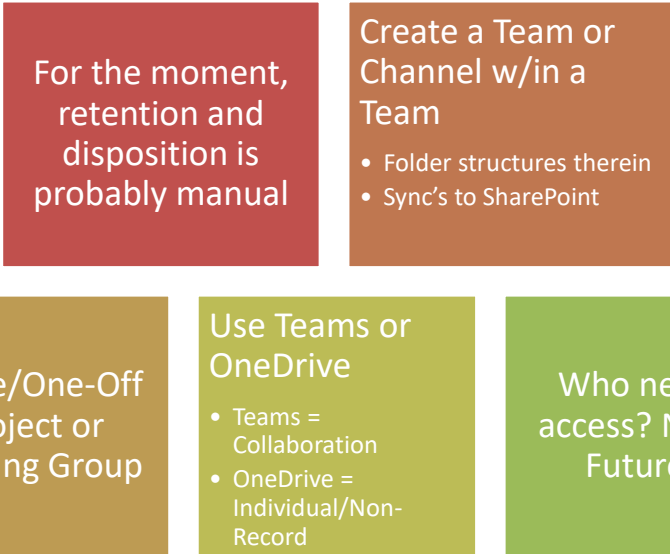


TEAMS
ONEDRIVE
SHAREPOINT

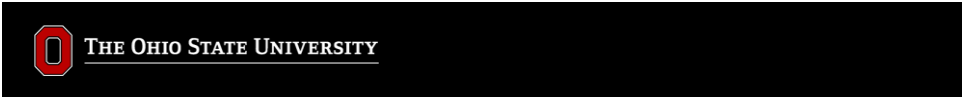
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THINGS TO THINK ABOUT

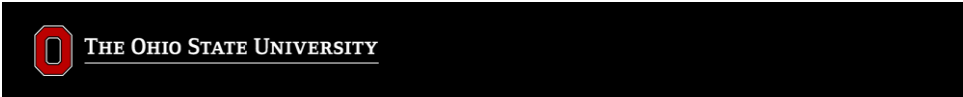


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SYSTEMS
(FANCY DATABASES)

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SYSTEMS

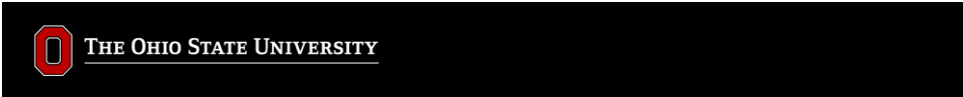
- Systems are not a single record
- Systems contain many records
 - And possibly multiple record series
- Retention should be applied
 - But be careful of breaking relations within the database
- How is a record defined in a system?

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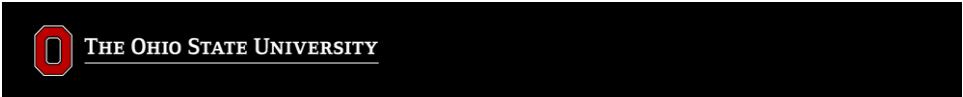
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CONCLUSION

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

Increases


- Storage space
- Maintenance costs
- Retrieval time
- Public records requests
- Cost of e-discovery production and preservation
- Liability

Decreases

- Ability to quickly locate
- Defensibility
- Compliance

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

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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

- **Database Records Retention and Disposal**
- **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

NEW: 4-part online email management training series

www.ohioerc.org

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SOCIAL MEDIA: THE RECORDS MANAGEMENT CHALLENGE


Online, Interactive Training Module (2020)

<http://go.osu.edu/ohioerc-socialmedia>

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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**

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