THE OHIO STATE UNIVERSITY

MANAGING RECORDS OF LOCAL GOVERNMENTS

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NO RECORDS MANAGEMENT?

25%

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.

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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RECORDS MANAGEMENT = RISK MANAGEMENT

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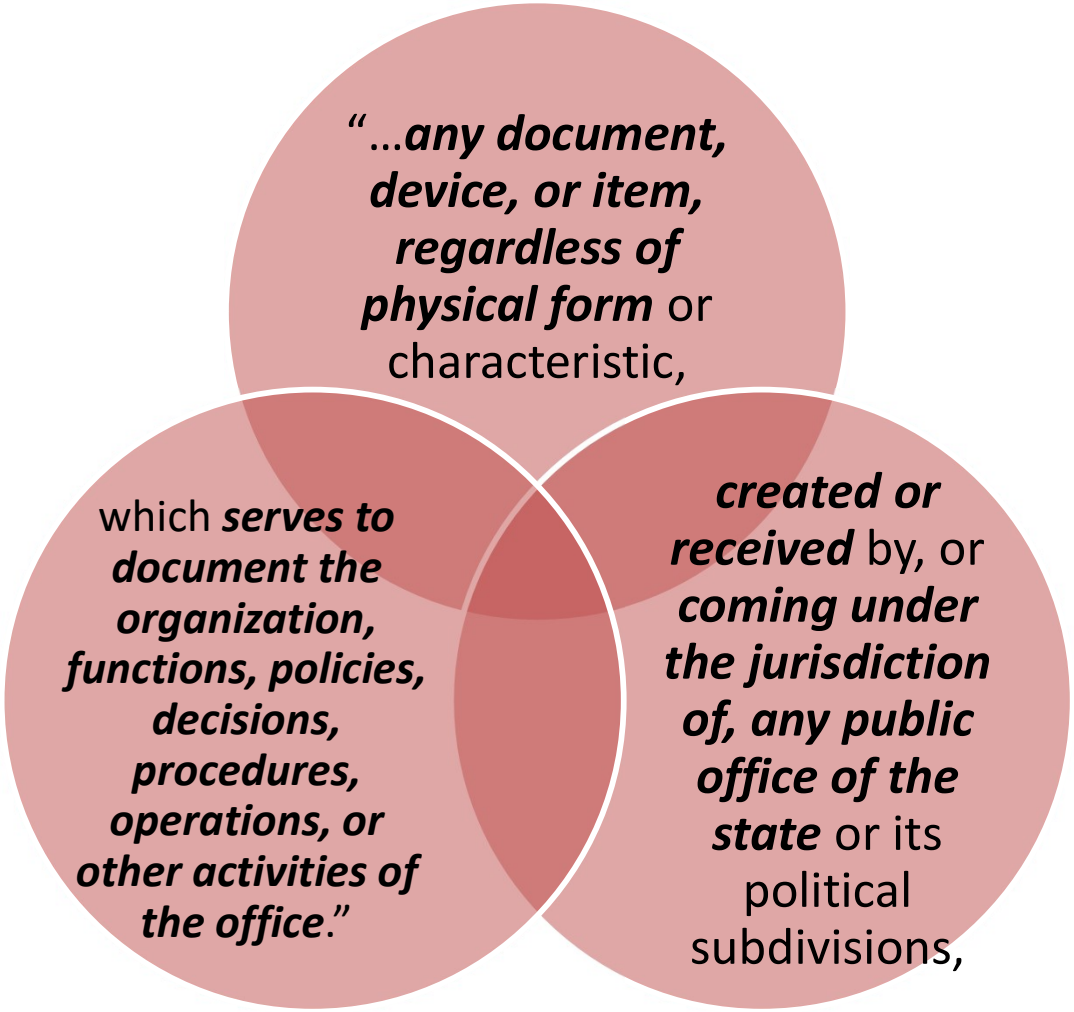
RC-1, RC-2, RC-3 FORMS AND PROCESSES

WHAT IS A RECORD (ORC 149.011G)




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

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

RECORD SERIES

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

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DETERMINING RETENTION PERIODS

Administrative

- 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, rosters*

Fiscal

- Pertains to the receipt, transfer, payment, adjustment, or encumbrances of funds
- Required for audit
- *Examples: accounts payable documentation, credit card receipts, journals, banking documentation*

Legal

- Documents or protects rights or obligations of citizens or of the agency that created it
- State or Federal law
- Retain until legal rights and obligations expire
- *Examples: contracts, purchase orders, intellectual property documentation, MOUs, hearing/litigation files*

Historical

- 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, annual reports, maps, policies, speeches, deeds, minutes, publications, org charts*

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

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***

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
					☐
					☐
					☐
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					☐

Schedule #

Title & Description

RETENTION PERIOD

Media Type

REQUIRED

Boxes checked by OHC

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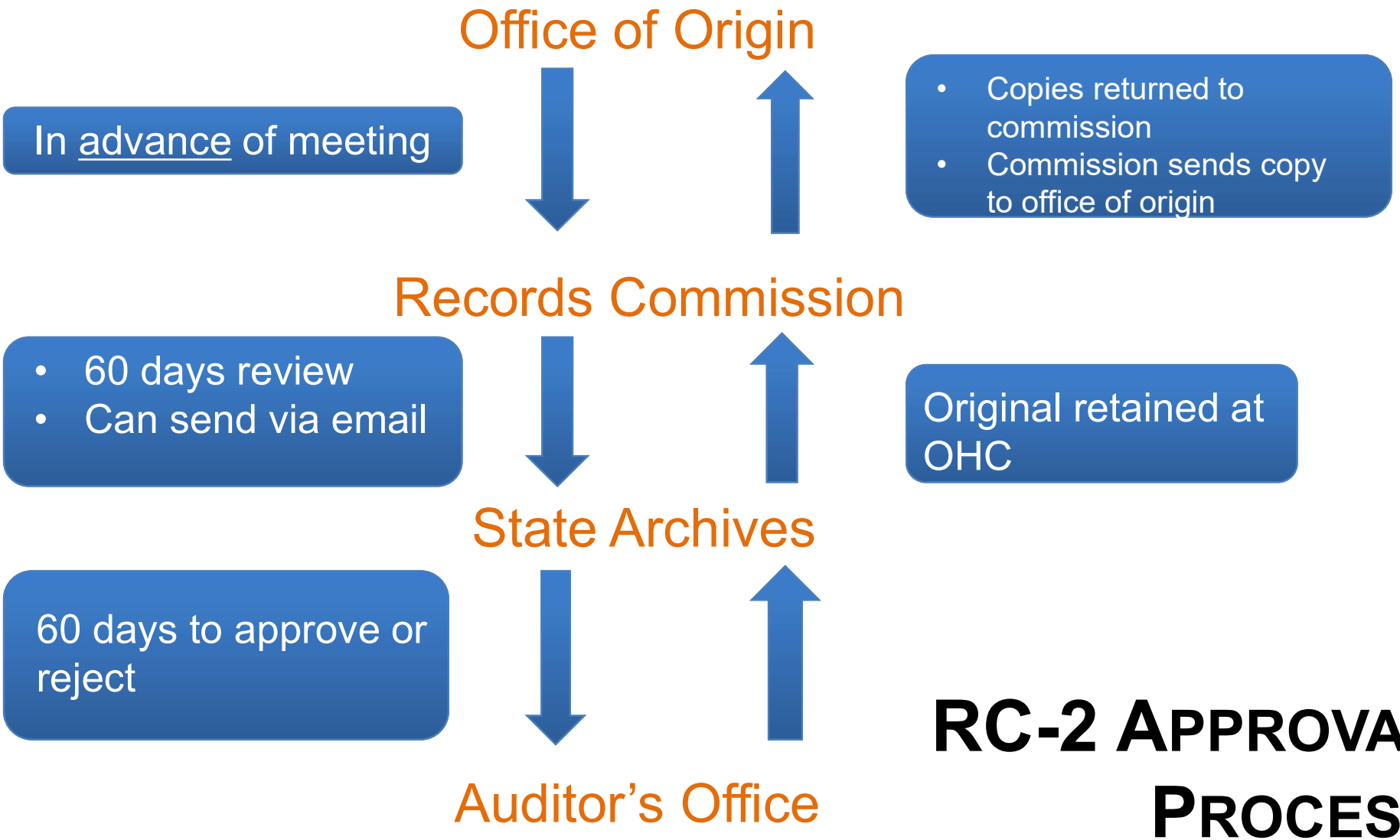
RC-2 APPROVAL PROCESS



- 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

Save $$$ and resources!

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

For State Archives – LGRP Use Only

Date Received:

Date Reviewed:

Items requested for transfer: YES NO

If YES, attach copy of transfer form

CERTIFICATE OF RECORDS DISPOSAL (RC-3) – Part 1

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

(local government entity) (unit) (contact person) (telephone number) (location of records)

(address) (city) (zip code) (county) (date mailed to LGRP)

I hereby certify that the records listed on this RC-3 and attachments are being disposed of according to the time periods stated on the ***approved Records Retention Schedules (RC-2)*** listed below. No record will be knowingly disposed of which pertains to any pending legal case, claim, action or request. In addition, microfilm created in place of any original record listed on this RC-3 will be stored according to ANSI Standards and all microfilm master negatives will only be used to create use copies. It is a responsibility of the local government to ensure the preservation and accessibility of any records retained in electronic format.

(signature of responsible official) (title) (telephone number)

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

Please Note: The State Archives retains RC-3 forms for seven years.
It is strongly recommended that the Records Commission retain a permanent copy of this form.

OHIO HISTORY CONNECTION

CERTIFICATE OF RECORDS DISPOSAL (RC-3) – Part 2

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

(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 (15 business days from receipt by LGRP)	(7) For LGRP use
	Schedule Number	Date the RC-2 was approved by the Records Commission			From	To		

This information comes directly from your RC-2

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

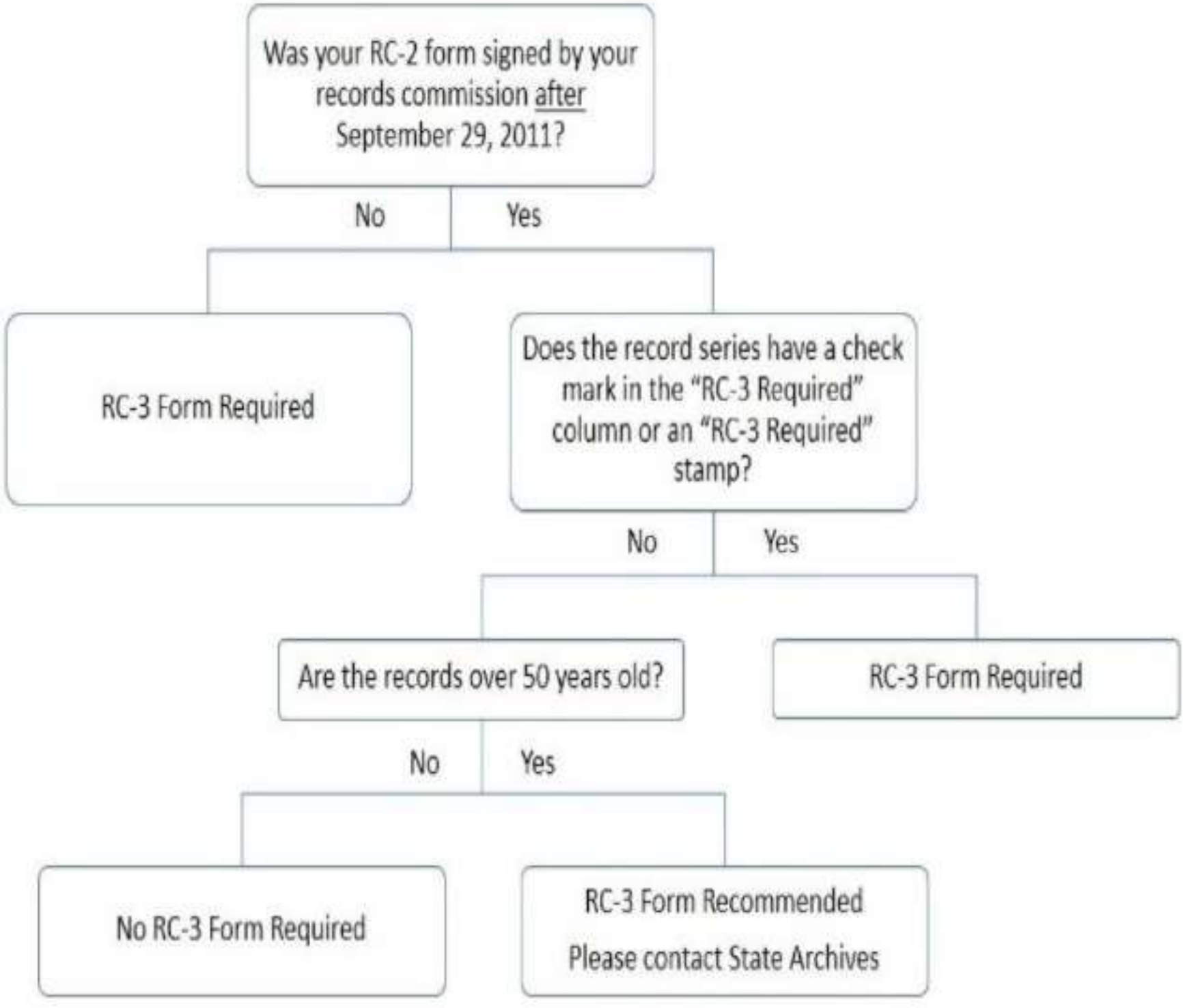
CERTIFICATE OF RECORDS DISPOSAL (RC-3)

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


Was your RC-2 form signed by your records commission after September 29, 2011?
No
Yes
RC-3 Form Required
Does the record series have a check mark in the "RC-3 Required" column or an "RC-3 Required" stamp?
No
Yes
Are the records over 50 years old?
RC-3 Form Required
No
Yes
No RC-3 Form Required
RC-3 Form Recommended
Please contact State Archives

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.

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

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

Please Note: The State Archives retains RC-1 forms for seven years.
It is strongly recommended that the Records Commission retain a permanent copy of this form.

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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

(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 b… LGRP … Auditor of …

ORIGINAL

Description & Dates

MEDIA TO BE DISPOSED

Media Retained

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

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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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INFORMATION SYSTEMS / DATABASES

SYSTEMS

- What financial software systems do you use?

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

City of Columbus now offering free credit monitoring to all citizens impacted by cyberattack

Hackers release reams of stolen Columbus data on dark web

Bill Bush Columbus Dispatch
Updated Aug. 8, 2024, 2:00 p.m. ET

City of Columbus breach affects around half a million citizens

On Monday, the city expanded the budget for the hack to $7 million; $3 million of that is new funding approved at council's meeting Monday to cover costs through the rest of the year.

The City of Columbus Data Breach: A Cautionary Tale on the Critical Need for Advanced Data Management and Cybersecurity

February 7, 2025 / in Insights / by Aparavi

Data NBC4 Investigates saw on the dark web included 20 years of city hall visitor logs, including photocopies of driver's licenses. In the hands of a threat actor, this can do some damage. We wondered why they were kept for so long. Is that city policy?

Other forms, such as for the Department of Technology, and Columbus Public Health, both updated in 2022, do list policies for visitor data. Both are supposed to keep these logs for three years.

"When you're keeping data longer than you need it, you're essentially expanding or creating a bigger, you know, kind of threat landscape or threat vector that can be, you know, lead to additional exposure for the organization," Rose said.

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

SYSTEM OF RECORD V COPIES

- Is you 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 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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CLEANING UP THE ROT (REDUNDANT, OBSOLETE, TRIVIAL)

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

USEFUL RECORD SERIES TO INCLUDE ON SCHEDULE

Administrative Reference Documents

- Logs, spreadsheets or programs used to track administrative activity, tasks, or workflow progress for internal convenience.

Events / Project Files

- Can include but may not be limited to campus and community events, lectures, exhibit files, special projects, committee or working group outcomes, products or results.

Periodic Reports

- Documents status of on-going work; serve as support documents for annual/summary reports

Reference / Subject Files

- Files used as in-house reference materials. Can include, but may not be limited to articles and notes, often organized by topic, that employees may reference. These files do not contain original or official records.

Transient Materials

- 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

PERSONAL FILES

Personal media (photos, videos, music)

Personal financial, tax or benefit info

Personal medical info

Personal school or volunteer work files

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DUPLICATES, DRAFTS AND VERSIONS

Duplicates - Records that you have saved, often for your own reference, ease of access, or as an interim step to uploading to a system, but for which the official record is retained elsewhere within a central system such as Finance or Human Resources.

Drafts - working versions that precede the final, official record.

Versions - sometimes similar to drafts, however versions may have been official at one time but have since been superseded by a newer official record.

Items you've scanned and saved in order to upload to Finance/HR System (receipts, travel documents, etc.), an IT Help Ticket or another official system of record.

Copies you've saved to OneDrive in order to share, but the official version is saved in another location. For example, presentation slides.

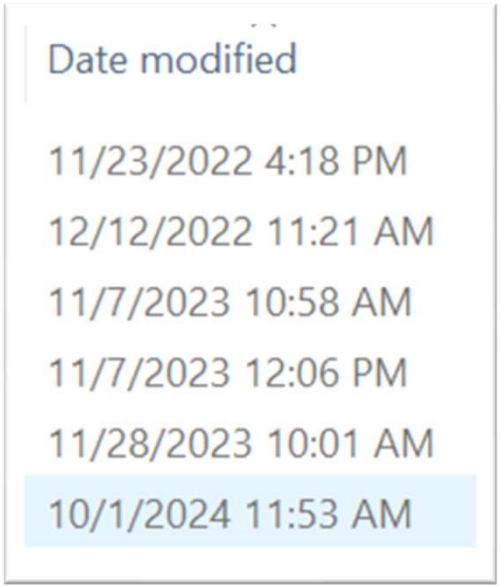
Extra copies of completed forms, bulletins, statistics, etc.

Ad hoc reports downloaded from another system of record that could be easily recreated by going back into the system from which they were pulled.

If the version is a policy or procedure, it is recommended to wait a year before deleting the previous version for potential legal or investigative purposes.

DEALING WITH DUPLICATES

- What record series does it fall under?
- What's the retention period?
- Has what you're looking at met retention?
  - If yes, it doesn't matter if it is duplicate or official.
- Should that person have had the official?



- Out of the remaining files, which one has been most recently updated?
  - Check by sorting the date modified column in the folder

OTHER TIPS TO PREVENT COPIES EVERYWHERE!

- Save working documents to shared drives or cloud storage instead of emailing copies back and forth.
- Use track changes in Microsoft Word instead of multiple versions of one document.
- Assign a single person the responsibility of saving any documents, minutes, etc. from a project – everyone else knows they have "copies", this person saves the "official".
- Use the "compare" feature in Microsoft Word to show differences between two documents.

PROFESSIONAL ASSOCIATION FILES

Pictures from conferences, meetings or events

Copies of minutes, manuals, publications, policies and procedures, etc.

Drafts and working documents, projects, etc. where a final version was created and is stored in the association's official repository

Correspondence, including emails

Anything that has met retention according to the association's retention schedule

*Transfer official records to association repository

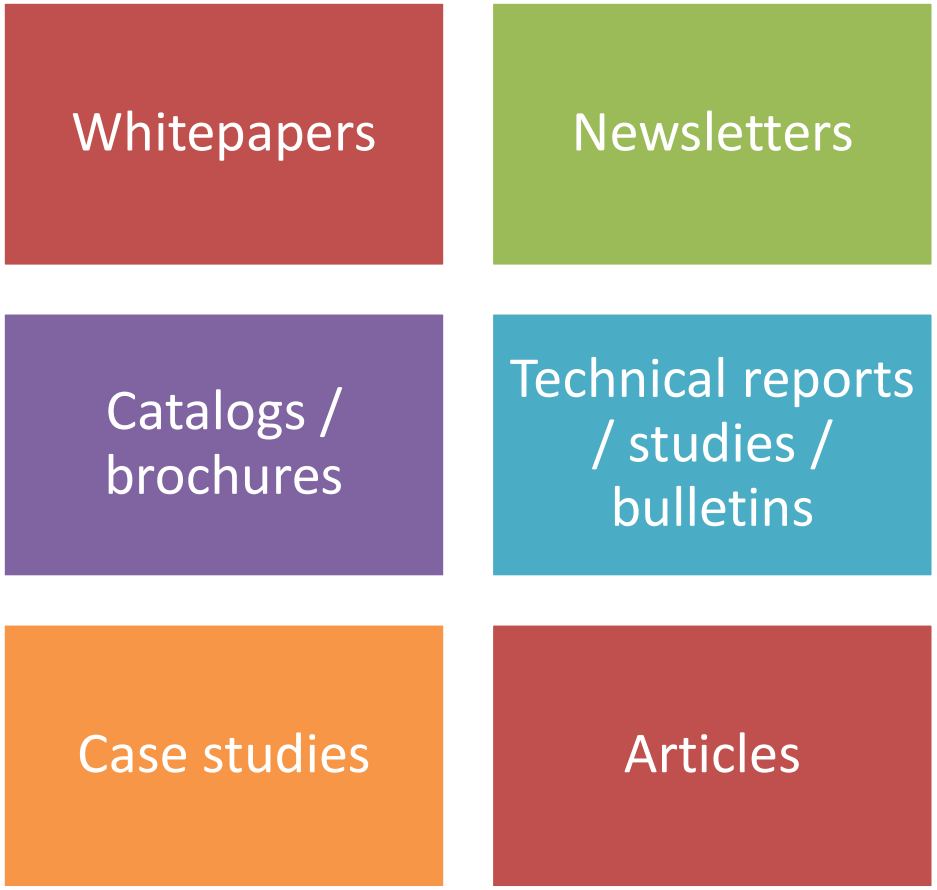
MISC. NON-RECORDS

Flyers/Posters and photos from *non-official* work events	• Events that are not sponsored by the unit or expending university funds; not part of university's or unit's mission • Retirement parties, baby showers, holiday parties, other parties • It is okay to keep a few representative pictures on a short-term basis, but we don't need a bunch of pictures that are nearly identical.
Handouts, PowerPoints, and recordings of trainings, conferences, workshops or webinars that you have *attended.* Consider the following when cleaning up:	• When was the last time you referenced these, if ever? • Is the information still current and viable or are there more up-to-date resources? • Do you have access to it in another system?
Work product from previous jobs. Consider the following when cleaning up:	• When was the last time you referenced these, if ever? • Is the information still current and viable or is there more up-to-date resources? • Have you used it as templates to draft something similar at Ohio State? If so, you don't need the previous information.
Personal notes taken during meetings or consultations that are no longer needed to refresh your memory or are more thoroughly documented in another system.	

REFERENCE MATERIALS / SUBJECT FILES

Reference materials to weed and potentially delete are files that you've saved for in-house, personal reference.

- Do not contain original or official records.
- Received from companies, vendors, organizations, etc. that require no action on our part and are not needed as documentation of activities, functions, policies or procedures.
- Articles or notes that you've saved in case you want to refer back to them.
- Often, they are organized by topic.



LARGE FILE TYPES

Images

- **Official Functions** - Official events/activities hosted or sponsored by the office; that used budgeted funds or resources (before deleting, send the Archives a representative sample including images of speakers, attendees and activities)
- **Non-Official Functions** - Events that are not sponsored by the office, nor expending budgeted funds; not part of the mission (you can keep a few representative images for short-term use or reference)
  - Parties such as retirement, holiday, baby shower, potluck, etc.

Videos and recordings

- Recordings downloaded and saved, such as from conference sessions
- Recordings that you have created

PowerPoints

Obsolete datasets

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
April 28 **This Week**: Personal Files	April 29 Pictures, Music, Videos	April 30 Personnel/Payroll/ Benefit/Tax Documentation downloaded from Workday for personal use or reference	1 Personal financial records	2 Medical and/or school documentation	3 Volunteer files	4
5 **This Week**: Professional Association Files	6 Copies of minutes, manuals, publications	7 Working documents and drafts	8 Pictures, graphics	9 Emails	10	11
12 **This Week**: Duplicates, Drafts, Versions	13 Items you've scanned and saved in order to upload to Workday or system of record (travel documentation, receipts, etc.)	14 Copies you've saved to OneDrive in order to share, but the official is saved elsewhere	15 Extra copies of correspondence, completed forms bulletins, statistics, etc.	16 Ad hoc reports downloaded from databases/information systems for reference	17 Downloads that have been saved into a different official system of record	18
19 **This Week**: Misc. Non-Records	20 Flyers and photos from work events	21 Professional development: Handouts and audio recordings of trainings, workshops, webinars you've attended	22 Work product from pervious jobs	23 Personal notes taken during meetings but no longer needed for reference	24	25
26 **This Week**: Reference Materials	27 Whitepapers	28 Newsletters	29 Catalogs	30 Technical reports /studies /bulletins	31 Other published reference Materials received from other companies, vendors, organizations, etc. that require no action and are not needed for documentary purposes	June 1
June 2 **This Week**: Large Files (Follow Retention Schedules)	June 3 Images	June 4 Video	June 5 PowerPoints	June 6 Obsolete datasets		

WORKING FOLDERS OF PAST EMPLOYEES

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

- Check Retention Schedules. If the files have met their retention, complete an RC-3 (if required) and when waiting period is up, 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 SharePoint, Teams or the Shared Drive.

WORKING FOLDERS OF PAST EMPLOYEES

If there is no discernible order to the folders/files	Example
1. Determine how old the newest file is.	1. Files range from 4/13/2016-6/30/20

WORKING FOLDERS OF PAST EMPLOYEES

If there is no discernible order to the folders/files	Example
1. Determine how old the newest file is.	1. Files range from 4/13/2016-6/30/20
2. Look over the files, what are the main record series that they fall into based on the OSU General Retention Schedule?	2. Appears to contain *periodic reports (1 year), presentations (Act+3) Local Travel Documentation (2 months), Unit Procedures*
3. Of the record series, which has the longest retention period?	3. Presentation have highest retention at Act+3. Assuming this is a past employee, at a minimum the active period is expired when left.
4. Submit a CRD listing all the main record series that you have identified, noting that they are mixed files. For the data range, calculate the inclusive dates of all of the record series based on the highest retention period identified.	4. CRD – all end dates are 6/30/2017 
5. Once the CRD has been approved, delete the files that have met the highest retention period.	5. Delete once CRD is approved
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" folder and save them in a functional file structure in Teams or the Shared drive	6. Move remaining files into a standardized file system by function or record series.

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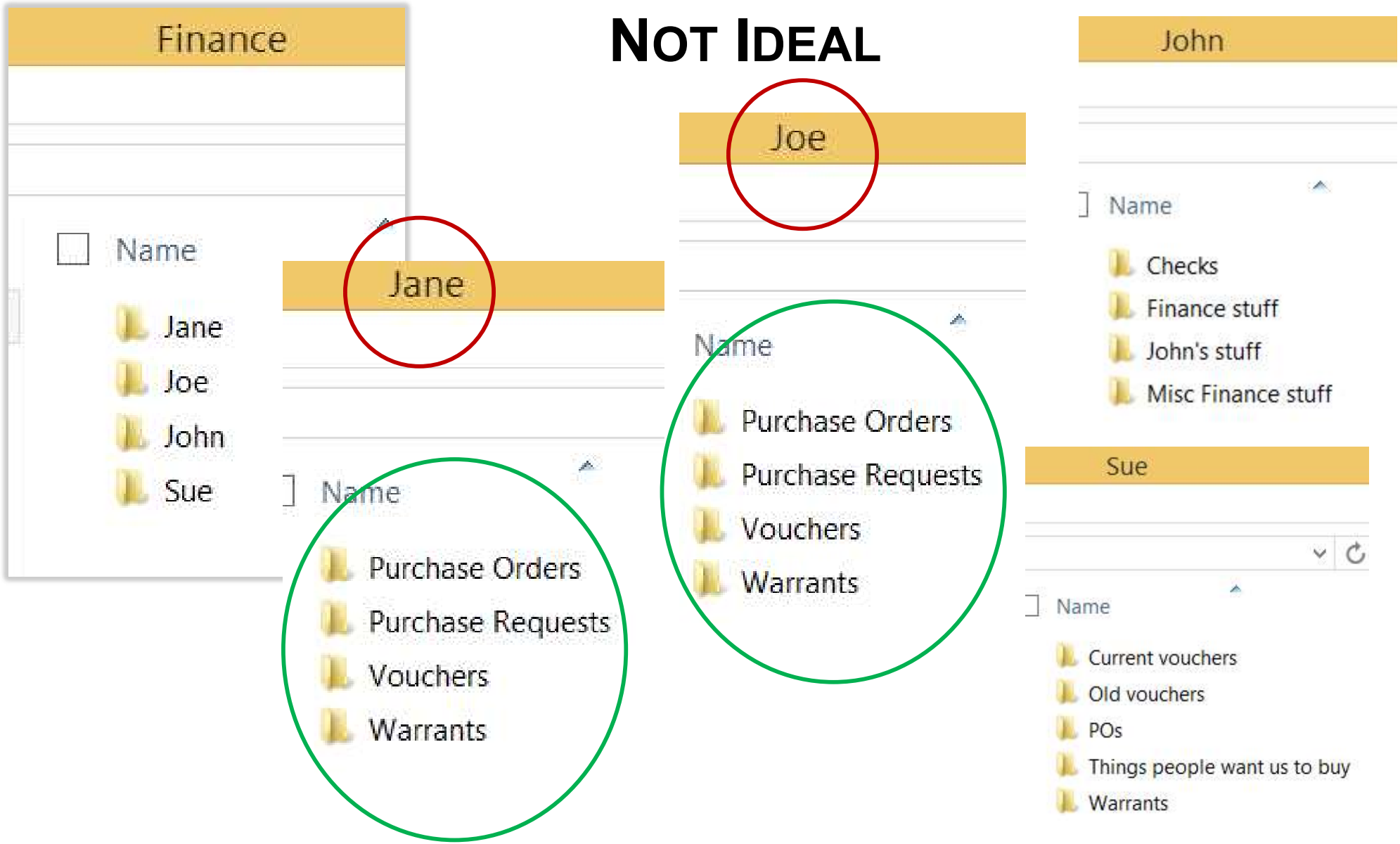
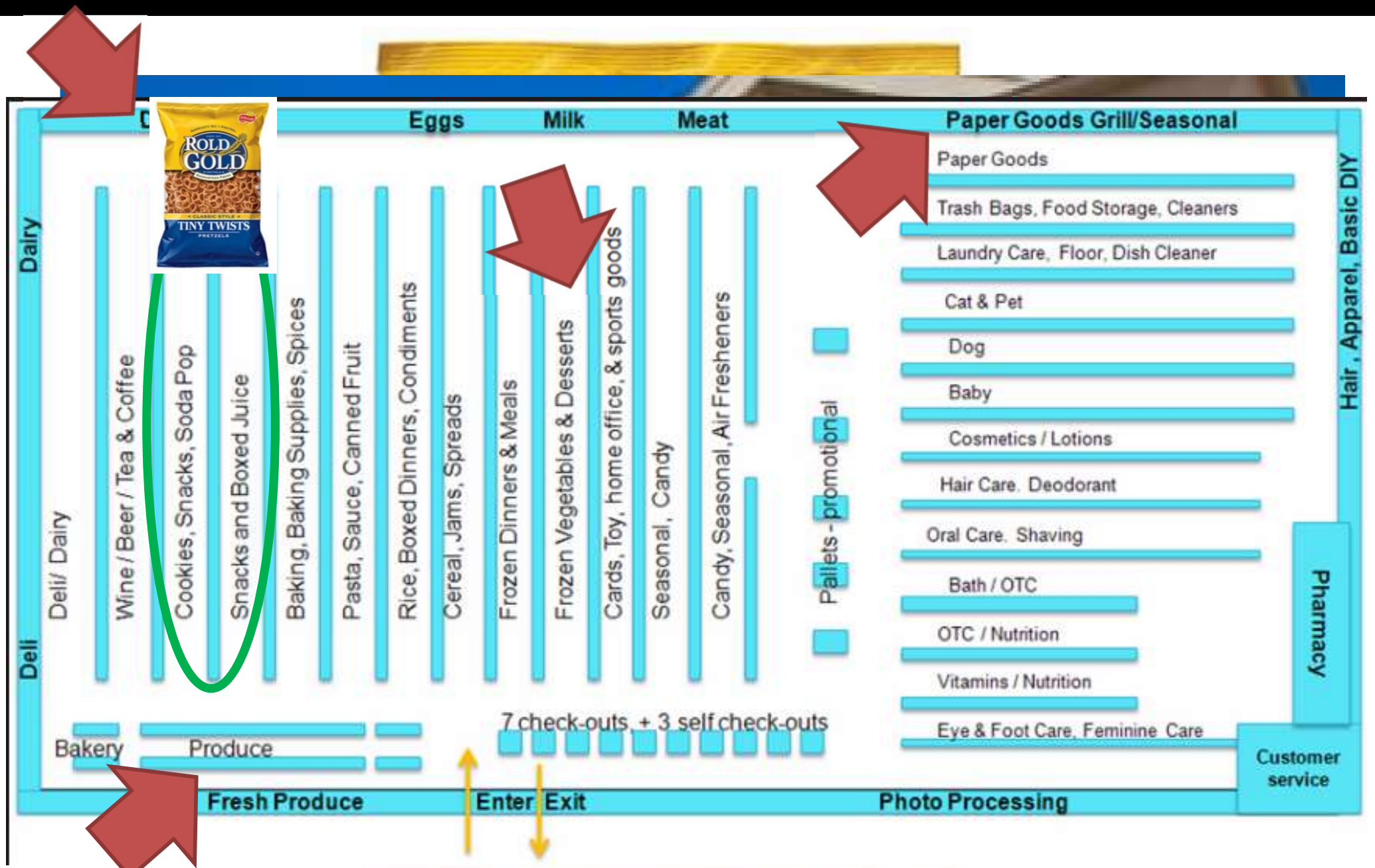
FILE STRUCTURES & NAMING CONVENTIONS

NOT IDEAL


Finance
Name
Jane
Joe
John
Sue
Jane
Name
Purchase Orders
Purchase Requests
Vouchers
Warrants
Joe
Name
Purchase Orders
Purchase Requests
Vouchers
Warrants
John
Name
Checks
Finance stuff
John's stuff
Misc Finance stuff
Sue
Name
Current vouchers
Old vouchers
POs
Things people want us to buy
Warrants


Eggs
Milk
Meat
Paper Goods Grill/Seasonal
Dairy
Deli
Deli/ Dairy
Wine / Beer / Tea & Coffee
Cookies, Snacks, Soda Pop
Snacks and Boxed Juice
Baking, Baking Supplies, Spices
Pasta, Sauce, Canned Fruit
Rice, Boxed Dinners, Condiments
Cereal, Jams, Spreads
Frozen Dinners & Meals
Frozen Vegetables & Desserts
Cards, Toy, home office, & sports goods
Seasonal, Candy
Candy, Seasonal, Air Fresheners
Pallets - promotional
Paper Goods
Trash Bags, Food Storage, Cleaners
Laundry Care, Floor, Dish Cleaner
Cat & Pet
Dog
Baby
Cosmetics / Lotions
Hair Care. Deodorant
Oral Care. Shaving
Bath / OTC
OTC / Nutrition
Vitamins / Nutrition
Eye & Foot Care, Feminine Care
Hair, Apparel, Basic DIY
Pharmacy
Customer service
7 check-outs + 3 self check-outs
Bakery
Produce
Fresh Produce
Enter
Exit
Photo Processing

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:

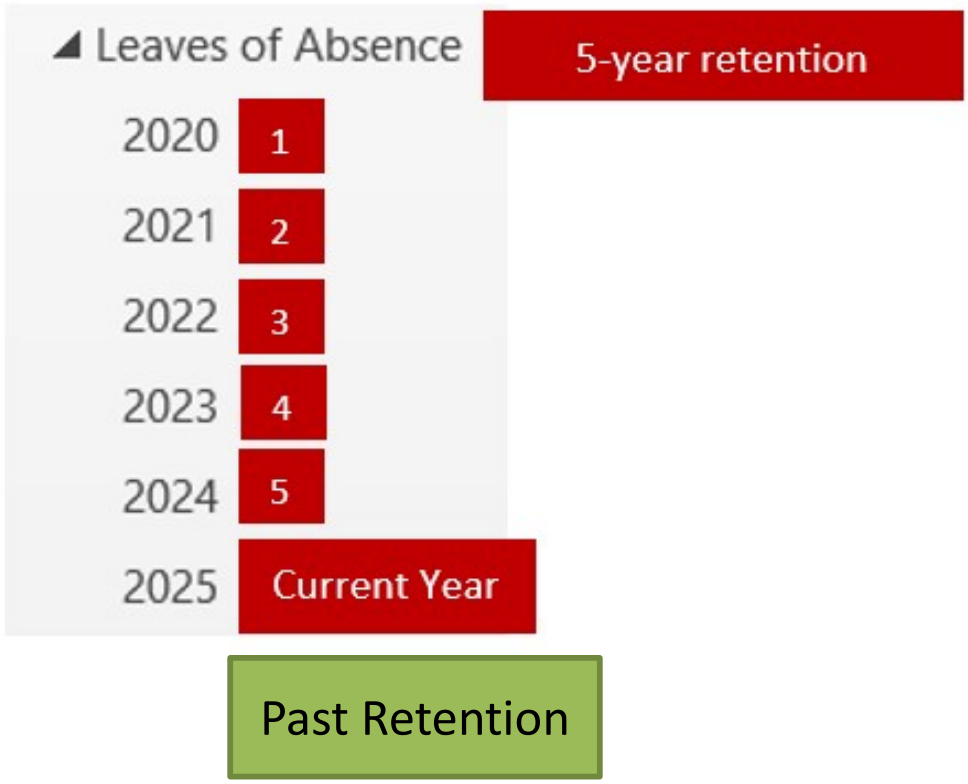
- Reduce time spent looking for records
- Eliminate unnecessary duplication
- Decrease security risk and liability
- Enable you to easily dispose once retention has been met
- Allow for more automated, less manual application of retention in M365

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.

Structuring File Shares



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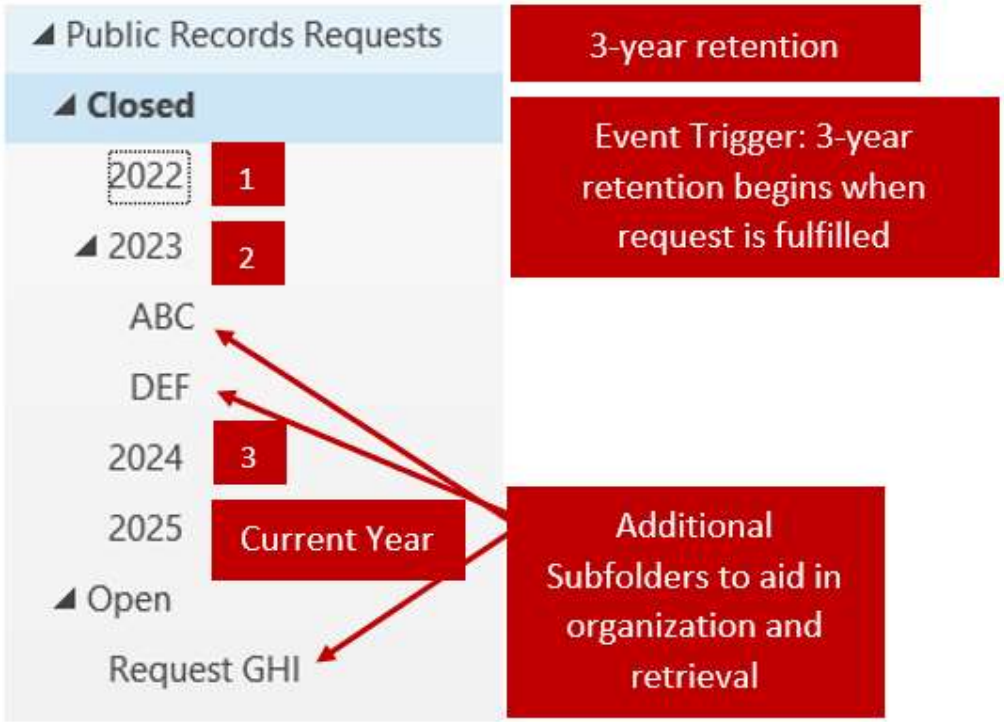

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EMAIL AND ELECTRONIC MESSAGE MANAGEMENT

PARADIGM SHIFT

Save it all "just in case"

- Defensible deletion
- Retention schedules

"My email"

- Reduce impact of staff changes
- Functional filing

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?

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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	Schedule your flu shot	Newsletters/ Bulletins	Accepted/Declines meeting requests
	Pick up milk	Kitchen cleaning today!	Discussion boards	"read" receipts
	Late meeting, can you get kids?	Brown Bag lunch at 12:00	Other professional communities for information sharing	Meeting arrangements
	Not related to job	OnCampus daily news headlines		Non-substantive messages of short-term usefulness
		System auto-generated email responses (eLeave, IT help tickets)		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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OSU EMAIL CHALLENGES

HTTPS://LIBRARY.OSU.EDU/EMAIL-MANAGEMENT-CHALLENGES

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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 your office will retain it?

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

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

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

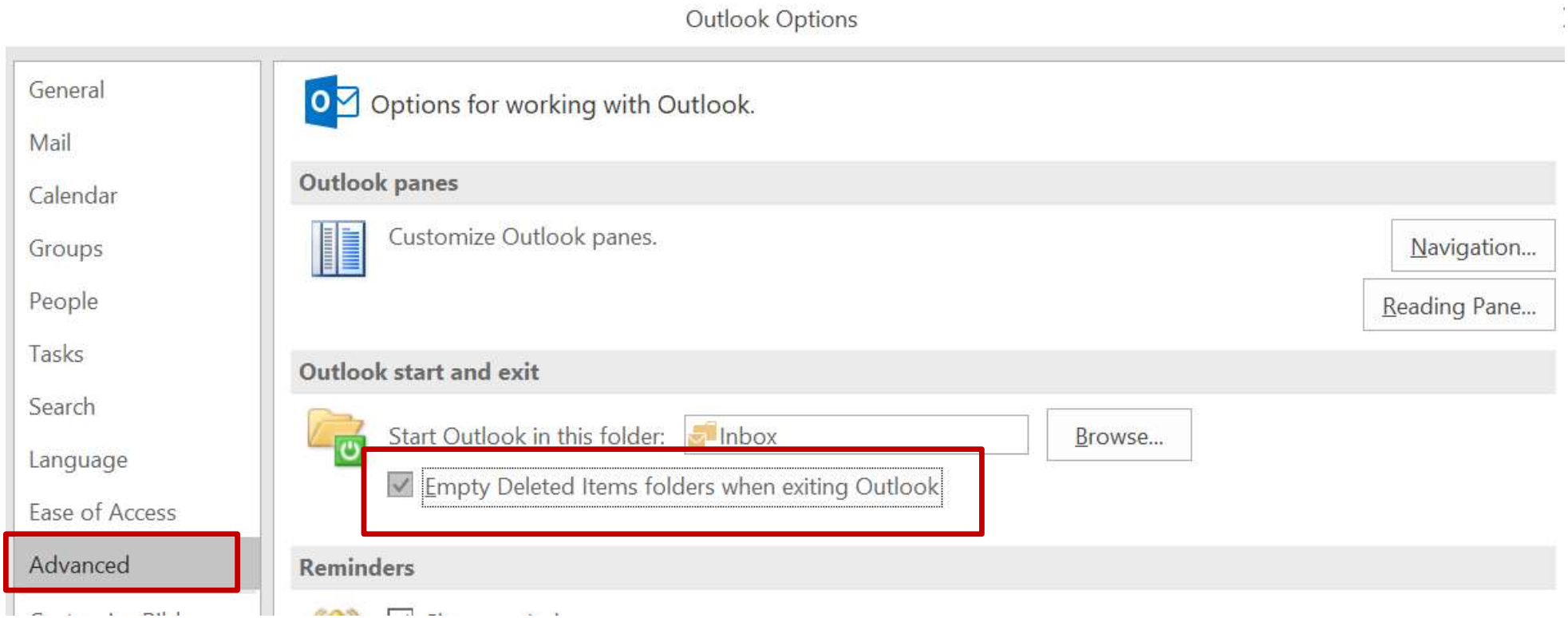
- If it's not needed as evidence
- Transient

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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RECORDS OF SEPARATING EMPLOYEES

NEW HIRE ORIENTATION

- Importance of Records Management
- Records Policies and Procedures
- Office Records Management Practices
- Retention schedules
- Filing guidance
  - Paper
  - Structured Electronic
  - Unstructured Electronic
  - Electronic Communications

Filing correctly from the beginning should make the transfer of knowledge and records easy upon separation!

Why following this guidance is important to the ***employee***.

IMPORTANCE OF A SEPARATION PROCEDURE

Avoid operational disruptions

Maintain compliance

- Public records laws
- Retention/Disposition laws
- Discovery/E-Discovery requirements

Manage litigation holds

Nobody knows your records like you do

Locked down/hidden records

Remove access to systems not controlled by IT

GUIDANCE INCLUDES:

- Transient records series
- Link to posted retention schedules
- Guidance on record v. non-record v. copy
- Checklist of places to look for records
- Whom to contact
- Records Management offer of assistance


Records don't automatically lose value when an employee, their creator or processor, leaves.
A good separation procedure can go a long way in ensuring the continuity of the office and avoid potential disruptions in operations.
If hurriedly filing their records isn't something that they want to think about in their last 2 weeks in office…
the other alternative is to implement proper records management **throughout their time in the office**.
It make it easier to track down necessary records for the business of the office.
In the event something should come up missing, we can demonstrate all of the steps that we did take to prevent lost or missing records.

FINAL NOTES

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

IMPORTANCE OF IMPLEMENTING DISPOSITION

Public Records

Discovery – Litigation

Privacy

Security

Better AI Results

Save Resources

Improve Efficiency

Productivity

Compliance

Sustainability

Public trust

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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
- Working Folders of Past Employees
- File Naming Guidelines
- File Clean-up Hints and Tips
- 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 & OneDrive Accounts
- Security Risk Assessments
- How to Complete a CRD (video)
- Using a Retention Schedule (video)

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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