QUILTING TOGETHER DATA MAPS: THE MANY PICTURES OF YOUR ORGANIZATION’S INFORMATION
GENERAL CHALLENGES GAINING INTELLECTUAL CONTROL OVER ELECTRONICALLY STORED INFORMATION

- Immense quantity
- Unstructured data throughout university
- Shadow IT
- Personal storage (email, cloud, etc.)
- Inaccessible formats
- Number of “owners”
DATA SOURCES
DATA MAPS: CURRENT REALITY
OSU’s Data Map Quilt

- Privacy
- Systems Applications
- Records Management
- Security
- Records Retention Schedules
- Enterprise Document Management System
- E-Discovery (Legal)

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TYPES OF DATA MAPS: ESI

- Inventory of IT systems which may contain electronically stored information potentially relevant to litigation
  - Efficiently manage collection
  - Minimize disruption
  - Reduce scope
  - Minimize costs
- All formats
- Legal Affairs (attorneys/paralegals)

- OSU does not have a map specifically for e-discovery/litigation
TYPES OF DATA MAPS: RETENTION SCHEDULES

• Document the types of records created, received or maintained by an organization and how long to retain the information

• Organized either by function or by business unit.

• All formats

• Records management in consultation with business units

• OSU’s Schedules:
  – General schedule by function
  – Unique unit schedules
  – Contain a destruction classification, but not a security classification

• Format
  – Paper
  – PDF
  – Database
  – Versatile Retention (mapping and migration in progress)
    • Will add a security classification field
**Types of Data Maps: Systems/Applications**

- Inventory of systems and applications, primarily used as an IT management tool.
  - Often does not say much about the type of data/information/records a system contains.

- Electronic

- IT/Application Services

**Problems OSU/RIM encountered:**

- Decommissioned systems sit dormant because we don’t know what retention schedule(s) the data falls under.
  - Creates liabilities.

- Needed new data fields:
  - Retention schedule
  - Record Series
  - Retention Period
  - Data disposition (what was migrated, not migrated)
TYPES OF DATA MAPS: PRIVACY/SECURITY

• Document where privacy related data is stored

• Tracks the flow of information throughout the business process

• Identifies level of data security

• All formats

• IT/Information Security

Problems OSU/RIM encountered:

• RIM was not part of designing the data collection tool

• Units were asked (free form) for a retention period
  – Not verified or mapped to a retention schedule
Each of these types of data maps collects different data fields, depending on the purpose of the map.

But there’s a common thread…

Records Retention Schedule for Defensible Disposition
PROBLEMS FOR RECORDS MANAGEMENT

• Purpose of maps are different
  – Data fields collected vary, with some overlap
  – Method of collection, storage, presentation vary by need

• Data maps not interconnected
  – Multiple places to update each time a retention schedule changes

• RIM not consulted upfront, so left to make due with what has already been created or collected
  – Units guess/make up a retention period
  – For defensibility, retention period is not enough. Needs to be tied back to a record series or schedule
  – Often involves updating or creating new schedule

• Large departments don’t understand the resource constraints of RIM’s 1.5 FTE department
  – Projects move on without RIM
**DIFFERENT AUDIENCES NEED DIFFERENT VIEWS**

### IT View – OnBase Map

<table>
<thead>
<tr>
<th>Doc Type</th>
<th>Keyword Name</th>
<th>Optional Keyword Dropdown List</th>
<th>Document Examples (not limited to)</th>
<th>Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td>HR PF Discipline</td>
<td>HR Discipline Type</td>
<td>Admin Leave, OCC, Development Plan, Final Warning, Letter Of Counsel, Coaching File, Suspension, Written Notice (First)</td>
<td>Documented Constructive Counseling, First Written Notice, Performance Improvement Plans, Warning Letters, Coaching Letters, Paid Administrative Leave, Suspension Notifications</td>
<td>Active + 6</td>
</tr>
<tr>
<td>HR PF File Requests</td>
<td></td>
<td>Request to examine personnel file</td>
<td>Documented Constructive Counseling, First Written Notice, Performance Improvement Plans, Warning Letters, Coaching Letters, Paid Administrative Leave, Suspension Notifications</td>
<td>3 years</td>
</tr>
<tr>
<td>HR PF Job Application Materials</td>
<td>HR Job Application Type</td>
<td>Application, Cover Letter, Letter of Recommendation, Resume, Position Referral Request, Promotion/Transfer Request</td>
<td>Interview Notes (if filled)</td>
<td>Active + 6</td>
</tr>
<tr>
<td>HR PF Medical Certifications</td>
<td></td>
<td>Chemical and bloodborne pathogen safety certificate</td>
<td>Documented Constructive Counseling, First Written Notice, Performance Improvement Plans, Warning Letters, Coaching Letters, Paid Administrative Leave, Suspension Notifications</td>
<td>Active + 6</td>
</tr>
</tbody>
</table>

### RIM View – OnBase Map

- Record Series
  - Retention Period
  - DocTypes
    - Types of files classified in each DocType
    - Departments using DocType

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[Legend diagram showing Personnel File, Discipline, Improvements Plans, Offer Letters, Coaching Letters, Certifications, Applications, Etc...]
DISCUSSION

- Does it make sense to try to link these in any way?
- Are there other common fields or uses besides records management?
- How can each of these maps be kept evergreen?
- Would one approach be to work on one data source type at a time (i.e. only shared drives)?
- How can we make this less burdensome on content/process owners? Is this a full time job? Other duties as assigned?
IDEAL DATA MAPPING STRATEGY

• Build a cross-functional team
  – Team members may have different goals
• Establish scope and parameters
  – Including data fields
  – Understand the views needed by different parties
• Gather information
  – Existing inventories (records, systems, data, etc.)
  – Talk to stakeholders (don’t forget 3rd parties)
• Design the framework
• Draft map
• Keep it evergreen
DESIGNING THE FRAMEWORK OF A DATA MAP

• What is the best application?
  – Spreadsheet, database, Sharepoint, 3rd party
• Will the data map be stand alone or integrated with other systems?
• Who will have access to enter information?
  – Are there security concerns with any data in the map(s)
• What fields must be captured?
  – Fine line between capturing too little to be useful and capturing so much that it is burdensome to maintain
FROM IMPLEMENTATION TO MAINTENANCE

• Who (singular or plural) will own the map(s) and take responsibility?
• How will the data map stay evergreen?
• Develop written procedures
  – Helps with employee turnover
• Develop a notification workflow for when new/updated systems, records, regulations, etc. occur