



Microsoft



interpipeline

Document Management & Retention in 2021

April 14, 2021

People. Partnership. Performance.



Before we get started...



Questions will be answered at the end



Use the “Questions” feature to submit questions



Session will be recorded and shared



Please complete the survey to provide feedback



Participation is encouraged



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Trena consults with corporate and law firm clients in the area of electronic discovery, data governance, and privacy in building and maintaining high-quality and efficient workflows and processes. Trena is a drafting team leader for the Sedona Conference WG1 Commentary on Managing eDiscovery in Small Cases and served as the Charlotte Chapter Director of Women in eDiscovery. Trena is an IAPP Certified Information Privacy Management (CIPM) Professional.

Trena holds a Bachelor of Science degree in Accounting & Finance from UNC Greensboro, a Master of Science in Accounting from College of Charleston and a Juris Doctor from Valparaiso University.



Nguyen Tran

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Nguyen leads the Innovation portfolio at Inter Pipeline, a world-scale energy infrastructure business engaged in the transportation, processing and storage of energy products across Western Canada and Europe. In his capacity as General Manager, Innovation he is on the hunt for problems that, when solved, will create a competitive edge for Inter Pipeline.

Nguyen has 20+ years experience in the energy industry, consisting of roles in customer service, commercial, information technology, regulatory and operations.



Sheldon Mackarenko

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Sheldon Mackarenko is a Modern Work Specialist at Microsoft who assists Customers on envisioning their Employee Experience with the proper Security & Compliance Controls in today's remote and hybrid work environment.

Agenda

1

Document Management & Retention: An Overview of Strategies

Which approach is appropriate for your organization?

2

Document Management & Retention: A Policy Primer

Do you have a current data map?

3

Document Management & Retention: A Practical Implementation

How would you describe your organization's implementation experience?

4

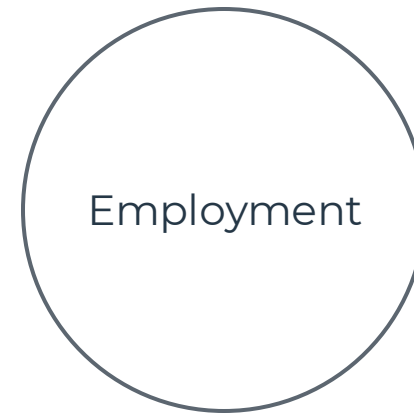
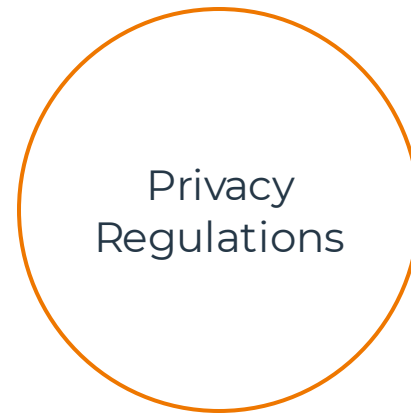
Microsoft Teams: A Data Study

Has your corporation rolled out a new collaboration tool?

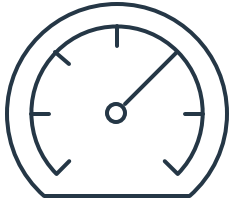
Document Management & Retention

An Overview of Strategies

Why Is Data Management & Retention Important?

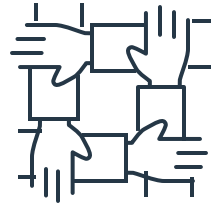


Times, they are changing



People are creating content at an amazing pace

Opportunity:
Take control of your content without giving into chaos



Employees expect to collaborate across apps

Opportunity:
Increase productivity with integration and interoperability



AI can accelerate managing content at scale

Opportunity:
Take advantage of new intelligence approaches



Protecting data is a critical first step

Opportunity:
Secure your data – across storage, processes, search, and analytics

Growing Concerns with Traditional ECM/EIM

“

Our current ECM platform is **too old, slow, complicated, and expensive.**

We're reconsidering our risk and agility requirements because of recent compliance and **security concerns.**

We're spending more on **content management** than we're getting in **functionality.**

We are going through global disruptive efforts to **get to the cloud.**
Can we deal with our content services at the same time?

”



Challenges

Organizing terabytes of content

Upholding security and compliance while enabling collaboration

Taking on new responsibilities and requirements

The Corporate Conundrum



Security should not compromise compliance; compliance should not compromise security; and should not impact end user performance

Risk Based

Exercising due diligence and due care to **protect** the confidentiality, integrity, and availability of critical business assets



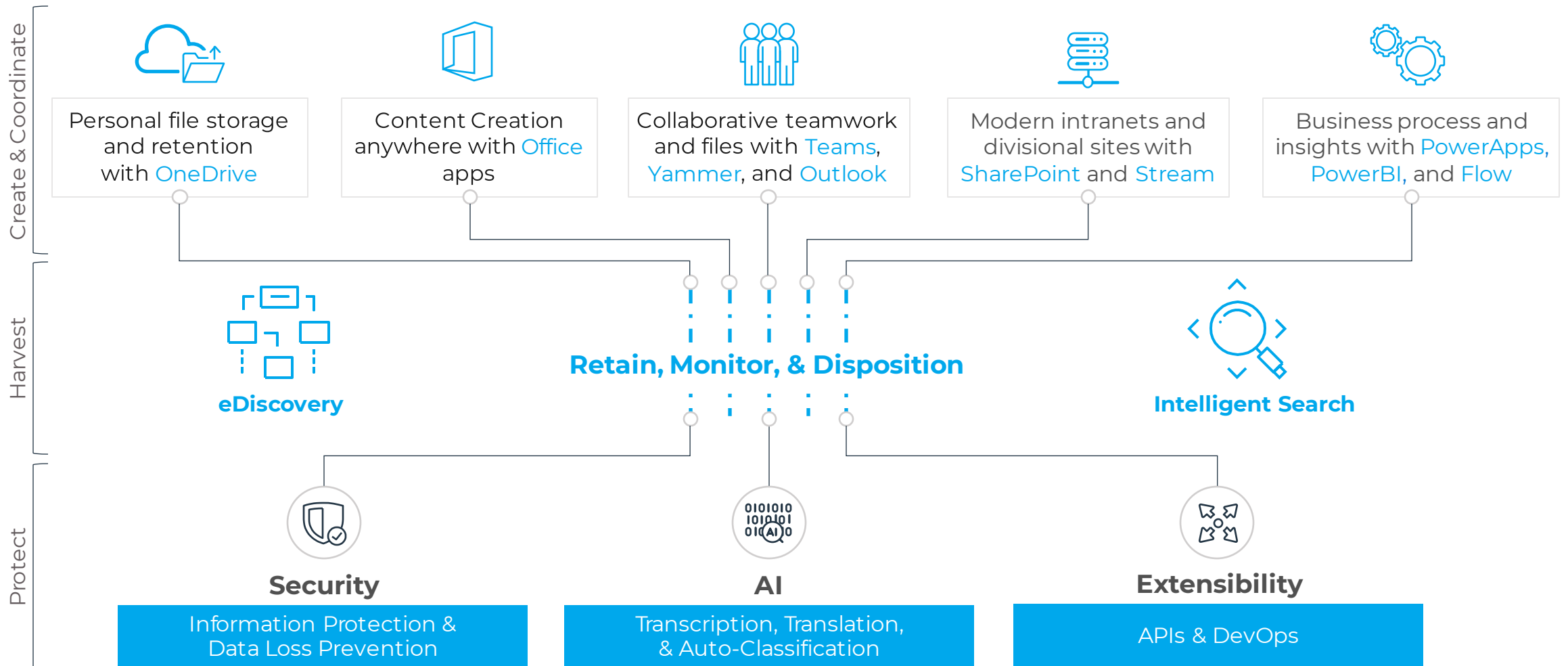
Regulation Based

Exercising due diligence and due care to **preserve** the confidentiality, integrity, and availability of critical business assets

Task Based

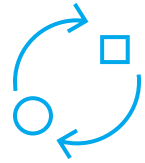
Exercising due diligence and due care to **perform** the tasks required to create and consume the business assets

The In-Place Records Management World



Content services

The needs of a new era of information control and management



ECM/EIM needs to embrace a **holistic approach to managing the entire lifecycle** of document creation, sharing, consumption, reuse, knowledge, and records management, archiving, and disposal



Content services covers the **first mile** as well as the final nine of a document's lifespan; We call this **content velocity**



Content services is **people-centric**—allowing for personal management (copy/move, tags) and organizational management (knowledge management, records management)

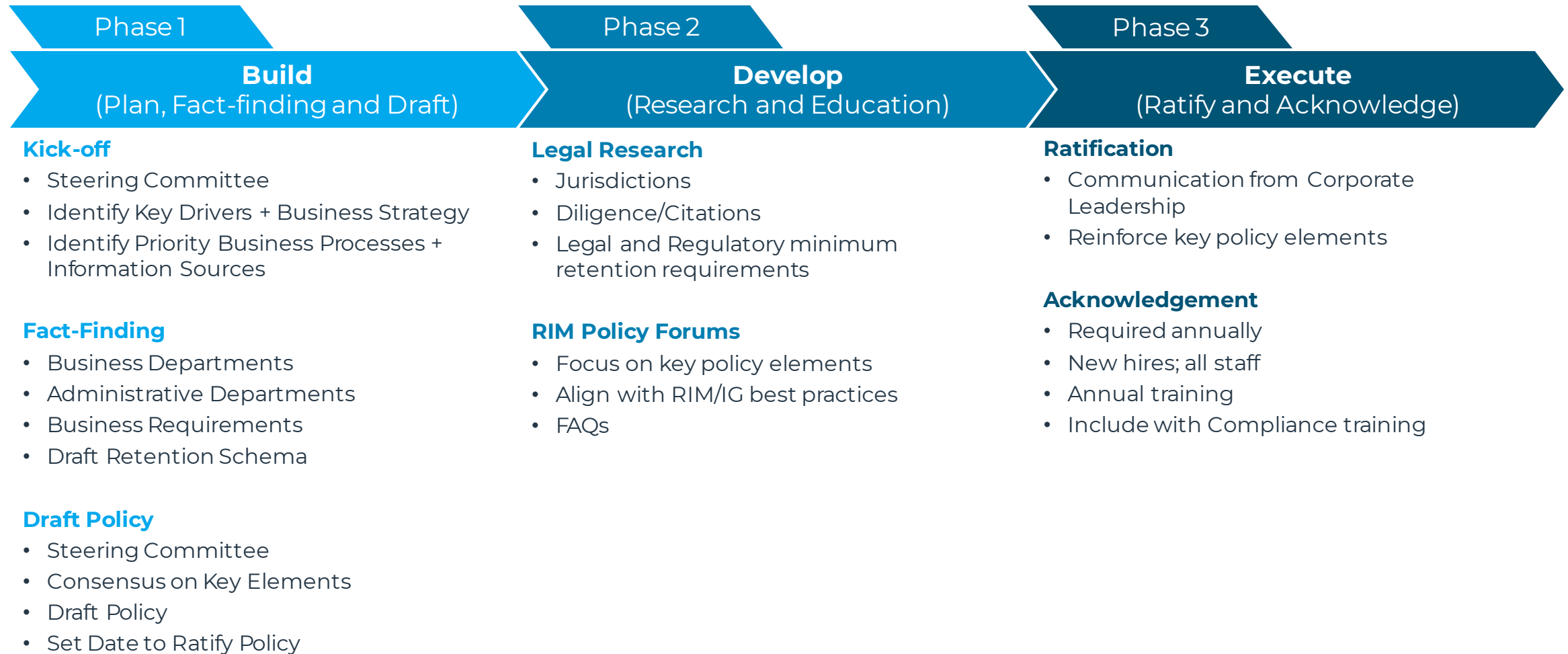


Policy and security: intelligent, simple, and automated—protect content at all phases of its life

Document Management & Retention

A Policy Primer

Policy Development: A Methodology



Guiding Principles & Statement of Purpose

Guiding Principles

- Provide guidance to the organization's employees on the management of records and information
- Balance: ensure the Policy is not overly restrictive
- To the extent practical, provide flexibility in how employees meet Policy objectives
- Reduce risks and costs associated with the management of records and information, while improving compliance

Statement of Purpose

- Establish guidelines for the management and retention of information
- Define standards to ensure that records are complete, organized, and readily accessible from creation to ultimate disposition
- Identify resources required to manage and store information, and to provide guidelines to promote their efficient use
- Classify data: distinguish between individual, customer, and company-owned records
- Determine retention schedule (how long to maintain data) by record type

A Data Map & Inventory: Know Your Data

- Data mapping is the process of identifying, understanding, and mapping what information an organization has, how the data “flows” through the organization, and where the information is stored.
- Before a company can protect its data assets and networks, the company needs to understand:

1

The types of data it collects;

2

Where that data is stored;

3

Who has access to such data and who within the organization is responsible for it;

4

The purpose for which the data is used/ disclosed; and

5

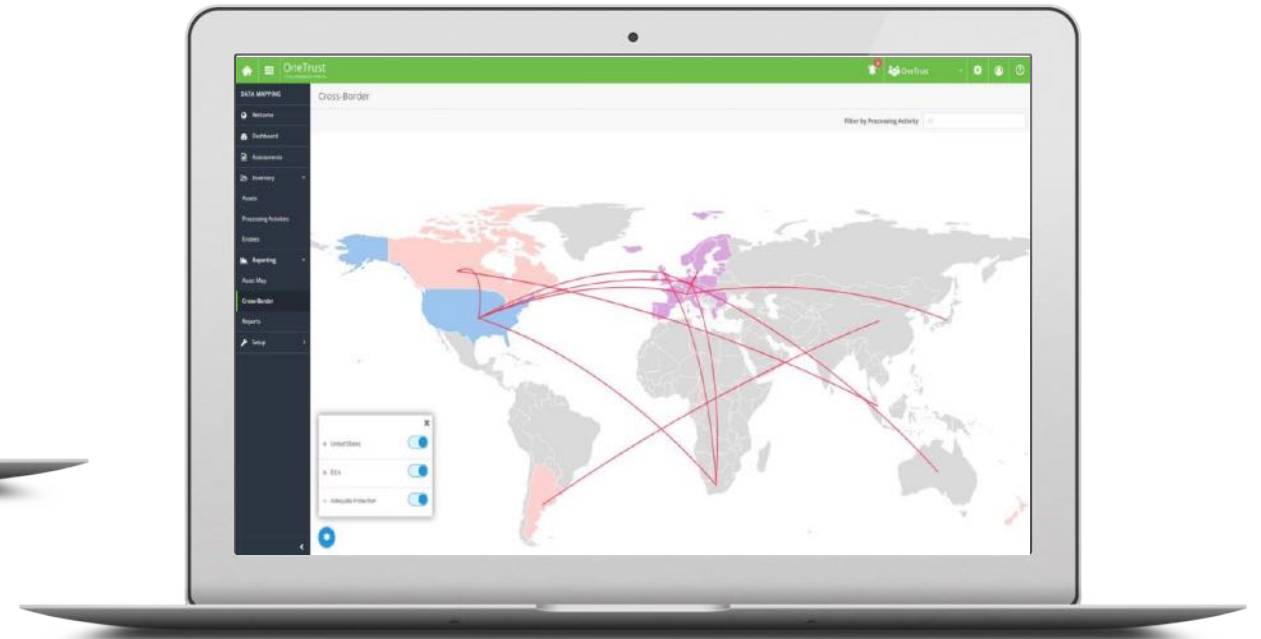
With whom it is shared.

A Data Map & Inventory: Visualization



Data Lineage

Cross Border Data Transfer Map



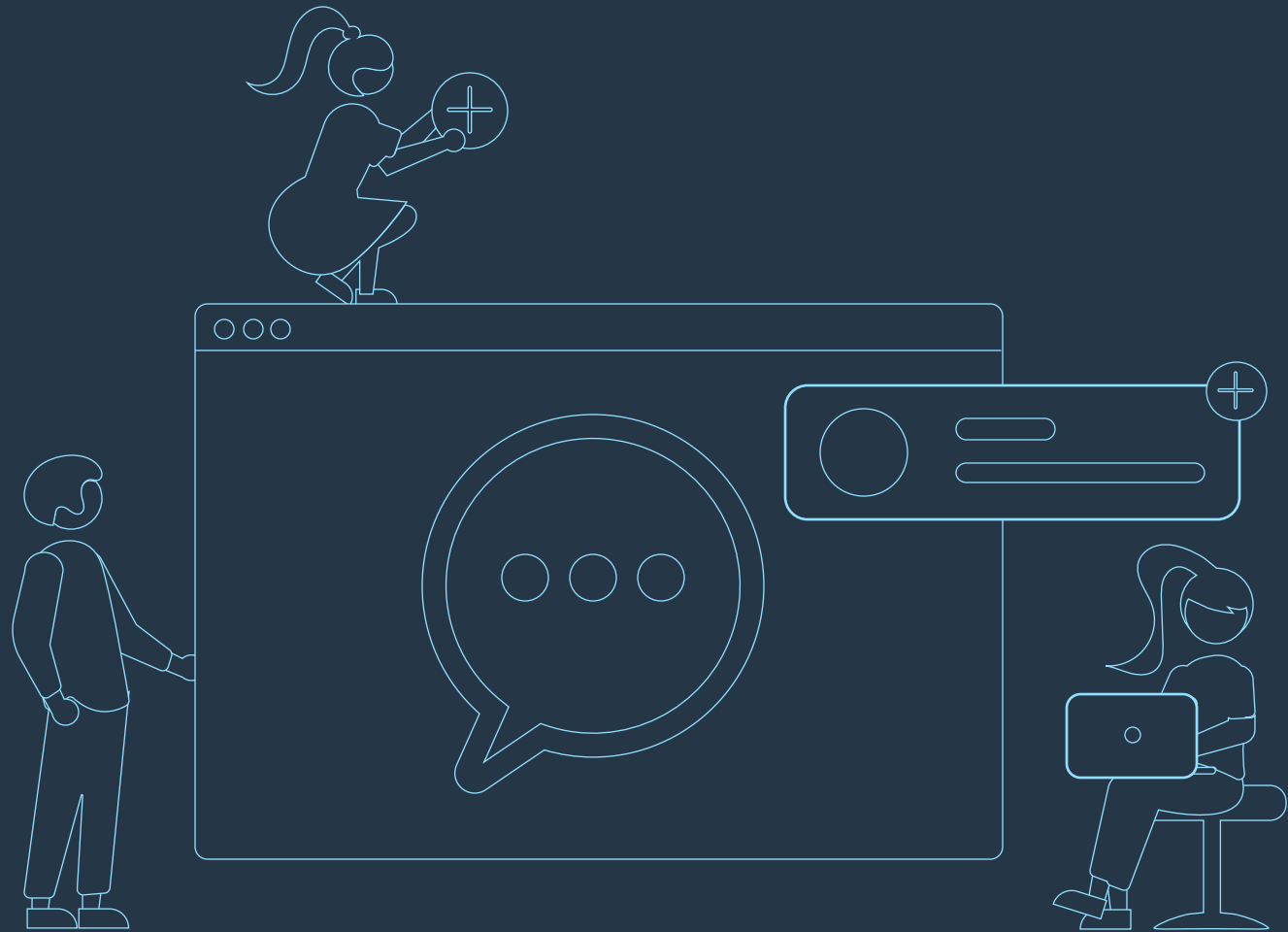
Retention Schedule: Sample

Accounting & Finance		Retention Recommendations		
Record Category Name	Record Category Description	Trigger Event	Retention Period	Comments
Accounts Payable	Invoices for goods and services purchased by the Firm and supporting reconciliations. Includes authorization for payment and documentation that payment was made, expenses requiring special approval, employee expense reimbursement, 1099s, etc.	End of Calendar Year	7 Years	
Accounts Receivable	Documentation of funds receivable including notated pro formas and documents that support billing to clients, honorariums, refunds, employee personal charges, and reconciliations. Includes bad debt write-offs.	End of Calendar Year	7 Years	
Audits - Financial	Documents summarizing the results of audits performed by an outside person or organization.	End of Calendar Year	15 Years	
Bank Account Management	Documents related to the managing of the Firm's bank accounts. Includes opening, closing, and access and authorization documents.	Date of Closure	7 Years	
Bank Reconciliations	Documents supporting the tracking of Firm funds held in Firm bank accounts.	End of Calendar Year	7 Years	
Budgets - Firm-wide	Spreadsheets, work papers, and final approved documents showing planned income and expenses. Used to project expenses and income for the Firm.	End of Calendar Year	7 Years	
Client Billing	Billing statements issued to clients for services rendered. Also includes billing rate schedules, client rate agreements, billing guidelines, and e-billing requirements.	End of Calendar Year	7 Years	
Collections	Documents related to collection attempts of overdue accounts. (Note: The Billing Partner may have additional information related to contacts made.)	End of Calendar Year	7 Years	
Cost Recovery	Documents used to substantiate internal charge backs on client invoicing.	End of Calendar Year	7 Years	
Financial Planning and Analysis	Documents related to creating and implementing financial plan. Reports created and analyzed to perform work, support decision-making, and document events.	End of Calendar Year	7 Years	
Fixed Assets	Documents used to document the acquisition and depreciation of fixed assets. Includes authorizations to sell or otherwise dispose of a fixed asset. Documents should be retained until the fixed asset is sold, disposed of, or fully depreciated.	End of Calendar Year	15 Years	

Document Management & Retention

A Practical Implementation

Implementations that work



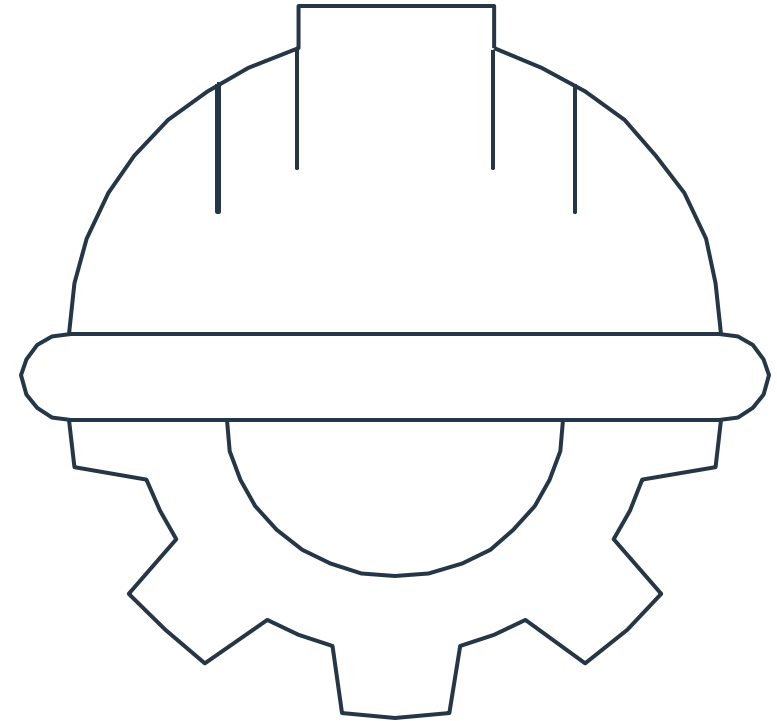
1. Your team can do anything, but...

What matters?

What are your most pressing concerns?

What are your capabilities?

What are your constraints?



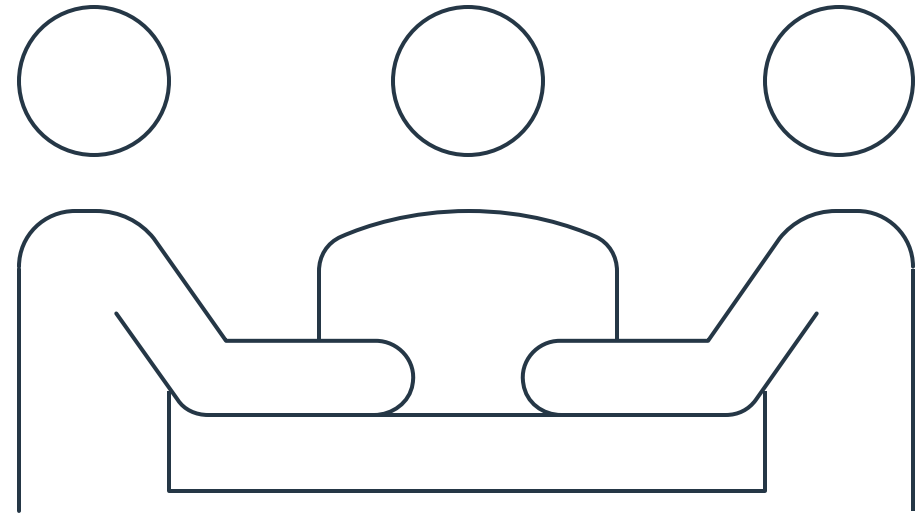
2. IT takes a village

Who's on your squad?

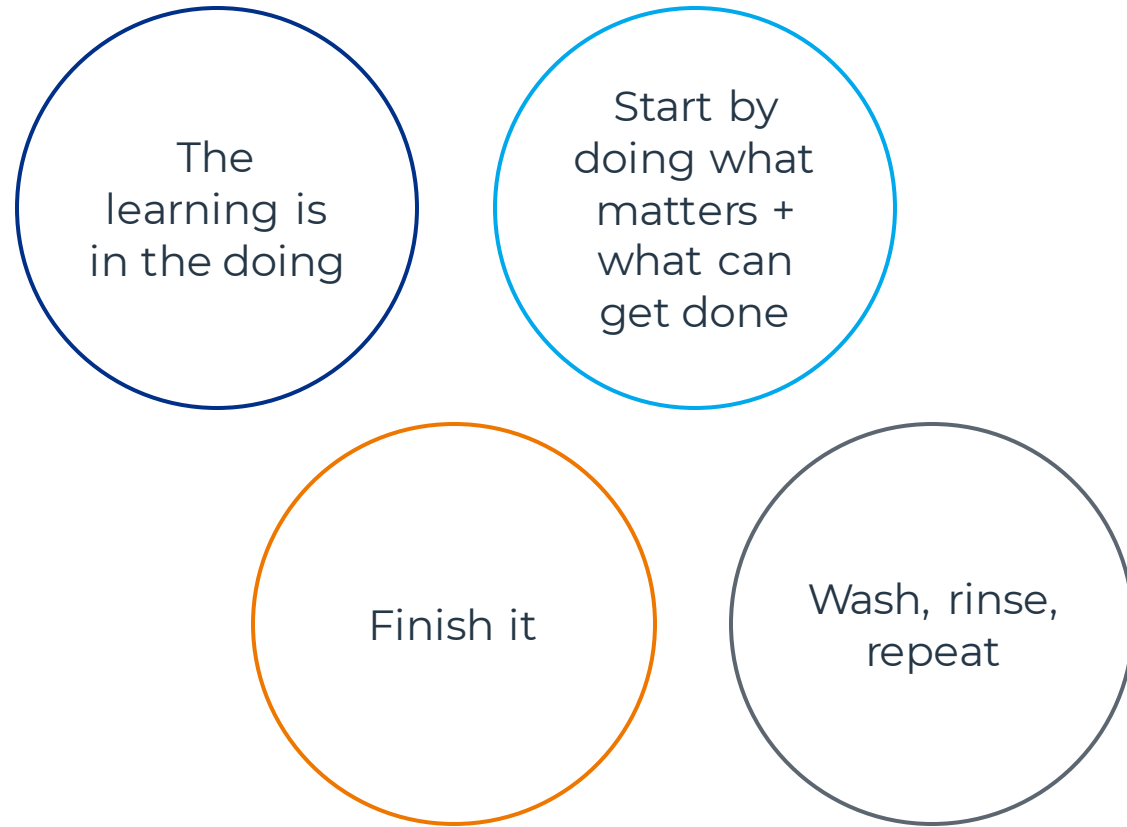
How will you make decisions?

Who will do the work?

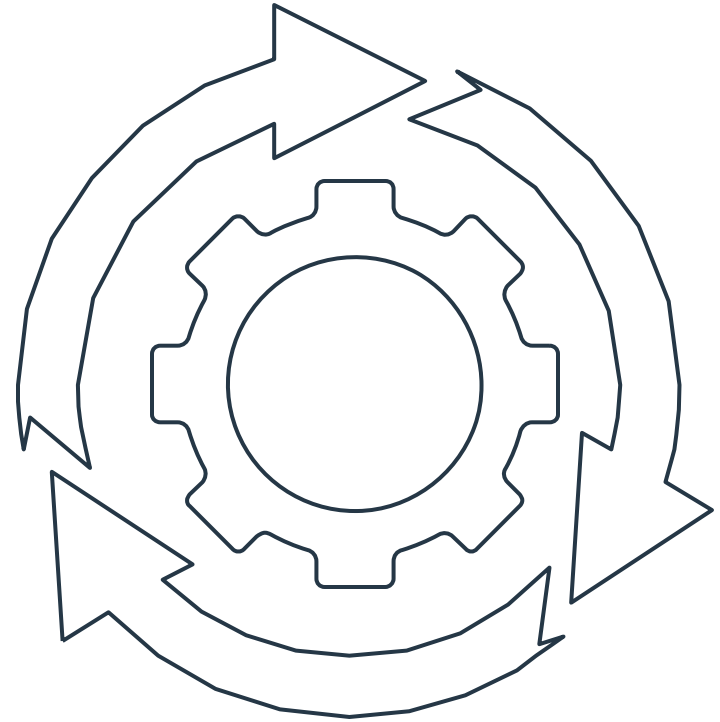
How will you enable change?



3. Get started already



4. Optimize



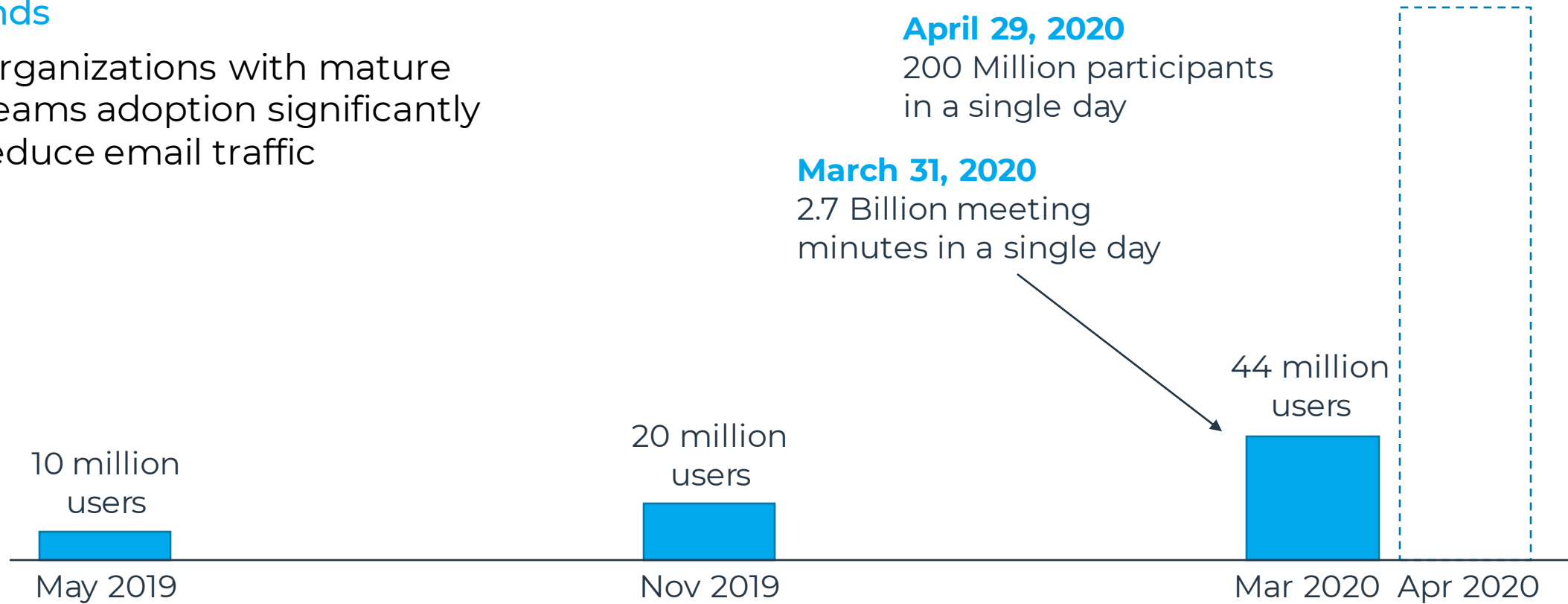
Microsoft Teams

A Data Study

Microsoft Teams Adoption: A Trend Analysis

Trends

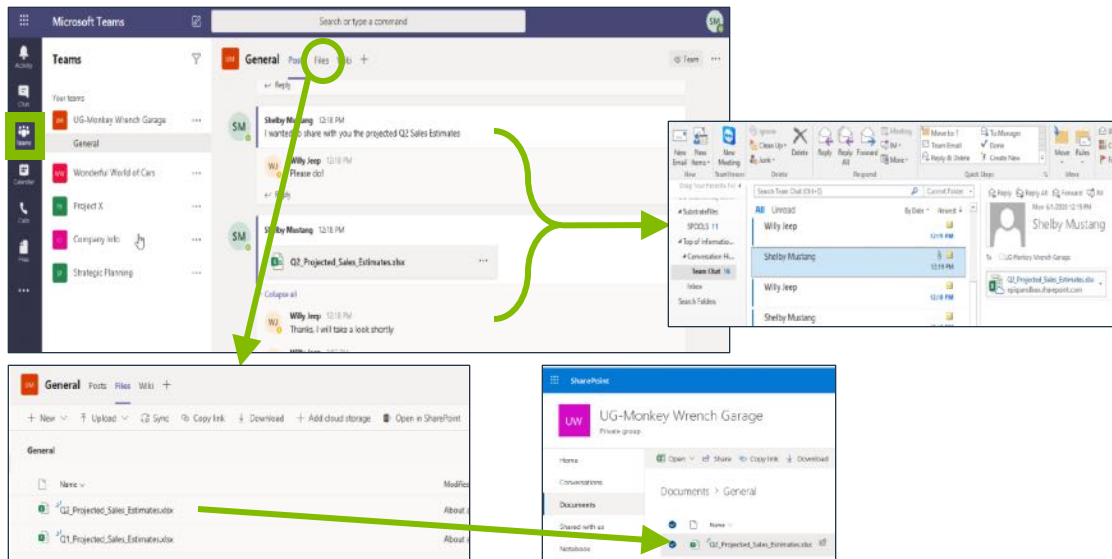
- Organizations with mature Teams adoption significantly reduce email traffic



Team Channels & Chat Overview

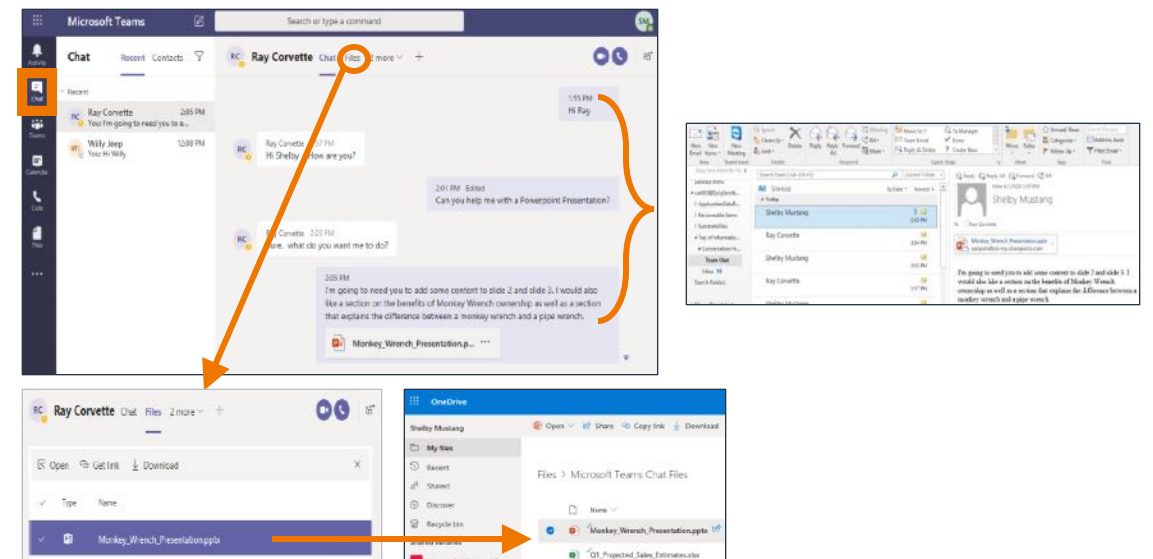
Channel Components

- Teams Channel User Interface
- **Exchange Mailbox**
- **SharePoint Site**
- Modern Attachments
 - **Stored in Team specific SharePoint site**



Chat Components

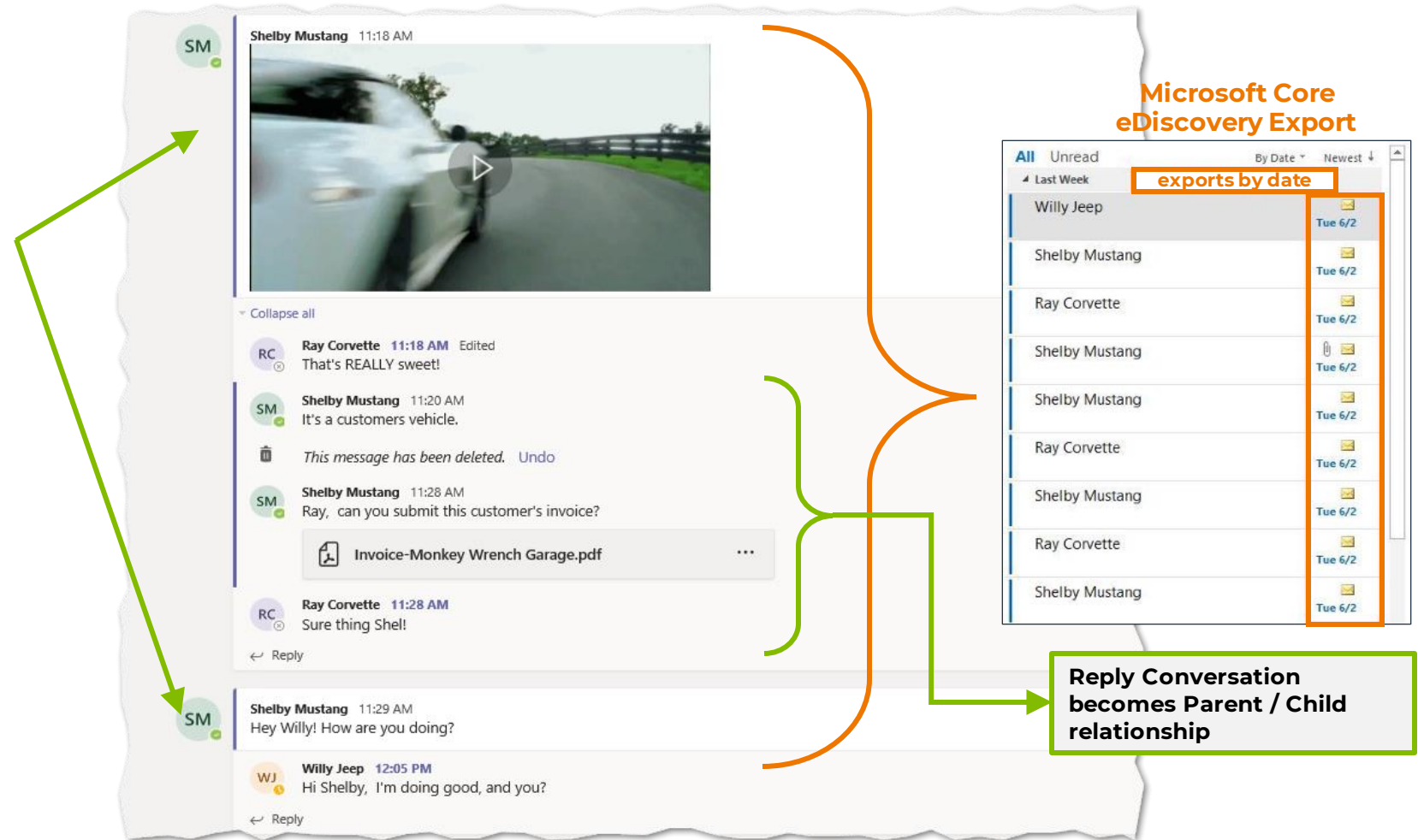
- Teams Chat User Interface
- Individual User **Exchange Mailboxes** (***Same mailbox as email***)
- Modern Attachments
 - **Stored in individual User's OneDrive**



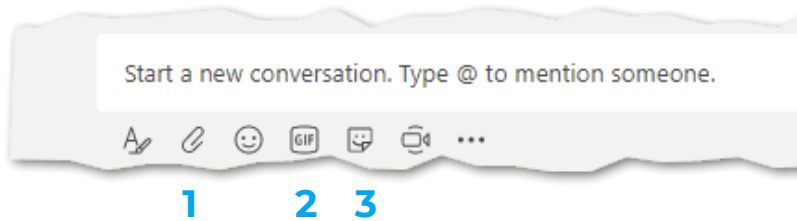
Teams: Thread & Sub-replies

Conversation Order

- Each chat message sent in Teams is stored as a separate email in Exchange Online, are not linked together, foldered or arranged in a hierarchy that matches the native application.
- Could lead to issues in review where parts of a conversation are reviewed and coded without full context of a conversation.



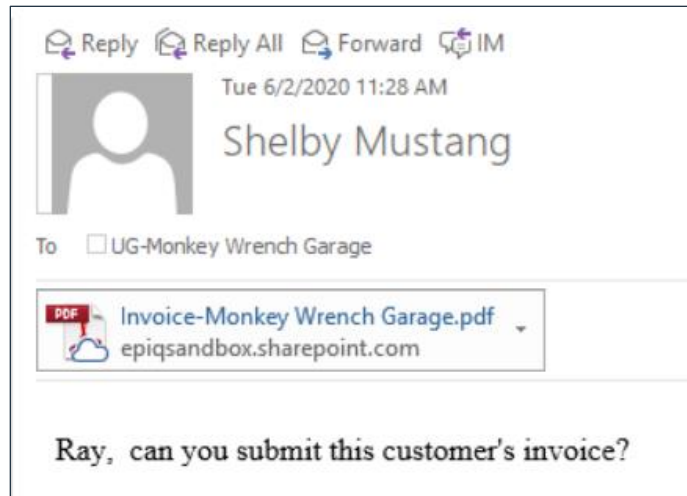
Teams: Modern Attachments



- Files shared in Teams are represented in emails as modern attachments (links), however the actual files are stored in SharePoint and OneDrive.
- When exported the email only contains a link to the cloud and neither the file nor its content are available for search and/or review.

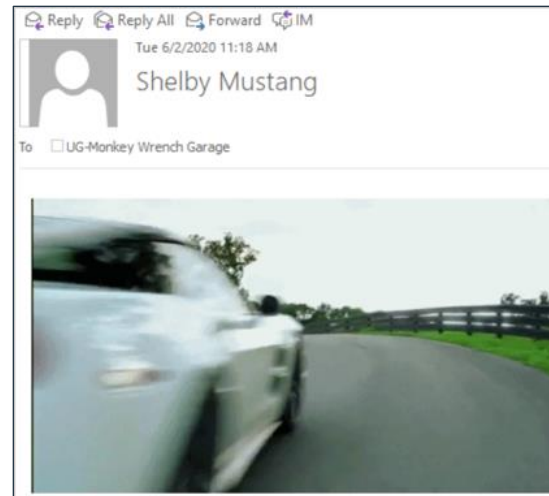
1 – Modern Attachment

Link to the file stored in the Team SharePoint or individual user's OneDrive site. For Chats, **only retained in sender's OneDrive site.**



2 – Giphy Attachment

Link to the file stored in message – not stored in the Team Channel SharePoint

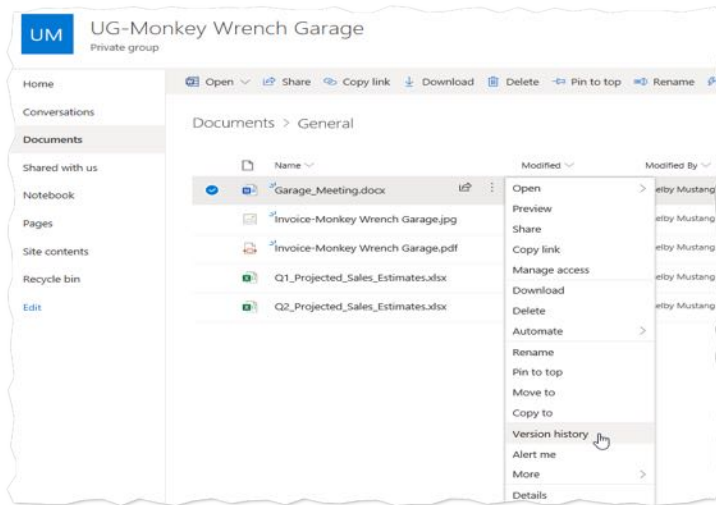
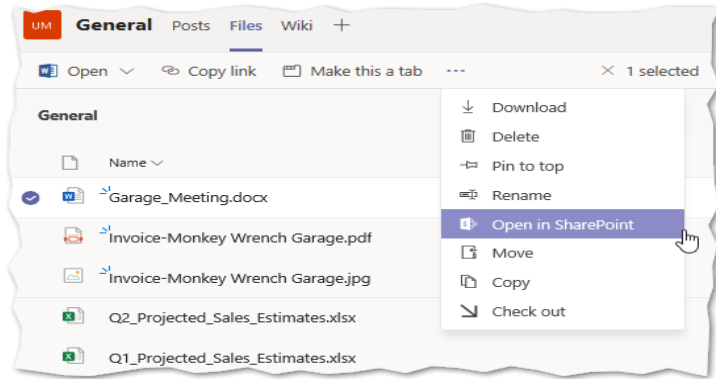


3 – Sticker Attachment

- link to sticker stored on the MS Teams Servers – Not stored in the Team Channel SharePoint
- text on a Sticker can be customized



Teams: Versioning



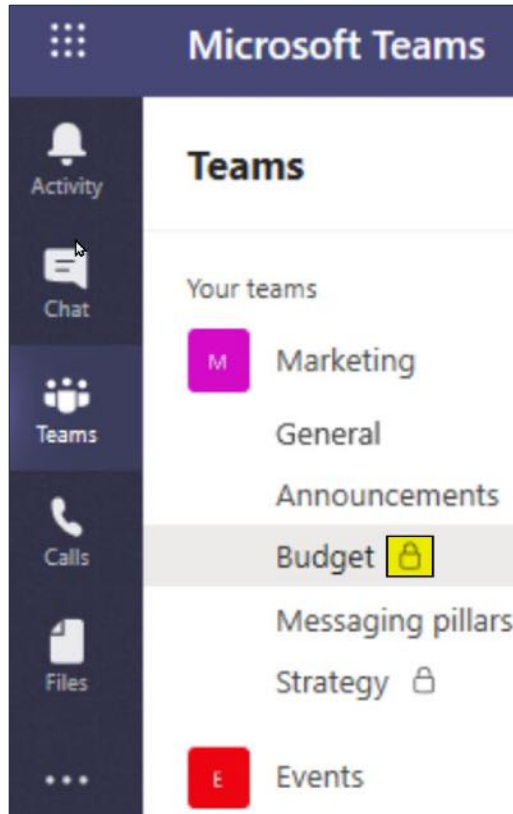
- SharePoint and OneDrive save the last 500 versions of each file on default
- Modern attachments link to the current version of a file, because SharePoint and OneDrive retain the many version on default, it is difficult to match the file shared in the past to the actual version sent.

Version history

Delete All Versions

No. ↓	Modified	Modified By	Size	Comments
8.0	6/3/2020 11:24 AM	<input type="checkbox"/> Ray Corvette	17.6 KB	
7.0	6/3/2020 11:24 AM	<input type="checkbox"/> Ray Corvette	17.6 KB	
6.0	6/3/2020 11:11 AM	<input type="checkbox"/> Willy Jeep	17.5 KB	
5.0	6/3/2020 11:07 AM	<input type="checkbox"/> Shelby Mustang	17.5 KB	
4.0	6/3/2020 11:06 AM	<input type="checkbox"/> Willy Jeep	17.4 KB	
3.0	6/3/2020 11:03 AM	<input type="checkbox"/> Shelby Mustang	17.3 KB	
2.0	6/3/2020 11:01 AM	<input type="checkbox"/> Ray Corvette	17.1 KB	
1.0	6/3/2020 10:59 AM	<input type="checkbox"/> Shelby Mustang	17.2 KB	

Teams: Private Channels



- Chat content stored in individual user's mailbox, not Team mailbox, and files shared in dedicated SharePoint site not Team SharePoint site.
- Microsoft has rolled out (2019 Q4) a private version of communication via Teams Private Channels.
- Simply a subset of permissions within a Team.
- A lock icon indicates a private channel. Only members of private channels can see and participate in private channels that they are added to.

Teams: Identification & Preservation

Identification

- Teams Channel content is a non-custodial data source and will not be captured through traditional custodian identification and collection
- Custodian interviews should be conducted for identification of relevant Teams
- In practice, systematically looking at permissions to identify Teams is overly broad

Legal hold preservation

- Mailboxes and SharePoint for Channels
- Mailboxes and OneDrive for Chats
- In-Place Preservation will not hold files sent to a chat participant
- In-Place Preservation importance greatly increases when retention policies are implemented to delete content
- On default Teams chat is retained forever

epiq