

CORPORATE RECORDS AND ARCHIVES

Guide to Records Management in MS Teams

www.carleton.ca/records

Introduction

All records created and managed as part of your employment at Carleton are the legal property of the university. As such, the manner in which you organize, retain, and meet disposition requirements of official records must comply with the university's [Corporate Records and Archives Policy](#). The policy is supported by use of the Carleton University Retention Schedule (CURS), which advises on the retention and disposition scheduling for common official university records.

The standards of the policy as well as the retention schedules in CURS apply to all records created or received as part of your employment, both paper and electronic, in any format and on any Carleton platform, including MS Teams. This guide provides best practice instruction for records management in the MS Teams environment.

Key Records Management Goals

Best records management practices on MS Teams to meet your obligations under the Corporate Records and Archives Policy are to:

- Ensure that you are using the correct tool for the job you are doing. MS Teams is best suited for collaboration but still requires proper management of records created in and stored on the platform.
- Create a records management plan for your MS Teams site prior to establishing it. Make sure this plan is clear and communicated to all members of the Teams site. Assign responsibility for this records management plan to a specific member of your work unit, such as a Department Administrator. The staff person responsible for the Teams site will oversee permissions, Teams site members, creation and deletion of appropriate channels, and drive proper records retention and disposition.
- MS Teams is a collaboration tool but it is not **typically** long-term storage for records. At the moment, Corporate Records and Archives advises work units to only maintain records on a Teams site if they are:
 - Active (currently in use),
 - Currently being worked on collaboratively
 - Drafts or transitory records
 - Procedures that are routinely superseded

Records that are permanent, have long-term retention, or specific confidential or security requirements may still be required to be retained on your department's network drive. Part of your records management plan for your MS Teams site should include how long records need to be kept on Teams and what the final disposition of those records will be. Contact the Corporate Records and Archives department to discuss guidelines for records used on your unit's MS Teams sites and how long they should be kept on the platform.

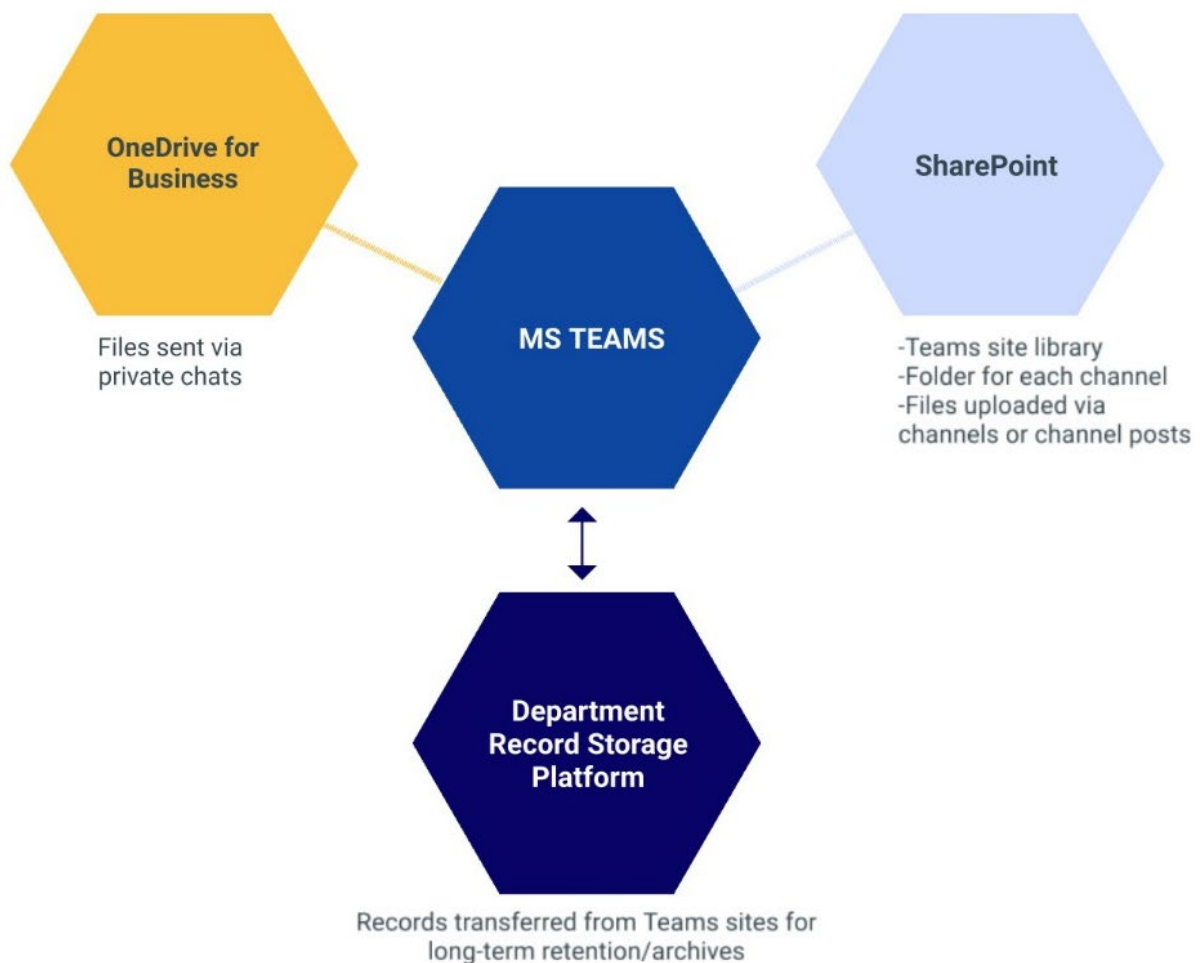
Records Management Process in Teams

PLAN	<ol style="list-style-type: none"> 1. Document clear purpose for MS Teams site, including membership and overall responsibility. 2. Create records management plan for MS Teams site, including: <ul style="list-style-type: none"> • Basic naming conventions • Record keeping responsibilities • Which records are appropriate for the site and which are not • Channel structure • Folder structure • Rules for use of chats, posts, and adding files and folders
ESTABLISH	<ol style="list-style-type: none"> 1. Request site from ITS 2. Create channels, add membership, implement privacy on channels as required. 3. Provide training on use a of MS Teams site and RM plan as needed.
MANAGE	<ol style="list-style-type: none"> 1. Ensure staff member with recordkeeping responsibilities is aware of any timelines that exist for the Teams site as well as record retention requirements. 2. Keep membership up-to-date: add and remove members as required. 3. Delete drafts and transitory records regularly when no longer needed.
DISPOSITION	<ol style="list-style-type: none"> 1. For Teams sites that are closing: <ul style="list-style-type: none"> • Remove all records that require retention and move to appropriate Carleton supported location such as a network drive, or transfer permanent/historical records to Corporate Archives' Digital Archives Vault. • Remove and delete files as needed from the SharePoint site connected to the Teams group. Removing records from a Teams site doesn't immediately remove them from the Teams SharePoint site. • Ensure that the responsibility of maintenance of records to be retained is assigned to an appropriate staff member. • Request the deletion of the MS Teams site by ITS. 2. For Teams site that are on-going: <ul style="list-style-type: none"> • Assess whether final versions of records should be moved to appropriate network drive or central storage location for long-term retention, including potential transfer to the Digital Archives Vault. • Ensure retention and disposition for common university records meets the standards in CURS. For questions on the retention of records not found in CURS, contact Corporate Records and Archives.

Record Keeping on MS Teams

Storage on Teams

- Files uploaded into MS Teams are stored in a channel's SharePoint folder.
- Files uploaded into a private chat between staff are stored in the originator's OneDrive folder and available only to the people in the conversation.
- Recordings of MS Teams become available to members within the meeting chat but are stored in the Microsoft Stream Platform.
- Chat conversations cannot be deleted in their entirety. Individual messages only can be deleted and are replaced with a note indicating the deletion.



Channel and Folder Organization on Teams

- Avoid using the automatically generated “General” channel in which to create a folder structure. Instead, plan and create channels based on the work functions of your Teams group. This will help Teams members from losing track of appropriate folders for working on records.
- Keep folder structure as simple as possible. Corporate Records and Archives recommends nesting no more than 2-3 folders in folder structures.
- To avoid confusion between final versions, members should collaborate on the same document rather than creating multiple drafts or sending drafts through private chats.
- Incorporate basic file naming conventions into your RM plan for the MS Teams site. This can help avoid confusion between drafts and supports more efficient retention and disposition.
- Channels and folders should be named according to the work function, projects, or goals they are supporting.
 - Keep this naming consistent so that moving records for retention or disposition is clear.
 - Avoid using acronyms.
 - Avoid using staff names as folder names unless it is specific to the channel function (e.g. for hiring or HR purposes)
- Keep naming conventions between records in your MS Teams site and your central storage location (e.g. network drive) the same.

Channels

- When you delete a channel or individual records from a channel, they are not immediately deleted from the channel's SharePoint site. The records remain in the SharePoint site's recycling bin for 93 days. If records must be immediately deleted for any reason, navigate to the SharePoint site and delete from the recycle bin.
- Do not change the names of your channels once they have been created. If you change the name, it will cause errors in the ability to recover records from the original SharePoint site. In order to change a channel name, first create the new one, move the records over from the old one, and then delete the old one.
- Structure your channels and their names based on the functions of activities of your Team group. Avoid using names and acronyms in your channel names.
- Channels can be set to private **ONLY** when they are being created. Existing channels cannot have their membership altered, except to add or delete members. To **restrict** the membership of a new channel:
 1. Click on the "Add Channel" from the three dots to the left of your Teams group name.
 2. Name and describe your new channel and then under the Privacy field, select "Private – Accessible only to a specific group of people within the team" (*Figure 1*).
 3. Add approved members to Channel (*Figure 2*).
 4. A lock icon will appear next to the Channel under your Teams channel list.

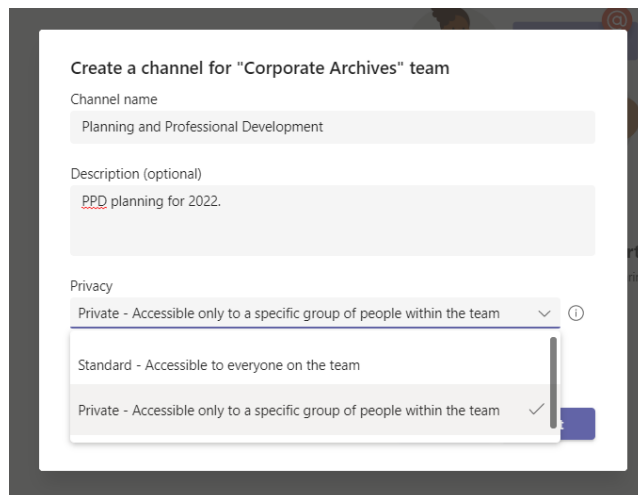


Figure 2

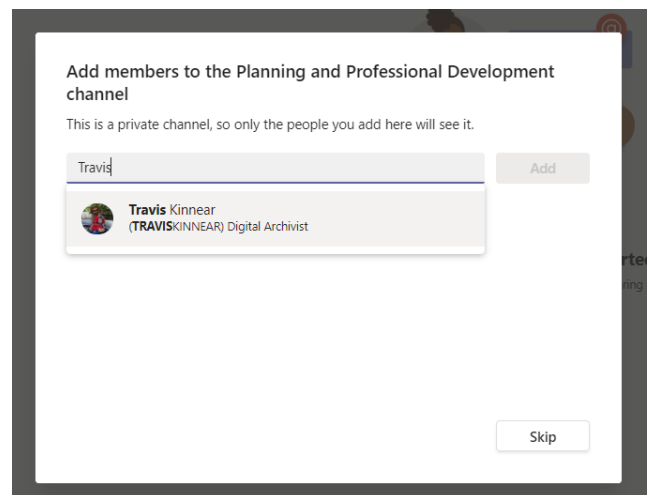


Figure 1

Privacy and Confidentiality

All members of your Teams group automatically have access to all records and folders you have in your MS Teams site unless you restrict channels at the time of their creation. Teams owners must appropriately plan and manage any work on records that contain private or confidential information. To ensure this, make sure to consider the following:

- Is Teams the best place to collaborate on these records if not all members of the Teams group can have access?
- Can the security of the records be managed through setting a Teams channel to private?
- What procedures have you put in place to manage this security consistently over time?
- Any questions about the security of any records containing private information should be directed to Carleton's [Privacy Office](#).

Additional Resources

University Policies

In addition to the Corporate Records and Archives policy, management of official university information and records is further governed by:

- [Acceptable Use Policy for Information Technology](#)
- [Access to Information and Privacy Policy](#)
- [Email Use Policy](#)
- [Information Security Policy](#)

Corporate Records and Archives Training

Additional records management resources can be found on the Corporate Records and Archives website, including webinars on basic RM practices. Corporate Records and Archives staff can also provide tailored workshops or records management training with your department, committee, or work group.

LinkedIn Learning

Carleton University has a license for LinkedIn Learning, which provides access to remote, on-demand learning on a variety of topics, including MS Teams.

Appendix A: MS Teams Records Management Plan (Template)

MS Teams Name: Corporate Archives

Owner(s): Shannon Hodge

Records Management Responsibility: Jennifer Nangreave

Purpose: This MS Teams site is a departmental site to provide collaboration on all procedural guides and forms used by Corporate Archives staff as well as channels to support work on special projects.

Projected Term of Team:

Indeterminate.

Members:

Shannon Hodge, (Corporate Archivist); Travis Kinnear (Digital Archivist); Jennifer Nangreave, (Records and Archives Analyst); Jane Doe, Digital Archives Assistant (Student Employees)

Naming Conventions:

All channels named and added only by Corporate Archivist. Folder names must be consistent with any W drive folders with like folders. All file naming follows the Corporate Records and Archives' *Tip Sheet on Naming Conventions*.

Record Retention and Disposition:

Record Type or Descriptions	Channel(s)	Restrictions	Retention on MS Teams	Disposition
RM Toolkit webinar and guide drafts	RM Toolkits	Open to all members	Keep drafts on Teams until finalized.	Finalized versions should be retained on W drive.
Procedural forms	Administration	Open to all members	Indeterminate. Retain until superseded.	Delete once superseded.
Minutes and agendas	Advisory Committee on University Records	Open to all members	Maintain on MS Teams for 5 years.	Transfer to Digital Archives Vault for permanent retention.
Professional Planning & Development Work plans	Corporate Archivist; Digital Archivist; Records Analyst	Restricted to Corporate Archivist, University Secretary and specific position	Maintain on MS Teams for 1 year (until superseded).	Transfer to W drive in permissions-based folder for additional 5 years and then delete.

Appendix B: Naming Convention Tips

Naming Guidelines

1. Key elements of file and folder names include:
 - Subject, type, or activity
 - Department, Committee, Work unit identifier
 - Date
 - Version
2. Name files focusing on retrieval and/or to facilitate retention and disposition.

If files are being retrieved by description, name from the general to the specific:

 - e.g. MinutesMeeting305_BoardofGovernors_20210927
 - e.g. Presentation_ArchivesMilestones_20220925_v01

If files are retrieved by date, name them with the date appearing first:

 - e.g. 20200923_CorporateArchivesReferenceLog
 - e.g. 20211013_DailyReceipts
3. Avoid vague files names such as Miscellaneous, Various, or Archives.
4. Do not use staff names to identify files, e.g. BobsReport.
5. Avoid acronyms, abbreviations, and codes that are not common. Long term the meaning behind them may be lost or obscured.
6. Use ISO date structure so files sort properly – YYYYMMDD.

Drafts and Versions

1. Files must be sorted into an appropriate folder. Avoid an accumulation of orphan files.
2. Indicate different words in a single element using capital letters, e.g. AnnualReport.
3. Separate elements using an underscore, e.g. AnnualReport_CorporateArchives.
4. Do not use any other special characters (@, \$, %, \, etc.) aside from an underscore.

General Tips

Agree on naming for drafts and versions.

1. Drafts
 - Do not use “Draft” at the start of the file name, always place last.
 - If not using a collaborate platform such as MS Teams to make changes to drafts, indicate edits using initials of staff members making them.
e.g. AnnualReport_CorporateArchives_20210927draft_rt

2. Final documents and versions

- Once finalized, consider adding “Final” at the end of the file name.
- Final documents can also be converted to PDF to prevent unintentional edits after finalization.
- Documents that may produce future versions should be labelled using v01, v02, etc. at the end of the file name. Make sure to use a “0” in the version number to make sure the files sort properly.