





Records Retention



How long do I keep this, or can't I just scan, save, print, or send it, and let IT manage it?

Records Management Approaches

- Identify stakeholders, and form a work group.
- Outline your records management requirements.
- Group your records, and integrate with other e-business initiatives.
- Compare to a general schedule.
- Discuss legal implications of records retention with counsel.

iRODS, Integrated Rule-Oriented Data Systems

OAIS, Open Archives Information Systems

ERM, Electronic Records Management



General Retention Schedules at the Utah State Archives

See www.archives.utah.gov

- Different schedules for state agencies, counties, municipalities, and school districts, and
- Unique retention schedules are approved by the State Records Committee.

ERM Software

- Embed records retention into the electronic processes.
- Store documentation or pointers to documentation.
- Capture the record at creation or receipt.
- Minimize the end user's responsibility for RM.
- Facilitate RM decisions.
- Easy to use.



Benefits of a Plan for Records Retention

- Management support from chief-level,
- Streamlined business processes,
- Enhanced knowledge sharing,
- Reduced staff time in locating and accessing records,
- Facilitate audits or litigation holds,
- Pre-programmed disposition dates, and
- Reduced off-site storage costs and courier costs for paper records.



The Three Bucket Approach

Carol Brock, CRM of the Federal General Accounting Office
(GAO)

- Mission, (testimony, engagement, and investigation files) 5-year retention,
- Administrative, (finance, building and property management, procurement, reference services) 7-year retention, and
- Policy, (special collections, historic events, board minutes and executive officer documents) Permanent or long term retention.



Electronic Signatures

- Electronic signatures include any symbol executed or adopted by a party with intention to authenticate: PINs, passwords, digitized signatures, digital signatures, Public Key Infrastructure (PKI), and biometrics.
- Electronic signatures attest to the integrity of content as well as a signer's identity and allow legally binding agreements to be entered into (over the internet).
- See the National Archives and Records Administration for guidance.
www.archives.gov



Retention Means Managing Document Lifecycles

- Critical steps of planning, analysis, design, and architecture must be made in the context of an enterprise.
- Users across the enterprise are able to create, retrieve, manage, archive, or dispose of all of their content.
- Records retention policies are met and audit and compliance requirements satisfied.
- Some of the current systems in use: MOSS 2007, Open Text, IBM/FileNet, DCTM, and Hummingbird.



Data Management and Records Retention

- Management of data has become a daunting task.
- Establish responsibilities that are assigned, understood, executed, and reviewed.
- Technical architecture includes security, data, application, software, and networking.
- Metadata allows us to better understand the data we capture, process, manage, release, archive, or delete.
- Metadata includes information about the provenance, category, authenticity, management, transfer, retention, classification, and disposition of a record.



Records Retention and Litigation

- Everything is discoverable.
- Extended retention must occur at the first indication or expectation of litigation.
- If records have been disposed of according to an established and on-going retention policy, legal implications are minimized.
- See e-discovery and forensics guidance at www.craigball.com.
- This information was summarized from Craig Ball's presentation at the Electronic Records Conference, Austin, Texas, April 17-18, 2008. He is associated with a professional management company called Gimmel Group





ARMA (Association of Records Managers and Administrators)

- A brief report on the meeting of May 15, 2008,
- Updating a Corporate Records Retention Schedule by David Fleming, Corporate Records Program Manager, Zions Bancorporation.

Records Retention Review

- Identify stakeholders and decide on enterprise requirements for records.
- Streamline and facilitate business functions with appropriate policies, assignments, and software.
- Try the 3 bucket approach or use a general schedule.
- Manage the lifecycle of records.
- Be prepared with active retention schedules for audits or litigation.

