

Shared Drives and Records Compliance Week

Places where Electronically Stored Information [ESI] is found

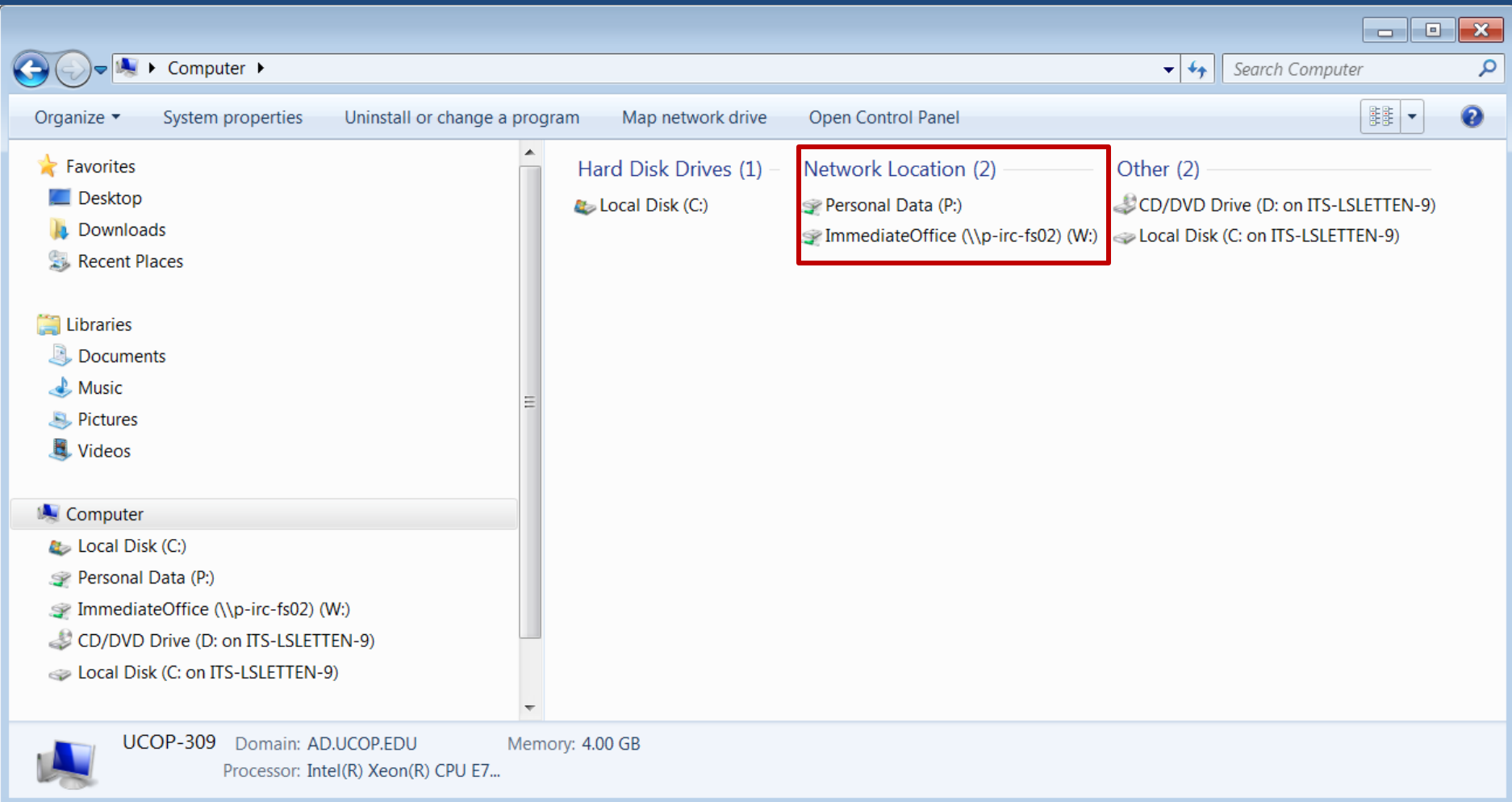
- PC desktop
- Storage devices
- Personal drive
- Network Shares
- SharePoint
- EDMS



Shared Drives

What is a Shared Drive?

- Also known as a Network File Share or a Personal Data drive (P: drive).
- An area dedicated for files users create and share.
- Commonly where work product is stored.
- Files can be grouped together by content – by function, task, work unit, etc.



Network File Shares

Allows users to:

- share files (documents, spreadsheets, images, video and/or audio files and databases) with others without sending through email or printing it out.
- make changes to files centrally, more collaboratively.

Shared Drives

- Studies have shown that a vast amount of information resides on shared drives
- 80% of the information is unstructured

Proper recordkeeping system

- Grouped with related records,
- Retrievable,
- In a usable format,
- Accessible to those needing access,
- Secured from inappropriate access,
- Protected from inappropriate dissemination, modification or destruction, and
- Disposed of in accordance with the approved retention schedule.

Personal Data drive (P: drive)

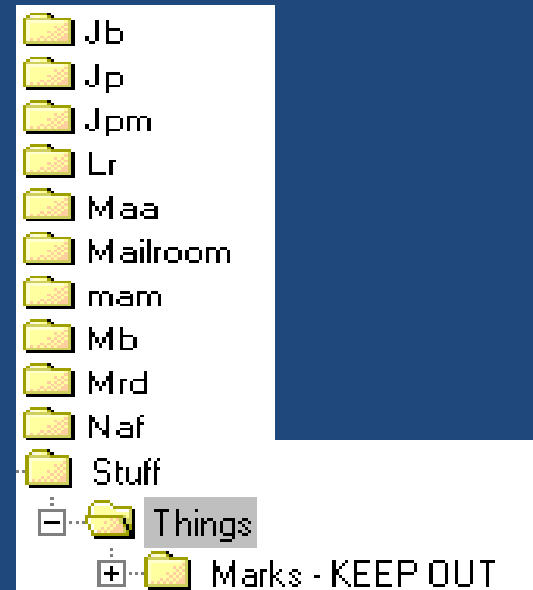
- In most cases, these are NOT proper recordkeeping systems because they do not allow access by other individuals who have a need for the records.
- This is a great place to store drafts of work product.
- For managers and supervisors, this may be the place to store documents which should not be accessed by others.

Benefits of Networked File Shares, aka Shared Drives

- Multiple users can access the record
- Controls can be put into place for who can access, modify or delete files
- Backed up
- With proper and consistent management, this type of shared drive could be a recordkeeping system for some records

Challenges when not managed

- Which is the Official Record? Which is a duplicate copy?
- Who is the owner of the official record?
- The records retention schedule is not followed.
- Files have strange and unrecognizable names.
- Access is not controlled.
- Digital hoarding happens
- Information can easily be lost



Strategies/Best Practices

- Set up a new agreed-upon structure for managing new information as it is created
 - Decide which documents to file by case and which to file by subject
 - Decide on what folders you need
 - Avoid having folders 4-5 layers

Strategies/Best Practices

- Establish some rules
 - Naming conventions for folders and files/documents
 - Who can add new folders
 - Who can delete folders
 - Who can access folders
 - Who can add documents
 - Who can modify documents
 - Who can delete documents

Strategies/Best Practices

- Set things up so the mess does not continue, the framework should allow for easy purging
- Develop a clean-up plan
 - Where is the mess
 - Prioritize what to work on first

Strategies/Best Practices

- Begin to deal with the old information
 - Document what is done so there is a reference point
 - Move those objects that are still used day to day to the new structure
 - Setting aside 10-15 minutes a day can begin to make a dent in getting ESI where it needs to be

Strategies/Best Practices

- Once completed, do periodic audits to keep it maintained.
 - As a group, decide if adjustments need to be made
- Purge once a year in accordance with the UC records retention schedule.

The Devil is in the Details

Strategies/Best Practices

- Set up a new agreed-upon structure for managing new information as it is created
 - Decide which documents to file by case and which to file by subject
 - Decide on what folders you need
 - Avoid having folders 4-5 layers

Case Files

- Majority of our records
- Records containing information on a specific project, action, event, person, place or thing

Subject Files

- General program and administrative
- Relate to general subjects not specific cases
- Lack obvious end or final action

Structure comes from classifying

- Apple
- Microwave Popcorn
- Coffee Creamers
- Creamed Corn
- Tomato Sauce
- Campbell's Chicken Noodle Soup
- Peaches Fruit Cup
- Canned Chicken
- Small Red Potato
- Smucker's Hot Caramel Sauce
- Fiber One Chewy Bar

There needs to be consensus

1. Apple
 2. Microwave Popcorn
 3. Coffee Creamers
 4. Creamed Corn
 5. Tomato Sauce
 6. Campbell's Chicken Noodle Soup
 7. Peaches Fruit Cup
 8. Canned Chicken
 9. Small Red Potato
 10. Smucker's Hot Caramel Sauce
 11. Fiber One Chewy Bar
- A. Fruit = items 1 and 7
 - B. Snack = items 1, 2, 7, 11
 - C. Refrigerated = item 1
 - D. Pantry = items 2-11
 - E. Coffee = item 3
 - F. Vegetable = items 4, 5, 9
 - G. Canned Food = items 4, 5, 6, 7
 - H. Soup = item 6
 - I. Canned Meat = item 8
 - J. Dessert = item 10
 - K. Others – colors, requiring cooking or heating, eat with a utensil or with hands, etc.

Sample Agreed Upon Structure and Folder Names

- Administrative
 - Finance
 - Payroll
 - Personnel
 - Policy
 - Space planning
- Program Operations
 - Records Management
 - Assistance
 - Workshops

Sample Folders

Before

- Images
- Irs03
- Irs04
- Jb
- Jp
- Jpm
- Lr
- Maa
- Mailroom
- mam
- Mb
- Mrd
- Naf
- Nars-5 db
- ORRS QTRLY RPTS
- Outreach
- PACK TEST
- Pegasus CBT
- Procd
- Raco

After

- [-] Program Administration
 - [+] Allocated Staff
 - [+] Archives Operations
 - [+] Assurance
 - [+] Environmental Issues
 - [+] Internal Training - Individual Development
 - [+] New Facility
 - [+] Policy
 - [+] Records Center Program
 - [-] Records Management Division
 - [-] Reporting
 - Monthly Report to NwM
 - [+] Targeted Assistance Reports

Strategies/Best Practices

- Establish some rules
 - Naming conventions for folders and files/documents
 - Who can add new folders
 - Who can delete folders
 - Who can access folders
 - Who can add documents
 - Who can modify documents
 - Who can delete documents

File Naming

- Be consistent
- Use names to identify which is the official record
- Create unique names, simple and easy to understand
- As short as possible (<25 characters)
- Alphanumeric characters only – avoid special characters such as ?/\$&%^\.<>

File Naming

- Use underscores _ and dashes - to represent spaces
- Date standards, ie: YYYY-MM-DD (ISO 8601)
- Version numbers
- Leading zeros will help with sorting files
- Put the elements in logical order based on retrieval

The Importance of Conventions

- Dates – 05032014, 05-03-14, 2014-05-03
- UC locations - UC-OP, UCOP; Irvine, UCI, DC, UCDC
- Spaces or not - With spaces, Nospaces
- Hyphens or not - With-hyphens, No hyphens
- Underscores or not - With_underscores, No underscores
- Abbreviations - Jan., Feb.
- People's names - First name Last name, Last name only
- Other - Other????

Strategies/Best Practices

- Set things up so the mess does not continue, the framework should allow for easy purging
- Develop a clean-up plan
 - Where is the mess
 - Prioritize what to work on first

- ▲ UCOP RM
 - Less-Paper - Paper-Less workgroup
 - ▲ Purges
 - ▷ Non-Records event
 - ▲ Records Compliance Week
 - ▷ 2014
 - 2015
 - ▲ 2016
 - Reference on file shares
 - Superseded
 - Tech Fair

Name	Date modified	Type	Size
Reference on file shares	8/3/2016 8:53 AM	File folder	
Superseded	8/3/2016 8:54 AM	File folder	
Tech Fair	8/3/2016 8:54 AM	File folder	
Managing Electronically Stored Informati...	8/3/2016 8:49 AM	Microsoft PowerP...	1,642 KB
Presentation 1-2 pm - Sign In Sheet 08 0...	8/2/2016 9:32 AM	Microsoft Word 97...	68 KB
Presentation 4-5 pm - Sign In Sheet 08 0...	7/26/2016 1:55 PM	Microsoft Word 97...	67 KB
Presentation 230-330 pm - Sign In Sheet ...	7/19/2016 3:38 PM	Microsoft Word 97...	67 KB
Project Plan	8/1/2016 9:07 AM	Microsoft Word D...	21 KB
RCW 2016 flyer v03	7/18/2016 3:02 PM	Adobe Acrobat D...	69 KB
Recycle bin	7/20/2016 3:55 PM	Adobe Acrobat D...	133 KB
ucop-records-compliance-week-Link arti...	7/19/2016 11:10 A...	Adobe Acrobat D...	83 KB
ucop-records-compliance-week-Link arti...	8/2/2016 11:03 AM	Adobe Acrobat D...	115 KB

Strategies/Best Practices

- Begin to deal with the old information
 - Document what is done so there is a reference point
 - Move those objects that are still used day to day to the new structure
 - Setting aside 10-15 minutes a day can begin to make a dent in getting ESI where it needs to be

Moving Files

- Review any files stored in the old configuration
- Identify Official Records
- Use the records retention schedule to identify what needs to be retained, delete those with expired retention periods that are not under any records freeze

Moving Files

- Move things still needed (that really will be used)
- Move them to the proper folders in the “new” structure.
- Change names to match the new agreed upon naming conventions
- From then on, save new files in the new structure; do **NOT** continue to use the old structure!

What to keep

- Anything that you still need that is best left in electronic form so that it can be updated and/or shared
- Consider moving these reference things into a central place where they can be easily identified as non-records that are used for reference and easily purged when no longer of value

Consider a Reference Library

- Things used for creating or updating other files. Photos, PowerPoint Slides, etc.
- Duplicate files that can be used differently from the “original.”
- Anything that is still needed that is best left in electronic form so that it can updated and/or shared

What to put in the Reference Library?

- Photo files that are used to create other documents. Digital and scanned photos that everyone can access and use.
- Non-record electronic publications that can be accessed for research or in creating other documents
- Do NOT use the P Drive to file items that are already available on the Internet!

Purging Electronic Records

- Non-Records- Delete
 - Personal Files – Delete
 - Informational/Reference Files (not considered record material) - Delete
when no longer needed
- Work-Related Documents

What files to purge....

- Those no longer needed for reference; ones you thought you'd refer back to but never did.
- Duplications of things already on the P Drive
- Duplications of files on Inter-, Intranet sites.
- Extra versions of final documents, and extra versions of drafts that are no longer needed.

What to purge....

- Those records with lapsed retention periods and are no longer required to be kept.
- All records holds for the records have been lifted.

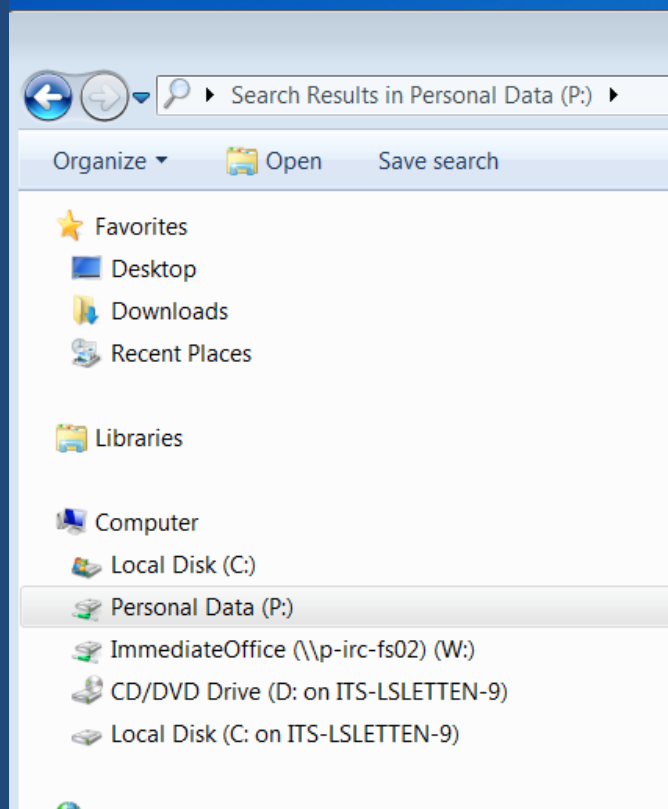
Strategies/Best Practices

- Once completed, do periodic audits to keep it maintained.
 - As a group, decide if adjustments need to be made.
- Train staff on how to use the new system.
- Purge once a year in accordance with the UC records retention schedule.

Strategies/Best Practices


- When it is known that an employee is leaving:
 - Be sure they have turned over their records to someone on the team or their supervisor.
 - Have them delete their personal ESI.
 - Have them delete their non-records, if no longer needed by others in the office.

Here are some tips
to help you manage
your own drive





Personal Data (P:) Properties

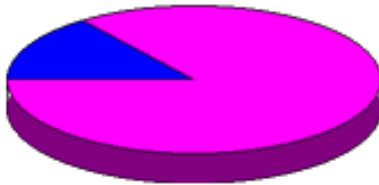
General Security Previous Versions DFS Customize



Type: Network Drive
File system: NTFS

	Used space:	3,372,052,480 bytes	3.13 GB
	Free space:	39,577,620,480 bytes	36.8 GB

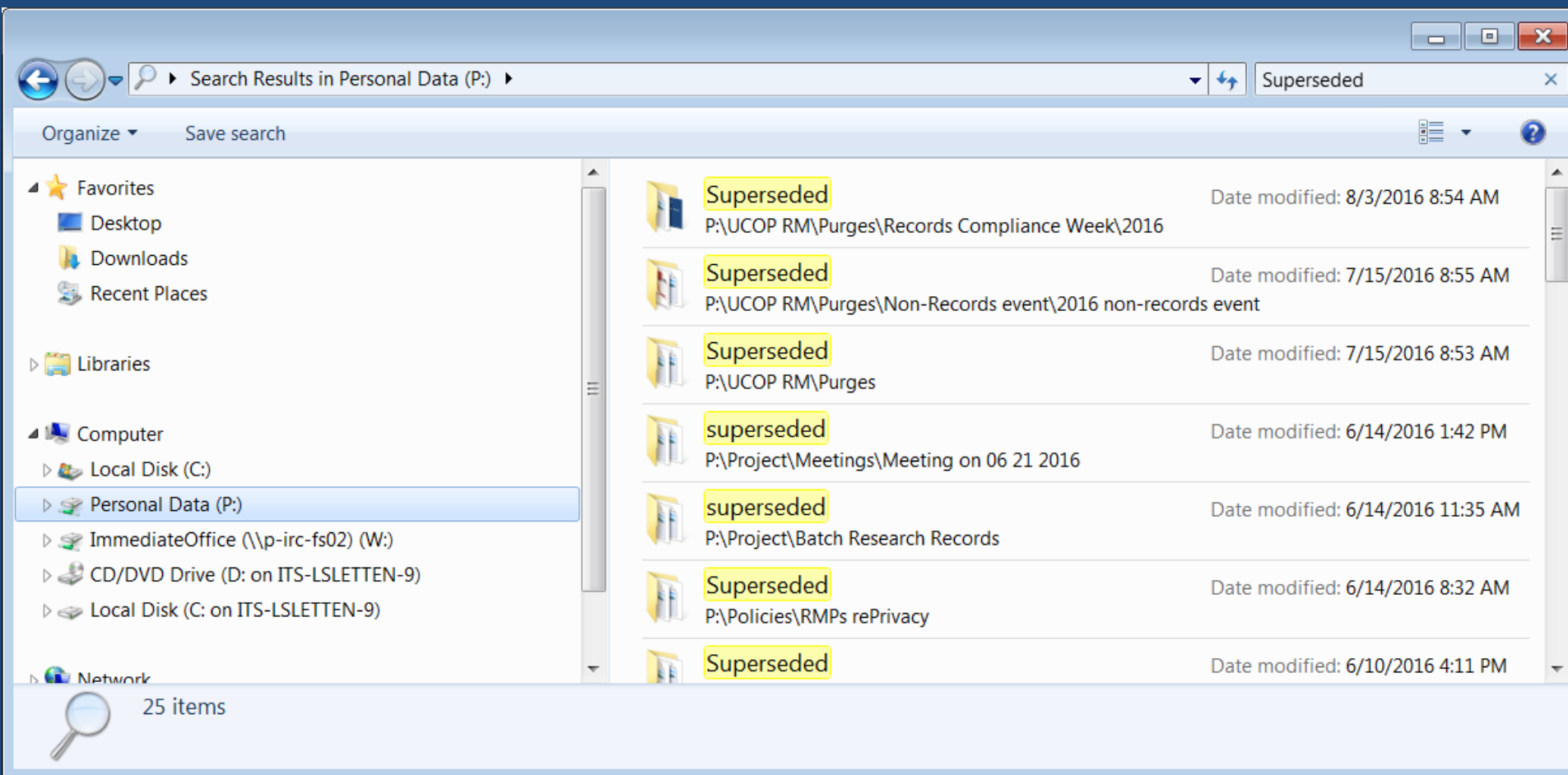
Capacity:	42,949,672,960 bytes	40.0 GB
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Drive P:

Allow files on this drive to have contents indexed in addition to file properties

OK Cancel Apply



Search Results in Personal Data (P:) Superseded

Organize Save search

Favorites

- Desktop
- Downloads
- Recent Places

Libraries

- Computer
- Local Disk (C:)
- Personal Data (P:)
- ImmediateOffice (\\p-irc-fs02) (W:)
- CD/DVD Drive (D: on ITS-LSLETTEN-9)
- Local Disk (C: on ITS-LSLETTEN-9)

Network

Name	Date modified	Type	Size	Folder
Superseded	8/3/2016 9:03 AM	File folder		Scanning 101 - 10 08 2014 (P:\Presentations)
Superseded	8/3/2016 8:54 AM	File folder		2016 (P:\UCOP RM\Purges\Records Complian
Superseded	7/15/2016 8:55 AM	File folder		2016 non-records event (P:\UCOP RM\Purges\
Superseded	7/15/2016 8:53 AM	File folder		Purges (P:\UCOP RM)
superseded	6/14/2016 1:42 PM	File folder		Meeting on 06 21 2016 (P:\Project\Meetings)
superseded	6/14/2016 11:35 A...	File folder		Batch Research Records (P:\Project)
Superseded	6/14/2016 8:32 AM	File folder		RMPs rePrivacy (P:\Policies)
Superseded	6/10/2016 4:11 PM	File folder		Batch - Innovation Alliance (P:\Project)
Superseded	6/3/2016 9:23 AM	File folder		EDMS briefing (P:\Presentations)
Superseded	5/25/2016 8:27 AM	File folder		Batch Risk Records (P:\Project)
superseded	2/24/2016 1:55 PM	File folder		EDMS (P:\Imaging)
superseded	2/18/2016 4:58 PM	File folder		E-messaging (P:\Policies)
Superseded	11/4/2015 8:38 AM	File folder		Microfilm (P:\Imaging)
superseded	8/11/2015 9:35 AM	File folder		RMP-1 (P:\Policies)
Superseded	7/8/2015 5:15 PM	File folder		RMP-2 (P:\Policies)
superseded	6/19/2015 8:41 AM	File folder		2014 (P:\UCOP RM\Purges\Records Complian
Superseded	6/17/2015 2:09 PM	File folder		Batch 13 (P:\Project)
superseded	4/15/2015 11:19 A...	File folder		2015 non-records event (P:\UCOP RM\Purges\
superseded drafts	3/11/2014 2:44 PM	File folder		01 - Batch 13 (P:\Project\Meetings\Meeting o

25 items

Search Results in Personal Data (P:) | Superseded

Organize | Open | Save search

Superseded Properties

Name	Date modified	Type	Size	Folder
Superseded	8/3/2016 9:03 AM	File folder		Scanning 101 - 10 08 2014 (P:\Presentations)
Superseded	7/15/2016 9:55 AM	File folder		2016 Compliance Week (DP RM\Purges\Non-Records event)

Superseded Properties

General | Security | Previous Versions | DFS | Customize

Superseded

Type: File folder

Location: P:\Presentations\Scanning 101 - 10 08 2014

Size: 48.9 MB (51,301,519 bytes)

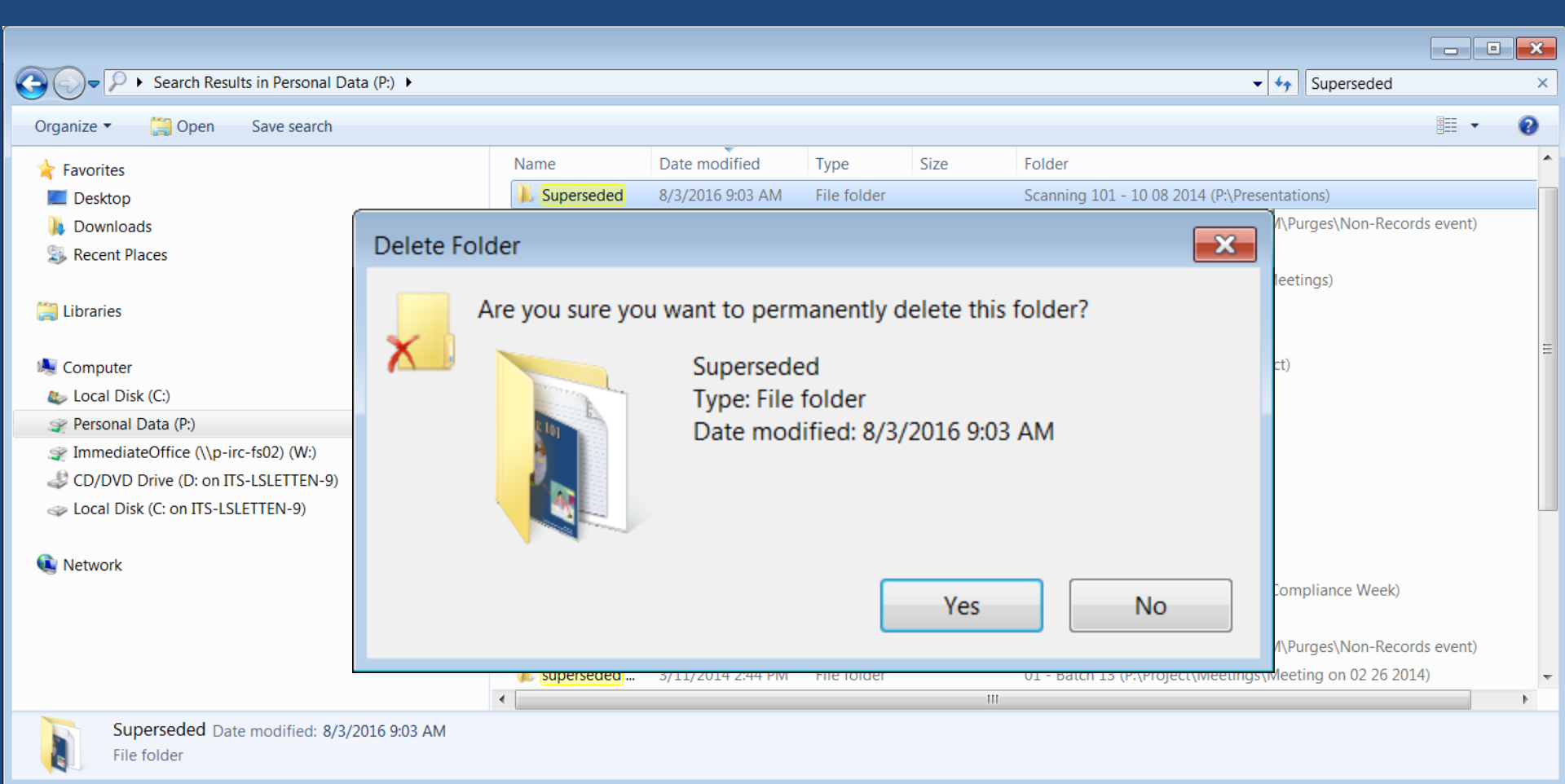
Size on disk: 48.9 MB (51,326,976 bytes)

Contains: 12 Files, 0 Folders

Created: Thursday, October 16, 2014, 1:53:48 PM

Attributes: Read-only (Only applies to files in folder)
 Hidden
 Archive

OK | Cancel | Apply



Personal Data (P:) Properties

General Security Previous Versions DFS Customize

Type: Network Drive
File system: NTFS

Used space:	3,372,052,480 bytes	3.13 GB
Free space:	39,577,620,480 bytes	36.8 GB

Capacity: 42,949,672,960 bytes 40.0 GB

Drive P:

Allow files on this drive to have contents indexed in addition to file properties

OK Cancel Apply

Before

Personal Data (P:) Properties

General Security Previous Versions DFS Customize

Type: Network Drive
File system: NTFS

Used space:	3,324,510,208 bytes	3.09 GB
Free space:	39,625,162,752 bytes	36.9 GB

Capacity: 42,949,672,960 bytes 40.0 GB

Drive P:

Allow files on this drive to have contents indexed in addition to file properties

OK Cancel Apply

After

Personal Data (P:) Properties

General Security Previous Versions DFS Customize

Type: Network Drive
File system: NTFS

Used space:	3,372,052,480 bytes	3.13 GB
Free space:	39,577,620,480 bytes	36.8 GB

Capacity: 42,949,672,960 bytes 40.0 GB

Drive P:

Allow files on this drive to have contents indexed in addition to file properties

OK Cancel Apply

Before

Personal Data (P:) Properties

General Security Previous Versions DFS Customize

Type: Network Drive
File system: NTFS

Used space:	3,208,310,784 bytes	2.98 GB
Free space:	39,741,362,176 bytes	37.0 GB

Capacity: 42,949,672,960 bytes 40.0 GB

Drive P:

Allow files on this drive to have contents indexed in addition to file properties

OK Cancel Apply

After

Search Results in Personal Data (P:) reference

Organize Save search

21 items

Name	Date modified	Type	Size	Folder
Reference on file shares	8/3/2016 8:53 AM	File folder		2016 (P:\UCOP RM\Purges\Records Compliance Week)
Reference materials	8/2/2016 8:40 AM	File folder		Imaging (P:)
Research materials reference	7/28/2016 2:42 PM	File folder		Batch Research Records (P:\Project)
Reference Material	7/15/2016 8:50 AM	File folder		Records Compliance Week (P:\UCOP RM\Purges)
reference material	6/1/2016 8:14 AM	File folder		EDMS briefing (P:\Presentations)
Risk Records Reference	3/4/2016 8:53 AM	File folder		
Public Safety Records Refer...	2/3/2016 8:53 AM	File folder		
Research Records Reference	1/25/2016 8:53 AM	File folder		
Capital Resources Reference	7/9/2016 8:53 AM	File folder		
Academic Records Reference	7/9/2016 8:53 AM	File folder		
IT Records Reference	7/9/2016 8:53 AM	File folder		
Purging literature-reference	6/30/2016 8:53 AM	File folder		
Reference	3/11/2016 8:53 AM	File folder		

Reference on file shares Properties

General Security Previous Versions DFS Customize

Reference on file shares

Type: File folder

Location: P:\UCOP RM\Purges\Records Compliance Week\2016

Size: 325 MB (341,348,171 bytes)

Size on disk: 325 MB (341,389,312 bytes)

Contains: 23 Files, 0 Folders

Created: Wednesday, July 13, 2016, 4:39:27 PM

Attributes: Read-only (Only applies to files in folder)
 Hidden
 Archive

OK Cancel Apply

294.5 MB

Before

After


Personal Data (P:) Properties

General Security Previous Versions DFS Customize

Type: Network Drive
File system: NTFS

Used space:	3,372,052,480 bytes	3.13 GB
Free space:	39,577,620,480 bytes	36.8 GB

Capacity: 42,949,672,960 bytes 40.0 GB



Drive P:

Allow files on this drive to have contents indexed in addition to file properties

OK Cancel Apply


Personal Data (P:) Properties

General Security Previous Versions DFS Customize

Type: Network Drive
File system: NTFS

Used space:	3,063,279,616 bytes	2.85 GB
Free space:	39,886,393,344 bytes	37.1 GB

Capacity: 42,949,672,960 bytes 40.0 GB



Drive P:

Allow files on this drive to have contents indexed in addition to file properties

OK Cancel Apply

Benefits of Organizing Personal and Shared Drives

- Records are easily identified and can be found quickly
- Access to information is controlled according to records' content
- Records needed for Public Records Act Requests or discovery will be easier to locate

More Benefits

- Non-records and records with lapsed retention periods will be easy to find and delete during Records Compliance Week
- This provides another important step towards any electronic recordkeeping system implementation .

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