Best Practices for an Effective RIM Program, Modern Retention Schedule, and Supporting Taxonomy

Unify
Your Infrastructure

Manage
People and Teams

Modernize
Business Solutions

March 2020

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ShareSquared: Webinar QA

Question	Answer
For the Information Technology Team - was each tile tied to a separate library? Or 1 library?	The Target Site and Library for each Taxonomy Tile is configurable so, documents can be routed to the same or different sites/libraries. Also, the Tiles are security-trimmed so that they are hidden from users who do not have permission to upload to the specified Target Library
How do you apply a spreadsheet-based retention schedule in SharePoint, leveraging software (not building it manually) as the 1st presenter advised to do?	ShareSquared has a Taxonomy Package that includes prebuilt Content Types, the Taxonomy/Information Architecture Workbook that was shown in the Demo, and a utility to deploy the Taxonomic structures from the Workbook to SharePoint.
How many metadata fields is it advisable in your view to require users to fill out?	We advise no more than 3 mandatory fields and 10 total fields however, these limits can be extended if you are using our Taxonomy Tiles or an auto-classification product which automatically adds the metadata without effort from End Users. On the webinar we mentioned what we call the Minimum Effective Dose (MED) for taxonomy comprised of RIM-based fields (usually < 3 fields), Unique Identifiers (e.g. Employee ID, Asset ID, etc.) and Search-based Fields only for attributes needed to in Search Refiners. Following the MED typically keeps the number of fields to a reasonable amount.
Modern SharePoint makes it impossible to require metadata fields; they are really only suggested since you can still upload and edit documents without filling them in. How to manage this gap in SharePoint?	SharePoint provides a view for documents with mandatory fields that are incomplete. We recommend that this view be reviewed/addressed periodically to ensure that the necessary identification/classification for RIM and Search is being achieved.

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ShareSquared: Webinar QA

Question	Answer
How do you begin to adapt your current retention schedule to the one you demonstrated -- we cannot strip out what we already have in place or change the way the business users are already attributing metadata and naming conventions.	We recommend that you first transform your current Retention Schedule to a modern, Excel-based format. Then determine the Minimum Effective Dose taxonomy for RIM and Search and make the necessary adjustments. Next perform impact analysis related to the changes and socialize/negotiate the change with business stakeholders, highlighting the value and necessity for each change. Once you have agreement the taxonomic changes can be made by hand, via PowerShell scripts, or using ShareSquared's Taxonomy/IA Workbook and Deployment Utility. Existing metadata will have to be moved into/preserved in the new structure. An easy way to do this is to use ShareSquared's Enhanced Metadata Capture solution, which enables you to store taxonomy as Key/Value pairs in a single column of a document library. The metadata is searchable and storing it this way significantly reduces the effort to develop and maintain the taxonomy structures in SharePoint.
Some of my users still want to use folders and will not want to add additional metadata to documents when they are saving it. They rather add the metadata on the folder.	Using metadata vs folders is a cultural change that users typically resist until they start to see the value (e.g. better search). There are many techniques that can be used to reduce the effort and improve metadata capture such as setting defaults on the library, using Document Sets which present as a Folder and support the use of metadata, using our Taxonomy Tiles and Enhanced Metadata Capture components, employing an auto-classification product to do the work for End Users, and realigning sites and libraries to make classification more intuitive.

ShareSquared: Webinar QA

Question	Answer
We review our records at folder level i.e. micro review not at document level how can this be implemented in SharePoint?	We interpret this to mean that you are using Folders to indicate the record category of all documents in the folder. We recommend that you use metadata on the documents individually and/or use Document Sets in cases where several documents are related to each other.
Do most apps have the tiles piece?	No, this is a ShareSquared product that only works with O365
If you are not using tiles, what does it look like when you upload a new document? Do you have to enter all info manually for each column? Or is there "inheritance" when you add the file to a certain library?	There is a panel that is used to input the metadata that is associated with Content Type assigned to the Document. End Users can manually input this metadata, or you can use one of the techniques provided in the answer to the question above regarding users preferring folders over metadata.
You discussed automated e-mail rules but didn't show that. What tools do that?	We typically recommend that you implement basic policies in Exchange that are loosely based on NARA's Capstone Approach where the retention period is determined by a person's role in the organization (e.g. emails for C-Level employees are kept longer than lower level operations personnel). We have developed a utility that implements this configuration using an Excel workbook. This will be covered in the fourth webinar of the EDRMS series that focuses on Email Management.

ShareSquared: Webinar QA

Question	Answer
You said that you have not had success recruiting the users for including them in classifying the document in order to carry out the retention. In my current organization, I have a function-activity-based retention schedule and I'm now working in my document management system to apply these rules, on top of any document lifecycle workflows - e.g.) draft, revised, final. What success have you had creating workflows with the final state being the retention rule and how many retention rules are typical for an organization so we don't have too many or too few?	We recommend that Documents be managed under policy as soon as they are identified/classified regardless of the status (i.e. draft, revised, final). We typically add a "Status" field and accompanying retention rule, as necessary, to manage documents in different States. This enables you to apply the appropriate "workflow" or Retention Policy to documents with different statuses. The number of Retention Rules typically depends on the number of Records Categories, the variability of the metadata between Categories, and the differences in Retention Periods between Categories. Put another way, if the metadata and Retention Period is the same for several Categories, you may be able to use the same taxonomic structure and Retention Rule for those categories. As indicated on the webinar, this reuse is enhanced in SharePoint using Inheritance. Lastly, we sometimes use a single field that is managed using a Term Set to indicate the Record Type. Doing so significantly reduces the number of Document Classes/Content Types needed to support the Record Categories.
Any comments regarding segregating vaults/repositories for major functions of an organization using a document management system? For example, an HR vault/silo that only that business unit and managers in the organization can access. OR is it better to apply permission rules in a central vault? Any opinion or experience on this dilemma?	In SharePoint we use Modern Team Sites as both a security boundary and means to segregate content for individual Departments, Sub-departments/Business Units, Committees, Boards, Projects, Office Locations, etc. If the content is intended for organization-wide consumption or if it has been migrated en masse from another repository (e.g. OpenText, Laserfiche, OnBase, etc.) we often use a Document Center to aggregate this content in a central location or "vault".

ShareSquared: Webinar QA

Question	Answer
Do you have any tips in determining document types for your organization? We have a doc type list but not defined well and users don't use it.	From a RIM perspective, this is typically driven by the Retention Schedule, which represents the Federal, State and Regional, Regulatory, and Organizational retention periods for different types of documents. From a Search-only perspective, the document types will be documents that are "significant" to the organization. One of the slides Jim presented indicated that a specific Document Class or Content Type is required when you have ***Distinct*** Metadata Requirements, Document Templates, Workflows, or Information Management Policies. That said, there are ways to simplify the taxonomy using "Anchored Term Sets" which represent discrete lists of document types vs. a distinct Content Type for each document type. Put another way, the user selects the Document Type from a list vs. assigning a distinct Content Type. You can also use our Enhanced Metadata Capture component to capture Key/Value pairs of metadata into a single field. These techniques significantly simplify the taxonomy and reduce End User effort.
The bulk of our retention is relationship based (i.e. delete when no longer used for procedures) how can I facilitate the clean-up/retention schedule if users are not proactive in determining when docs are superseded. Are there system features I should look for (we are switching systems in 1-2 years)	We recommend that all related documents be treated as a Case File and that retention be applied at the Case level. In SharePoint this is achieved using Document Sets.
Can multiple files be dropped on tiles at the same time?	Yes!
Can I develop retention schedule for financial services based on Risk level and statutory requirements?	The Retention Schedule is typically based on statutory requirements. We typically include additional fields to specify attribute such as Risk, Confidentiality, PII, etc.

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Presenters: Develop an Effective RIM Program

- **Bruce Miller**
  IGP, MBA, President of RIMtech
- **Jim Duncan**
  Chief Architect, ShareSquared
  Microsoft Certified Master
- **David Kruglov**
  Managing Director, ShareSquared

Agenda: Develop an Effective RIM Program

- **RIM Program (25 Mins)**
  - Concepts, Requirements and Measurement
  - Comprehensive, Modern Retention Schedule
- **Taxonomy (25 Mins)**
  - Terminology and Design
  - *Demo:* Search, Information Architecture, Classification and Folksonomy
- **Closing and QA (10 Mins)**
  - Additional Info and Upcoming Webinars
  - Recap and QA

Program: Requirements for Effective IG

What you need to Achieve Compliance

- Software-Ready Retention Schedule
- Support for Event-Based/Case Records
  - Container Structure
  - Event Dates for all cases
- Document-Level Control
  - Declare and lock records
  - Preservation Copies
- Measurement
  - Three Performance Measures
- Disposition
  - 3-Stage legally defensible deletion of records
  - In accordance with retention schedule
  - Human Review/Oversight (not automatic)

Measurement: Metrics

What you need to Measure

- Qualification Rate
  - % of Emails and Documents that ***Should be*** Declared as Records
  - Measure:
    - Emails / Person / Day
    - Documents / Person / Day
- Declaration Rate
  - % of Qualified Documents ***Declared*** as Records
  - Measure:
    - Emails / Person / Day Declared as Records
    - Documents /Person / Day Declared as Records
- Classification Accuracy Rate
  - % of Declared Records Known to be ***Correctly*** Classified
  - Measure % of each 100 Declared that were Classified Correctly

Measurement: Qualification Rate

Email

- % of each 100 emails that ***should*** be declared as records
- Meets the criteria of a record
- Must be measured outside the EDRMS
- Measured via **Periodic Sampling**
- Typical Acceptable rate is 5% (varies widely)

Measurement: Qualification Rate

Documents (Direct)

- % of each 100 documents that ***should*** be declared as records, not including email or workflow transactions
- Meets the criteria of a record
- Must be measured outside the EDRMS
- Measured via **Periodic Sampling**
- Safe Assumed Rate is 95%

Measurement: Declaration Rate

Email

- % of each 100 qualified emails that ***were*** declared as records
- Measured in the EDRMS via simple query
- Target is 100%

Example

Declared emails/user/day (were declared)
÷
Qualified emails/user/day (should have been declared)

$$= \frac{4}{5} = 80\%$$

Measurement: Declaration Rate

Documents (Direct)

- % of each 100 qualified documents that ***were*** declared as records
- Measured in the EDRMS daily via simple query
- Target is 100%

Example

Declared docs/user/day (were declared)

÷

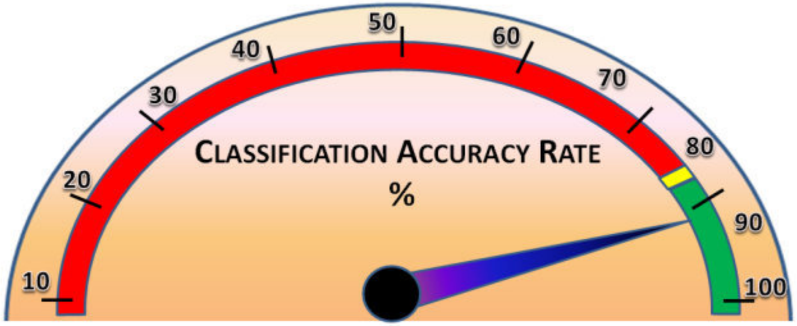
Qualified docs/user/day (should have been declared)

$$= \frac{9}{10} = 90\%$$

Measurement: Classification Accuracy Rate

Email

- % of each 100 declared records known to be ***correctly*** classified
- Measured in the EDRMS via statistical sampling
- Typical Target is 85%



Example

- 1,000 declared docs
- 10 Sampled

7 Right
3 Wrong

= 70%
Classification Accuracy Rate

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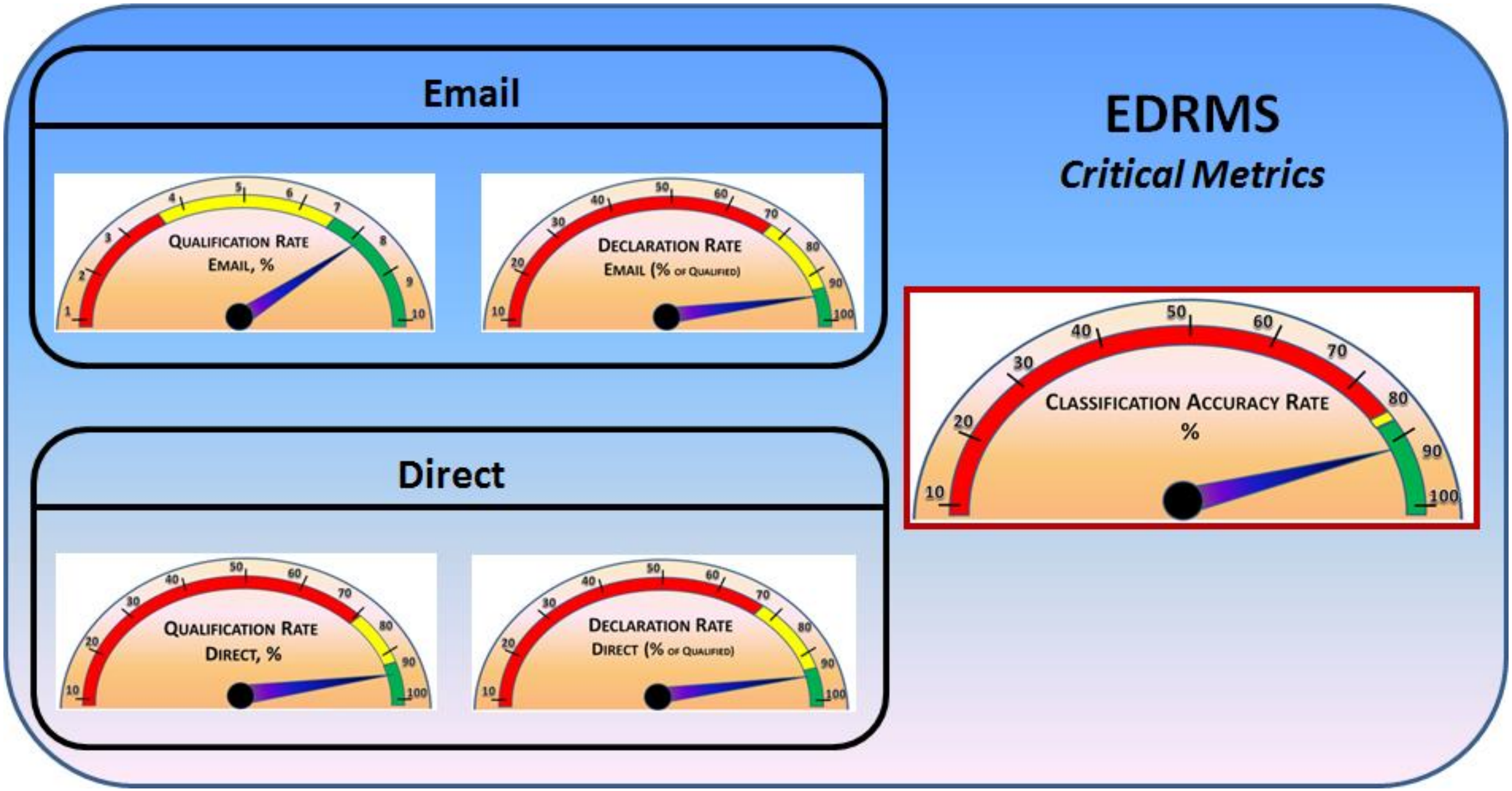
Measurement: EDRMS Dashboard



Retention Schedule: Requirements

An EDRMS-Ready Retention Schedule Will:

- ***Load*** directly into any modern EDRMS
- Apply retention based on a record's value
- Apply ***multiple retention*** rules to a single category
- Specify ***Cases*** (event-driven retention)
- Support ***fully automated recordkeeping***
  - Rules-Based Recordkeeping (RBR)
  - Does Not Require End-Users to:
    - Define which documents are records
    - How records are classified against retention schedule
    - When to declare as records
- Allow ***End User Override***
  - Can increase retention when needed

Retention Schedule: Requirements

An EDRMS-Ready Retention Schedule:

- Is in Spreadsheet Format (Machine Readable)
  - One Tab for Each Primary (Business Function)
  - One Row for Each Category (Business Activity)
- Has Explicit Case Structure defined
- Specifies Four Retention Types
  - Event, Time, Relationship, Document Field Property
- Provides Two Retention Periods
  - Business and Official/Legal Retention Period
- Allows Multiple Retention Rules Per Category
  - Business and Official/Legal Retention Period

Retention Schedule: Legacy

Schedule 'A' … cont'd

Tax Recovery	All Records	P
Taxes	Arrears	7
	Final Billing	10
	Ledger Cards	P
	Municipal Credits	7
	Receipts	7
	Registration Records	P
	Rolls	P
	Sale Deeds	P
Telephone Lines	Location of (above ground and underground)	P
	Location Cards	P
Termination	Employees	P
Tenders	Files	7
	Successful	7
	Purchase Quotations	7
	Unsuccessful	2
Tickets	Admission	3
	Paid Parking	3
Traffic	Lights	P
	Streets	15
Training and Development Files		5
Transitory Notes	Brief notes, comments, written opinions, etc. taken during meetings or conversations	48 hours
Trial Balances	Monthly	3
	Year End	7
Truck Hire	Summaries	3
	Time Reports	3
Union	Agreements	P
	Grievance Files	10
Vehicle Records	after disposal of vehicle	1
Vouchers	Duplicate	7
Vendors	Acknowledgements to	2
	Contracts	7
	Suppliers Files	7
Writs		20
Work Orders		7
Weed Control Reports	until updated	1
Work Diaries	Yearly	7

Retention Schedule: Modern

ADM - Administration

Secondary	No.	C	Description	V	PII	SEN	MRR No.	BR	Retention Rule: Trigger – Document	Retention Rule: Trigger – Case	Type	Period	Unit	Disp. Action	Citation
Authorization Delegation	10		Letters and orders to pass signing authority to designated staff from authorized parties to others during absence or illness.	N	N	P		2	True Document Date		T		Years	Delete	
Committees, Interim	20	C	Committees with a projected/expected end date. Documents related to internal committees, including members, meetings, minutes, dissolution, etc.	N	N	I		5		End Date	E		Years	Delete	
Corporate Event Planning	30	C	The planning and staging of all types of corporate events except public affairs events. Each event forms a case of all records related to that named event	N	N	I	1.2	10							
Forms and Templates	40		Form/Template design and ordering, requests for form design, usage of forms.	N	N	P		2	Date Supe						
Count															
4															

Cases

Category Name	Case Examples	PRI	Case Admin (Owner)	Case Naming Convention – Part 1: Name 1	M/O 1	Max 1	Part 2: Name 2	M/O 2	Max 2
Category Name	Examples	PRI	Name	Name 1	M/O 1	Max 1	Name 2	M/O 2	Max 2
Accounts Payable	2016 2017 ...	FIN	Ruth	Fiscal Year	M	4			
Accounts Receivable	2016 2017 ...	FIN	Barney	Fiscal Year	M	4			
Analysis, Financial	Analysis 1 Analysis 2 ...	FIN	Heather	Analysis Name	M	24			
Audits, External	Audit 1 Audit 2 ...	FIN	Stephen	Audit Name	M	24			
Benefit Plans	Plan Number 1 Plan Number 2 ...	HR	Fred	Plan Name	M	24	Plan Type	O	12
					M	24			

Multi-Retention Rules (MRRs)

RULE: MRR	PRI	TRIGGER, Document: Document Field	Value	Trigger, Case: Case Field	Value2	RETENTION: REL	Type	Period	Unit	Disposition
1.2	ADM						E	10	Years	Delete
1.2	ADM	Critical	Yes				D	P		
8.1	HR	Document Type, Benefit Plans	IRS Correspondence				D	10	Years	Delete
8.1	HR	Document Type, Benefit Plans	Actuarial valuations				D	10	Years	Delete
8.1	HR	Document Type, Benefit Plans	Pension Elections				D	10	Years	Delete
8.1	HR	Document Type, Benefit Plans	Inquiries,				D	5	Years	Delete
8.1	HR	Document Type, Benefit Plans	Audit Related				D	5	Years	Delete
8.1	HR	Document Type, Benefit Plans	Reports/Census				D	5	Years	Delete
8.1	HR	Document Type, Benefit Plans	Investment/Performance				D	5	Years	Delete
8.1	HR	Document Type, Benefit Plans	Administrative				D	5	Years	Delete
9.1	DEV	Document Type, Developer Standards	Standard					P		
9.1	DEV	Document Type, Developer Standards	Guideline					P		
9.1	DEV	Document Type, Developer Standards	Admin Procedures				R	10	Years	Delete

Retention Rules: Considerations

- Multiple Retention Rules
- Value-Based Retention (VBR)
- Published Documents
- Retention Override (ROR)
  - The "***Magic Wand***"
- Continuous Over-Write

Retention Rules: Multiple Rules Per Category

Common Examples that Leverage Metadata

- **Board Meetings** (USA,CDA): If Document Type = Minutes or AGENDA, then retention = Permanent. Otherwise, retention = meeting date + 5 years.
- **Flow-through Funding** (Municipalities, US): If Funding Source = ABC, then retention = X. If Funding Source = DEF, then retention = Y
- **Drug Testing Program** If document metadata field "Positive Test" = Yes, then retention = date of test + 5 years. If Negative, delete in 12 months.
- **Committees, Projects, Meetings** The official output documents are kept for the official retention period of X years, however the drafts and supporting documents only need to be kept for 2 years then they can be discarded.

Retention Rules: Multiple Rules Per Category

Common Examples that Leverage Metadata

- **PII** If document metadata field "Contains PII" = Yes, disposition = x year. If Contains PII = N, destroy with other documents in the case. PIPPEDA mandates "destroy PII docs as soon as no longer needed"
- **Limitations Act** (Canada). Disposition = age 18+ = 20 yrs. If age < 18 = (18-age) + 20 yrs.
- **Capital Assets** If Asset Value > \$10,000, then Retention = EOL (End of Life of Asset)+ 6. If Asset Value < \$10,000, then retention = 2 years.
- **Criminal Charges** (US) If document date < 1940 then Transfer to archives.

Retention Rules: Multiple Rules Per Category

An Essential Capability

- Three Retention Rules for this category;
  1. Credential Expiration date + 2 then destroy
  2. If Hazardous Material = *Yes*, Credential Expiration date + 50 then destroy
  3. If Business Unit = *Fire or EMS*, Credential Expiration date + 8 then destroy

HR - Human Resources																
Secondary	No.	C	Description	Metadata		V	PII	SEN	BR	Retention Rule						Citation
										Trigger		Type	Period	Unit	Disp. Action	
				Document	Case					Document	Case					
Credentials, Employee and Apprentice	30	N	Official proof/documentation of an employees/apprentice successful completion of mandated state, city, or other regulated compliance training required for their position or employment. INCLUDES: Commercial Drivers Licenses, Hazmat certifications, forklift operators license, certifications, authorizations, and permits RETENTION EXCEPTION: 1) Where **Hazardous Material** = Y, then RP = 50 3) Where **Business Unit** = Fire or EMS, then RP = 8	1) Employee 2) Hazardous Materials 3) Apprentice 4) Business Unit		V	Y	C	2	Credential Expiration Date		T	6	Y	D	

Retention Rules: Based on Value

- Some activities feature
  - High Volume of records
  - Rich Variety of documents
- Rich Variety = variety of ***Retention Value***
  - Logistics *(Low)*
  - Administrative Correspondence *(Low)*
  - Signed Contracts *(High)*
  - Contract Drafts *(Low)*
  - Engineering Drawings *(High)*
  - Project Management *(Low)*
- Pre-assign retention based on **Document Type**
- Metadata field = **Document Type**

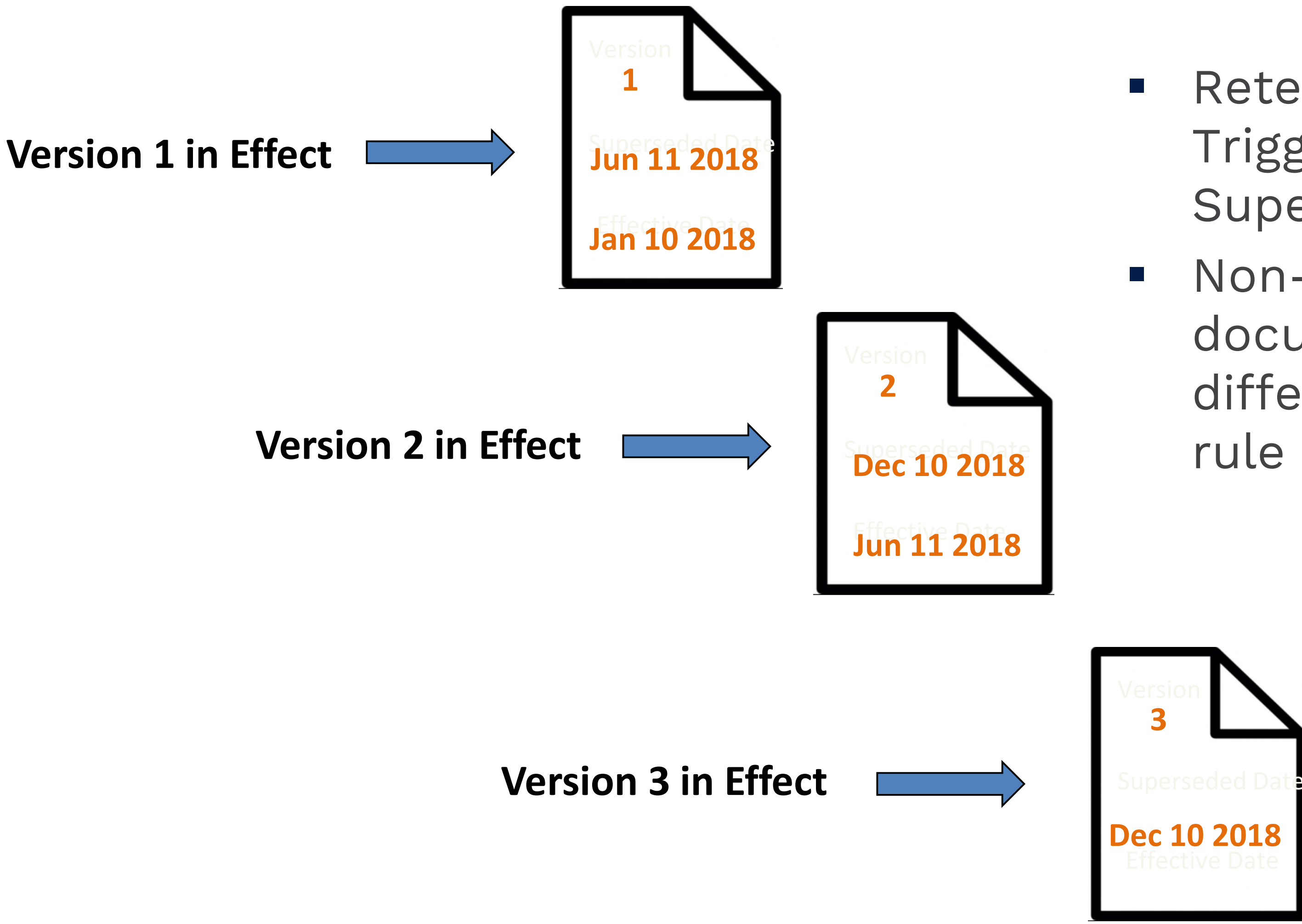
Retention Rules: Preassigned Based on Value

Two Powerful Benefits

- Better searchability
- Granular retention

If Document Type, Plan Vendors = *Contracts Executed*, Retention = Term Date + 10 years
If Document Type, Plan Vendors = *Contracts, Draft*, Retention = 2 years
If Document Type, Plan Vendors = *Promotional Materials*, Retention = 2 years
If Document Type, Plan Vendors = *Pricing-Related*, Retention = 5 years
If Document Type, Plan Vendors = *Service-Related*, Retention = 2 years
If Document Type, Plan Vendors = *Complaints/Issues*, Retention = 2 years
If Document Type, Plan Vendors = *Reports*, retention = Term Date + 1 year
If Document Type, Plan Vendors = *Administrative*, Retention = 2 years
If Document Type, Plan Vendors = *Other*, Retention = 2 years

Retention Rules: Published Documents



- Retention Rule Triggered by Supersedence
- Non-Published documents have a different retention rule (lesser value)

Retention Rules: Published Documents

- Identify which documents are published
- Assign lesser retention to unpublished documents
  - If Published = Yes, retention = Date Superseded + 5 years
  - If Published = No, retention = 2 years

Retention Rules: End User Override

"But sometimes I need to keep a document forever!"

- Define a Metadata Field called ***Critical***
- Mark these documents as **Critical = Yes**
- Use this field to Boost Retention

If Document Type, Plan Vendors = *Contracts Executed*, Retention = Term Date + 10 years
If Document Type, Plan Vendors = *Contracts, Draft*, Retention = 2 years
If Document Type, Plan Vendors = *Promotional Materials*, Retention = 2 years
If Document Type, Plan Vendors = *Pricing-Related*, Retention = 5 years
If Document Type, Plan Vendors = *Service-Related*, Retention = 2 years
If Document Type, Plan Vendors = *Complaints/Issues*, Retention = 2 years
If Document Type, Plan Vendors = *Reports*, retention = Term Date + 1 year
If Document Type, Plan Vendors = *Administrative*, Retention = 2 years
If Document Type, Plan Vendors = *Other*, Retention = 2 years
If Critical = *Yes*, retention = Permanent.

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Retention Rules: Continuous Overwrite

- For tracking logs, databases, etc.
- Single document/artifact, regularly revised
- No version separation
- Unable to (ever) delete it!
  - If Continuous Overwrite = Yes, retention = Ignore
  - If Continuous Overwrite = No, retention = 5 years

Retention Schedule: Categories / Activities

FIN - Finance

Secondary	No.	C	Description	V	PII	SEN	MRR No.	BR	Retention Rule: Trigger – Document	Retention Rule: Trigger – Case	Type	Period	Unit	Disp. Action	Citation
Accounts Payable	10	C	The collection of invoices and the processing of payment against the invoices for a given fiscal year. A payment authorization is sometimes also associated with each invoice. Records include invoices, payments made and corrections./adjustments, and correspondence related to accounts payable. Each Fiscal year forms a csae of all recrds for that fiscal year.	N	N	P		7		Fiscal Year	E		Years	Delete	
Accounts Receivable	20	C	Documents related to Accounts Receivable activities. Records include aggregate reports of A/R, summary reports and /or analysis, quarterly or annual summaries, etc. Each fiscal year represents a case of related records.	N	N	P		10		Fiscal Year	E		Years	Delete	
Analysis, Financial	30	C	Any financial analysis conducted for any reason, such as proposals evaluation, audit, past projects/events, etc..	N	N	I		7		Analysis End Date	E		Years	Delete	
Asset Management	40		Records regarding the purchase, lifecycle, depreciation, and disposal of all capital assets of all types.	N	N	P	20.3	5	1. True Document Date 2 Critical		T		Years	Delete	
Audits, External	50	C	Financial audits originating from outside Widget, and audits conducted at arms-length (e.g. board). Each audit forms a case of related documents, each with a unique name. Records include all documents collected for the preparation of the audit, interim working documents, drafts, related and ancillary documents, related correspondence.	N	N	P	20.1	10		End Date (Audit End)	E		Years	Delete	
Banking Administration	60		All documents related to banks and banking that are not transaction related, such as contracts with Banks, RFPs for banking services, services agreements, and related correspondence.	N	N	I		2	True Document Date		T		Years	Delete	

Count
6

Primaries | ADM | DEV | FIN | HR | Cases | MRRs | Terms

Each row = a *Category* (activity)

Retention Schedule: Case/Parent Categories

Cases

Category Name	Case Examples	PRI	Case Admin (Owner)	Case Naming Convention					
				Part 1			Part 2		
Category Name	Examples	PRI	Name	Name 1	M/O 1	Max 1	Name 2	M/O 2	Max 2
Accounts Payable	2016 2017 ...	FIN	Ruth	Fiscal Year	M	4			
Accounts Receivable	2016 2017 ...	FIN	Barney	Fiscal Year	M	4			
Analysis, Financial	Analysis 1 Analysis 2 ...	FIN	Heather	Analysis Name	M	24			
Audits, External	Audit 1 Audit 2 ...	FIN	Stephen	Audit Name	M	24			
Benefit Plans	Plan Number 1 Plan Number 2 ...	HR	Fred	Plan Name	M	24	Plan Type		12
Committees, Interim	Committee 1 Committee 2 ...	ADM	Stephen	Committee Name	M	24			
Corporate Event Planning	Event 1 Event 2...	ADM	Maryse	Event Name	M		Event Date	M	8
Projects, New product Development	Project 1 01/02/2010 Project 2 02/02/2012	DEV	Mary	Project Name		24	Start Date	M	8
Employee,Work History	Employee 1 Employee 2 ...	HR	Natalie	Em	M	24			
Personnel investigations	Smith, 01/01/2017 Smith, 02/02/2018 Jones, 01/01/2017	HR		Employee Name	M	24	Date	M	8

Case Count
10

Primaries | ADM | DEV | FIN | HR | Cases | MRRs | Terms

Special Tab for all Case (Parent) Categories

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Retention Schedule: Case/Parent Structure

Cases

Category Name	Case Examples	PRI	Case Admin (Owner)	Case Naming Convention					
				Part 1			Part 2		
Category Name	Examples	PRI	Name	Name 1	M/O 1	Max 1	Name 2	M/O 2	Max 2
Accounts Payable	2016 2017 ...	FIN	Ruth	Fiscal Year	M	4			
Accounts Receivable	2016 2017 ...	FIN	Barney	Fiscal Year	M	4			
Analysis, Financial	Analysis 1 Analysis 2 ...	FIN	Heather	Analysis Name	M	24			
Audits, External	Audit 1 Audit 2 ...	FIN	Stephen	Audit Name	M	24			
Benefit Plans	Plan Number 1 Plan Number 2	HR	Fred	Plan Name	M	24	Plan Type	O	12
Committees, Interim	Com[illegible] 1 Committee 2 ...	ADM	Stephen	Committee Name	M	24			
Corporate Event Planning	Event 1 Event 2...	[illegible]	Maryse	Event Name	M	24	Event Date	M	8
Projects, New product Development	Project 1 01/02/2010 Project 2 02/02/2012	DEV	[illegible]	Project Name	M	24	Start Date	M	8
Employee,Work History	Employee 1 Employee 2 ...	HR	Natalie	[illegible] Name	[illegible]	24			
Personnel investigations	Smith, 01/01/2017 Smith, 02/02/2018 Jones, 01/01/2017	HR	Garth	Employee Name	M		Date	[illegible]	[illegible]

Case Count
10

Primaries | ADM | DEV | FIN | HR | Cases | MRRs | Terms

One Row for every Case (Parent) to define case structure

Retention Schedule: Retention Type

FIN - Finance

Secondary	No.	C	Description	V	PII	SEN	MRR No.	BR	Retention Rule: Trigger: Document	Retention Rule: Trigger: Case	Retention Rule: Type	Retention Rule: Period	Retention Rule: Unit	Retention Rule: Disp. Action	Citation
Accounts Payable	10	C	The collection of invoices and the processing of payment against the invoices for a given fiscal year. A payment authorization is sometimes also associated with each invoice. Records include invoices, payments made and corrections,/adjustments, and correspondence related to accounts payable. Each Fiscal year forms a csae of all recrds for that fiscal year.	N	N	P		7		Fiscal Year	E		Years	Delete	
Accounts Receivable	20	C	Documents related to Accounts Receivable activities. Records include aggregate reports of A/R, summary reports and./or analysis, quarterly or annual summaries, etc. Each fiscal year represents a case of related records.	N	N	P		10		Fiscal Year	E		Years	Delete	
Analysis, Financial	30	C	Any financial analysis conducted for any reason, such as proposals evaluation, audit, past projects/events, etc..	N	N	I		7		Analysis End Date	E		Year	Delete	
Asset Management	40		Records regarding the purchase, lifecycle, depreciation, and disposal of all capital assets of all types.	N	N	P	20.3	5	1. True Document Date 2 Critical		T				
Audits, External	50	C	Financial audits originating from outside Widget, and audits conducted at arms-length (e.g. board). Each audit forms a case of related documents, each with a unique name. Records include all documents collected for the preparation of the audit, interim working documents, drafts, related and ancillary documents, related correspondence.	N	N	P	20.1	10							
Banking Administration	60		All documents related to banks and banking that are not transaction related, such as contracts with Banks, RFPs for banking services, services agreements, and related correspondence.	N	N	I		2	True Documen Date						

Count
6

Primaries | ADM | DEV | FIN | HR | Cases | MRRs | Terms

Retention Type

T = Time Based (for admin records)

D = Document Based (Document metadata field)

E = Event Based (for case records

R = Relationship-based (for supersedence)

O = Overwrite (for databases)

Retention Schedule: Admin Category Example

Record Series	Filing Methodology	Accountability	Active Retention	Inactive Retention	Total Retention	Disposition	Security Classification	Citations/ Comments
PROMOTIONAL, PUBLICATION MATERIAL & INFORMATION PACKAGES PRODUCTION & DISTRIBUTION Documentation relating to the production and coordination of Town publications. Records may relate to execution planning, layout, graphic design, printing; distribution, and vendor relations regarding printing, use and distribution of reports, brochures, posters, information packages and the like.	Alphabetical by publication	Communications Parks & Recreation	T/E+1	1	T/E+2 T/E = when content published	Destroy	Internal	

Retention & Disposition Legend: **A** = Archival; **AS** = Archival Selection; **CY** = Current Year; **FY** = Fiscal Year; **D** = Destroy; **S/O** = Superseded or Obsolete; **T/E** = Termination
MFIPPA; **P** = Permanent

Retention Type D (Trigger on Document Metadata Property)

COM - Communications

Secondary	No.	C	Description	Metadata		V	PII	SEN	BR	Reten e						Citation
										Trigger						
				Document	Case					Document	Case	Ty	Period	Unit	Disp. Action	
Promotional and Publication materials	10		Documentation relating to the production and coordination of Tow n publications. Records may relate to execution planning, layour, graphic design, printing, distribution, and vendor relations regarding printing, use and distribution of reports, brochures, posters, information packages and teh like.	1. Item Name 2. Publish Date		N	N	P		Publish Date		D	2		D	

Retention Schedule: Multiple Retention Rules

Multi-Retention Rules (MRRs)										
RULE		TRIGGER, Document		Trigger, Case		RETENTION				
MRR	PRI	Document Field	Value	Case Field	Value2	REL	Typ	Period	Uni	Dispositio
1.2	ADM						E	10	Years	Delete
1.2	ADM	Critical	Yes				D	P		
8.1	HR	Document Type, Benefit Plans	IRS Correspondence				D	10	Years	Delete
8.1	HR	Document Type, Benefit Plans	Actuarial valuations				D	10	Years	Delete
8.1	HR	Document Type, Benefit Plans	Pension Elections				D	10	Years	Delete
8.1	HR	Document Type, Benefit Plans	Inquiries,				D	5	Years	Delete
8.1	HR	Document Type, Benefit Plans	Audit Related				D	5	Years	Delete
8.1	HR	Document Type, Benefit Plans	Reports/Census				D	5	Years	Delete
8.1	HR	Document Type, Benefit Plans	Investment/Performance				D	5	Years	Delete
8.1	HR	Document Type, Benefit Plans	Administrative				D	5	Years	Delete
9.1	DEV	Document Type, Developer Standards	Standard					P		
9.1	DEV	Document Type, Developer Standards	Guideline					P		
9.1	DEV	Document Type, Developer Standards	Admin Procedures				R	10	Years	Delete

Next Up:

- Taxonomy Terminology, Design, and Demos

Taxonomy: Terminology

- Document Classes / Content Types
- Term Sets
- Classification
- Unlike unstructured document content, metadata is structured and can be used in:
  - Search
  - Workflow
  - Custom Views
  - Records Management

Taxonomy: Design

When is a specific Document Class / Content Type ***required***?

- Distinct Metadata Requirements
- Distinct Document Template
- Distinct Workflow
- Distinct Information Management Policies

Taxonomy: Design

Built-in Metadata

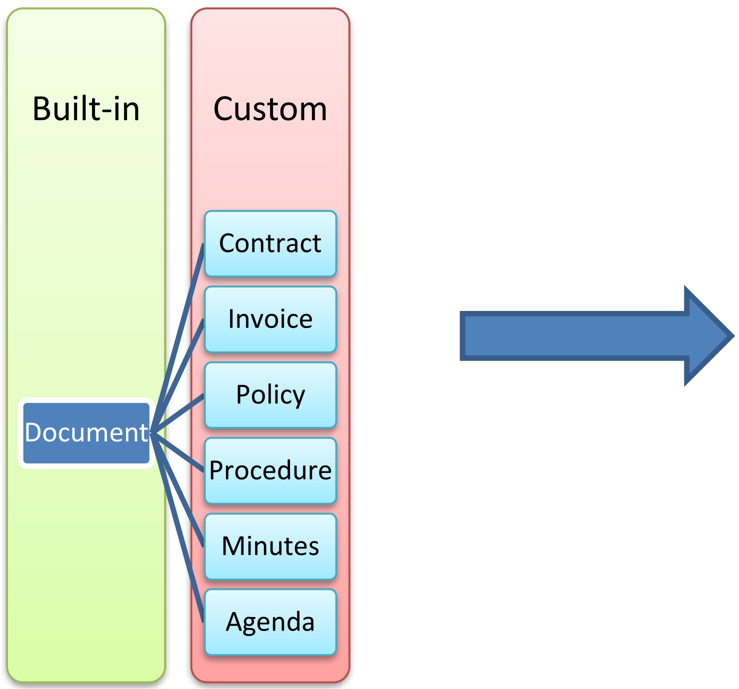
Most systems have the following metadata by default

Name	Type	Notes
ID	Integer	Unique per List/Library
Title	Text	Typically hidden in favor of Filename (for Documents)
Name	Text	Documents/Document Sets/Folders
Created	Date and Time	When the item was created/uploaded
Created By	Person	The person that originally created/uploaded the item
Modified	Date and Time	When the item was last modified
Modified By	Person	The last person that modified the item
Version	Version	Major/Minor

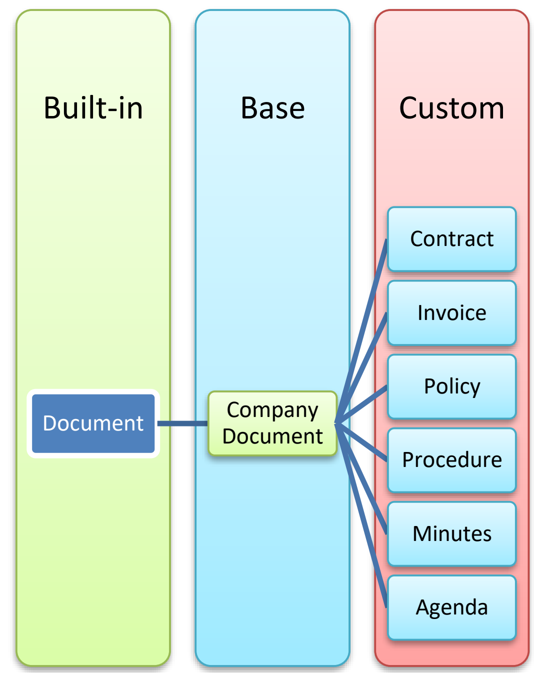
Taxonomy: Design

Inheritance (if supported)

Typical Practice: Make a new Document Class or Content Type without leveraging *Inheritance*



Better Practice: Encapsulate common functionality in a common *parent* Content Type



Taxonomy: Design

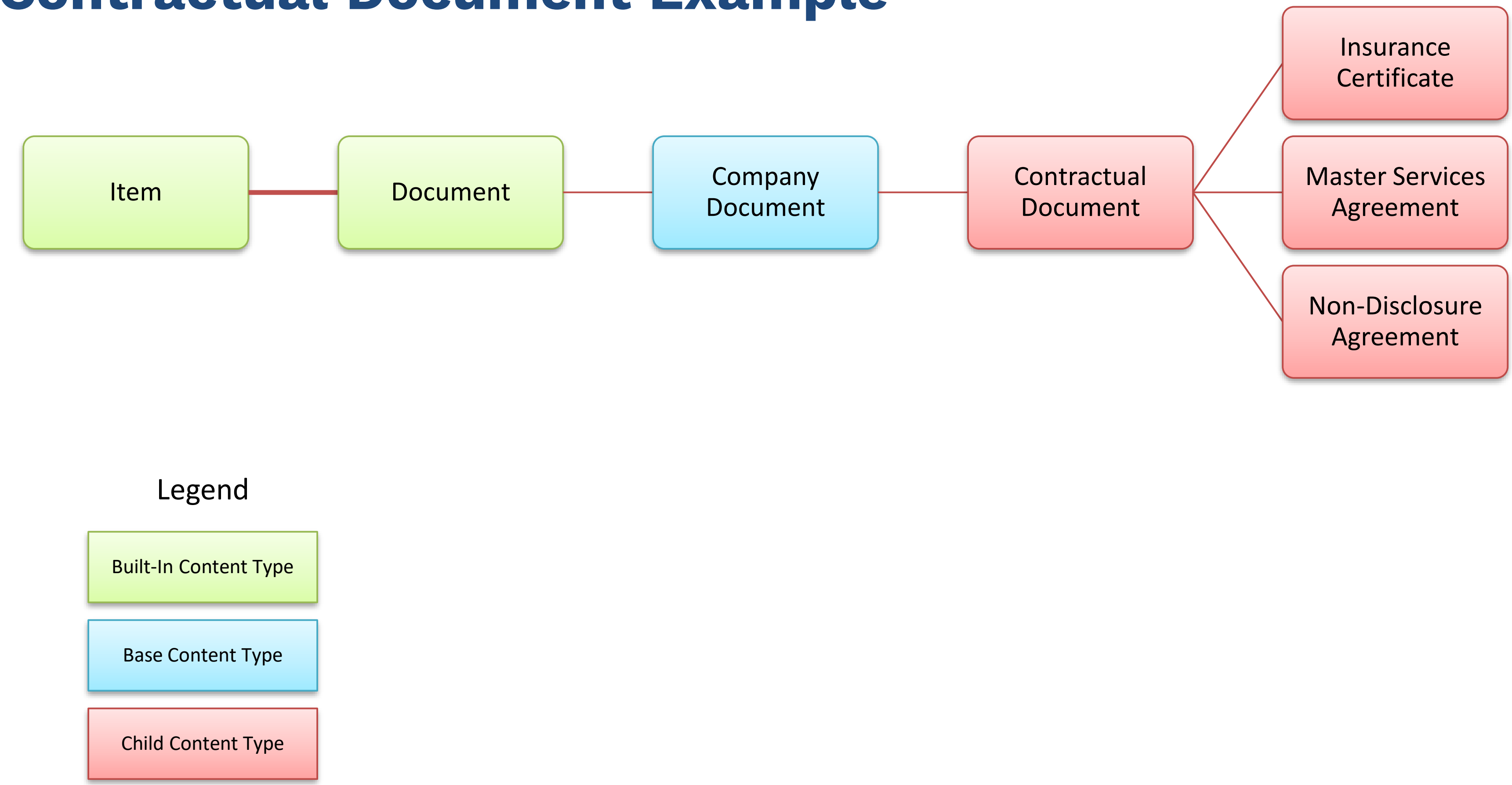
Global Site Columns – SharePoint Example

The following Site Columns are added to all Base Content Types so that all Content Types inherit them.

Name	Type	Notes
Business Unit	Managed Metadata	
Case/Document Type	Managed Metadata	
Case/Document Owner	Person	
Synopsis	Note	
True Document Date	Date	Required. Default = [TODAY]
Case Start Date	Date	Required. Default = [TODAY]
Case End Date	Date	

Taxonomy: Design

Contractual Document Example



Taxonomy: Design

Contractual Document Example

Generic Content Type

Specific Content Type

Global Columns

Company Document

- Business Unit
- Document Type
- Document Owner
- Synopsis
- True Document Date

Base Content Type

Contractual Document

- Contract Number
- Effective Date
- Expiration Date
- Counter Party

Common Columns

Insurance Certificate

Master Services Agreement

Non-Disclosure Agreement

Custom Templates

Inheritance Model: Column Definitions and Settings (updatable)

Taxonomy: Design

Contractual Document Example Columns

Name	Type	Content Type(s)	Notes
Contract Number	Text | External Data*	Contractual Document, Contract Package*	
Effective Date	Date	Contractual Document, Governance Document	
Expiration Date	Date	Contractual Document	
Counter Party	Text | Managed Metadata	Contractual Document, Contract Package*	

Taxonomy: Minimum Effective Dose

- Records Management “True Document Date” or other *triggers*
- Unique Identifiers (e.g. Permit #, Employee ID, Asset #, etc.)
- Fields required for Search Refiners

Taxonomy: Demo

- Progressive Search
- Information Architecture Workbook
- Classification Using Taxonomy Tiles

Next Up:

- ➢ Additional Info and Upcoming Webinars
- ➢ Recap and QA

ShareSquared: Who We Are

Background

- Founded in 2004 focused on Intranets, Electronic Forms and Workflow, Document Capture, ECM, and EDRMS
- 13 MVPs and 5 MCMs in our history
- Solution Provider for SharePoint, O365, Azure, etc.

Differentiators

- Microsoft Certified Masters
- Records Management (RIMTech) Certified
- Accelerators and Products

Microsoft Programs

- Microsoft Partner with multiple Gold Competencies
- Member of Business-Critical SharePoint
- SharePoint Technology Adoption Program member
- SharePoint Partner Advisory Council board member
- Microsoft Partner Research member
- FastTrack, SDPS, Cloud Accelerate, etc. provider

Microsoft Partner
Microsoft

Gold Cloud Platform
Gold Cloud Productivity
Gold Collaboration and Content
Gold Datacenter
Silver Small and Midmarket Cloud Solutions

Microsoft CERTIFIED Master

Office 365

Azure

Closing & QA: What We Covered

- Effective RIM Program Requirements and Measurement
- Comprehensive, Modern Retention Schedules
- Taxonomy Terminology, Design and MED

- ***Questions?***

Contact Info:
ShareSquared, Inc.
David Kruglov
David@ShareSquared.com

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