Welcome to How to Manage Records. This training is offered by DTMB - Records Management Services.
This training will address common recordkeeping problems. We will discuss best practices for keeping records, storing records, and destroying records. Then we will provide tips for getting your office organized.
The objectives of this training are to understand how to improve recordkeeping, evaluate storage options to determine which will best need your agency’s needs and budget, to ensure that records are properly destroyed, and to get your office organized.
Do you have?

• Disorganized records
• Trouble finding records
• Too much stuff

Does your office have disorganized records? Trouble finding records? Too much stuff?
If records are not managed properly, the result can be chaotic. Hopefully, your office does not look like this. This office may have a great filing system. However, this employee is not using it, and is creating problems for everyone in the office.
Cubicles are not the only space where records can become out of control. Electronic records can also be disorganized and voluminous. Employees need to manage their email accounts, network shared drives, individual network drive and computer hard drive.
Common recordkeeping problems include: version control, duplicate records, FOIA and litigation hold requests, disorganized records, retirements and departures, and more.
Poll:

• What words do you think of when you hear the phrase "records clean-up"?

What words do you think of when you hear the phrase "records clean-up"? It probably does not make you feel excited and motivated. However, experience shows that people feel better when their work space is clean and organized. Well organized records help with productivity and reduce stress.
Did you know that as a general rule, in every office approximately 30% of the records need to be retained but are not retrieved regularly, and should be moved off-site to low-cost storage; 40% of the records have met their retention requirements and should be destroyed; which makes it a whole lot harder to find the 30% of the records are needed on-site for active reference and retrieval. When was the last time your office reviewed its recordkeeping practices?
What should we do with our records?

- Keep
- Store
- Destroy

Agencies have three options for managing their records: keep them, store them and destroy them. We are going to discuss all three in detail.
The first option is keeping records.
### To Keep or Not to Keep

<table>
<thead>
<tr>
<th>Keep</th>
<th>Don’t Keep</th>
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<tbody>
<tr>
<td>• You are the designated recordkeeper</td>
<td>• Publications from outside sources (newsletters)</td>
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<tr>
<td>• Document your job duties and responsibilities</td>
<td>• Personal documents (family, personal finances, friends)</td>
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<td>• Document decisions and activities of your office</td>
<td>• Mass mailings (received)</td>
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<td>• Document guidance or services provided by your office</td>
<td>• Drafts replaced by new versions</td>
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<td>• Duplicate records</td>
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<td>• Records that don’t document your job duties and responsibilities</td>
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<td></td>
<td>• Reminders</td>
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<td>• Spam, advertisements, junk mail</td>
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To keep or not to keep, that is the question... Employees often ask RMS how to know if they need to keep a record. These are examples of which records should be kept.

Keep records if: you are the designated recordkeeper, the records your job duties and responsibilities, the records document decisions and activities of your office, and the records document guidance or services provided by your office.

Don’t keep records if they are: publications from outside sources (newsletters), personal documents (family, personal finances, friends), mass mailings (received), drafts replaced by new versions, duplicate records, records that don’t document your job duties and responsibilities, reminders, spam, advertisements, and junk mail.
Who should keep records? Creators, authors and senders often have to keep records document their activities.

Recipients need to keep records if the records document their job duties and if they do not have access to the creator’s records.

If you are designated by your supervisor or a team to be responsible for recordkeeping, then you need to keep those records. The records should be stored somewhere that is accessible to everyone involved in the business process or team, so employees don’t need to keep their own duplicate copies. For example, email accounts are only accessible to the account user, so email messages need to be filed with other records that document the business process.
Organized records are easier to retrieve. When all of the records of a particular business process are kept together (centralized storage), staff only have to look one place to find the document they need to answer their question. Decentralized storage makes the search and retrieval process more difficult, and it increases the risk that the information found will be incomplete.

Good organization is the responsibility of the office and the user. File cabinets and computers do not require that records be organized.

Filing systems should be easy to use, they should be used consistently, and they should be easy to purge, without reviewing individual documents.

Large or thick files may need to be divided into sub-folders to separate different document types, such as applications, licenses, and case-related correspondence.

Tip: Filing for Chronological Retention Periods

- Examples
  - RETAIN UNTIL: creation date, fiscal year ends, current year ends
  - PLUS: # days/months/years

- Solution
  - Organize the folders chronologically
  - Create separate folders for each month or year

- Disposition
  - Pull entire folders when the retention period is met
  - Avoid weeding the contents of a folder

An example of a chronological retention period is RETAIN UNTIL: creation date, fiscal year ends, current year ends; PLUS: a specified number of days, months or years.

These types of records should be stored in folders that are organized chronologically. Create separate folders for each month or year. This will allow the office to pull the entire folder when the retention period is met, and avoid weeding the contents of a folder.
Tip: Filing for Conditional Retention Periods

- Examples
  - RETAIN UNTIL: no longer active, event takes place, case is closed, permit expires
  - PLUS: # days/months/years

- Solution
  - Active Files: organize by entity (such as a person, group, location or project)
  - Inactive Files: organize by date file became inactive
  - Re-activated Files: pull from inactive files and put in the active files; when they close again, put in the inactive files for the most recent closure

- Disposition
  - Pull entire folder when the retention period is met
  - Avoid weeding the contents of a folder

An example of a chronological retention period is RETAIN UNTIL: no longer active, event takes place, case is closed, or permit expires; PLUS: a specified number of days, months or years.

These types of records should be stored in folders that are organized by entity (such as a person, group, location or project) when they are active. The inactive files should be organized by the date the file became inactive. If an inactive file is re-activated, it should be pulled from the inactive part of the filing system and put back in the active part of the filing system. Then, when they close again, put them in the inactive filing area for the most recent closure date (not the original closure date).

This filing method will allow the office to pull the entire folder when the retention period is met, and avoid weeding the contents of a folder.
Example: File Plan Organization

This is an example of an electronic filing system for licensing files.

In this example, the Class A licenses are filed separately from the Class B licenses.

The Class A active licenses are filed separately from the Class A expired licenses. The Class A active licenses could be organized either by license number or licensee name. Within the licensee’s file are sub-folders for the correspondence and the actual license documentation. This makes it easier to find specific documents.

The Class A expired licenses are filed according to the year the license expired. The office can simply move the entire licensee folder from the active files to the expiration year folder when the license expires. When the retention period is met for the expired licenses, the folder for that year can be deleted (if there are no legal holds for specific licensees).

The Class B licenses are organized the same way the Class A licenses are organized.

This model file plan could be used for any type of case file, licensing file, permit file, as well as other types of files.
Tip: Naming Records

Employees often have to search for records that they did not create, so consistent naming of files is important

- Folder and document names should be unique to avoid confusion
  - Know what the record is without opening it
- Names should contain information employees know about the content
  - Is an index needed to find the correct record?
- Adopt business rules
  - Abbreviations, acronyms, upper/lower case characters, numbering, name changes, etc.
- Electronic Sorting
  - Numbers: Know the maximum number of digits, and use zeros as placeholders
  - Dates: Do not spell out months, format by year-month-day
  - Additional guidance is available from the RMS website

Employees often have to search for records that they did not create. Proper naming of folders and documents will help people find what they need quickly and easily. File names for folders and documents should be unique to avoid confusion. They should contain enough information, so people know what the record is without opening it. File names should contain information that employees know about the content, or there may need to be an index to help people search by assigned numbers or codes.

Offices should establish business rules, so records are named consistently. Business rules should address the use of abbreviations, acronyms, upper/lower case characters, numbering, codes, and name changes.

Keep in mind that computers often sort numbers before alphabetic characters in a file name. It is also important to know whether the filing system is case-sensitive. If an assigned number will be in the file name, it helps to know the maximum number of digits that will be used, and to use zeros as placeholders. Also, if you are naming by date, do not spell out months. Instead format the date by year, then month, and then day.

Problems with Independent Filing

- **Retrieval:** Employees must look multiple places to find records, and may not find everything they need
- **Volume:** Employees hoard non-essential documents, drafts and duplicates
- **Turnover:** Supervisors don’t have time to review individual files maintained by departing employees to find important records
- **On-boarding:** Training new employees can be a challenge if institutional knowledge and records are lost
- **Security:** Confidential or sensitive records may not be securely stored
- **Legal Liability:** Increased volume of records that need to be reviewed and released for FOIA or litigation, because of inconsistent recordkeeping
- **Disaster Mitigation:** Vital records are not identified and protected
- **Customer Service:** Inconsistent application of procedures

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*Note: Benefits of Shared Filing are on slide #21.*
Work records are the property of the office, not individual employees. Work records should be stored in shared filing systems, instead of individual user accounts or workspaces. Independent storage of records wastes resources, reduces accessibility, and increases risk.
Benefits of Shared Filing

- **Retrieval**: Only one filing system needs to be searched
- **Volume**: Fewer records are retained, which saves resources
- **Turnover**: Records are not lost when employees depart
- **On-boarding**: Institutional knowledge and records are protected
- **Security**: Confidential or sensitive records are protected
- **Legal Liability**: Reduced risk that recordkeeping issues will create problems for FOIA or litigation
- **Disaster Mitigation**: Vital records are protected
- **Customer Service**: Consistent quality control and assurance
Step #1: Choose a Location

• Questions:
  • Are the majority of the records created as paper or electronic documents? What percentage of the records are email? If formats are mixed, do paper files need to be scanned into digital images, or should electronic be printed?
  • Who uses the files to do their job? Where are the users located (central office, district office, field workers)?
  • Is special security needed for confidential or sensitive records?
  • How often are the files retrieved (by employees, for FOIA requests, for litigation, etc.)?

When choosing a location to store records, ask the following questions:
• Are the majority of the records created as paper or electronic documents? What percentage of the records are email? If formats are mixed, do paper files need to be scanned into digital images, or should electronic be printed?
• Who uses the files to do their job? Where are the users located (central office, district office, field workers)?
• Is special security needed for confidential or sensitive records?
• How often are the files retrieved (by employees, for FOIA requests, for litigation, etc.)?
Step #2: Identify Essential Documents

- Reduce the clutter within files of non-essential documents
  - Examples: drafts, duplicates, transitory records
- Identify documents needed to comply with state or federal laws and regulations, or the agency’s internal procedures
  - Examples: applications with required submission documents, approvals/denials, compliance communications, planning documents, reports, project charters, agreements, financial documents, etc.

Try to reduce the amount of clutter within files by eliminating non-essential documents like drafts, duplicates, transitory records.

Identify the essential documents that need to be in the file to comply with state or federal laws and regulations, or the agency’s internal procedures, such as applications with required submission documents, approvals/denials, compliance communications, planning documents, reports, project charters, agreements, financial documents, etc.
Step #3: Select Naming Conventions

- Naming conventions promote fast and easy retrieval of information through consistency
  - What information do people know when they seek records from the filing system?
  - Should the file or document name be formatted in a particular way (such as last name before first name)?
  - Will sub-files help organize the documents?
  - How will the computer sort the names?
  - When searching, could multiple items be found? If so, how will you know which is the correct one without opening it?

Assemble a team of employees who will be using the files to agree on naming conventions that will promote the fast and easy retrieval of information through consistency. The team should consider the following questions:
- What information do people know when they seek records from the filing system?
- Should the file or document name be formatted in a particular way (such as last name before first name)?
- Will sub-files help organize the documents?
- How will the computer sort the names?
- When searching, could multiple items be found? If so, how will you know which is the correct one without opening it?
Step #4: Check Out/Check In Procedures

- Employees need confidence that the filing system is complete and accurate
- Return records to the filing system by the end of the work day, if possible
  - Electronic: delete duplicates or file new versions by the end of the work day to avoid storage issues and confusion
  - Email: store in the shared filing system (paper or electronic) when the activity/task/conversation is completed
    - Inbox and sent mail folders should remind the employee about incomplete activities/tasks/conversations
    - Older messages in a conversation string should be deleted when newer messages are sent/received (unless they contain important attachments)
    - Non-essential email (like Gongwer) should be deleted by the end of the work day to avoid clutter
  - Paper: use out cards when retrieving files or documents

Offices should have check out and check in procedures for their files. Employees need confidence that the filing system is complete and accurate, or they may choose to keep their own copies of the records they use. This will create duplicate storage and version control problems for the office.

Employees need to return records to the filing system by the end of the work day, if possible.

If the records are electronic, the employee should delete duplicates or file new versions by the end of the work day to avoid storage issues and confusion.

If the records are email, the employee should store the messages in the shared filing system (paper or electronic when the activity/task/conversation is completed. Inbox and sent mail folders should be used to remind the employee about incomplete activities/tasks/conversations. Older messages in a conversation string should be deleted when newer messages are sent/received (unless they contain important attachments.

Non-essential email (like Gongwer) should be deleted by the end of the work day to avoid clutter.

If the records are paper, the employee should use out cards when retrieving files or documents, and then return the records by the end of the work day.
Step #5: Standard Operating Procedures (SOPs)

- SOPs ensure that everyone works consistently, and that quality controls are employed
  - Identify business processes within the office
  - Map the high-level steps of the process, and who is responsible
  - Procedures should define how to perform each task
  - Review SOPs annually, and update as needed
  - Additional guidance about recordkeeping rules is available from the RMS website

Standard Operation Procedures (SOPs) ensure that everyone works consistently, and that quality controls are employed. The following are tips for developing new SOPs:

- **Business Processes** - analyze the duties of all employees and define the business processes of the office. This is a group activity. The activity may identify sub-processes of a larger process. Grouping the processes functionally may be helpful. Create a master list of each function and its processes.

- **Process Mapping** - at a high level, define the tasks involved in each business process from beginning to end, identify decisions that impact the tasks, define who is responsible for each task.

- **Procedures** - take each task from the process map and define the instructions (down to the click-level, if necessary) to perform the task. Don’t leave out any details, this will be used to ensure consistency and to train new employees (assume the reader knows nothing before receiving the document). Identify who is authorized to create records, access records, modify records and destroy records. Identify any quality controls or quality assurance activities that are performed to ensure consistency, accuracy and accountability. Identify where records are stored, at which step the records are filed (by whom), and if there are any naming conventions used. Identify the applicable Retention and Disposal Schedule that authorizes destruction. Identify who is responsible for each activity, and identify a back-up person, if possible.

- **SOP Management** - solicit input from all affected employees before adopting the SOP (you may be surprised who can contribute). Review and update the documents at least every 5 years. Use the SOPs to train new employees - this will test accuracy of the instructions. Additional guidance about recordkeeping rules is available from the RMS website, https://stateofmichigan.sharepoint.com/teams/insidemi/recordsmanagement/Documents/recordkeepingrules.pdf.
Step #6: Follow Retention Schedules

- Retain records according to schedules to reduce costs and legal liability
  - Are the records listed on a schedule (general or specific)?
  - Does the retention period meet the agency’s needs?
  - Does the schedule match the organization chart?
  - Does each employee know how long to keep records?
  - Does the office clean up its records regularly?
  - Which employee is responsible for maintaining the shared filing system?
  - Are inactive paper records boxed for off-site storage at the Records Center?
  - Are historical records transferred to the Archives of Michigan?
  - Are confidential and sensitive paper records put in confidential destruction bins?

Retain records according to schedules to reduce costs and legal liability. Answering the following questions will help with this step:

- Are the records listed on a schedule (general or specific)?
- Does the retention period meet the agency’s needs?
- Does the schedule match the organization chart?
- Does each employee know how long to keep records?
- Does the office clean up its records regularly?
- Which employee is responsible for maintaining the shared filing system?
- Are inactive paper records boxed for off-site storage at the Records Center?
- Are historical records transferred to the Archives of Michigan?
- Are confidential and sensitive paper records put in confidential destruction bins?
Strategy for Re-organization

- Adopting a new filing system will not happen overnight
- Assemble a team to develop new business rules and promote adoption of the new filing system
- Adopt the new filing system with a day-forward approach - don’t worry about the old files
- Give employees 6-12 months to learn, evaluate and modify the new filing system
- Clean up older files once employees develop new recordkeeping habits

Adopting a new filing system will not happen overnight. Assemble a team to develop new business rules and promote adoption of the new filing system. Try adopting the new filing system with a day-forward approach - don’t worry about the old files. Give employees 6-12 months to learn, evaluate and modify the new filing system. Then, clean up older files once employees develop new recordkeeping habits.
Next, we are going to discuss option #2: storing records.
Records can be stored in a lot of places, such as cabinets, employee cubicles, closets, electronic storage (including shared drives, e-mail accounts, SharePoint and other EDM, cloud, hard drives, external devices, etc.), off-site storage, and secret places nobody wants to admit exists...
Nobody has unlimited funds or storage space

- There is no “one size fits all” solution
- Different records and processes have unique needs
- Understand the total cost of ownership

However, nobody has unlimited funds or storage space. There is no “one size fits all” solution for storing records. In fact, different records maintained by the same office may need different storage solutions, because they may have unique needs. Their volume, format and usage may be different. It is important to understand the total cost of owning a storage solution, from acquisition to implementation to maintenance.
Cost of Recordkeeping

- Costs are different for each type of recordkeeping system
- Cost factors include:
  - Employees
  - Volume of records
  - Method of record creation and modification
  - Storage and security
  - Frequency of access, and type of access needed
Conduct a Needs Analysis

• Define your problem
• Analyze your current processes
  • How/why records are created
  • Storage (volume, location, security)
  • Indexing
  • Retrieval activity (who, how often, where)
  • Workflow and record modifications
  • Retention
• Identify all potential solutions
• Compare the costs of the solutions

When choosing a recordkeeping system, you need to define your problem, your current processes, and identify all potential solutions. Then you can analyze and compare the costs of the potential solutions.
Comparing Options

- Cost of initial implementation
- On-going maintenance and storage costs
- Impact of changing how the office does business
- Cost of new staff and equipment
- Timelines for implementation
- Training time for employees

When comparing these various storage options, you need to consider the cost of initial implementation, on-going maintenance and storage costs, the impact of changing how the office does business, the cost of new staff and equipment, timelines for implementation, and training time for employees.
Successful Solutions

• Technology alone cannot solve recordkeeping problems
• Consistent use by all employees is crucial to success
• Dangers
  • Undefined business rules
  • Improper use of the system

Keep in mind that regardless of which option you choose, technology alone cannot solve recordkeeping problems. Consistent use of the recordkeeping system is crucial to the success of the solution. The dangers that threaten the success of the solution include undefined business rules that lead to inconsistent usage, and improper use of the system by employees. It is important to recognize that employees may resist change, and to have a plan to address the situation.
Agencies that are considering scanning and electronic document management are encouraged to take the *Imaging and Document Management Solutions* class that is offered by RMS.
Off-site Storage

- State Records Center
- Archives of Michigan

Off-site storage is another option for paper-based records. There are two types of off-site storage that we will discuss: State Records Center, and the Archives of Michigan.
Why use off-site storage?

- Office space is limited
- Off-site warehouse storage is cheaper than office storage
- Boxes are cheaper than file cabinets
- Shared labor and overhead costs are lower per unit

Why should an agency consider off-site storage an option? Office space is limited, especially for offices that are moving to new space that is often smaller than their previous space. Off-site warehouse storage is cheaper than office storage. The 2017 rates for space in state office buildings in downtown Lansing was $13 per square foot per year. This is compared to Records Center costs of $4 per box per year. Boxes are cheaper than file cabinets. Finally, there is an economy of scale; shared labor and overhead costs are lower per unit. Bottom line, off-site storage is a good solution for records with low retrieval activity, such as closed files.
The State Records Center that is operated by RMS provides for the temporary storage of inactive physical records in boxes for state agencies. The State Records Center recently added a fee-based service called “Open Shelf” for unboxed storage of active paper records.

All records remain the property of the creating agency, and can only be accessed by authorized individuals. Agencies can pick up records at the Records Center for urgent retrievals. Normal retrieval is 1-3 business days. The building also has fire and theft protection.
The Records Center database manages the boxes that are stored at the State Records Center. User accounts are requested by RMOs. To protect the security of the records, it is important that employees do not share user accounts. Temporary employees and students can get their own user account. The database is accessed using the State of Michigan’s intranet. It is used to submit records to Records Center and the Archives of Michigan, and to retrieve records from Records Center. All boxes and many files are barcoded. Each container is linked to Retention and Disposal Schedules, so the State Records Center can generate disposal notices and Archives transfer notices for boxes that have met their retention period.
Records Center Boxes

- Records Center shelves are designed to hold specific boxes
- Boxes can be ordered by your agency's authorized office supplies purchaser
- Do not over-stuff boxes
- Assemble boxes correctly
- See Quick Guide for instructions

Records Center shelves are designed to hold specific boxes. The approved boxes can be ordered by your agency's authorized office supplies purchaser. It is very important to not over-stuff the boxes, so they fit on the shelf. Also, boxes need to be assembled correctly. RMS has a Quick Guide available online that contains instructions.
Boxes at the Records Center are linked to a schedule and have an assigned disposition date upon arrival. Active files should not be sent to the Records Center, because the appropriate destruction date is not known if the file is still open.

Closed files that re-open should be permanently checked out from the Records Center and returned to the active filing system. These files should be stored in a new box with a new destruction date when they close again.

Be aware, that all records at the Records Center are destroyed at the box level. Individual files are not destroyed separately, so all files in a box must have the same destruction date.

Records Center disposal is conducted twice annually. Disposal notices are sent to RMOs for approval before boxes are destroyed. RMOs distribute the notices to their liaisons throughout the department for review. Boxes can be held beyond the destruction date if they are still needed for a legal hold or a schedule revision. All boxes are destroyed confidentially.
The Records Center Procedures and User Instructions are available via InsideMichigan (see the end of this training for instructions to access the website). They contain information about sending records, retrieving records and returning records.

State employees who need assistance can call the Records Center at 517-335-9132, or send an email to recordscenter@michigan.gov.
The Archives of Michigan provides for the permanent preservation of records with historical value. Retention and Disposal Schedules identify which records are transferred to the Archives. The storage areas have environmental and security controls to protect records. All records are the property of the Archives and can be accessed by the public, unless they are confidential.
Transferring Records to the Archives

- Records Center Transfer
  - Annual transfer of designated state records to the Archives
  - Agency receives a notice from the Records Center before the records are transferred
- Direct Transfer
  - Enter the boxes into RC database

Records are transferred to the Archives of Michigan in two ways.

The records can either be sent to the Records Center first for off-site storage, and be transferred to the Archives in compliance with the Retention and Disposal Schedule. If this happens, the agency will receive a notice annually that identifies the records that are authorized for transfer to the Archives. The agency must approve the transfer before it is implemented.

The other method is to send the records directly to the Archives. When boxes are entered in the Records Center database, it identifies if they should be sent directly to the Archives.
The Archives is located in the Michigan Library and Historical Center building at 702 W. Kalamazoo St in Lansing. You can call the Archives at 517-335-2576 or email them at archives@Michigan.gov. Their website is www.Michigan.gov/archivesofmi.
Email Management
Would you keep all of your mail in your mailbox?
Why would you keep all of your email in your inbox?

Let’s take a few minutes to discuss email management. Would you keep all of your mail in your inbox? Then why would you keep all of your email in your inbox? Unfortunately, this is how many public employees manage their email.
Email technology that supports sending electronic message between computers in different locations was invented in October 1971.

Email use increased steadily over the past 30 years, and it is considered to be the primary tool for business communication today. In fact, most employees cannot function effectively at work without email.
Email Retention Principles

• Purpose of the email system is to send and receive email messages
• Email system is not a record retention/storage tool
• Email should be stored in the office’s designated filing system with other records

Purpose of the email system is to send and receive email messages. It is not a record retention or storage tool. Email should be stored in the office’s designated filing system with other records.
There is no single retention period for all email, just like there is no single retention period for all paper. Email is a format that a record is stored in.

The retention period for an email message depends upon the content of the message, and the business process it supports. For example, if message is related to a contract, it needs to be kept as long as all other contract records. If message is related to a personnel issue, it needs to be kept as long as all other personnel records.
You are Effectively Managing Your Email If...

• Messages that are still in your email account (inbox and sent mail):
  • Have not been read yet, or
  • Are related to tasks awaiting further action
• Messages that are records are filed in with other records that document the business process, either electronically or in paper form
• Messages that are not records are deleted

Messages that are still in your email account (inbox and sent mail) have not been read yet, or are related to tasks awaiting further action.

Messages that are records are filed in with other records that document the business process, either electronically or in paper form.

Messages that are not records are deleted.
When you send or receive a message, as yourself these questions:

Does the message document government business? If yes, go to the next question. If no, delete it.

Is the message evidence of an activity, decision, director or guidance? If yes, go to the next question. If no, delete it.

Are you responsible for retaining the message? If yes, file it. If no, delete it. If you don’t know, ask your supervisor.
Don’t wait, make retention decisions right away. The longer you wait, the harder it will be to remember which are important. Only keep what you are responsible for filing.

Only keep the last message in a conversation, if it includes the content (including attachments) of all the previous messages.

Don’t keep duplicates. Rely upon the designated file, so there is less confusion about drafts and versions.

Retain calendar appointments for 2 years.

Empty deleted items and junk mail often. Be aware, deleted email remains in the Microsoft Cloud for 30 days after the trash is emptied.
Deleting the non-records, transitory records and personal records is easy. Most messages will have the same retention period—even if you have a lot of records. Start developing new habits today—it feels good! Smaller email accounts are less overwhelming.
Next, we are going to discuss option #3: destroying records.
Why do employees hoard records?

- **Uncertainty:** never know when you might need it
- **Productivity:** more stuff demonstrates more effort
- **Fear:** don’t want to be in trouble if it is gone
- **Technology:** enables creation and storage of more
- **Volume:** no time or motivation to sort through the stuff
- **Hidden:** out of sight, out of mind
- **Accountability:** no requirement to clean up

Uncertainty: you never know when you might need it.
Productivity: some employees think more stuff demonstrates more effort.
Fear: employees don’t want to be in trouble if it is gone.
Technology: enables creation and storage of more stuff.
Volume: employees don’t have time or motivation to sort through the stuff.
Hidden: electronic records in particular are out of sight, out of mind.
Accountability: no requirement to clean up. If your supervisor does not tell you to clean up the mess, why would you spend the time to do it?
Following Retention Schedules

• All records need to be reviewed regularly (at least annually)
  • Identify which records to keep and which to destroy
• Office directors should designate a records management liaison (RML) to coordinate clean up activities
• RMS does not audit agencies to confirm compliance with schedules – it is the agency’s responsibility
• Applying retention saves space (physical and electronic), saves money, improves retrieval of information

Retention and Disposal Schedules can help and protect agencies, but are only useful if the agency uses them to apply retention. Agencies need to review all records (paper and electronic) regularly - monthly or annually, for example- to identify which to keep and which to destroy. The first clean up event will be complicated, but if it is repeated regularly, it will get easier. Office directors should designate a records management liaison (RML) to coordinate clean up activities.

RMS does not audit agencies to confirm compliance with Retention and Disposal Schedules – it is the agency’s responsibility. Applying retention saves space (physical and electronic), saves money, and improves retrieval of information.
Clean-up Should be Comprehensive

• Central office records and records maintained by individual employees
• All formats - paper and electronic
• All employees need to participate
• Additional guidance is available from the RMS website

Clean-up should be comprehensive. It should include both central office records, and those maintained by individual employees. Remember it’s not just about the paper. It’s important to clean up shared drives, individual network drives, hard drives, and email accounts too. All employees should participate in clean up activities, because almost everyone is storing records.

It is important that agencies suspend destruction of records that are requested for FOIA, litigation and audit, even if destruction is authorized by a retention schedule. If relevant records exist in electronic formats, agencies should notify information technology staff. Failure to cease the destruction of relevant records could result in penalties from state or federal courts. It is important to confirm whether the records in your office are covered by an active legal hold. Ask your supervisor, and if they are unsure, contact FOIA and litigation coordinators.
It is important that records be destroyed using appropriate methods. There are three primary methods for destroying physical records. They include the trash, recycling and confidential destruction.
<table>
<thead>
<tr>
<th>Trash</th>
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| • Trash bins and dumpsters are not secured  
• Exposed to the environment  
• Handlers may not have security screenings  
• Trash is taken to an open landfill  
• Landfill could be in another state or country  
• DO NOT PUT RECORDS IN THE TRASH! |

Trash bins and dumpsters are not secured, and they are not locked to prevent access by “dumpster divers.” They are often exposed to the environment, and the contents could be scattered when transferred to a truck and while travelling. Trash handlers generally do not have to go through security screenings. Trash is taken to an open landfill that could be located in another state or country. The information could be accessed by anyone. Do not put records in the trash; it is for banana peels and coffee cups.
Recycling bins and containers are not locked, and the material is taken to an open warehouse for processing and baling. During transit the material is often not secured, and the truck drivers and handlers may not go through security screenings or background checks. Raw paper is sold on the open market, and then hand sorted according to paper grades. Information in the records is not destroyed and remains intact throughout the process. It could be accessed by anyone until it is actually utilized at a paper mill. Do not recycle confidential records.
Shredding May Not Be Good Enough

- Strip cut shreds can still reveal full lines of text
- Shredded records can be reconstructed
- Be aware of how the shreds will be disposed of to prevent reconstruction

Be aware that shredding may not be good enough. Strip cut shreds can still reveal full lines of text, and there is software on the market that can be used to reconstruct shredded records. This software works with strip shreds, cross cut shreds and hand ripped shreds. Be aware of how the shreds will be disposed of to prevent reconstruction. A bag of shredded records is like a red flag to dumpster divers. The flag says that the bag contains “good stuff.”
Not all shreds are equal. The image on the left shows the difference between strip cut shreds and shreds that comply with the State of Michigan’s confidential records destruction contract. This contract requires that records be destroyed to 1mm x 5mm particle size. The image on the right shows examples of different destruction particle sizes.
Confidential destruction methods prevent reconstruction of materials, and the inappropriate release of information. The State of Michigan contract requires that paper be destroyed to 1 mm x 5mm particle size. This can be accomplished with pulverization or grinding, and then the material is recycled. Film, computer hard drives and disks must be destroyed to 1/35 inch particle size, which is essentially dust. It is accomplished with grinding. It is vitally important that all agencies securely destroy all confidential records.
Rapid Shred is the current vendor for statewide confidential destruction. They provide locked bins in state office buildings for storing records until they are picked up for destruction. The employees are bonded and have background checks, and they must destroy records within 24 hours of pickup. All transportation and processing areas are secured, and they offer flexible scheduling for pickup of materials. Each location that hosts a bin is linked to an agency’s index code for billing. Please make sure that your bins are full each time they are picked up to keep the costs down. Rapid Shred can be contacted by calling 616-735-2900.
These are images of the confidential destruction process. First is an image of the locked bins. Next, is a scale for weighing the bins. Then the grinding machine. Finally, the ground paper.
Confidential Destruction of Records

- Confidential Destruction of Records tutorial is available online
- Tutorial takes about 15 minutes

If you have co-workers who handle confidential records, there is a 15-minute online tutorial about confidential destruction. It is available online (see the end of this training for instructions to access the website).
Electronic Records Destruction

- Delete Does Not Mean Delete!
- Deleted files might be stored elsewhere
  - Recycle bins
  - Backup tapes
  - Duplicate copies
    - Printouts
    - Disks and external drives
    - Cloud
    - Internet
- Comply with SOM IT Standard 1340.00.110.04 (Secure Disposal of Installed and Removable Digital Media)

Electronic records need to be destroyed properly too. Keep in mind that delete does not necessarily mean delete. Deleted files might be stored elsewhere including electronic trash bins, backup tapes, computer memory until it is overwritten, and there could be duplicates in a lot of places. It is also important to know that computer forensic tools can sometimes recover records from overwritten memory. Be aware that DTMB has a procedure for securely destroying digital storage media.
It’s Time to Get Organized!

Plan a Clean-up Day

It’s time for your office to get organized. Remember, your recordkeeping problems are only going to get worse if they are ignored. So you should plan a clean-up day for your office.
Sorry…
We can’t clean your office for you.

Sorry, Records Management Services cannot clean your office for you.
Clean-up the low-hanging fruit first. It should be easier to find and delete the following types of documents:

1. **Non-records** - delete non-records that are not needed, and store reference documents separately from official records.
2. **Transitory Records** - delete when issue is addressed, and they are no longer needed.
3. **Personal Records** - delete personal records that are not needed, and do not store personal records using government resources.
4. Records - identify if the records are covered by a general schedule or an agency-specific schedule. Contact RMO for assistance if the record is not listed on an approved schedule. Destroy records that have already met their retention period. Use shared filing systems. Remember, most employees are only responsible for less than 5 record series, so it should not be difficult to remember how long to keep stuff.
5. Manage email daily - don’t let the volume of email get out of control, make retention decisions upon receiving or sending a message.
6. Regularly clean up all storage spaces - email, shared drive, file cabinets, cubicles, document management systems, databases, etc.
7. Suspend the destruction of records, if necessary for FOIA, litigation, audit, or investigation.
RMS created tools to help your office plan a Snack It & Pack It Day. The purpose of this day is kick start a record clean-up, and to initiate a routine clean-up habit.

The first step is to get your supervisor to endorse the initiative. The second step is to schedule the date and clear everyone’s calendars of appointments for the day. The third step is to contact RMS for tools.

RMS can provide you with posters, an orientation presentation (available online at https://stateofmichiganlearningcenter.csod.com/LMS/LoDetails/DetailsLo.aspx?loid=8d79bc61-6921-40c6-bb34-ac5910ab1da4&query=%23q%3Drecords%2520management%26s%3D1%26f%3D0%26a%3D&back_key=1#t=1) and a tip sheet (available online at https://stateofmichigan.sharepoint.com/teams/insidemi/recordsmanagement/Documents/cleaningtips.pdf). Both the presentation and the tip sheet are available from the RMS intranet. They can be used at a staff meeting about a month prior to the clean-up day to help employees plan ahead.
This poster is a fun way to get motivated for Snack It & Pack It Day. It says, “Don’t be an air head, milk dud, or goober. Get all your chicks and ducks in a row!

You have mounds and mounds of whatchamacallit all over the milky way.

Take a few extra steps and detour from your daily responsibilities to clean.

Remember to take 5 and delete your spam. It will only take a minute.

Score big by cleaning and help save your office 100 grand.

Let’s make sure there is good and plenty space in the office and network storage.

Don’t be a ding dong. Mike and Ike and all your peeps are doing it. So should you!

Ps. Be sure to snicker and chuckle while you clean. It will make the time fly!”
RMS is available online. To find RMS online go to inside.michigan.gov. Go to the For Your Job menu. Select Records Management.
It’s quiz time! Are the following statements true or false?

1. Our office should have check out/check in procedures for our paper and electronic files.
   Answer: True. Employees need to know where files are located when a shared filing system is used.

2. It’s ok to keep personnel communications in my work email account for the entire retention period.
   Answer: False. Personnel records won’t be accessible to the employees who need them if they are stored in an email account. They should be kept with the other personnel records.

3. On clean-up day I need to destroy the withdrawn applications that contain social security numbers according to the retention schedule. I can put them in the recycle bin.
   Answer: False. Records that contain confidential information, like social security numbers, need to be put in confidential records destruction bins, so they are disposed of properly.

4. When a case file closes our office should move it to an inactive file location for the remainder of the retention period.
   Answer: True. Keeping active and inactive files in separate locations makes it easier to find records, and to apply retention.

5. My Records Center box is only partially filled with records, so it’s ok to put our office’s holiday decorations in the box.
   Answer: False. Holiday decorations are not records and cannot be sent for storage. However, it is ok to send partially filled boxes to the Records Center.
Thank you for attending. You will receive an email in 1-2 days inviting you to fill out an evaluation of this class.

Login to the State of Michigan Learning Center. Go to the Learning menu. Select View Your Transcript. Find this class in the list, and select the Evaluate button.

Evaluation is open for 10 days.
We can help!

Records Management Services
3400 N. Grand River Ave.
Lansing, Michigan 48909
517-335-9132
DTMB Service Catalog

Please contact Records Management Services if you need assistance with records retention, recordkeeping systems, and other records management issues. The phone number is 517-335-9132.

Thank you for taking this online class. We hope you will visit our website and take more records management classes.