

How to Manage Records

Records Management Services

State of Michigan

Overview

- Common Recordkeeping Problems
- Risk Management
- Keeping Records
- Storing Records
- Destroying Records
- Getting Organized

Learning Objectives

- To understand how to
 - Improve recordkeeping practices
 - Evaluate storage options
 - Properly destroy records
 - Get organized

Records Management Services

- Retention and Disposal Schedule development, review and approval
- Recordkeeping system consulting
- Imaging and document management services
- Education and training
- Records storage services

Do you have?

- Disorganized records
- Trouble finding records
- Too much stuff

Does your office look like this?

- Are these storage spaces a mess too?
 - E-mail account
 - Network shared drive
 - Individual network drive
 - Computer desktop

Common Recordkeeping Problems

- No collaboration tools
- Version control
- Litigation holds
- File clean-up is difficult
- Accidental deletion
- Loose security
- Can't find stuff

- Stuff is everywhere
- Duplicate records
- Retirements and departures
- Can't share stuff
- FOIA timelines
- Email and shared drives full
- Disorganized records

Records Management is Risk Management

Understand your level of risk

- Disaster (fire, flood, etc.)
- Security breach (theft, misuse or fraud)
- System backup process failed or incomplete
- Misfiled/lost records
- FOIA
- Litigation
- Negative Impact
- If records are lost or destroyed inappropriately
- Financial loss
- Lost opportunity
- Litigation/audit/investigation
- System repair/recovery costs
- Customer inconvenience
- Lost time/productivity
- Public embarrassment or scrutiny

Mitigate Risks

- Select appropriate recordkeeping systems
- Policies, procedures, documentation
- Security
- System backup
- Disaster plan
- Maintain proper storage conditions
- Implement retention

Did you know ...

- On average, 30% of records in offices need to be retained, but are not retrieved regularly, and should be stored off-site.
- 40% of records in offices have met their retention requirements and should be destroyed.
- 30% of records in offices are needed for on-site reference activities.

What should we do with our records?

- Keep, Store or Destroy?

Keeping Records

- Option #1

Retention and Disposal Schedules

- Identify how long records must be kept
- Provide the only legal authorization to destroy records
- Cover all records, in all formats
- Essential tool for managing records effectively and efficiently

Why do we keep records?

- Document work
- Document compliance with the law or rules
- Document financial transactions
- Document history of people, places and events

To Keep or Not to Keep

- Keep: you are the designated recordkeeper, document your job duties and responsibilities, document decisions and activities of your office, or document guidance or services provided by your office
- Don't Keep: 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, junk mail

Who should keep records?

- Creators/authors/senders
- Recipients, if: the records document their job duties, and they do not have access to the creator's records
- Employees who are designated by their supervisor or a team to be responsible for recordkeeping. Remember, records are owned by the business process and need to be accessible

What is the purpose of a filing system?

- Provide a secure location for storing records
- Find records and information quickly and easily

Organizing Records

- Organized records are easier to retrieve
- Good organization is the responsibility of the user
- Filing systems should be easy to use, and should be used consistently
- Filing systems exist in many formats and locations
- RMS Guides are available about Organizing Records and Naming Records

Misfiling Statistics

- Even a low misfiling rate can cause significant problems
- For example, an office with 25 filing cabinets has approximately 200,000 documents

- If ½ of 1% of the documents in those cabinets were misfiled, they would have 1000 documents that are filed incorrectly and cannot be found when they are needed

Misfiled and Disorganized Records

- Cause frustration among employees and customers
- Increase search time and cost
- Result could be: negative press coverage, agency fines, lost productivity

File Plans

- Provide a tiered structure for organizing records
- Make record storage and retrieval easier
- Make record retention easier

Tip: Re-organizing Filing Systems

- New System: Design for day-forward implementation
- Develop business rules for consistently using the system
- Pick a start date for the new system
- Build new recordkeeping habits
- Old System: Clean-up is a separate project
- If possible, wait to implement clean-up of the old system
- Developing new habits and business rules first will make clean up easier

Storing Records

- Option #2

Storage Options

- Cabinets
- Shelving
- Closets
- Cubicles
- Electronic storage
- Off-site storage
- 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

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

Storage Options

- Paper
- Microfilm
- Electronic Records

Paper Benefits

- Easy to read
- Easy to transport
- Established filing rules
- Satisfies long-term storage requirements
- May be eligible for low-cost off-site storage

Paper Disadvantages

- No disaster recovery
- Single user/single location access
- Expensive to duplicate
- Easy to misfile or lose

When to Use Paper

- Low retrieval activity
 - Low volume of records
 - Physical storage space is available (on-site or off-site)
- ! Be aware that electronic storage is more expensive than paper storage, if the record was originally created in a paper format

Microfilm Benefits

- Reduce space requirements (~ 98%)
- Easy duplication and distribution
- Preserves information (long-term stability)
- Minimal system dependence
- Security/protection (working and security copies)
- Integrity of records
- Improve filing and retrieval activity
- Eliminate misfiles

Microfilm Disadvantages

- Not user friendly
- Central point of access
- Single user access
- Diminishing availability of film, readers, printers and scanners

- Rising costs
- Preservation requires proper environmental conditions

When to use Microfilm

- Records will not be modified in future
- Voluminous
- Long retention period (> 50 years)
- Low retrieval activity
- Centralized access is sufficient

Electronic Records Benefits

- Wide variety of tools
- Including digital images, e-mail, databases, word processed documents, spreadsheets, CAD, GIS, web pages, etc.
- Eliminates physical storage
- Easy to: analyze, manipulate, report, modify and duplicate, search, retrieve, transport and share

Electronic Records Disadvantages

- Unlimited growth of electronic records makes them harder to manage
- Electronic storage is not unlimited and free
- Back-ups are required to protect against failure and corruption
- Most offices do not implement retention consistently for paper and electronic records
- Technology becomes obsolete quickly

When to use Electronic Records

- Records are frequently modified
- Data manipulation, analysis and reporting
- High retrieval activity
- De-centralized access from multiple locations
- Simultaneous multi-user access
- Tracking for compliance

Imaging and Document Management Solutions

- 2-hour class:
- Help agencies identify which technology will really meet their needs
- Discuss State of Michigan solutions that are available
- Cover the steps involved in moving to a digital environment
- Space is available, sign up now!

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

Evaluate Storage Options

- Are records retrieved frequently shortly after creation?
- Are records retrieved frequently over their entire retention period?
- Are records used by multiple people or used at multiple sites?
- Are copies sent to people outside the office (including FOIA)?
- Does retrieval need to be immediate?
- Are records created or received electronically?
- Do the records have a retention period greater than 50 years?
- Are records modified after creation/filing?

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

Off-site Storage

- State Records Center
- Private storage vendors
- 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

State Records Center

- Temporary storage for inactive physical records
- Schedules identify which records state agencies can store at the Records Center
- Fire and theft protection
- Accessible to authorized individuals

Versatile

- User accounts are authorized by departmental Records Management Officers
- Accessed via SOM intranet
- Used to:
- Submit records to Records Center and Archives of Michigan
- Retrieve records from Records Center
- Manages disposal and Archives transfer

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
- <https://stateofmichigan.sharepoint.com/teams/insidemi/recordsmanagement/Documents/RC%20quick%20guide.pdf>

Records Center Disposal

- Boxes are linked to a schedule and have an assigned disposition date upon arrival
- Active files should not be sent to the Records Center
- Closed files that re-open should be permanently checked out and returned to the active filing system
- Records are destroyed at the box level
- Individual files are not destroyed separately
- All files in a box must have the same destruction date
- Disposal is conducted twice annually
- Disposal notices are sent to RMOs
- All boxes are destroyed confidentially

More Information about Records Center and Versatile

- Records Center Procedures and Versatile User Instructions
- Available online - <https://stateofmichigan.sharepoint.com/teams/insidemi/recordsmanagement/>
- Topics: sending records, retrieving records, returning records
- Customer assistance
- 517-335-9132
- recordscenter@michigan.gov

Local Government

- If storage space is not available within government facilities then vendors are available
- RMS published a [Guide to Selecting Records Storage Vendors](#) to assist local governments

Archives of Michigan

- Provides for the permanent preservation of records with historical value
- Schedules identify which records are transferred to the Archives
- Storage areas have environmental and security controls
- Records are the property of the Archives
- Records can be accessed by the public, unless confidential

Destroying Records

- Option #3

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

Applying Retention

- RMS does not audit agencies to confirm compliance – it is the agency's responsibility
- Designate a *records coordinator* to ensure schedules are implemented
- Applying retention saves space, saves money, improves retrieval of information, and reduces risk

Routine Clean-up

- Should be done regularly
- Should be comprehensive
- Central office records and records maintained by individual employees
- All formats - paper and electronic
- All employees need to participate

Develop New Habits

- Clean up the low-hanging fruit right away, so it does not grow out of control
- Non-record Materials
- Drafts, duplicates, etc.
- Transitory Records
- Short-term value
- Personal Records
- Store at home

Suspending Destruction

- FOIA, Litigation, Audit
- Immediately cease the destruction
- Holds override retention schedules
- Holds apply to all formats
- Failure to cease the destruction could result in penalties

Destruction Methods

- Trash
- Recycling
- Confidential Destruction

Trash

- 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!

Recycling

- Collection containers are not locked
- Trucks and warehouses may not be secured
- Handlers may not go through security screenings
- Raw paper is sold on the open market
- DO NOT RECYCLE CONFIDENTIAL RECORDS!

Recycled Material

- Recycled materials are not destroyed until they are re-purposed, and information can be accessed by anyone.

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

Confidential Destruction

- Prevents reconstruction of materials
- Prevents inappropriate release of information
- State of Michigan contract requirements
- Paper: 5/16 inch particle size
- Material is recycled
- Film, computer hard drives and disks: 1/35 inch particle size
- SECURELY DESTROY ALL CONFIDENTIAL RECORDS

Rapid Shred

- Statewide Confidential Destruction Service
- Bins are locked
- Company is bonded
- Destroyed within 24 hours of pickup
- Secure transportation and processing areas
- Flexible scheduling for pickup
- Contact:
- Rapid Shred, 616-735-2900
- Scott Dennis, President

Confidential Destruction of Records

- Online class
- Accessible from RMS intranet site
- <https://dmbinternet.state.mi.us/DMB/confidentialdestroy/story.html>

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 1340.00.13 - Secure Disposal of Installed and Removable Digital Media Standard

It's Time to Get Organized! Plan a Clean-up Day

- Sorry...We can't clean your office for you.

Snack It & Pack It Day

- Purpose
- Kick start record clean-up
- Initiate a routine clean-up habit
- Step #1: get supervisor to endorse the initiative
- Step #2: schedule the date
- Step #3: contact RMS for tools to help
- Poster
- Orientation presentation (available online)
- Tip sheet (available online)

E-mail Management

- Newly updated online training
- Takes less than 30 minutes
- Contains a lot of clean-up tips
- Available at: <http://dmbinternet.state.mi.us/DMB/EmailRM/story.html>

DTMB Service Catalog

- <http://inside.michigan.gov/dtmbsc/>

We can help!

Records Management Services

3400 N. Grand River Ave.

Lansing, Michigan 48909

(517) 335-9132

<http://www.michigan.gov/recordsmanagement/>

<https://stateofmichigan.sharepoint.com/teams/insidemi/recordsmanagement/>