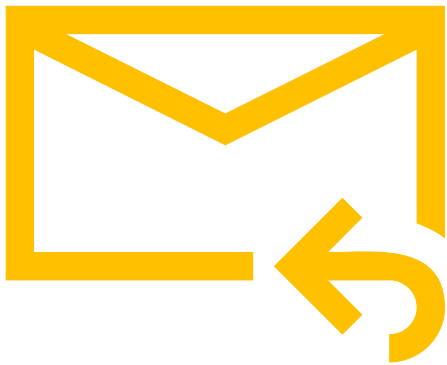




EMAIL ESSENTIALS



Why manage email?

Identifying email records

Email P&P

Making retention decisions

Filing email

Preserving emails long-term

DISCUSSION

EMAIL ESSENTIAL ESSENTIALS

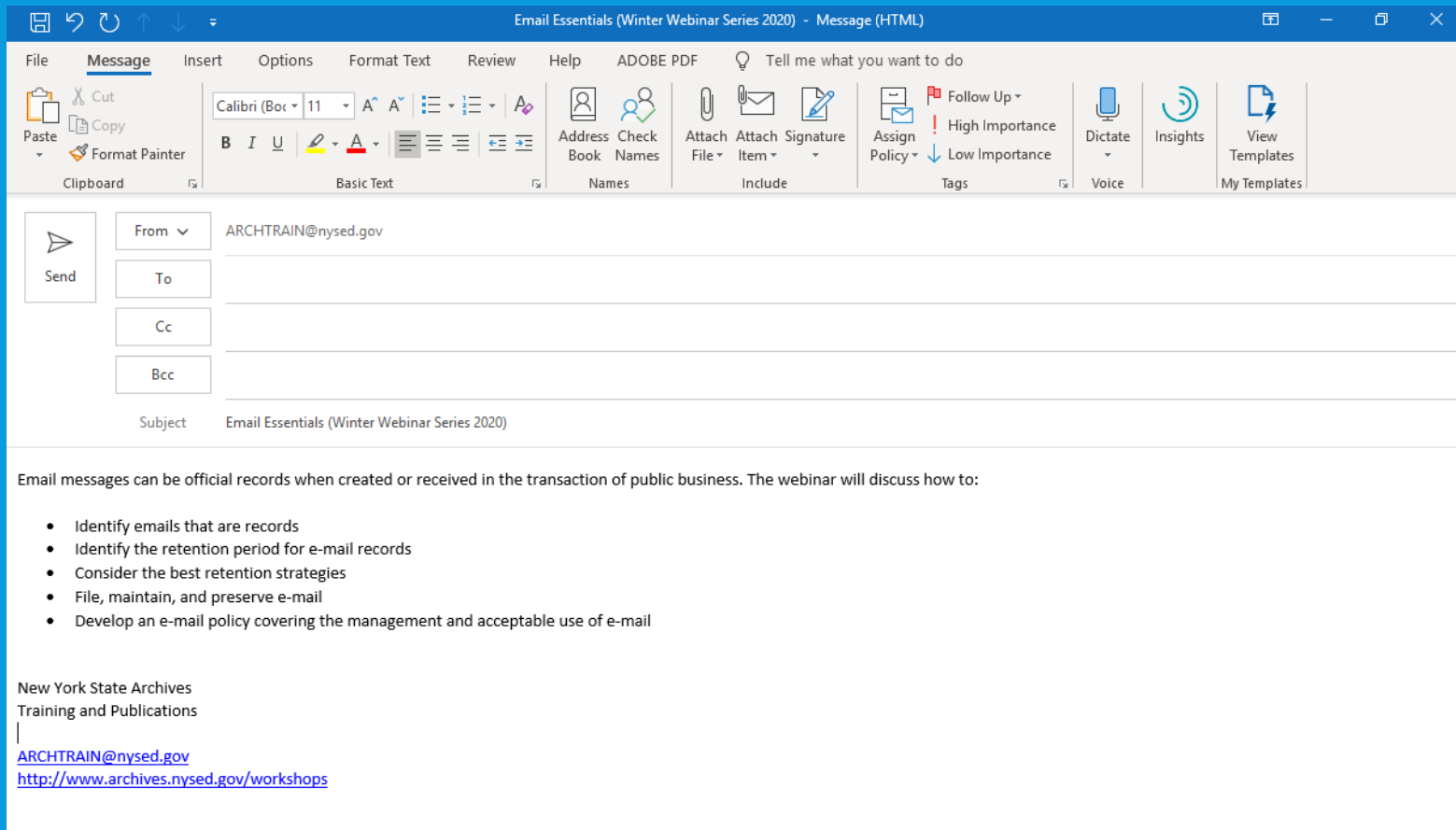
- Email records count
- Email is not private
- Email is difficult to destroy
- Email is the most requested ESI

What is an email record?

EMAIL IS AN ELECTRONIC FORMAT

H
E
A
D
E
R

B
O
D
Y



The screenshot shows an email client window titled "Email Essentials (Winter Webinar Series 2020) - Message (HTML)". The interface includes a ribbon with tabs for File, Message, Insert, Options, Format Text, Review, Help, ADOBE PDF, and Tell me what you want to do. The ribbon contains various tools for editing, formatting, and managing the email. The email header is visible, showing the "From" field with the address "ARCHTRAIN@nysed.gov", and empty fields for "To", "Cc", and "Bcc". The "Subject" field contains the text "Email Essentials (Winter Webinar Series 2020)". The body of the email contains a paragraph of text and a bulleted list of points. The footer of the email includes the text "New York State Archives Training and Publications" and two hyperlinks: "ARCHTRAIN@nysed.gov" and "http://www.archives.nysed.gov/workshops".

File Message Insert Options Format Text Review Help ADOBE PDF Tell me what you want to do

Clipboard Basic Text Names Include Tags Voice My Templates

Send From ARCHTRAIN@nysed.gov

To

Cc

Bcc

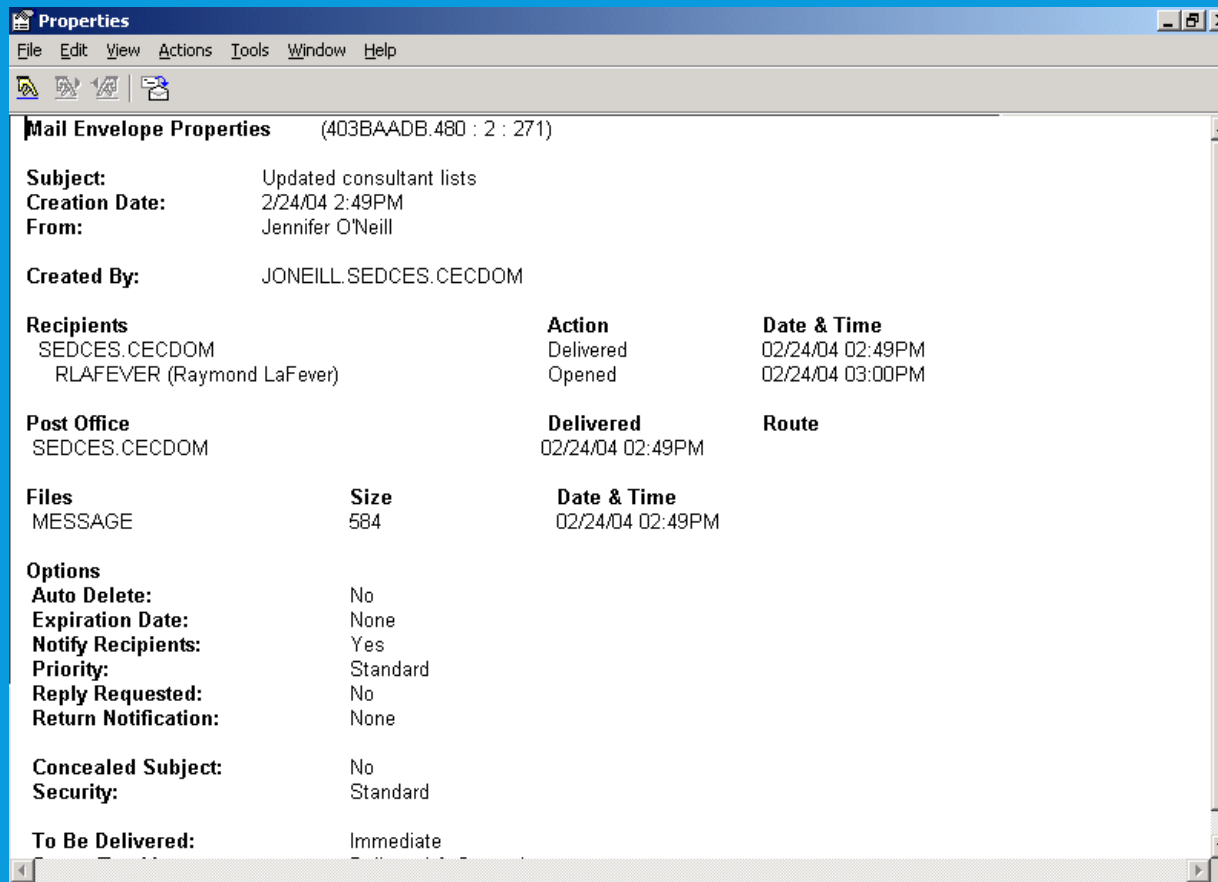
Subject Email Essentials (Winter Webinar Series 2020)

Email messages can be official records when created or received in the transaction of public business. The webinar will discuss how to:

- Identify emails that are records
- Identify the retention period for e-mail records
- Consider the best retention strategies
- File, maintain, and preserve e-mail
- Develop an e-mail policy covering the management and acceptable use of e-mail

New York State Archives
Training and Publications
ARCHTRAIN@nysed.gov
<http://www.archives.nysed.gov/workshops>

EMAIL PROPERTIES (METADATA)



E-MAIL USED IN BUSINESS PROCESSES

Email messages are routinely used to

- Authorize specific actions
- Disseminate policies and procedures
- Approve payments
- Interpret terms of contracts
- Communicate with customers or constituents

IDENTIFYING RECORDS

- Many emails are NOT records
- Ask yourself these questions:
 - Does it replace a phone call?
 - Does it replace paper correspondence?
 - Is it related to a business process?
 - Does it appear in a retention schedule?
 - Is it the official copy?

NON-RECORD EMAILS

- Delete as soon as possible
 - Meeting invitations
 - Routine action items, in a non-record email, once the action is taken
 - Emails when a copy is filed outside the system
- Delete immediately
 - Offensive messages (racist, sexist, abusive, etc.)
 - Contain criminal content
 - May contain a virus

IDENTIFYING THE OFFICIAL COPY OF AN EMAIL

- Held by the recipient of an external record
- Recipient copied in an exchange by external parties
- Forwarded messages
 - Depends upon the situation
- The last email in a thread

TO KEEP OR NOT TO KEEP?

Is it a record?

Does it relate
to my job?

Am I the
creator or
custodian?

POLICY ON APPROPRIATE USE

Should reflect respect for

- Personal privacy of others
- State and federal laws and regulations
- Integrity of computing systems
- Positive image of your government

ENSURING APPROPRIATE USE

- View inappropriate use as security threat
- Monitor messages
- Review violations on a case-by-case basis
- Implement appropriate disciplinary actions
- Report illegal activities to the appropriate authorities

TRAINING STAFF

- Must be ongoing, consistent, reinforced
- Should address
 - What is expected of users
 - How to identify suspicious behavior
 - Whom to notify
 - How to reduce risk
 - Cost of policy non-compliance

EMAIL COMPOSITION

- Email composition is important to good records management
 - Clear, descriptive subject headings
 - One subject per email
 - Concise and to the point
 - Respond to the last message in an email thread

Vague subject lines (Not helpful!)	Descriptive subject lines (Very helpful!)
"Info"	"Shelving vendor contact info"
"Report"	"Monthly bingo license report"
"minutes"	"Zoning Board Minutes Nov 2020"
"Important"	"New email policy"
"Hi"	"Lunch plans today?"
"news"	"New Records Clerk hired"

CONSIDER THIS EMAIL...

Sent: February 2, 2015

To: LLeonard@Springfield.gov

From: CCarlson@Springfield.gov

Subject: A Couple of Things

Lenny, regarding our discussion for the Maple St. property I'm authorizing you to contract with the Crumble Demolition Company to demolish this blighted building. Please let me know the date this will be done. I'd like it done by the end of the month if possible.

Also, regarding the personnel matter with Frank Grimes, his disciplinary hearing is February 24. Please write up a summary of events that led to the disciplinary action and get it to me by the end of the week for my review. Our new legal counsel, Lionel Hutz, is a complete idiot so I need to be well prepared for this hearing since he won't.

Carl Carlson

City Manager

IS THIS EMAIL A RECORD?

Sent: September 14, 2015
To: Frank Burns
From: Margaret Hoolihan
Subject: Monthly Report

Frank, attached please find my monthly report for August.

Have a great weekend.

Meg.

IS THIS EMAIL A RECORD?

Sent: December 7, 2015
To: PatsyStone@HollandParkUFSD.org
From: Emonsoon@gmail.com

Dear Miss Stone,

I'm requesting copies of ALL records related to the construction of the new elementary school including detailed plans, environmental impact reports, and payments to all vendors involved in the construction. I understand I have the right to these records under New York's Freedom of Information Law.

Please let me know how to proceed.

Edwina Monsoon

IS THIS EMAIL A RECORD?

From: Jim Ignatowski
To: Alex Reiger
Subject: Good Stuff

Dude, you missed a cool party Saturday. Got some great stuff left. If you're interested throw me a price.

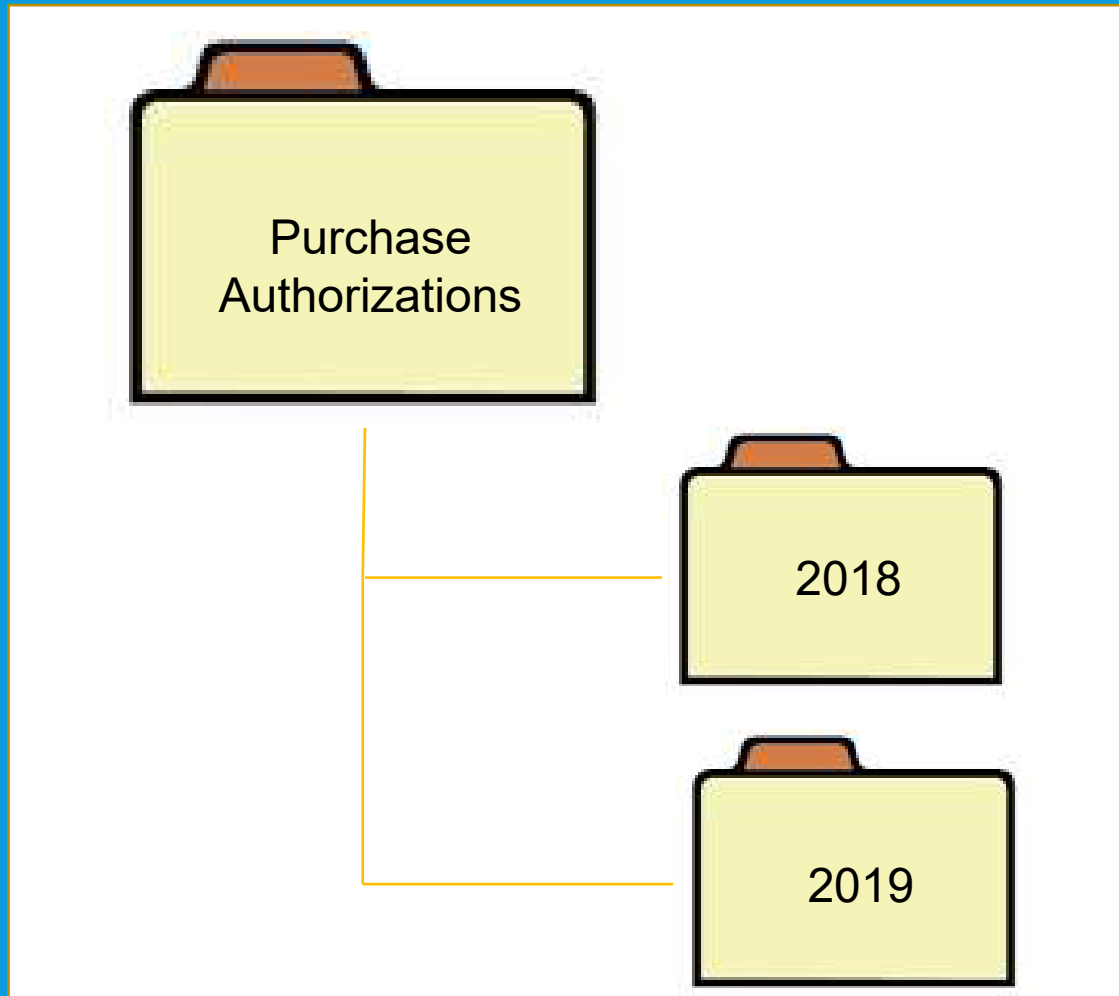
Peace..

Jim

EMAIL RETENTION OPTIONS

- Schedule-Based Retention
- Uniform Retention
- Functional Retention (“Big Bucket” retention)
- Account Holder Retention

FILING EMAIL WITH SCHEDULED-BASED SYSTEM



FILING ACTIVE EMAIL RECORDS

- File emails you need quickly within email system.

May need to use “archive” function

- Use tools provided by the email software to file and schedule email records

USING EMAIL SOFTWARE TOOLS

The screenshot displays the Microsoft Outlook interface. The main window shows an email message from Denis Meadows to SARA-RAO with the subject "ECM for Building, Planning, Zoning,". The message content reads: "I received a phone call this morning from a local city planning agency inquiring about grant opportunities that would that we have funded such projects, under Document conversion or the category-formerly-known-as-Records System has successfully implemented such a system? Records and information. I would think you know of and local governments that". A dropdown menu for "Retention Policy" is open, showing options: "30 days", "60 days", "85 days", "Use Folder Policy", "1 Month Delete (30 days)", "1 Week Delete (1 week)", "1 Year Delete (1 year)", "5 Year Delete (5 years)", "6 Month Delete (6 months)", "Use Folder Policy", and "More Retention Policies...". The interface includes a ribbon with "File", "Home", "Send / Receive", "Folder", "View", and "McAfee E-mail Scan" tabs. The left sidebar shows a folder tree with "Inbox", "Sent Items", "Drafts", "Deleted Items (184)", "Accellion Outbox", "Cabinet", and various subfolders. The bottom status bar shows "Items: 220" and "See more about: Denis Meadows." The taskbar at the bottom includes the Start button and several open applications.

USING EMAIL SOFTWARE TOOLS: CONTINUED

The screenshot displays the Microsoft Outlook interface. The main window shows an email from Denis Meadows to SARA-RAO with the subject "ECM for Building, Planning, Zoning,". The email body contains the following text:

I received a phone call this morning from a local city planning agency inquiring about grant opportunities that would let the above agencies shared records and information. I would think that we have funded such projects, under Document conveyance, but I do not know which. Do you know of and local governments that has successfully implemented such a system?

Thanks!
- Denis

Two dialog boxes are open over the email:

- Create Rule:** This dialog box is titled "Create Rule" and contains the following options:
 - When I get e-mail with all of the selected conditions:
 - From Denis Meadows
 - Subject contains ECM for Building, Planning, Zoning, ...
 - Sent to SARA-RAO
 - Do the following:
 - Display in the New Item Alert window
 - Play a selected sound: Windows Notfy.wav
 - Move the item to folder: Select Folder

- Rules and Alerts:** This dialog box is titled "Rules and Alerts" and shows a list of folders for selection:
- Journal
- Junk Email [8]
- LGRAC (Sarah Durling)
- News Feed
- Notes
- Outbox
- Quick Step Settings
- Reviewers, 2014-2015 (Denis)
- RSS Feeds
- saved contacts
- Suggested Contacts
- Suggested Contacts (1)
- Suggested Contacts1

The Outlook interface also shows a left-hand navigation pane with folders like "Inbox (1)", "Sent Items", "Drafts", "Deleted Items (184)", and "Accellion Outbox". The top ribbon includes "File", "Home", "Send / Receive", "Folder", "View", and "McAfee E-mail Scan". The bottom status bar shows "Items: 221 Unread: 1" and "See more about: Denis Meadows."

UNIFORM RETENTION

A single predetermined retention period for most email

- Applies to the official copy
- Most common retention is 3-10 years
- Exceptions for emails that need longer or shorter retention
 - Event-based retentions
- Automatically deleted from email server
- Discourage saving emails outside the email server

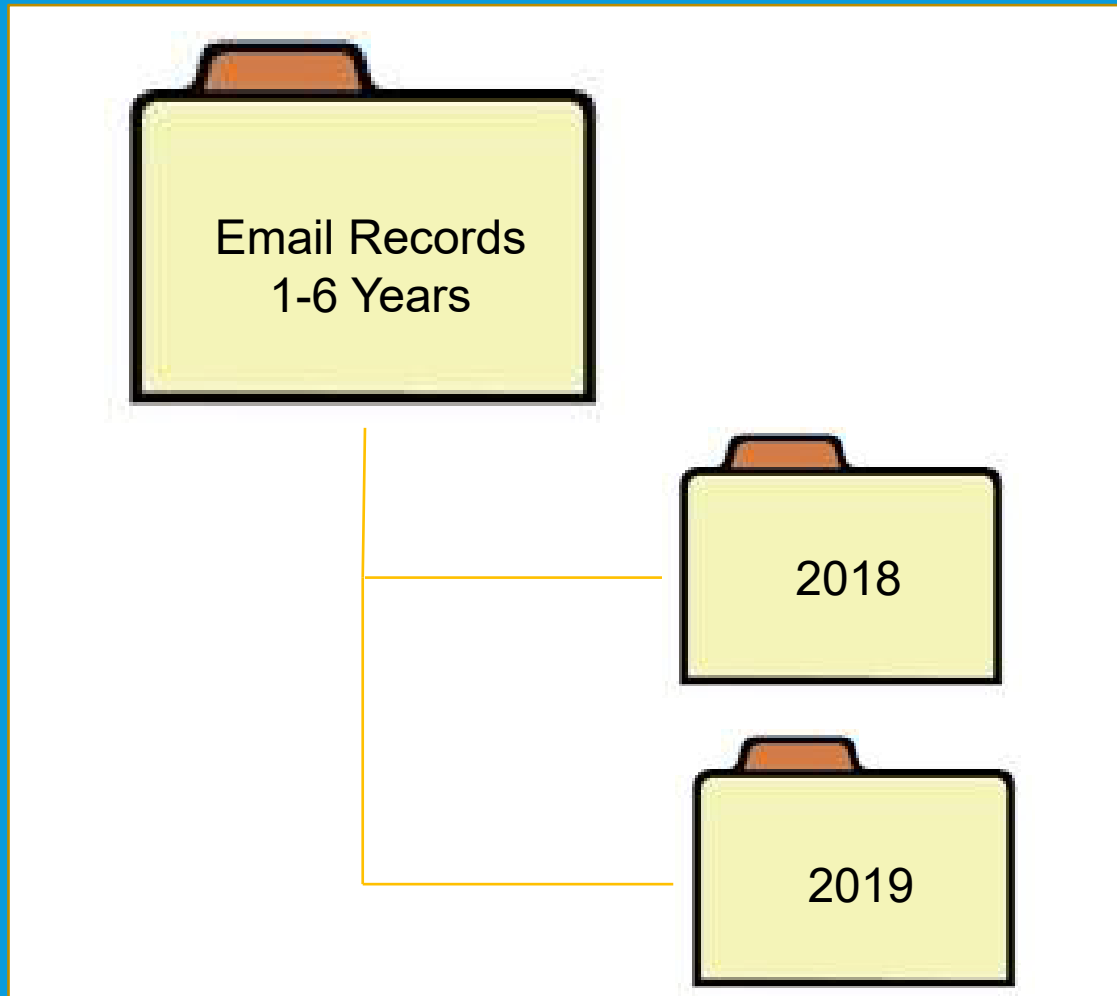
QUESTION

If you had to choose a uniform retention period for your organization, what would it be?

SAMPLE UNIFORM RETENTION POLICY

- Uniform Retention: 6 years
 - Most common retention in all State Archives' local government schedules
 - Would include all records between 0-6 years
- Duplicate Copies: 0 after no longer needed
 - Consider setting a maximum retention
- Permanent retention for all records with a retention greater than the uniform period.

FILING EMAIL WITH UNIFORM RETENTION



FUNCTIONAL RETENTION

- Consolidates schedules into broader functions
 - Also known as “the big bucket theory”
 - Middle ground between schedule-based retention and uniform retention
 - Can use functional headings in schedules to implement

BIG BUCKET EXAMPLE

- From the ED-1
 - Bank Statement [109] 6 years
 - Budget preparation file [55] 6 years
 - Voucher [121] 6 years
 - Daily cash record [100] 6 years
 - Purchase order [257] 6 years
- Big Bucket Approach
 - Fiscal – 6 years



ACCOUNT HOLDER RETENTION

- Manage retention by email account
 - Retention is based on email account holder's work
 - And/or the account holder's position.
- Examples
 - Mayor's and secretary's email account is permanent
 - Fiscal officer's email account is six years
 - All other clerical staff is 1 year

WHAT WOULD YOU DECIDE?

If you had to recommend email accounts in your organization for long-term retention of email records which would you choose and why?

CHOOSING A RETENTION POLICY

Things to consider when choosing a policy

- Technology infrastructure
- Available resources
- Records management program
- Organizational culture

KEY DECISION MAKERS

- Records Management Officer (RMO)
- Information Technology
- Records Access Officer (if not the RMO)
- Legal Counsel
- Chief Administrative Officer

EMAIL ARCHIVING

- Archiving Systems
- Content Management System
- Electronic Filing System (network or local drive)
- Print to paper

ARCHIVING SYSTEMS

Archiving Function in Email Software

- Removes email from the email server
- Stores email in an archives mailbox on a local or network drive, or in the cloud
- Mirrors folder system created by mailbox owner
- Maintains look and functionality of email

ARCHIVING SOFTWARE & HARDWARE

Functionality:

- Creates a single repository for email messages
- Provides options for email transfer to archives
- Indexes archived messages for easy retrieval
- Consolidates duplicates into one email
- Organizes emails into folders
- Can auto classify messages
- Applies retention rules

CONTENT MANAGEMENT SYSTEMS

- Pros

- Allow for routing, filing, and retrieval
- Can file emails with other e-records
- Can automate retention
- Provides shared access

- Cons (as compared to an archiving system)

- No automatic transfer or real time capture
- No single-instance storage
- Often converted to non-email format, can't retrieve from email system

LOCAL AREA NETWORK

- Pros

- Low tech approach to e-filing
- Can file with other e-records
- Can be easily shared

- Cons

- Must set up filing plan, naming conventions, and access controls
- Relies on individual users
- No automatic transfers or real-time capture
- Needs to be converted to non-mail format

MANAGING EMAIL AS PAPER

- Pros
 - Integrates paper and e-records
 - Eye-readable
- Cons
 - Harder to search and retrieve
 - Little or no metadata
 - Wastes resources

LONG-TERM PRESERVATION

Some emails must be preserved for decades or even forever

- Remove emails from email software
- Save in a preservation format
 - PDF/A
 - XML

WHAT CAN YOU DO TODAY?

- Discuss retention options with your colleagues
- Lobby to form a committee to decide on retention and other email policies
- Research costs of various solutions
- Chat with your chief administrative officer

SUMMING IT ALL UP

- Adopt strategies best suited to your resources
- Automate the retention process as much as possible
- Limit role of end users as much as possible
- Train staff periodically on policies and strategies
- Enforce all policies

REFERENCES

- Developing a Policy for Managing Email, Pub. #85

http://www.archives.nysed.gov/common/archives/files/mr_pub85.pdf

- Contact Your Regional Advisory Officer

<http://www.archives.nysed.gov/directories/rao>

- Email Essentials: A Workshop

<http://www.archives.nysed.gov/workshops/description/email-essentials>

THANK YOU!

For more information email:
archtrain@nysed.gov



www.archives.nysed.gov