Information Requirements Clearinghouse

RETENTION MANAGER 3 ™ Training Manual

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Retention Manager 3

About this Manual

The ***Retention Manager 3*** *Training Class Manual* introduces the **Retention Manager 3** software through:

- Explanations
- Actual program screens
- Practical exercises
- Hints and notations providing quick and useful ideas
- Pages for your notes at the end of each lesson

Print conventions are used to provide a constant way of representing screen displays, command entries, and keyboard idea highlights to help you get the most from your **Retention Manager 3** training class.

Screen Items

Menu items, dialog boxes, and field names are printed in a **bold typeface** similar to the typeface displayed on **Retention Manager 3** onscreen displays.

Keyboard Keys

References to keys on your PC keyboard are shown as graphic characters that match the actual keys on the keyboard. For example, the **Enter** key appears as **ENTER**.

Hints, Notes and Questions

There are shaded text portions throughout the manual that offer help to clarify topics being discussed. The different kinds of information are:

Hint – helpful information concerning program operation and suggestions.

Note –information that clarifies the current topic.

Question – a discussion point.

Lesson

1

Retention Manager 3

Overview

Purpose

This lesson explains what **Retention Manager 3** does, the system requirements, what the package contents are, and how to install and uninstall the **Retention Manager 3** program.

Objectives

- Review what **Retention Manager 3** is.
- Learn what the system requirements are for operating this program.
- How to install **Retention Manager 3**.
- What installation modes are available.
- How to uninstall the program.

What is Retention Manager 3?

Retention Manager 3 is an innovative software program developed by Information Requirements Clearinghouse to help you research and prepare records retention schedules.

Philosophy

Retention Manager 3 is based on the *Skupsky Retention Method* developed by Donald S. Skupsky, JD, CRM, FAI, President of Information Requirements Clearinghouse, Denver, Colorado, and published in *Records Retention Procedures*. The *Skupsky Retention Method* is a way to organize and apply legal information to determine records retention periods.

For many, the traditional development of records retention schedules has been a complex mystery. How do you identify the myriad of laws that affect an organization and apply complex legal principles to records? How do you ensure that related records are assigned the same retention periods? How do you keep this information up-to-date?

In contrast, the *Skupsky Retention Method* is surprisingly simple, but accurate! By relating large numbers of laws and grouping large numbers of records, you confidently determine the appropriate retention periods for your records. This method stands in dire contrast to most traditional approaches to records retention that produce inaccurate and inconsistent results.

The *Skupsky Retention Method* eliminates many problems found in traditional retention programs. Because each functional category encompasses a large number of related records in one category, the chances of making errors are extremely small. While no records retention program can be 100% complete and accurate, the *Skupsky Retention Method* brings you close to that goal.

Components

Retention Manager 3 consists of the following components:

- *A proven records retention methodology now in use by large and small organizations*. The **Retention Manager 3** software represents almost a decade of development. The software philosophy has been proven valid in over 15 years of actual consulting projects. The innovative **Profile** system has been in use for over 8 years for customer consulting projects.

- *Innovative software to help you develop the records retention program*. **Retention Manager 3** incorporates the software features used by Information Requirements Clearinghouse for its own professional retention projects. It provides the tools and feature you need to successfully implement the methodology and manage your records retention schedules.

- *Initial data to speed the development process*. **Retention Manager 3** includes data assignments in the **Profile**, **Records Retention Rules** and **Legal Group Index** for the general issues included in most records retention programs. This will save you time and speed the development process.

- *A comprehensive legal research database including index entries and the full text of over 13,000 United States state and federal laws addressing records retention issues.* **Retention Manager 3** Professional contains the full text of the law published in the software program *Legal Requirements for Business Records: Electronic Edition*. Each law has been carefully indexed into industry and subject categories to facilitate legal research and analysis.

- *A context–sensitive Help system to answer your questions and link the software operation to the underlying philosophy*. **Retention Manager 3** reflects the philosophy published in Records Retention Procedures. The Help program provides hypertext links between the publication Records Retention Procedures and the features in **Retention Manager 3**.

System Requirements

- **Computer**
  - PC compatible with Pentium 2 or higher processor (400 Mhz or faster)
  - PC compatible with Athlon processor (400 Mhz or faster)
- **Operating system**
  - Windows 98/NT/2000/XP workstation and server
- **Networking software**
  - Novell version 3.1 and higher (long file names must be enabled)
  - Windows NT 4 and higher
  - Linux (RH 7 or newer) with Samba server software (2.0.5a or newer)
  - Network speed must be 100 mbps or higher
- **Workstation Memory**
  - 128 megs RAM or higher
- **Hard drive space**
  - Server - 200 MB (250 to 300 MB suggested)

    - Workstation - 25 MB (allow 100 to 200 MB free space)
- **Monitor**
    - SGVA (1024 x 768) or better
    - Higher resolution gives more desktop area for multiple windows.
- **Printer**
    - Local or networked Windows-compatible printer
    - Laser printer suggested
- **CD ROM reader**
    - 24x speed or better
    - Required for installation and quarterly updates
- **E-mail**
    - Highly recommend for technical support and questions.
    - Should be able to handle attachments.
- **Miscellaneous**
    - Installs BDE (Borland Database Engine) libraries on workstation
    - Installs Crystal **Reports** 8.5 libraries on workstation

Contents of Retention Manager 3 Package

- **Manual**
  The manual is a printed version of the help file, indexed for easy reference.

- **CD Rom**
  The CD Rom contains the installation program for **Retention Manager 3** and the necessary data files.

- **Tutorial CD**
  This CD Rom contains a tutorial designed to be viewed on a computer with sound and is approximately three hours in length. It also has current **Retention Manager 3** installation files.

- **License agreement**
  The license agreement describes copyright information, permissible uses of the program, and the legal duties between IRCH and the user.

- **Serial number and installation code**
  The serial number and installation code are unique to your package. These numbers are needed to install **Retention Manager 3**. Keep your serial number in a convenient place in case you need technical support or have to reinstall the program.

Installing the Software

Note – If you have problems during the installation and if there are any virus protection programs on the computer that the software will be installed on, we recommend disabling or turning the virus programs off during installation.

1. Insert the CD into the CD Rom player. If your computer is set to automatically start CDs, a menu will automatically appear. Skip to step 4.

2. Open Explorer.

3. Select the CD ROM drive and select SETUP.EXE.

4. Please read the on–screen instructions and contact technical support if there are questions.

5. Select NEXT at the opening window.

6. Read and select I AGREE at the license agreement window.

7. Select the type of installation desired:

   - **Stand–alone installation** – This is the normal setup for the Professional Package. It will install the software and data in the same directory on a local workstation or network as a single–user program.

   - **Administrator network installation** – This is the first installation for the Network Package. It places the software and data on the network drive. The installation is done from a workstation. The administrator should do a *Full Installation – Network or File Server* and a *Normal Network Workstation Setup*. All additional users must install the *Normal Network Workstation Setup*.

   - **Normal Network Workstation Setup** – This setup can only be run after the Standalone or Administrator Network Installation has been completed. Use this setup when users will run the software from their local workstations and share the data on the network.

8. Enter the serial number (eight digits) and then the registration code (16 characters).

9. Select OK to proceed.

> Hint – The registration code is rather lengthy. If an error screen appears, try retyping it.

10. Select the Next button to accept the default directory for the program and data files or select the Browse button to change the directory (refer to options in step 7). If the new directory does not exist, the program will ask you if you want to create it. Select OK to continue.
11. Accept the default program group for the program icons or change the name if desired.

12. Select the Next button to begin the installation.

13. When the installation program asks to install the BDE portion of the program, accept the defaults. The BDE files should be installed on the local hard drive as part of the Normal Workstation Install.

14. There will be a prompt to install MFC files. Select OK to continue

15. When the installation is complete, reboot the computer to finish the installation if prompted.

Uninstalling the Program

1. Select the Start button on the taskbar located at the bottom of the screen.

2. Go to Settings | Control Panel. Double click on the Add/Remove Programs icon.

3. Scroll down the list and select **Retention Manager 3**.

4. Highlight **Retention Manager 3** and select the Change/Remove button.

5. At the Select Uninstall Method screen, select the automatic option and press the Next button. Reboot the computer when done.

OR

Select the **Uninstall** icon in the program group. Go to step 5.

Conclusion

In this lesson you learned what **Retention Manager 3** does, the system requirements, what the package contents are, and how to install and uninstall the **Retention Manager 3** program.

In the next lesson, you will learn the basic operation of the **Retention Manager 3** desktop.

Notes

Notes

Lesson

2

Retention Manager 3

The **Retention Manager 3** Desktop

Purpose

This lesson will familiarize you with aspects of the Windows operating system that affect program operation, show how the **Retention Manager 3** desktop is organized, and provide a brief overview of the main program functions.

Objectives

- See how the **Retention Manager 3** Desktop is organized.
- Learn what the individual program functions are.

Retention Manager 3 Desktop

The Menu Bar

• Figure 1 Menu Bar

The menu bar is a standard Windows function that allows easy access to the program functions.

The menu bar choices include:

- **File** – for accessing organization and exit program functions.
- **Functions** – for accessing different **Retention Manager 3** functions such as Legal Research, **User Records**, and Administrator functions.
- **Tools** – for accessing the spell check, record series Checklist, and preferences functions.
- **Window** – for arranging, switching to, or closing all open program windows.
- **Help** – for accessing the help file, support options, and program information screen.

Each item on the menu bar will use drop–down menus for additional program operations.

Hint – The underlined letters in the menu selections are called *hot keys*. A hot key combination consists of holding the ALT key down and pressing the underlined letter for a menu selection. Hot keys enable you to make menu selections from the keyboard.

File Menu

- **Organization** – the default company name or other companies in the multi–company version.
- **Exit** – close the program.

Functions Menu

- **Legal Research Index** – review, read and print laws in the database.
- **Legal Search** – search the legal database.
- **Legal Group Index** – create, assign, delete, and maintain legal group codes, descriptions and legal periods, and view Profiled Legal Research.
- **Profile** – include industry and subject combinations, and assign jurisdiction groups and legal groups.
- **Records Retention Rules** – create, assign, delete, and maintain retention codes, descriptions and periods.

  - **Standard Record Series** – create, assign, delete, and maintain the **Standard Record Series** codes and descriptions.

- **User Records** – create, delete, and maintain **User Records**.

- **Reports** – view, print and export retention reports.

- **Abbreviations** – create, delete, and maintain abbreviations for retention periods.

- **Agency** – find, modify or assign the names of regulatory agencies used as index entries in **Legal Research Index**.

- **Departments** – create, modify, and find departments that are assigned to the **Standard Record Series** and **User Records**.

- **Headers** – find, modify or assign headers to the laws used as index entries in the **Legal Research Index**.

- **Industry/Subject** – find or modify industry and subject names and assign to laws as index entries in the **Legal Research Index**.

- **Jurisdictions** – enter or modify a jurisdiction name to be assigned to the **Legal Research Index** or a Jurisdiction Group.

- **Jurisdiction Group** –create, modify, or delete jurisdiction groups that are assigned to industry/subject combinations in the **Profile** function.

- **Legal Sub-groups** – create, modify, or delete legal sub-groups that are assigned to the Legal Research Index.

- **Source** – select, add or edit the names of the law source used as index entries in **Legal Research Index**.

  - **Administrator Functions**

    - **Security** – create, modify, or delete users and their passwords.

    - **Authorize / Unauthorize** – authorize and unauthorize individual or all record series.

    - **Restore Profile** – restore a previous profile. The default number of saved profiles is nine. This can be changed in the **Preferences** function.

- **Export** – manually export the authorized retention schedule to interface with a records management program.

- **Clear Lock File** – technical support function to clear file locks in case of a program crash.

- **Rebuild** – rebuild database files and search indexes.

- **Legal Research** – update existing research and export custom legal research.

- **Convert** – import and convert existing Retention Manager 2 data into **Retention Manager 3**. **Retention Manager 3** data is not altered.

- **Update Software** – update program files to the current version via the internet. There is an option to enable or disable this function in **Preferences.**

Tools Menu

- **Spell Check** – enable or disable automatic spelling check for different functions.

- **Record Series Checklist** – a wizard for entering data from the Records Series Checklist.

- **Preference** – setting various program function preferences.

Windows Menu

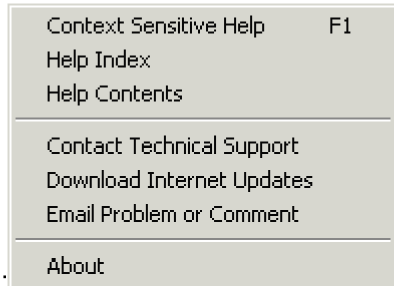
- **Cascade** – organizes open windows on the **Retention Manager 3** desktop in a sequential, diagonal order.

- **Close All** – closes all open windows.

- **Open windows section** – this shows what windows are open on the desktop.

  The window name with a checkmark is the active window.

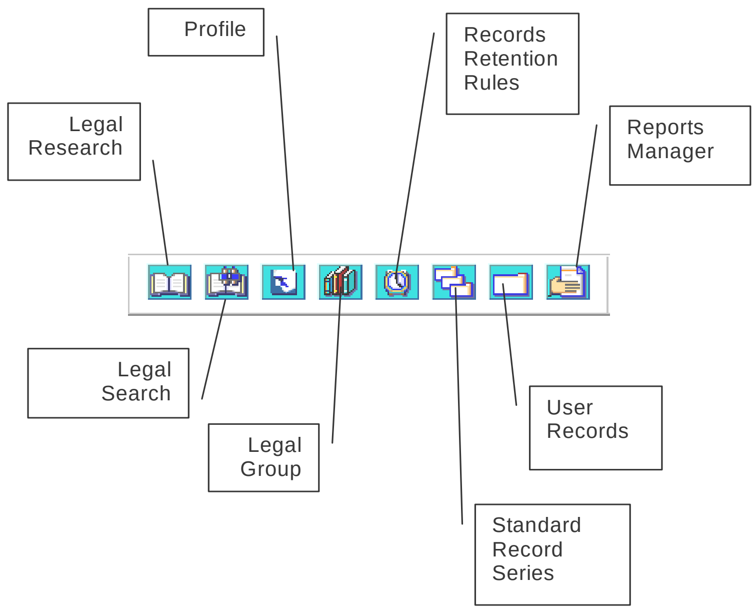
Help Menu



- **Context Sensitive Help** – access the **Retention Manager 3** help file. Use **F1** to access help from anywhere in the program.
- **Help Index** - opens to the Index screen to search for topics in the help file.
- **Help Contents** – opens to the Contents screen for the help file.
- **Contact Technical Support** – opens an email window to send a message to Technical Support.
- **Download Internet Updates** – download the latest program update files via the Internet.
- **Email Problem or Comment** – opens an email window to send a message to support.
- **About** – brings up the **Retention Manager 3** information screen showing version information for program and data files

The Tool Bar

The tool bar is designed for quick access to program functions and navigational record control for editing and viewing records.



Hint – To find out what a tool bar icon does, hold the cursor over an icon for a second. A help balloon will appear describing what the icon does.

Conclusion

In this lesson you learned about portions of the Windows system that affect the program, saw how the **Retention Manager 3** desktop is organized, and had a brief overview of the main functions of the program.

In the next lesson, you will learn the main functions of **Retention Manager 3**.

Notes

Notes

Lesson

3

Retention Manager 3

Fast Track Using **User Records**

Purpose

This lesson teaches the fastest way to produce results with **Retention Manager 3**.

Objectives

- Learn to open and select a window.
- Add the organization name.
- Learn to use the pop-up menu for a function.
- Learn to add, modify and delete records.
- Learn to navigate records in a function.
- Learn to insert your previous retention schedule or records inventory into Retention Manager.
- Learn to assign a Records Retention Rule to **User Records**.
- Learn to view data in **User Records**.
- Learn to print reports displaying your retention data.

Exercises

Exercise 1: Opening and Selecting a Window

1. Select and open the 7th icon from the tool bar – **User Records**

*Note: You can also select Functions | **User Records** from the Main Menu.*

2. Select and open the 1st icon from the tool bar – **Legal Research Index**.

*Note: The Title Bar for **User Records** becomes gray when you select **Legal Research Index**.*

3. Select **User Records** again using either method in Step 1.

4. Place your cursor over any visible part of the form **Legal Research Index** and press the left mouse button to select or give focus to the form**.**

5. Close **Legal Research Index** by selecting the Windows close icon in the upper right corner of the Legal Research window.

6. With your mouse over the **User Records** windows, press the right-click mouse button to open the **User Records** popup menu.

7. Close **User Records**.

Exercise 2: Adding an Organization Name.

1. From the main menu, open **File | Organization**.

2. Enter your organization name.

3. Press **Save** to save. The name appears in the lower right status bar and on reports.

Exercise 3: Adding Records to User Records.

1. Open **User Records**.

2. Press the right-click mouse button to open the **User Records** popup menu.

3. Select **Sort | No Sort [Natural Order]**.

Note: This displays the User Records in the order you enter them. Other sorts are available.

4. Select **Add | New**. The Add Window appears.

5. Enter the following data:

Code	1234
Subject	employee expense report

6. Press **Save**.

The data you added displays in the right panel. The right panel is the "data display panel" and actually displays the data in HTML format so the display can resize as needed.

*Notice that the "Title" is automatically generated. (The auto-titling feature can be disabled in **Tools | Preferences** in the main menu.)*

7. Press the right-click mouse button to open the **User Records** popup menu.

8. Select Add | New.

9. Enter the following data:

Code	5678
Subject	contracts

10. Press **Save**.

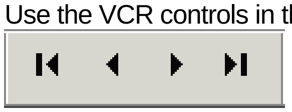
The data you added displays in the right panel and now both records are listed in the left panel. The left panel is called the "tree" or "treeview".

Exercise 4: Navigating in **User Records.**

1. In the **User Records** Tree, select the record "employee expense report."

Note: The data for "employee expense report" displays in the right panel.

2. Use the VCR controls in the Tool Bar to navigate between the two items in the tree.



You may also use arrow-up and arrow-down, arrow-right and arrow-left for navigation.

Exercise 5: Assigning **Standard Record Series** and Retention in **User Records.**

***Standard Record Series** contains over 400 pre-defined record series for common business records. Each record series includes a code, hierarchical subjects, description, and a link to retention and supporting legal research. By using this function to initially determine retention, you can save hundreds of hours and benefit from the wealth of experience incorporated into Retention Manager.*

1. In **User Records**, select "employee expense report."

2. Display the **User Records** popup menu.

3. Select **Assign / View Assigned | Standard Record Series**. The **Standard Record Series** window will open.

*Alternatively, you can double-click on "employee expense report" to open **Standard Records Series** in **Assign Mode**.*

When you assign one item to another, the status message in the lower left indicates when the application opened a form in assign mode – e.g., "Assign Standard Record Series to User Records."

4. Scan the Tree for **Standard Record Series** until you come to "Employee Expense Reports" under "Accounts Payable".

5. Select Employee Expense Reports in **Standard Record Series** and read the information in the Data Display Window.

6. Double-click your left mouse button on the words "Employee Expense Reports" in the Tree to assign this item to **User Records**. The focus now returns to the **User Records**.

7. Note the data in the Data Display Panel in **User Records**.

- *What new data appears?*
- *Where did this data come from?*

The "Status" is "official" since all records will be assigned the official retention under another office of record is selected.

*In this exercise you assigned "employee expense reports" in **User Records** to a similar record in **Standard Record Series**. As a result of the assignment or linking, "employee expense reports" in User Record now has a retention period, taken from the Retention Manager default data. Other common business records can also be assigned retention using this same technique.*

Note: This same assignment technique is used throughout Retention Manager to link data from one table to another table.

Exercise 6: Assigning Standard Record Series and Retention in User Records Using Find in Standard Record Series.

1. In **User Records**, select "contracts."

2. Open the **User Records** popup menu.

3. Select **Assign / View Assigned | Standard Record Series**. The **Standard Record Series** window will open.

*Alternatively, you can double-click on "contracts" to open **Standard Records Series** in **Assign Mode**.*

4. With focus on **Standard Record Series**, press the right-click mouse button to display the related popup menu.

5. Select **Find** from the popup menu. The **Find** window opens.

*Note: The Find window is context sensitive for the window that has focus. After you conclude using Find for **Standard Record Series**, you can select **User Records**, for example, and use the same Find window. Find will either find the selected word in the any field or in the selected field.*

6. Enter the word "contract" in the "Find" field and press **Find First**. Find will locate the records that contain the word "contract", "contracts", "contracting" and other similar terms.

7. After reviewing the first item found, please Find Next to find subsequent matches.

*Strategy: Review the subjects and descriptions in the Data Display Panel until you find the one that most closely matches the record title you entered in **User Records**.*

First, try to find a record series that exactly matches the record title. If no record series exactly matches, then pick a more general description that matches.

8. Select record series LEG-20, Contracts / Agreements and double-click your left mouse button the highlighted item (using the upper or lower Tree) to assign the record series to the record title in **User Records**.

The retention applied to "contracts" is ACT+6 – keep the contract while it is active or in force plus 6 years.

Exercise 7: Creating Multiple Entries and Assigning Retention in User Records

1. Open **User Records**.

2. Enter "Accounting mangement reports" in **Subject** with the spelling error.

3. The **Spell Checker** will automatically open and recommend the correct spelling for the word. Select the correct spelling and press **Change All** to correct the spelling for all occurrences of the misspelled word (including the Title).

4. Open the popup menu and select **Sort | Natural Order**. This will add each new record at the end of the list. See Exercise 8 for more information on sorting **User Records**.

5. Enter the following record titles:

Subject 1	**Subject 2**
Articles of incorporation	
Board of Director meeting minutes	
Accounting	General ledgers
Accounting	Accounts payable
Accounting	Year-to-date analysis reports
Canceled checks	
Capital property	
Advertising	
Pension plans	
Pension plans	Contributions to
Employee recruitment	
Personnel files	
Employee injury and illness records	
Income tax returns	
Insurance policies	
Insurance policies	Future liability

*Suggestion: When entering a structure (e.g., records with the same subject level 1), use **Add | Copy** instead of **Add | New** to copy and then edit similar entries.*

Note: When entering a structure (e.g., Accounting), the common item forming the structure (e.g., Accounting) will be shown in the "special" color (default: blue) if an entry has not been added for the common item.

6. Assign a record series from **Standard Record Series** to each of the items you added to **User Records** in Step 2.

*To view only those records not yet assigned to Standard Record Series, open the popup menu and select **Filter | Standard Record Series Not Assigned**.*

Exercise 8: Assigning Departments in User Records

You may assign departments in **User Records** in order to organize either the record titles by department or the record series linked to the record title by department.

*Note: While department may be assigned in **User Records** to indicate which record titles or record series are in a particular department. Departments may not be assigned directly in **Standard Record Series**, other than to designate office of record – the department responsible for maintaining the official set of records.*

1. Open Department window by selecting **Functions | Department** from the main menu.

2. Add the following department names:

Accounting	
Accounting	Accounts Payable
Human Resources	
Human Resources	Benefits
Legal	

3. Open **User Records** or select, if already open.

4. Select “Accounting / General ledgers” in the **User Records** Tree.

5. Press the right-click mouse button to display the popup menu.

6. Select **Assign / View Assigned | Department**. The Department window will open or get focus if already opened.

7. Double-click your left mouse button on the department name “Accounting” in the Department windows. The focus now returns to the **User Records**.

8. Confirm that the department “Accounting” has been assigned to “Accounting / General ledgers“ in **User Records**.

9. Continue assigning departments as follows:

Department	Subject 1	Subject 2
Legal	Articles of incorporation	
Legal	Board of Director meeting minutes	
Accounting	Accounting	General ledgers
Accounts Payable	Accounting	Accounts payable
Accounting	Accounting	Year-to-date analysis reports
	Canceled checks	
Accounting	Capital property	
	Advertising	
Benefits	Pension plans	
Benefits	Pension plans	Contributions to
Human Resources	Employee recruitment	
Human Resources	Personnel files	
	Employee injury and illness records	
	Income tax returns	
	Insurance policies	
	Insurance policies	Future liability

Which departments will generally be responsible for the remaining records?

Extra Assignment: Create the additional department names and assign them to the appropriate records.

Exercise 9: Sorting User Records

You may want to see the **User Records** information in the order entered, sorted by subject, code, department or even record series. By default, **User Records** is initially not sorted ("No Sort [Natural Order]") to present items in the order they were entered.

1. Open **User Records**.
2. Press the right-click mouse button to display the popup menu.
3. Select **Sort | Code** to sort by the record code. (Several records have not been assigned record codes.)
4. Select **Sort | Natural Order** to sort in the order the records were added.
5. Select **Sort | Department | Subjects** to sort first by the department name and then by the subjects (record titles) in the department.

Note: In the upper tree, select the department to display the records for that department in the lower tree.

6. Select **Sort | Standard Record Series | Subjects** to sort first by record series subjects. This sort shows all the record series that have been assigned to a department.

Exercise 10: Assigning Multiple Record Series to Departments in User Records

You may want to identify the record series from **Standard Record Series** that are applicable to each department. This can be used to create a "short list" of applicable record series for each department. To do this, use the Record Series Checklist wizard.

1. Close all windows.
2. Select **Tools | Record Series Checklist** from the main menu.
3. Select **New Checklist** to begin a new Checklist.
4. Select **Department** to open the Department window.
5. Select the "Legal" department and double-click to move to the next step.
6. Select Record Series to open the **Standard Record Series** window with the upper tree in special check-box format.
7. Select the record series that relate to the Legal Department – e.g., record series with the code "LEG".
8. When selection is complete, select **Assign to Record Series Checklist** from the right-click popup menu.

9. Press **Save** to save the selections and close the wizard.

*Note: The effect of this wizard is to create new entries in **User Records** with the department and each record series selected. To see the effect of the wizard, follow the steps below.*

10. Open **User Records**.

11. Sort by **Department | Standard Record Series | Subjects**.

12. Select the Legal department in the upper tree.

13. Review the record series listed in the lower tree. You should see additional entries.

14. Select a record series in the lower tree and the data display panel will display only a department and record series (and no subject or description) for those items added with the wizard.

Exercise 11: Viewing and Printing Reports

The **Standard Record Series** and **User Records** (and other data) can be quickly and easily viewed and printed by using the Report function. The following exercise helps you become familiar with the reports for the Fast Track data. Additional Report features are reviewed in Lesson 6.

1. Close all windows.

2. Select the 8th icon from the Tool Bar or select **Functions | Reports** from the main menu.

*Note: When **Reports** first opens, the system reports information and parameters must first be loaded.*

3. Select and double-click on the second occurrence of the report "Standard Record Series" – the Report File name display in the Data Display Panel is "rs.rpt". The report window opens with the report formatted.

4. Review the report data.

5. Print the first page using the printer icon at the top of the window and select Pages 1 to 1. DO NOT PRINT THE ENTIRE REPORT. If you mistakenly start printing the entire report, then double-click on the printer icon in the task bar tray, highlight the document, and select **Cancel** for this document.

6. Close the report display window.

7. Select and double-click on the second occurrence of the report "Standard Record Series by Department." This will display the record series assigned to each department from Exercise 9.

8. Close the report display window.

9. Select and double-click on the report "Standard Record Series Checklist" to display the report that you can distribute within your organization and enter the data using the **Record Series Checklist** in the Tools menu.

10. Close the report display window.

Conclusion

In this lesson you learned the Fast Track approach to assigning retention to your existing records retention schedule or records inventory. Depending on the nature of your organization, you can determine retention for 50, 75% or even 90% of your records following this approach. But, what about your industry-specific or other unique records that do not fall within the existing default items in **Standard Record Series**?

In the next lesson, you will learn how to customize the legal research for your organization. In the subsequent lesson, you will then learn how to create additional record series and customize the retention values.

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Lesson

4

Retention Manager 3

Customizing the Legal Research Using Profile

Purpose

This lesson teaches the unique legal research functionality in **Retention Manager 3**. Using the **Profile**, you can identify relevant laws affecting retention, organize the laws into legal groups and prepared legally-valid retention conclusions in hours, rather than weeks or months.

Objectives

- Learn about the **Profile** function.
- Learn about the default data in **Profile**.
- Learn to include relevant industries and subjects, and exclude irrelevant ones.
- Learn to determine whether laws indexed by certain industries and subjects are relevant for your organization.
- Learn to assign legal groups to industries and subjects in order to group together relevant laws.
- Learn to create legal groups in **Legal Group Index**.
- Learn the strategy for assigning legal groups and sub-dividing legal groups.
- Learn to determine the appropriate legal requirements retention periods for the legal groups.
- Learn to print reports displaying your legal research data.

Exercises

Exercise 1: Opening **Profile**

1. Select and open the 3rd icon from the tool bar – **Profile**

*Note: You can also select **Functions | Profile** from the Main Menu.*

2. Select the industry "aviation" from the **All Industries** panel – upper left tree. Note that the subjects for this industry appear in the lower left panel.

*Note: The subjects are the subjects used in the **Legal Research Index** for indexing laws in an industry. Some of the subjects will be repeated in other industries.*

3. Select the industry “general / employment” in the **Selected Industries** panel – upper right tree. The Selected Industries (and subjects) have been provided in the default data since they affect most organizations.

*Note: When you select an industry in Selected Industries the same industry in **All Industries** is selected. In fact, **Selected Industries** and **All Industries** are synchronized to work together. This enables you to see which subjects you have already selected in **Selected Subjects** or which subjects could still be selected in **Remaining Subjects**.*

4. Press the button in the upper right-hand corner to go to Page 2 of **Profile**. This page contains the same Selected Industries and **Selected Subjects** as Page 1 in a bigger display, and also display the jurisdiction groups and legal groups related to any selected industry and subject combination.

5. Select a subject in the right-hand panel and view the jurisdiction group (normally “ALL”) and legal group(s) assigned.

6. Close **Profile**.

Exercise 2: Identifying Relevant Laws.

*When you determine that additional subjects (and their industries) are relevant, you can include them in the **Profile**. If you determine that some included subjects are actually not relevant, then you can exclude them from **Profile**. When you “regenerate” **Profile**, Retention Manager identifies the laws indexed using the included industries and subjects and treats them a relevant legal research or “profiled legal research.” These will then be the laws that determine the retention for your records.*

1. Open **Profile**

2. Select the industry “aviation” from the **All Industries** panel – upper left tree.

The Aviation industry might be relevant to organizations that own or lease aircraft.

3. In the **Remaining Subjects** panel, find the blue subject named “aircraft maintenance” and double-click on the subject below “airworthiness release.” Notice that the subject move to the right side of the screen under **Included Subjects**. If you closed **Profile** now, any law index with the industry “aviation” and the subject “aircraft maintenance / airworthiness release” would be identified as relevant for your retention program.

4. Double-click on the next subject under “aircraft maintenance.”

*The subject moves to the “selected” side of the window. The color of the subject is red since this is a proposed change. This change will only take effect when you close **Profile** and regenerate.*

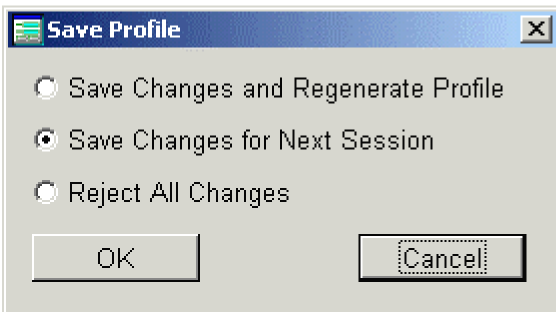
5. Select the next subject under “aircraft maintenance” and press the right arrow button at the top left of the screen.

6. Select the next subject, Open the popup menu, and select **Include Selected Subjects**.

7. Select a range of subjects by one of the following methods:

- Select the first subject. Then press and hold CTRL and select the other subjects.
- Select the first subject. Then press Shift-left-mouse-click to highlight the range.

8. Use either of the three techniques described above to include the remaining subjects under "aircraft maintenance."
9. Select all subjects for "aircraft operations."
10. Close **Profile**.
11. In the **Save Profile** window, select **Save Changes and Regenerate Profile**, and **OK**. The laws indexed by the industry and subjects added during this lesson will be added to the profiled legal research



Exercise 3: Assigning Legal Groups to Subjects in Profile.

Retention Manager identifies the laws indexed using the included industries and subjects and treats them as relevant legal research or "profiled legal research." Before these laws can be used to determine the retention for your records, they must be organized into legal groups.

Legal groups are groupings of similar laws that ultimately will determine the legal retention for the same or similar records. For example, all United States state and federal jurisdictions have promulgated several hundred laws that add retention issues for accounting and tax records. We organize the laws into legal groups to avoid managing each of the laws individually. For example, rather than managing several hundred laws for all the different accounting records series – accounts payable, accounts receivable, payroll, etc. – we treat those laws as a legal group, determine a legal retention for the group, and then apply the group ultimately to all the accounting records.

1. Open **Profile**.
2. Select the industry "aviation" under Selected Industries and the "aircraft operation / contracts" under **Selected Subjects**.
3. Open the popup menu and select **Assign Legal Group**. **Profile** will automatically move to Page 2 and the **Legal Group Index** will open in Assign Mode.
4. **Legal Group Index** is in **Assign Mode** when the bottom left status bar reads "Assign Legal Group Index to Profile."
5. Scan the upper left tree in **Legal Group Index** for the legal group code **CON000**, **Contracts - General**.

Since laws indexed by the selected subject relates to “aircraft operation contracts”, we assign the subject to the contracts legal groups. Normally, all contracts will be treated similarly unless there is a substantial reason to deviate from that rule.

6. Select and double-click on legal group code CON000 to assign it to the selected subject in **Profile**.

7. Verify that “CON000 Contracts – General” appears in the Assigned Legal Groups panel in the lower left of **Profile**, Page 2.

*The color of the subject and the legal group will be red since this is a proposed change. This change will only take effect when you close **Profile** and regenerate.*

8. Repeat steps 3 – 7 for “operations contracts.”

9. Select all subjects for the industry “aviation” by selecting “aviation” in the Selected Industries panel. All subjects for “aviation” will be highlighted.

10. From the popup menu, select **Assign Legal Group** to open **Legal Group Index** in Assign Mode. This time we want to place all the subjects into one legal group for “aviation.” But since no “aviation” legal group yet exists, we first need to create a new legal group.

11. In **Legal Group Index**, Open the popup menu, and select **Add | New**.

12. Enter the following data:

Code	AIR000
Subjects	Aviation

13. Press **Save** to save the new legal group entry.

14. Double-click on the new legal group AIR000 to assign the legal group to the selected subjects in **Profile**.

15. Close **Profile**.

16. In the **Save Profile** window, select **Save Changes and Regenerate Profile**, and **OK**.

Exercise 4: Viewing the Laws Assigned to Legal Groups.

Now that you have assigned laws to legal groups, you may wish to view the laws in each legal group to determine:

- *Whether you have the correct laws in the legal group.*
- *Whether you need to add or modify legal groups.*
- *What should be the legal requirements period for the legal groups.*

*You may elect to print the report “Legal Group Index With Legal Research ” to make these determinations. Some people will be most comfortable working with paper reports and first marking the proposed changes on the report before transferring them to **Profile**. Others will find the report slow and cumbersome.*

*For those comfortable with on-line review and modifications, Retention Manager provides a power tool within the **Legal Group Index**. For each legal group you can view the related legal requirements ranked from longest to shortest retention. You may then open **Profile**, make changes, and quickly see the results of those changes.*

*Note: Since **Profile** may be changed several times before you determine the setup is correct, Retention Manager will preserve the last 10 versions by default. In **Preferences | Function | Profile Restore**, you can request Retention Manager to preserve more versions. If you make an error, you may revert to a previous version.*

1. Open **Legal Group Index**.

2. Select the legal group ACC100, Accounting – Capital Property.

3. Open the popup menu and select **View Profiled Legal Research | Current Legal Group**. A special version of the **Legal Research Index** opens showing the laws assigned to the selected legal group ranked first by longest to shortest legal requirements period and then by legal considerations period. The view of the legal research changes as you navigate to another legal group.

4. Select the legal group AIR000, Aviation.

5. Notice the grouping of retention periods. Based on our current selections the legal requirements period would be ACT+5.

Retention Manager uses rules of records retention arithmetic. When there are multiple retention periods, the retention period is normally determined by the longest period. However, in this case, there is an event-driven retention (ACT+1) and a creation-driven retention (5). The longest retention would ACT+5 since it is the only retention that meets both criteria. But, in the next few exercises we will attempt to reduce the retention by removing or transferring laws from this legal group.

Exercise 5: Reading and Printing the Text of the Law.

You should scrutinize the laws in the legal group to determine whether they actually relevant. In particular, you should first scrutinize the laws with the longest retention periods. As time (and patience permits) you should also scrutinize the other laws in the legal group.

1. Open **Legal Group Index**.

2. Select the legal group AIR000, Aviation.

3. Open the popup menu and select **View Profiled Legal Research | Current Legal Group**. A special version of the **Legal Research Index** opens showing the laws assigned to the selected legal group ranked first by longest to shortest legal requirements period and then by legal considerations period. The view of the legal research changes as you navigate to another legal group.

6. Select the first law, US 214-0320-10, 14 CFR 91.417.

7. Read the indexing and read the text of the law.

8. Optional: Right-click and select **Print** from the popup menu to print the text with the indexing information for further study.

Exercise 6: Removing Irrelevant Laws from a Legal Group.

*When you encounter an irrelevant law in a legal group it should be removed from the legal group. Otherwise, the legal period for the legal group may be incorrectly determined. To remove a law completely from your profiled legal research, you need to remove the industry and subject for the law from **Profile**.*

1. Select and review the indexing and text for the other two laws with an ACT+1 retention period. These two laws have also been assigned to the legal group CON000 because they deal with contracts. But also note that the requirement applies to "commercial operators" and not to the organization that owns or leases aircraft. Therefore these two laws are irrelevant and can be eliminated.

2. To eliminate these irrelevant laws, open the right-click popup menu for **Profiled Legal Research** and select **Open Profile**. **Profile** opens and highlights the industry and subject for the currently selected law.

3. Select the Aviation industry under **Selected Industries**.

4. Select the subject "contracts" and "operations contracts" under "aircraft operations."

5. Open the popup menu and select **Remove Legal Group** to exclude or remove the legal Group AIR000 from these subjects.

6. Close **Profile**, select **Save Changes and Regenerate Profile**, and **OK**.

7. Open **Legal Group Index** (if you closed it).

8. Select legal group AIR000.

9. Open the popup menu and select **View Profiled Legal Research | Current Legal Group**.

10. Notice that the two irrelevant laws no longer appear in the legal group.

11. There is now only one law with an ACT+1 retention period.

Exercise 7: Transferring Laws from One Legal Group to Another.

You may encounter a law that should be placed in another legal group. For example, the law US 214-0528-00 with a 5 year retention period deals with drug and alcohol testing after an aircraft accident. If you scan through the legal groups, you will find legal group EMP720, Drug / Alcohol Testing, that deals with drug and alcohol testing program record retention requirements. Therefore this law relates to the same subject, although it applies in the context of aircraft accidents. By transferring the law to legal group EMP720, the legal requirements period for AIR000 can immediately be reduced from ACT+5 to ACT+2.

1. Open **Profile**.

2. Press the Page button to go to page 2.

3. Select the Aviation industry under Selected Industries.

4. Select the subject “accidents – drug and alcohol testing” under “aircraft operations.”

5. Select the legal group AIR000 in the lower left panel.

6. Open the popup menu and select **Remove Legal Group**. The legal group disappears.

7. Open the popup menu and select **Assign Legal Group**. The **Legal Group Index** appears.

8. Select legal group EMP720, Drug / Alcohol Testing.

9. Double-click on legal group EMP720 to assign the legal group to **Profile**. The legal group EMP720, Drug / Alcohol Testing will appear in the lower left panel.

10. Select the subject “instrument flight manual” under “aircraft operations.” Procedure manuals have already been addressed in legal group POL000.

11. Remove “instrument flight manual” from the legal group AIR000 and assign it to POL000.

12. Close **Profile**, select **Save Changes and Regenerate Profile**, and **OK**.

12. Open or Select **Legal Group Index**.

13. Select legal group AIR000.

14. Open the popup menu and select **View Profiled Legal Research | Current Legal Group**.

15. Notice that the 5-year law addressing drug and alcohol testing no longer appears in the legal group. So for now, the legal requirements period should be ACT+2.

16. Notice that there is now only one law with an ACT+1 retention period.

Exercise 8: Moving Laws By Sub-Dividing a Legal Group.

You will often encounter laws in a legal group that deal with different subjects or will affect different records. By following the methodology presented so far, you have placed all the Aviation laws into one legal group, and then eliminated some by excluding them and assigning them to different legal groups.

If all the laws ultimately affect the same type of records, it is desirable to keep them together in a legal group. For example, ACC000 includes laws for income tax, sales tax, employment tax, and other issues. Although these laws affect different records, they ultimately affect your entire accounting system – you need records in all these areas to determine your taxable income. So, it is best to keep them together.

In our Aviation example, we included laws for “aircraft maintenance” and “aircraft operation.” Some laws addressing aircraft maintenance have an ACT period, while only one law address aircraft operation has an ACT period.

The strategy now would be to place the aircraft maintenance laws in another Aircraft legal group, and reassign the one aircraft operation law to another legal group, if possible.

1. Open **Profile**.

2. Press the Page button to go to page 2.

3. Select the “aviation” industry in Selected Industries and select the subject “aircraft maintenance”.

4. Select all the subjects under “aircraft maintenance.”

5. Select legal group AIR000 in the lower left corner of **Profile**.

6. Open the popup menu and select **Remove Legal Group**. Confirm to remove the highlight legal group from the selected industries and subjects.

Note: You do not need to first select the legal group to remove the legal group if only one legal group code has been assigned.

7. Open the popup menu and select **Assign Legal Group**. **Legal Group Index** opens.

8. Create a new legal group with the following data:

Code	AIR100
Subjects	Aviation Aircraft Maintenance

9. Double-click on the new legal group AIR100 to assign to **Profile**.

10. Close **Profile**, select **Save Changes and Regenerate Profile**, and **OK**.

11. Open or Select **Legal Group Index**.

12. Select legal group AIR000.

13. Open the popup menu and select **View Profiled Legal Research | Current Legal Group**.

14. Notice that the longest legal period is now ACT+2 years. Since the operations are concluded for the ACT retention in 1 year, the legal requirements period for that legal group could be left at 2 years. Or, you might continue working with this legal group to remove other irrelevant laws, subdivide it further or transfer additional laws to other legal groups.

15. Select legal group AIR100.

16. Notice that the longest legal periods are ACT+1 and 2 years. So for now, the legal requirements period for that legal group could be set at ACT+2 years. Or, you might continue working with this legal group to remove other irrelevant laws, subdivide it further or transfer additional laws to other legal groups.

17. Additional Assignment: Create a new legal group for “flight recorders” and move the related items in Profile to that new legal group.

Note: From time to time, the legal research in this example may change due to updates in the legal research. If necessary, you may need to make additional changes before completing this example.

Exercise 9: Determining the Legal Requirements Period for a Legal Group.

*Now that you have created 2 new legal groups, AIR000 and AIR100, and you have structured **Profile** to include only relevant laws in each group, you can then determine the legal retention period for the legal groups.*

1. Open or Select **Legal Group Index**.
2. Select legal group AIR000.
3. Open the popup menu and select **View Profiled Legal Research | Current Legal Group**.
4. Notice that the longest legal requirements period is 2 years.
5. Select **Legal Group Index**.
6. Open the popup menu and select **Edit | Retention**.
7. Enter “2” in the legal requirements fields.

   We will deal with the legal consideration period later in Exercise 15 since this is an advanced topic. Normally, the legal requirements period will be 3 years if MAINT is the legal period for a law assigned to the legal group – listed under legal considerations. Otherwise, the legal considerations period is a reasonable period related to legal risk, experience in litigation, legal risk costs and tolerance, and is subjective in nature.

8. Press **Save**. Notice that the 2 year legal requirements period appears in the lower-right panel with the total legal retention which was calculated by Retention Manager.
9. Select legal group AIR100.
10. Notice that the longest legal requirements period is ACT+2 years.
11. Select **Legal Group Index**.
12. Open the popup menu and select **Edit | Retention**.
13. Enter “ACT+2” in the legal requirements fields.
14. Press **Save**. Notice that the ACT+2 year legal requirements period appears in the lower-right panel with the total legal retention which was calculated by Retention Manager.

Exercise 10: Completing the Legal Group Description

1. Open **Legal Group Index**.
2. Select AIR000.
3. Open the popup menu and select **Edit | Text**.
4. Add the words “Aircraft Operations” to subject level 2. Although this legal group started as addressing all aviation laws, it now only contains those related to aircraft operations.

5. Write a description that describes the type of laws included in this group. For example: “Includes laws addressing aircraft flight logs and manifest, cargo records, etc.”

6. Press **Save.**

7. Select AIR100.

8. Open the popup menu and select **Edit | Text**.

9. Write a description that describes the type of laws included in this group.

10. Press **Save.**

11. Close **Legal Group Index** and all other open windows.

Exercise 11: Validating the Legal Periods for the Legal Group Index.

*After structuring and correcting the **Profile** for all your special industry issues, you need to review each legal group (including the default ones) to ensure that the legal research is correct. There are two components you need to validate:*

- *The **Profile** Setup*
- *The period for each legal group.*

The review can be done either on-line or using reports. [In the Training Class, do not print the reports.]

A. Using Reports to Review Profile Setup

1. Select the 8th icon in the Tool Bar -- **Reports**.

2. Select **Profile**.

3. Review and/or print the **Profile**. Determine whether you selected the appropriate industries and subjects, assigned them to the appropriate legal groups, and assigned them to the appropriate item in **Jurisdiction Groups**.

4. If changes are needed, open **Profile**, make corrections and regenerate **Profile**.

B. Using Reports to Review Legal Periods in Legal Group Index

1. Open **Reports**.

2. Select the report *Legal Group Index With Legal Research*.

3. Review and/or print the report *Legal Group Index With Legal Research*. For each legal group, review each legal research subjects and description, review the legal research to confirm the laws are relevant and related to this legal group, and review the legal periods.

4. If changes are needed in **Profile**, open **Profile**, make corrections and regenerate **Profile**.

5. If changes are needed in **Legal Group Index**, open **Legal Group Index** and make corrections.

C. Using Profile On-Line to Review Profile Setup

1. Open **Profile**.
2. Go to Page 2.
3. Click on the first industry and the first subject.
4. Review the jurisdiction group and the legal group(s) assigned.
5. Make appropriate changes.
6. Press Arrow-Down to review and correct each subsequent subject. When you reach the last subject, select the next industry.
7. Close **Profile** and regenerate (if necessary).

D. Using Legal Group Index On-Line to Review Legal Periods

1. Open **Legal Group Index**.
2. Open the popup menu and select **View Profiled Legal Research | Current Legal Group**.
3. Select the first legal group in the upper left tree.
4. For each legal group, review each of the subjects and description, review the legal research to confirm the laws are relevant and related to this legal group, and review the legal periods.
5. If changes are needed in **Profile**, open **Profile**, make corrections and regenerate **Profile**.
6. Press Arrow-Down to review and correct each subsequent legal group. Correct as needed.
7. Close **Legal Group Index**.

Exercise 12: Printing the Legal Reports

*After the **Profile** and **Legal Group Index** are revised to your satisfaction you can print out the reports for the lawyers to review.*

[In the Training Class, do not print the reports.]

1. Select the 8^{th} icon in the Tool Bar -- **Reports**.
2. Select the report *Legal Group Index*. This will display all the legal groups with their retention.
3. Close the *Legal Group Index* report.
4. Select the report *Legal Research Index*. This will display all the laws deemed relevant, how they were indexed, and the legal group(s) to which they were assigned.
5. Close the *Legal Research Index* report.
6. Select the report *Legal Group Index With Legal Research*. This will display all the legal groups with their retention along with the laws assigned to each legal group – sorted by legal requirements and considerations and then ranked from longest to shortest.

7. Close the *Legal Group Index With Legal Research* report.

8. Close **Reports**.

Exercise 13: Structuring An Industry for Your Organization in Profile

*You now have the skills to begin preparing the custom legal research for your organization. In this exercise, you will select other industries and subjects in **Profile** that reflect the activities of your organizations – e.g., securities, drug manufacturing (pharmaceuticals), power utility, food, petroleum, etc.*

You will then follow the same steps as the exercises above in your industry context. If your organization is in a very generic industry such as sales, law firm, consulting, etc., review all the default industries and determine whether additional subjects should be added.

1. In **Profile**, include additional relevant industries and subjects.

2. Assign the new items to a new legal group or an existing one (if they relate to the subject of an existing legal group).

3. Review the new legal groups and perform the same operations as you did for "aviation".

    - Remove irrelevant laws.

    - Transfer laws to other legal groups.

    - Sub-Divide the legal group and move laws as needed.

4. Determine the legal requirements periods for the modified legal groups.

5. Complete the **Legal Group Index** descriptions.

Exercise 14 (Advanced): Assigning Jurisdiction Groups to Subjects in Profile

*Whenever you select an industry and subject in Project, it is assigned to the default Jurisdiction Group "ALL." By default, "ALL" includes the United States Federal and all states and territories. Thus, the laws that were indexed by the included subjects will be in the **Profile**d Legal Research for the jurisdictions defined in the "ALL" jurisdiction group. And, the laws that were indexed by the included subjects, for other jurisdiction will not be in the **Profile**d Legal Research.*

*But, you may not want to consider all the laws from every state. For example, if your organization does not "do business" in Maine or Mississippi, then you can exclude those states from the ALL legal group. The **Profile**d Legal Research will not contain any laws from those two states. Similarly, you may only have offices in a few states. Thus, you may only need to comply with employment, environmental and tax laws for those states where you have offices (plus United States Federal).*

*The jurisdictions groups are defined in **Jurisdiction Groups** and the assignment of jurisdiction groups is handled in **Profile**.*

A. Using Jurisdiction Groups to Globally Eliminate Jurisdictions in Profile

1. Open **Function | Jurisdiction Groups**.

2. Notice that the jurisdiction group "ALL" includes all the United States jurisdictions by default.

3. Double-click on Maine and Mississippi. They move to the left tree, signifying that they are no longer in the ALL jurisdiction group.

4. Close **Jurisdiction Groups**. You will be prompted to regenerate the **Profile** (even if it was closed). The **Profile** must be regenerated since the **Profile**d Legal Research must be redetermined due to changes in the **Jurisdiction Groups**.

6. Select **Yes** to regenerate **Profile**. If you select **No**, **Profile** can be regenerated at a later time. But, in the interim, your **Profile**d Legal Research will not reflect these changes.

7. To verify that this operation worked correctly, open the report **Legal Research Index** in **Reports**. No laws from Maine or Mississippi should appear.

B. Using Jurisdiction Groups to Eliminate Jurisdictions for Selected Subjects in Profile

1. Open **Jurisdiction Groups**.

2. Using the drop-down list of legal groups (upper right portion of window), select "OFFICES."

Note: No jurisdictions have been assigned to this legal group. Alternatively, you could have used the popup menu to add a new legal group.

3. Open the popup menu and select **Edit Jurisdiction Group**.

4. Add the following data and press **Save**.

Description:	Locations were company has offices.

5. Select and double-click the following jurisdictions: United State Federal (always include in a jurisdiction group), California, Colorado, New York, Florida and Texas.

6. Close **Jurisdiction Groups**. You will be prompted to regenerate the **Profile** (even if it was closed). The **Profile** must be regenerated since the **Profiled Legal Research** must be redetermined due to changes in the **Jurisdiction Groups**.

7. Select **Yes** to regenerate **Profile**. If you select **No**, **Profile** can be regenerated at a later time. But, in the interim, your **Profile**d Legal Research will not reflect these changes.

8. Open **Profile**. Go to Page 2.

9. Select the industry "General **|** Employment". All subjects for this industry will be highlighted.

10. Open the popup menu and select **Assign Jurisdiction Group**. **Jurisdiction Groups** will open.

11. Use the drop-down list of jurisdiction group name to select "Offices".

12. Press Assign to assign the highlighted subjects in **Profile** or Open the popup menu and select **Assign to Profile**.

13. Repeat the procedure only for the subjects under and including "income" for the industry "General **|** Tax."

14. To verify that this operation worked correctly, open **Legal Group Index** with **Profile**d Legal Research open or open the report *Reports*. Check the legal groups with the prefix "EMP" to confirm that laws only for the selected jurisdictions apply. Also confirm that no laws related to "income tax" appear in ACC000.

    Why do some laws from jurisdictions other than those defined in "Offices" still appear in the legal group ACC000? Also explain why some laws from other jurisdictions appear in the EMP categories?

    How would you restrict the laws in the EMP legal groups to just the 5 states and United States Federal?

    How could you have restricted the laws to the 5 states and United States Federal for the entire retention program?

15. Close all windows.

Exercise 15 (Advanced): Determining the Legal Consideration Period for a Legal Group.

In Exercise 9, you determined the legal requirements period for a legal group. This exercise provides some guidance for determining legal considerations periods.

There is no precise method for determining the appropriate legal considerations period to assign to a legal group. Here are some guidelines:

- *If one of the laws under legal considerations in the profiled legal research for a legal group is MAINT, the minimum legal considerations period generally be 3. This corresponds to the Three-Year Presumption discussed in Help and Records Retention Procedures.*

- *If there are no laws in the legal considerations section of the profiled legal research or the laws in that section have a legal period of MEDIA, PROC or other similar code, the legal considerations should be 0.*

- *If the legal group relates to an area that may be subject to litigation, then the legal department should develop a legal considerations period that corresponds to the likely period when the matter will be litigated, the importance of the area generally, the risk the organization faces in this area and the organization's experience.*

- *If all your major contracts will be governed by the law of a specific state (e.g., you have franchises that are subject to a franchise contract that will be governed by the laws of California), you may make the legal considerations numerical period at least equal to that state's limitation of actions period.*

- *If the legal considerations period is while some event is "active" (e.g., contracts, building construction, procedures, etc.), you may make the legal considerations alphabetic prefix ACT plus an appropriate numerical period.*

To best understand the common legal considerations period, review the default legal groups and the legal considerations period assigned.

1. Open or Select **Legal Group Index**.

2. Open the popup menu and select **View Profiled Legal Research | Current Legal Group**.

3. Review several of the default legal considerations periods for legal groups.

4. Select legal group AIR000.

5. Determine the legal considerations period.

6. Select legal group AIR100.

7. Determine the legal considerations period.

Conclusion

In this lesson you learned to customize the legal research for your organization, create new legal groups, modify the **Profile**, and determine legal retention.

In the next lesson, you will learn how to customize the record series for your organization and apply this new legal research and the legal group to those record series.

Notes

Lesson

5

Retention Manager 3

Customizing the Record Series and Records Retention Rules and Office of Record

Purpose

This lesson teaches the creation of **Standard Record Series** and **Records Retention Rules**, and the techniques for linking the **Standard Record Series** to the **Records Retention Rules**, and the **Records Retention Rules** to **Legal Group Index**. This lesson also explores determining the Official and Unofficial Retention using Office of Record and setting the Official and Unofficial Retention.

Objectives

- Learn to create record series based on **User Records** or legal groups.
- Learn to create rules of retention linked to legal groups.
- Learn to link records series to **Records Retention Rules**.
- Learn to print reports displaying your record series and **Records Retention Rules**.
- Learn to determine select Official and Unofficial Retention and Office of Record.

Exercises

Exercise 1: Identifying the Need for New Records Series from User Records

1. Open **User Records**
2. Press the right-click mouse button to display the popup menu.
3. Select **Sort | No Sort [Natural Order]** to display records in the order first entered.

4. Add the following records:

Aircraft maintenance records
Aircraft logbook
Flight manifest
Aircraft purchase contract
Operating procedures manual

5. As described in Lesson 3, Exercises 4 and 5, assign record series to each of these records.

Note: The "aircraft purchase contract" can be assigned to LEG-20 and the "operating procedures manual" under ADM-30 If you didn't know about the special aviation laws, you might consider placing the "aircraft maintenance records" under ADM-40-12 for general maintenance. The "aircraft logbook" and "flight manifest" might be placed under general administrative records series. But, all that changes since you have researched the special aviation laws.

In order to relate the aircraft laws to the specific aircraft records, you need to create additional record series which can link to those laws.

6. Open **Standard Record Series** and add the following entries:

Code	**Subjects**	**Description**
ADM-40-30	Administration Aircraft	
ADM-40-30-10	Administration Aircraft Aircraft Maintenance	Records related to aircraft maintenance including part replacement, inspection records, etc.
ADM-40-30-20	Administration Aircraft Aircraft Operation	Records related to aircraft operation including flight logs, flight manifests, aircraft logbooks, etc.

* It is often best to create a "structure" for related record series, like ADM-40-30, even if you don't use that item for assigning retention.

*Do not create a record series for each record title entered in **User Records** or for each record title found in your organization. If the record titles relate to the same subject area and will be assigned the same retention, then you should create a more general category and list a few of them as examples in the description.*

8. Assign the remaining record titles in **User Records** to the new record series in **Standard Record Series**.

The records retention periods will be determined in a subsequent lesson.

9. Close all windows.

Exercise 2: Identifying the Need for New Records Series from Legal Group Index.

In Lession 4, you created two new legal groups, AIR000 and AIR100, to describe the new legal research for aircraft operations and aircraft maintenance, respectively.

*In order to apply these legal groups (and the new legal research) to records in your organization, you need to create new record series in **Standard Record Series** and link those record series to new entries in **Records Retention Rules**. You will then link the new retention rules to the legal groups.*

*As an alternative, the same record series you entered in Exercise 1, Step 6. above could have been created from the new legal groups in **Legal Group Index** instead of the record titles in **User Records**.*

Exercise 3: Identifying the Need for New Record Series from Organization Functions.

You can also develop new record series based on organization function. You can gather information from an organization chart or by interviewing appropriate people. Below is a typical structure for a manufacturing company.

1. Open **Standard Record Series**.
2. Add the following new record series for the “manufacturing” function:

Code	**Subject 1**	**Subject 2**
MAN	Manufacturing	
MAN-10	Manufacturing	Research and Development
MAN-20	Manufacturing	Production
MAN-30	Manufacturing	Quality Assurance
MAN-40	Manufacturing	Process Systems and Equipment
MAN-50	Manufacturing	Distribution / Shipping

3. Additional functions can be added to the hierarchy.

Exercise 4: Assigning Retention to Standard Record Series.

*You assign retention to **Standard Record Series** by assigning a retention rule from **Records Retention Rules**. If you do not find an appropriate rule in **Records Retention Rules**, you need to create a new rule, link the rule to a legal group in **Legal Group Index**, and complete the retention information.*

1. Open **Standard Record Series**.
2. Select the new record series ADM-40-30-10.
3. Open the popup menu and select **Assign Records Retention Rule**. The **Records Retention Rules** window opens.

4. Select **Records Retention Rules**.

5. Add a new retention rule with the following data:

Code	Subjects	Description
AIR1000	Aircraft Aircraft Maintenance	Records related to aircraft maintenance including part replacement, inspection records, etc.

6. Select AIR1000.

7. Open the popup menu and select **Assign Legal Group Index**. The **Legal Group Index** window opens.

8. Select legal group AIR100, Aircraft Maintenance, and double-click to assign the legal group to the records retention rule AIR1000.

9. Notice that the ACT+3 legal period now displays for AIR1000 but the user retention and unofficial retention are blank.

10. Select AIR1000 in **Records Retention Rules**.

11. Open the popup menu and select **Edit | Retention**. The **Edit Retention** window opens.

12. Enter **ACT** for the **User Retention Period** and **MAXACT** for the **Unofficial Retention Period**.

*The **User Retention Period** is the period that users need this type of record to "do their job." This period.represents a subjective determination of how long the records are valuable or needed by user, without considering legal need or legal requirements. This topic is covered in Chapter 7 of Record Retention Procedures, accessible through the Reference button in Help.*

*The **Unofficial Retention Period** is the period that copies of this type of record may be retained for reference by record users. The MAX retention establishes the maximum period for retention – the unofficial records cannot be kept longer than the period specified. Thus, MAXACT means that the duplicate records cannot be kept longer than the period during which the organization owns or operates the aircraft.*

Retention Manager automatically calculates the Total Retention Period based on the "Rules of Records Retention Arithmetic."

13. Double-click on retention rule AIR1000 to assign the retention rule and retention period to the new record series ADM-40-30-10.

*Note: If the assignment does not occur properly, then select **Standard Record Series**, select the record series ADM-40-30-10 again, select Assign Records Retention Rule for the right-click popup, and try double-clicking on AIR1000 again.*

*Retention Manager tracks whenever you open another window in **Assign Mode** (you opened the window to assign something to the previous window). The message in the bottom left of the **Status Bar** indicates whether the window is now in an "assign to" state. After creating new entries or* *editing, each window remembers that a double-click (or "assign to" from the popup window) means "assign to" the calling window.*

*Remember that you can interfere with the "assign to" state by selecting another window out of sequence. The status message in the lower left **Status Bar** will indicate whether the "assign to" state is active or not. If the "assign to" state is not in effect, repeat the assignment steps.*

14. Select record series ADM-40-30-20.

15. Open the popup menu and select **Assign Records Retention Rule**. The **Records Retention Rules** window opens.

16. Select **Records Retention Rules**.

17. **Add | Copy** a new retention rule with the following data:

Code	**Subjects**	**Description**
AIR2000	Aircraft Aircraft Operations	Records related to aircraft operation including flight logs, flight manifests, aircraft logbooks, etc.

18. Select AIR2000.

19. Open the popup menu and select **Assign Legal Group Index**. The **Legal Group Index** window opens.

20. Select legal group AIR000, Aircraft Operations, and double-click to assign the legal group to the records retention rule AIR2000.

21. Notice that the 3-year legal period now displays for AIR2000 but the user retention and unofficial retention are blank.

22. Select AIR2000 in **Records Retention Rules**.

23. Open the popup menu and select **Edit | Retention** to open the **Edit Retention** window.

24. Enter **1** for the **User Retention Period** and **MAX1** for the **Unofficial Retention Period**.

25. Double-click on retention rule AIR2000 to assign the retention rule and retention period to the new record series ADM-40-30-20.

Exercise 5: Selecting Official and Unofficial Retention in User Records.

You can determine whether a record in User Records is the official or unofficial version. This is useful when you have not determined an Office of Record (see below) or you have two or more versions of the same record in one department.

1. Open **User Records**.

2. Select **Contracts**.

Note: By default, all retention is the official retention, unless you select another option. The record status (official or unofficial) is shown in the right window and by the yellow bar in the lower retention screen.

3. Open the popup menu and select **Assign / View Assigned | Office of Record Status | Official**. The Official retention displays – the retention for the one set of official records.

4. Open the popup menu and select **Assign / View Assigned | Office of Record Status | Unofficial.** The Unofficial retention displays – retention for copies of the official records.

Note: Office of Record can be assigned in Records Retention Rules using the same technique.

5. Open the popup menu and select **Assign / View Assigned | Office of Record Status | Compute**. The Official / Unofficial retention status is determined by the Office of Record assignment (see below).

Exercise 6: Assigning Office of Record to Standard Record Series.

You define the Office of Record for a Standard Record Series by assigning one or more departments responsible for maintaining the official version of the record series.

1. Open **Standard Record Series**.

2. Select the record series ACC-10-02, *Accounts Payable Invoices*.

3. Open the popup menu and select **Assign / View Assigned | Office of Record**. The **Department** window opens.

4. Select **Accounts Payable**.

5. Double-click on the department to assign the department as the Office of Record to the standard record series. Notice the new information appears in the right window.

Note: Office of Record can be assigned in Records Retention Rules using the same technique.

Exercise 7: Computing Office of Record in User Records.

You determine the Official and Unofficial Retention in User Records by selection (see Exercise 4) or by computing based on the department assigned. If the department is also the Office of Record for the record series assigned to the User Record, then the Official Retention appears; otherwise the Unofficial Retention appears.

But, if no Office of Record is assigned to the record series assigned to the User Records, then the Official Retention appears. This reflects the principle that all records will be assigned the Official Retention, unless it can be determined that the Unofficial Retention applies (e.g., the version of record in another department is the official version.)

1. Open **User Records**.

2. Create a new record entitle "*invoices*."

3. Open the popup menu and select **Assign / View Assigned | Standard Record Series.** Assign the record series ACC-10-02, *Accounts Payable Invoices*.

4. Open the popup menu and select **Assign / View Assigned | Department**. Assign the department "*Accounts Payable*." The Official Retention displays. In Exercise 5, you identified Accounts Payable as the Office of Record for the record series ACC-10-02. Therefore, the department where the record is found (Accounts Payable) is the same as the department responsible for the official version of the record (Accounts Payable), making this the official version of the record with the official retention period.

5. Select **Add | Copy** and make a copy of the record "invoices." You may need to add a space after the word "invoice" to indicate a change, and then **Save**.

6. Assign this second version of invoices to the Legal Department. Notice that the Unofficial Retention displays. The department where the record is found is NOT the Office of Record for the record series ACC-10-02.

Note: Office of Record is a very powerful tool for restricting the long Official Retention period to only one version of a record, and allowing copies or other versions of the record to be destroyed according to the shorter Unofficial Retention period.

7. Go back to the version of *invoices* assigned to the department Accounts Payable in Step 4.

8. Select **Add | Copy** and make a copy of the record "invoices."

9. Open the popup menu and select **Assign / View Assigned | Office of Record Status | Unofficial**. The Unofficial retention displays.

Note: Use this technique to override the Official Retention for additional version of records found in the same department which should not have the Official Retention – e.g., the Official Retention applies to the electronic version and the Unofficial Retention applies to the paper version.

Notes

Lesson

6

Retention Manager 3

Working ith Legal Research Index and Legal Search.

Purpose

This lesson teaches how to access laws through the Legal Research Index and the Legal Search function. It also reviews how to create and modify the legal research.

Objectives

- Learn to locate laws and use the Legal Research Index.
- Learn to find laws using Legal Search.
- Learn how to add and modify laws in the Legal Research Index.

Exercises

Exercise 1: Using the Legal Research Index

The Legal Research Index contains all the laws in the legal research data, including the indexed data and text. It is organized by jurisdiction (country, state or province).

1. Open **Legal Research Index.**
2. Select *Alaska* in the upper left window. The laws for Alaska appear in the lower-left window.
3. Select the 3rd law – AK 109-0005-00 [AS 09.10.040].

Note: The laws are listed by "LRBR Code" and citation. The LRBR Code is a unique 14-character code with a 3-character suffix developed by Information Requirements Clearinghouse in 1984 to systematically organize laws into true citation order (since laws normally do not sort exactly in citation order).

4. Examine the data in the right-hand windows:
   - LRBR Code: 14-character code plus 3-character suffix used to organize laws in true citation order.
     - Character 1 and 2: The postal abbreviation for the jurisdiction.
     - Character 3: blank

    - Character 4: 1 for statute; 2 for regulation; 3 and 4 for special laws.
    - Character 5 and 6: Generally, the title from the source of the law.
    - Character 7-14: Unique, sequential number used to keep laws in citation order.
    - Suffix Character 1-3: Code to permit a laws to be indexed up to 1,000 different ways.
- Citation: The actual citation to the law. See Source below for interpretation of source abbreviation.
- Jurisdiction: The country, state or province responsible for enacting the law.
- Headers: The structure of the law. This also give guidance to the context and applicability.
- Source: The code or compilation where this law appears.
- Industry: The industry affected by this law. Note: Some laws are indexed into the "General" industry meaning that they apply to most organizations.
- Subjects: The subjects addressed in the law.
- Legal Groups Assigned: The legal group into which this law is assigned by Profile.
- Revision Date: The last known date when this law was revised.
- Legal Period: The abbreviation that interprets the meaning of the law for retention purposes.
- Administrative: The next 5 indexed fields are used by Information Requirements Clearinghouse to manage the legal research database.
    - Data Version: The version of the indexed fields.
    - Text Version: The version of the text of the law.
    - Database: The database (Main, Insurance, International) in which this law appears.
    - Change Type: The type of change occurring the last time the law was indexed (e.g., added, revised, deleted, transferred, etc.)
    - Last Change: The date the law was last changed.

5. Read the text of the law.

*Note: In some laws, some of the text or even full paragraphs may be edited out (as indicated by * * * for excluded text or * * * * * for excluded paragraphs) to exclude information unrelated to recordkeeping issues.*

Exercise 2: Printing a Law

You may print an individual law, including text and indexing. Note: DO NOT PRINT IN TRAINING CLASS UNLESS INSTRUCTED BY YOUR INSTRUCTOR.

1. Open **Legal Research Index** and find law "AK 109-0005-00 [AS 09.10.040]."

2. Open the popup menu and select **Print.** Select the printer and press **OK**.

3. The indexing and text of the current law is printed.

Note: You may also print a law when accessing a law by View Profiled Legal Research from Legal Group Index, View Legal Research from Profile or View Results from Legal Search.

Exercise 3: Find a Specific Law

You may sometimes need to find a specific law in a jurisdiction or based on the citation.

1. Open **Legal Research Index**.

2. Open the popup menu and select **Find.**

3. Insert “US 240” in the Find and “LRBR Code” for In Field. Press **Find First**. This will move you to the laws in United States regulations, starting with Title 40, related to Environment.

4. Scan the environmental laws.

5. Open the popup menu and select **Find.**

6. Insert “26 CFR 1.6001” in the Find and “Citation” for In Field. Press **Find First**. This will search in the Code of Federal Regulations for the exact citation.

Note: This is the main regulation issued by the Internal Revenue Service for the retention of income tax records.

You may also enter a partial citation, but generally try to include enough of the citation to prevent “false hits.”.

Exercise 4: Including an Industry and Subject in Profile

If you identify a relevant law, you may then add the industry and subject for that law into Profile.

1. Open **Legal Research Index** and find a law.

2. Open the popup menu and **Add to Profile**. You will either get a message confirming that the industry and subject has been added to Profile or a message indicating that it is already in Profile.

Note: When you add an industry and subject to Profile, you will later need to assign that industry and subject a legal group in order to link the related laws to the appropriate legal group.

When you add an industry and subject to Profile for one law, you will in turn also be adding all other laws indexed by that same industry and subject to your Profiled Legal Research.

You may also include the industry and subject in Profile when accessing a law by View Profiled Legal Research from Legal Group Index, View Legal Research from Profile or View Results from Legal Search.

Exercise 5: Searching for a Law in Legal Search

You may also search for a law in Legal search using the LRBR Code, citation, indexed fields or the text of the law.

When you find a relevant law, you may then include its industry and subject om Profile to utilize the law in your retention program.

1. Open **Legal Search**.

2. Enter the phrase “26 CFR 1.6” in the citation field.

*Note: The LRBR Code and Citation fields cannot accept Boolean operators such as “ * “. Searches will automatically assume that you want to begin the search from the beginning of the LRBR Code or Citation and add a universal character at the end. This function operate similar to Find in Legal Research Index.*

3. Select **View Results** to view the laws found by this search.

4. Enter the word “petroleum” into the industry field and press **Search**. The results lines indicates the number of laws indexed in the petroleum industry and the total number of index entries (since a laws can have two or more index entries.

Note: Search terms for both indexed fields and text of the laws have been compiled in special search indexes to speed retrieval. After you update or modify the legal research, a prompt will suggest updating the search indexes to enabled searches based on the changes.

5. Select **View Results** to view the laws found by this search.

6. Select a law, open the right-click popup menu and select **Add to Profile**. You will get a message confirming that the industry and subject has been added to the Profile.

7. From the Legal Search Results screen, open the right-click popup menu again and select **Open Profile**. You will jump to page 2 of Profile, with focus on the industry and subject you just added. You can then assign a legal group, or perhaps return to page 1 to Profile to add additional subjects for that industry.

8. Select **Clear Search** to clear your search terms.

9. Enter the term “the” in the Text field and press **Search**. You receive a caution message explaining that the term “the” is a common word – has no real meaning by itself – and cannot be searched. There are approximately 100 common words (e.g., a, an, the, is, are, etc.) that cannot be searched in either indexed fields or the text.

10. Select **Clear Search** to clear your search terms.

11. Enter the word “agriculture*” in the industry field and “contract*” in the text field. The term “contract*” enables you to search for all words beginning with “contract” like “contract”, “contracts”, “contracting”, “contractor”, etc.

*Note: The “ * “ at the end of a word is referred to as a “universal character or wild card” for Boolean searches. It is the function equivalent of typing “contract or contracting or contracts”, but saves key strokes and includes forms of the word that you may not have consider.*

Using the universal character may also include words like “contractor” that may not be useful. So use discretion when using the universal character. And, never use it at the beginning of a word (an error message appears) or after only a letter or two (e.g., a) since the search may be lengthy and perhaps not useful.*

12. You can select other Boolean search functions by opening the popup menu for Legal Search and selecting one of the options under **Insert Boolean Term**.

The following Boolean operators (not case sensitive) can be used in search other than for LRBR Code or Citation:

- *AND: The term before and after must exist in the field – e.g., petroleum and minerals.*
- *OR: Either the term before or after must exist in the field – e.g., petroleum or oil.*
- *W/5: The second term must be within the number of significant terms indicated of the first term – e.g., test W/5 report (the word “report” must appear within 5 significant words after the word “test”. You may use the default W/5 value or change the number of words between.*
- *Universal (*): Terms are used in the search that match the initial characters and may include any other characters afterwards.*

"( )" may also be used to organize the search or override the normal Boolean precedents (W/, AND, then OR).

13. Open the right-click popup menu and select **Search From Current Session**. You may then select a previous search and repeat it.

You may also save searches and retrieve them in future sessions.

Exercise 6: Modify a Law in Legal Research Index

You may wish to modify a law supplied in Legal Research Index. This may be necessary to correct the indexing or text, add clarification to the indexing or including changes that are not yet reflected in the database.

To modify a law you must first create a user version of the "system law" and then make the change.

Note: System laws cannot be modified directly in order to ensure the integrity of the legal research update process. New user laws can be added as shown in Exercise 7 below.

1. Open **Legal Research Index**.

2. Select the Alabama law, AL 106-0020-00 010. The law is currently indexed under the Industry "general / limitations of action" and the subject "contract". You will add another index entry for this law to the subject "written contract".

3. Open the right-click popup menu and select **Assign | Industry / Subject**. The Industry / Subject window opens to the subject "contract" – the same subject previously assigned to this law.

4. Under the subject "contract" select the lower-level subject "written" and double-click the left mouse. You will be prompted to create a user version of the law. Select **Yes**.

5. Click on the law above in the tree. Notice that the User Law listed in the tree is now the proposed color (default: red).

Note: A User Law is identified by the proposed color in the tree and the Data Version, Text Version or both set to "9999". The 9999 version number is always used to designate data added by the user. In this example, we only changed the Data and left the Text unchanged.

When you modify a System Law, the System Law remains in the database. Your User Law version supersedes the System Law version and the User Law version is used for any processing in Profile, Reports or other functions.

Exercise 7: Remove a User Law in Legal Research Index

You may wish to delete a User Law version and revert to the System Law version of the same law.

1. Open **Legal Research Index** and find the User Law you created in Exercise 6.

2. Open the right-click popup menu and select **Delete User Version | Data Only**.

3. Select **OK** in response to the prompt to delete the User Law. Notice that the law reverts to the previous System Law version with the previous Data Version of 0110.

Exercise 8: Adding a New User Law in Legal Research Index

You may wish to add a new User Law to the legal research database. This may be necessary to add a newly enacted provision not yet included in the database, industry standards, local ordinances, special state industry laws, or other laws not found in the database.

Note: If you find an error in the legal research database, please inform Information Requirements Clearinghouse so that a correction can be included in the next update.

1. Open **Legal Research Index**.

2. Open the right-click popup menu and select **Add | New**.

3. Select the **Jurisdiction** button to open the Jurisdiction listing. Select California and press **Assign** to assign the jurisdiction and place the jurisdiction code in the LRBR Code.

4. Enter the following data and press **Save** to save this new User Law:

Field	**Data**
LRBR Code	CA 910-0347-00
Sequential Number	010
Citation	CA Law
Legal Period	3
Revision Date	04/24/2002
Change Type	Added

Note: By default, the LRBR Code adds the "9" as the 4^{th} character for a new law. This designates a User Law and ensures that an update to the legal research database does not replace this entry.

5. Using the **Assign** function in the right-click popup menu, add the following data.

Field	**Data**
Industry	General | Employment
Subject	Wage and Hour
Header	Division 2. Employment Regulation and Supervision Part 4. Employees Chapter 1. Wages, Hours and Working Conditions

6. Open the right-click popup menu and select **Edit | Text**. Change the line "[Text not available for this law.]" to "This is the text of the law." and press **Save**.

Note: The text of the law is entered using HTML commands. You can view many of the HTML options by making a copy of a system law and reviewing the HTML text. The Text Edit window has several right-click popup options to help you edit and preview the text.

7. Close **Legal Research Index**.

Notes

Lesson

7

Retention Manager 3

Administrator Functions

Purpose

This lesson teaches the many of the **Administrator Functions** – those functions related to the administration of Retention Manager that will only be available to users with administrator rights.

Objectives

- Learn to add and manage security.
- Learn to authorize or unauthorized the Legal Group Index, Records Retention Rules and Standard Record Series.
- Learn to Restore Profile.
- Learn to Rebuild data.
- Learn to Convert data from Version 2 to Version 3.

Exercises

Exercise 1: Adding Passwords and Security

By default, Retention Manager can be accessed by any person with the proper installation. To restrict access to the database and prevent unauthorized modification, you need to enable and set the system passwords.

The User table initially contains one user name "Administrator" and the password for Administrator is set to "none". As long as the Administrator password is "none", no password protection can be added to the system. Once the Administrator password is changed, you must either enter the new password to use Retention Manager as "Administrator" or enter an approved username and password.

1. From the **Main Menu**, select **Functions | Administrator Functions | Security | Passwords**.
2. In **User Profile**, select the user Administrator
3. Open the right-click popup menu and select **Edit**.

4. Change the field “Password” from “none” to “1234”. Check that you entered the new password correctly and press **Save**.

Note: If you forget the Administrator password, you may need to contact Technical Support to restore full access to Retention Manager.

5. Close **User Profile** and close Retention Manager.

6. Open Retention Manager again. You will be prompted for a **User Name** and **Password**. The **User Name** is “Administrator” and the **Password** is “1234”. If you entered the information correctly, Retention Manager will open.

7. From the **Main Menu** select **Functions | Administrator Functions | Security | Passwords**.

8. Open the right-click popup menu and select **Add | New**.

9. Enter the following information:

Field	**Data**
Login Name	User
Password	1111
Security Level	Administrator

Note: The other fields are not used at this time, except in the user Administrator. You can complete the data for the user Administrator and elect to display that information in Reports by setting the Cover Page parameter to “Y”.

You may want to create entries for all users with administrator rights to record changes by user name. Whenever information is added or modified, a time and date entry is made in the record along with the user name.

10. Open the right-click popup menu and select **Add | New**.

11. Enter the following information:

Field	**Data**
Login Name	Clerk
Password	5555
Security Level	Data Entry

Note: The Security Level “Data Entry” enables a clerk or other data entry person to open User Records and enter data and assign departments. This is useful for adding a previous records retention schedule or inventory for coding to the new retention scheme. All other functions are Read Only.

The Security Level “Read Only” enables the user to view data but not to change anything.

For both the Security Level of Data Entry and Read Only, the Administrator Functions and Tools Menu will not be available.

12. Close **User Profile** and close Retention Manager.

13. Open Retention Manager again. You will be prompted for a **User Name** and **Password**. The **User Name** is “Clerk” and the **Password** is “5555”. If you entered the information correctly, Retention Manager will open.

14. Open Legal Group Index and open the right-click popup window. Notice that all the editing functions are disabled.

15. Open User Records. Notice that the editing functions are enabled.

16. From the Main Menu, notice that **Functions | Administrator Functions** does not appear since it has been disabled.

17. Close Retention Manager.

18. Open Retention Manager again. You will be prompted for a **User Name** and **Password**. The **User Name** is “User” and the **Password** is “1111”. If you entered the information correctly, Retention Manager will open and you will be permitted to perform all functions.

Exercise 2: Authorizing and Unauthorizing Data

Once you have prepared your retention program, distributed reports for review, incorporated final comments and obtained approval to implement the program, you can then authorize the data. This will preserve your retention decisions and make them available for implementation in the organization. It will also trigger the export of authorized data to another records management software product if you elected that option.

The unauthorized feature is provided to reverse the authorization in case of mistake.

Authorizing is generally performed for the Legal Group Index, Records Retention Rules, and Standard Record Series, in that order, at one time. You may authorize a record or entire table, for a currently open table, for testing and review purposes.

1. From the **Main Menu**, select **Functions | Administrator Functions | Authorize / Unauthorize | Authorize | All**. The authorize function will proceed for the 3 tables.

2. Open **Legal Group Index** and review the text and retention information. Notice that the retention data is display in the Authorized column, using the authorized color (default: black). The Text in both the tree and display is display in the authorized color (default: black).

3. Select the record BUS120, “Business Organization | Corporation | Meetings”.

4. Open the right-click popup menu and select **Edit | Text**. Change the third line “Meetings” to “Meetings – Board and Shareholder” and press **Save**. Notice that the revised text appears with the authorized text. This is a visual clue that you have proposed some changes to your authorized data.

Note: When a records retention program is initially developed in Retention Manager, all the data is initially proposed and then all the data is ultimately authorized. Subsequently, the data will be added or modified, and then authorized again.

5. Open the right-click popup menu and select **Edit | Retention**. Change the retention period to 10. Notice that the proposed text appears with the authorized text. This is a visual clue that you have proposed some changes to your authorized data.

6. Close **Legal Group Index**.

7. Open **Legal Group Index** and review the text and retention information for BUS120. Notice that the retention data is displayed in the Proposed column, using the proposed color (default: red). But, the text in both the tree and display still shows both the authorized and proposed data.

Note: The system does not know how to unauthorized data, when there is proposed data. Therefore, as a safeguard, no change is made.

You revert back to the authorized version, change the proposed text to be the same as the authorized text, and authorize again.

8. From the **Main Menu** select **Functions | Administrator Functions | Authorize/Unauthorize | Authorize | All**. The authorize function will proceed for the 3 tables.

9. From the **Main Menu** select **Functions | Administrator Functions | Authorize/Unauthorize | Unauthorize | All**. The authorize function will proceed for the 3 tables and restore the data to the proposed state.

Exercise 3: Restoring Profile

In Lesson 4 you learned how to use Profile. While Profile is a very important function to enhance productivity in legal research, you can also make significant mistakes during a session. Profile is automatically backed up (based on your Preference setting; default: last 10 versions are preserved) to enable you to recover from major mistakes in Profile, and the Restore Profile function enables you to revert back to one of these previous versions.

1. From the **Main Menu**, select **Functions | Administrator Functions | Restore Profile**.

2. Select a previous Profile version to restore based on time and date and press **Restore Profile.** Profile then opens display the previous version for your review.

3. Close Profile. If you wish to revert to the previous version, then select **Save Changes and Regenerate Profile** and press **OK**. If you do not wish to revert to the previous version, then select **Reject All Changes** and press **OK**.

Note: When you restore a previous version of Profile, the current version is first saved and can be restored at a later time.

Exercise 4: Rebuilding Data

Data can become corrupt due to power failures, power surges, or other unanticipated events. ***The best safeguard against data loss is to regularly backup up your data.***

In many cases, the Rebuild function can rebuild the data, data structures and indexes for both the User Data (e.g., Legal Group Index, Standard Record Series, etc.) and the System Data (e.g., Legal Research Index, Agency, Header, etc.) If you suspect data corruption, you may try to rebuild the data. If the problem persists, then restore from your last backup or contact Technical Support. However, Rebuild will not correct all data problems, so backup your data regularly.

♪♫ *Note: Rebuilding the System Data and the Search Indexes could take a long time based on your computer and network speed and level of optimization.*

Certain files will be automatically rebuilt after an update. Search indexes will be flagged to rebuild after a data update. Similarly, data tables may be flagged to rebuild when the data structure changes. The software automatically handles these situations.

1. From the **Main Menu**, select **Functions | Administrator Functions | Rebuild | Data**.

2. Select **User Data** and **All Data Files** and press **Start** to rebuild.

♪♫ *Note: You may also rebuild individual tables if you believe only one table has a problem by selecting Selected Data Files and the file to rebuild.*

Exercise 5: Converting Retention Manager 2 Data

The data structures for Retention Manager 3 are different than Version 2. If you install Version 3 on the same computer as Version 2, the install will normally set a flag to begin converting Version 2 data to Version 3 format when you next open Retention Manager.

If you choose to convert the data at a later time or your Version 2 data is located on another computer, you can Convert by using this function.

Caution: Your current User Data will be replaced with your converted Version 2 data and you will lose any changes you have made to your Version 3 data. So make sure you backup your data before selecting Convert.

1. From the **Main Menu**, select **Functions | Administrator Functions | Convert**.

2. If you currently have Retention Manager 2 installed on the same computer, **Convert** will detect the previous version and begin the conversion.

3. If you do not have Version 2 installed on the same computer, you will get a caution message (since the Version 2 file “retman.ini” cannot be automatically found). You may then select the root directory where your Version 2 has been stored and press **Start** to begin the conversion.

Notes

Lesson

8

Retention Manager 3

Additional Retention Manager Functions

Purpose

This lesson teaches about the additional Retention Manager functions not previously addressed in this Training Guide.

Objectives

- Learn to set Preferences.
- Learn to customize Reports.
- Learn to use Help.
- Learn to update Retention Manager.

Exercises

Exercise 1: Setting Preferences

Some preferences can be set for all users (General and Function) and some can be customized for each individual user (Color, Spelling, Font Size, Display).

1. Open **Preferences:**
    - From the **Main Menu**, select **Tools | Preferences**.
    - From an open window, open the right-click popup menu and select **Preferences** (if listed).
2. Preferences is divided into 6 sections or tabs:
    - **General**: Includes a few general preferences that do not relate to other functions:
        - **Export Authorized Retention**: when checked, the authorized data for Records Retention Rules and Standard Records Series are exported according to the export standard. (Default: ✓ checked)

- **Automatic Title Generation**: when check, automatically generates titles as "subject1 / subject2 / subject 3 . . . " when titles exist. (Default: ✓ checked)
- **Confirm Changes**: When checked, you must confirm certain changes including deletions. (Default: ✓ checked)
- **Do Not Cascade Windows When Opened**: When checked, windows will all open in the upper left corner of the Retention Manager desktop. (Default: not checked)
- **Enabled Internet Update**: When checked, you can instruct Retention Manager to automatically install any software updates. Caution: Most corporate IT Departments will not permit this function to operate so you must then download the latest updates from the Internet site and install them yourself. (Default: not checked.)
- **Use Workstation for Temporary Files**: When checked and you have a Network Install, certain functions will create temporary files in your \retman3\temp directory to significantly enhance speed and performance. (Default: ✓ checked)

- **Color:** You may select the color for authorized, proposed, special and background.
- **Spelling**: You can enable automatic spell checking, set the criteria for checking alpha-numeric or upper case words, and control the placement of the spelling window.
- **Font Size**: You can control the font size for most parts of the function displays.
- **Display**: You can control what information is displayed. (Currently only affects Legal Research Index.)
- **Function**: You can control preferences within the listed function such as the number of Profile versions saved.

Exercise 2: Customizing Reports

You can customize the parameters of existing System Reports.

1. Open **Reports**. You can open any of the System Reports by double-clicking on the report name or selecting Preview from the right-click popup menu.
2. Select *Legal Group Index* report and double-click on the report name to open the report. Notice that the word "Proposed" appears over the subjects and the phrase "Both Proposed and Authorized" appears in the lower right corner.
3. Close the report window.
4. Select Legal Group Index report.
5. Open the right-click popup menu and select **Copy to User Defined / Frequently Used Reports**. The report is copied to the **User Defined / Frequently Used Reports** section of the tree. Once the report is copied to this section, you can edit the parameters.
6. In **User Defined / Frequently Used Reports**, select Legal Group Index. Open the right-click popup menu and select **Edit**.

7. In the Edit Report screen, select Display Status on the bottom, change the value from “B” (both proposed and authorized) to “P” (proposed only) and press **OK**.

8. In **User Defined / Frequently Used Reports**, double-click on Legal Group Index and the report opens. Notice that the word “Proposed” does not appear over the subjects and the word “Proposed” appears in the lower right corner.

Exercise 3: Adding a New Customized Report

You can add custom reports to Reports.

1. Open **Reports**.

2. Open the right-click popup menu and select **Add New Report to Custom Reports**. A directory window opens. You can select a report from \retman3\reports directory for training purposes. Normally, we recommend that custom reports be placed in the directory \retman3\userdata\co1\reports or equivalent.

3. Select the report “lr.rpt” from \retman3\reports and press **Open.** The report is added to the Custom Reports branch of the tree. You may then open that report or copy to **User Defined / Frequently Used Reports** to edit the parameters.

Exercise 4: Using Help

You can add custom reports to Reports.

1. From the **Main Menu**, select **Help | Help Contents** to open the Contents page of Help.

*Note: Press F1 or from the **Main Menu**, select **Help | Context Sensitive Help** to open Help for the current window.*

2. From the **Main Menu**, select **Help | Help Index** to open the index for Help.

3. The following additional buttons are available to help you find information:

- **Contents**: Opens the Table of Contents page.
- **Index**: Opens the traditional Windows Help Index. Select Find to search by word occurrences in the Help file.
- **Functions**: Access the Retention Manager functions through links.
- **Strategy**: Review the strategy for using Retention Manager.
- **Reference**: Review the publication *Records Retention Procedures* which documents the *Skupsky Retention Method* embedded in Retention Manager.
- **Glossary**: Review the definition of some common terms used in records retention.
- **<< >>**: Use to move to the next topic within a group of topics.

Notes

9

Lesson

Retention Manager 3

Understanding the Skupsky Method

Purpose

This lesson will present an overview of the *Skupsky Retention Method*, the retention model on which **Retention Manager 3** is based.

Objectives

- Understand the components of a record retention program.
- Understand the differences between the traditional retention program and the *Skupsky Retention Method*.

An Overview of The Skupsky Method

The *Skupsky Retention Method* includes many of the same components found in traditional records retention programs. It differs more in process than appearance.

THE COMPONENTS OF A RECORDS RETENTION PROGRAM

A records retention program will usually consists of the method for determining record retention periods, a retention schedule and retention procedures.

The Method for Determining Retention Periods

The best retention programs incorporate methods for determining legal, user (or operational), or other retention periods for records. Most incomplete or defective records programs only specify one retention period — the total retention.

Legal retention periods represent the period you keep records for legal reasons. User retention periods represent the period record users need records to do their jobs. Other retention periods, such as historical, reflect other values or needs related to records. The total records retention period is the longest of any of these retention periods. Each type of retention period plays an important role in determining the appropriate retention period for your records.

The Records Retention Schedule

The records retention schedule is a report identifying the approved retention period for your organization's records. The schedule identifies the "office of record" — the segment within your organization that maintains the "official" version of the records for the full retention period.

Records Retention Procedures

The program policies and procedures control the development of records retention periods, preparation of records retention schedules, and implementation of the program. These procedures ensure that records are maintained for the appropriate periods, meet legal, user and other needs, and are then destroyed.

Legal, tax, records management, executives and department heads review and approve the retention schedule and procedures. Records management then distributes copies of the retention schedule and procedures for implementation.

This lesson reviews the procedures for determining the retention periods, developing the retention schedule and establishing the retention procedures. These procedures are also published in *Records Retention Procedures*, which fully describes the *Skupsky Retention Method*.

The Traditional Retention Program

The traditional records retention approach features a detailed records retention schedule containing hundreds or thousands of entries. You normally determine the retention period for each entry independently.

The traditional approach has the following disadvantages:

- Records retention schedules often identify records by title instead of record series — a group of similar or related records, used or filed as a unit. A typical, traditional retention schedule might contain a listing of over 1,000 records and their associated retention periods.
- Retention periods generally cannot be determined unless you specify the precise record title.
- Similar records may be identified by different titles.
- Retention periods for similar titles may have different retention periods.
- Retention schedules provide information primarily by department and record titles. The retention schedules must be revised each time the organization reorganizes. Since some organizations reorganize quite frequently, the retention schedule may constantly need overhauling.
- Program development and maintenance is extremely time consuming due to the large number of record titles.
- Assignment of legal citations by record type is time consuming, cumbersome and inaccurate. Even when the preparer attempts to perform legal research, the program cannot adequately display this information.

Some records managers, particularly in the government sector, refer to this traditional type of records retention schedule as a "detailed schedule." Because it is detailed, it is harder to use, less accurate, often riskier and more difficult to maintain than our new approach.

The New Philosophy

The *Skupsky Retention Method* offers a unique way to organize and apply information to determine the records retention periods. The method is surprisingly simple, but accurate! By relating large numbers of laws and grouping large numbers of records, you can confidently determine the appropriate retention periods for your records. Most traditional approaches to records retention produce inaccurate results. The *Skupsky Retention Method* follows the "80/20 rule" to produce more consistent, accurate results.

The 80/20 rule can be characterized as follows: you will spend about 20% of the time to perform 80% of the work, and the remaining 80% of the time to do the remaining 20% of the work. As a corollary, you will spend about 20% of the time to make something 80% accurate and the remaining 80% of the time to make the remaining 20% accurate. These estimates of time requirements and accuracy relate extremely well to the new retention concept.

The *Skupsky Retention Method* eliminates many problems found in traditional retention programs. Because each functional category encompasses a large number of functionally related records in one category, the chances of making errors are extremely small. The new retention program could conceivably be 80% complete and 80% accurate while spending 20% of the time you would spend preparing and updating a traditional retention schedule. The remaining 80% of your time and energy can be spent dealing with specific complex retention issues and carefully considered exceptions.

While organizations strive to make their records retention programs 100% complete and accurate, few even come close. The *Skupsky Retention Method* brings you closer to that goal.

The Files

The *Skupsky Retention Method* uses the interrelationship of five major files, plus several minor files:

- **Legal Research Index**
  This is a file or report identifying the laws considered for retention purposes and organized by legal group code and subjects.

- **Legal Group Index**
  This is a file or report that groups or categorizes related laws for retention purposes. Rather than applying many tax laws to your records, for example, you only apply one legal group. The legal group specifies a retention period that reflects the legal retention periods for the laws assigned to the group. You assign each legal group a legal group code.

- **Records Retention Rules**
  This is a file that groups related records into categories. Each category reflects either an appropriate grouping of records for retention purposes or a functional activity performed by the organization. Some may view these categories as very large record series. Others refer to the schedule as a "Functional Records Retention Schedule." Each retention category includes a retention code, description of the records covered; the legal, user, other, and total retention periods; the office of record designation and the retention period for copies. By assigning the appropriate legal group code from the **Legal Group Index** to each retention category, you then transfer the legal retention period for that legal group to the records retention rule.

- **Standard Record Series**
  This is a file that describes the records within an organization. The record series are organized "functionally" – reflecting the basic functional areas found in most organizations (e.g., Accounting, Finance, Human Resources, Legal, Public Relations, etc.). Each retention category includes a record series code, hierarchical subjects, description, plus the related records retention rule that provides the retention periods. By assigning the appropriate records retention rule from the **Records Retention Rules** to each record series, you then transfer the retention period from the records retention rule.

- **User Records**
  This is a file of your records inventory or record series for a previous retention program with the related records retention periods. The report looks like a traditional, detailed retention schedule, but you produce it by a totally different method.

Retention Manager 3 helps you implement this philosophy by providing you with the legal database and software tools to design and implement a legally–defensible retention schedule.

Note