

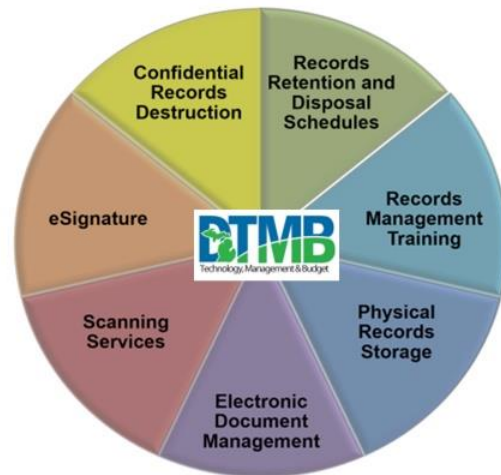
Records Management for Managers and Supervisors



Notes:

Welcome to the class, “Records Management for Managers and Supervisors.” This class is presented by the state of Michigan (SOM), Records Management Services. The target audience for this class is Michigan Civil Service Commission (MCSC) Group 3 supervisors and managers. MCSC Group 4 executives and administrators will also benefit from the information that is provided. Managers and supervisors are essential to ensuring SOM’s records are properly managed, and this course will help you accomplish that.

Records Management Services



Notes:

Records Management Services (RMS) is responsible for the development, review and approval of records Retention and Disposal Schedules. RMS also provides records management training - like this class, physical records storage services, electronic document management services, scanning services, eSignature solutions, and confidential records destruction services. Our customers include the Executive, Legislative, and Judicial branches of government, and all local governments in Michigan.

What is a Record?

Public Record

A writing prepared, owned, used, in the possession of, or retained by a public body in the performance of an official function, from the time it is created.

--Michigan's Freedom of Information Act (FOIA)

Record

Means recorded information in physical or electronic formats, made or received by a Michigan government agency or employee. Records document the performance of government business, and serve as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities.

--Administrative Guide Procedure 0910.01



Notes:

Michigan's Freedom of Information Act (FOIA) defines a **public record** as "A writing prepared, owned, used, in the possession of, or retained by a public body in the performance of an official function, from the time it is created." FOIA, in conjunction with other laws, also defines which records can be released to the public.

According to the State of Michigan's *Administrative Guide* Procedure 0910.01, the word "**record**" means recorded information in physical or electronic formats, made or received by a Michigan government agency or employee. Records document the performance of government business, and serve as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities.

These definitions are intentionally broad. Because, if information is recorded on any medium, it is a record; and if it documents the work of government agencies, it is a public record.

Supervisors are Responsible

- If you supervise a business process, you are responsible for
 - Administrative Activities
 - Personnel
 - Budget
 - Recordkeeping Direction
 - Performance Activities
 - Efficiency
 - Customer Service
 - Deadlines



Notes:

If you supervise a business process, you are responsible for **administrative activities** like personnel, budgets, and recordkeeping direction; as well as **performance activities** like efficiency, customer service, and meeting deadlines.

MCSC Job Specifications

- Departmental Managers – Job Duties
 - “**Maintains records**, prepare reports, and composes correspondence relative to the work.”
 - “Assigns, coordinates, and outlines the **work methods** of subordinate employees.”
- State Administrative Managers – Job Duties
 - “**Maintains records**, prepares reports, and conducts correspondence relative to the work.”



Notes:

Good recordkeeping is clearly defined as a responsibility of managers working for the SOM. The Civil Service Commission’s Job Specifications for departmental managers and state administrative managers list the job duties of individuals in these positions. The job specifications say that these individuals are responsible for maintaining the records of the work that they direct. In addition, departmental managers are responsible for directing the work methods of subordinate employees.

Challenge: RM Activities Need Supervision

- Employees need direction about recordkeeping
- Consistency is important
- Prevent unnecessary and unorganized growth



Notes:

However, there is a challenge. Employees need direction from their supervisor about their recordkeeping responsibilities. Consistent recordkeeping practices are important, so employees should not be making independent decisions about where records are kept and how they are organized. Promoting the regular maintenance of records will prevent the unnecessary and unorganized growth of records. It will also reduce operational costs and legal risk exposure, while improving productivity and employee morale.

Supervisor Recordkeeping Responsibilities

Designate where records are stored ("system of record")

Establish recordkeeping rules that promote consistency

Delegate recordkeeping duties to employees

Oversee employee compliance with duties

Ensure compliance with records retention schedules



Notes:

What are the recordkeeping responsibilities of supervisors?

- Supervisors are responsible for designating where records are stored. The “system of record” is the official location where the records of a business process are kept. Some business processes may have more than one system of record. The location(s) should be accessible to all employees who are involved in the business process, and employees should not file records in other locations.
- Supervisors are responsible for establishing recordkeeping rules that promote consistency.
- Supervisors are responsible for delegating recordkeeping duties to employees, so employees know what is expected of them.
- Supervisors also need to ensure consistent employee compliance with using the designated filing system. If the shared drive is a mess, it affects everyone in the office.
- Supervisors are responsible for ensuring that their office’s records are covered by an approved Retention and Disposal Schedule that authorizes the destruction of the records when they are no longer needed.
- They also are responsible for ensuring that the office complies with the schedule by regularly destroying records that have met their retention period. This should be done at least annually.

Laws

- Freedom of Information Act, Definitions
 - M.C.L. 15.231-15.232
- Management and Budget Act, Records Management
 - M.C.L. 18.1284-1292
- Michigan History Center Act
 - M.C.L. 399.809-812
- Penal Code, Public Records
 - M.C.L. 750.491
- Records Reproduction Act
 - M.C.L. 24.401-24.406



[Michigan's RM laws are available online](#)



Notes:

Records management is not just good business, it's the law for Michigan government agencies. The following are the primary Michigan laws that impact records management.

The Freedom of Information Act (or FOIA) contains a definition of public records. There are multiple definitions of "public records" in Michigan law, however, they are all complimentary and don't contradict each other, but the FOIA definition is the one that is cited most frequently.

The Management and Budget Act prescribes the responsibilities of the Records Management Services, as well as the responsibilities of all state employees to manage records. The law makes government agencies responsible for ensuring their records are listed on a records Retention and Disposal Schedule, and for complying with the schedule's approved retention periods.

The Michigan History Center Act states that public records can only be destroyed with the authorization of an approved Retention and Disposal Schedule, and allows the State Archivist to determine which records have historical value and will be preserved permanently.

The Michigan Penal Code establishes misdemeanor penalties, including fines and jail time, for destroying a public record without the authorization of an approved schedule.

Finally, the Records Reproduction Act regulates the reproduction of records into different formats.

All these laws are available from the Michigan Legislature's website, www.legislature.mi.gov.

DTMB Administrative Guide to State Government

Chapter 900 - Records Management and Archival Preservation

POLICY 0910 Records Management

- 0910.01 Managing Government Records
- 0910.02 Records Retention and Disposal Schedules
- 0910.03 Transferring Records to the State Records Center
- 0910.04 Retrieval of Records from Records Center Operations
- 0910.05 Disposing of Records
- 0910.06 Confidential Destruction of Records
- 0910.08 Acquiring Imaging and Microfilm Services
- 0910.09 Obtaining Duplicate Copies of Microfilm
- 0910.10 Electronic Records Management and Storage
- 0910.11 Departmental Records Management Officers (RMO)

POLICY 0920 Archival Preservation of Records

- 0920.01 Management of Records of Permanent Value to the State and Its Citizens
- 0920.02 Direct Transfer of Archival Records to the Archives of Michigan
- 0920.03 Access to Records in the Custody of the Archives of Michigan
- 0920.04 Preservation of Electronic Records



Notes:

In addition to the laws, records management and archival preservation procedures are published in the *DTMB Administrative Guide to State Government* chapter 900. The Administrative Guide, also known as the Ad Guide, is how state government provides operational directives to state agencies for complying with Michigan laws.

IT Policies, Standards and Procedures (PSPs)

- IT PSPs protect data and documents (a.k.a. records)
- Most IT applications maintain and provide access to records
- Available online [IT Policies, Standards and Procedures \(sharepoint.com\)](https://sharepoint.com)



Notes:

IT Policies, Standards and Procedures (PSPs) are adopted by DTMB to protect data and documents (a.k.a. records), because most IT applications maintain and provide access to records. They are available online at [IT Policies, Standards and Procedures \(sharepoint.com\)](https://sharepoint.com).

Training and Toolkit

- Training and an online [toolkit](#) are for managers and supervisors
- Topics covered
 - Training Employees
 - Retention and Disposal Schedules
 - Activities that Impact Record Retention
 - Good Recordkeeping Practices
 - Business Process Management



Notes:

RMS developed this training and a toolkit to help managers and supervisors fulfill their responsibilities. The topics that will be covered are: Training Employees, Retention and Disposal Schedules, Activities that Impact Record Retention, Good Recordkeeping Practices, and Business Process Management. The [toolkit is available online](#) and contains a lot of useful resources for those who are prepared to take action.

Training Employees



Notes:

The most common response that RMS receives after we deliver any training is, “Why didn’t I learn this when I was first hired to do this job?” DTMB Records Management Services offers many online educational resources to help employees learn about and fulfill their recordkeeping duties. Managers and supervisors should encourage their employees to take the classes that are appropriate to their job duties.

RM Training for Employees in MCSC Groups

- RM training customized to duties typically assigned to employees within each classification group
- All SOM employees should take the class for their group
 - **MCSC Group 1:** employees are technical, office, paraprofessional and service occupations (non-supervisory) - *9 minutes*
 - **MCSC Group 2:** employees are business, human service, scientific, and engineering professional classes (non-supervisory) - *12 minutes*
 - **MCSC Group 3:** employees are managers and supervisors - *13 minutes*
 - **MCSC Group 4:** employees are executives and administrators - *7 minutes*



Notes:

RMS offers training that introduces employees to their records management responsibilities. These courses are customized to the records management duties typically assigned to employees within each Civil Service classification group. All SOM employees should take the class that is offered for their classification group.

- **MCSC Group 1:** employees are technical, office, paraprofessional and service occupations (non-supervisory). This class takes 9 minutes to complete.
- **MCSC Group 2:** employees are business, human service, scientific, and engineering professional classes (non-supervisory). This class takes 12 minutes to complete.
- **MCSC Group 3:** employees are managers and supervisors. This class takes 13 minutes to complete.
- **MCSC Group 4:** employees are executives and administrators. This class takes 7 minutes to complete.

Records Management Training

- Additional training is available about recordkeeping topics
 - Organizing files, naming files, cleaning-up files, scanning, email management, and more
- Assign training to employees if applicable to their job duties
- [Online classes](#)
 - Over 20 classes in the SOM Learning Center
 - Each takes 7 - 50 minutes
- [Online guidance](#)
 - Over 40 guides, tips, and brochures
- [Training plan template](#) can be used to assign classes



Notes:

After employees take the introductory class, managers should assess their office's needs and consider assigning employees to take additional training that is applicable to their recordkeeping duties. RMS offers online records management training that covers a wide variety of topics, including organizing files, naming files, cleaning-up files, scanning, email management, and more.

There are more than 20 online classes, and each class takes between 7-50 minutes to complete. The classes are available 24/7 via the SOM Learning Center at <https://stateofmichiganlearningcenter.csod.com/client/stateofmichiganlearningcenter/default.aspx>. Contractors who cannot access the SOM Learning Center can take records management classes. Please contact RMS if your office has contractors who need training.

There are also over 40 guidance documents available online at <https://inside.michigan.gov/recordsmanagement> that provide tips about various recordkeeping topics.

Records Management Services offers an employee training plan template that can be used to track employee training assignments.

Understanding Recordkeeping Responsibilities

- Training introduces recordkeeping practices
- Supervisors need to follow-up with each employee
 - New employees: introduce recordkeeping practices as they are [on-boarded](#)
 - Existing employees: ensure instructions are understood



Notes:

Training is important, but it only introduces employees to good recordkeeping practices. Managers and supervisors should follow-up with each employee to ensure they understand their recordkeeping responsibilities, and have the resources they need.

When on-boarding new employees, introduce them to the office's recordkeeping practices as they learn their new duties. Supervisors should also meet with existing employees to ensure instructions are understood, and good recordkeeping habits are adopted.

Employee Performance Management

- Supervisors monitor employee performance
- Include records management training and recordkeeping activities appropriate to employee duties in performance plans
- Makes records management a higher priority
- Promotes changes to recordkeeping habits
- [Tip sheet](#) has additional information



Notes:

Managers and supervisors work with their employees to establish SMART performance objectives each year that provide support and direction to employees to help them be successful. RMS encourages supervisors to include records management training and recordkeeping activities that are appropriate to the employee's duties in employee performance plans so they can monitor each employee's contributions toward good recordkeeping. A tip sheet is available for developing recordkeeping objectives for employees. This will help make records management a higher priority among employees, and it will promote changes to recordkeeping habits.

Retention and Disposal Schedules



Foundation of Records Management



Notes:

Retention and Disposal Schedules are the foundation of records management, because all other decisions about how to manage records depend in part upon how long the records are kept.

Retention and Disposal Schedules

- List official records created and maintained by an agency
- Define the retention periods for records
- Provide the only legal authorization for destruction
 - Internal policies cannot legally authorize destruction of records
- Should reflect current organization structure and business processes



Notes:

Schedules list the records series that are created and maintained by an agency. They define the retention periods for records, and they authorize the destruction of records. Internal policies cannot legally authorize the destruction of records, only an approved schedule can.

Unscheduled records are by default permanent, because there is no authorization to destroy them.

Schedules need to reflect current organization structures and business processes of each agency, so the schedule is accurate and useful. Government agencies are frequently re-named, split and merged, so it is important to revise schedules to reflect these changes.

Wide Variety of Government Records



- The retention period for all records is governed by schedules - it does not matter which:



- **Tool** is used to create the records (Microsoft 365 products (Word, Excel, Access, Outlook, Teams), pen and paper, social media platform, camera, scanner, etc.)



- **Format** the records are in (paper, microfilm, electronic documents, databases, photographs, digital images, voice mail, audio and video recordings, instant messages, email messages, etc.)



- **Location** where the records are stored (office cubicles, file cabinets, off-site storage, C: drives, H: drives, S: drives, OneDrive, SharePoint, CD/DVDs, electronic document management systems, cloud, external drives, websites, etc.)



Notes:

There are a wide variety of government records. The retention period for all records is governed by schedules - it does not matter which:

- **Tool** is used to create the records (*Microsoft 365 products (Word, Excel, Access, Outlook, Teams), pen and paper, social media platform, camera, scanner, etc.*)
- **Format** the records are in (*paper, microfilm, electronic documents, databases, photographs, digital images, voice mail, audio and video recordings, instant messages, e-mail messages, etc.*)
- **Location** where the records are stored (*office cubicles, file cabinets, off-site storage, C: drives, H: drives, S: drives, OneDrive, SharePoint, CD/DVDs, electronic document management systems, cloud, external drives, websites, etc.*)

Schedule Approval Process

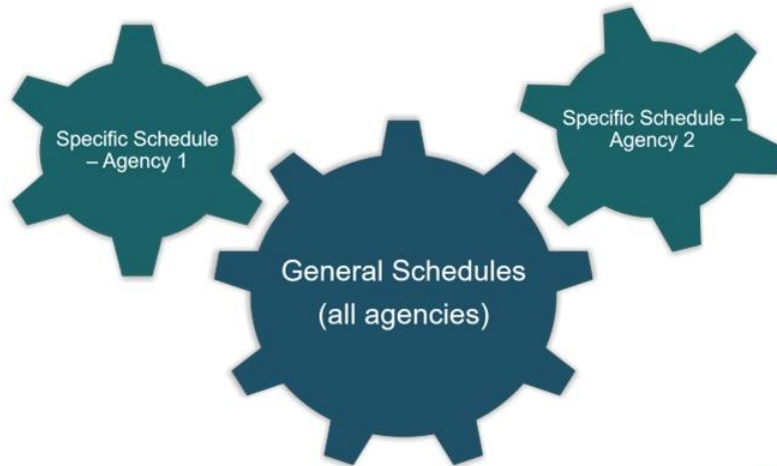
- Approved schedules are legal documents
- Schedules are approved by:
 - Agency representative
 - Records Management Services
 - Archives of Michigan
 - Attorney General
 - Auditor General
 - State Administrative Board



Notes:

All schedules are reviewed and approved by an agency representative (usually the division director), by Records Management Services, the Archives of Michigan, Attorney General (state government only), Auditor General (state government only) and the State Administrative Board. The State Administrative Board is the final approving entity on the document, so their approval date is the effective legal date of the document.

Types of Schedules



Notes:

There are two types of schedules that are used in Michigan: general schedules and agency-specific schedules. All offices should use both types of schedules, because they supplement each other.

Reviewing Schedules

- RMS works with each department to review all schedules every 3 years
- Schedules need to accurately reflect organization and business processes
- Revisions can be requested whenever necessary
- Schedule review projects are active for 6 months
- Projects are coordinated by department's Records Management Officer (RMO)



Notes:

RMS works with each department to review all schedules every 3 years. These projects are intended to ensure that the schedules accurately reflect organization and business processes. However, schedule revisions can be requested whenever they are necessary. Schedule review projects are active for 6 months. These projects are coordinated by the department's Records Management Officer (RMO).

Records Management Officers (RMO)

- Each department has an RMO
- RMOs are appointed by the department director
- Coordinate records management activities of department
- Agency's contact person for questions and assistance
- Liaison with RMS
- Submit schedule revisions to RMO so they can contact RMS
- [List of RMOs is available online](#)



Notes:

Each department has a Records Management Officer (RMO) who is appointed by the department's director. RMOs are responsible for coordinating records management activities for their department, and they are the first person who should be contacted when an employee has a question or needs assistance. In particular, schedule revision requests should be sent to RMOs who will then pass them on to RMS. A list of the RMOs is available online at <https://inside.michigan.gov/recordsmanagement>.

Records Management Liaisons (RML)

- Managers are responsible for designating a RML for their division to work with the RMO
- RML Duties
 - Coordinate schedule review
 - Coordinate records disposal notice review
 - Distribute records management information to division employees
 - Plan records clean-up projects



Notes:

RMOs often ask managers to designate a Records Management Liaison (RML) for their division to work with the RMO. RMLs are responsible for coordinating schedule review projects with the subject matter experts within their division, coordinating the review of records disposal notices that are distributed by RMS for the Records Center and electronic document management services, distributing records management information to division employees (such as general schedule updates, new training information, etc. that is received from the RMO), and planning records clean-up projects to promote compliance with approved retention periods. Managers are encouraged to designate a RML who can fulfill these duties on behalf of the division. Questions about RMLs should be directed to the department's RMO.

Why Follow a Retention Schedule?

- Risks associated with keeping records too long
 - Wastes space
 - Harder to find records you need
 - Records must be reviewed for FOIA and litigation
- Risks associated with destroying records too soon
 - Violation of Michigan law
 - Exposes agency to liability if the records are requested via FOIA or litigation



Notes:

Bottom line, why is it important to follow a retention schedule? There are risks associated with keeping records too long: they waste space, they make it harder to find records you need, and the records must be reviewed for FOIA and litigation requests.

Example: email about personnel issues was kept in the Outlook trash, a wrongful termination lawsuit was filed, email was found during discovery

Example: draft language was kept after a policy was approved, a FOIA request was received and the requester questioned why select language was removed, a lawsuit followed

There are also risks associated with destroying records too soon: it is a violation of Michigan law, and it exposes the agency to liability if the records are requested via FOIA or litigation and they cannot be produced.

Retention Schedule Compliance

- Records need to be reviewed regularly (at least annually)
 - Identify which records met their retention period
- Computer applications need to identify when data can be purged
- RML should coordinate clean-up activities
- RMS does not audit agencies to confirm compliance with schedules – it is the agency's responsibility
- Benefits: saves space (physical and electronic), saves money, improves retrieval of information, reduces risk



Notes:

Retention and Disposal Schedules can help and protect agencies. Compliance with schedules saves space (physical and electronic), saves money, improves retrieval of information, and reduces risks. However, agencies need to follow applicable schedules to realize these benefits. Agencies need to review all records (paper and electronic) regularly - monthly or annually, for example - to identify which to keep and which to destroy. Likewise, computer applications need to identify when data can be purged.

Office directors should designate a 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.

Activities that Impact Record Retention

- Acquiring IT applications to create and store records
- Selecting vendors that will create and store SOM records
- Record requests
- Litigation holds
- Employee separation
- Permanent preservation of records at the Archives of Michigan



Notes:

Some activities impact how records are retained. These activities include: the acquisition of new IT applications to create and store records, the selection of vendors to provide services that include the creation and storage of SOM records, record requests, litigation holds, employee separation, and the permanent preservation of records with historical value at the Archives of Michigan. The following slides will further explain these issues.

Acquiring IT Applications

- Electronic data and documents are records and must be covered by a schedule
- Supervisors are responsible for ensuring record retention is addressed as a functional requirement of a new IT application
- Enterprise Architecture Solution Assessment (EASA) process
 - Identifies all key components of an IT solution
 - Must be submitted for any DTMB activity that requires:
 - Purchase of new licenses
 - Components or development services
 - Development or installation of new software components
 - Use of DTMB staff resources beyond the design phase
 - Vendor proposals and new contracts



Notes:

Retention schedules apply to electronic records, but many electronic records still are not listed on schedules. In addition, many IT applications are not designed to purge records in compliance with schedules. Supervisors are responsible for ensuring record retention is addressed as a functional requirement of a new IT application. One approach used by RMS to ensure record retention is addressed for IT applications is to identify applicable schedules during the DTMB Enterprise Architecture Solution Assessment (EASA) process.

An EASA must be submitted for many DTMB activities, such as the development or installation of new software, and vendor proposals for new contracts. The DTMB project manager and the agency that will be using the technology are supposed to work together to prepare and submit the EASA.

EASA Record Retention Tab

- Record Retention tab
 - Included in EASA versions 2.7.1 and newer
- Tab contains only 2 questions:
 - List the record series item numbers that apply to the data stored in the system
 - Has a disposition procedure been developed for implementing the retention period (Yes/No)
- Response is mandatory
 - RMS reviews all EASAs to ensure tab is completed correctly
 - If you need help, contact RMS at recordscenter@michigan.gov
 - EASA training (9 minutes) is available in the [SOM Learning Center](#)



Notes:

The Record Retention tab was added to the EASA in late 2018, and it is included in EASA versions 2.7.1 and newer.

The tab contains only 2 questions:

1. List the Record Series Item Numbers that apply to the data stored in the system: List the schedule code (example: DTMB-RMS) and item number (5-digits)
2. Has a disposition procedure been developed for implementing the retention period (Yes/No)

A response is mandatory - don't skip the tab and leave it blank. A records analyst from RMS will follow-up with the submitter if the tab is not filled in correctly. If you need help filling out the tab contact RMS at recordscenter@michigan.gov. If RMS determines that the data maintained by the IT application is not covered by a current schedule, RMS will help the agency get a new schedule item approved.

RMS created a short (9 minutes) training about how to fill out this tab on the EASA. It is available in the SOM Learning Center.

Records Maintained by Vendors

- Agency records may be maintained by a service provider
 - Records Center, DTMB-IT, cloud service provider, contracted vendor, etc.
- Records are still the property of the agency
 - Records must be listed on the agency's schedule
 - Agency is responsible for retention compliance
- Contract or service agreement should:
 - Reference the retention period from the schedule
 - Define frequency of record disposition process
 - Establish a process for suspending destruction for legal holds
 - Ensure destroyed records cannot be recovered/reconstructed/released

[Administrative Guide Procedure 910.05](#)



Notes:

Agencies do not always have possession of all their records. Some records may be maintained by a service provider instead, such as the Records Center, DTMB-IT, cloud service providers, contracted vendors, etc. These records are still the property of the agency and must be listed on the agency's Retention and Disposal Schedule. The agency is responsible for ensuring these records are retained in compliance with the schedule.

Agencies should review their contract or service agreement to ensure that it references the retention period from the schedule, defines the frequency of the record disposition process (destruction or transfer to the Archives of Michigan), establishes a process for suspending destruction for legal holds, and ensures that the destroyed records cannot be recovered, reconstructed or released. This will help the agency comply with Administrative Guide Procedure 910.05.

Records Requests

- Freedom of Information Act (FOIA), Litigation, Audits and Investigations
 - Allow people/entities to request copies of records
- Authorized coordinators will collect and release applicable records
 - Process can be time consuming and expensive
- If agencies regularly follow their schedules, fewer records will need to be reviewed and released
- Avoid penalties: stop destruction of relevant records when request is received
 - Legal holds suspend schedules
 - Confirm whether there are holds before records are destroyed



Notes:

Government agencies often receive requests to access their records. These requests may be the result of Freedom of Information Act (FOIA) inquiries, litigation, audits or investigations.

Authorized coordinators are responsible for collecting the requested records and releasing the applicable records. Other employees and vendors should not respond to these requests. The process of collecting and reviewing records can be very time consuming and expensive. However, if agencies regularly follow their retention schedules, fewer records will need to be reviewed and released.

It is also very important to stop destruction of relevant records when a request is received. A legal hold should be placed on all requested records, and the retention schedule should be suspended until the hold is lifted. Failure to stop destruction can result in significant penalties.

Supervisors are responsible for confirming whether the agency is subject to any legal holds before records are destroyed, and for notifying affected employees.

Litigation Holds

- Litigation holds suspend schedules
- Duty to preserve evidence begins:
 - Notice is received
 - Trigger event (examples)
 - Litigation is threatened
 - Plans are made to begin litigation against another party
 - Complaints or accusations are received
 - Communication from attorney is received stating that a party intends to commence litigation and demands the preservation of relevant information
 - Always consult Michigan Department of Attorney General about litigation



Notes:

Sometimes it is difficult to identify when an agency should stop destroying records to comply with a litigation hold? The duty to preserve evidence begins when a notice is received, or when a trigger event happens. Some examples include:

- Litigation is threatened
- Plans are made to begin litigation against another party
- Complaints or accusations are received
- Communication from attorney is received stating that a party intends to commence litigation and demands the preservation of relevant information

Always consult the Michigan Department of Attorney General or other legal counsel to confirm whether a hold is in effect.

Avoid Chaos of Employee Separation

- If records are routinely filed in the designated recordkeeping system – separation problems can be prevented
- Off-boarding
 - Supervisors are responsible for accounts of separated employees
 - Email, individual network drives, M365 storage
 - Verify employee did not keep official records in any location that will be closed
 - Identify if the employee was involved in any active litigation or investigation that would require a record disposition hold



Notes:

Employees can leave their job for many reasons. Often agencies experience a certain level of stress when that happens, but there are things that supervisors can do to avoid the chaos associated with employee separation. For example, if supervisors ensure all records are routinely filed in the designated recordkeeping system, they will not need to worry where the records used by a departing employee are stored and invest time to review a departing employee's files.

When off-boarding, supervisors become responsible for the accounts of their separated employees. This includes email, individual network drives, and M365 storage. The supervisor needs to verify that the employee did not keep official records in any location that will be closed upon departure. Also, supervisors should identify if the employee was involved in any active litigation or investigation that would require a record disposition hold after the employee departs.

Archives of Michigan

Department of
Natural Resources



Michigan's first constitution, 1835

Notes:

Approximately 5% of state government records are approved for transfer to the Archives of Michigan on Retention and Disposal Schedules, because the records possess historical value to the State of Michigan. Every state agency has the potential to create records that will be transferred to the Archives.

What does “Transfer to the Archives of Michigan” mean when it appears on a retention schedule?

- Schedules identify which records must be transferred to the Archives of Michigan when the agency’s use ends
- Legal obligation - these records cannot be destroyed
- State Archivist decides which records have historical value



Notes:

What does “Transfer to the Archives of Michigan” mean when it appears on a retention schedule? Schedules identify which records must be transferred to the Archives of Michigan when the agency no longer needs the records to support its business processes. Transferring the records is a legal obligation - these records cannot be destroyed. The State Archivist decides which records have permanent historical value and will be transferred.

Why does the Archives want certain records?

- Preserve Michigan history
 - Document how government operates
 - Protect the rights of citizens
 - Document society or important events
- Make Michigan history available to the public
 - Preserves records in all formats
 - Preserves records created by many government agencies



Notes:

Why does the Archives of Michigan want certain records? The Archives is responsible for the identification and permanent preservation of public and private records that document significant government activities and historic eras or events. Historically significant public records document how government operates, protect the rights of citizens, and document society or important events.

The Archives makes Michigan history available to the public. Records in the Archives are in all formats, including paper, electronic documents and data, audio, photos, maps, microfilm, etc. Examples include meeting records of public bodies, election results, transportation maps, vital records, photos, and more.

What does the Archives do with the records?

- Records are kept forever
 - Never destroyed
 - If Archives determines later on that the records are not archival, the Retention and Disposal Schedule is changed to authorize destruction (agency is notified)
- Records are kept in a safe and secure environment
 - State-of-the-art storage space designed for preservation
 - Security controls and procedures
- Records are accessible to the public on-site and online
 - Special procedures are used to protect confidential records



Notes:

What does the Archives do with the records in their possession? The records in the Archives are kept forever, they are never destroyed. If the Archives determines later on that the records are not archival, the Retention and Disposal Schedule is changed to authorize destruction and the agency is notified.

The Archives keeps records in a safe and secure environment that includes state-of-the-art storage space that is designed for preservation. The Archives also employs security controls and procedures.

The records in the Archives are accessible to the public via on-site visit and online tools. Special procedures are used to protect confidential records in the Archives.

Archives of Michigan

702 West Kalamazoo Street

Lansing, Michigan 48913

517-335-2576

archives@michigan.gov

michigan.gov/mhc/archives/



Notes:

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/mhc/archives.

Good Record- keeping Practices



Notes:

Managers and supervisors need to adopt good recordkeeping practices for their agency.

Setting Recordkeeping Expectations

Managers and supervisors need to:

1. Identify where records will be stored (a.k.a. “system of record”)
2. Establish recordkeeping rules that promote consistency
3. Designate the official recordkeeper(s)
4. Ensure compliance with records Retention and Disposal Schedules



Notes:

Managers and supervisors need to set expectations about who is responsible for recordkeeping and how records will be managed. To set these expectations, managers and supervisors need to:

1. Identify where records will be stored (aka “system of record”)
2. Establish recordkeeping rules that promote consistency
3. Designate the official recordkeeper(s)
4. Ensure compliance with records Retention and Disposal Schedules

Impact of Bad Recordkeeping

- Wasted storage resources
- Retrieval is slower, more difficult, and more expensive
- Increased employee frustration
- Complicates responses to FOIA and litigation
- Inadequately informed management decisions



Notes:

Bad recordkeeping can have a significant impact on an office, but most of the consequences are under the radar. Bad recordkeeping wastes storage resources, because records are not destroyed in compliance with schedules; it also makes the retrieval of records slower, more difficult, and more expensive; bad recordkeeping increases employee frustration when records are difficult to locate, and when duplicate records and old versions cause confusion; bad recordkeeping complicates an agency's ability to respond to FOIA and litigation; and bad recordkeeping can lead to inadequately informed management decisions.

Redundant, Obsolete, Trivial (ROT) Records

- Bad recordkeeping creates ROT
 - Estimated 40-60% of records should be destroyed
- Root Causes of ROT
 - Independent Filing
 - Lack of Recordkeeping Rules Creates Inconsistency
 - Non-compliance with Retention and Disposal Schedules
 - IT applications that prevent disposition



Notes:

Bad recordkeeping results in Redundant, Obsolete, and Trivial (ROT) records that are kept too long. It is estimated that 40-60% of records that are maintained by offices should be destroyed. What are the root causes of ROT?

Independent filing among employees, and a lack of recordkeeping rules, will cause inconsistent recordkeeping practices. In addition, non-compliance with Retention and Disposal Schedules, means that records are often kept for too long. Also, some IT applications prevent the disposition of data and documents, which means those records are kept too long.

Official Work Records

- Property of the office
- Store only in designated filing systems
- Following are discouraged because only one person can access them:
 - Employee email accounts
 - Individual network drives or OneDrive
 - Computer hard drives
 - Peripheral devices
 - Cubicles
 - Personal devices or property

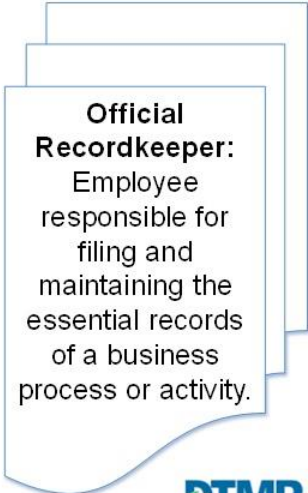


Notes:

It is important to recognize that official work records are the property of the office. Employees should be encouraged to keep official records in the designated shared filing system. The following storage locations should be discouraged, because only one person can access them: email accounts, individual network drives or OneDrive, computer hard drives, peripheral devices (like CDs, thumb drives, or external hard drives), cubicles, or on personal devices or property (like personal cell phones or the employee's home).

Official Recordkeeper

- Only the official recordkeeper needs to keep stuff – reduces **ROT**
- Who is the official recordkeeper?
 - Generally, lead employee or project manager
 - or -
 - Designated employee(s)
 - or -
 - Only employee with the records



Official Recordkeeper:
Employee responsible for filing and maintaining the essential records of a business process or activity.



Notes:

Managers and supervisors that want to reduce ROT need to ensure employees know when they are the official recordkeeper. Employees who are *not* the official recordkeeper should *delete* ROT documents when they no longer have reference value. The *official recordkeeper* is the employee responsible for filing and maintaining the essential records of a business process or activity.

In general, the lead employee or project manager is the official recordkeeper. If multiple employees serve as the lead on or have a significant role in assigned projects, then each of them should be responsible for filing records in a shared filing system.

Other employees could be the official recordkeeper if they are designated by their supervisor or a team, or if they are the only employee with the records.

Designating the Official Recordkeeper

- Managers and supervisors should:
 - Analyze employee job responsibilities, workload, experience, skills, and other factors
 - Talk with the team to identify the designated recordkeeper(s)
 - Create SOPs to document the recordkeeping responsibilities
 - Communicate with employees who are assigned recordkeeping duties
 - Ensure that employees are trained and have appropriate resources



Notes:

Managers and supervisors who have not designated an official recordkeeper should:

- Analyze employee job responsibilities, workload, experience, skills, and other factors prior to assigning recordkeeping duties
- Have a conversation with the group or team involved in a business process or activity to identify the designated recordkeeper(s)
- Create standard operating procedures to document the recordkeeping responsibilities
- Communicate with employees who are assigned recordkeeping duties to ensure they understand what is expected
- Ensure that employees with recordkeeping responsibilities are properly trained and have appropriate resources to do the job

Designated Filing System

- Records can be stored in a lot of places
- Some storage locations are more appropriate than others
- Selected storage location
 - Accessible
 - Capable of supporting retention period
 - Secure



Notes:

Records can be stored in a lot of places, but some storage locations are more appropriate for storing official records than others.

Supervisors are responsible for designating the filing system that will be used for each business process or activity. When selecting a storage location, they should consider how accessible the location is to the people who need to use it, whether the location is capable of supporting retention period, and how secure the location is, especially if the records contain confidential information.

Acceptable Use – Content Creation

	Outlook*	Teams Chat*	MS Office	Adobe PDF	OneNote
Official Records	✓		✓	✓	
Reference Documents	✓		✓	✓	✓
Draft Documents			✓	✓	✓
Conversations In Progress	✓	✓			✓
Transitory Records	✓	✓	✓	✓	✓



Notes:

This table shows which content creation apps are acceptable for creating official records versus other types of records. A tip sheet is available online that defines the different record types.

* Outlook and Teams Chat support storage within the app, but the rest contain no storage capabilities – their content can be stored anywhere.

Green check mark - recommended

Yellow check mark - acceptable, but not recommended, especially if records need to be retained for more than 7 years

Acceptable Use – Content Storage

	One Drive	Share Point	Teams	Shared Drive	EDM	LOB	Hard Drive	External Devices
Official Records		✓		✓	✓	✓		
Reference Documents	✓	✓	✓	✓	✓	✓	✓	
Draft Documents	✓	✓	✓	✓	✓	✓	✓	
Conversations In Progress		✓	✓					
Transitory Records	✓		✓				✓	
Duplicates	✓	✓	✓				✓	✓



Notes:

This table shows which content storage locations are acceptable for storing official records versus other types of records. These locations can store any type of content.

Green check mark - recommended

Yellow check mark - acceptable, but not recommended, especially if records need to be retained for more than 7 years

Successfully Eliminating ROT

- Shared filing systems, recordkeeping rules, and compliance promote
 - Consistency and high-quality work
 - Quick and easy record retrieval
 - Enabled employees
 - Chaos avoidance associated with employee departure
- “How to Manage Records” class shares best practices for recordkeeping



Notes:

How do you successfully eliminate ROT?

The designated shared filing system will need recordkeeping rules, and supervisors need to promote compliance with those rules. This will result in increased consistency and higher quality work from employees. In part, this will be because the employees can retrieve records quickly and easily.

Good recordkeeping systems enable employees to do their jobs with less stress and frustration, and it will improve employee morale. Keep in mind that no one looks forward to searching through a messy shared drive filled with duplicate records and outdated versions of documents.

Shared filing systems also help offices avoid the chaos that is associated with employee departure, because the records of former employees should already be in the designated space. This means that little time needs to be spent reviewing the accounts of former employees before they are closed.

RMS offers a separate class called, “How to Manage Records” that discusses these issues in greater detail and shares best practices for recordkeeping. This class should be assigned to the employee(s) who will coordinate recordkeeping activities for the agency.

Snack It & Pack It Day

- Purpose
 - Kick start record clean-up
 - Initiate a routine clean-up habit
- Step #1: Pick the date
- Step #2: Distribute clean-up tools
 - Orientation presentation ([available online](#))
 - Tip sheet ([available online](#))
 - Clean-up metrics collection ([available online](#))
- Step #3: Clean-up!



Notes:

Ensuring records are disposed of in compliance with Retention and Disposal Schedules will also reduce ROT. RMS created tools to help your office plan a Snack It & Pack It Day. The purpose of this day is kick start record clean-up, and to initiate a routine clean-up habit.

The first step is to select the date and clear everyone's calendars of appointments for the day. The second step is to get the Snack It & Pack It tools from the RMS website. Those tools include an orientation presentation and a tip sheet that can be used at a staff meeting prior to the clean-up day to help employees plan ahead. In addition, a clean-up metrics collection tool is available if offices want to calculate how much was destroyed during the clean-up day. Then, the third step is to start cleaning stuff up! Most people dread cleaning their stuff up, but once they get started, they realize it feels really rewarding.

Business Process Management



BTMB

Notes:

Almost all business processes create records. The management of those records impacts the effectiveness of business process activities. Therefore, good business process management and good records management are complementary activities.

This is more than a recordkeeping problem ...



Notes:

These images represent more than a recordkeeping problem. These employees need more supervision. Their co-workers are probably frustrated. Supervisors should ensure that each business process has standard operating procedures that contain recordkeeping rules to prevent problems like this. However, before we can discuss procedures, we need to discuss business process management.

Business Process - Defined



Notes:

What is a business process? A business process is a coordinated set of activities and tasks that result in a defined outcome. A business process should be regular, routine, reliable, and repeatable.

Business Processes Generate Records

Visualize how business processes generate records and make better decisions about how they are managed



DTMB

Notes:

Visualizing your business process can help you see the activities that generate records - such as obtaining signatures, sending messages, queuing work into another employee's inbox, completing an analysis, or providing opinions. Seeing how records are initiated or generated can help the office make better decisions about managing them.

Step #1

- Identify the business processes
 - Why does this office exist?
 - What is the office's mission?
 - What activities fulfill the mission?
 - What does this office do?
- Tools for business process analysis
 - [Lean Process Improvement 101 Training](#) (5 minutes)



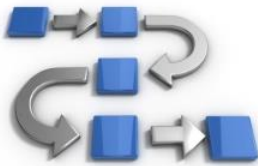
Notes:

The first step for offices addressing business process management is to identify all of their business processes. Asking the following questions will help identify the business processes: Why does this office exist? What is the office's mission? What activities are conducted to fulfill this mission? What does this office do? It may help to look at the organization chart to identify the activities performed by each person listed in each box of the chart.

Various other tools may help agencies that need to conduct a business process analysis. They include process mapping, customer value structures, root cause analysis, idea affinity analysis, and many others. The DTMB Office of Continuous Improvement (OCI) offers a short (5 minutes) training about how to use these tools.

Step #2

- Create process maps (workflow)
 - How is the process accomplished (start to finish)?
 - Keep this high level
 - Details will be in step #3
 - Who performs each task?
 - What quality controls will prevent mistakes and problems?



Notes:

The second is to develop a process map for each business process. The map is a workflow that identifies the high-level tasks that are conducted to complete the process, and who is responsible for each task. This is a good time to identify quality controls that are used to prevent mistakes or problems.

Questions Improve Processes and Records

- Why are the records created?
- Who uses the records?
- Is information kept elsewhere?
- Are we required to collect and retain the records?
- Is record creation always the same, or varied?
- Is there a more efficient way?



Notes:

Take time to question the process. When we think about the requirement to collect and retain records, we can find ways to improve our business process and what is retained. Start with asking WHY. Why do we capture and create a record? Who uses it? Is this information kept elsewhere? Are we required to collect and retain the records, or are they duplicates that are only used for reference? Are records created in a variety of ways that could be streamlined? Is there a more efficient way? Answers to these questions can help standardize the process and improve recordkeeping.

Step #3

- Create step-by-step standard operating procedures (SOPs)
- Click-level instructions for each task
- Timelines and deadlines
- Assign duties to responsible employees
- Document how records are: created, modified, stored, protected, destroyed
- Reference retention schedules - don't include retention periods
- Video: [Why and how to create an SOP](#)



Notes:

The third step is for offices to develop standard operating procedures (SOPs) that describe how each task is completed. The procedures should contain step-by-step detailed instructions (sometimes to the click-level), they should contain timelines and deadlines, and they should assign duties to responsible employees. The procedures should have quality controls and quality assurance practices built into them to reduce mistakes or other problems.

Finally, the procedures should also document how records are created, modified, stored, protected and destroyed. Remember, some records are not essential to the business process and can be destroyed quickly, and other records are essential and have longer retention periods. The standard operating procedures should reference the applicable retention schedules, so employees know where to find the correct retention periods. However, the SOP should not include any retention periods, because employees will confuse the SOP with the retention schedule, especially if the timeframes are different.

Offices should review their process maps and procedures regularly to look for new efficiencies, and to ensure accuracy. Compliance with these tools can ensure that all tasks are performed consistently each time, regardless of which employee is doing the work. Also, these tools can be used to train new employees.

Knowledge

- No person should be sole source of knowledge and skills
 - Office needs to function normally, regardless of who shows up
 - Employee absence or [separation](#) should not cause chaos
- Employees need continuity
- Tools
 - Lead/backup employee assignment list
 - Identify staffing gaps
 - Balance workload



Notes:

No individual employee should be the sole source of knowledge and skills for any business activity. If an employee is out of the office short-term or permanently, their absence could cause chaos. Everyone should have one or more backups for when they are absent. Supervisors are responsible for assigning backups. Supervisors can use their process maps to create a list that identifies the staff who are assigned to work on a particular activity. The list will help the supervisor see where the gaps are for employee backups, and then address the situation. This list can also help the supervisor balance the employee workload.

Status Tracking

- Track progress on active assignments
 - Status of each assignment within the workflow
 - Employees can pick-up where co-workers left-off
- Tools
 - Spreadsheets, checklists, etc.
 - Quality Control: prevent skipping a step
 - Helps the backup fill-in



Notes:

Some business processes will benefit from using status tracking tools. These tools are great for quality control, because they help ensure that no steps in a process are skipped. Tracking tools allow an employee to pick up an assignment where their co-worker left off, without affecting customer service or quality.

Support For Process Management

- DTMB's [Office of Continuous Improvement](#) can be a valuable resource for efficient business process management
- OCI uses lean concepts and the State of Michigan's Lean Process Improvement (LPI) methodology to lead statewide programs for employee engagement, organizational performance management, process improvement and better technology adoption
- OCI services include:
 - Process Mapping Facilitation
 - [Process Mapping in Visio Training](#)
 - [Lean Do-It-Yourself Training](#)
 - [Lean Process Improvement 101 Training](#)
 - [Why and how to create an SOP](#)
- Email: DTMB-OfficeofContinuousImprovement-OCI@michigan.gov



Notes:

The DTMB Office of Continuous Improvement (OCI) provides services that support regular, routine, reliable, and repeatable business processes.

OCI leads statewide programs for employee engagement, organizational performance management, process improvement, and better technology adoption. Their projects analyze current work processes and redesign them to better meet customer needs and increase efficiency. Services include process mapping facilitation, LPI methodology training, Lean DIY training, and Process Mapping in Visio training.

You can learn more about OCI by visiting their website or contacting them via email at DTMB-OfficeofContinuousImprovement-OCI@michigan.gov.

Next Steps



Notes:

We just shared a ton of information with you. We want you to know that RMS practices what we preach – the tips and practices that we discussed today are used by our office. We would never say our office is perfect, but we don't share advice that we are not able to follow ourselves.

Be Proactive

- Don't wait to start – change takes time
- Figure out your next steps
- Promote Consistency
 - Expect all employees to follow the same rules – reduce resistance



Notes:

Supervisors should be proactive about changing recordkeeping practices, and ensure employees understand how recordkeeping affects all other aspects of the agency's work.

Get started now, because change takes time to plan and implement, and the current problems will only get worse if they are not addressed.

Along the way it is important for supervisors to promote consistency, because when all employees are expected to follow the same recordkeeping rules, there should be less resistance to change.

Action Items

- Analyze systems of record, possibly re-design
- Review [Retention and Disposal Schedule](#)
- Plan a [clean-up day](#)
- Analyze business processes
- [Employee training](#)
 - Office-specific recordkeeping rules
 - Records management training



Notes:

The following are some action items that you might want to work on. [A toolkit is available to help with these tasks.](#)

Analyze the systems of record used by your office, and possibly re-design them. Talk to employees to figure out how much is stored centrally, and how much they keep independently. Assemble a team to develop recordkeeping rules that everyone can follow.

Review the Retention and Disposal Schedules used by your office. Ensure employees know which retention periods apply to the records they are responsible for maintaining. Request schedule revisions if you identify obsolete records, unscheduled records, or retention periods that don't meet your needs.

Plan a clean-up day. Get employees to go through shared files, independent files, paper files, and electronic files, especially email. Also, review the disposition practices followed by service providers who maintain records on behalf of the agency.

Analyze business processes and develop process maps and SOPs for any activities that don't have them.

Employee training is essential. Ensure employees understand the recordkeeping duties and the business rules that are unique to the office. In addition, encourage employees to take the records management classes that are appropriate to their job duties. RMS provides an employee training plan template that supervisors can use to assign and monitor employee training.



Records Management Services

3400 N. Grand River Ave.

Lansing, Michigan 48909

517-335-9132

recordscenter@michigan.gov

<https://inside.michigan.gov/recordsmanagement/>



Notes:

Please contact Records Management Services if you need assistance with records retention, recordkeeping, and other records management issues. Email RMS at recordscenter@michigan.gov.

We hope you will visit our website and take more records management classes. <https://inside.michigan.gov/recordsmanagement/>.