Purview Records Management: Ensuring Your Data is There When You Need It

TechCon 365

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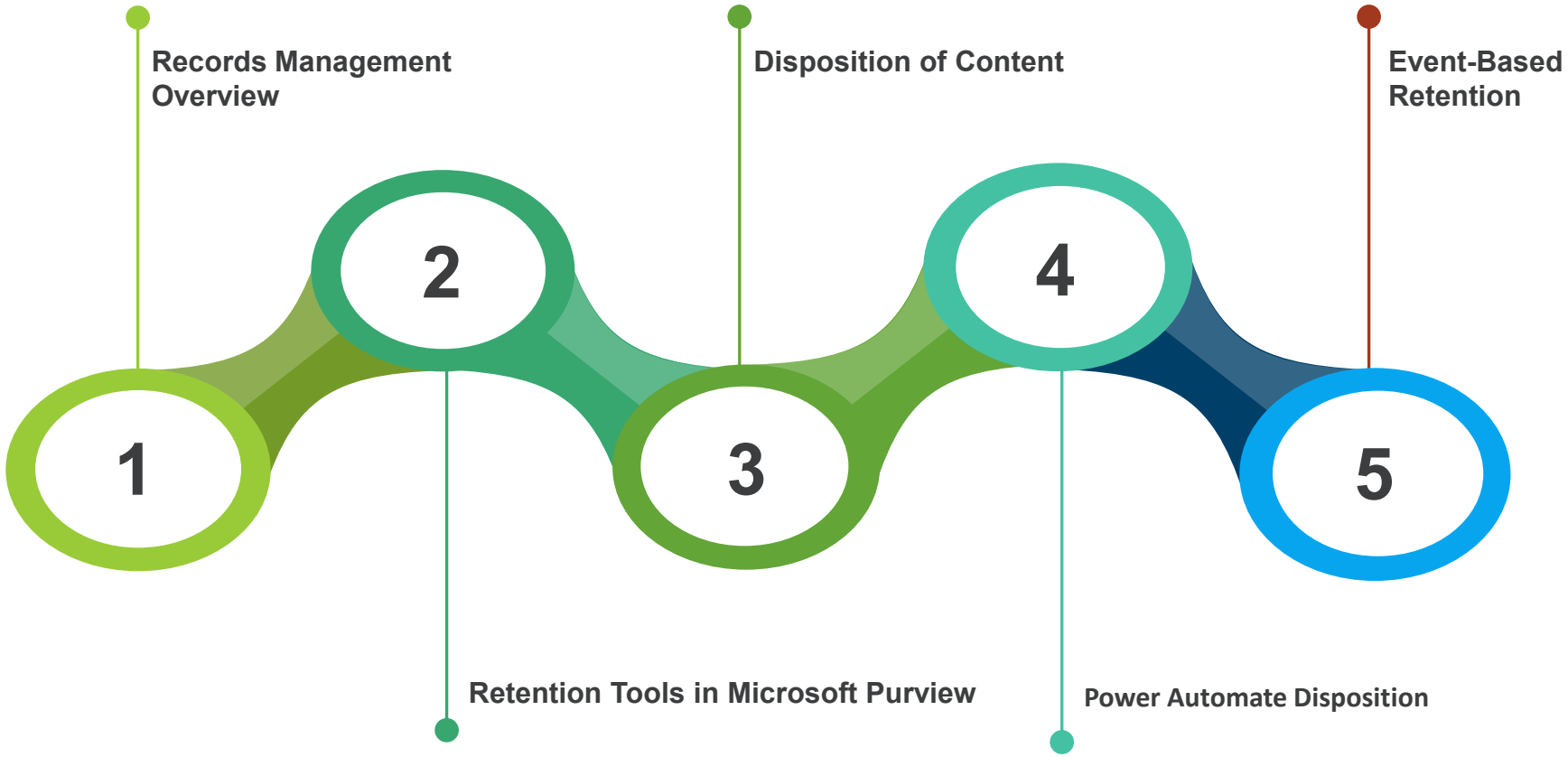
What we'll discuss today



Records Management Overview

Introduction to Microsoft Purview Data Lifecycle and Records Management

Govern Data with Microsoft Purview

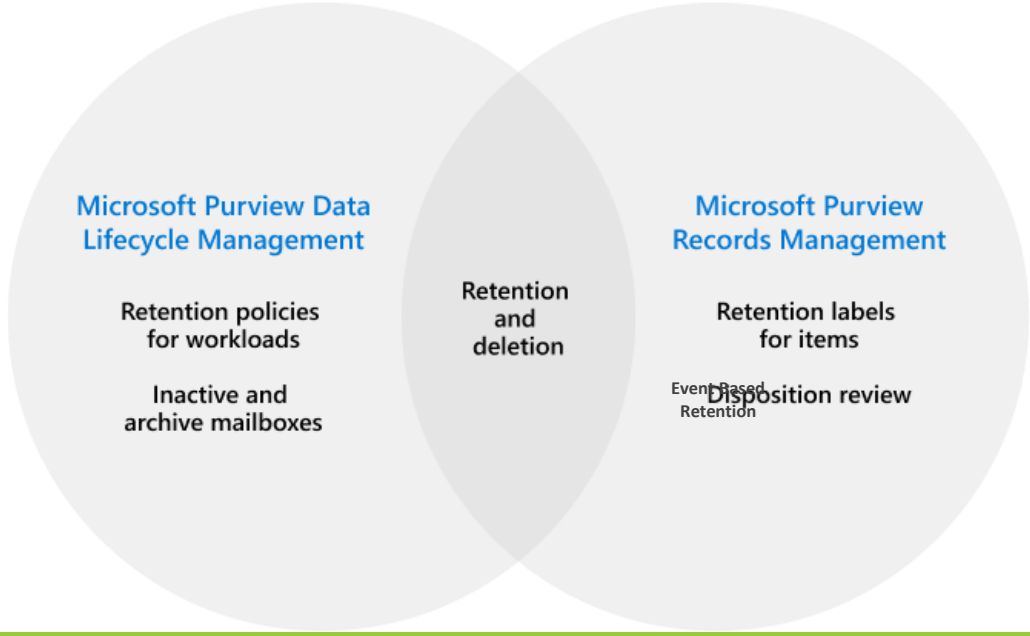
Microsoft Purview Data Lifecycle and Records Management provides organizations with tools to manage data from creation through to disposal, ensuring compliance, data quality, and efficiency throughout the data lifecycle.

- **Data Lifecycle Management in Microsoft Purview** focuses on the handling of unstructured data from its creation to its final disposal.
- **Records Management in Microsoft Purview** emphasizes the handling of specific data designated as "records," which must be maintained for legal, compliance, or historical purposes.

Both solutions support retention and deletion of data for Microsoft 365 apps and services.

Use Microsoft Purview Data Lifecycle Management to keep what you need and automatically delete what you don't.

Use Microsoft Purview Records Management to manage your organization's high-value items for business, legal, or regulatory record-keeping requirements.



How Microsoft 365 Views Records Management

In-Place Records Management	• When declared as a record, data is not moved but maintained at the location it is currently stored. This helps to ensure users know where their data resides. • When documents are archived for retention purposes they do not need to move. Microsoft 365 (M365) tracks and maintains content where it is. • In fact, in order to move a declared record special permissions are required to do so.
Disposition Control	• Once data is no longer required M365 doesn't simply remove it or archive it. • It can do this, but the preferred method is disposition reviews • Disposition reviews allow data owners to determine if data should be maintained or removed.
Information Management is More than Retention	• Labeled data (sensitivity or retention) can be used for easier searchability and organization • Labels applied to data can be used for protecting data. The system can search for particular labels to apply protections to. • Protection of sensitive data is a key component of records management in M365
Balancing the Experience	• Records Management can be invasive. In some cases the processes can be so complex they are no longer user friendly • Things don't get done • M365 provides automation processes to decrease user involvement, but still give the business the required controls to ensure proper data governance.

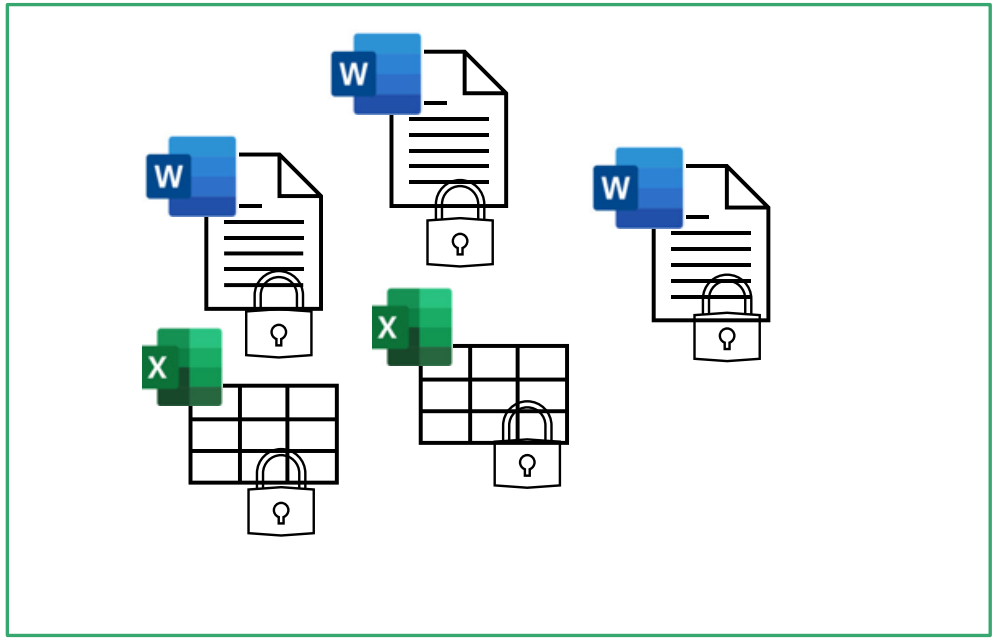
Retention Tools in Purview

Retention Tools in Purview

Retention Policies

- Applied to containers and apply a consistent retention policy to all content within the container (Umbrella approach).
- Applied when content is deleted by moving deleted content to a hidden folder or library (only admins can access hidden folder or library)
- Retention period is triggered either on created or last modified date of the content
- Occurs “behind-the-scene”. It is not something that users can directly interact with
- Retention settings do not travel with the document

Retention Policy

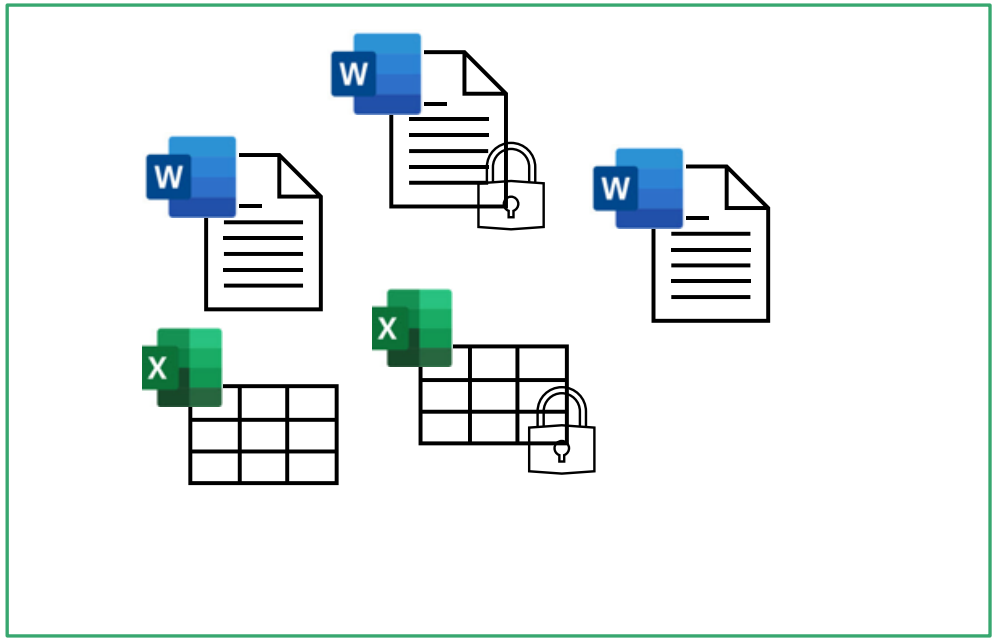


Retention Tools in Purview

Retention Labels

- Enable granular retention periods to be assigned to individual documents and emails within the same container
- Can be manually applied (user interaction) to emails or documents (e.g. user selects a retention label for a file in a SharePoint site or an email)
- Advanced trigger support for retention periods
- Disposition Reviews available
- Event Based retention where retention periods begin based on a non-standard event within an organization (Employee termination, Fiscal Year-End, etc)

Retention Label



Retention Tools in Purview

Retention Label Policies

- Push retention labels to their destination
- Retention labels without a policy just exist as objects within the compliance center of M365.
- Controls where labels are available
- Can take up to 24 hours to publish labels to locations and up to 7 days for auto-labels to apply to existing data

Retention Labels and Retention Label Policies

Retention Labels

Define our record types, including retention periods, disposition actions, etc.

Budgets
ID: 0100
Retention: 5 years,
Trigger: On Creation, Fiscal Year End
Final Disposition: Destroy

Contracts (Master Set)
ID: 0110
Retention: 10 years
Trigger: On Creation, Contract Expiry & Full Satisfaction of conditions
Final Disposition: Destroy

Financial Reports– General Ledgers
ID: 0120
Retention: 10 years
Trigger: On Creation, Fiscal Year End
Final Disposition: Destroy

Retention Label Policies

Publish Retention Labels to sites, etc. by using Retention Label Policies

Publish Budgets & Contracts

Publish Contracts

Publish Contracts & Financial Reports

Financial Reports – General Ledger

Locations

The locations where we store and work with content

Publish Budgets & Contracts
(all) Exchange mailboxes
(3) SharePoint sites
(10) OneDrive accounts
(3) Microsoft 365 groups

Publish Contracts
(0) Exchange mailboxes
(1) SharePoint sites
(0) OneDrive accounts
(1) Microsoft 365 groups

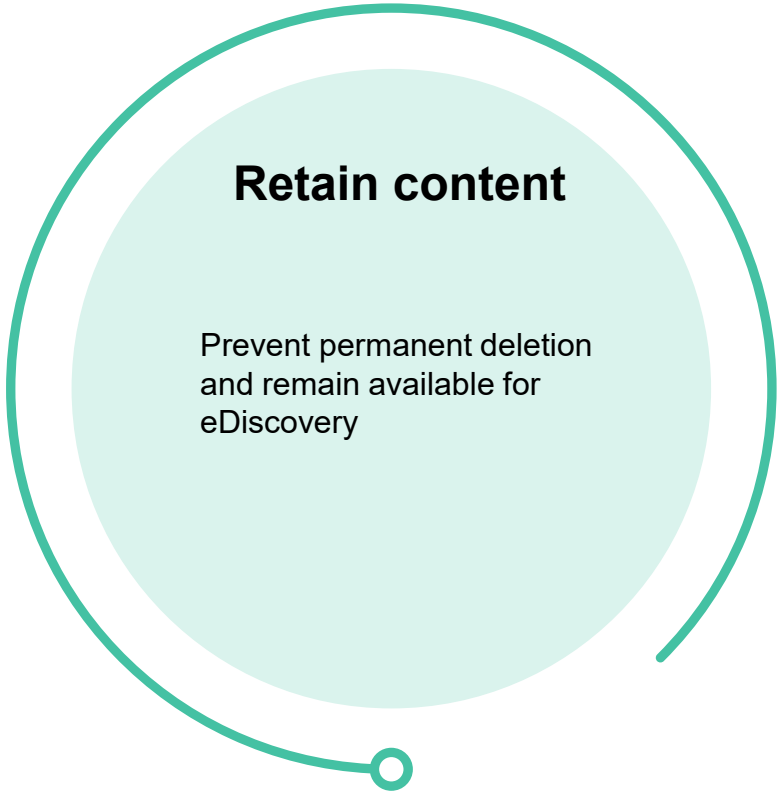
Publish Contracts & Financial Reports
(0) Exchange mailboxes
(1) SharePoint sites
(0) OneDrive accounts
(1) Microsoft 365 groups

Financial Reports – General Ledger
(7) Exchange mailboxes
(1) SharePoint sites
(0) OneDrive accounts
(0) Microsoft 365 groups

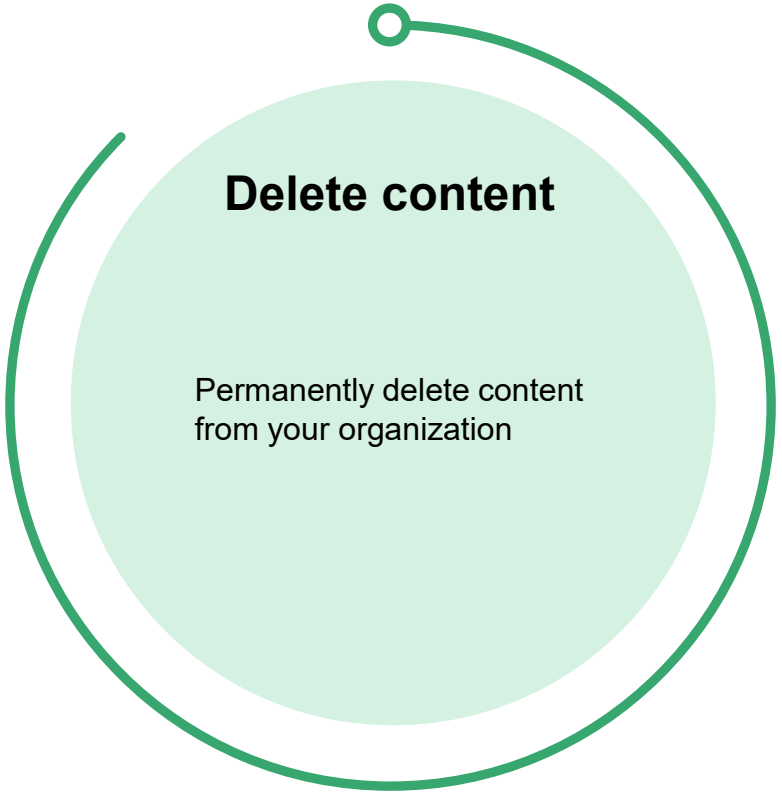
Retention Label Capabilities vs Retention Policy Capabilities

	Retention Labels	Retention Policies
Apply retention to content	X	X
Event-Based Retention	X	
Disposition Review (single and multi-stage)	X	
Manage content in SharePoint, OneDrive, Teams and Exchange	X	X
Manage Teams Chats and Viva Engage Posts		X
Apply based on sensitive information detected	X	
Apply based on metadata, words, or phrases	X	
Granular control of content (file level)	X	

Retention Settings Goals



Retain-only: Retain content forever or for a specified period of time.



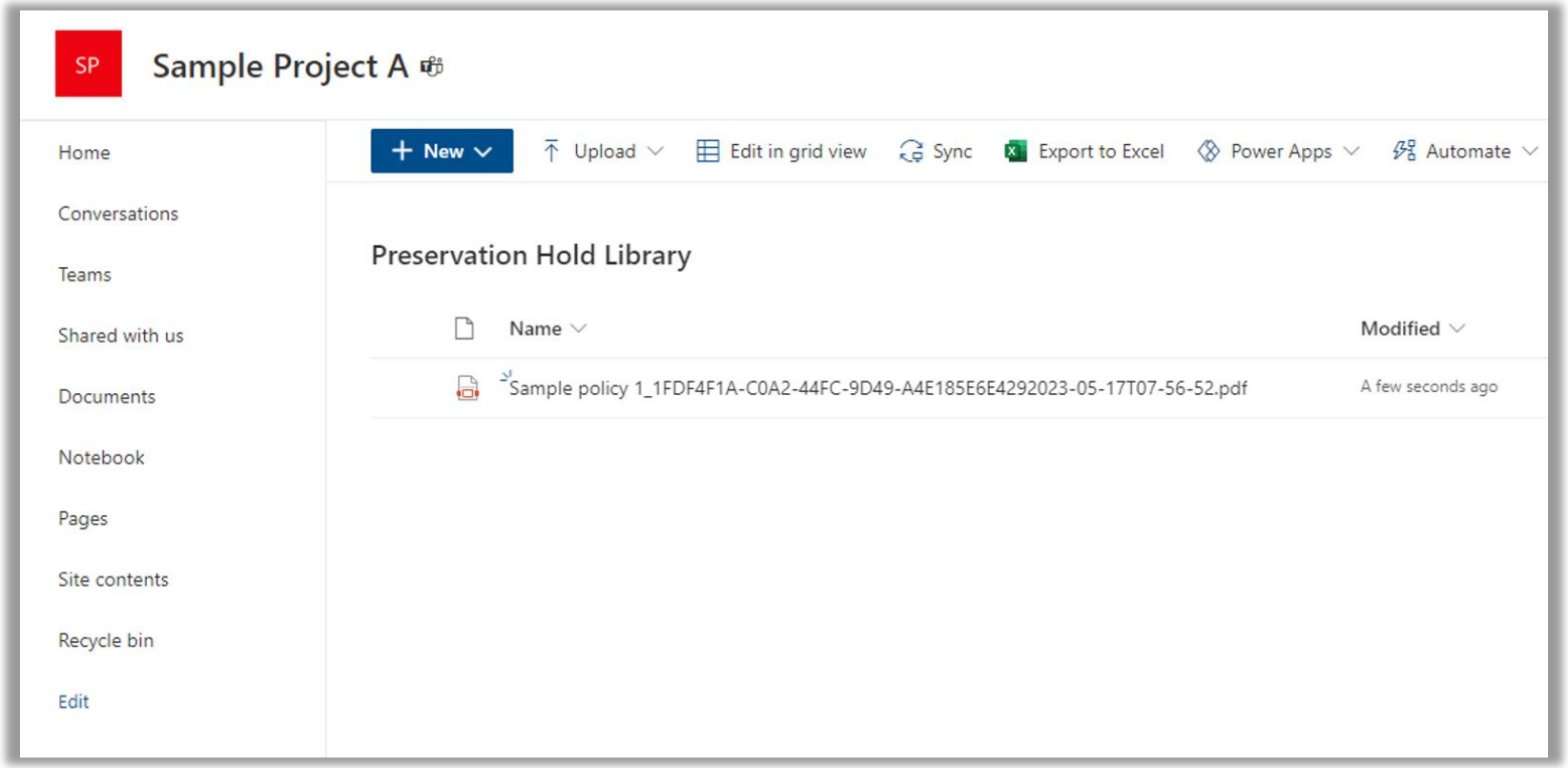
Delete-only: Permanently delete content after a specified period of time.

Retain and then delete: Retain content for a specified period of time and then permanently delete it.

Retention Setting for content in Place

SharePoint, Teams and OneDrive sites

- Deleted and original copy of modified files are preserved in the (hidden) Preservation Hold Library in each SharePoint site, Teams file storage (SharePoint), user's OneDrive site **which they can't see**
- Purview Content search and eDiscovery search are the administrative tools for searching in a site's Preservation Hold Library
- Site Collection Admins can navigate directly to it via URL: **~/sites/<sitename>/PreservationHoldLibrary** (but you shouldn't have to)



Retention Setting for content in Place

SharePoint, Teams and OneDrive sites	• Deleted and original copy of modified files are preserved in the (hidden) Preservation Hold Library in each SharePoint site, Teams file storage (SharePoint), user's OneDrive site **which they can't see** • Purview Content search and eDiscovery search are the administrative tools for searching in a site's Preservation Hold Library • Site Collection Admins can navigate directly to it via URL: **~/sites/<sitename>/PreservationHoldLibrary** (but you shouldn't have to)
Exchange mailboxes	• End-user won't see anything to indicate there is an eDiscovery hold or retention policy published to their mailbox • Deleted and original copy of modified emails are preserved in the Recoverable Items folder in each user's mailbox **which they can't see** • Content search and eDiscovery searches will return results from the Recoverable Items folder
Teams, Viva Engage messages, Microsoft 365 Copilot	• The copy is retained in a hidden folder named **SubstrateHolds** as a subfolder in the Exchange **Recoverable Items** folder.

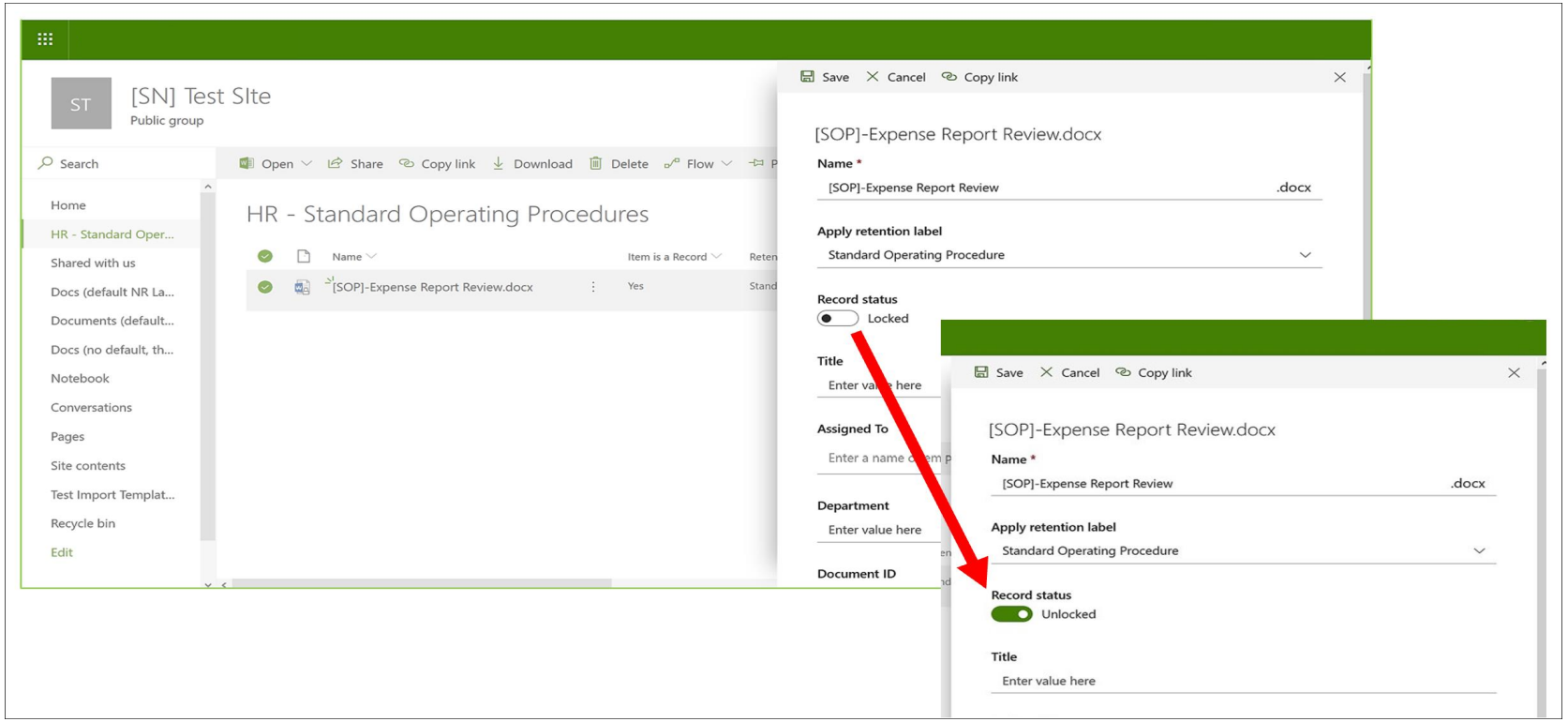
Types of Retention Labels

- Standard retention label
  - The document is retained as a single file (outside of SharePoint versions) and the last (most current) version of the document, and all its versions, **expire at the same time**.
  - This is true whether the document is in the PHL or in the active library (this depends on the tenant level setting if you will allow users to delete labeled documents

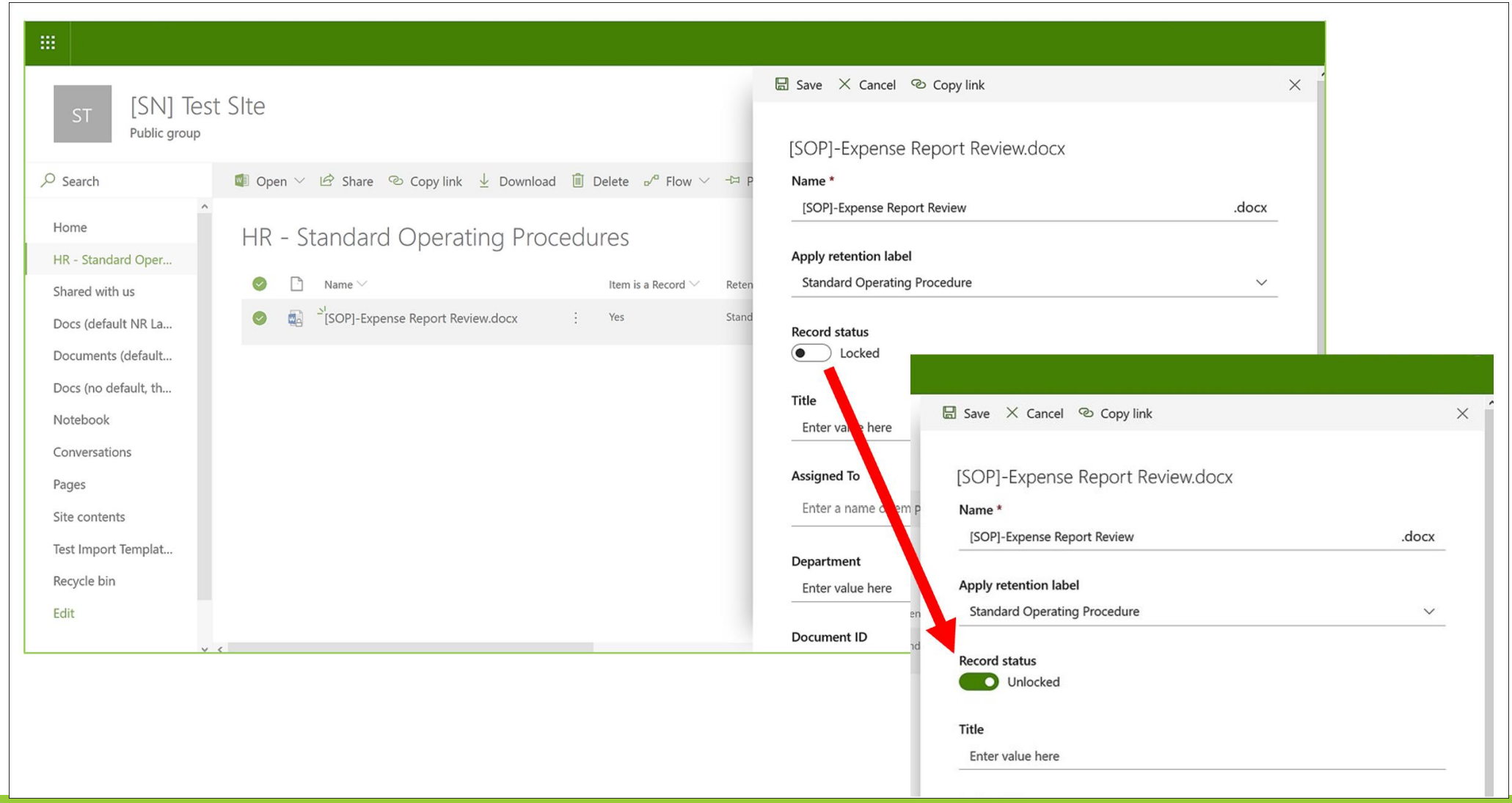
- Record retention label
  - If the retention label is configured for disposition review at the end of the retention period, each version undergoes its own disposition review.
  - Depends on the retention trigger for the label:
    - “Based on labeled date” – this ensures each retained record version in the PHL is under its own retention (older versions will be deleted before newer versions)
    - “Based on last modified date” – the retention clock will be set to the last modified date on all record versions in the PHL

Record Versioning

- Allows a document declared as a record to be modified
- Requires the user to unlock the record for editing
- Doesn’t update the record retained each time document is saved
- New version of the record is retained once document is locked again



Record Versioning



Disposition of Content

Types of Dispositions

Self Disposal

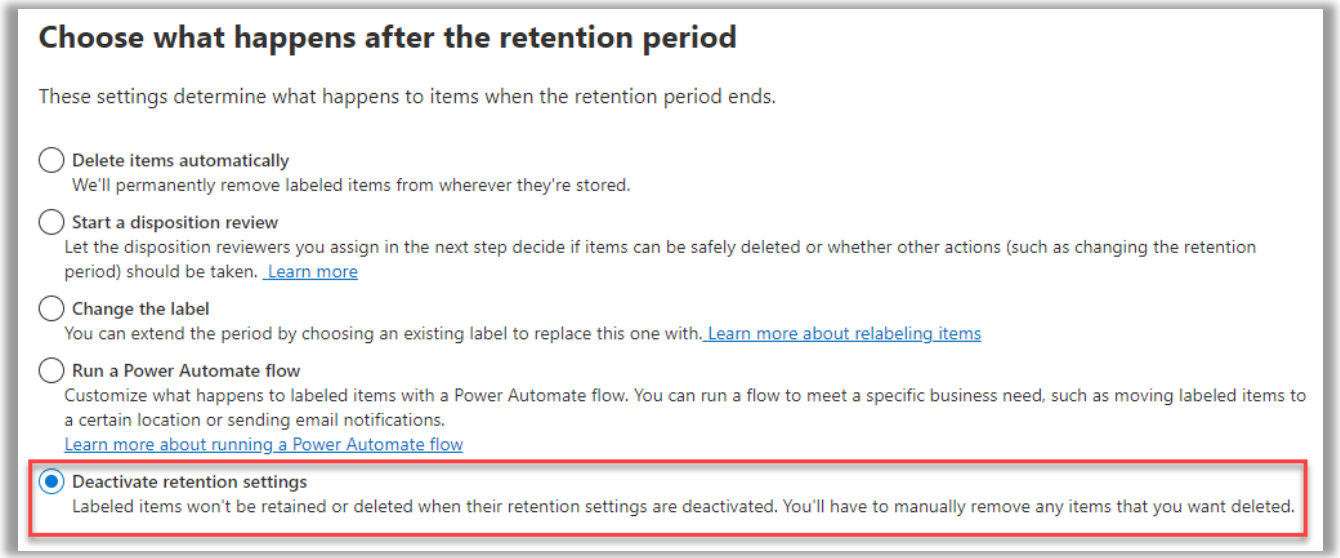
- Purview Records Management doesn't destroy
- It is meant to hold on to content for a required amount of time and let users delete it at their leisure.

Pros:

- User intervention is negligible

Cons:

- Does not guarantee a document will be removed when it is no longer required



Types of Dispositions

Auto Disposal

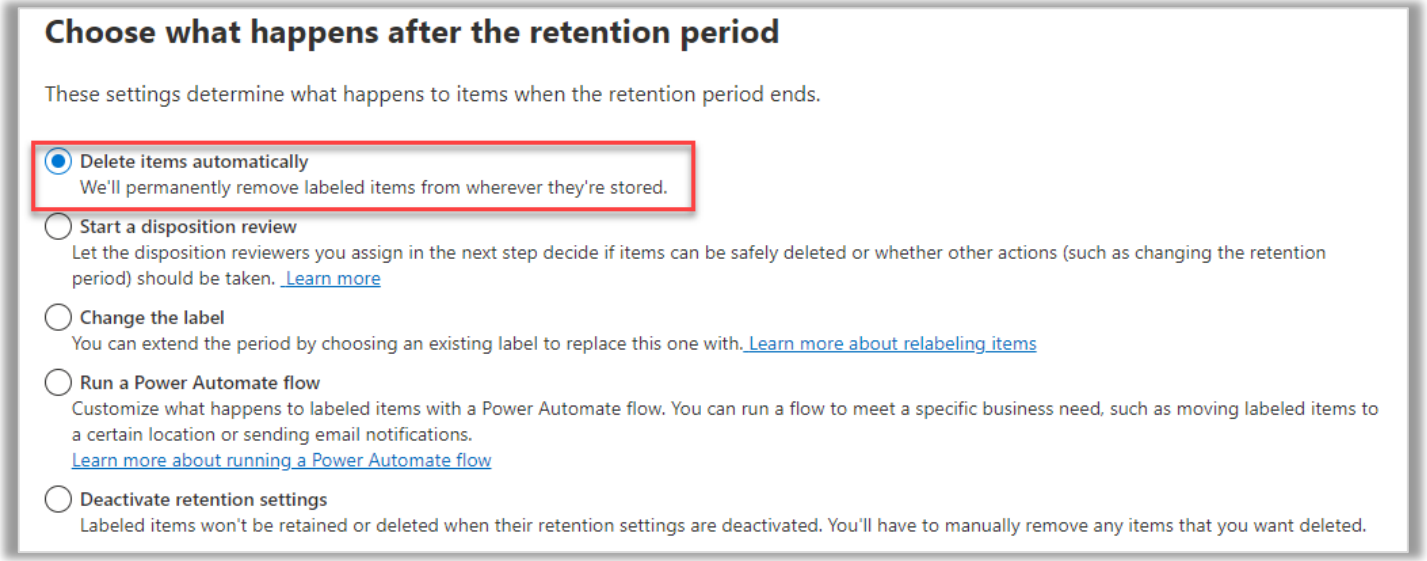
- Content is disposed of automatically at the end of the retention period.
- Purview uses the capabilities of the storage location to destroy the content

Pros:

- No user intervention required

Cons:

- Content may still be viable at the time of disposition. No way to stop the process.



Types of Dispositions

Daisy Chain Label

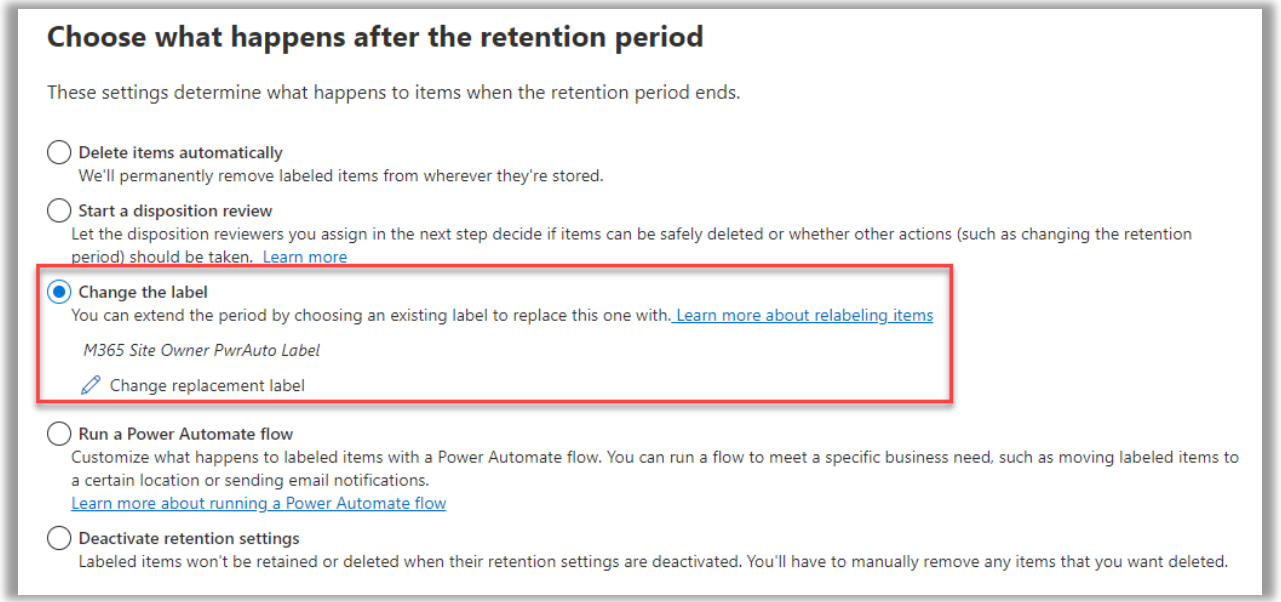
- Does not necessarily dispose of content directly but assigns a new label with configurations to do so.
- New label can provide permanent retention or specialized disposition processes.

Pros:

- Assignment of new label is automatic.

Cons:

- Can result in improperly maintaining content longer than required if the new label does not dispose of content.



Disposition Reviews

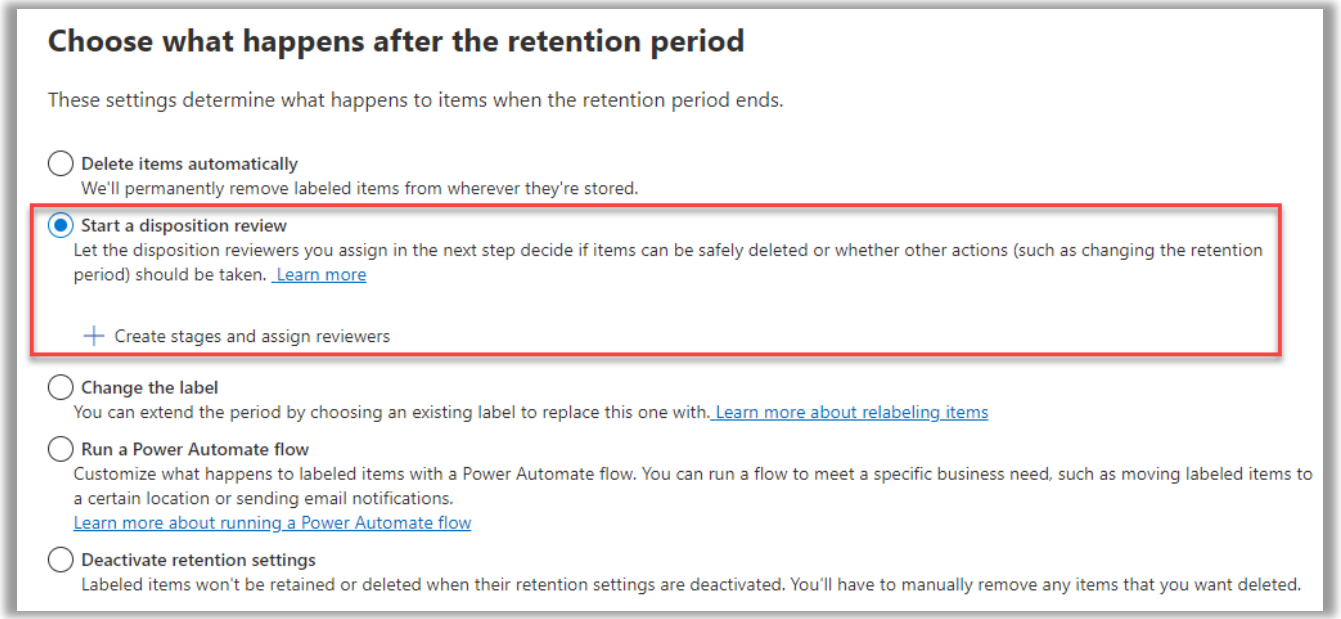
- Sometimes, content may not be ready for disposition as it is still viable to the organization
- Ensures content is not removed before it is first reviewed by a data SME and\or owner
- Notifies identified authorities that content has reached its end of life and needs to be reviewed before being disposed of

Pros:

- Ability to review content before it is disposed of.

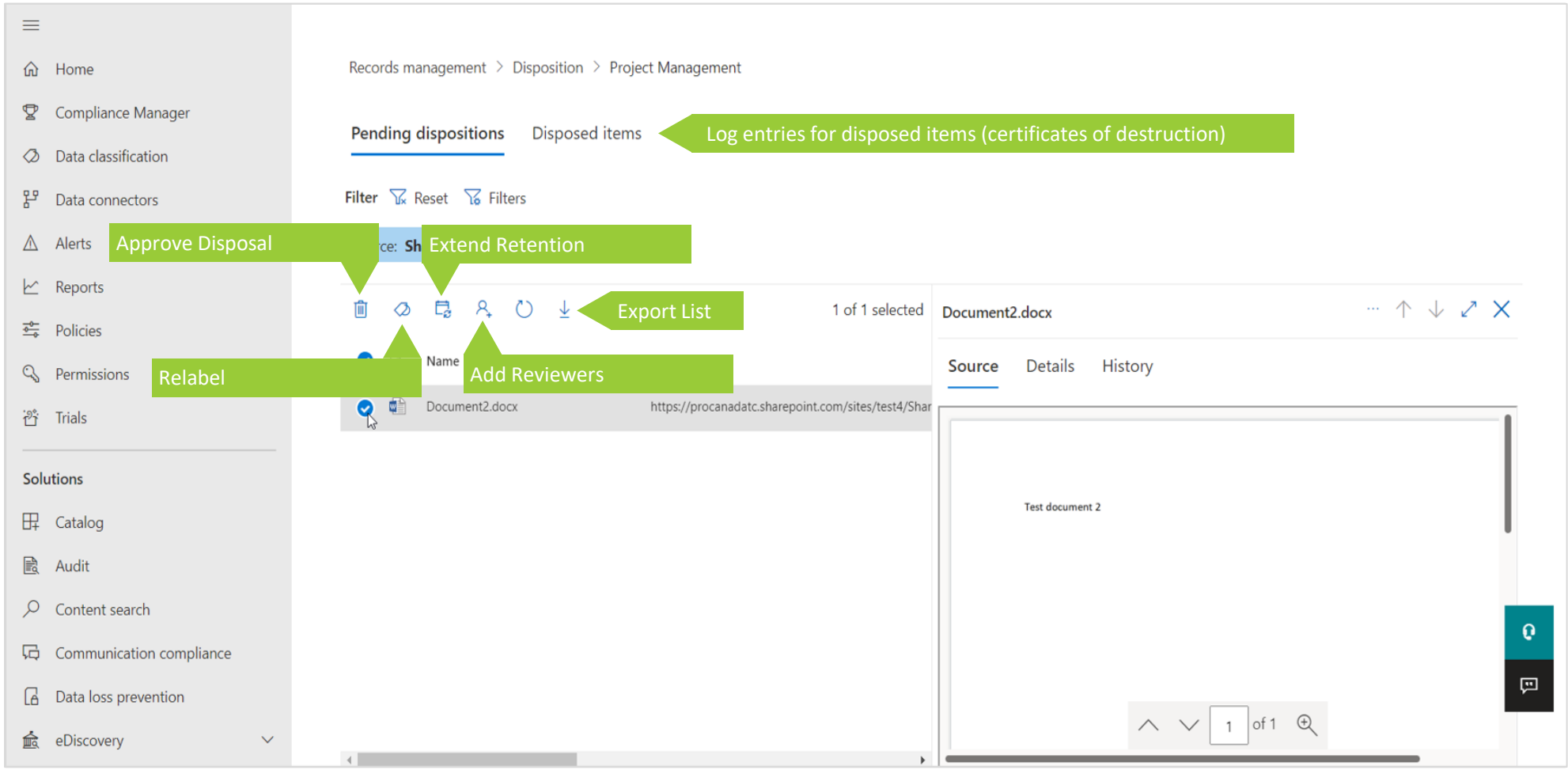
Cons:

- High need for user intervention
- Additional resources often necassary



Disposition Review

Disposition review provides options for bulk disposition, retention extensions, or re-classifications.



Review disposed items and export a list to provide proof of disposal.

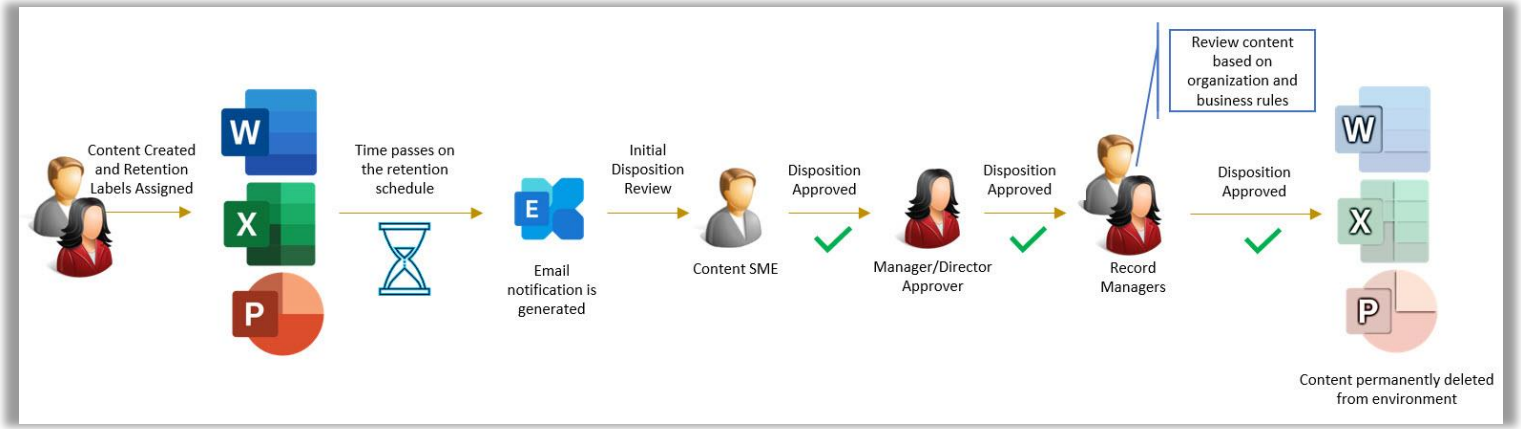
Options:

- View Content
- Approve Disposal
- Relabel
- Extend Retention
- Add Reviewers
- Export list results
- List of disposed items (log entries)

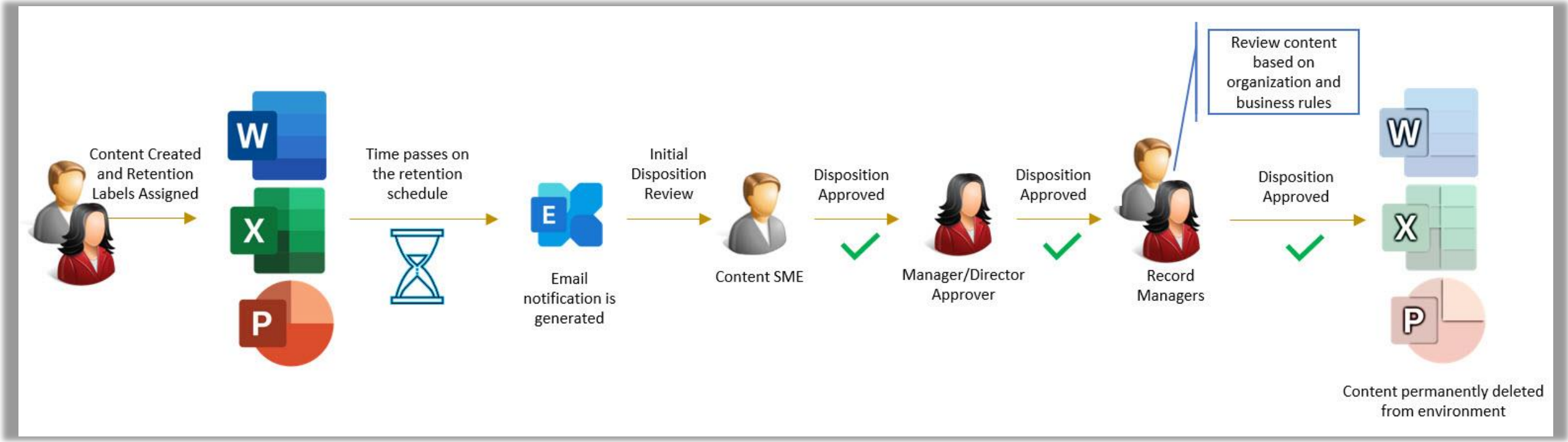
Multi-Stage Disposition

More complex disposition requirements can be handled with multi-stage disposition reviews:

- Allows for multiple tiers of approvals before content is removed.
- Label dependent so only labels that require the extra approvals are affected
- Use case: Policy changes require content creator to approve initial removal and then policy owner must also approve. Once policy owner approves, record managers provide the final approval.
- Only gets to the policy owner if the content creator approves the removal.



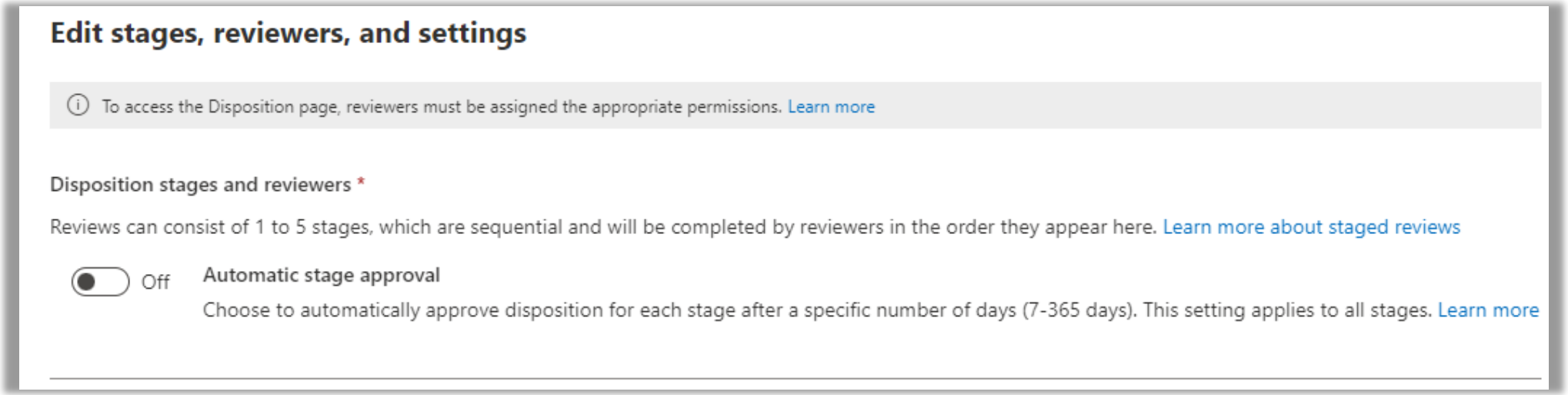
Multi-Stage Disposition



Short Circuiting the Disposition Review

There are times when it is necessary to override the disposition process and allow it to continue without user intervention:

- When there are more dispositions than can be handled by those responsible
- When disposition reviewers are consistently late in reviewing the content, and the information must be disposed of.
- When the organization's internal process allows for disposition reviewers to monitor the "important" content.



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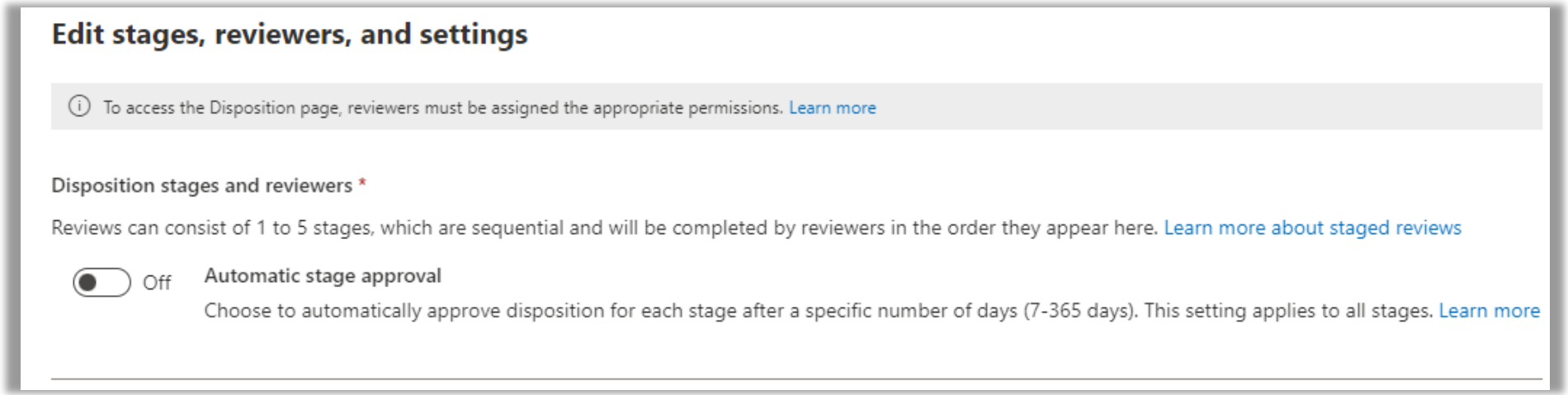
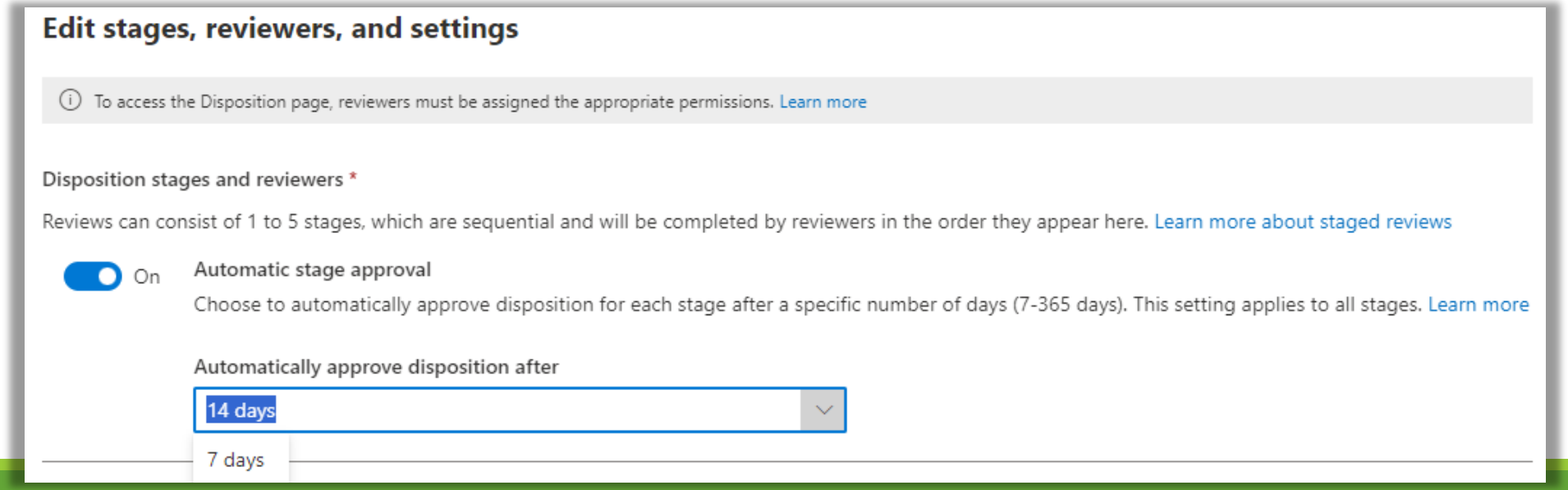




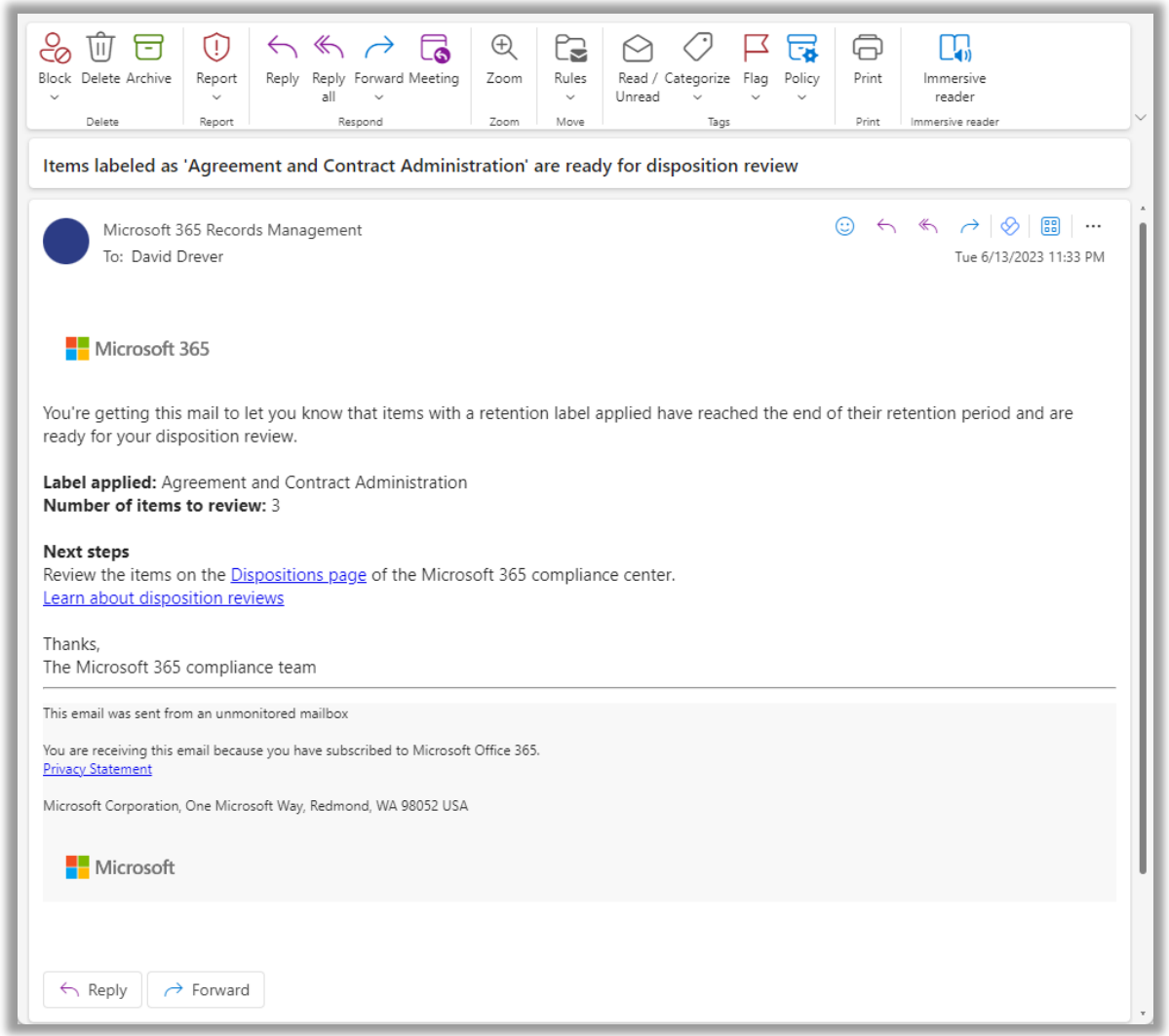
Disposition Notifications

When is a document disposed of?

- Disposition reviewers receive notice once a week
- Notification does not contain actual documents (have to log in to admin console)
- Can review dispositioned documents they have access to only.

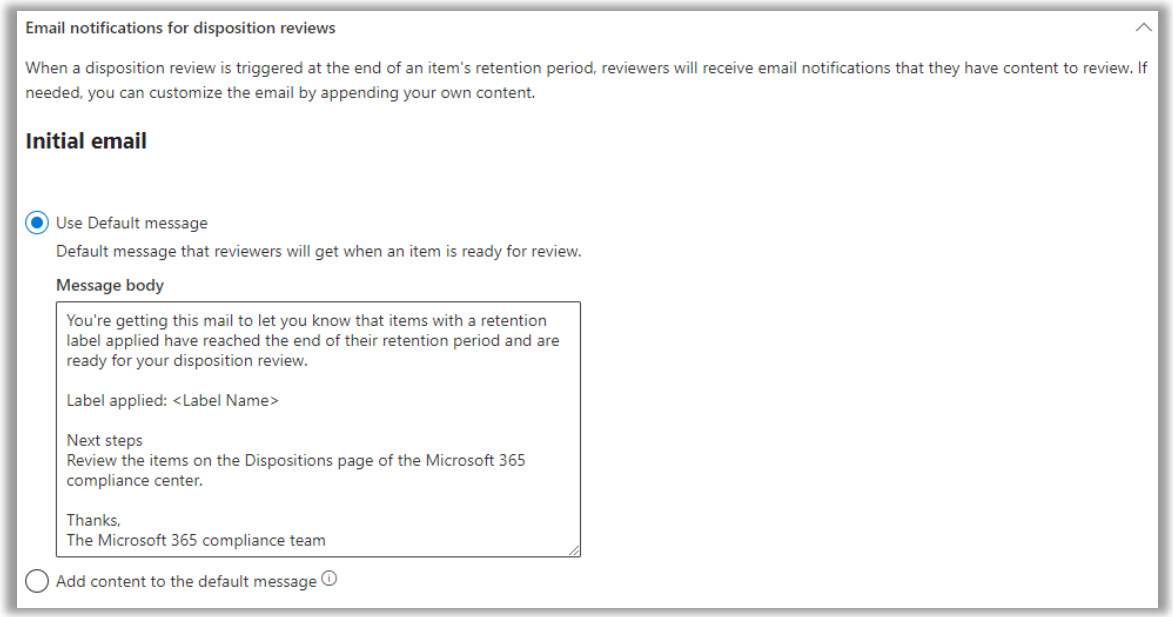
When is a document disposed of?

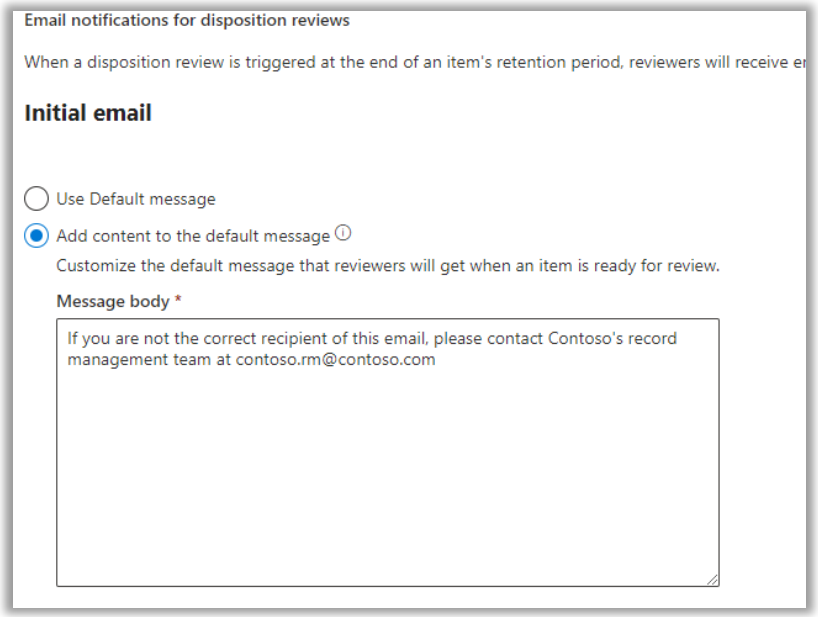
- Only after being approved
- Moved to recycle bin (SharePoint and OneDrive)
  - Deleted 93 days after entering recycle bin if not backed out
- Emails marked for disposition will be deleted 14 days after being tagged.
- All actions are tracked and reviewable in the M365 Audit Logs.



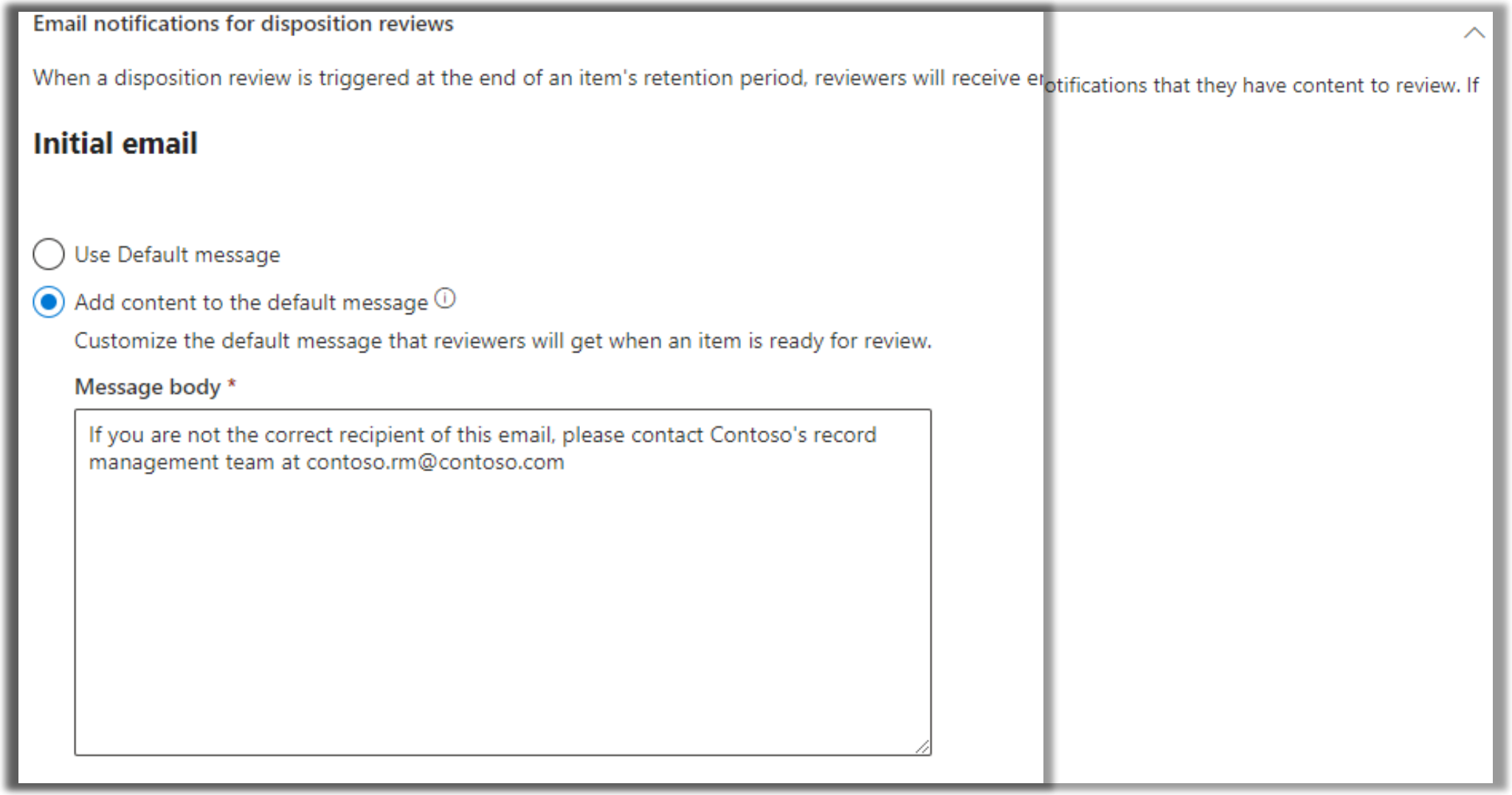
Customize the Notification

- Provide additional information beyond the default information in a default notification or reminder message
- Global setting → Affects **ALL LABELS**
- Cannot drastically change the message; only add additional content





Customize the Notification



Power Automate Dispositions

Advanced Disposition Through Power Automate

Power Automate Integration Process

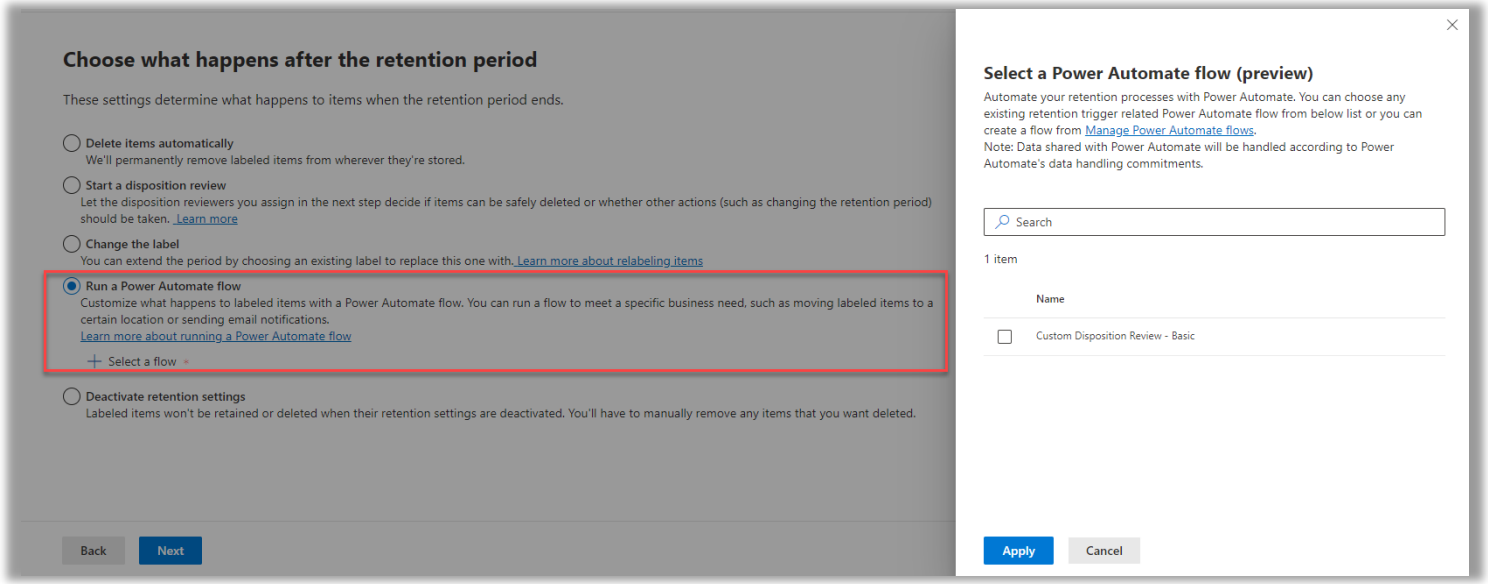
- Set at the retention label within disposition configuration
- Monitor M365 Purview for retention completion triggers
- Connects disposition process to an existing Power Automate workflow
- Works outside standard disposition process but integrates into it.

Power Automate Integration Benefits

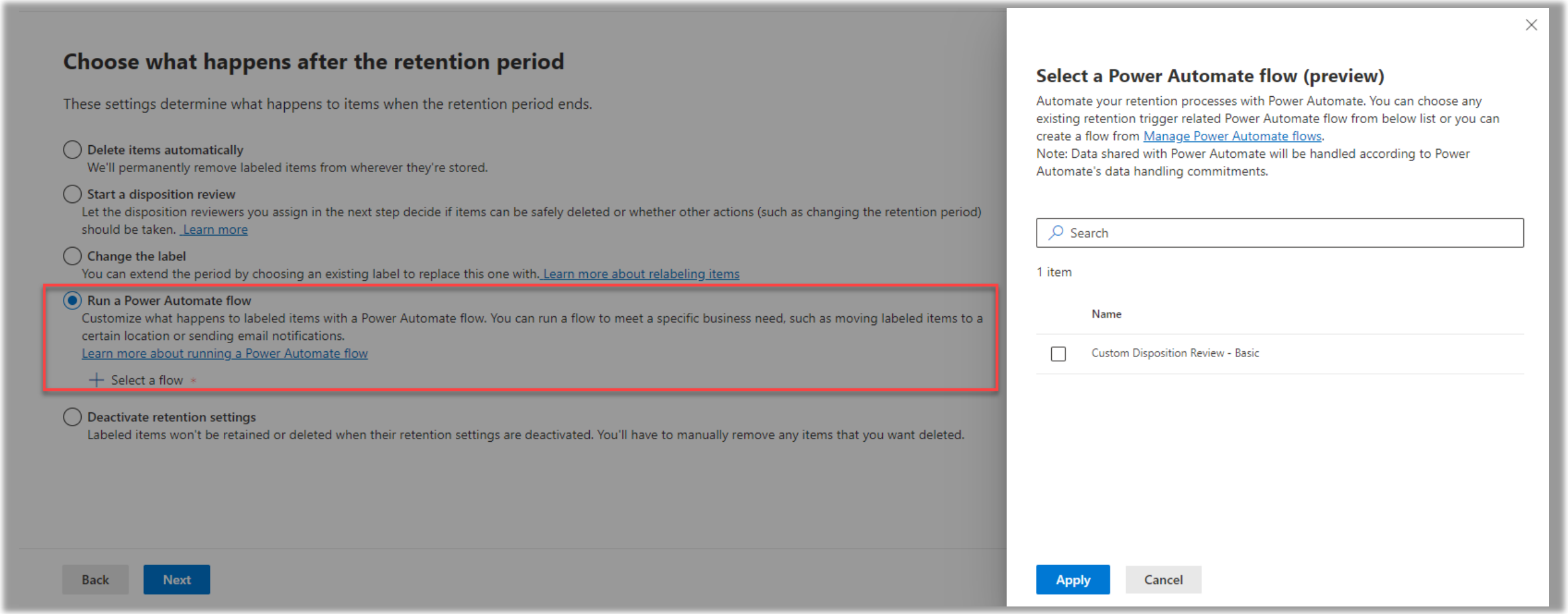
- Work beyond the limitations of standard and multi-stage disposition
- Fully customizable approval process
- Leverage versatility and robustness of Power Automate
- Allows for integration into other systems as part of the process

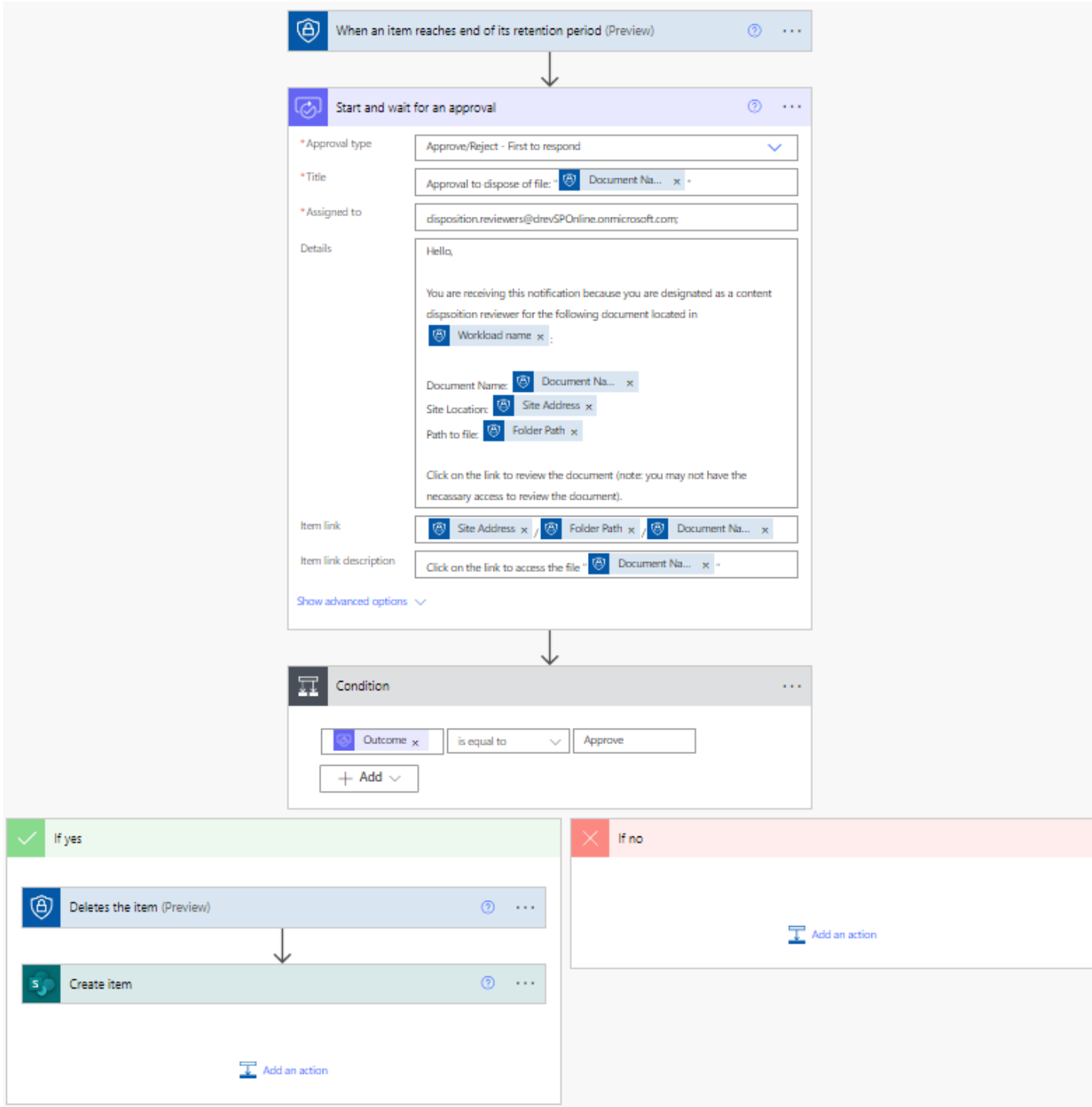
Considerations for Power Automate Dispositions

- Requires a Power Automate Premium license
- The user creating the label that links to the Power Automate flow needs to be the creator of the flow or a co-owner. Otherwise, the flow will not show up in the selection list
- To show up in the selection list, the flow must be created in the default environment of the tenant's Power Automate platform.
- Regulatory labels are not supported.



Considerations for Power Automate Dispositions




When an item reaches end of its retention period (Preview)
Start and wait for an approval
*Approval type
Approve/Reject - First to respond
*Title
Approval to dispose of file: " Document Na... "
*Assigned to
disposition.reviewers@drevSPOnline.onmicrosoft.com;
Details
Hello,
You are receiving this notification because you are designated as a content dispsoition reviewer for the following document located in
Workload name :
Document Name: Document Na...
Site Location: Site Address
Path to file: Folder Path
Click on the link to review the document (note: you may not have the necessary access to review the document).
Item link
Site Address / Folder Path / Document Na...
Item link description
Click on the link to access the file " Document Na... "
Show advanced options
Condition
Outcome
is equal to
Approve
Add
If yes
Deletes the item (Preview)
Create item
Add an action
If no
Add an action

Event-Based Retention

Microsoft 365 Event Based Retention

- Microsoft 365 is not limited to date-based retention. Microsoft 365 allows for retention policies to be applied based on events within the lifecycle of a document and not just based on the criteria when a document is created or modified

- Event based retention bridges the gap when applying a label can't depend on the created or the modified date.
  - Fiscal Year Ends
  - Project completion
  - Contract Expiration
  - Superseding of existing documentation.

- Commonly used to declare records within an organization

- Event based labels have the same capabilities/features as date-based labels.

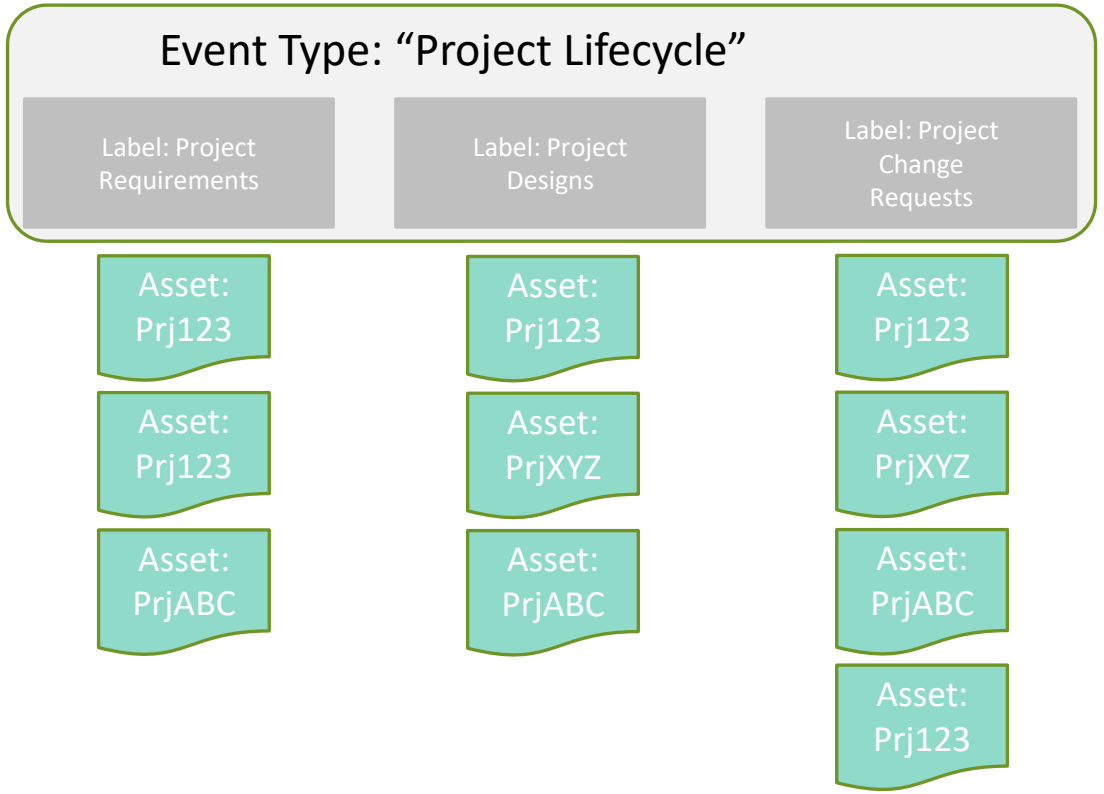
Microsoft 365 Components of Event Base Retention

- Event Type
  - A description of a concept to describe an event within the lifecycle of a document or series of documents
  - No special functionality attached to an event type. Is used as a container for event labels
  - An event type can be linked to multiple event labels

- Event Label
  - A label within Microsoft 365 with retention processes enabled.
  - Retention is applied based on an event (not date or when label is applied).
  - Associated with an event type

- Label Policy
  - Pushes the event label (and any other labels that are related) to the locations they need to be applied

Microsoft 365 Event Based Retention High level process



- Event Type Created – Project Lifecycle
- Event Labels Created and Linked to “Project Lifecycle”
- Documents Added within SharePoint and OneDrive with one of the three labels for “Project Lifecycle” assigned.
  - Can be anywhere that the labels have been applied to.
  - After label is added, Asset is set for the document.

Microsoft 365 Event Based Retention High level process

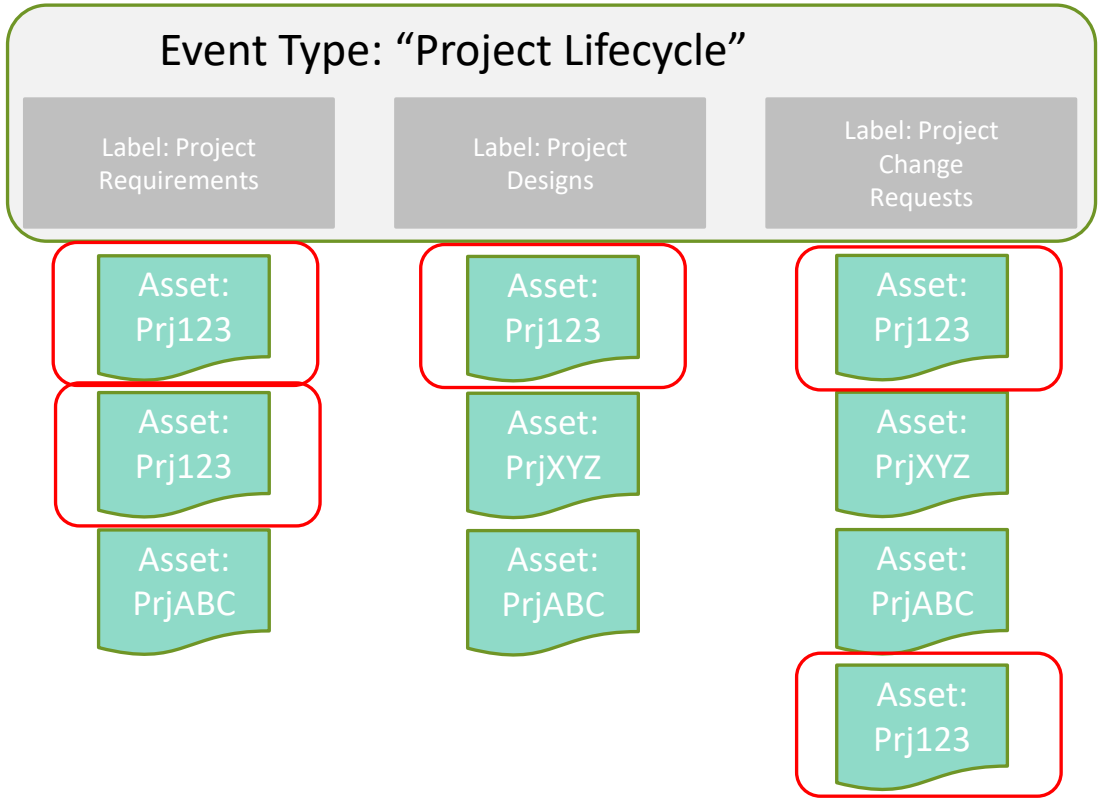
Event Type: “Project Lifecycle”

Prj123 completes -> Event for Prj123 occurs against Project Lifecycle

- The Project ends so the Records Manager declares a Project Lifecycle Event to have occurred in M365
  - The AssetID Prj123 is set in the event.

- **NOTE: If the asset is not declared the event will fire for <u>ALL</u> documents with the Project Lifecycle group of labels assigned.**

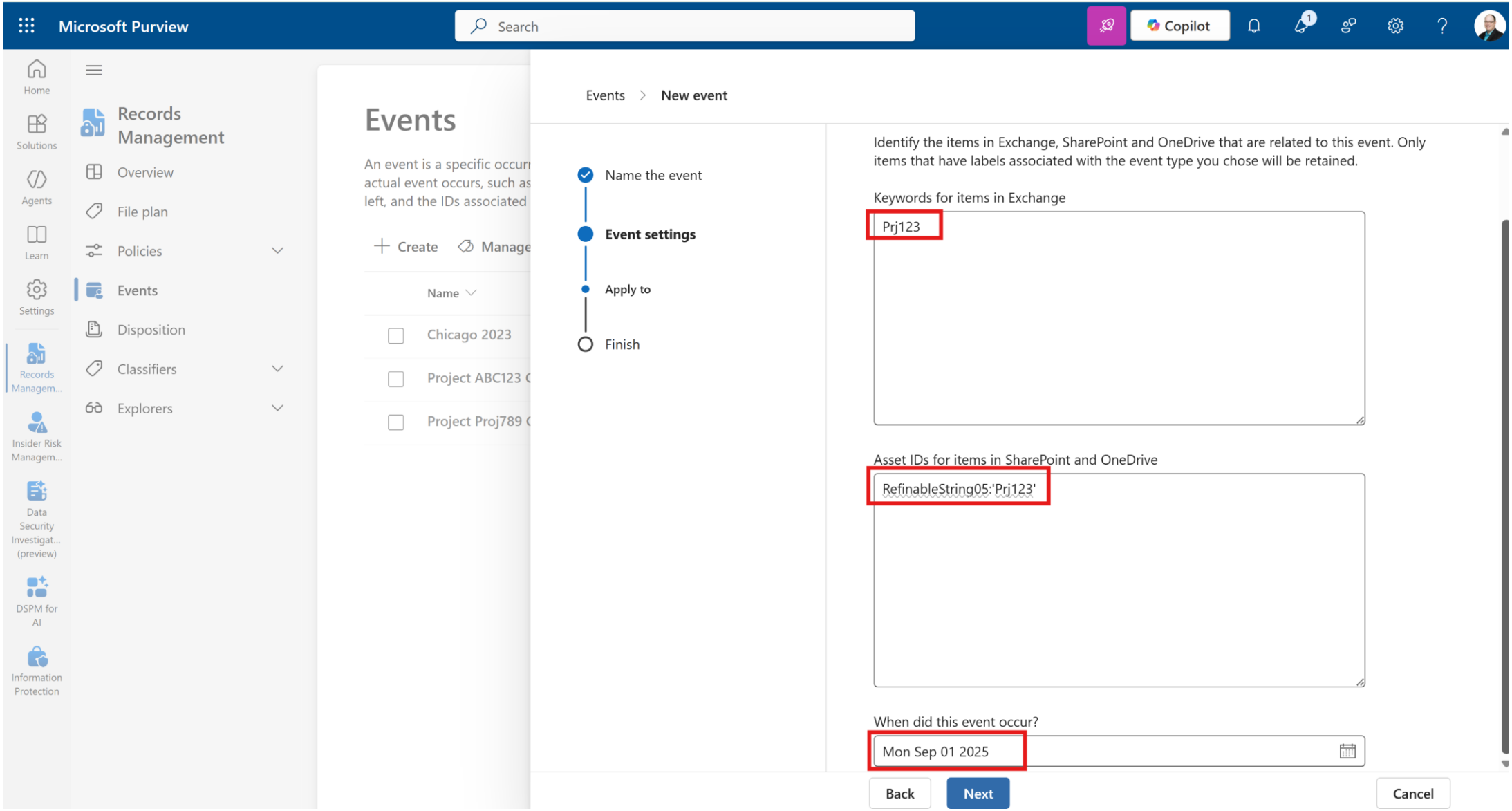
Microsoft 365 Event Based Retention High level process



- Retention Process kicks off for each document with Prj123 assigned to it.
- Retention is based on the label the document belongs to.

- **When the event is created a date is to be entered. This date indicates the start time of the event.**

Creating an Event

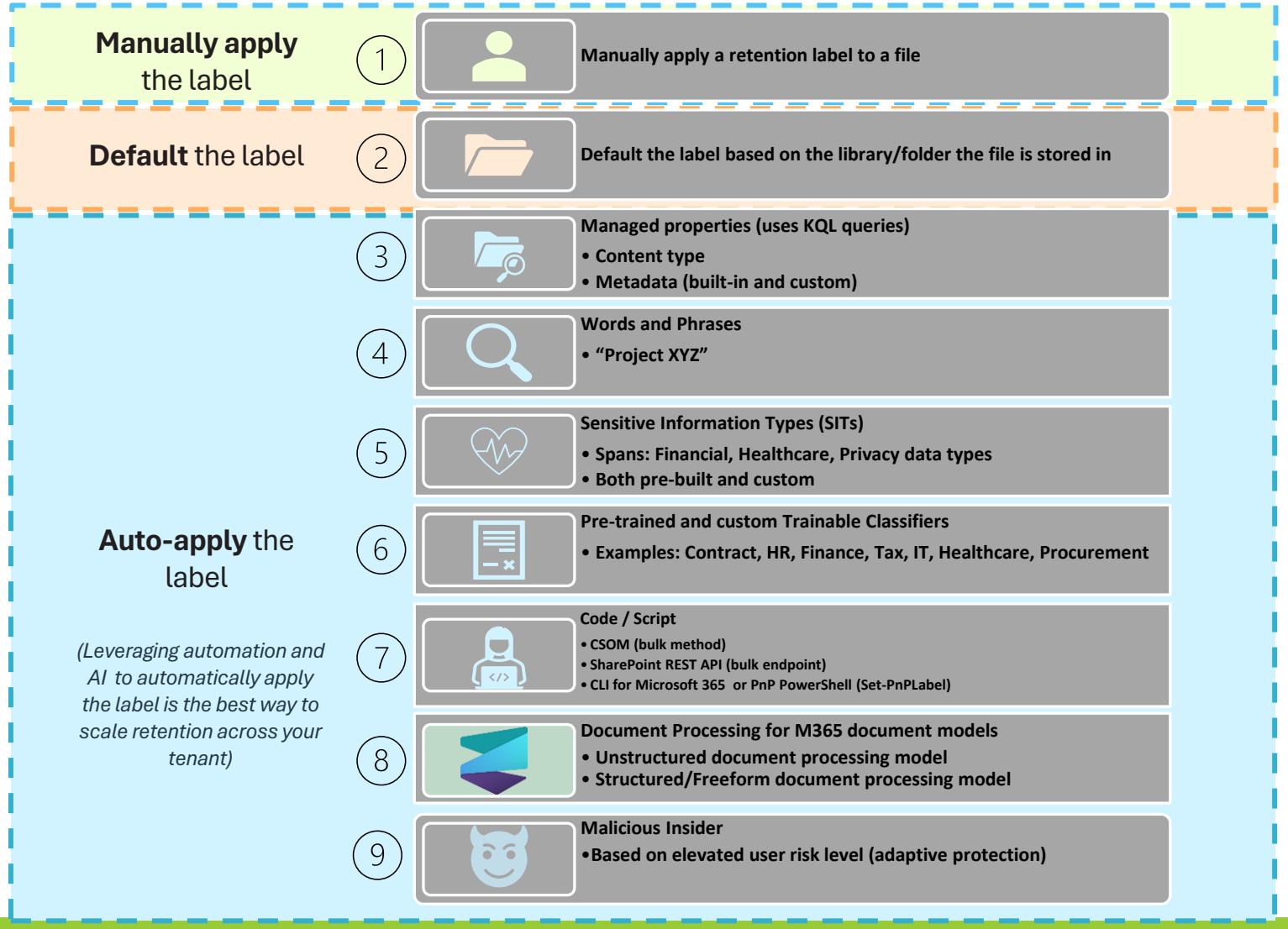


Auto-Application of Retention Labels

Applying a retention label to your content

There are many ways to apply a retention label to content.

The options chosen will become part of the overall retention design and implementation.



Defaulting a retention label…

How it works…

- You can default a retention label on a library, folder, or document set
- All (unlabeled) files within will automatically receive the label
- Can modify the default label once applied to a file
- Can apply retroactively to all existing files that don’t currently have a label

Pros

- Easiest way to ensure content will (initially) get a label
- No user intervention required
- Labels can still be changed by an end-user if required
- You can change the default label on the library/folder/doc set and the new default will update all files that had the old default label unless it was a record retention label

Cons

- Not everything in 1 library/folder/doc set should have the same retention label
- Although end-users can change it, they often won’t
- Label cannot be overwritten by an auto-apply label
- Only a single default label can be set

Auto-Applying a label by Metadata

How it works…

- Utilizes Keyword Query Language (KQL) in the retention label policy for locating content to label
- Link for available properties: Finding content in SharePoint and OneDrive

Pros

- Create complex queries to meet the needs of the organization
- Can scale to all sites across your tenant (you decide which sites)
- Can utilize metadata set by users without users needing to understand your record schedule

Cons

- KQL knowledge is required
- Requires planning and configuration inside SharePoint
- Depending on property, has a dependency on end-users setting metadata

Auto-Applying a label by Sensitive Information

How it works…

- Utilizes any of the built-in and custom Sensitive Information Types in Purview
- Use-case: “Ensure personal data is not retained beyond the necessary time period.” (GDPR)
  (Up to you to decide what this duration is, justify it, and document your decision)

Pros

- Can automatically apply a label to content containing PII
- Can scale to all sites and mailboxes across your tenant (you decide which ones)

Cons

- You may need to build a custom Sensitive Information Type for the personal data you collect
- Determining what the necessary retention period should be for the label

Microsoft's Principles of Retention

How retention labels and policies can conflict, and how they are resolved

Retention wins over deletion

If conflicts remain

Longest retention period wins

If conflicts remain

Explicit inclusion wins over implicit inclusion

If conflicts remain

Shortest deletion period wins

Content won't be permanently deleted when it also has retention settings to retain it.

If content is subject to multiple retention settings that retain content for different periods of time, the content will be retained until the end of the longest retention period for the item.

A retention label (however it was applied) provides explicit retention in comparison with retention policies

Content is permanently deleted at the end of the shortest retention period for the item.

Flowchart to determine when an item will be retained or permanently deleted - Microsoft 365 Compliance | Microsoft Docs

Thank You

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