



New York State Archives

Email Essentials

Managing Email Through the Records Lifecycle



Agenda

- Today we will learn to
 - Better understand email and related technology
 - Manage email through the records lifecycle
 - Identify email records
 - Make retention decisions
 - File email
 - Preserve vital emails long-term



A Little History

- Predates the Internet
- 1971: ARPANET
- Internal tool
- Late 1980s; email as we know it.
- Intended to replace the phone call
- Today: 3.3 billion accounts



Question
HOW DO YOU USE EMAIL TODAY?



Question
IS EMAIL A RECORD?



The Records Lifecycle



Records Creation

- Understanding email technology
- Parts of the email
- Appropriate use of email
- Staff training
- Email composition

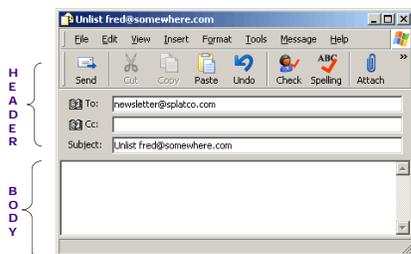


Understanding the Technology

- Server Protocols
 - POP
 - IMAP
- Server space
- Parts of an email
 - Header
 - Body
 - Metadata



Parts of an Email



Email Properties (Metadata)



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



Exercise I: Email Composition

Sent: February 2, 2015
To: CCarlson@Springfield.gov
From: LLeonard@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



Active Phase

- Understanding the importance of strong retention policies
- Identifying records
- Retention strategy options
- Filing email



Understanding E-Discovery

- Pretrial process that allows opposing parties to obtain information for their case
 - Includes all electronically stored information (ESI)
 - Email's the most requested ESI
 - Litigants have a "duty to preserve"
 - Organizations must be prepared
 - Have strong appropriate use policies
 - Have a strong retention and disposition policy



What is a Record?

- An information bearing object that is created, received, maintained, or used by an organization pursuant to its mission, operations and activities.



Email 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?



Identifying the Official Copy of an Email

- Held by the sender
- 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



Email Records Decision Tree



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

Exercise II : Is this Email a Record?

June 1, 2015
 To: Omadison@sloppytown.gov
 From: Fungler@sloppytown.gov
 Subject: Myrna Turner

Oscar, regarding tomorrow's upcoming hearing against Myrna please add to the record that Myrna did not show up for work this morning. When I contacted her about her absence she became hostile and verbally abusive.

Thanks

Felix

Exercise II Continued: Is this Email a Record?

March 17, 2015
To: George.Bailey@Bedfordfalls.com
From: Guiseppe.Martini@Bedfordfalls.com
Subject: Reminder

George, please remember you need to pick me up by 7:30 tomorrow.

How about a few drinks on the way home tonight?

GM



Exercise II Continued: Is this Email a Record?

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.



Exercise II Continued: Is this Email a Record?

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



Exercise II Continued: 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



Exercise II Continued: Is this Email a Record?

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Email in Software Systems

- Many software systems have email integration
 - Student Data Management Systems
 - Personnel Data Management Systems
 - Correspondence Tracking Systems
 - Electronic Content Management Systems
 - New York State Archives' eGrants System



Schedule-Based Retention

- Each mailbox owner:
 - Categorizes each message
 - Matches the message to a specific schedule item
 - Determines the disposition date
 - Files the message in an appropriate place
 - Disposes of the message when appropriate

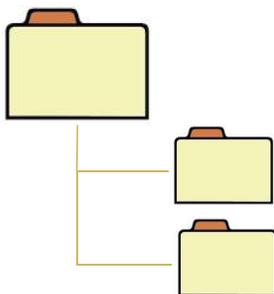


Schedule-Based Retention: First Steps

- Consider your own business functions
- Consider what records you create or refer to
- Review existing retention schedules
- Review email from a specified time period
- Determine percentage of emails that are records
- Consider creating an office schedule



Filing Email with a Scheduled-Based System

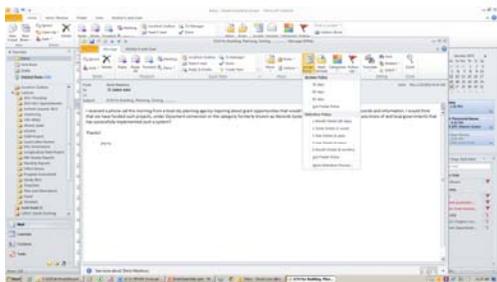


Filing Active Email Records

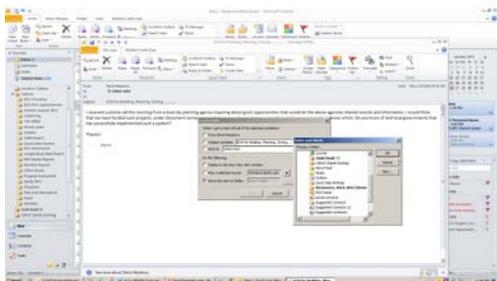
- File emails you need quickly within email system.
 - May need to use “archive” function
- Use tools provided by the email software to file and schedule email records



Using Email Software Tools



Using Email Software Tools: Continued



Question

WHAT DO YOU THINK ABOUT THE SCHEDULE-BASED RETENTION POLICY?



Pros and Cons Schedule-Based Retention

- Pros
 - Conforms to current retention rules
 - Employs mailbox owner's knowledge
 - Does not require additional software or hardware
- Cons
 - Labor intensive
 - Increased costs
 - User resistance
 - Often impracticable



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.



Uniform Retention Pros and Cons

- Pros
 - Easier to understand (than schedule-based)
 - Less decision-making
 - More compliance from mailbox owners
- Cons
 - Goes against over 50 years of retention practice
 - Keep records longer than you need
 - Requires more storage capacity
 - Affects performance of email servers



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 [269] 6 years
- Big Bucket Approach
 - Fiscal – 6 years



Big Buckets Pros and Cons

- Pros
 - Simplifies role of end user
 - Simplifies system requirements
 - Improves consistency
- Cons
 - Leads to some increases in retention periods
 - Goes against over 50 years of retention practice



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



National Archives' Capstone

- Capstone is the Federal Government's account-based new approach to email management

*"This approach was developed in recognition of the difficulty in practicing traditional records management on the overwhelming volume of email that Federal agencies produce."**

*NARA Bulletin 2013-02



Risks with Capstone

- Choosing the appropriate accounts to preserve
- The need to meet all RM responsibilities
- Collecting personal and non-record emails
- End user ability to delete email inappropriately
- Technology and policy issues.



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



Inactive Email Records

- When you no longer need to reference your record emails
 - Remove them from the email system
 - Referred to as “archiving”
 - Store them outside the email system for the remainder of their retention
 - Don’t assume archiving is the same as email retention.



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 Function in Email Software: Pros and Cons

- Pros
 - Good for schedule-based retention policy
 - Mailbox owners identify and archive only record emails
 - Maintains look and functionality of email
- Cons
 - Records are saved in multiple locations
 - Cannot be indexed and searched in one repository
 - Retention must be done manually.



Archiving Systems

- Archiving software
 - AKA “archiving systems” or “archiving solutions”
 - Automated and complex solution
 - Ranges in size and complexity
- Archiving Hardware
 - AKA “archiving appliance”
 - Self contained configuration of hardware and software
 - Turnkey solution



Archiving Software and 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 autclassify messages
 - Applies retention rules



Import Options

- Direct Transfer
 - Time-Based Archiving
 - Capacity-Based Archiving
 - Selective Archiving
- Real-Time Capture
 - Captures copies of messages as sent or received
 - Archives the emails



Benefits of Archiving Systems

- Applies Retention Rules
- Supports Legal Holds
- Aids in E-Discovery
 - Early Case Assessment
- Allows Content Screening
- Lowers Storage Costs



Automatic Classification

- Software reads, categorizes, and files email
 - Based on business rules
- Pros
 - No user interaction
 - Guaranteed compliance
- Cons
 - High cost of implementing
 - Not 100% accurate



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



Preservation Tools and Products

- EMCAP (Electronic Mail Capture and Preservation)
 - Utilizes XML to preserve email accounts
 - Drop and drag emails into an “Mbox”
 - Designed for large server environment
- CERP (Collaborative Electronic Records Project)
 - Utilizes XML to preserve email accounts
 - Drop and drag emails into an “Mbox”
 - Simpler tool than EMCAP
- Preservica
 - Software service and product that preserves all electronic records, including email



Options for Destroying Email

- Email deleted after a number of days
- Email deleted by one person
- One instance of each email retained
 - Scrubbing routine to destroy the email
 - Destroy any related backups



PUTTING IT ALL TOGETHER



The Department of Citizen Services

- Implement and enforce email use policy
- Adopt uniform retention policy (6 years)
 - Only exceptions for longer term records
- Purchase email archives appliance
 - Use real-time capture
 - Filter out spam and email with inappropriate content
- Install EMCAP for long-term preservation



Village of Frosty Top

- Implement and enforce email use policy
- Adopt functional-based retention policy
 - Establish a limited number of big bucket retentions
 - Save record emails in a folder structure on a shared drive
- Export emails with long-term retentions to PDF/A and file on a network server.



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
- Screen content if able and enforce all policies



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





Thanks for Coming Today!

Please complete your evaluation when you receive it!



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Exercise II

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Have a great weekend.

Meg.

December 7, 2015

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Dear Miss Stone,

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