



Records Management

Records Management Services
State of Michigan

What words do you think of when you hear the phrase "records management"?



Topics Covered Today

- Records Management Introduction
- Defining Records
- Retention and Disposal Schedules
- How to Manage Records
- Digital Imaging
- *eSignature (hidden)*
- *Risk Management (hidden)*
- Additional Training



Records Management Principles

- If the information is recorded it is a record
- Public records are evidence of government activities
- Destruction must be authorized by an approved Retention and Disposal Schedule
- Records must remain accessible and usable for the entire retention period
- All records that document an activity should be stored together
- Every employee who creates, receives or maintains records is responsible for records retention

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](#)

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)

Not All Records Are Equal...



Keep

- Official Records



Don't Keep

- Transitory Records
- Non-record Materials
- Personal Records

Official Records

Recorded information that is
“prepared, owned, used, in the
possession of, or retained by an agency
in the performance of an official
function.”

Source: Michigan’s Freedom of Information Act (FOIA)

Official Records

- Retention is governed by Retention and Disposal Schedules
- Document activities of the agency
- Document how employees perform their job duties

Note:

- Supervisors should decide where they are stored
- Supervisors should promote consistent recordkeeping

Examples of Official Records

TO: Joe
FROM: Jim
SUBJECT: Contract
Please change the fourth paragraph in contract #10775 to read, "payment must be received within 30 days", removing the phrase "60 days."

TO: Bob
FROM: Carol, Personnel Director
SUBJECT: Reallocation
After further review, it is our decision that there is not sufficient justification to approve the reallocation for Susan's position, based upon the fact that . . .

TO: Vendor
FROM: Lisa
SUBJECT: Contract
Thank you for your question. The intent is to guarantee unit prices to all state agencies and to provide a mechanism to easily obtain imaging services.

TO: Mark
FROM: John
SUBJECT: Appointment
This is your official notification of your appointment to the Taxation Committee. Your responsibilities include . . .

Creating Work Records with Personal Resources

- Government business conducted using personal resources creates public records
 - Personal email account
 - Social media tools (such as Facebook or Twitter)
 - Personal cell phones
 - Home computer
- Subject to Retention and Disposal Schedules, as well as FOIA or litigation

Transitory Records

Records relating to agency activities that have temporary value and do not need to be retained once their intended purpose has been fulfilled.

Source: General Schedule 24.102

Transitory Records

- Retention
 - “Need not be retained more than 30 days after receipt.” (GS #24.102)
- Examples:
 - Requests or reminders to do a routine task
 - Simple inquiries about policies, office location and hours, etc.
 - Information that is published somewhere, like the internet or a procedure manual
 - Temporary documents that are replaced by other records that serve as evidence of the activity

Examples of Transitory Records

TO: Staff
FROM: Janet
SUBJECT: staff meetings
The staff meetings will be held on Tuesday mornings from now on instead of Thursday afternoons.

TO: Marilyn
FROM: Doug
SUBJECT: supplies
I noticed that there are no more blue ink pens in the supply cabinet. Can you please order more? Thanks.

TO: Doug
FROM: Becky
SUBJECT: Retention Schedule
Would you please e-mail me a copy of the schedule for Administrative Services?

TO: Debbie
FROM: Jim
SUBJECT: training
You have my approval to attend the seminar "Buying over the Internet." Please complete your registration form within the next two weeks.

Non-records

Recorded information in the possession of an agency that is not needed to document the performance of an official function.

Source: General Schedule #1

Non-records

- Can be disposed of when they are no longer needed for reference purposes (GS #1)
- Examples:
 - Publications received from outside sources
 - Mass mailings, notices, flyers, advertisements, spam, junk mail
 - Drafts that are replaced by new or final versions
 - Duplicates
 - Agencies can decide which format to use for retaining their records, if records exist in multiple formats
 - If multiple offices possess the same record, they should communicate with each other about who is responsible for record retention

Examples of Non-records

TO: Jim
FROM: Marilyn
CC: Brice
SUBJECT: Contract
For your information, the contract has been mailed to Purchasing.

TO: Debbie
FROM: ARMA
SUBJECT: Books
The Association of Records Managers and Administrators has four new books for sale regarding e-discovery. They are . . .

TO: DTMB
FROM: Susan
SUBJECT: Give Blood!
The American Red Cross Blood Drive will be held in Constitution Hall on November 20.

TO: Dave
FROM: Karen
SUBJECT: brochure
The attached Word document is a draft for your review. Please let me know if you have any comments. Thanks.

Personal Records

Records that document non-government business or activities.

Personal Records

- Document your personal life
 - Employee benefits
 - Personal financial accounts
 - Social events with co-workers and friends, etc.
 - Personal purchases and shopping
- Store personal records so they are physically separated from government records
- Personal records should not be created and stored using government resources

Examples of Personal Records

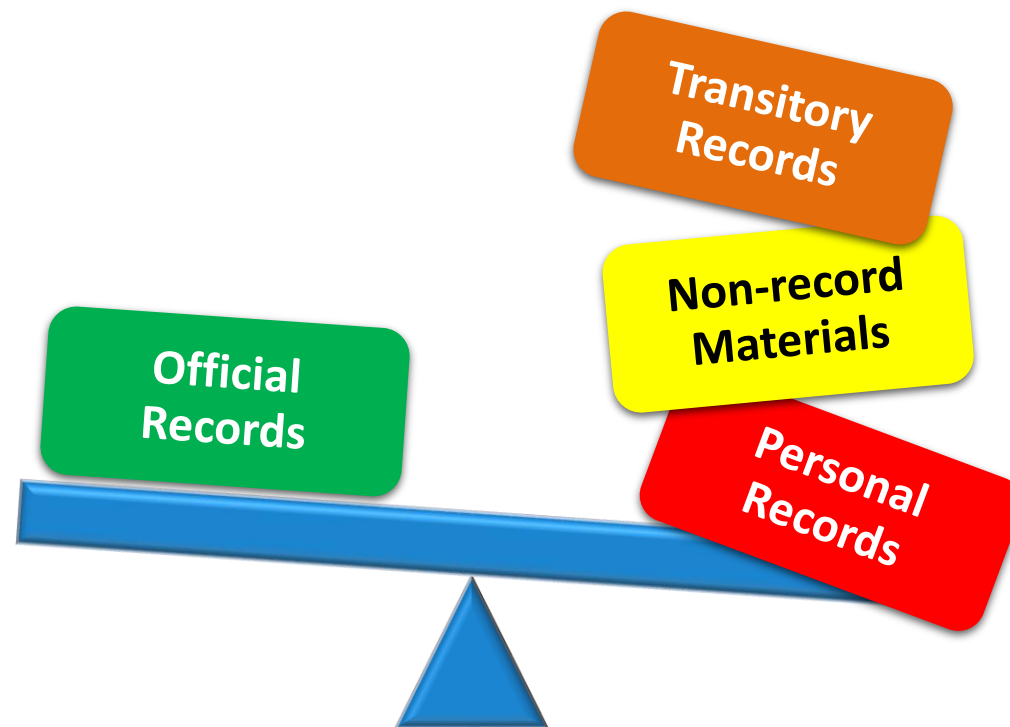
TO: Sandy
FROM: Debbie
SUBJECT: Good luck!
Congratulations on your new job!
It has been great working with you
these past three years. Keep in
touch!

TO: SOM Employees
FROM: Civil Service Commission
SUBJECT: Open Enrollment
Don't forget to sign up for benefits
during the open enrollment period.
The deadline is soon.
*[Note: This is an official record for
CSC.]*

TO: All Division Employees
FROM: Bob Jones, Director
SUBJECT: holiday
This year's annual holiday buffet
will be held on December 22 at
noon in the conference room.
Please remember to sign-up to
bring a dish to pass.

TO: Building Employees
FROM: Phyllis
SUBJECT: car
FYI. I noticed that a blue
Oldsmobile in the parking lot with
the license plate XYZ 123 has its
lights on.

File It or Delete It?



Retention and Disposal Schedules



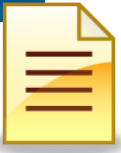
Foundation of Records
Management

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



Wide Variety of Government Records



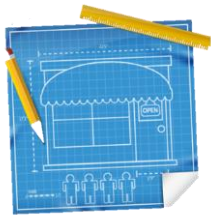
It does not matter which:



- **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.*)



The retention period for all records is governed by schedules

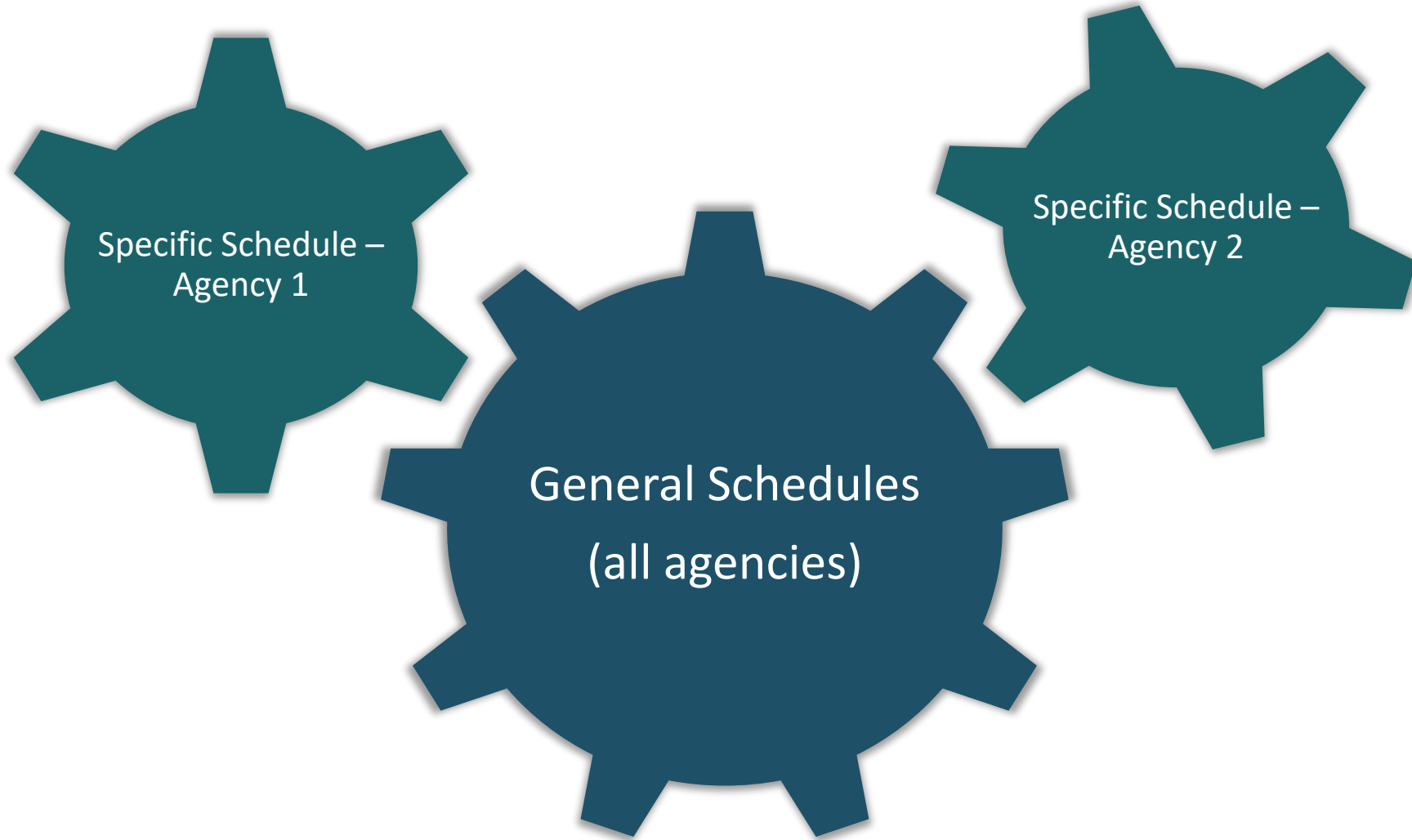


Determining Retention Periods

- Keep records as long as they have:
 - Operational/Administrative Value
 - Fiscal Value
 - Legal Value
 - Historical/Archival Value
- Destroy records when their value ceases to exist



Types of Schedules



General Schedules

- Used by all agencies
- Cover records common to a function or type of agency
- Reduce duplication of effort
- Promote consistent retention
- Do not mandate that records be created
- Retention period applies to all formats (paper, microfilm, electronic, etc.)
- [General Schedules are available online](#)

General Schedules – Cities and Villages

- GS1 - [Nonrecord Material Defined](#)
- GS7 - [Local Health Departments](#)
- GS8 - [Cities and Villages](#)
 - This schedule covers the following city/village departments: general records - all offices, airport, assessor, attorney/legal, building, grants - federal, city income tax, manager/mayor, planning and zoning, public utilities, and public works.
- GS11 - [Local Law Enforcement](#)
- GS13 - [District Courts](#)
- GS17 - [Public Libraries](#)
- GS18 - [Fire/Ambulance Departments](#)
- GS19 - [Prosecuting Attorneys](#)

General Schedules – Cities and Villages

- GS20 - [Community Mental Health Services Programs](#)
- GS23 - [Elections Records](#)
- GS24 - [City and Village Clerks](#)
- GS26 - [Local Government Human Resources](#)
- GS28 - [City and Village Treasurers](#)
- GS30 - [Local Government Information Technology](#)
- GS31 - [Local Government Financial Records](#)
- GS32 - [Local Government Parks and Recreation Departments](#)
- GS34 - [Local 9-1-1 Call Centers](#)

Agency-Specific Schedules

- Used only by the named agency
- Cover records that are unique to the agency
- Cover records not listed on general schedules
- Specific schedules override general schedules when records are listed on both
- May identify the format of a record

Agency-Specific Schedules

- Local Government
 - Must develop their own schedule and submit to RMS for approval
 - Instructions and forms available online at https://www.michigan.gov/dtmb/0,5552,7-358-82548_21738_31548-96228--,00.html

Retention Schedule Compliance

- Records need to be reviewed regularly (at least annually)
 - Identify which records met their retention period
- 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



Poll: Records that are not listed on a schedule can be destroyed whenever the agency wants to get rid of them?

- True
- False

Records Maintained by Service Providers

- Agency records may be maintained by a service provider
 - IT department, 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

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
- Avoid random record purging by establishing a routine within the normal course of business for destroying records

Tip: Know Your Records

- There are many Retention and Disposal Schedules
 - You don't have to memorize all of them!
- Most employees work with only a few records series on a regular basis
- Know the retention periods for the records supporting your job duties

How to Manage Records



Do you have?

- Disorganized records
- Trouble finding records
- Too much stuff



Does your office look like this?



Are these storage spaces a mess too?

- Email Account
- Network Shared Drive
- Individual Network Drive
- Computer Desktop
- OneDrive
- SharePoint Team Room



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 period and should be disposed.

30% of records in offices are needed for on-site reference activities.

Records Management Phases



Creation and
Receipt



Maintenance
and Use



Disposition

Creating and Receiving Records

Phase #1



Poll: Has your office adopted naming conventions for documents and folders, and an organized filing plan?

- Yes
- No

Tip: Organizing Records

- Organized records are easier to retrieve
- Good organization is the responsibility of the office
 - File cabinets and computers do not require that records be organized
- Filing systems should be
 - Easy to use
 - Used consistently
 - Easy to purge, without reviewing individual documents
- Large/Thick Files
 - May need sub-folders to separate document types
 - Applications, licenses, case-related correspondence
- [Additional guidance is available from RMS website](#)

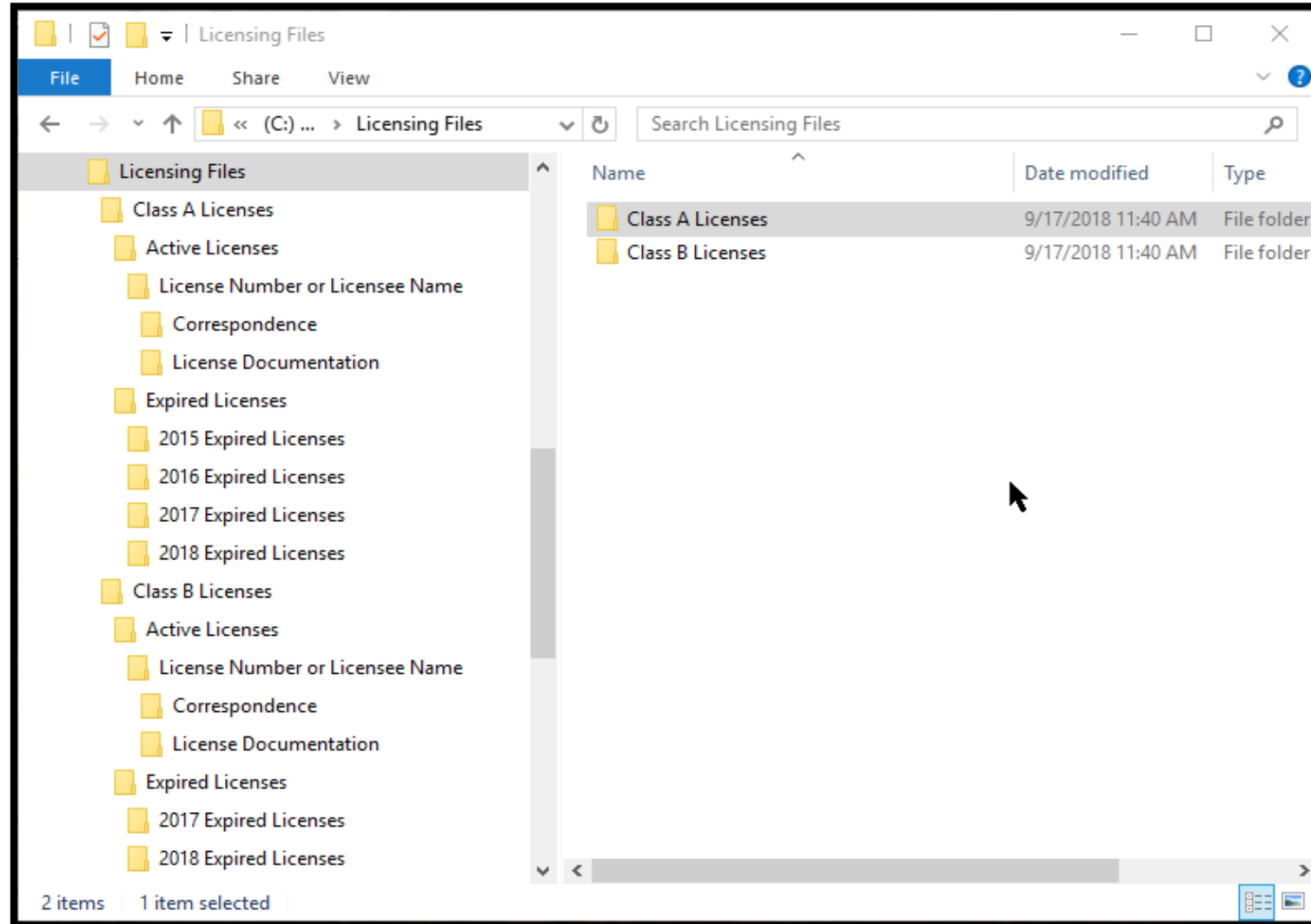
Filing for Chronological Retention Periods

- 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

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

Example: File Plan Organization



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](#)

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

Solution: Shared Filing Systems

- 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
- Supervisors are responsible for designating where shared files are stored

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.)?
 - What is the retention period?
 - Will additional resources be needed for storage and maintenance?

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.

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?

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

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](#)

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?

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

Maintaining and Using Records

Phase #2



Retention Periods

- Retention Period: amount of time that the official recordkeeper maintains records to support administrative, fiscal and legal requirements
- Some retention periods are short, and some are long
- Length of the retention period can influence how the records will be maintained



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



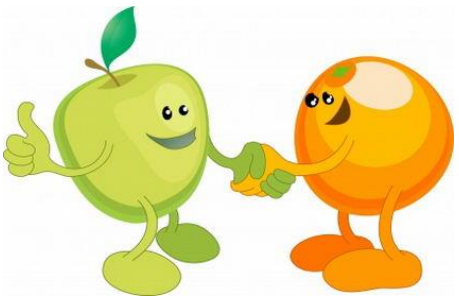
Conduct a Needs Analysis

- 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 period
- Identify all potential solutions
- Compare the costs of the 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



Off-site Storage

*Service
Providers*



Why use off-site storage?

- Paper
 - 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
- Electronic
 - IT resources and skills are not available in-house
 - Cloud storage may be cheaper
 - Vendor may be contracted to create and store SOM records



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



Service Providers

- Include
 - IT department
 - Cloud storage
 - Vendors contracted to create and maintain government records



Disposing Records

Phase #3



Poll: If we receive a FOIA request for records that were destroyed in compliance with our retention schedule, we will have legal trouble.

- True
- False

Defensible Disposition

Q: What makes the disposition process defensible?

A: Procedures that ensure:

- Correct records were accurately identified as being eligible for disposal
- Disposal activities were authorized, documented, and implemented according to reasonable, transparent, predictable, and consistent procedures and quality controls

Disposition Methods

- Retention and Disposal Schedules identify which disposition method is approved at the end of a record's retention period:
 - Destruction
 - Complete obliteration of records so they cannot be retrieved or accessed
 - Preservation
 - Transfer of records with historical value to the Archives of Michigan for permanent preservation
- State Archivist chooses the disposition method, not the agency

Suspending Destruction

FOIA, Litigation, Audit, Investigation

- Legal holds suspend retention schedules, so destruction must cease
- Holds apply to records in all formats
- Failure to cease the destruction could result in penalties
- Confirm holds before destroying records
 - Check with your supervisor, FOIA and litigation coordinators



Physical Destruction Options



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
- Information remains accessible until records are processed at paper mill
- **DO NOT RECYCLE CONFIDENTIAL RECORDS!**



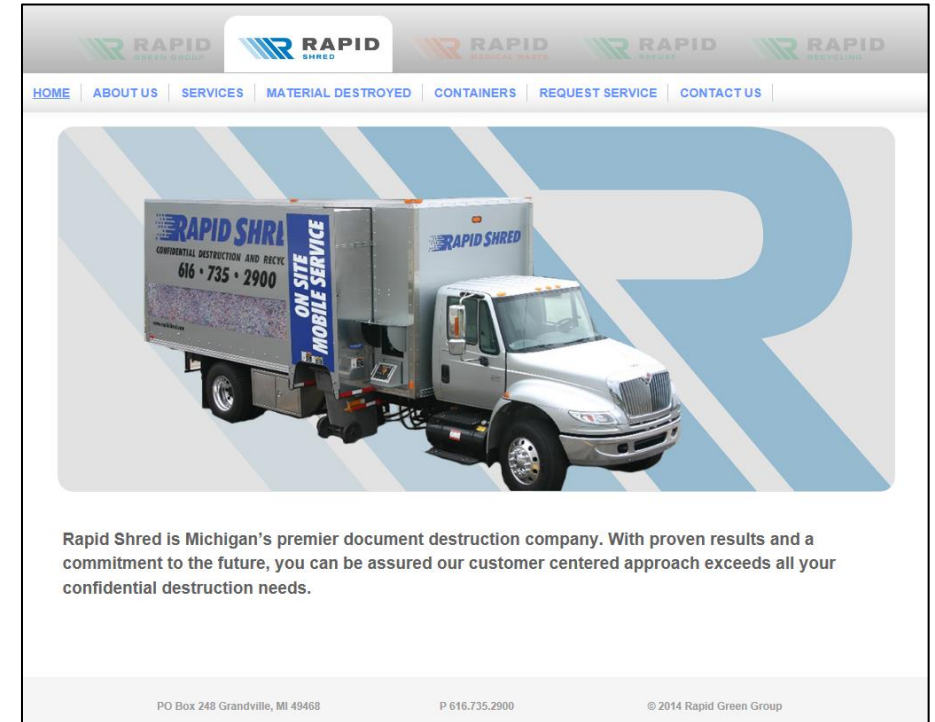
Confidential Destruction

- Prevents reconstruction of materials
- Prevents inappropriate release of information
- State of Michigan contract requirements
 - Paper: 1mm x 5mm 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



The image is a screenshot of the Rapid Shred website. At the top, there is a navigation menu with links for HOME, ABOUT US, SERVICES, MATERIAL DESTROYED, CONTAINERS, REQUEST SERVICE, and CONTACT US. Below the menu is a large banner image of a white Rapid Shred truck with a large blue 'R' in the background. The truck has 'RAPID SHRED' and 'ON SITE MOBILE SERVICE' written on its side, along with the phone number '616 • 735 • 2900'. Below the banner, there is a paragraph of text: 'Rapid Shred is Michigan's premier document destruction company. With proven results and a commitment to the future, you can be assured our customer centered approach exceeds all your confidential destruction needs.' At the bottom of the page, there is a footer with the address 'PO Box 248 Grandville, MI 49468', the phone number 'P 616.735.2900', and the copyright notice '© 2014 Rapid Green Group'.

Confidential Destruction of Records

- [Confidential Destruction of Records tutorial is available online](#)
- Tutorial takes about 9 minutes



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



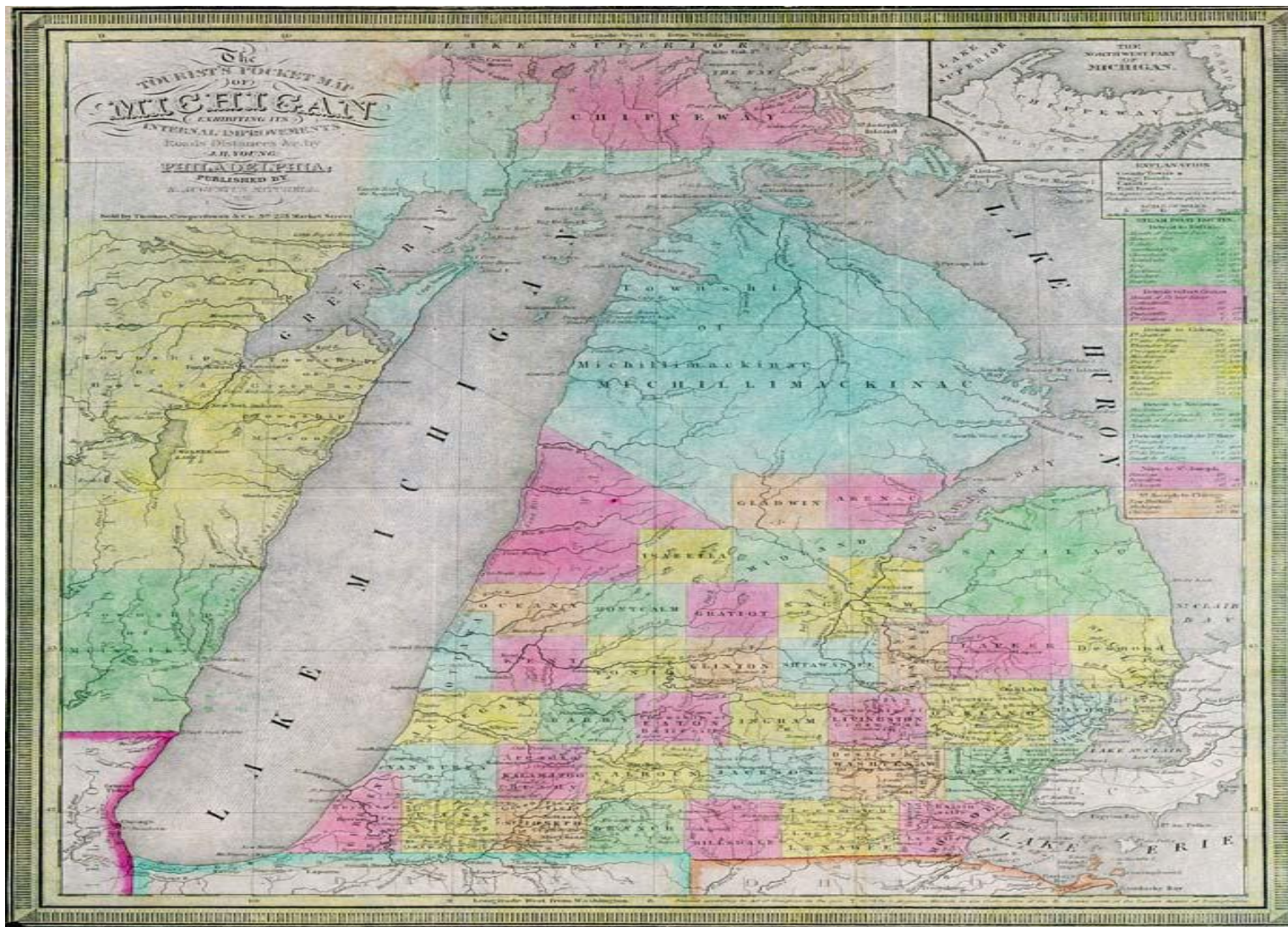
Archives of Michigan

Department of Natural
Resources



Michigan's first constitution, 1835

1830s Michigan Map



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
 - All formats: paper, electronic, audio, photographs, video, maps, microfilm, etc.
 - Examples:
 - Meeting materials of public bodies (minutes, agendas)
 - Election results and precinct maps
 - Transportation maps and engineering drawings
 - Vital records (birth, death, marriage, divorce)
 - Photos and videos of important people, events, places, etc.



How are Records Transferred to the Archives?

- Local Government
 - Complete the Direct Records Transmittal ([MH-85](#)) form (available online) and send it to the Archives
 - Archives will contact the office to arrange the transfer

Archives of Michigan

702 West Kalamazoo Street

Lansing, Michigan 48913

517-335-2576

archives@michigan.gov

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



**It's Time to
Get
Organized!**



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



Clean up Time - First Steps

- Clean-up the low-hanging fruit first
 - Non-records
 - Delete non-records that are not needed
 - Store reference documents separately from official records
 - Transitory Records
 - Delete when issue is addressed, and they are no longer needed
 - Personal Records
 - Delete personal records that are not needed
 - Do not store using government resources



Clean up Time - Next Steps

- Official 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
 - Most employees are only responsible for < 5 record series

Clean up Time - More Steps

- Manage email daily
 - Don't let the volume of email get out of control
 - Make retention decisions upon receiving or sending a message
- Regularly clean up all storage spaces: email, shared drive, file cabinets, cubicles, document management systems, databases, etc.
- Suspend the destruction of records, if necessary
 - FOIA, Litigation, Audit, Investigation

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: RMS created tools to help
 - Orientation presentation ([available online](#))
 - Tip sheet ([available online](#))



Electronic Records Management



Email Management



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 shared filing system with other records



What is the Retention Period for Email?

- 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
- Retention is based upon the content of the message, and the business process it supports
 - 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



Email is Not Private

Do not write something in an email message that you do not want to see published in the newspaper or on television news reports.

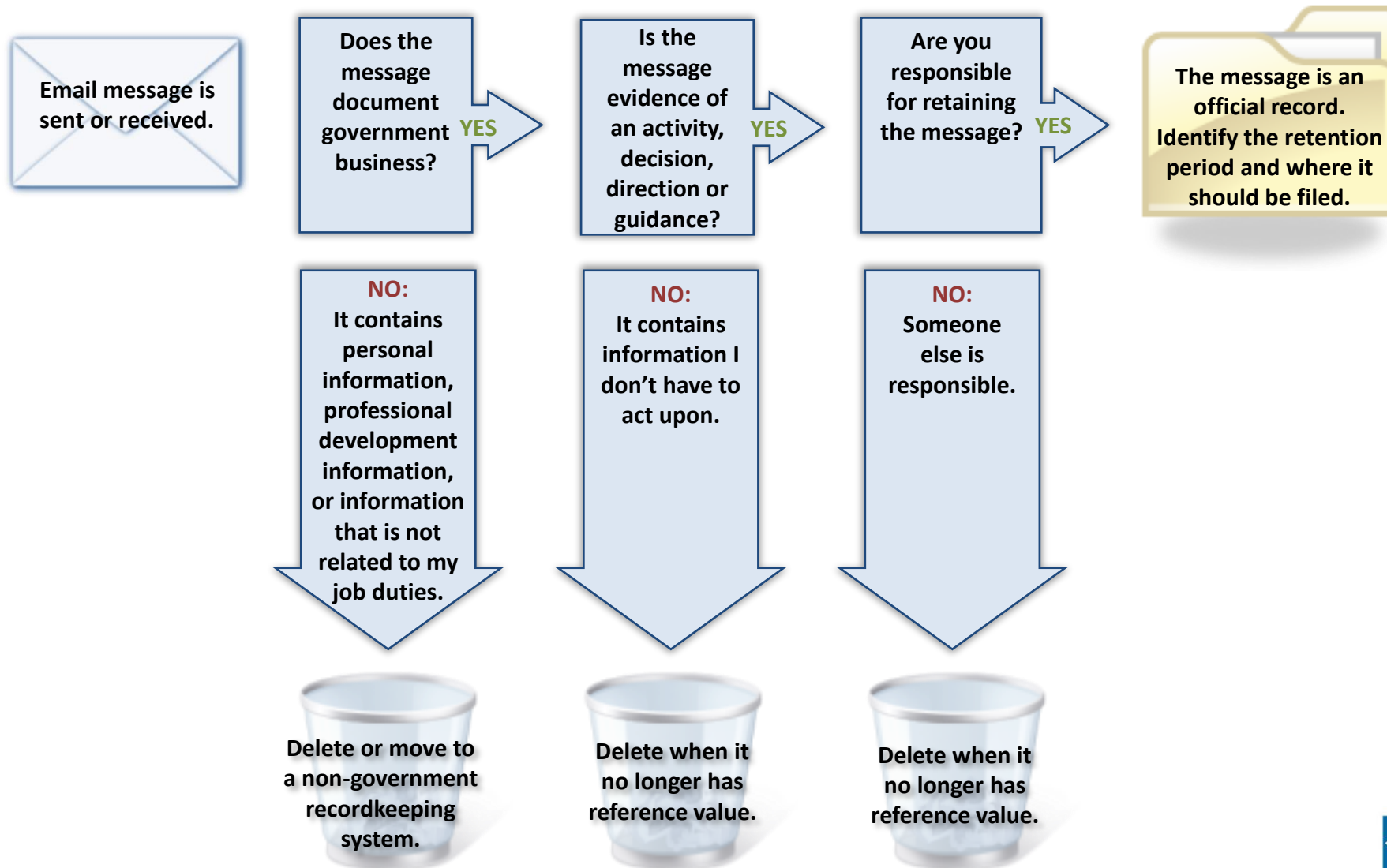


Email Liabilities

- Public officials and government employees have been caught using electronic messaging systems inappropriately, saying things they did not want to be public knowledge, or destroying electronic records illegally
 - Some have lost their jobs
 - Some have had to pay hefty fines
 - Some have gone to jail



Do I need to keep this email message?



Tips for Cleaning Email Accounts

- **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
- **Conversations:** only keep the last message, 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
- **Calendars:** retain appointments for 2 years
- **Trash:** empty deleted items and junk mail often (remains in the Microsoft Cloud for additional 30 days)
- **Mass Cleaning:** Know your longest retention period
 - Annual bulk clean-up of older messages



Manage Your Email: 10 minutes/ day – 3 simple steps

Step #1: Delete It

Delete spam, mass mailings, and messages with no reference value



Step #2: File It

File email that needs to be kept, but requires no action, into Outlook folders or the designated filing system



Step #3: Act On It

Remaining message require action - when done, go to steps 1 or 2



Digital Imaging



What are digital images?

- Digital reproductions (like photograph or photocopy) of a physical record (paper or microfilm)
- Quality of the digital image depends upon
 - Quality of the capture process
 - Quality of the original paper or microfilm

Longevity of Electronic Records

- Electronic records are technology dependent
- When technology becomes obsolete, the electronic records are at risk
- To keep electronic records accessible over time, they must be migrated to new technology
- Migration can be difficult and expensive

Michigan Law

- [Records Reproduction Act](#) (MCL 24.401 - 24.406)
- “a record reproduced under this act shall have the same force and effect as a true paper copy of a record.”
- Reproductions under the act “shall have the same force and effect as an original for all legal purposes and is admissible in court, administrative proceedings, and elsewhere as evidence in the same manner as an original.”

Imaging and Microfilming Standards

- Law requires that technical standards regulate quality
- Reproductions cannot be used as official records if they were not created according to SOM standards
- Standards were promulgated August 2005:
 - Conversion of Paper or Microfilm to Digital Images
 - Conversion of Paper to Microfilm
 - Conversion of Digital Images to Microfilm
- “Best Practice” documents explain how and why these technologies should be used
- Available on RMS website

Michigan's Digital Image Standard

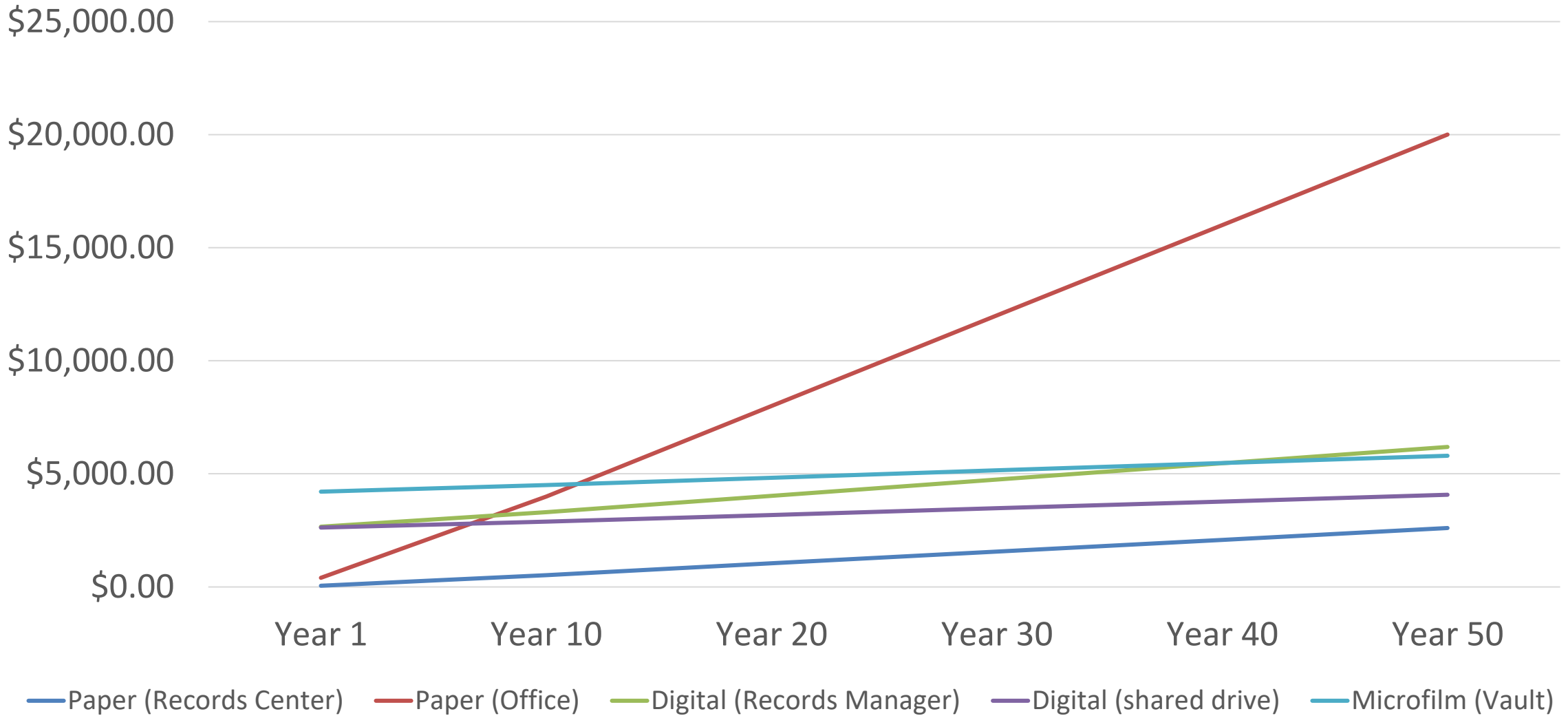
- Format
 - Any lossless compression
 - Prefer TIFF (Tagged Image File Format)
 - PDF (Portable Document Format) concerns
- Resolution of 200-300 DPI
- Black and white, when possible
- Sample for quality
- Written procedures
- Storage media

Common Misconceptions

- Scanning is free
- Storing digital images is cheaper than storing paper
- Scan everything and keep it forever



Cost Over Time



Scanning Considerations

- Backfile conversion
- Scanning process (where, when, who)
- Selecting appropriate equipment
- Scanning components
 - Document Preparation
 - Scanning Procedures
 - Indexing
 - Quality Control
 - Quality Assurance
 - Image Storage
 - Disposition (source documents, images past retention)

Inactive Records

- Do not scan inactive records
- Box and send to off-site storage



State of Michigan Contracts

- Microfilm conversion (from paper or images)
- Imaging conversion (from paper or microfilm)
- Microfilm storage
- Microfilm inspection and repair



Services Provided

- Budget Quote
- Full Review and Analysis
- Statement of Work (SOW) Development
- Products and Services
 - Scanned images

SOM Contract Benefits

- Contracts were competitively bid
 - Government agencies do not need to re-bid to procure the services
- Billing is handled by SOM
- SOM monitors vendor compliance and resolves issues
- SOM develops the SOW to help agencies get the services they need, instead what the vendor wants to sell
 - SOW defines agency and vendor responsibilities for the scanning project

Contact Information

- Vendor: Graphic Sciences, Inc.
- Contact RMS at dtmb-imagingservices@michigan.gov to get started

Additional Training



Records Management Training

- Online classes
 - 13 classes
 - Each takes 7 - 45 minutes
- Online guidance
 - Over 40 guides, tips, and brochures about recordkeeping topics
 - Retention and Disposal Schedules
 - Filing and Storage
 - Clean-up
 - Disaster Planning
 - Email
 - Scanning

Records Management Services

3400 N. Grand River Ave.

Lansing, Michigan 48909

517-335-9132

recordscenter@michigan.gov



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