

**COMMISSION OF PUBLIC RECORDS
NEW MEXICO STATE RECORDS CENTER AND
ARCHIVES**

**IMPLEMENTATION GUIDE FOR 1.13.4 NMAC:
*RECORDS MANAGEMENT REQUIREMENTS FOR
ELECTRONIC MESSAGING***

July 1, 2007

**1205 Camino Carlos Rey
Santa Fe, New Mexico 87507
505-476-7900
www.nmcpr.state.nm.us**

CONTENTS

Introduction	1
I. Record Keeping Requirements	1
II. Public Records	2
What are Public Records?.....	3
Is E-mail a Public Record?	3
Public Records vs. Non-records	4
Transitory E-mail	4
E-mail Classification Flowchart	5
III. Retention and Scheduling Requirements	6
IV. Organizing and Filing Electronic Mail	7
Filing	7
General Filing Guidelines	7
File Plans	8
Preparing a File Plan	8
V. E-mail Policy	11
Acceptable Use	11
Access and Privacy	11
VI. Roles and Responsibilities	12
Employees.....	12
Management	12
Attorney	12
IT Staff	12
Records Managers	12
VII. Employee Training	13
VIII. Storage	13
IX. Access	13
APPENDIX A - 1.13.4 NMAC, Records Management Requirements for Electronic Messaging....	14
APPENDIX B - Sample E-mail Policy	20
APPENDIX C - Sample E-mail Management Procedures	23
APPENDIX D - Frequently Asked Questions about E-mail Retention	26
APPENDIX E - Is It a Record?	27
APPENDIX F - Tips for Using and Managing E-mail	28

INTRODUCTION:

The Public Records Act (Chapter 14, Article 3, NMSA 1978) charges the Commission of Public Records with establishing a Records Center and appointing the State Records Administrator. Section 14-3-6 of the Public Records Act authorizes the State Records Administrator to establish rules, standards, procedures, and techniques for the effective management of public records. Government offices are now in the midst of a transition from paper-based to all-digital recordkeeping environments. Electronic records must be maintained and managed just as any other public record in paper format. The success or failure of government programs often depends on how quickly government officials are able to access the records and information they need to make decisions or to comply with regulations. There are costs associated with not being able to locate records in a timely manner, especially during litigation, as well as risks and costs associated with records being retained long past their usefulness.

The management of electronic messaging is essential to ensure adequate control and retention of public records, the efficient and effective use of resources and the mitigation of legal liability to the state of New Mexico. This guide has a two-fold purpose. First, it is intended to assist state agencies in complying with 1.13.4 NMAC, *Records Management Requirements for Electronic Messaging* (Appendix A). Second, the guide promotes best practices in records management so as to facilitate the effective capture, management, and retention of electronic messages classified as public records. The guidelines emphasize the crucial role of records maintenance and disposition in managing e-mail.

E-mail has become the communication method of choice for state government and is often used to communicate substantive information previously committed to paper and transmitted by regular land mail. E-mail messages are replacing phone conversations and face to face meetings that in the past would not have been documented or included in files. Electronic messages that document decisions, policies, procedures, operations or delivery of services are evidence of official state business and need to be managed as records.

I. RECORD KEEPING REQUIREMENTS

All states have records laws that establish the need for effective records management programs, provide for the authority to dispose of public records, and establish a structure for records management in the state. These state laws generally encompass all public records, regardless of format, created or received in the course of doing business.

State agencies create an enormous quantity of records every business day. A records management program provides for the identification of public records that must be maintained for business purposes and provides for the proper disposal of useless information. Retention periods for public records are codified in executive and general

records retention and disposition schedules that are published in the New Mexico Administrative Code (NMAC).

Without a records management program agencies run the risk of retaining records for excessive periods of time or disposing of records without regard to their legal retention period. Records management is the systematic control of records through-out their life cycles - from their creation or receipt, through their processing, distribution, storage and retrieval, maintenance and use to their ultimate disposition. The components of a records management program include:

- written policies,
- standard operating procedures,
- implementation of records retention and disposition schedules,
- systems for managing records,
- storage procedures,
- procedures for protecting mission critical or vital records,
- employee training, and
- compliance and audit.

II. PUBLIC RECORDS

What are Public Records?

“Public records” as defined in the Public Records Act (Section 14-3-2 NMSA 1978) means books, papers, maps, photographs or other documentary materials regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business. Records support government operations by ensuring that an agency can:

- conduct its business in an orderly, efficient, and accountable manner;
- deliver services consistently and equitably;
- document its policies, decisions, and outcomes for the public and other agencies;
- meet its legislative and regulatory requirements, including audits;
- protect itself in litigation;
- function in a financially and ethically accountable manner;
- protect the rights of employees, clients, and citizens; and
- provide continuity of operations in an emergency or disaster

Is E-mail a Public Record?

E-mail itself is not considered a record series or category. It is a means of transmission of messages or information. Electronic mail which contains information that is created or received by any agency in connection with official business is a record that is subject to access and records management laws and regulations. E-mail messages which constitute public records must be identified, accessible and retained just like records in other formats. Retention or disposition of e-mail messages must be related to the information they contain or the purposes they serve. (See Appendix E for quick reference)

Public Records versus Non-records:

It is important for employees to understand the distinction between records and non-records. A record can be anything that contains information that has been created or received in the course of business that can be used to provide information about some action. Not all e-mail messages document official state business, however many messages do. Agencies must ensure that e-mail messages that provide evidence of official state business are appropriately stored, filed and disposed of according to executive and general records retention and disposition schedules.

The following examples illustrate the kinds of e-mail messages that document official business transactions:

- correspondence regarding management, financial, operating procedures or policy matters;
- messages regarding state policy;
- messages containing minutes of meetings, or transcripts of hearings;
- messages regarding vital public information such as environmental reports;
- messages that are relied upon in the development of management, financial, operating procedures or policy; or
- final reports or recommendations.

Non-Records:

E-mail messages that do not meet the criteria of the definition of a record may be deleted at any time, unless they become part of some official record as a result of special circumstances. These types of messages may include those described immediately below:

- ***Personal Correspondence:*** Any e-mail message not received or created in the course of state business may be deleted immediately, since it is not an official record - for example the "Let's do lunch" (not a state-business lunch) or "Can I catch a ride home" type of note.
- ***Promotional material:*** Promotional material from vendors, and similar materials that are publicly available to anyone, are not official records unless specifically incorporated into other official records. In the electronic world, this includes unsolicited promotional material (spam), files copied or downloaded from Internet sites, etc. These items may be immediately deleted, or maintained for reference and deleted later, just as you might throw away a promotional flyer. .
- ***Other examples::***
 - (1) duplicate copies of messages sent to multiple people;
 - (2) copies of documents distributed for convenience or reference;
 - (3) announcements of social events, such as retirement parties;
 - (4) junk mail (spam, advertisements, etc.); or
 - (5) messages to or from e-mail distributions lists (listserv) not directly related to agency business.

Transitory E-mail:

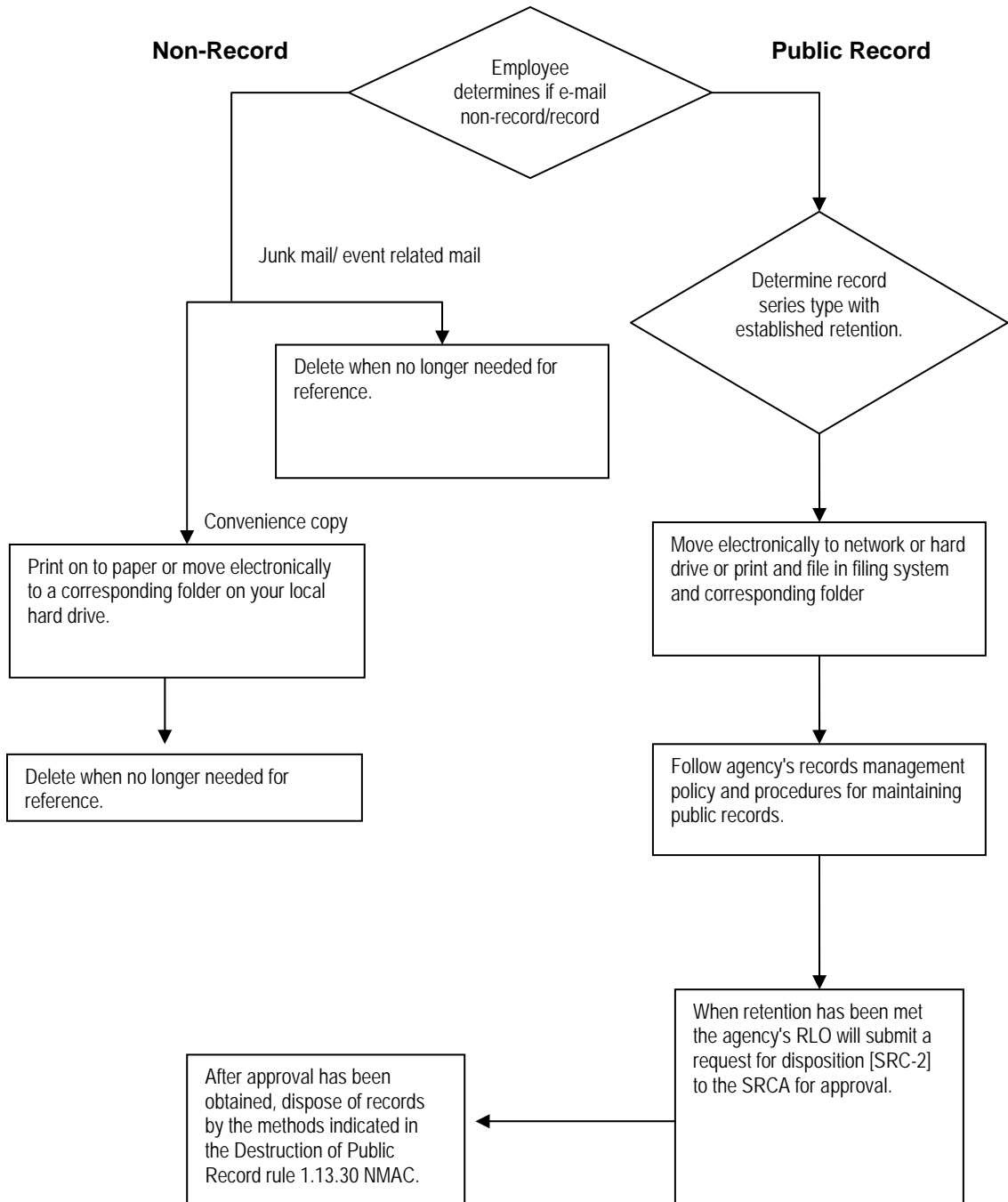
Much of the communication via e-mail has a very limited administrative value. For instance, an e-mail message notifying employees of an upcoming meeting would only

have value until the meeting has been attended or the employee receiving the message has marked the date and time in his or her calendar.

E-mail messages may have an official context but not be part of a business transaction. The following examples illustrate e-mail with an official context, but of no value beyond reference:

- general departmental correspondence regarding routine business activities (transmittal messages and responses to routine questions) ; or
- inter-office messages regarding employee activities (holiday parties, etc.), phone calls or invitations and responses to work related events (meetings, etc.)

E-mail Classification Flow Chart



III. RETENTION AND SCHEDULING REQUIREMENTS

Records retention and disposition schedules promulgated as rules by the Commission of Public Records are administrative law and serve as the official policy for records retention and disposition in state government. Records schedules identify records that must be maintained for business purposes or that are required to be maintained to meet state and federal statutory requirements. Records specific to an agency are found in Executive Records Retention and Disposition Schedules (ERRDS) and may be located through the Commission of Public Records website at: www.nmcpr.state.nm.us/nmac. General Records Retention and Disposition Schedule (GRRDS) identify records that are common to all state agencies and may also be located through the website noted above.

A records retention schedule specifies the length of time that public records must be retained as well as those records of permanent value. Retention is based on the concept that information has a life cycle. Like other agency assets and resources, the value of most information tends to decline as time passes. An agency needs a records retention program to provide for the routine disposal of useless information in order to control the growth of its records. (See Appendix D for frequently asked questions about retention)

The content of the e-mail message determines whether the message is a public record and whether the message needs to be retained. A message must be retained or disposed of according to its classification as either a record or non-record. For example, an e-mail message concerning a contract or agreement, 1.15.4.307 NMAC, GRRDS must be retained for the minimum retention period prescribed by that record series (six years after termination of contract or agreement). Schedules for legislative and judicial records are also available through the New Mexico Administrative Code (NMAC) at www.nmcpr.state.nm.us. Following are citations for general and executive schedules.

- 1.15.2 NMAC GRRDS, General Administrative Records
- 1.15.3 NMAC GRRDS, General Administrative Records for use by local governments
- 1.15.4 NMAC GRRDS, General Financial
- 1.15.6 NMAC GRRDS, General Financial for use by local governments
- 1.15.5 NMAC GRRDS, General Personnel Records
- 1.15.7 NMAC GRRDS, General Personnel Records for use by local governments
- 1.15.8 NMAC GRRDS, General Medical Records
- 1.15.9 NMAC GRRDS, General Hospitals and Medical Centers
- Title 1, Chapter 16 contains records schedules for legislative agencies;
- Title 1, Chapter 17 contains records schedules for the judiciary; and
- Title 1, Chapter 18, contains executive records retention and disposition schedules which are agency specific.1.18.369.

Email generally falls into one of the following record series categories listed below.

1. **Administrative Correspondence** (Executive Levels), 1.15.2.108 NMAC, Incoming/outgoing and internal correspondence in any format pertaining to the administration of an agency or division including coordination of programs, policy, regulations and procedures that impact the agency. This type of

correspondence is usually found at the agency director, deputy director and division director levels. This record group includes the correspondence files of all elected and appointed officials. **Retention:** two years after close of fiscal year in which created, then transfer to archives for appraisal and final disposal.

2. **General Correspondence** (Non-executive levels), 1.15.2.109 NMAC. Non-administrative incoming/outgoing and internal correspondence created or retained below the levels of agency director, deputy director and division director. Letters and memoranda reflect communication regarding program procedures, general work activities, and responses to information requests. **Retention:** one year after close of fiscal year in which created.
3. **Policy and Program** - These messages are especially important and often have a long-term retention. These records series are described in the agency specific executive records retention and disposition schedules.
4. **Non-record or transitory information** 1.15.2.101 NMAC, General Administrative Records. Transitory information that is required only for a limited period of time for the completion of an action by an official or employee. **Retention:** none.

IV. ORGANIZING AND FILING ELECTRONIC MAIL

Filing

Filing systems consist of documents and files incorporating incoming and outgoing correspondence, internal and external supporting materials, working papers and office related records. Finding records when needed is what filing is all about. Locating one document from as few as a hundred can be time consuming unless the documents are arranged in some systematic order. The principle objective of filing is for users to be able to retrieve information when needed. A good filing system identifies and preserves the set order of records.

The role of filing systems in record management is to establish classification systems based on record series identified in records retention and disposition schedules. The classification of records into records series provides a structure for the development of agency file plans. The file plan specifies the logical order of documents or files, the arrangement or scheme by which all documents may be identified, stored and retrieved. A records retention and disposition schedule is necessary to develop an agency's file plan.

General filing guidelines

The first point to keep in mind with filing e-mail is that you only need to file the e-mail messages that are records. There are two general options for filing and managing e-mail records: print messages and file them in manual filing systems, or transfer e-mail messages to an electronic filing system of some kind. Each option has different advantages and disadvantages, and each requires different degrees of technical support. When selecting a method for retaining e-mail records, make sure that the chosen method

meets the needs of users and complies with all recordkeeping requirements. After the development of a filing system, all employees must consistently apply the policies, procedures and tools for managing e-mail.

1. Evaluate e-mail. Just as with traditional paper mail, employees will receive all kinds of e-mail and will need to evaluate what to do with each individual piece.
2. Delete transitory and non-record e-mail. Employees should quickly discard junk mail and personal mail. Keeping such e-mail in an inbox takes up storage space and makes it more difficult to locate any e-mail records.
3. Respond to business e-mail messages. Employees should act on business correspondence immediately. Although the filing and maintenance of e-mail records is important, it is more important to conduct the central work of the agency and respond promptly to business e-mail.
4. Identify any e-mail messages that are records.
5. File e-mail records as soon as possible. Employees should file any correspondence including related attachments that is directly related to the business functions of the agency. Since e-mail messages may actually fit in several different records series, employees will first need to identify the appropriate series for the e-mail. Then they can file the e-mail in those series, whether paper or electronic. One option for storing e-mail records is to print them onto paper and file them in a manual filing system. This option is easy to implement, especially where well designed filing systems already exist. It is also an effective way to integrate paper and electronic records where records are created and received in both hard copy and electronic form. Also, paper is a simple solution to the problem of technological obsolescence.

File Plans

Electronic filing systems employed by state agencies should be managed based on a file plan. File plans should be designed by an agency based on the records created and maintained. A single file plan should be developed rather than unique files plan being created for each employee. Standardized file plans make searching for co-workers' records much easier. This helps employees understand where to store their records and promotes accurate filing. Employees no longer need to store their e-mail records in multiple places, such as on a hard drive, floppy disks, or as a hard copy. Instead, they can store a variety of electronic records together in a central location such as a dedicated network server.

Development of a file plan requires the classification of records into record series as identified in records retention and disposition schedules. Classification allows for the arrangement of records based on common characteristics. Volume is the main determinant in deciding whether records should be filed by records series instead of subject. Classification is considered generally when the volume of records is large.

Preparing a File Plan

A **file plan** lists the records in your office, and describes how they are organized and maintained. A good file plan is one of the essential components of a recordkeeping

system, and key to a successful records management program. The major steps in implementing a file plan in your office are:

- identifying record series
- creating the file structure
- creating the file plan

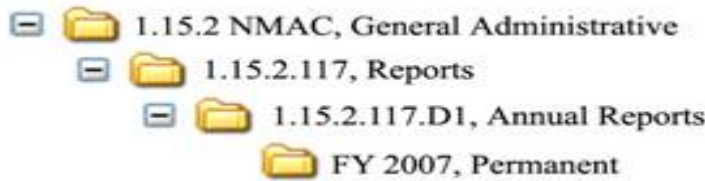
Record Series

The first step in implementing a file plan for your office is identifying what you have. Agencies should review records retention and disposition schedules developed by the State Records Center and Archives to help identify types of records created and maintained by state agencies. Records described in records retention and disposition schedules are grouped by records series. Records series are related records arranged by business functions and programs.

File Plan Structure

Once the agency identifies the records series created and maintained by the agency as described in records retention and disposition schedules, a file structure can be established by arranging the records series codes that apply to the records in your office in record series file code order. For example, if your agency maintains various reports, **(1.15.2.117 Reports)** sub-categories of reports can be filed in sub-folders.

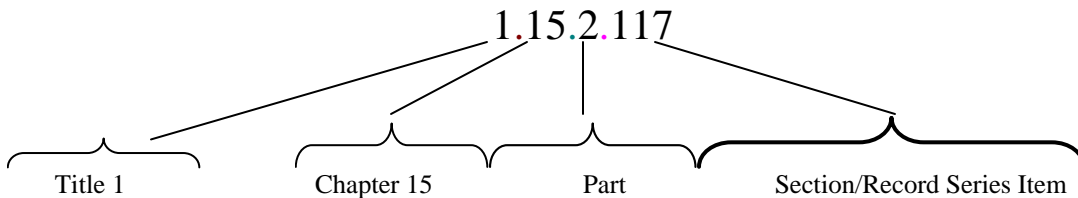
Electronic File Structure



NMAC Citation

The NMAC citation can serve as a file code. A file code is used to represent the record series item identified in records retention and disposition schedules, in either general schedules or executive schedules:

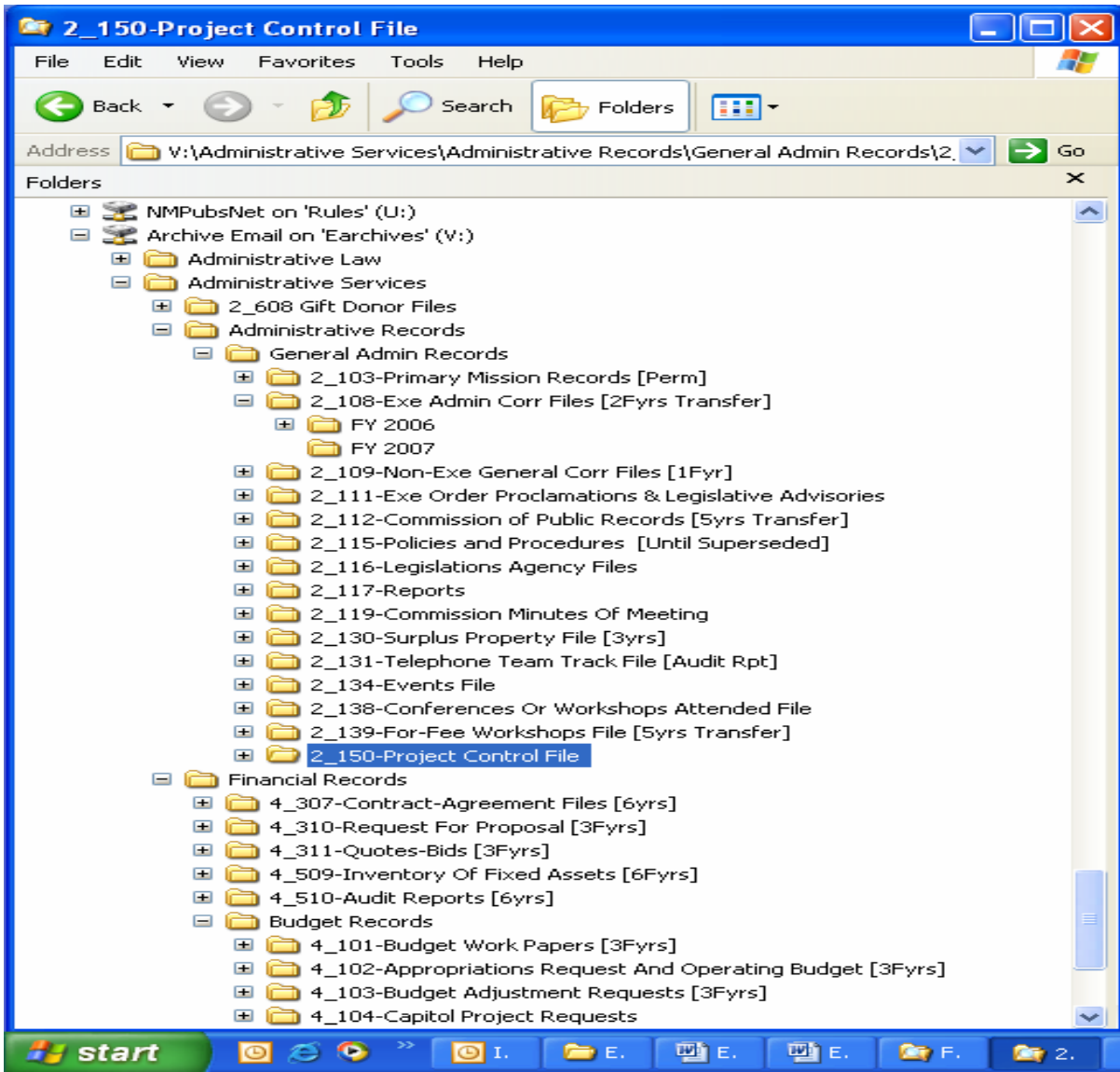
1.15.2.117 - General Administrative- Reports



Creating the File Structure

Once you have identified what you have the next step is creating the file structure by arranging the records series items by program area followed by the file code and then by fiscal year. Identifying the fiscal year will help track the retention period for the record.

Administrative Law		
	1.18.369.34 NMAC Conversion Files	
		FY 2005
Administrative Records		
	General Administrative Services	
	1.15.2.117 Reports	
	Financial Records	
	1.15.4.311 Request for Proposal	
		FY 2007



V. E-MAIL POLICY

Government agencies have an obligation to make employees aware that e-mail messages, like paper correspondence, must be managed according to established policy and procedures. In turn policies and procedures must be based on rule. Agencies should use a written e-mail policy to provide general guidance to employees on the acceptable use and management of e-mail. Management must ensure that employees are aware of the policy and establish procedures for implementing the policy.

E-mail messages are under the direct control of each state employee rather than the records manager or file clerk; therefore responsibility and accountability for e-mail messages have shifted to the individual employee. However, e-mail policies should notify employees that e-mail messages and computer passwords belong to the agency not the individual. Policies should also provide direction on the acceptable use of e-mail, on access and privacy protection of e-mail and on the management and retention of e-mail. Roles and responsibilities of users, managers, technical staff, and records management staff should be defined. The SRCA recommends that state agencies and local governments develop e-mail policies that address these issues. (See Appendix B for a sample E-mail policy and Appendix C for sample procedures.).

- ***Acceptable Use:*** State government provides state employees with e-mail services to support official government business. Therefore, policies should define the proper use of e-mail and set limits on personal use. Agencies may set the same strict limitations on personal use of e-mail that exist for telephone, fax, and postal mail. Recognizing that some personal communications are unavoidable, however, some agencies permit internal personal use within specific limits, such as announcements of work-related social events.
- ***Access and Privacy Protection:*** E-mail policies must comply with the Inspection of Public Records Act (IPRA) which establishes the right of the public to access and inspect public records unless a specific exemption applies. Policies should inform users that e-mail messages sent or received through the state e-mail system can be accessed and monitored in the normal course of business, may be releasable to the public under IPRA. Confidential or personal information should never be sent via e-mail without the understanding that it can be intercepted. This includes the transmission of Social Security numbers, health information, proprietary data, trade secrets or other confidential information. Policies should instruct employees to use extreme caution when sending confidential information to ensure the recipients e-mail address is correct.
- ***Limiting E-mail Accounts:*** Agencies may implement policies that restrict who within the organization may have an e-mail account. For example, only those employees who have a specific business need to communicate outside the organization are authorized to have an e-mail account. This policy helps to restrict the size of any potential e-mail issues by limiting the number of possible users. However, such a policy will also limit the ability of the organization to use e-mail as an internal communication and collaboration tool.

VI. ROLES AND RESPONSIBILITIES

E-mail policies should clearly define roles and responsibilities.

Employee Responsibilities:

- Decide which messages to keep and which to destroy.
- Empty e-mail trash bins to purge deleted messages frequently.
- File the messages that are retained in an organized filing system.
- Identify which retention schedule mandates the message's retention or authorizes its destruction.

Management Responsibilities:

- Ensure that Retention and Disposal Schedules are accurate and comprehensive.
- Adopt and distribute an e-mail retention policy for staff. The policy should define:
 - Employee responsibilities
 - Authorized storage options
- Communicate with relevant employees, attorneys and information technology staff when an Inspection of Public Records Act (IPRA) request is received or when litigation appears to be imminent.

Attorney Responsibilities:

- Counsel must actively oversee and direct the discovery and preservation process—merely issuing an order or memo is not enough.
- Counsel must meet with key players in the litigation to ensure they understand their role and duties.
- Counsel must take steps to protect relevant records.
- Counsel must be familiar with the client's document retention policies.
- "The litigation hold instructions must be reiterated regularly and compliance must be monitored."

IT Responsibilities:

- Define backup processes in writing.
- Purge backup tapes on a regular basis to ensure that deleted e-mail messages cannot be recovered.
- Organize and index backup tapes so requested information can be located.
- Work with attorneys to protect e-mail messages that are needed as evidence.

Records Managers

- Advises agency officials and employees on the implementation of records disposition and filing requirements.
- Oversees implementation of disposition instructions including the transfer of permanent records to the State Records Center and Archives
- Serves as the primary liaison to the State Records Center and Archives to obtain approval of proposed disposition of records which have met their legal retention.

VII. EMPLOYEE TRAINING

Training is a vital element of compliance. Employee training is an essential ingredient to managing e-mail effectively. It is the primary way in which an agency communicates what it wants done and how it wants it done. Training should focus on teaching employees how to use their e-mail software, how to follow e-mail policies and procedures, what their responsibilities are as state employees and users of the e-mail enterprise system, and how to identify e-mail messages that are public records. (See Appendix F for tips on using and managing e-mail).

VIII. STORAGE

Agencies that retain e-mail electronically must provide a suitable storage environment and proper care and handling procedures. Agencies should research life expectancy estimates for storage media and develop systems to check the content of the media periodically and to convert to new media when necessary. The practice of storing e-mail messages with long-term value on machine-readable media such as CD-ROM, 3480 tape or digital linear tape presumes that the hardware and software required to read the data will exist into the future. The SRCA will accept into the State Archives e-mail stored only on those media it has the ability to read, ASCII, RTF, HTML or XML.

IX. ACCESS

E-messages maintained by an agency are subject to the Inspection of Public Records Act (IPRA) Sections 14-2-1 through 14-2-12 NMSA 1978. Responsibility for enforcement of IPRA lies with Attorney General. Under IPRA, agencies are required to ensure that requests to inspect public records are promptly and efficiently granted. An agency that has destroyed e-messages that have met their legal retention period as defined in records retention and disposition schedules are not required to provide those documents to the requestor. However, if the e-message exists and is releasable under IPRA, an agency is required to retrieve and produce the e-mail message. Filing solutions based on a classification system as described in Section IV will provide an organized and consistent indexing system in which e-mail messages may be easily retrieved and will facilitate responses to IPRA requests.

CONCLUSION

Effective management of e-mail messages and public records requires the participation of all employees within an agency and the implementation of policies and procedures. Policies and procedures should be revised as necessary in response to changes in regulatory or legal requirements as well as changes to organizational structure and business practices.

APPENDIX A

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 13 PUBLIC RECORDS
PART 4 RECORDS MANAGEMENT REQUIREMENTS FOR ELECTRONIC
MESSAGING

1.13.4.1 ISSUING AGENCY: State Commission of Public Records - State Records Center and Archives
[1.13.4.1 NMAC - N, 06/29/2007]

1.13.4.2 SCOPE: all state agencies
[1.13.4.2 NMAC - N, 06/29/2007]

1.13.4.3 STATUTORY AUTHORITY: Section 14-3-6 of the Public Records Act (Chapter 14, Article 3, NMSA 1978) gives the state records administrator the authority to establish and maintain an active, continuing program for economical and efficient management of the public records of state government and the authority to establish rules, standards, procedures and techniques for the effective management of public records.
[1.13.4.3 NMAC - N, 06/29/2007]

1.13.4.4 DURATION: Permanent
[1.13.4.4 NMAC - N, 06/29/2007]

1.13.4.5 EFFECTIVE DATE: Month xx, 2007 unless a later date is cited at the end of a section.
[1.13.4.5 NMAC - N, 06/29/2007]

1.13.4.6 OBJECTIVE: To establish requirements for the management, preservation and disposition of public records sent or received through electronic messaging transmissions to ensure:

- A.** adequate documentation of agencies' statutory functions, policies, decisions, procedures and business transactions;
- B.** retention of public records in accordance with established records retention and disposition schedules promulgated by the commission of public records under Title 1, Chapters 15 through 20 of the New Mexico Administrative Code; and
- C.** the capture and preservation of permanent public records sent or received through e-messaging of historical and informational value.

[1.13.4.6 NMAC - N, 06/29/2007]

1.13.4.7 DEFINITIONS:

- A. Adequate documentation** means a record of the conduct of government business that is complete and accurate to the extent required to document functions, policies, decisions, procedures and business transactions designed to furnish the information necessary to protect the legal and financial rights of state government and of persons directly affected by an agency's activities.
- B. Administrator** means the state records administrator (Section 14-3-2 NMSA 1978).
- C. Agency** means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico (Section 14-3-2 NMSA 1978).
- D. Archives** means the New Mexico state archives, the entity responsible for appraising, preserving and making available permanent public records.
- E. Authentic record** means a record that is what it purports to be and whose authenticity can be established by its mode and form of transmission, security controls and procedures for the identification, filing, retrieval and access, storing, disposition, transfer, preservation, and conservation of the record by its creator or legitimate successor.

F. Business transaction means the process of responding to external and internal requests for resources, goods, services or information relating to a defined area of government responsibility or authority and the exchange of resources, goods, services or information that occurs as a result, e.g., request for birth certificate via e-mail and response by vital records bureau.

G. Computer means an electronic device designed to accept data (input) perform prescribed mathematical and logical operations at high speed (processing) and supply the results of these operations (output). This includes, but is not limited to, mainframe computers, minicomputers and microcomputers, personal computers, portable computers, pocket computers, tablet computers, telephones capable of storing information, PDAs and other devices used to conduct the business of government.

H. Custodial agency means the agency responsible for the maintenance, care or keeping of public records, regardless of whether the records are in that agency's actual physical custody and control.

I. Data is the plural for "datum" which means a single piece of information. Data refers to a collection of information, electronic or non-electronic. Data can also refer to raw facts, figures or symbols.

J. Destruction means the disposal of records of no further value by a method prescribed and authorized by the state records administrator [1.13.30 NMAC, Destruction of Public Records and Non-Records] such as: shredding, burial, incineration, pulping, electronic overwrite or some other process, resulting in the obliteration of information contained in the record.

K. Disposition means those actions taken regarding records no longer needed for current government business. Disposition may include either destruction or the transfer of records to the state archives.

L. E-message means an electronic mail message created in or received through an electronic mail system, including all attachments, such as word processing and other electronic documents sent over a communications network, using a computer or other electronic device. E-messages include text messages sent over a cell-phone or PDA.

M. Electronic mail system means a system that enables users to compose, transmit, receive and manage electronic mail across networks and through gateways connecting to other local area networks.

N. Electronic public record means any information recorded in a form only an electronic device can process and that satisfies the definition of a public record in Section 14-3-2 NMSA 1978.

O. End-user means any person authorized by a state agency to access state IT and telecommunication resources, including a state employee, officer or contractor doing business with the agency.

P. Executive records retention and disposition schedule means a records retention and disposition schedule that identifies and establishes retention periods specific to an executive agency's program records.

Q. Filing means the process of sequencing and sorting records to make them easy to retrieve when needed.

R. General records retention and disposition schedules means a records retention and disposition schedule that specifies the disposition of support records common to many offices or agencies within government, such as general administrative, financial, or personnel records and establishes a timetable for their legal retention. See also **records retention and disposition schedule**.

S. Historical value means the value assigned to records by the state records administrator and the commission of public records because of their importance or usefulness in documenting past events in history.

T. Instant messaging (IM) means the exchange of typed messages between two or more people in real time through the internet.

U. Information technology (IT) means computer hardware and software and ancillary products and services, including: systems design and analysis; acquisition, storage and conversion of data; computer programming; information storage and retrieval; voice, radio, video and data communications; requisite systems; simulation and testing; and related interactions between users and information systems.

V. Judicial records retention and disposition schedule means records retention and disposition schedule that specifies the disposition of support records for the judiciary branch of state government.

W. Legislative records retention and disposition schedule means a records retention and disposition schedule that specifies the disposition of support records for the legislative branch of state government.

X. Legal custody means the lawful responsibility for the care, maintenance or keeping of a public body's public records, regardless of whether the records are in the public body's actual physical custody and control.

Y. Metadata means "data about data"; it is information that describes another set of data. Metadata is descriptive information that facilitates the management of and access to other information. For example transmission metadata accompanies an e-message and provides information about the sender, recipient, time of transmission and its receipt. Recordkeeping metadata provides indexing and retention data on electronic records and facilitates records management actions such as discovery, preservation and disposition.

Z. Non-records or non-essential records means extra copies of documents kept solely for convenience of reference, stocks of publications, records not usually included within the scope of the official records of an agency or government entity and library material intended only for reference or exhibition. The following specific types of materials are non-records: materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer or agency; extra copies of correspondence; preliminary drafts; blank forms, transmittal letters or forms that do not add information; sample letters; and reading files or informational files.

AA. Permanent records means records considered being unique or so valuable in documenting the history or business of an agency or organization that they are preserved in an archive.

BB. Personal digital assistant (PDA) means a handheld device that combines computing, telephone/fax, internet and networking features.

CC. Public records as defined in the Public Records Act (Section 14-3-2 NMSA 1978) means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business, preserved or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained therein.

DD. Records custodian means any person responsible for the maintenance care or keeping of a public body's public records, regardless of whether the records are in that person's actual physical custody and control.

EE. Records and information requirements means all statements in statutes, regulations, and agency directives or authoritative issuances that require an agency to create and maintain certain records or information for a specific period of time.

FF. Recordkeeping system means a manual or electronic system in which records are collected, organized and categorized to facilitate their preservation, retrieval and disposition.

GG. Records liaison officer means the individual in the custodial agency designated by the records custodian to cooperate with, assist and advise the state records administrator in the performance of the administrator's duties (Section 14-3-4 NMSA 1978). The records liaison in an agency is responsible for implementing the records retention and disposition schedules within his or her agency. The records liaison is also responsible for authorizing the storage and destruction of his or her agency's records.

HH. Records retention and disposition schedules means rules adopted by the commission pursuant to Section 14-3-6 NMSA 1978 describing the records of an agency, establishing a timetable for their life cycle and providing authorization for their disposition.

II. Records series means file units, documents or electronic records arranged according to a filing system or maintained as a unit because they relate to a particular subject or function, results from the same activity, have a particular form or share some other relationship arising from their creation, receipt or use.

JJ. Transfer means the act of moving inactive records to a records center or archives. Moving records into the state archives also includes the transfer of custody from the custodial agency to the state archives.

KK. Transitory messages means e-messages which serve to convey information of temporary importance in lieu of oral communication. Transitory messages are only required for a limited time to ensure the completion of a routine action or the preparation of a subsequent record. Transitory e-messages are not required to control, support or to document the operations of government.

[1.13.4.7 NMAC - N, 06/29/2007]

1.13.4.8 ABBREVIATIONS:

- A. "E-messages" means electronic mail.
- B. "ERRDS" means executive records retention and disposition schedule.
- C. "GRRDS" means general records retention and disposition schedule.
- D. "JRRDS" means a judicial records retention and disposition schedule.
- E. "LRRDS" means a legislative records retention and disposition schedule.
- F. "IM" means instant messaging.
- G. "IPRA" means the Inspection of Public Records Act.
- H. "PDA" stands for personal digital assistant.
- I. "RRDS" stands for records retention and disposition schedule.
- J. "SRCA" means state records center and archives.

[1.13.4.8 NMAC - N, 06/29/2007]

1.13.4.9 PUBLIC RECORDS: Electronic mail has become the communication method of choice for state government and is often used to communicate substantive information previously committed to paper and transmitted by traditional methods. This combination of communication and record creation and recordkeeping has created ambiguities on the status of e-mail messages as public records. The management of e-mail messages touches on nearly all functions for which government agencies rely on recordkeeping, to furnish accurate, timely and complete information for efficient decision making in the management and operation of the agency. The need to manage e-mail messages properly is the same as that for other records to ensure compliance with New Mexico laws concerning the creation, retention, and access to public records. E-messages classified as public records are subject to records and information management requirements promulgated as rules by the SRCA and the requirements of the Public Records Act and the Inspection of Public Records Act (IPRA).

[1.13.4.9 NMAC - N, 0/00/2007]

1.13.4.10 MANAGEMENT RESPONSIBILITIES: Agencies are required to provide guidance to employees on the proper use of the state's information technology resources, including the use of e-mail (1.12.10 NMAC, Internet, Intranet, Email and Digital Network Usage). The state maintains an enterprise electronic mail system that allows users to communicate electronically. Each agency using the system continues to have the responsibility to identify and maintain its records whether created electronically or on paper. E-mail messages that are identified as a public record shall be maintained in conformance with the agency's records retention and disposition schedule and records management plan. The management of electronic messaging is essential to ensure adequate control and retention of public records, the efficient and effective use of resources and the mitigation of legal liability to the state of New Mexico. Effective policies clearly define the roles and responsibilities of end users, managers, technical staff, records custodians, and records management staff to ensure that e-messages identified as public records by the custodial agency are:-

- A. managed in compliance with applicable state and federal laws and regulations;
- B. maintained in an appropriate-recordkeeping system;
- C. complete;
- D. readily available and accessible in a useable format; and
- E. authentic and secure.

[1.13.4.10 NMAC - N, 06/29/2007]

1.13.4.11 RETENTION AND SCHEDULING REQUIREMENTS: E-messages may include public records or transitory information. Only those e-messages classified as public records must be retained based on established retention periods published in GRRDS, JRRDS, LRRDS and ERRDS (Title 1, Chapters 15 through 20 of the NMAC). E-messages must be categorized, filed and retained on the basis of content. The content of e-messages may vary considerably; therefore, each e-message shall be evaluated to determine if it meets the definition of a public record as defined in the Public Records Act and 1.13.4 NMAC. Non-records or transitory e-messages that do not provide evidence of official agency policies or business transactions may be deleted.

A. E-messages and attachments classified as public records shall be categorized under the appropriate record series identified in a GRRDS, JRRDS, LRRDS, or ERRDS. E-messages and attachments identified as public records shall be retained and stored for as long as required under the

appropriate retention period. E-messages scheduled as permanent shall be transferred to the state archives. E-messages that are public records include but are not limited to:

- (1) policies and directives;
- (2) correspondence or memoranda that contain final directives, determinations, instructions or guidance regarding public business;
- (3) minutes of governing boards, advisory groups, ad-hoc committees or work groups developing programs;
- (4) messages that authorize, establish or complete a business transaction; or
- (5) final reports or recommendations such as to legislative committees or produced by task forces or study groups.

B. Non-record and transitory e-messages do not set policy, provide directives, establish guidelines or procedures nor do they certify transactions; they may be destroyed without the prior approval of the state records administrator. Non-record and transitory e-messages include but are not limited to:

- (1) duplicate copies of messages sent to multiple people;
- (2) personal messages and announcements not related to official agency business;
- (3) preliminary drafts of letters, reports and memoranda;
- (4) messages considered brainstorming or preliminary thought processes in nature, reflecting the exchange of ideas preliminary to the development of a final decision or position of the agency;
- (5) transmittal e-messages that do not add substantive information to the attachment(s) being transmitted;
- (6) copies of documents distributed for convenience or reference;
- (7) announcements of social events, such as retirement parties;
- (8) spam (unsolicited, commercial e-messages);
- (9) messages to or from e-messages distributions lists (listserv) not directly related to agency business; and

[1.13.4.11 NMAC - N, 06/29/2007, A, 06/30/2008]

1.13.4.12 FILING E-MESSAGES: Filing solutions shall be based on a classification solution as described above in Subsection A of 1.13.4.11 NMAC. E-messages shall be filed in a manner that enhances their accessibility and facilitates record and information management requirements. E-messages classified as public records shall be filed either in a manual, paper-based system or electronically. Placing e-messages in an organized recordkeeping system is critical for the application of records retention and disposition requirements. Procedures for filing e-messages will vary based on the agency's needs and the particular hardware and software in use. E-messages sent and received in an official capacity from a computer outside the state system that can be classified as public records shall be transferred to an agency's recordkeeping system for proper retention and disposition. Non-records or transitory messages are not required for retention by a state agency and regular deletion of such messages should be included in e-mail management procedures implemented by an agency.

A. Manual filing systems for text based messaging require that messages and attachments be printed. Once an e-message has been printed the e-message and attachment may be deleted from the e-mail system. The printed copy shall include the name(s) of the sender and all recipients and the date the message was sent.

B. All electronic systems used to file e-messages shall ensure that:

- (1) e-messages and attachments classified as public records can be accessed, retrieved and read;
- (2) metadata for e-message records sent or received are captured and preserved;
- (3) e-message records are retained in a useable format for their required retention period as specified by approved records retention and disposition schedules; and
- (4) permanent e-message records scheduled for transfer to the state records center and archives meet the criteria established in the 1.13.3 NMAC, Management of Electronic Records.

[1.13.4.12 NMAC - N, 6/29/2007]

1.13.4.13 STORAGE OF E-MESSAGES: E-messages that are public records shall be maintained in a useable format by the agency that created or received the public record.

[1.13.4.13 NMAC - N, 06/29/2007]

1.13.4.14 DISPOSITION: Content, transactional information and attachments associated with e-messages that are public records are subject to the provisions in 1.13.10 NMAC Records Custody, Access, Storage and Disposition and 1.13.30 NMAC, Destruction of Public Records and Non-Records. E-messages potentially relevant to an audit, investigation or litigation should be preserved, even if the retention period has been met.

[1.13.4.14 NMAC - N, 6/29/2007]

1.13.4.15 ACCESS: E-messages maintained by an agency are subject to IPRA (14-2-1 through 14-2-12 NMSA 1978). Filing solutions based on a classification system as described above in Subsection A of 1.13.4.11 NMAC may provide an organized and consistent indexing system by which e-messages may be easily retrieved.

[1.13.4.15 NMAC - N, 6/29/2007]

HISTORY OF 1.13.4 NMAC: [RESERVED]

**APPENDIX B
SAMPLE**

E-MAIL POLICY

TOPIC

E-mail Management

PURPOSE

The purpose of this policy is to provide guidance to agency employees in managing information sent or received through E-mail transmissions and to ensure the proper use of the State's E-mail system.

SCOPE

All employees, volunteers, and student interns

DEFINITIONS

"E-mail" means a message transmitted electronically over a communications network. A system that enables users to compose, transmit, receive and manage electronic messages and images across networks and through gateways connecting to other local area networks.

"Electronic record" means a computer-generated item such as an E-mail message, a document file, an image file, etc.

"Non-record" means extra copies of documents kept solely for convenience of reference, stocks of publications, records not usually included within the scope of official records of an agency or government entity, and library material intended only for reference or exhibition. The following specific types of materials are non-records: materials neither made nor received in pursuance of statutory requirements or in connection with the functional responsibility of the officer or agency; extra copies of correspondence; preliminary drafts; blank forms, transmittal letters or forms that do not add information; sample letters and reading or informational files.

"Public records" means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business.

POLICY STATEMENT

It is the policy of the (agency name) to provide employees E-mail resources and services to assist them in the performance of their work. All E-mail resources and services are to be managed in a lawful and effective manner. To assure this, the (agency name) has the right to monitor all aspects of the e-mail system to ensure compliance with this policy and applicable law. Employees should not have the expectation of privacy in anything they create, send or receive on the State e-mail system. Employees shall conduct themselves in a manner consistent with appropriate behavior standards as established in existing agency and State policies. All State of New Mexico policies relating to intellectual property protection, privacy, misuse of State equipment, sexual harassment, sexually hostile work environment, data security and confidentiality shall apply to the use of E-mail.

PUBLIC RECORDS

All E-mail transmissions made or received by a government entity in pursuance of law or in connection with the transaction of business are public records. Employees shall determine if E-mail transmissions, both "sent" and "received," are public records; separate "public records" from "non-records"; and store only that information that is a public record. Records shall be stored

and retained based on the retention period for the particular records series established in records retention and disposition schedules and agency procedures.

Electronic documents, including E-mail, are subject to the provisions of the Public Records Act and the Inspection of Public Records Act.

Destruction of a public record before its retention period has been met is illegal and is a fourth degree felony pursuant to Section 30-26-1 NMSA 1978, *Tampering with Public Records*.

PASSWORDS

All passwords upon request must be made known to the head of the agency and the Chief Information Officer. The use of passwords to gain access to the E-mail system or to secure specific files does not provide employees with an expectation of privacy in the respective system or document.

ENCRYPTION

Employees may not encrypt any E-mails without obtaining written permission from their supervisor. If approved, the encryption key(s) must be made known to the agency's CIO and the head of the agency.

PRIVACY AND ACCESS

E-mail messages sent or received in conjunction with agency business may be releasable to the public under the Inspection of Public Records Act with several exceptions such as medical records, letters of reference, matters of opinion, attorney-client information, trade secrets, tactical response information and law enforcement investigative files. Employees are prohibited from disclosing, copying, distributing or forwarding E-mail messages exempted from public disclosure under state and federal laws.

EMPLOYEE TRANSFER TO ANOTHER STATE AGENCY

E-mail boxes in the State enterprise e-mail system accompany the employee when the employee moves from one state agency to another. Upon receiving an employee's written notice of transfer to another agency or letter of resignation the immediate supervisor in consultation with the employee and the RLO shall review the contents of the employee's e-mail box and transfer all e-mail classified as a public record into the agency's filing system.

PERSONAL USE

Personal E-mail shall not impede the conduct of State business. Employees shall not subscribe to mailing lists or mail services that fall outside of the employees scope of work.

QUESTIONABLE E-MAIL

The (name of agency) will provide employees with periodic Anti-Virus updates for personal computers. It is the employee's responsibility to update his or her assigned computer when notified. Employees shall not willfully and knowingly open E-mail messages that look questionable nor shall they open attachments unless the user is certain that the attachment is from a known sender, is expected and is pertinent to the employee's job. Questionable E-mails and attachments are to be deleted immediately and then "double deleted" by emptying the Trash bin.

UNACCEPTABLE USE OF E-MAIL

Employees shall not use E-mail resources and services for commercial purposes, including but not limited to, on-line trading and e-bay operations.

Employees shall not send or forward emails containing libelous, defamatory, offensive, racist or obscene remarks. If an employee receives an email of this nature, they must promptly notify their supervisor.

Employees shall not use E-mail to conduct prohibited political activities or business activities related to the holding of public office.

Employees shall not establish user profiles or forward, import or create e-mail accounts other than the profile and account established by the Information Technology Bureau of the Administrative Services Division.

Serious disciplinary action up to and including termination of employment may result from evidence of prohibited activity obtained through monitoring or inspection of electronic messages, files, or electronic storage devices. Illegal activity involving state IT resource usage may be referred to appropriate authorities for prosecution.

Approved:

[Signed] _____

_____ **Date**

APPENDIX C

Sample E-Mail Management Procedure

<u>Procedure Number</u>	<u>Date Issued</u>
00.00.00.000	00/00/00

TOPIC

Email Management: Classification, storage, disposition and access.

RELATED STATUTE, REGULATION, OR POLICY

[00.00.00, [E-mail Management]

Section 30-26-1 NMSA 1978, Tampering with public records

Inspection of Public Records Act (IPRA), 14-2-1 through 14-2-12 NMSA 1978.

Public Records Act, 14-3-1 through 14-3-25 NMSA 1978

1.13.4 NMAC, Records Management Requirements for Electronic Messaging

PURPOSE

To describe the procedures for managing E-mail for the purpose of providing guidance to employees to determine what information sent or received through an Email transmission should be retained and for how long.

SCOPE

All (name of agency) employees.

DEFINITIONS

"E-mail" means a message transmitted electronically over a communications network. A system that enables users to compose, transmit, receive and manage electronic messages and images across networks and through gateways connecting to other local area networks.

"Non-record" means extra copies of documents kept solely for convenience of reference, stocks of publications, records not usually included within the scope of official records of an agency or government entity, and library material intended only for reference or exhibition. The following specific types of materials are non-records: materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer or agency; extra copies of correspondence; preliminary drafts; blank forms, transmittal letters or forms that do not add information; sample letters and reading or informational files.

"Public Records" means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government or because of the informational and historical value of data contained therein.

"Record Series" means a group of identical or related records that are normally used and filed as a unit and which permits evaluation as a unit for retention scheduling purposes.

"Records liaison officer" (RLO) means the individual in the agency designated by the Director of the agency to implement the agency's records management program. The records liaison is also responsible for authorizing the storage and destruction of his or her agency's records.

"Retention" means the period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.

Classification

<u>Responsible Party</u>		<u>Action</u>
Employee	1.	Determines if the E-mail message "sent" or "received" is a "public record" or "non-record."
non-record	2.	If "non-record" employee deletes the E-mail message from the state wide E-mail system.
	3.	If the employee wishes to retain the non-record for reference the employee must move the message electronically from the state wide server to a folder on the employee's local hard drive.
	4.	Employee deletes non-record message when no longer needed for reference.
public record	5.	Identifies record series type based on general and executive records retention and disposition schedules.
	6.	Employee may print the email message including attachments and file utilizing the manual filing system. The message must be printed within 30 days of either sending or receiving a public record E-mail message. If the attachment can not be printed the message and attachment must be stored electronically.
	7.	If E-mail message is to be stored electronically employee proceeds to step#8

Storage of Electronic Public Records

<u>Responsible Party</u>		<u>Action</u>
Employee	8	Within 30 days of either sending or receiving a public record E-mail message, the employee will then save the message in the appropriate "holding folder" located in the designated secured agency network drive.
	9.	Prior to saving the message in the holding folder the employee will need to identify the appropriate record series item number based on general and executive records retention and disposition schedules. All questions regarding the identification of records series shall be directed to the agency's RLO.
	10	Employee will provide the following information in the E-mail subject line; calendar year, month, day, the initials of the creator of the message-subject-record series item number. Example: 2007.06.30-llr-memoemailtraining-1-15-2-109.
	11	Employee will then save or move the E-mail message into the "Holding Folder" located in the network drive titled "Email Archiving Holding. Within the Email Archive Holding folder the employee will locate the appropriate division folder.
	12.	Once the E-mail message has been saved in the holding folder the employee will then delete the message from the state enterprise system.
Agency Records Liaison Officer	13	Will review e-mail filed in the "holding folder" weekly. The RLO may consult the employee or the employee's supervisor if there are questions.
	14.	If the E-mail subject lines contain errors, the RLO will notify the employee and the appropriate supervisor.
	15.	The RLO will move all public e-mail records located in the holding folder to the corresponding records series folder located in the Agency's designated email network drive.
	16.	RLO will contact the State Records Center and Archives for direction regarding storage of e-mail messages with a retention period of greater.

Request for Disposition:

Responsible Party			Action
IT staff	17		Run's quarterly query on e-mail network drive to determine which folders have met retention and produces disposition report.
	18		Submits report to RLO
RLO	19		Reviews disposition report and verifies records series and disposition dates and completes State Records Center and Archives Disposition Request Form and submits to the SRCA for State Records Administrator signature.
SRCA State Records Administrator	20		Reviews Disposition Order, signs and returns to Agency RLO.
Agency RLO	21		If records are to be transferred to SRCA for permanent retention notifies IT staff. If records are to be destroyed proceeds to step 27 .
Transfer to Archives			
RLO	22		Informs IT staff of archival storage medium to be used based on SRCA requirements and provides IT staff with SRCA transmittal form to be completed by IT staff and RLO.
IT staff	23		Encodes records to be transferred to Archives in appropriate format.
	24		Ensures the authenticity of reformatted electronic records by employing a strict quality control procedure that may include bit or byte comparisons, comparisons of hash-digest, or digital time stamping.
	25		Creates copy of e-mail messages to be transferred to SRCA and returns to RLO with transmittal form.
RLO	26		Submits transmittal form and records to SRCA.
Destruction			
IT Staff	27.		Erases electronic record from electronic media and all back up media; and completes destruction certification form and returns form to RLO.
RLO	28		Submits certification form to SRCA.

Access:

Request under Inspection of Public Records Act			
Employee	29.		Submits request to Agency Records Custodian.
Withdrawal			
Employee	30		Submits withdrawal request form to RLO
RLO	31		Reviews request and submits to Division Director for approval.
Division Director	32.		Approves or rejects request.
RLO	33.		Retrieves copy of record from e-mail network drive and forwards to employee.
	34.		If record has been destroyed notifies employee.
			End.

APPENDIX D

Frequently Asked Questions *About E-Mail Retention*

Can I Print Messages, then Delete Them?

Yes, provided you print the following information with the message: name of sender, name of recipient, date and time of transmission and/or receipt. You then retain the printed message according to the appropriate records retention schedule, file them according to agency policy.

What about draft documents that undergo several revisions?

Draft documents or working papers that are circulated via e-mail, that propose or evaluate high-level policies or decisions and provide unique information that contributes to the understanding of major decisions of the agency should be retained for reference and destroyed when no longer needed.

Other drafts circulated for comment, which demonstrate significant revisions in the view of the author may be destroyed at will by the author.

What do I do with attachments I receive with e-mail?

File them with the e-mail message either electronically on your PC or network or if you are maintaining files in paper, print and file with the e-mail message and apply the appropriate retention schedule.

What about multiple copies of the same document?

If another agency has responsibility for keeping a record copy, and if you have no business need to retain it, the document is simply a duplicate copy and subject to deletion/destruction at will. So, minutes of meetings you attend may be destroyed at will. The secretary or other responsible person in the organization, committee or task force must retain the minutes permanently.

Where can I get help to manage my e-mail?

The State Records Center and Archives, Records Management Division offers general training as part of its ongoing records management training.

What is a record copy?

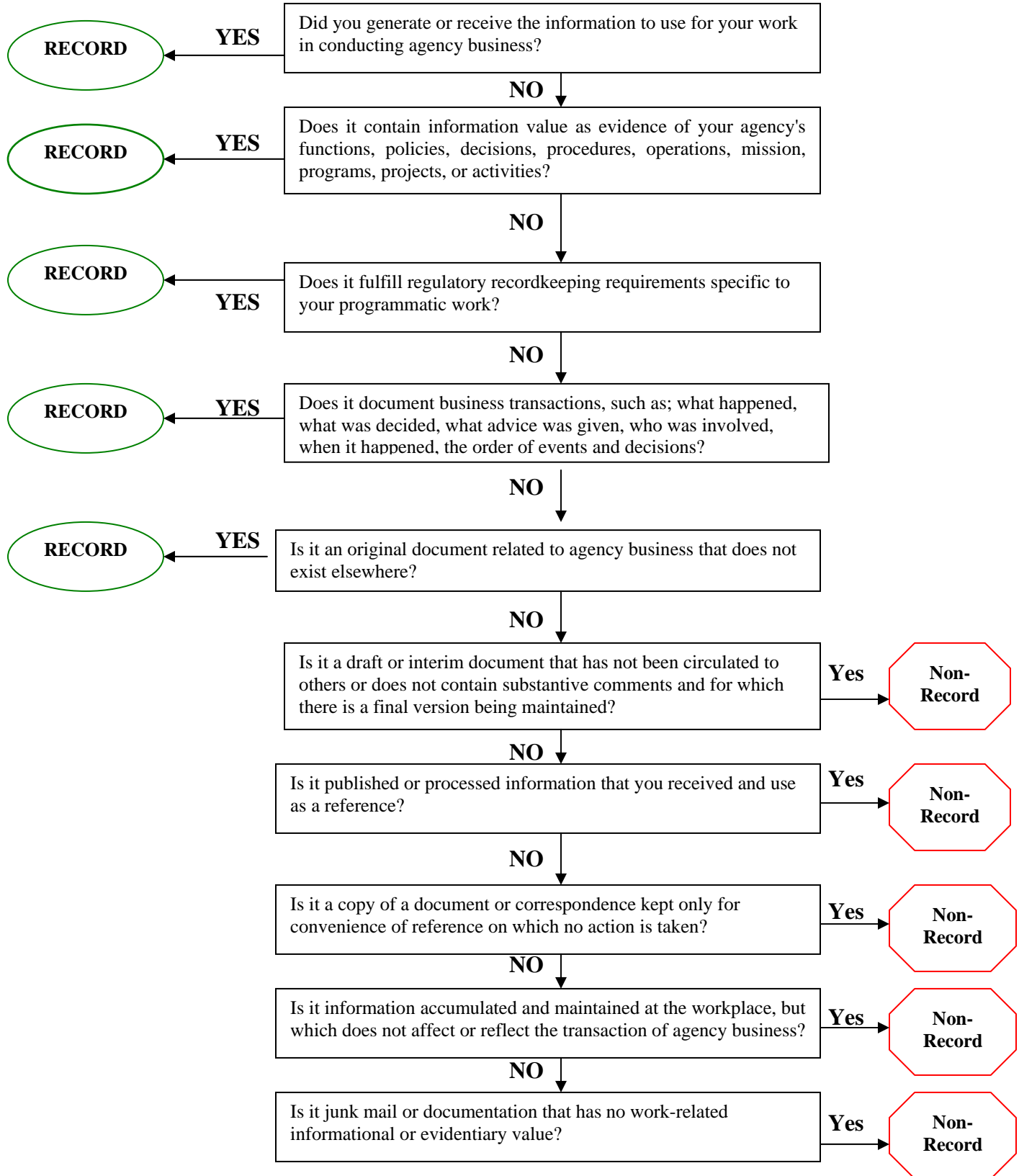
A **Record Copy** is a single copy of a record retained by its custodian as the official record of a government transaction and in accordance with the appropriate records schedule. All other copies are duplicate copies, held for convenience, and may be destroyed.

Do I need to keep every email message?

No. Just as a large percentage of paper documents are created purely for administrative convenience, a large percentage of email messages may be transitory.

If you would like more information on your records, please contact your agency's records liaison officer.

APPENDIX E Is It A Record?



APPENDIX F

TIPS FOR USING AND MANAGING E-MAIL

Reducing E-Mail Box Account Size

- Keep It Clean: Make retention decisions right away. The longer you wait to clean out messages, the harder it will be to remember which messages are important.
- Message Strings: Retain only the last message in the conversation, if it includes the content of all previous messages.
- Calendars: Retain appointments for 2 years.
- Trash: Empty trash bin daily, including deleted messages in the *Recover Bin*.

E-mail Retention Checklist

Ask yourself the following questions:

- Do I need to keep this message to document my work? Is it evidence?
- Is the message string completed, or could additional messages follow that I will want to retain?
- Are the other records about this topic/issue/case kept in hardcopy file or an electronic file?
- Is this a message that my co-workers are receiving too? Am I responsible for retention or is someone else responsible?
- Should this message be stored in a shared file? Do my co-workers need to access it?

E-mail Etiquette

- Regardless of the intended reader, write your message as though your boss were reading.
- If confidentiality is an issue, don't use unsecured e-mail.
- Don't use e-mail to let off steam.
- Don't use the state e-mail system to respond to spam.
- Send e-mail messages only to the readers with a legitimate need for your information.
- Do not reply to a message unless you have something to contribute.
- Ask permission to forward material. Forwarding copyright-protected material or confidential information without permission could get you in trouble.
- Request a receipt notification only when necessary.
- Subject lines should include descriptive information that tell the reader what your e-mail message is about.

