

# DAS UNIVERSITY

## Email Management for State Employees



# TRAINING CONTENTS

- Part 1: Records management
- Part 2: Email management
  - Five steps for managing email
- Part 3: Email best practices



# PART 1: RECORDS MANAGEMENT

- Records management
  - What is a record
  - Why manage email



# WHAT IS A RECORD

## 63G-2-103 Definitions

(22) (a) "Record" means a book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics:

(i) that is prepared, owned, received, or retained by a governmental entity or political subdivision; and

(ii) where all of the information in the original is reproducible by photocopy or other mechanical or electronic means



# WHAT IS A RECORD

## 63G-2-103 Definitions

(22) (a) "Record" means a book, letter, document, paper, map, plan, photograph, film, card, tape, recording, electronic data, or other documentary material regardless of physical form or characteristics:

(i) that is prepared, owned, received, or retained by a governmental entity or political subdivision; and

(ii) where all of the information in the original is reproducible by photocopy or other mechanical or electronic means



# WHAT IS A RECORD

## DAS Email Policies and Procedures

*Email Records*—Work-function related messages that have administrative, legal, fiscal, or historical value and are subject to legal retention schedules based on the email content. Metadata and attachments are a necessary part of the record and must be included, along with the text, in an unaltered state.



# WHY MANAGE EMAIL

- In many instances (based on content) email correspondence DOES qualify as a record
- Increased organization and protection during potential litigation or GRAMA request
  - Avoid financial penalties during litigation
- Respond to GRAMA requests more effectively and efficiently
- Legally destroyed records are no longer discoverable during litigation or GRAMA requests
- Keep email account organized and day-to-day operations efficient



# WHY MANAGE EMAIL

## DAS Email Policies and Procedures

*Record Copy*—The copy of a document, often the original, that is designated as the official copy for reference and preservation and to which the retention period applies. Both sent and received email can be records. Primarily, for email between government and non-government, the governmental entity is the custodian of the record-copy. For email between governmental entities the sent copy is the record-copy. Additionally, the governmental entity whose function is the topic of discussion is the custodian of the record-copy.



# WHY MANAGE EMAIL

- 63A-12-105 Disposition
  - (3)(a) It is unlawful for a person to intentionally mutilate, destroy, or to otherwise damage or dispose of the record copy of a record knowing that the mutilation, destruction, damage, or disposal is in contravention of:
    - (i) a governmental entity's properly adopted retention schedule; or
    - (ii) if no retention schedule has been properly adopted by the governmental entity, the model retention schedule, as provided in Section 63G-2-604.



# PART 2: EMAIL MANAGEMENT

1. Work with Records Officer to appraise and identify emails that are records
2. Identify appropriate retention schedules
3. Label emails with appropriate series number and/or retention
4. Maintain emails until retention is met
5. Exercise appropriate disposition
  - Destroy
  - Permanent (may transfer to State Archives)



# PART 2: EMAIL MANAGEMENT

1. Work with Records Officer to appraise and identify emails that are records
2. Identify appropriate retention schedules
3. Label emails with appropriate series number and/or retention
4. Maintain emails until retention is met
5. Exercise appropriate disposition
  - Destroy
  - Permanent (may transfer to State Archives)



# FOUR CATEGORIES OF EMAILS

Agency specific  
email records

Permanent  
email records

Email records

Non-record  
emails



# APPRAISING EMAIL

- The process of determining the value and thus the disposition of records based on their current administrative, fiscal, and legal value; their evidential and informational value; their arrangement and condition; their intrinsic value; and their relationship to other records.



# APPRAISAL VALUES

- Administrative Value – records used in the conduct of current and/or future administrative business
- Legal Value – records containing evidence of legally enforceable rights or obligations. Also refers to retention specified by statute, rule, or regulation
- Fiscal Value – records required until a financial audit is completed or financial obligations are fulfilled
- Historical Value – records of enduring historical or other value that warrants continued preservation of records beyond the period required to transact the business of their originating agency or its successor in function;



# FOUR CATEGORIES OF EMAILS

## Agency specific email records

- administrative
- legal
- fiscal value
- retention varies
- disposition follows retention schedule

## Permanent email records

- historical value
- disposition = permanent

## Email records

- administrative value
- transitory
- retention = administrative need ends
- disposition = destroy

## Non-record emails

- personal messages
- spam
- delete or forward to personal email



# FOUR CATEGORIES OF EMAILS

## Agency specific email records

- administrative
- legal
- fiscal value
- retention varies
- disposition follows retention schedule

- Examples
  - Discussing general contracts
    - 6 years retention (Contracting purchasing files, item 13-4)
  - Personnel matters and documentation
    - 65 years retention (Official employee personnel files, item 11-2)
  - Discussion in creating Utah Administrative Code
    - Permanent (DAS Administrative Rules, series 83623)
- Disposition
  - Follows retention schedule



# FOUR CATEGORIES OF EMAILS

Permanent  
email records

- historical value
- disposition = permanent

- Examples
  - Executive correspondence (Policy and program correspondence, item 1-9)
- Disposition
  - Permanent, transfer to State Archives



# FOUR CATEGORIES OF EMAILS

## Email records

- transitory
- retention = administrative need ends
- disposition = destroy

- Examples
  - General correspondence
  - Specific answers to information
  - Feedback on routine business matters
  - “Me too” responses
- Disposition
  - Destroy



# FOUR CATEGORIES OF EMAILS

## Non-record emails

- personal messages
- spam
- delete or forward to personal email

- Examples
  - no business-related content
  - personal messages
  - spam
- Delete



# PART 2: EMAIL MANAGEMENT

1. Work with Records Officer to appraise and identify emails that are records
2. Identify appropriate retention schedules
3. Label emails with appropriate series number and/or retention
4. Maintain emails until retention is met
5. Exercise appropriate disposition
  - Destroy
  - Permanent (may transfer to State Archives)



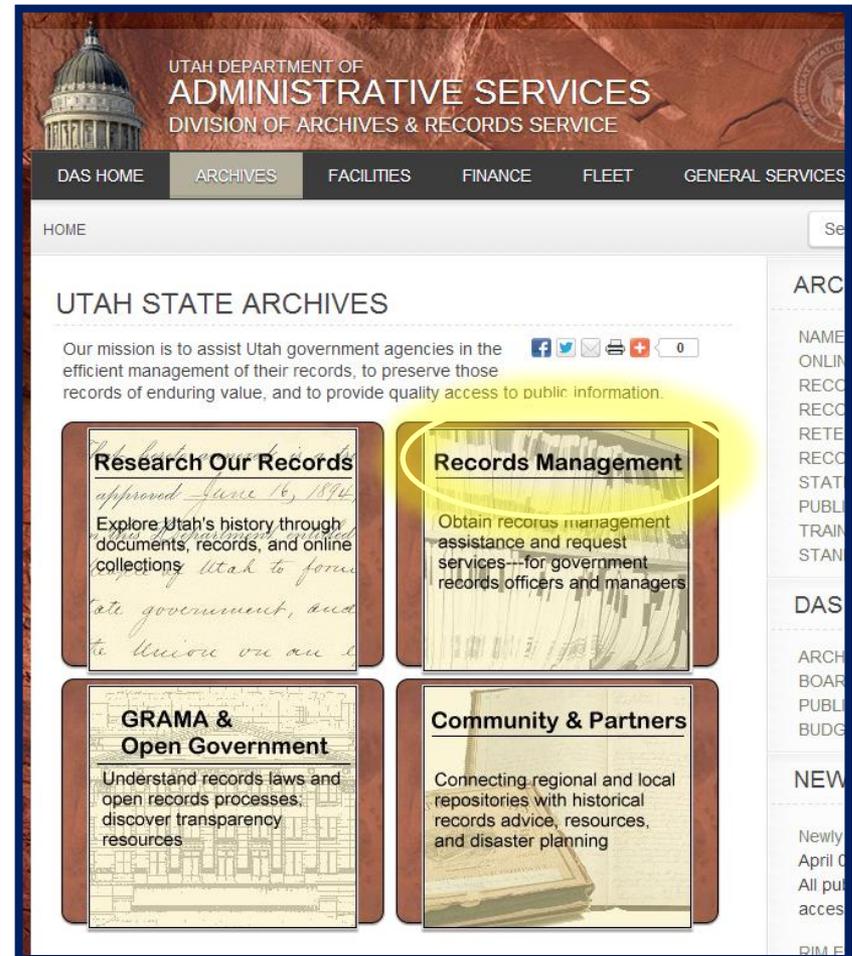
# RETENTION SCHEDULES

- Tells how long a record should be kept before it is either destroyed or sent to the State Archives
- Approved by the State Records Committee
- Essential to know how to manage your emails
  - Each agency is different and retention schedules vary
  - Work with agency records officers to understand your current retention schedules



# RETENTION SCHEDULES

- All retention schedules are available through the State Archives' website under Records Management at [www.archives.utah.gov](http://www.archives.utah.gov)



The screenshot displays the Utah State Archives website. At the top, it reads "UTAH DEPARTMENT OF ADMINISTRATIVE SERVICES" and "DIVISION OF ARCHIVES & RECORDS SERVICE". A navigation bar includes links for "DAS HOME", "ARCHIVES", "FACILITIES", "FINANCE", "FLEET", and "GENERAL SERVICES". Below the navigation bar, the page title is "UTAH STATE ARCHIVES". A mission statement follows: "Our mission is to assist Utah government agencies in the efficient management of their records, to preserve those records of enduring value, and to provide quality access to public information." Below this, four service tiles are visible: "Research Our Records", "Records Management" (highlighted with a yellow circle), "GRAMA & Open Government", and "Community & Partners". A sidebar on the right contains a search bar and a list of menu items including "ARC", "NAME", "ONLIN", "RECO", "RECO", "RETE", "RECO", "STAT", "PUBLI", "TRAIN", "STAN", "DAS", "ARCH", "BOAR", "PUBLI", "BUDG", "NEW", "Newly", "April 0", "All pu", "acces", and "RIME".



# RETENTION SCHEDULES

There are two types of retention schedules:

1. **General Schedules:** Schedules approved by the State Records Committee with a broad description and specific retention period. May be used by any agency within that class (state, county, etc.)
2. **Agency-Specific Schedules:** Schedules are approved individually by the State Records Committee and can be searched for by agency name at the bottom of the Retention Schedules webpage.

## RETENTION SCHEDULES

Retention Schedules are timetables that indicate how long a record has business value. Records are appraised according to the following criteria: administrative, fiscal, legal and historical value. Once the value has been fulfilled, one of two things happen: the records are destroyed, or they are preserved for permanent use. Often permanent records are transferred to the Archives for access and long-term care. Before a record can be destroyed, erased, deleted, or made otherwise unavailable, a retention schedule for that record must be established and approved by the State Records Committee.

### GENERAL SCHEDULES

- [State General Retention Schedule](#) in [HTML](#) and [PDF](#)
- [General Schedules for Departments](#) (only a few have created their own general schedule)
- [County General Schedule](#) in [HTML](#) and [PDF](#)
- [Municipal General Schedule](#) in [HTML](#) and [PDF](#)
  - See also [Subject](#) and [Title](#) indexes prepared by Orem City
- [School District General Schedule](#) in [HTML](#) and [PDF](#)
- [Court Retention Schedule](#)

### AGENCY-SPECIFIC SCHEDULES

Search Agency Name Key words:

Browse: [A](#)[B](#)[C](#)[D](#)[E](#)[F](#)[G](#)[H](#)[I](#)[J](#)[K](#)[L](#)[M](#)[N](#)[O](#)[P](#)[Q](#)[R](#)[S](#)[T](#)[U](#)[V](#)[W](#)[X](#)[Y](#)[Z](#)

# RETENTION SCHEDULES

## STATE AGENCY GENERAL RECORDS RETENTION SCHEDULE

Items listed in general retention schedules identify records which may or may not exist in any given agency. They are models to follow if a governmental entity's records closely approximate the descriptions. All records are governed by either the agency's own properly adopted retention schedule or general retention schedules (63G-2-604).



- [Administrative Records \(1\)](#)
- [Budgeting Records \(2\)](#)
- [Cartographic Records \(3\)](#)
- [Communication Records \(4\)](#)
- [Data Processing Records \(5\)](#)
- [Facility Management Records \(6\)](#)
- [Financial Records \(7\)](#)
- [Human Resource Records \(11\)](#)
- [Motor Vehicle Maintenance and Operation Records \(9\)](#)
- [Payroll Records \(10\)](#)
- [Printing Records \(12\)](#)
- [Property Records \(14\)](#)
- [Purchasing Records \(13\)](#)
- [Public Affairs Records \(15\)](#)
- [Security Services Records \(16\)](#)

Page Last Updated May 2, 2013

## DEPARTMENT OF ADMINISTRATIVE SERVICES

### Available Series:

- [27028 - Activity Reports](#)
- [13438 - Administrative files](#)
- [83708 - Annual reports](#)
- [12364 - Employment applications](#)
- [83359 - Executive correspondence](#)
- [83710 - Fair employment practices brochures](#)
- [9777 - Fixed asset inventory](#)
- [9776 - Interdepartmental transfer requests](#)
- [26126 - Invoices](#)
- [9780 - Leave adjustment reports](#)
- [9782 - Payroll registers](#)
- [9799 - Personnel files](#)
- [9781 - Position change requests and authorizations](#)
- [9779 - Preliminary payroll printouts](#)
- [9798 - Technical reference files](#)
- [9778 - Travel reimbursement requests](#)
- [85074 - Warrant requests](#)

[Add Closed Series to the list](#)



1.

2.



# STATE GENERAL SCHEDULE

## POLICY AND PROGRAM CORRESPONDENCE (ITEM 1-9)

Business-related correspondence which provide unique information about agency functions, policies, procedures, or programs. These records document material discussions and decisions made regarding all agency interests, and may originate on paper, electronic mail, or other media. This correspondence is filed separately from program case files, and project files.

### RETENTION

Record copy: Permanent. Retain by agency until administrative need ends and then transfer to State Archives with authority to weed

Duplicate copies: Retain by agency until administrative need ends and then destroy.

### SUGGESTED PRIMARY DESIGNATION

Public.

(Approved 02/2005)



# PART 2: EMAIL MANAGEMENT

1. Work with Records Officer to appraise and identify emails that are records
2. Identify appropriate retention schedules
3. Label emails with appropriate series number and/or retention
4. Maintain emails until retention is met
5. Exercise appropriate disposition
  - Destroy
  - Permanent (may transfer to State Archives)



# EMAIL LABELS

- Can be attached to emails, and multiple labels can be attached to a single message or conversation
- Multiple labels per message allows you to identify and classify an email with both a record series retention schedule as well as a personal subject label
- Messages with permanent disposition, use “State Archives” label



# GMAIL LABELS

Unread 1-4 of 4

<input type="checkbox"/>	★ Rosemary, me (2)	Archives	Records Officers .../28366	Re: Records Officer Certification - Tricia, Now that we e	Nov 22
<input type="checkbox"/>	★ Glen Fairclough Jr		Records Officers .../28366	Fwd: new SSD contact information - Contact information updates	Nov 12
<input type="checkbox"/>	★ me, Rebekkah (2)	Archives/Analyst Section	Records Officers .../28366	CAO updates for DWS and Health - Rebek	Oct 24
<input type="checkbox"/>	★ Bruce W. Chesnut	ARO Communication	Records Officers .../28366	Re: USHRAB Grant Opportunity (Bruce Che	Jul 18

COMPOSE

Inbox (4)

Starred

Sent Mail

Drafts (62)

- 1. Records Officer... ■
- 28366 (15) ■
- 1. State Governm... ■
- 2. County (2) ■
- 3. Municipalities ... ■
- 4. Local District (1) ■
- 5. School District... ■

Unread

<input checked="" type="checkbox"/>	★ Rosemary, me (2)	Archives
<input type="checkbox"/>	★ Glen Fairclough Jr	Records
<input type="checkbox"/>	★ me, Rebekkah (2)	Archives
<input type="checkbox"/>	★ Bruce W. Chesnut	ARO Co

Everything else

Label as:

- Archives
- Records Officers Project/28366
- 1. State Government
- 2. County
- 3. Municipalities
- 4. Local District
- 5. School District
- 6. Quasi
- 7. Public

Create new

Manage labels



# GMAIL LABELS

- Please refer to video: Create label



# GMAIL LABELS

- Please refer to video: Apply label



# PART 2: EMAIL MANAGEMENT

1. Work with Records Officer to appraise and identify emails that are records
2. Identify appropriate retention schedules
3. Label emails with appropriate series number and/or retention
4. Maintain emails until retention is met
5. Exercise appropriate disposition
  - Destroy
  - Permanent (may transfer to State Archives)



# MAINTAIN EMAILS

- Gmail is not a repository
- Long-term emails maintain with State Archives assistance
- Permanent emails transfer to State Archives
- Maintain emails in original format



# MAINTAIN EMAILS

- Please refer to video: Download auto-delete script



# MAINTAIN EMAILS

```
// The name of the Gmail Label that is to  
be purged?
```

```
var GMAIL_LABEL = "Transitory";
```

```
// Purge messages automatically after how  
many days?
```

```
var PURGE_AFTER = "90";
```



# MAINTAIN EMAILS

- Please refer to video: Update script



# MAINTAIN EMAILS

- Please refer to video: Install boomerang



# MAINTAIN EMAILS

- Please refer to video: Apply boomerang



# PART 2: EMAIL MANAGEMENT

1. Work with Records Officer to appraise and identify emails that are records
2. Identify appropriate retention schedules
3. Label emails with appropriate series number and/or retention
4. Maintain emails until retention is met
5. Exercise appropriate disposition
  - Destroy
  - Permanent (transfer to State Archives)



# EXERCISE APPROPRIATE DISPOSITION

- Destroy
  - Log deletion of emails with records officer
  - Empty trash
- Permanent
  - Ensure emails are properly labeled
  - Transfer to State Archives



# PART 3: EMAIL BEST PRACTICES

- Conduct only state business on work account
- Conduct personal business on personal account
- Give messages a meaningful subject line
- Maintain email in original format
- Do not destroy emails that are part of a GRAMA request or litigation



# PART 3: EMAIL BEST PRACTICES

- Maintain record-copy & entire thread
- Manage according to appropriate retention schedule
- Practice proper disposition: destroy or transfer
- Promptly dispose of non-record emails
- Turn off chat feature



# PART 3: EMAIL BEST PRACTICES

- Please refer to video: Chat off the record



# EMAIL MANAGEMENT ASSISTANCE

- Agency records officer
  - Properly identifying and destroying records
  - Identify appropriate retention schedules
- Rebekkah Shaw, State Records Analyst
  - Assist records officers
  - rshaw@utah.gov
- Gmail Features
  - DTS's tutorial on employee gateway
  - Google support website:  
<https://support.google.com/mail/?hl=en#topic=3394150>

