Records Management: What's in it for Information Technology?

Reduced risk and costs when no longer retaining unnecessary information, that's what!

Discussion today

- Records retention periods for records most commonly found in the Information Technology area

- Why keeping everything is not a good idea

- How we can work together to reduce risk and costs for UC

Records Retention Periods

http://recordsretention.ucop.edu/

UNIVERSITY OF CALIFORNIA

Records Retention Schedule

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About the Schedule

Knowing what records to keep and for how long is challenging. A records retention schedule defines the period of time that records should be retained and when they should be destroyed. Various requirements based in law and university policy govern the retention of administrative records. A retention schedule is critical for promoting responsible records management, mitigating risk, and ensuring consistent compliance across UC. The University Records Management Committee (RMC) is charged with developing and maintaining the universitywide records retention schedule. To gain an understanding on how to use the schedule, review this webinar. Questions regarding the schedule should be directed to the appropriate campus Records Management Coordinator .

It is important for all members of the University community to adhere to the retention periods in the schedule (except in the cases of a records hold). The schedule serves as the lawful authorization for the disposition of records; consequences of not following the schedule may include court-imposed legal sanctions.

Schedule update project
The RMC currently is conducting a systemwide project to update the records retention schedule. See Schedule Update Project for more information.

Records included in the schedule
Per University policy, RMP-1, "University Records Management Program," and except as superseded by federal laws and regulations, and university contracts, the retention schedule applies to all administrative records, regardless of their medium, owned by the

- University of California campuses and the Office of the President,
- University of California health sciences centers, and
- Department of Energy laboratories managed by the University of California.

The schedule does not apply to

- Administrative records held by the Principal Officers of The Regents,
- Teaching and research records (e.g., library materials, faculty research and teaching materials, student examinations), or
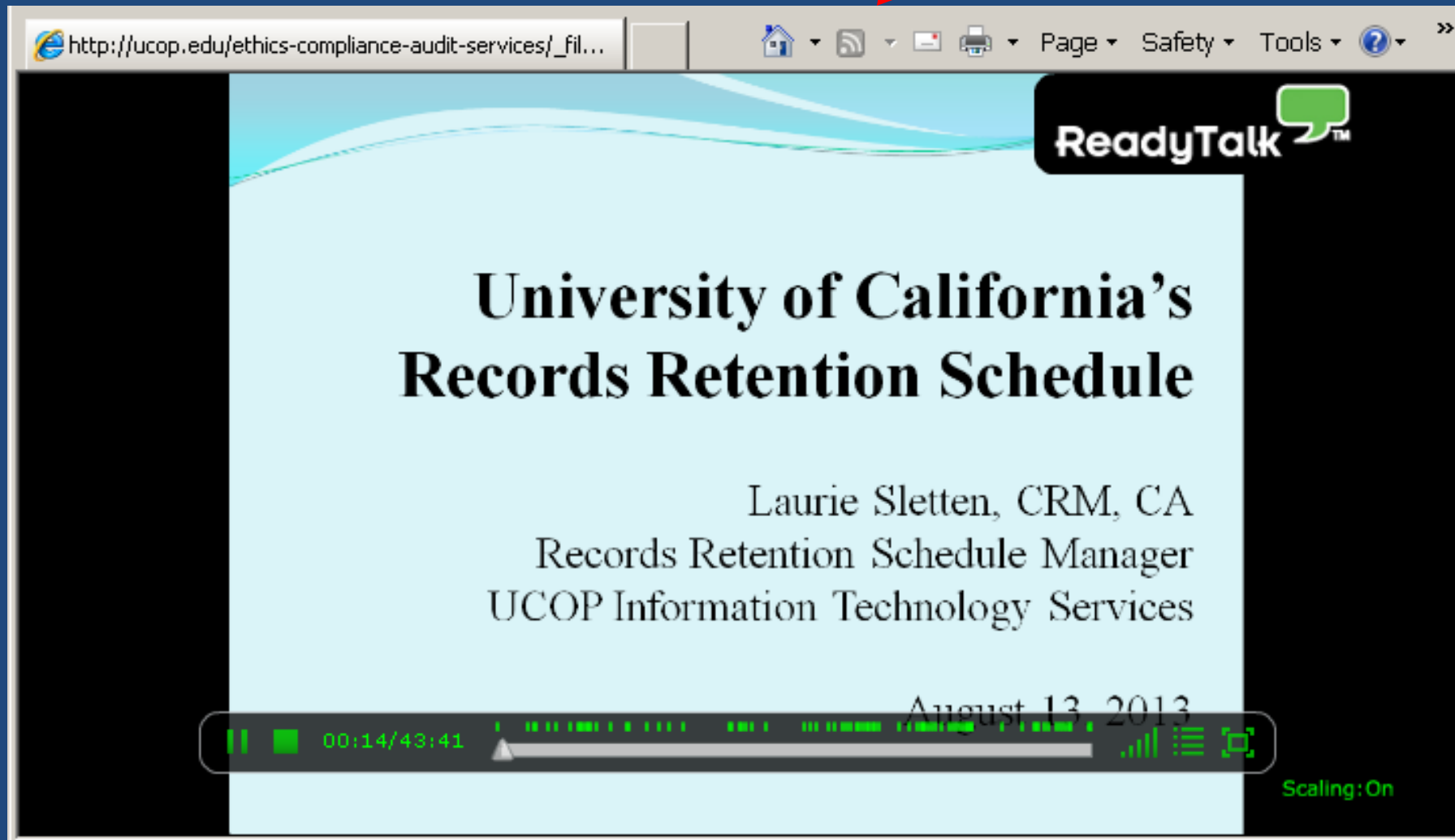- Records pertaining to individual patient care (medical records).

Records holds
If pending, foreseeable, or ongoing litigation; an investigation; or an ongoing audit pertaining to the records is taking place, the records cannot be destroyed until these actions have been completed or resolved. For information about records holds, contact your campus records management coordinator.

Appreciation goes to the University of Denver, the National Historical Publications and Records Commission, and Harvard University for their free, open-source, web-based software tool, which UC enhanced to use for managing, and distributing the UC records retention schedule. See http://library1.du.edu/site/about/urmp/recordsAuthority.php and http://code.google.com/p/records-authority/ for more information.

Records Management | Information Technology Services | UCOP
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Best viewed with Mozilla Firefox, Google Chrome, Safari and IE9

About the Schedule

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Summary of ITS Records Retention Periods

Code	Records	Retention Period	Notes
0001*	General Routine Office Transitory Records. Transitory records	Retain records for no longer than one year after their administrative use ceases.	See Note 1 below.
0002B*	Program administration – operational	Retain records 5 years after the end of the fiscal year in which the records are created. Delete or destroy after the retention period has lapsed.	See Note 2 below.
0002A*	Program administration - records of enduring historical value	Coordinate the transfer of these records to the University Archives when no longer needed for current operational business.	See Notes 3 and 4 below.
0005A3*	Financial and Procurement Records. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records document the payment of bills and the receipt of revenues owed to the University	Retain records for 4 years after the end of the fiscal year in which all activity has been completed.	See Note 5 below.
0009A1*	IT Proposals and Design Records for projects that are not implemented	Retain records until administrative use ceases.	See Note 5 below.
0009A2*	System documentation for projects that are implemented	Retain records for 3 years after the end of the fiscal year in which the system, application, or website is discontinued and all data has been purged according to the specific retention period for those records, or successfully migrated to a different system, application, or website.	See Note 6 below.
0009A3*	All other IT Proposals, Design and Implementation Records for implemented projects	Retain records for 4 years after the end of the fiscal year in which the project is closed out.	See Notes 5 and 7 below.
0009B1*	IT Operations Records - Records that document routine activities, or superseded contingency or IT asset management records	Retain records for no longer than one year after review and analysis requirements have ceased.	
0009B2*	All Other IT Operations Records (documents services provided to maintain systems and infrastructure)	Retain records for 3 years after the end of the fiscal year in which the system, application, or website is discontinued and all data has been purged according to the specific retention period for those records, or successfully migrated to a different system, application, or website or until the infrastructure is obsolete.	

Notes

Content in systems, shared drives, collaboration tools such as SharePoint, and websites (as well as those systems/programs developed in the future that are used to house content) is not covered in this section. The content will fall in other parts of the retention schedule, depending on what is documented. Before decommissioning shared drives, collaboration tools, or websites, etc., the owner of the content should specify what needs to be captured and how, and then that content should be returned to the owner for retention purposes.

1. Records document routine general office activities. "Routine" means activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications
2. Records document organizational activities (letters, acknowledgements, memos, notes, transmittals, e-mail messages)
3. These records document the establishment, evolution/changes, consolidation, and disestablishment of university departments & programs.
4. Contact Judy Peck in Records Management Services to see if these records should be part of the records collection she manages.
5. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Sponsored activities means that the funds are received under grants, donations, or contracts from sources (private, state, federal, etc.) outside UC.
6. Source code, test scripts, test automation, and other intellectual property created while internally developing systems are not included in this group of records. These are found in the Program Administration Records - Program Administration Records of enduring historical value section of the retention schedule.
7. A project is closed out when (1) the system, system enhancements, or changes have been declared operational and ready for production; or (2) a project is terminated for any reason.

Notes

Content in systems, shared drives, collaboration tools such as SharePoint, and websites (as well as those systems/programs developed in the future that are used to house content) is not covered in this section. The content will fall in other parts of the retention schedule, depending on what is documented. Before decommissioning shared drives, collaboration tools, or websites, etc., the owner of the content should specify what needs to be captured and how, and then that content should be returned to the owner for retention purposes.

Summary of ITS Records Retention Periods

Code	Records	Retention Period	Notes
0001*	General Routine Office Transitory Records. Transitory records	Retain records for no longer than one year after their administrative use ceases.	See Note 1 below.

Notes

1. Records document routine general office activities. "Routine" means activities related to the typical internal operation of an office, including: staffing, administrative procedures, systems, and communications

Summary of ITS Records Retention Periods

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0002A*	Program administration - records of enduring historical value	Coordinate the transfer of these records to the University Archives when no longer needed for current operational business.	See Notes 3 and 4 below.

Notes

2. Records document organizational activities (letters, acknowledgements, memos, notes, transmittals, e-mail messages)
3. These records document the establishment, evolution/changes, consolidation, and disestablishment of university departments & programs.
4. Contact your university archivist to see if these records should be part of your location's university archives. For UCOP, contact Judy Peck to see if the records should be a part of the records collection she manages.

Summary of ITS Records Retention Periods

Code	Records	Retention Period	Notes
0005A3*	Financial and Procurement Records. Accounts Payable/Receivable, Procurement and Banking/Cash Handling Records document the payment of bills and the receipt of revenues owed to the University	Retain records for 4 years after the end of the fiscal year in which all activity has been completed.	See Note 5 below.

Notes

5. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Sponsored activities means that the funds are received under grants, donations, or contracts from sources (private, state, federal, etc.) outside UC.

Glossary:
Sponsored activity/activities – are contract-specified activities that are funded with some or all external money of a sponsor, such as activities of a project funded from a research grant or contract.

9. Information Technology Records
9.A. IT Proposals, Design and Implementation Records

IT Proposals, Design and Implementation Records document information technology systems and systems enhancements from the time of concept through the completion of a project. The systems include internally developed systems and websites as well as vendor systems. These records found in all media (paper, electronic, or otherwise) may include but are not limited to:

- planning records such as proposals, design documents, prototypes, write-ups of issues or gaps, performance improvements records, and proof of concept records;
- approval records;
- project planning and management records;
- system documentation such as business requirements, functional requirements, mapping specifications, data models, reporting requirements, workflow diagrams, data dictionaries or metadata registries, and testing records;
- quality assurance and change management records;
- implementation schedules and presentations; and
- communications records.

Code	Records	Retention Period
0009A1*	IT Proposals and Design Records for projects that are not implemented	Retain records until administrative use ceases.
0009A2*	System documentation for projects that are implemented	Retain records for 3 years after the end of the fiscal year in which the system, application, or website is discontinued and all data has been purged according to the specific retention period for those records, or successfully migrated to a different system, application, or website.
0009A3*	All other IT Proposals, Design and Implementation Records for implemented projects	Retain records for 4 years after the end of the fiscal year in which the project is closed out.

9. Information Technology Records
9.A. IT Proposals, Design and Implementation Records

Code	Records	Retention Period	Notes
0009A1*	IT Proposals and Design Records for projects that are not implemented	Retain records until administrative use ceases.	See Note 5 below.

Notes

5. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Sponsored activities means that the funds are received under grants, donations, or contracts from sources (private, state, federal, etc.) outside UC.

Glossary:
Sponsored activity/activities – are contract-specified activities that are funded with some or all external money of a sponsor, such as activities of a project funded from a research grant or contract.

Code	Records	Retention Period	Notes
0009A2*	System documentation for projects that are implemented	Retain records for 3 years after the end of the fiscal year in which the system, application, or website is discontinued and all data has been purged according to the specific retention period for those records, or successfully migrated to a different system, application, or website.	See Note 6 below.

Notes

6. Source code, test scripts, test automation, and other intellectual property created while internally developing systems are not included in this group of records. These are found in the Program Administration Records - Program Administration Records of enduring historical value section of the retention schedule.

• system documentation such as business requirements, functional requirements, mapping specifications, data models, reporting requirements, workflow diagrams, data dictionaries or metadata registries, and testing records;

Code	Records	Retention Period	Notes
0009A3*	All other IT Proposals, Design and Implementation Records for implemented projects	Retain records for 4 years after the end of the fiscal year in which the project is closed out.	See Notes 5 and 7 below.

Notes

5. Records used as supporting documentation for sponsored activities will need to be retained for 6 years after the expiration/termination of the sponsored activities; resolution of any litigation, claim, or audit; or the period stated in the award document - whichever is longer. Sponsored activities means that the funds are received under grants, donations, or contracts from sources (private, state, federal, etc.) outside UC.

6. N/A for this item.

7. A project is closed out when (1) the system, system enhancements, or changes have been declared operational and ready for production; or (2) a project is terminated for any reason.

Glossary:
Sponsored activity/activities – are contract-specified activities that are funded with some or all external money of a sponsor, such as activities of a project funded from a research grant or contract.

Summary of ITS Records Retention Periods
9. Information Technology Records
9.B. IT Operations Records

IT Operations Records document the Information Technology services provided to maintain systems and infrastructure at the University. The systems include internally developed systems and websites as well as vendor systems. These records found in all media (paper, electronic, or otherwise) may include but are not limited to:
- systems support and service requests records such as help desk logs and reports that document, control, monitor, and track requests through resolution for system, network, and operational problems;
- contingency records such as risk management plans, disaster recovery plans, resumption of business plans, mitigation plans, and backup and recovery procedures;
- IT asset management records, including inventories and licenses records;
- infrastructure maintenance records of preventative, corrective, adaptive and enhancement activities; and
- schedules, reports and other records that document systems operations performance and use.

Code	Records	Retention Period
0009B1*	IT Operations Records - Records that document routine activities, or superseded contingency or IT asset management records	Retain records for no longer than one year after review and analysis requirements have ceased.
0009B2*	All Other IT Operations Records (documents services provided to maintain systems and infrastructure)	Retain records for 3 years after the end of the fiscal year in which the system, application, or website is discontinued and all data has been purged according to the specific retention period for those records, or successfully migrated to a different system, application, or website or until the infrastructure is obsolete.

Are there any circumstances when you should not follow the retention schedule?

Yes, there are several important situations that must be considered:

- If pending, foreseeable, or ongoing litigation; an investigation; or an ongoing audit pertaining to the records is taking place, *the records cannot be destroyed until these actions have been completed or resolved.*

This is called a "Records Freeze."

Are there any circumstances when you should not follow the retention schedule?

- If a federal or state statute or regulation specifies a longer retention period for any records, the statute or regulation overrides this schedule. Please notify your campus Records Management Coordinator about the requirement. The Records Management Coordinator will work with the Records Management Committee to change the schedule.

Are there any circumstances when you should not follow the retention schedule?

- If there is a legitimate business need to retain records longer than the period identified in the retention schedule, please contact your campus Records Management Coordinator to identify the needs. The Records Management Coordinator can also discuss with the RMC to determine if the schedule should be changed.

Storage is cheap! Why not keep everything?
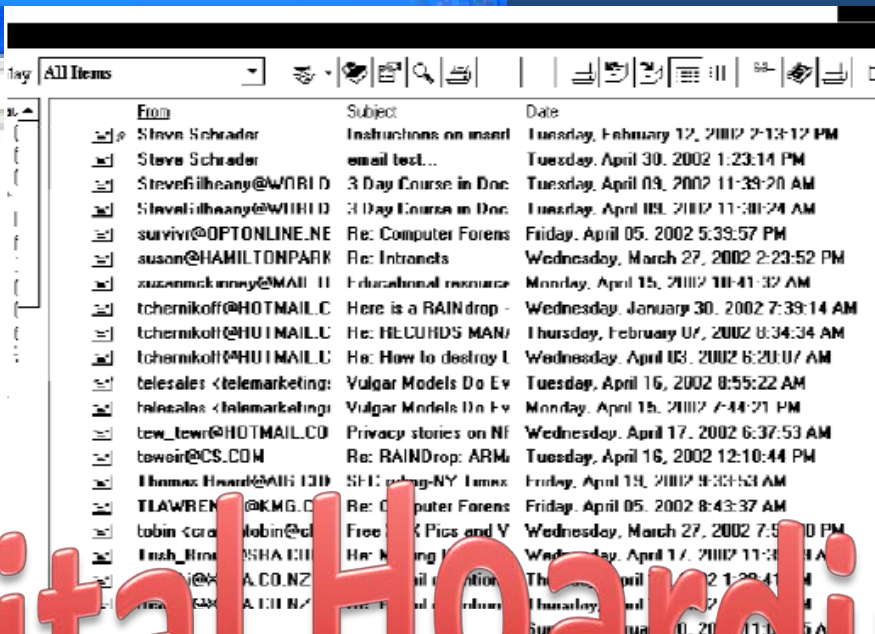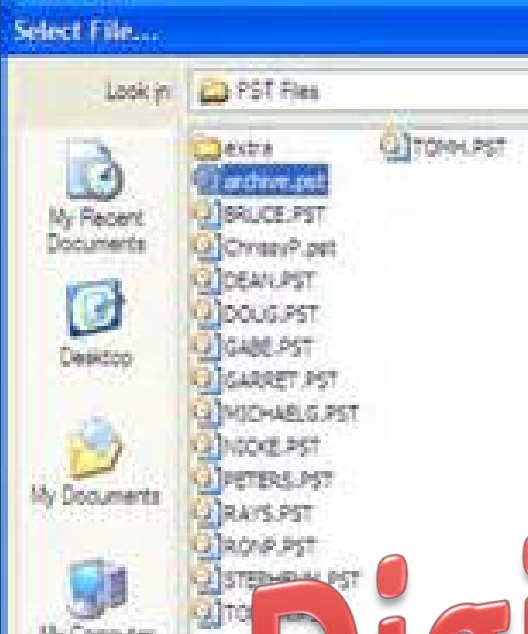
Digital Hoarding!
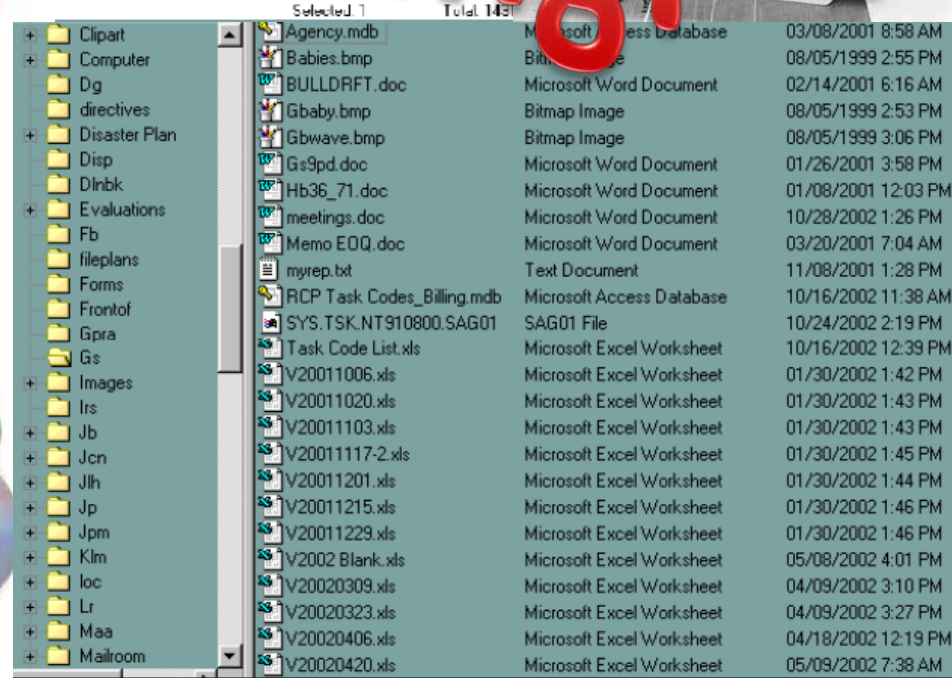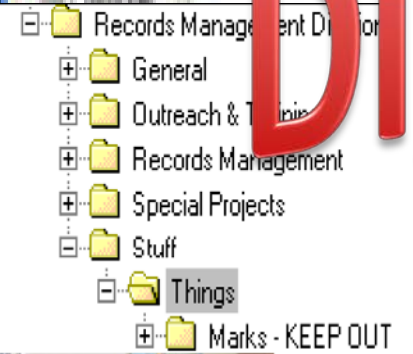
Storage may be cheap, but how much will it cost to manage it all?

- Between 95%-98% of our records do not need to be retained permanently.

- Will the public appreciate us maintaining everything over time or will they perceive this as a waste of their tax dollars?

- What does "manage it" mean?

What does "manage it" mean?

Keep everything accessible over time:

1. Migrate everything as systems become obsolete or storage medium changes. Preserve the content, context and structure of the records over time and space.

   a. How will you know if you have done this?

   b. Who will be able to interpret the records over time to validate their authenticity?

   c. Security rights may change over time, how will you manage this?

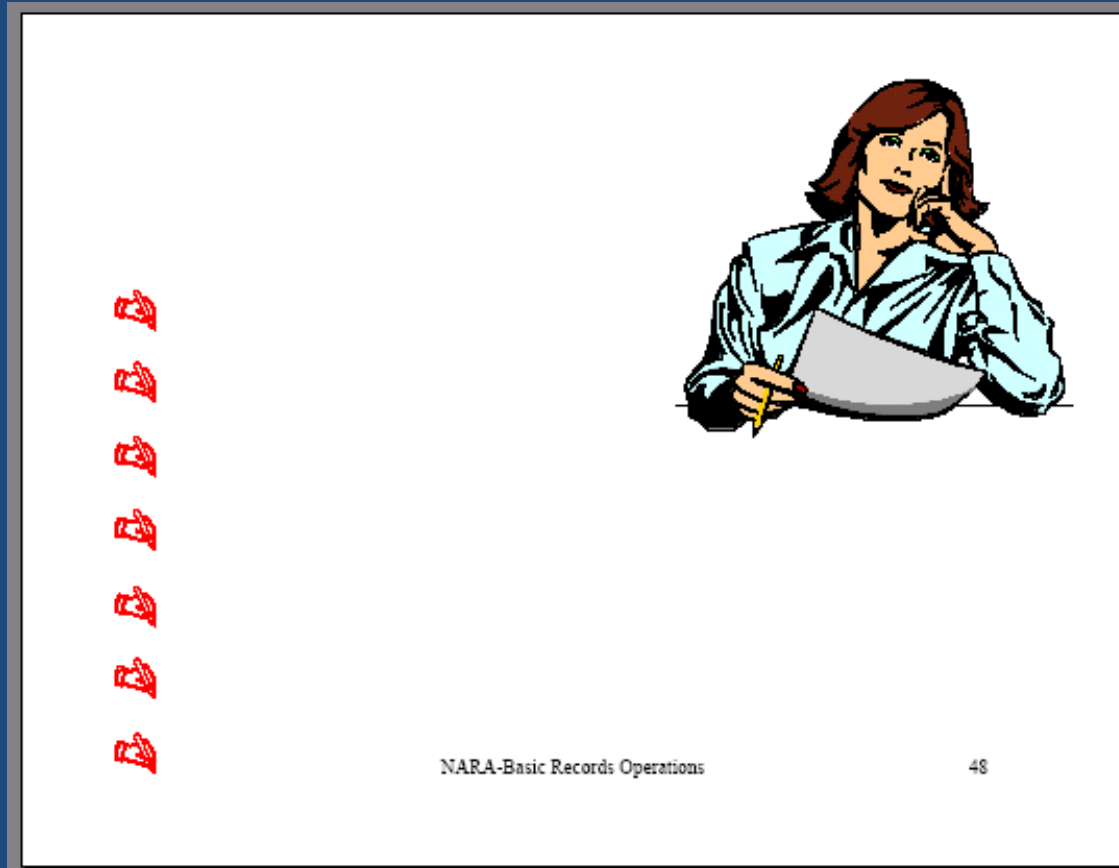# Content should be preserved when migrating or reformatting electronic records.

EXAMPLE: PowerPoint Presentation Slide in PowerPoint

Content should be preserved when migrating or reformatting electronic records.

EXAMPLE: PowerPoint Presentation Slide "printed" to PDF

What does "manage it" mean?

Produce things for Audits, Investigations, Discovery or Public Records Act Requests?

1. How will you know if you have it?

2. If you have it:

   a. You must produce it!

   b. If everyone who was involved with the activity no longer work at UC, will you know how to interpret it?

   c. When there is more than one copy, will you know which copy is the official and complete copy?

Ten Factors Driving The Total Cost of Owning Unstructured Information

Cost Drivers: Examples ←- - - - - - - - - - - - - - - →

Outdated, unenforceable policies

Poorly defined information ownership & governance

Open loop, reactive e-discovery processes

Uncontrolled information repositories

Modernist, paper-focused information rules

Ad hoc, unstructured business processes

Siloed governance efforts

1	E-Discovery
2	Disposition
3	Classification & Organization
4	Digitization & Automation
5	Storage and Network Infrastructure
6	Information Search, Access, Collaboration
7	Migration
8	Policy Management & Compliance
9	Discovering & Structuring Business Process
10	Knowledge Capture & Transfer

←- - - - - - - - - - - - - - → **Cost Reducers: Examples**

Formal, communicated, and enforced policies

Automated classification & organization

Defensible deletion & selective content migration

Data maps

Proactive, repeatable e-discovery procedures

Clear corporate governance

Managed & structured repositories

Source: Barclay T. Blair, "The Total Cost of Owning Unstructured Information," 2013.   www.barclaytblair.com

Documents *discovered* versus documents *actually used* in litigation [1044:1]
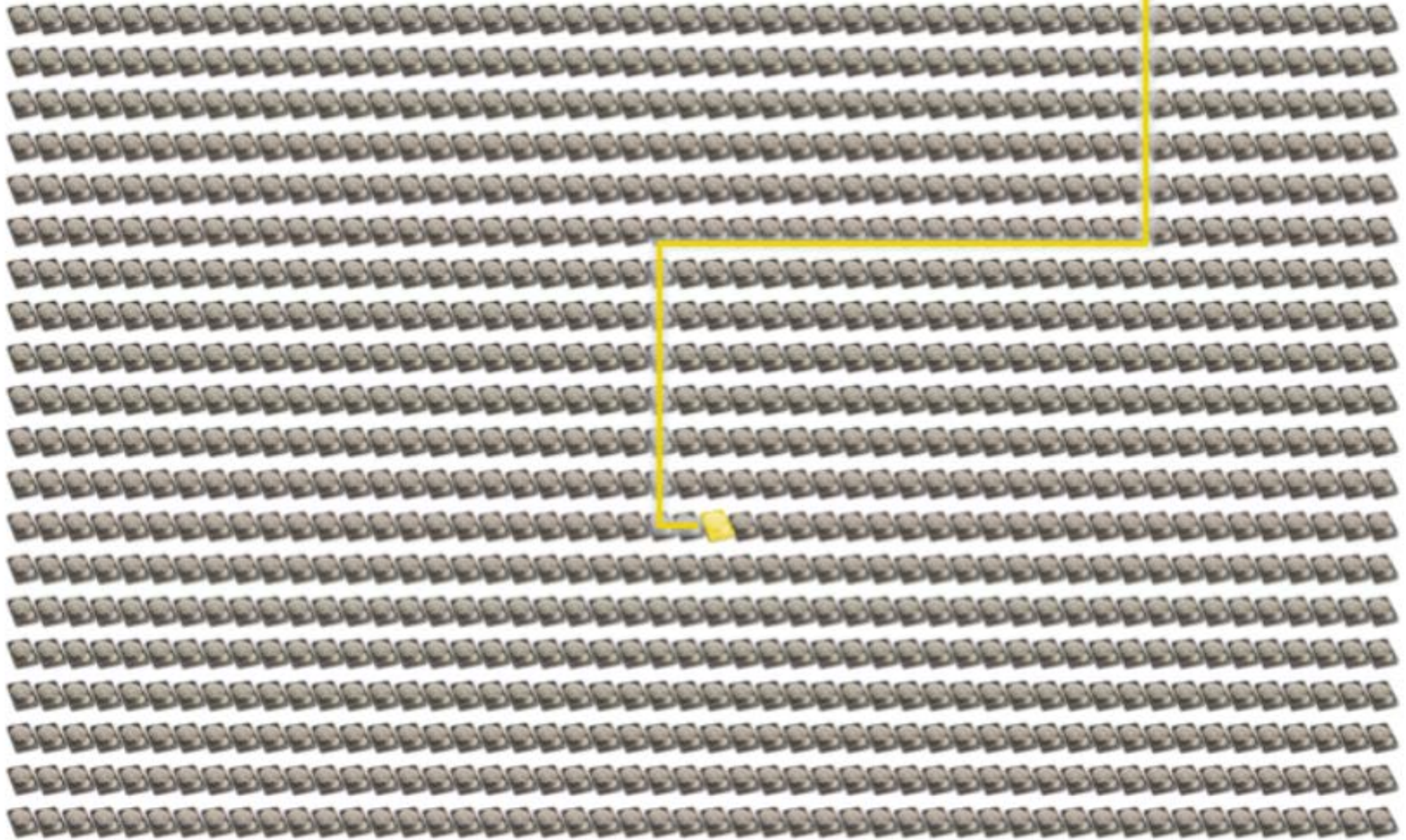
Source: Litigation Costs Survey, Duke Law School, May 2010

"E-Discovery. Finding, processing, and producing information to support lawsuits, investigations and audits. Unstructured information is typically the most common target in e-discovery, and a poorly managed information environment can add millions of dollars in cost to large lawsuits. Simply reviewing a gigabyte of information for litigation can cost $14,000."

http://barclaytblair.com/2013/04/11/10-factors-driving-the-total-cost-of-owning-unstructured-information/ - cites this source:
Nicholas M. Pace, Laura Zakaras, "Where the Money Goes: Understanding Litigant Expenditures for Producing Electronic Discovery," RAND Institute for Civil Justice, 2012, page 20. http://www.rand.org/content/dam/rand/pubs/monographs/2012/RAND_MG1208.pdf

How we can work together to reduce risk and costs for UC

Definitions

Archive:

    IT = to back up

    RM = to select a group of records and preserve them

Record:

    IT = a complete item in a database

    RM = any item, regardless of physical form, that qualifies as a record

> "Any writing, regardless of physical form or characteristics, containing information relating to the conduct of the public's business prepared, owned, used, or retained by an operating unit or employee of the university."
>
> RMP-2

It is important to build good recordkeeping practices into systems.

Records are identified and methods are used to capture fixed records to provide evidence of an activity.

Building systems with rules that assist with:
- Records capture,
- Records retention schedules,
- Records maintenance and storage, and
- Records access issues.

Recordkeeping business rules need to be built into systems. Rules that dictate:

- What is a record
- How and when records will be created or captured
- How they will be maintained and used, and
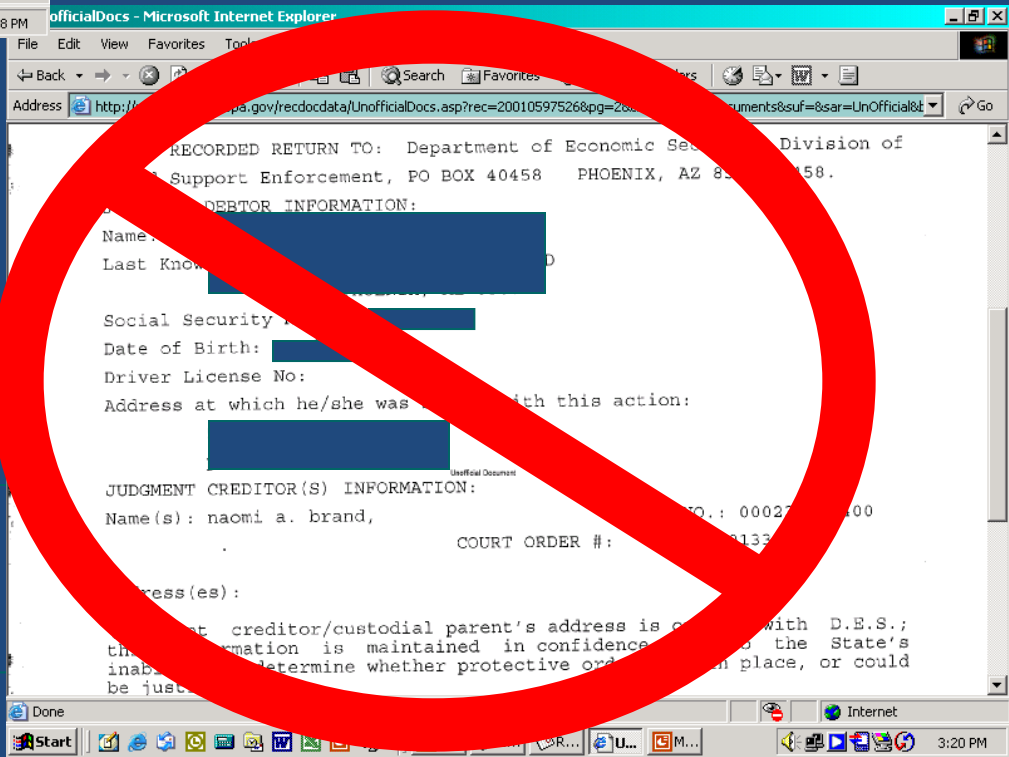- How long the records will be maintained

We used to have the records in (paper or microfilm/fiche) but we had them scanned and then we destroyed the other records. Now we are finding out that no one checked the scans to make sure they were legible.
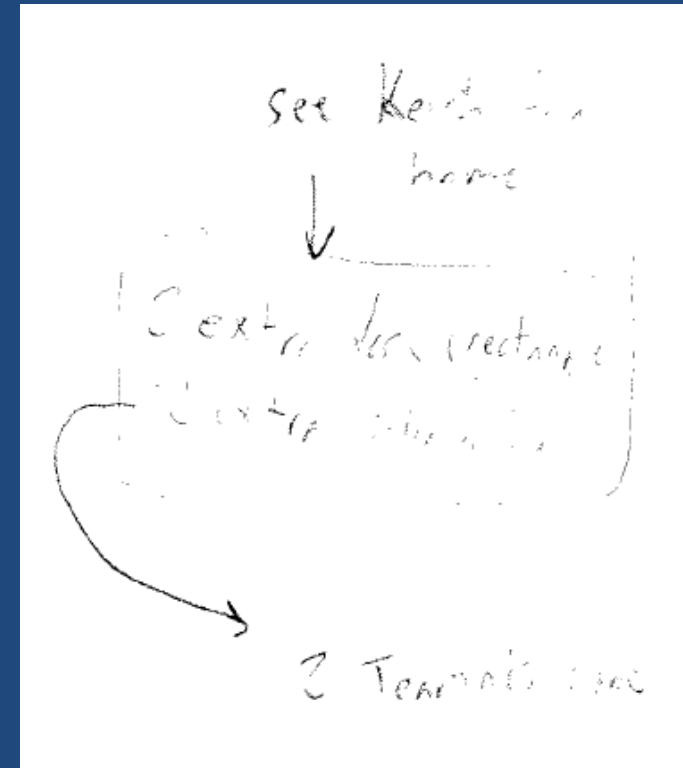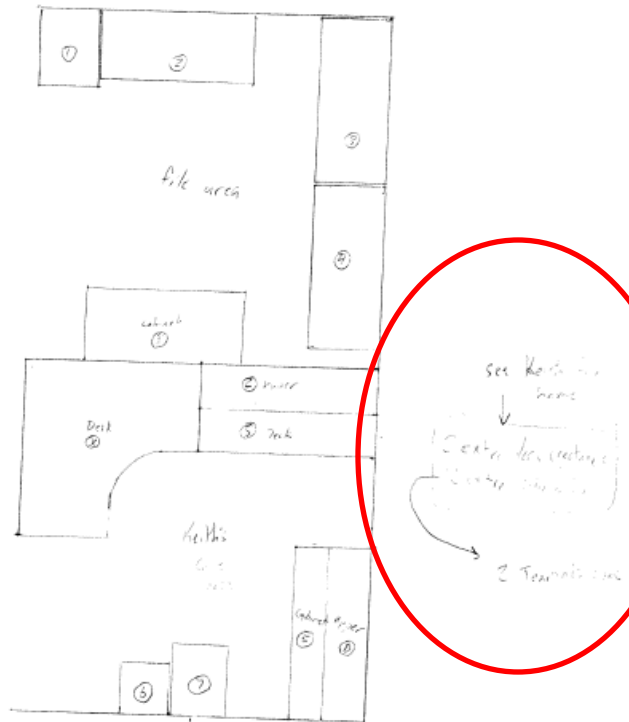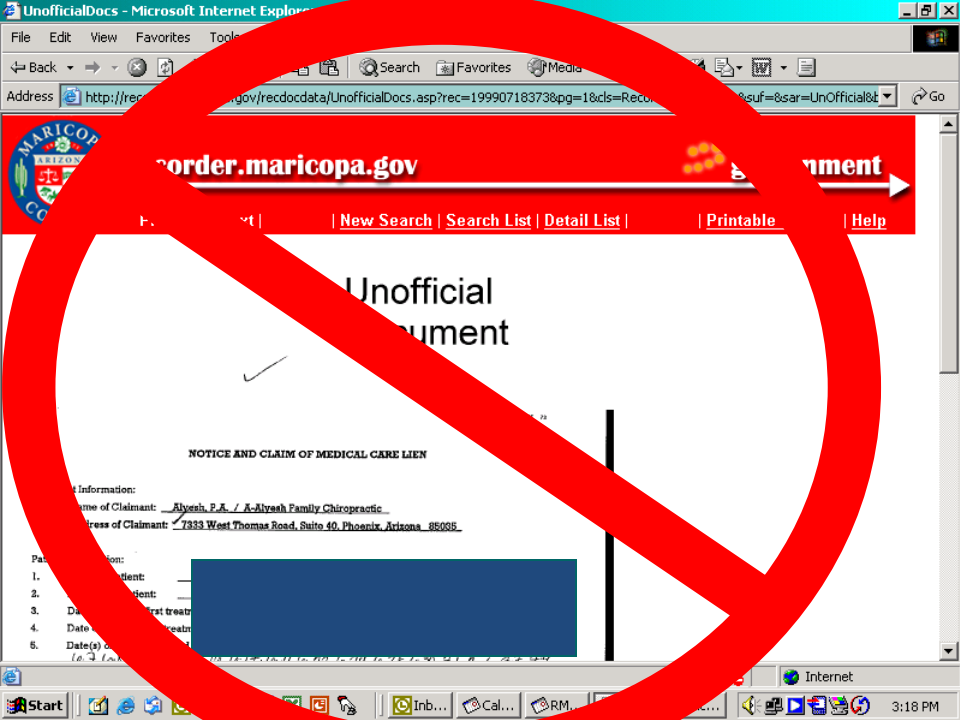
Someone's medical information

Enough information for Identity Theft

'Hoarders': The Corporate Data Edition

By Jake Frazier and Anthony Diana | All Articles
Law Technology News | December 19, 2012

DO THE MATH

A recent article in *Science* magazine, "The World's Technological Capacity to Store, Communicate, and Compute Information," stated that collectively we have accumulated 295 exabytes of information. While legal and corporate IT departments are finally getting a grip on managing terabytes and moving on to petabytes, exabytes are lurking and ready to be thrust into reality. According to the "Gartner IT Key Metrics Data 2012" report, the total cost of storing and managing a petabyte of information is nearly $5 million per year. Loosely, this translates to about $5,000 per terabyte. However, this is only part of the story. If we assume an organization that stores 10 petabytes of data might have about 1 petabyte of email throughout its IT infrastructure — including production email, PSTs, or Lotus Notes files (NSFs), or other loose email files on individual hard drives or file shares — and an email archive. (We are purposely avoiding the issue of backup tapes.)

Further assume that this size of organization might pay upwards of $20 million a year on electronic data discovery. From this figure, it is possible to back into the EDD "tax" that must be assessed to a given terabyte of data from a target-rich environment such as email. The RAND Institute for Civil Justice issued a study report, "Where the Money Goes: Understanding Litigant Expenditures for Producing Electronic Discovery," this year that showed a median cost for collection of $910 per gigabyte, $2,931 per gigabyte for processing, and $13,636 for reviewing a gigabyte of data.

Plugging these numbers into the $20 million spent for a corporation above, we arrive at a "probability of review" for a given message of about .1 percent. Therefore, for every terabyte of key data, we see an EDD "tax" of 1 gigabyte or about $15,000 when the costs of collection, processing, and review are tallied. If we add the $5,000 in hard costs from the IT figure above, we arrive at about $20,000 per year.

However, for the purposes of this analysis let's set aside the EDD costs. Finance departments often struggle to properly account for projected costs that are probabilistic, discounting these costs to the "best case scenario." Considering solely the IT costs of $5,000 per terabyte, some rather ominous mathematical calculations begin to take shape.

According to the Compliance Governance and Oversight Council, the amount of data that an organization could defensibly dispose of is staggering. The Council's postulate is that information must be retained for three reasons: 1) it is subject to legal hold, 2) it is subject to a regulatory requirement, or 3) it is valuable for business purposes. According to CGOC, about 5 percent of information is subject to regulatory obligations, about 25 percent of corporate data is of business value, and only about 2 percent is subject to legal hold.

Assuming "safe margins" — in that it is somewhat difficult to separate wheat from chaff even with the highest level of will and technology — let's round that up to 50 percent. If 50 percent of corporate data is of no value and carries no obligation, it represents tremendous opportunity for savings. In a company with 10 petabytes of data, 5,000 terabytes are candidates for disposal. When the cost per terabyte is juxtaposed against the percentage of data that must be retained, stark conclusions appear.

Even if just 1,000 terabytes (a petabyte) could be disposed of, the unnecessary cost (or waste) is $2.5 million per year, it is important to consider what might have been sacrificed to maintain this unnecessary data. Many corporations have experienced staff reductions in the last few years. If an office worker costs a company an average of $120,000 per year ($100,000 salary and $20,000 in overhead for benefits, computer, etc.), an unfortunate equation emerges. For every worker laid off, the hypothetical corporation chose to store 24 terabytes of information with no value or obligation associated with it.

Here are some recordkeeping requirements to consider:

1. What records need to be created or kept that document the functions/activities?

2. What will be required to supply appropriate content, context and structure of the records before the records are captured in a fixed method?

3. How will these records be captured so they are fixed?

4. If retention periods for the records change, how will the new retention period be transitioned into the system?

Here are some recordkeeping requirements to consider:

5. How will records be maintained through the retention period?

6. How will any downloads of data be managed so that renegade standalone systems are not created without the proper recordkeeping requirements attached to them?

7. How will records be deleted from the system when their retention period has lapsed?

Here are some recordkeeping requirements to consider:

8. Will the organization want to delete all associated metadata when the records are deleted, if not, what will need to be retained and for how long?

9. How will records be protected from deletion when there is a hold on destruction?

10. How will the records with permanent retention be preserved and accessible over time?

Here are some recordkeeping requirements to consider:

11. What system documentation will need to be created to document recordkeeping processes?

12. What training will be provided to users to ensure they are aware of their recordkeeping responsibilities?

(Caveat: this list of considerations may not be all-inclusive, but should generate contemplation when designing, implementing, and/or managing an electronic records/information management system.)

What we have discussed today:

- Records retention periods for records most commonly found in the Information Technology area

- Why keeping everything is not a good idea

- How we can work together to reduce risk and costs for UC

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