

Planning for Records Management in M365

Is your organization considering the M365 Compliance Center for your records management solution? If you already own the M365 E3, E5, or Office 365 E5 license this may be the solution to consider in implementing information governance and records management in your Microsoft environment. Don't plunge into it without understanding what is involved. Learn key things to know in developing a strategy and plan for implementing M365 to manage the life cycle of records – the capabilities, benefits, preparation, critical considerations, and steps to set-up your retention policies and apply them.

Cindy Zuvich, CRM, CIP (Shea-Zuvich Associates, RIM-as-a-Service) has worked as a consultant and independent contractor in information governance and records management for 25 years. She has developed and managed numerous programs and a variety of projects in diverse industries from small, mid-size, to Fortune 500 companies. Her expertise range from assessments, gap analyses, strategies, roadmaps, and writing program playbooks. She is experienced in developing policies and processes, records retention schedules, lifecycle management, change management, risk and other aspects of program development and management.



CONFIRM. **N** **Y** **C**

The Conference on Information
and Records Management

How to Plan for Records Management in M365

Cindy Shea-Zuvich, CRM, CIP

Shea-Zuvich Associates, RIM-as-a-Service™

Learning Objectives

To understand how to plan for records management in M365

Learn.....

(I) The Planning Journey

- The ecosystem and lifecycle management in M365.
- The capabilities and benefits of using the Compliance Center.
- The importance of having a strategy for executive buy-in.
- How to prepare your records management program for M365 readiness.
- The key decision points and action items before you implement.

(II) The Compliance Center Set-Up

- Translating your records retention schedule into rules for retention and disposition.

Can the M365 Compliance Center be the silver bullet...

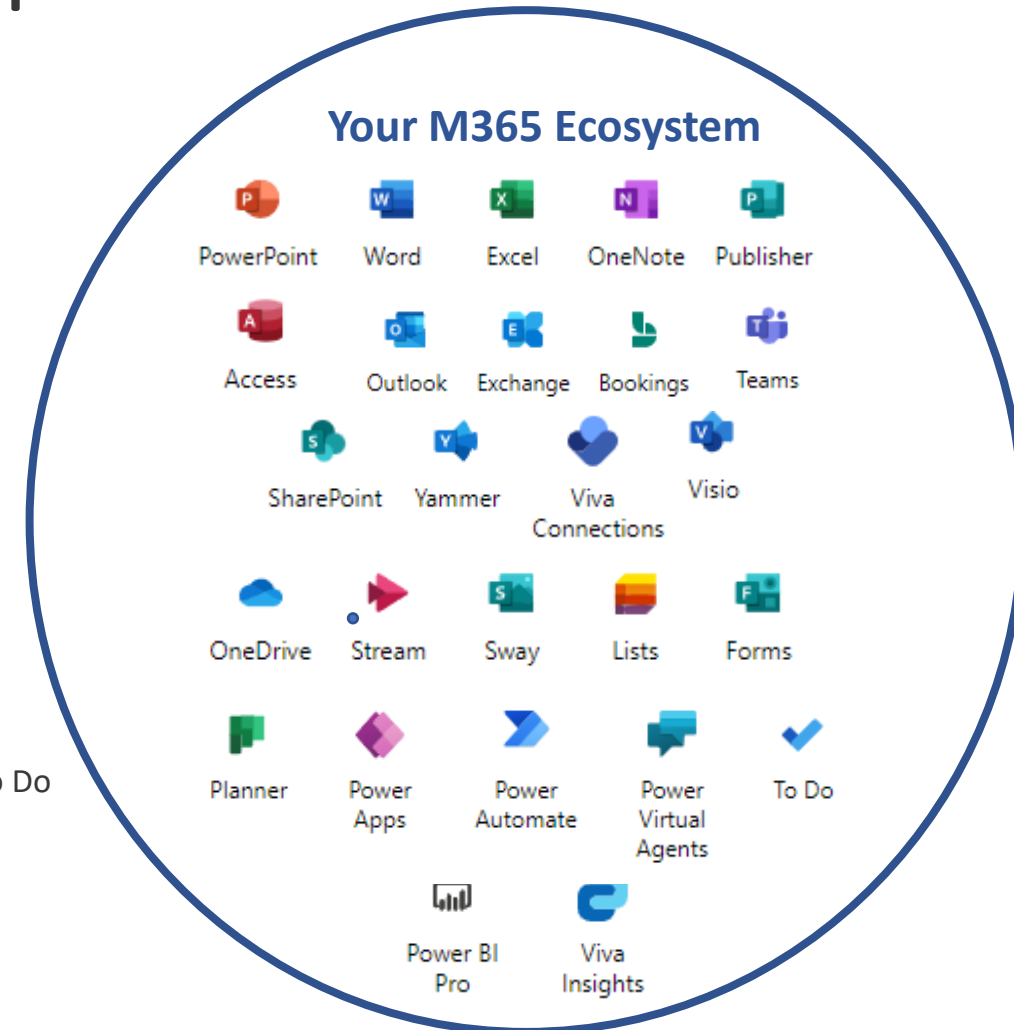


for your records management solution?

1. Digital Assets in M365 Ecosystem

Knowing the digital assets in your M365 environment...

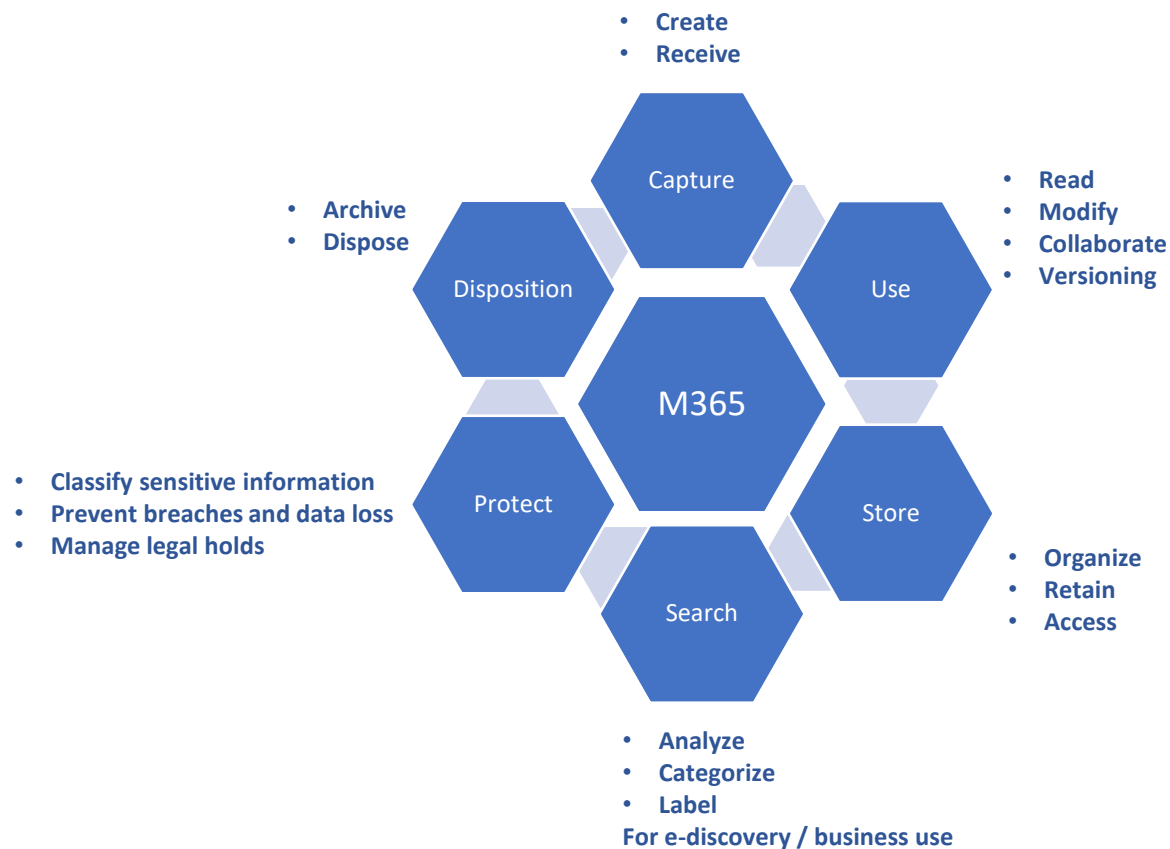
- Office Applications – Word, Excel, PPT, One Note, Publisher, Access
- Email and Calendar – Outlook, Exchange, Bookings
- Collaboration, Meetings, and Voice – Teams
- Files and Content – One Drive, Stream, Sway, Lists, Form, Visio
- Social and Intranet – SharePoint, Yammer, Viva Connections
- Work Management – Planner, Power Apps, Power Automate, Power Virtual Agents, To Do
- Advanced Analytics – Power BI Pro, Viva Insights
- Third Party Applications and other data brought into the ecosystem



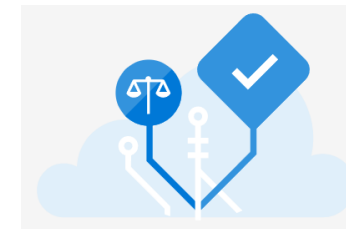
2. Lifecycle Management in M365

Understanding the records lifecycle management in M365...

- Capturing
- Using
- Storing
- Searching
- Protecting
- Dispositioning



3. M365 Compliance Center Capabilities



Knowing the key capabilities to meet your requirements...

Records Management

- Manage Records Retention Schedule (RRS) with the File Plan.
- Configure individual record category attributes with Retention Labels.
- Manage retention and disposition “In-place” or in a central repository.
- Apply event-based retention.
- Use Retention Labels to declare and lock-down records.
- Set-up auto-classification and categorization.
- Create work-flow for dispositioning.

Other Capabilities

- E-Discovery / legal hold.
- Sensitivity labels for data classification.
- Data loss prevention.
- Analytics and reporting.
- Content search across repositories.
- Other security features.

4. M365 Compliance Center Benefits



Identifying the primary benefits for your organization...

- Records management in the native platform.
- Systematic compliance – not arbitrary.
- Mitigate risk with consistent application of retention / disposition (no over / under retention).
- Control information sprawl by managing the lifecycle of records.
- Save time with automation.
- Save cost of cloud storage by disposing records and information in a timely manner.
- Minimize overhead and capital expenditure with a subscription model.
- Leverage existing resources.

5. Business Case for Executive Buy-in

Present a high-level information governance strategy to management.

Focus on the three main issues that will motivate them to act

- ⦿ Compliance – with laws, regulations, and business requirements.
- ⦿ Risk – litigation, reputational damage, data privacy and security breaches.
- ⦿ Savings – impact on bottom line.

And....

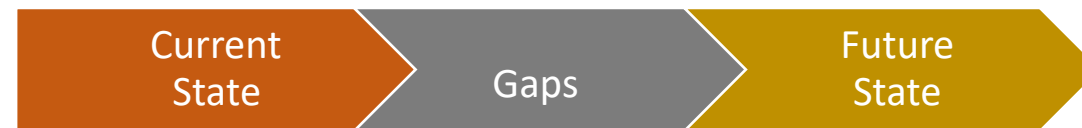
- ⦿ Other issues specific to your industry or organization.



Tangible return on investment
Improved margins
Brand preservation or enhancement

6. Needs Assessment

The systematic process of auditing and reviewing your current state and identifying gaps to move towards a future desired state.



- Identify organization goals.
- Assess your current situation.
- Define your records management goals and requirements.
- Determine the gaps in your records management program and any necessary tools for implementation.
- ★ ○ Show how using the M365 Compliance Center will fill the gaps to best solve your records management needs.
- ★ ○ Speak to what matters most to your organization.
- ★ ○ Develop a strategic plan to incorporate the use of the Compliance Center into the bigger M365 landscape.

7. Preparation

Preparing your RIM program for M365 readiness....

Remediation of shortfalls in the program:

- ⦿ Align your information governance and records management strategy with the company and business goals.
- ⦿ Build an authoritative IG organizational structure.
- ⦿ Have enforceable policies – RIM, IT, social media, data privacy, security, email, and related policies.
- ⦿ Update the records retention schedule so it is compliant and usable.
- ⦿ Design an organization-wide information architecture to enhance findability, classification, and categorization.
- ⦿ Develop processes and procedures for program consistency.
- ⦿ Create workflow for records lifecycle management so its actionable.
- ⦿ Develop a plan for legacy records to have a clean path forward.

8. Key Decision Points and Critical Action Items

Making decisions...

- ◉ Choose the appropriate licensing level (M365 E3 or E5 or Office E5).
- ◉ Clarify the utility of each application and content to be retained within the M365 ecosystem.
- ◉ Identify the types of content to be managed.
- ◉ Evaluate the best approach to “manage in place” and/or manage centrally.
- ◉ Determine the most efficient method to clean-up legacy records and R.O.T. (Redundant, Obsolete, or Trivial). i.e. Lift and shift, pre- or post-migration.

Key Decision Points and Critical Action Items

Taking Critical Action Steps...

- Update relevant policies (RIM; IT – technology use, social media, and email, security; data privacy).
- Develop a new or simplify existing records retention schedule:
 - ✓ Use big buckets and consolidate the number of categories or titles.
 - ✓ Minimize the number of retention periods.
 - ✓ Unify retention periods across jurisdictions where possible.
 - ✓ Avoid event-based retention where possible.
- Review the legal requirements.



***Compliant and Usable
Records Retention Schedule***

Setting Up the Rules in the Compliance Center from your Records Retention Schedule



Let's take a look.....

Setting up Retention Rules in the Compliance Center

Steps to translating your Records Retention Schedule to rules in M365

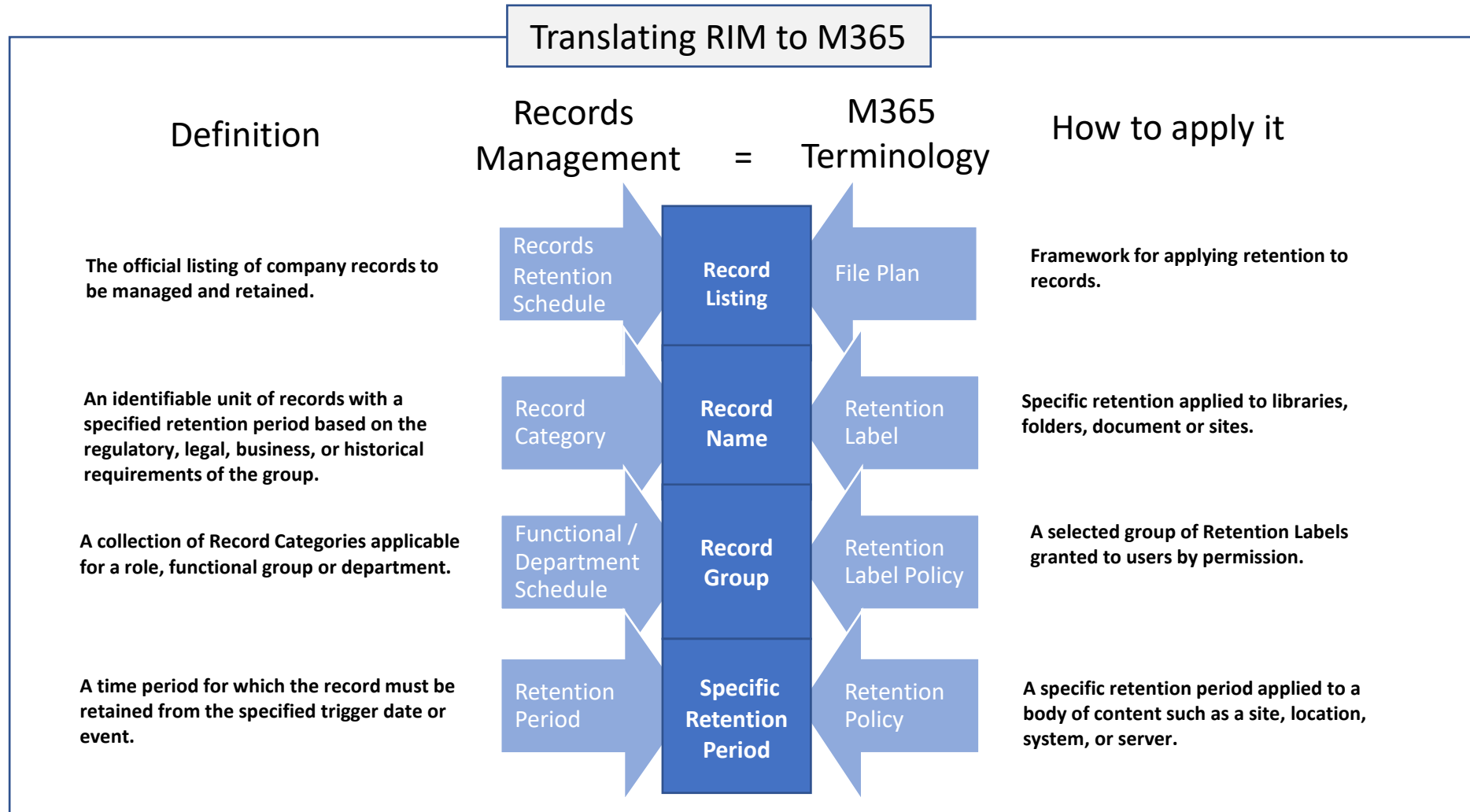
- Build a File Plan from your records retention schedule.
- Set up Retention Labels manually or use a template.
- Create Retention Label Policies to form the basis of your retention rules.
- Publish the Labels and Policies.
- Apply the Retention Labels and Policies to your content.
- Create Retention Policies (Fixed Retention) for Exchange (Outlook), Team sites, OneDrive and SharePoint sites.



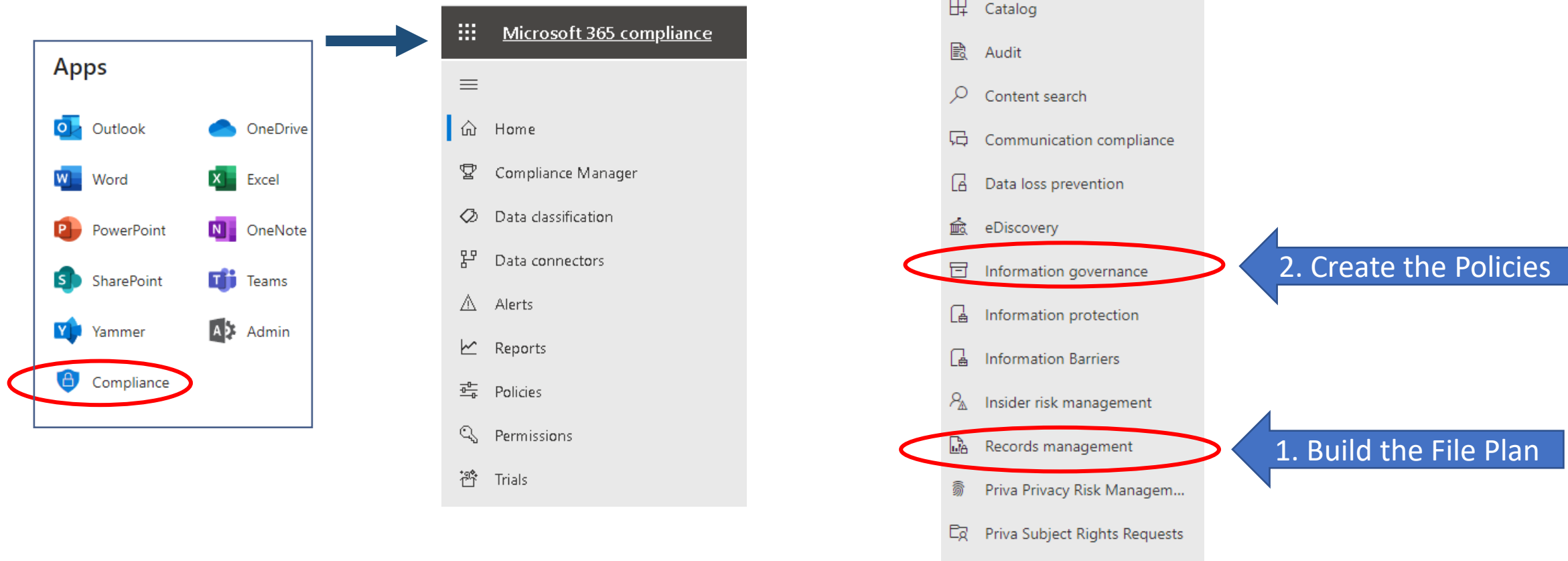
Confused?

as Exchange (Outlook), Team sites, One-

10. Understanding the Records Management Framework in M365



M365 Compliance Center



Step 1: Building a File Plan with Retention Labels

Records management

Overview **File plan** Label policies Adaptive scopes Policy lookup Events Disposition

Whether starting from scratch or an existing file plan, Microsoft 365 file plan uses advanced analytics and insights to help automate your retention schedules throughout the content lifecycle. Our Excel template lets you quickly fill out your file plan so you can collaborate with stakeholders on your retention label strategy. When ready, simply upload the completed plan to Microsoft 365 then publish or auto-apply the labels to see them in action. [Learn more](#)

+ Create a label Publish labels Import Export Refresh 2 items Search Group by Customize columns

Name	Status	Based on	Is record	Retention duration	Disposition type	Reference ID	Function/departm...	Category	Subcategory	Last modified	Last modified by
Invoices	Inactive	When created	No	7 years	Auto-delete					Feb 18, 2022 6:24 PM	Carole Shea
Contracts and Agreement...	Inactive	Event	Yes	7 years	Review required	LEG-101	Legal	Contracting		Feb 22, 2022 12:16 AM	Carole Shea

Building a File Plan with Retention Labels

Microsoft 365 compliance

Create retention label

- Name
- File plan descriptors
- Retention settings
- Finish

Name your retention label

This is the name of the label your users will see in the apps where it's published (like Outlook, SharePoint, and OneDrive). So be sure to come up with a name that helps them understand what it's used for.

Name *

Description for users

A legally binding covenant between two or more parties for goods and services, performance, action, or other obligations as agreed. Includes terms and conditions, restrictions, disclosures, amendments, and other supporting documents that may be enforceable and actionable between the parties. Types of general contracts include, but are not limited to, sales and purchases, rentals, leases, non-compete, non-disclosures (NDAs). Excludes real estate contracts, loans, and employment contracts.

Description for admins

[Next](#)

- Name
- File Plan Descriptors
- Retention Settings
- Finish

- Name
- Description for users
- Description for admins

Building a File Plan with Retention Labels

Microsoft 365 compliance

Create retention label

- Name
- File plan descriptors**
- Retention settings
- Finish

- Name
- **File Plan Descriptors**
- Retention Settings
- Finish

Define file plan descriptors for this label

By default, this label will be included in your file plan. To help organize this label, choose any values related to the default descriptor columns included in your file plan.

Reference ID	LEG-101	<input type="text"/>	<input type="button" value="X"/>	
Business function/department	Legal	<input type="text"/>	<input type="button" value="X"/>	Choose
Category	Contracting	<input type="text"/>	<input type="button" value="X"/>	Choose
Sub category	No data available	<input type="text"/>		Choose
Authority type	Statute of Limitations	<input type="text"/>	<input type="button" value="X"/>	Choose
Provision/citation	State Statute	<input type="text"/>	<input type="button" value="X"/>	Choose

- Reference ID
- Business function / department
- Category / Sub-category
- Authority type
- Provision / citation

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Building a File Plan with Retention Labels

Microsoft 365 compliance

Create retention label

- Name
- File plan descriptors
- Retention settings**
- Finish

Define retention settings

When this label is applied to items, the content is retained and/or deleted based on the settings you choose here.

Retain items for a specific period
Labeled items will be retained for the period you choose.

Retention period
7 years

Start the retention period based on
Expiration

+ Create new event type

During the retention period

- Retain items even if users delete
- Mark items as a record**
Users won't be able to edit or delete emails, and only certain users will be able to change or remove the label. They won't be able to delete SharePoint or OneDrive files, but other actions are blocked or allowed based on whether the item's record status is locked or unlocked. Learn more

At the end of the retention period

- Delete items automatically
- Trigger a disposition review**
Reviewers you choose in the next step will receive an email notifying them that it's time to review items to decide if they can be safely deleted. Learn more
- Do nothing
This option isn't available for event-based labels
- Retain items forever
Labeled items will be retained forever, even if users delete them.
- Only delete items when they reach a certain age
Labeled items won't be retained, but when they reach the age you choose, we'll delete them from where they're stored.
- Don't retain or delete items
Labeled items won't be retained or deleted. Choose this setting if you only want to use this label to classify items.

Back Next

- Retain items for a specific period
 - During the retention period
 - At the end of the retention period
- Retain item for ever
- Only delete items after they reach a certain age
- Don't retain or delete or items

- Name
- File Plan Descriptors
- **Retention Settings**
- Finish

Mark item as a record

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Building a File Plan with Retention Labels

Microsoft 365 compliance

Create retention label

- ✓ Name
- ✓ File plan descriptors
- **Retention settings**
- Disposition reviewers
- Finish

- Name
- File Plan Descriptors
- Retention Settings
 - **Disposition Reviewers**
- Finish

Add disposition reviewers

When labeled items reach the end of their retention period, the users you add here will receive an email notifying them that they have content to review and decide whether it can be safely deleted.

To access the Disposition page, reviewers must be assigned the appropriate permissions. [Learn more](#)

Disposition stages and reviewers *

Reviews can consist of 1 to 5 stages, which are sequential and will be completed by reviewers in the order they appear here. [Learn more about staged reviews](#)

Review

Reviewers for this stage *

Search for users or mail-enabled security groups. A reviewer can't be added to more than one stage.

JD Jane Doe
JaneDoe@SheaZuvich.onmicrosoft.com

Approve

Reviews will progress to the next stage only if a reviewer from the previous stage selected to permanently delete the item. If reviewers extend the retention period or apply a different label, reviewers in the next stage won't be notified.

Reviewers for this stage *

Search for users or mail-enabled security groups. A reviewer can't be added to more than one stage.

CS Carole Shea-Zuvich
CindyShea-Zuvich@SheaZuvich.onmicros...

+ Add another stage

• Disposition Stages

Back

Next

Building a File Plan with Retention Labels

Microsoft 365 compliance

Create retention label

- ✓ Name
- ✓ File plan descriptors
- ✓ Retention settings
- Finish

- Name
- File Plan Descriptors
- Retention Settings
- **Finish**

Review and finish

Name

Name
Contracts and Agreements - General

[Edit](#)

Description for users

A legally binding covenant between two or more parties for goods and services, performance, action, or other obligations as agreed. Includes terms and condi...

[Edit](#)

Description for admins

N/A

[Edit](#)

File plan descriptors

Reference ID

LEG-101

[Edit](#)

Business function/department

Legal

[Edit](#)

Category

Contracting

[Edit](#)

Authority type

Statute of Limitations

[Edit](#)

Provision/citation

State Statute

[Edit](#)

Retention settings

Retention period

[Back](#)

[Create label](#)

- Review and Finish

Building a File Plan with Retention Labels

Microsoft 365 compliance

Create retention label

Progress indicator:

- ✓ Name
- ✓ File plan descriptors
- ✓ Retention settings
- ✓ Finish

- Name
- File Plan Descriptors
- Retention Settings
- **Finish**

✓ Your retention label is created

Creating the label is just the first step in classifying and governing content. To make this label available to users in your organization, publish it in select locations or auto-apply it to specific content.

Next steps

- Publish this label to Microsoft 365 locations
You'll create a label policy to make this label available in locations like Exchange and OneDrive. When published, users can manually apply it to their content or set it as the default label for content containers (such as SharePoint document libraries or email folders).
- Auto-apply this label to a specific type of content
You'll create an auto-labeling policy to apply the label to content matching certain conditions, such as content containing specific sensitive info.
- Do Nothing
You can publish or auto-apply it to content later.

[Done](#)

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Building a File Plan with Retention Labels

Records management

Overview **File plan** Label policies Adaptive scopes Policy lookup Events Disposition

Whether starting from scratch or an existing file plan, Microsoft 365 file plan uses advanced analytics and insights to help automate your retention schedules throughout the content lifecycle. Our Excel template lets you quickly fill out your file plan so you can collaborate with stakeholders on your retention label strategy. When ready, simply upload the completed plan to Microsoft 365 then publish or auto-apply the labels to see them in action. [Learn more](#)

+ Create a label Publish labels Import Export Refresh 2 items Search Group by Customize columns

Name	Status	Based on	Is record	Retention duration	Disposition type	Reference ID	Function/departm...	Category	Subcategory	Last modified	Last modifie
Invoices	Active	When created	No	7 years	Auto-delete					Feb 18, 2022 6:24 PM	Carole Shea-
Contracts and Agreement	Inactive	Event	Yes	7 years	Review required	LEG-101	Legal	Contracting		Feb 22, 2022 12:16 AM	Carole Shea-

Inactive

Step 2: Publishing a Retention Label

The screenshot shows the Microsoft 365 compliance center interface. The left-hand navigation pane includes sections for 'Home', 'Compliance Manager', 'Data classification', 'Data connectors', 'Alerts', 'Reports', 'Policies', 'Permissions', 'Trials', 'Solutions', and 'Records management'. The 'Records management' section is active, displaying the 'Label policies' tab. A red box highlights the 'Label policies' tab in the sub-navigation bar. Another red box highlights the 'Publish labels' button in the action bar. The main content area shows a table with columns for 'Name', 'Type', 'Created by', 'Last modified by', and 'Last modified'. The table is currently empty, with the text 'No data available' centered below it. A search bar on the right indicates '0 items'.

Publishing a Retention Label

Microsoft 365 compliance

Publish labels so users can apply them to their content.

Choose labels to publish

Choose the labels you want to publish to your organization's apps so users can apply them to their content. If you want, you'll be able to create one from scratch.

Choose labels to publish

Choose a label

Search

1 selected

Name	Retention
Invoices	7 years keep + delete
<input checked="" type="checkbox"/> Contracts and Agreements - General	7 years keep + review + d...

Next

Add Cancel

- Choose Labels to publish
- Scope
- Name your policy
- Finish

<https://compliance.microsoft.com>

Publishing a Retention Label

Microsoft 365 compliance

Publish labels so users can apply them to their content.

- Choose labels to publish
- Scope**
- Name your policy
- Finish

- Choose Labels to publish
- **Scope**
- Name your policy
- Finish

Choose the type of retention policy to create

A policy can be adaptive or static. Advantage of an adaptive policy will automatically update where it's applied based on attributes or properties you'll define. A static policy is applied to content in a fixed set of locations and must be manually updated if those locations change.

- Adaptive**
After selecting adaptive policy scopes, which consist of attributes or properties (e.g. 'Department' or 'Site URL') that define the users, groups, or sites in your org, you'll choose supported locations containing the content you want to retain. The policy will automatically update to match the criteria defined in the scopes.
- Static**
You'll choose locations containing the content you want to retain. If locations change after this policy is created (for example if a SharePoint site is added or removed), you'll need to manually update the policy.

Back

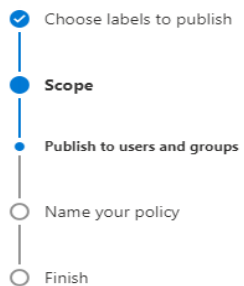
Next

<https://compliance.microsoft.com>

Publishing a Retention Label

Microsoft 365 compliance

Publish labels so users can apply them to their content.



- Choose Labels to publish
- **Scope**
 - Publish to user groups
- Name your policy
- Finish

Choose locations

We'll publish the labels to the locations you choose.

- All locations. Includes content in Exchange email, Office 365 groups, OneDrive and SharePoint documents.
- Let me choose specific locations.

Status	Location	Included	Excluded
<input checked="" type="checkbox"/> On	Exchange email	All recipients Edit	None Edit
<input checked="" type="checkbox"/> On	SharePoint sites	All sites Edit	None Edit
<input checked="" type="checkbox"/> On	OneDrive accounts	All accounts Edit	None Edit
<input checked="" type="checkbox"/> On	Microsoft 365 Groups	All groups Edit	None Edit

Back

Next

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Publishing a Retention Label

Microsoft 365 compliance

Publish labels so users can apply them to their content.

- Choose labels to publish
- Scope
- Name your policy**
- Finish

Name your policy

Name *

Legal

Description

All categories of records have legal requirements or obligations.

- Choose Labels to publish
- Scope
- **Name your policy**
- Finish

Back

Next

<https://compliance.microsoft.com>

Publishing a Retention Label

Microsoft 365 compliance

Publish labels so users can apply them to their content.

- ✓ Choose labels to publish
- ✓ Scope
- ✓ Name your policy
- **Finish**

- Choose Labels to publish
- Scope
- Name your policy
- **Finish**

Finish

⚠ It will take up to 1 day for labels to appear to your users. Labels will appear in Outlook and Outlook web app only for mailboxes that have at least 10 MB of data.

Choose labels to publish

1 label(s) will be published (made available) so your users can classify their content
Contracts and Agreements - General 7 years keep + review + delete

[Edit](#)

Applies to content in these locations

Exchange email (All Recipients)
SharePoint sites (All Sites)
OneDrive accounts (All Sites)
Microsoft 365 Groups (All Groups)

[Edit](#)

Name

Legal

[Edit](#)

Description

All categories of records have legal requirements or obligations.

[Edit](#)

[Back](#)

[Submit](#)

Publishing a Retention Label

Microsoft 365 compliance

Publish labels so users can apply them to their content.

- ✓ Choose labels to publish
- ✓ Scope
- ✓ Name your policy
- ✓ Finish

✓ Your retention label was published

Within a week, the retention label will be available to users and admins in the locations you specified. Labels will only appear in Outlook and Outlook on the web for mailboxes with at least 10 MB of data. If the label doesn't appear within seven days of being published, check its status on the Label policies page. [Learn more about when retention labels become available](#)

Related tasks

- Publish another retention label Get started
- Auto-apply a retention label Get started
- Create a retention label Get started
- Set up default policies in MIP Get started
Protect your org's sensitive info by quickly activating our recommended set of information protection features that help detect and classify content containing credit card numbers. [Learn more about these features and how they'll impact users](#)

Done

- Choose Labels to publish
- Scope
- Name your policy
- **Finish**

Publishing a Retention Label

Microsoft 365 compliance
? CS

- Reports
- Policies
- Permissions
- Trials

Solutions

- Catalog
- Audit
- Content search
- Communication compliance
- Data loss prevention
- eDiscovery
- Information governance
- Information protection
- Information Barriers
- Insider risk management
- Records management
- Priva Privacy Risk Managem...
- Priva Subject Rights Requests

Records management

Records management settings Remove from navigation

Overview File plan Label policies Adaptive scopes Policy lookup Events Disposition

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[+ Create a label](#)
[Publish labels](#)
[Import](#)
[Export](#)
[Refresh](#)
2 items Group by

Name	Status	Based on	Is record	Retention duration	Disposition type	Reference ID	Function/departm...	Category	Subcategory	Last modified	Last modified by
Invoices	Inactive	When created	No	7 years	Auto-delete					Feb 18, 2022 6:24 PM	Carole Shea-z
Contracts and Agreement...	Active	Event	Yes	7 years	Review required	LEG-101	Legal	Contracting		Feb 22, 2022 12:16 AM	Carole Shea-z

Active

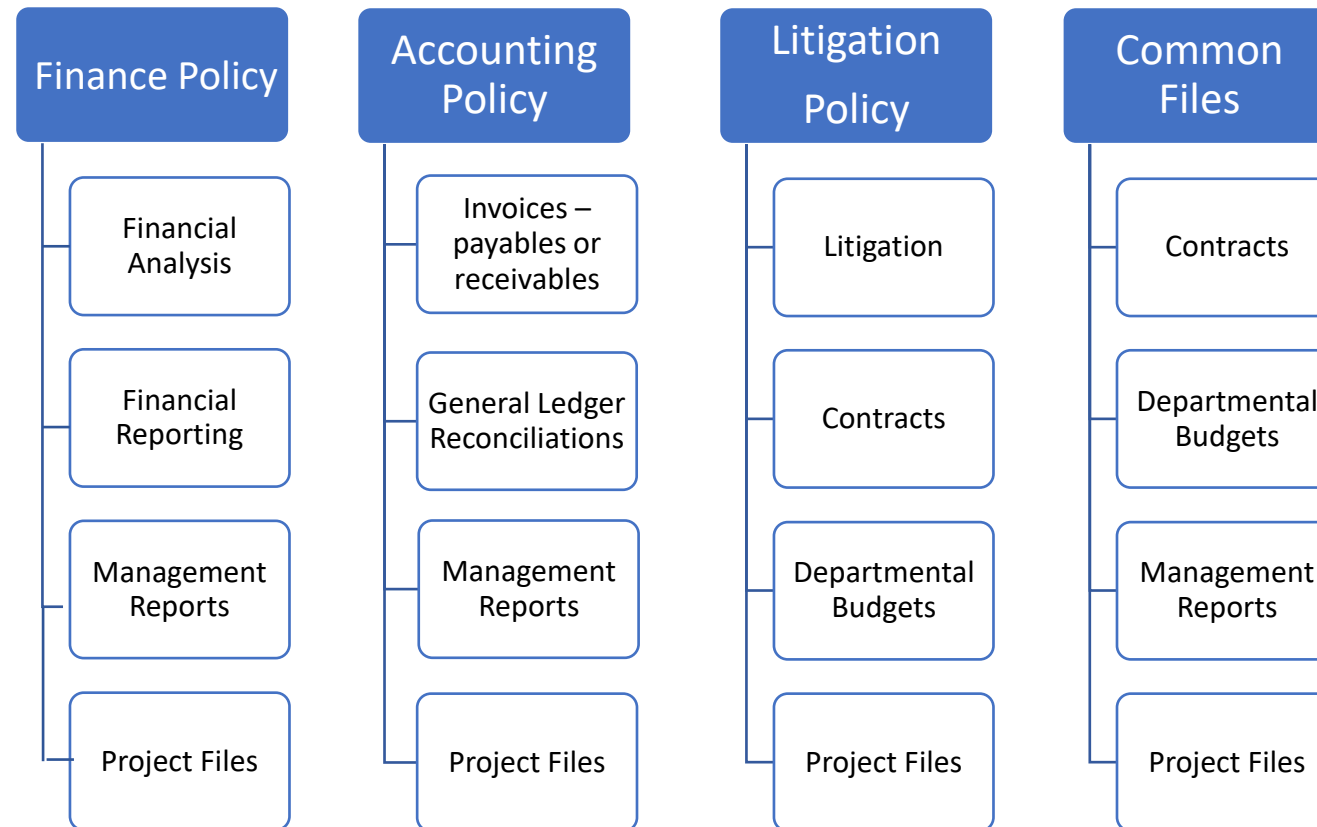
Retention Label Policies

→ Create custom schedules (Retention Label Policies)

for departments, functions, or roles that are aligned to the businesses by selecting Retention Labels from the list in your File Plan.

Examples of Retention Labels

- Invoices
- General Ledger Reconciliations
- Litigation Case Files
- Contracts
- Departmental Budgets
- Project files
- Management Reports
- Employee Files
- Payroll
- Financial Analysis
- Financial Reporting



Applying the Rules

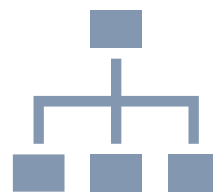
Applying retention and disposition wherever the record resides without redirecting it to another location. This is implemented by applying individual Retention Labels or Retention Label Policies or Retention Policies to the following:



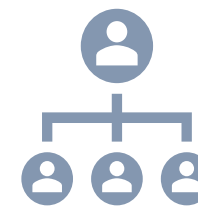
Document Level



Folder Level



Document Library Level



Individuals or Role based



Teams



SharePoint



OneDrive



Exchange

Planning is key.

Critical Takeaways

- ✓ Audit and review your current state.
- ✓ Develop a strategy.
- ✓ Review policies.
- ✓ Refresh your records retention schedule.
- ✓ Develop processes / procedures.
- ✓ Translate your records retention schedule to M365.
- ✓ Provide awareness and training.



Questions & Answers

Contact Information

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