

# Managing Electronic Correspondence Records

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# Electronic Correspondence

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## Group Discussion

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- What type of electronic correspondence does your agency use?
- What questions do you have about managing electronic correspondence?
- What tools or resources does your agency use to manage electronic correspondence?



# Resources





## Guidelines

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You may use these guidelines as a reference to create internal policy.

- Email Guideline
  - Identifying email records
  - Retention schedules
  - Actions needed to manage email records
- Social Media Guideline
  - Risks and security
  - Creating content and public comments
  - Retention and preservation

<https://archives.utah.gov/recordsmanagement/guidelines.html>

# Training Staff

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- Part of onboarding process (new hires)
- Annually at staff or board meeting
- Training “highlights” in newsletters
- Use already developed materials
  - State Archives’ website
  - Information from today
  - Colleagues

# Training Staff

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- Relevant
  - How managing electronic correspondence impacts them and the agency
  - Their individual responsibility
  - Retention schedules they will use
- Engaging
  - *The Fun Side of Records Management* by Christ Calton, April 23, 2015 (<http://tinyurl.com/kecf2vh>)



## Training Materials

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The State Archives has training videos and slides available online:

<https://tinyurl.com/jvzz3d9>

- *Using Google to Manage Email Records*
  - Corona Ngatuvai, State DTS
  - May 4, 2017
  - Free webinar
- *UVU Email Retention Ideas*
  - Outlook email system
  - Brett McKeachnie, UVU
  - October 6, 2016
- *Using the New Correspondence General Schedules*
  - Rebekkah Shaw, State Archives
  - July 11, 2014

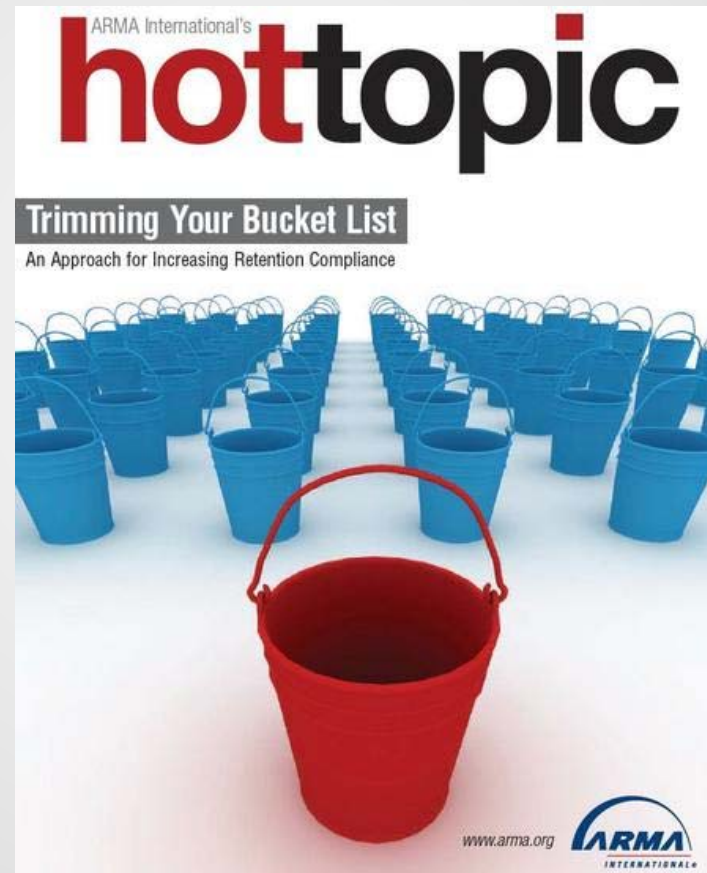


# Managing Records



# Big Bucket

- High level retention schedules
- May have multiple series under one retention schedule
- Reduces number of retention schedules



## Cloud

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- Off-site storage
- May reduce costs
- Cautions:
  - Security
  - Disposal of records



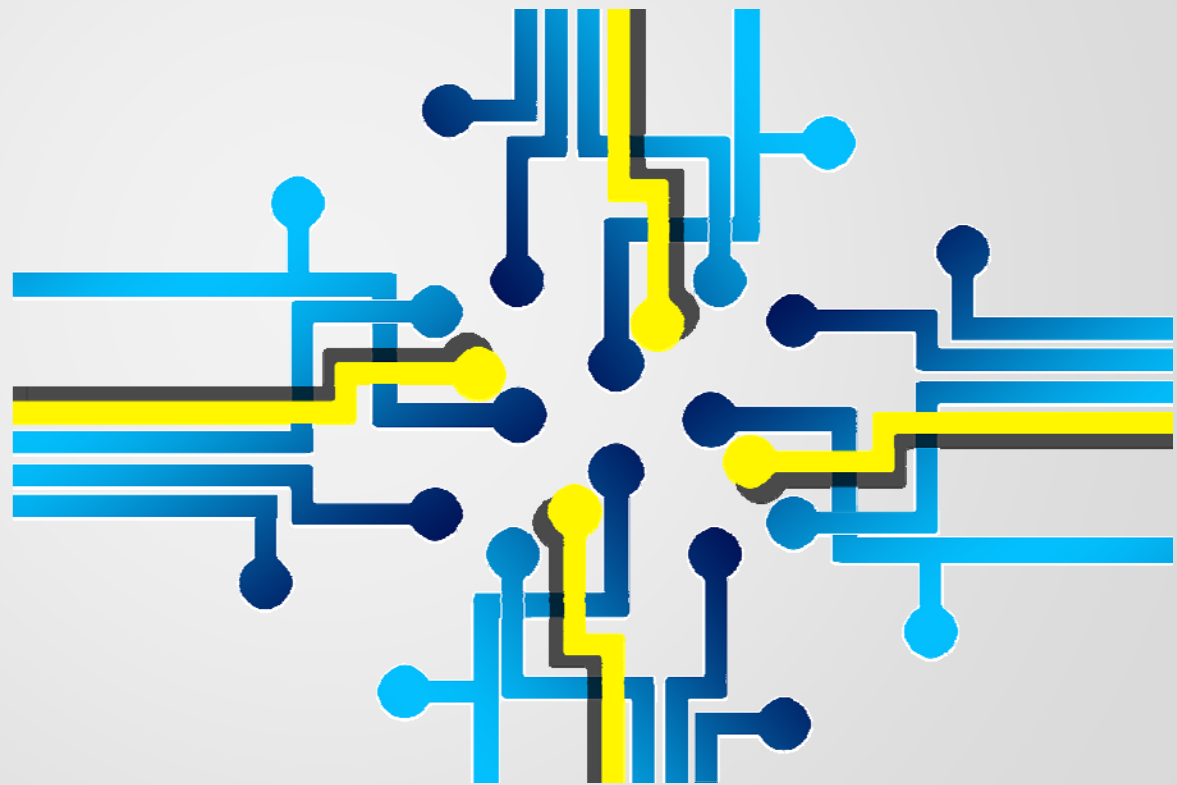




## Enterprise Solution

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- System with built-in management and retention tools
- Records in centralized location
- Can be costly





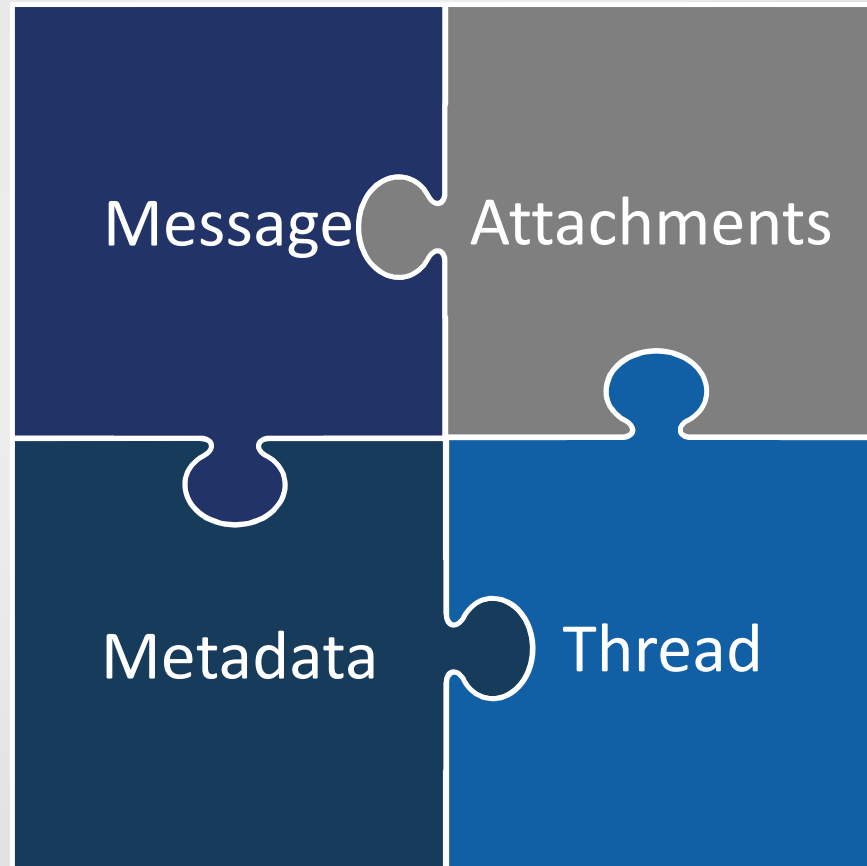
# Complete Record



## Complete Record

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Maintaining the complete record preserves the integrity of that record.

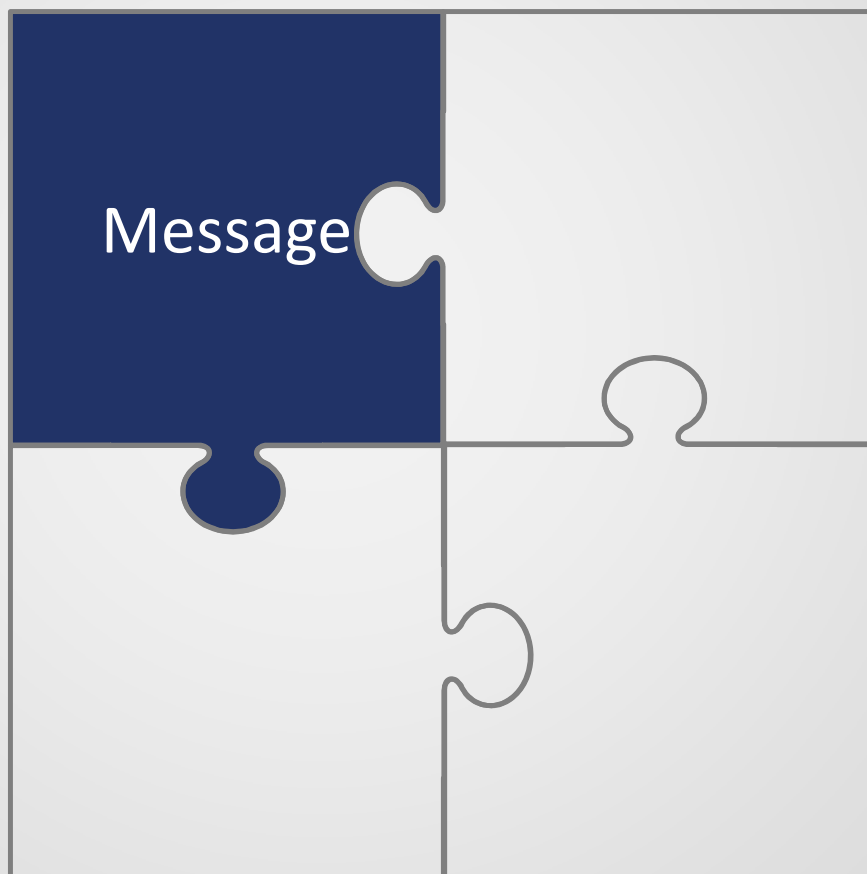






# Complete Record

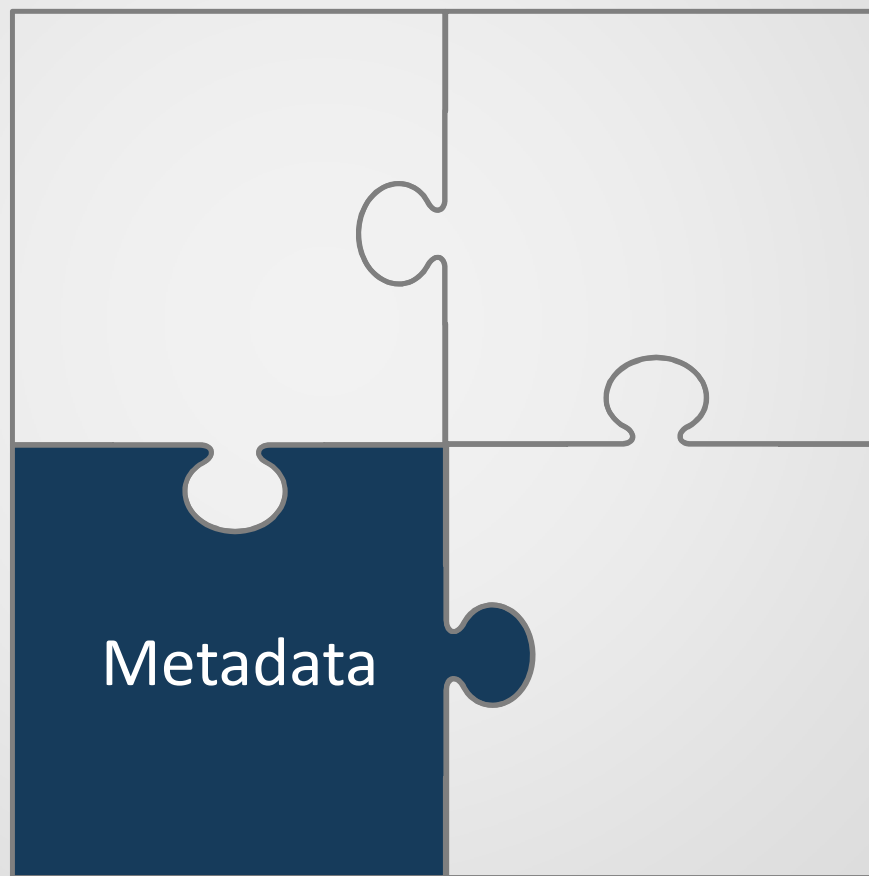
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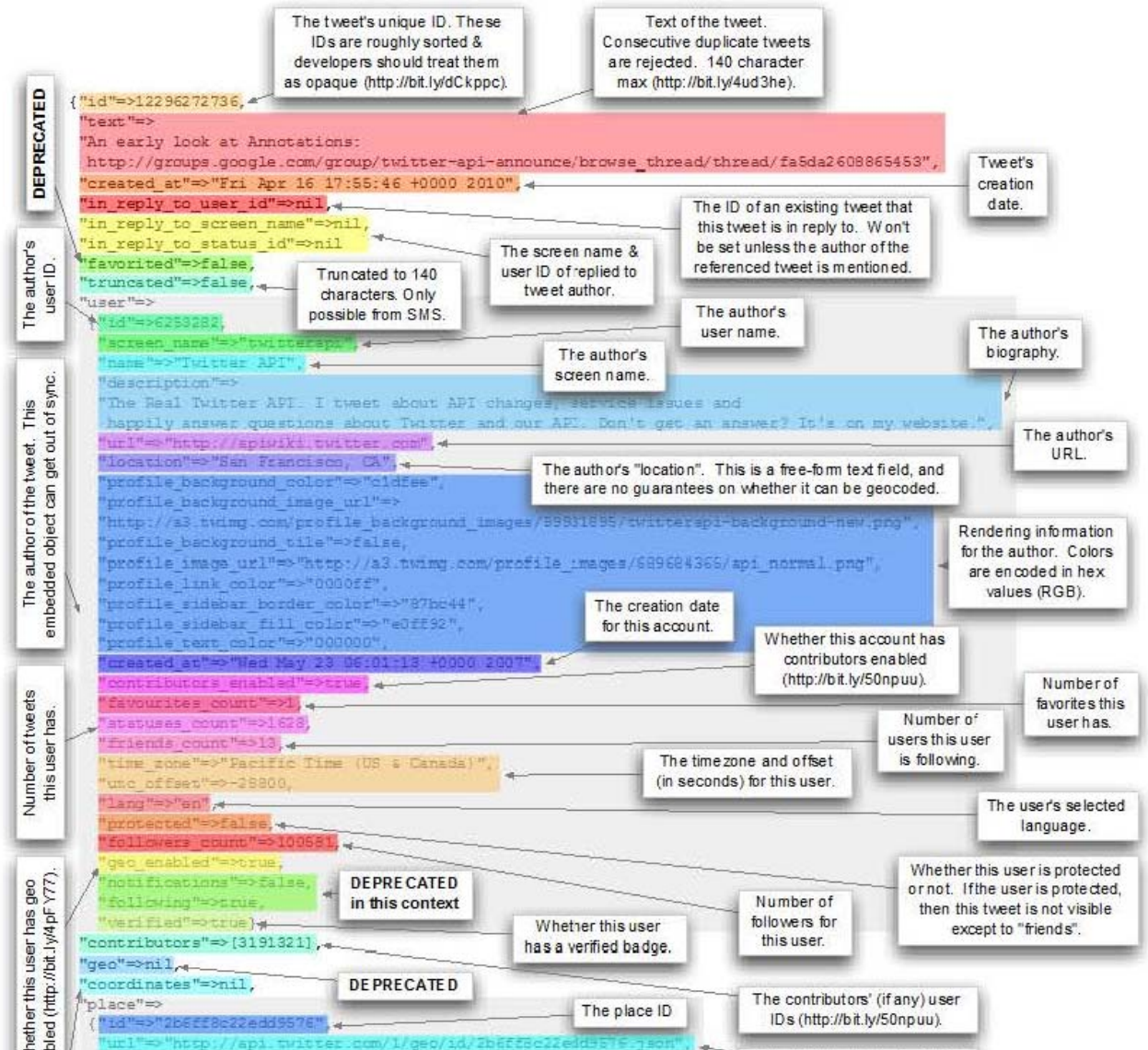
# Complete Record

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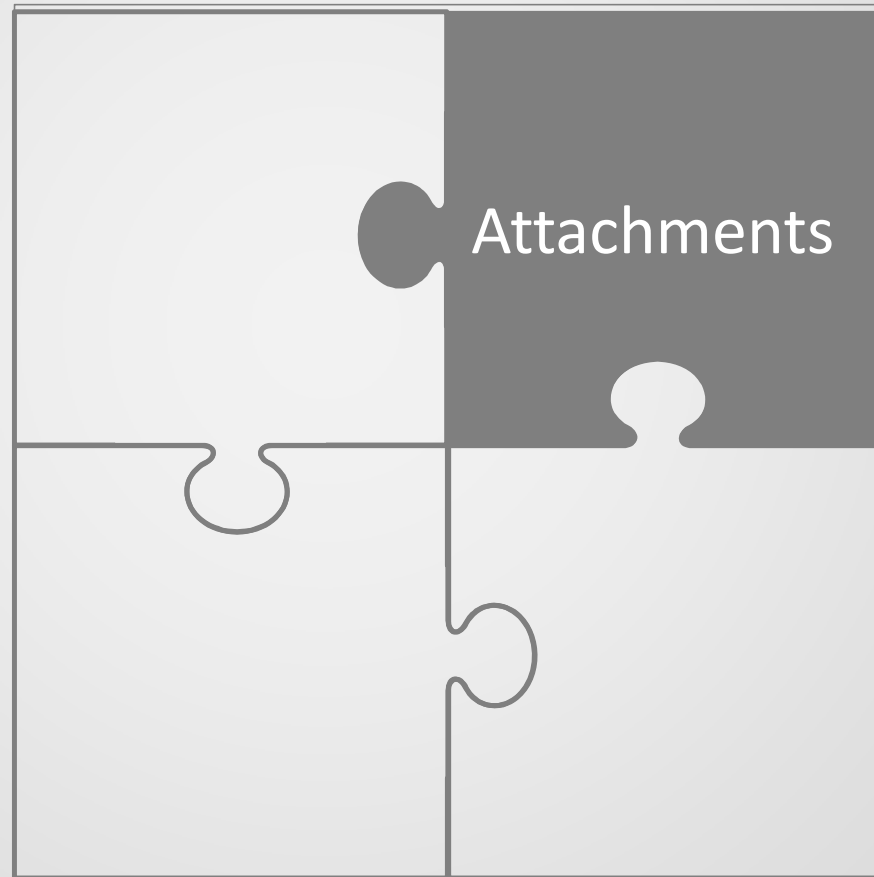






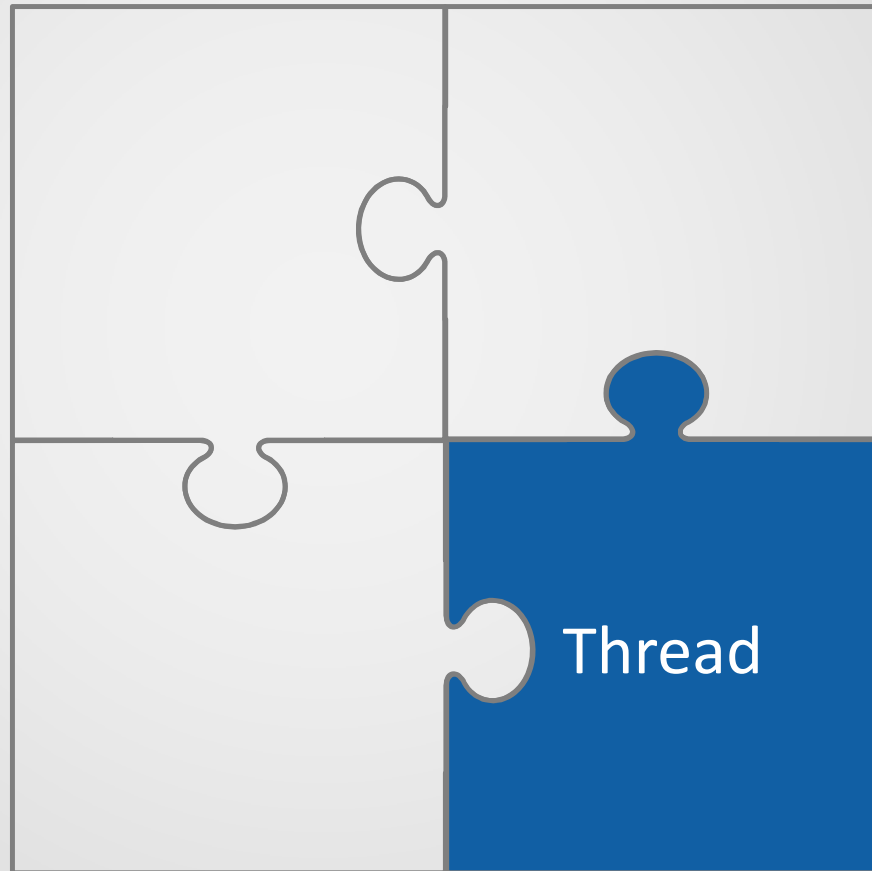
# Complete Record

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# Complete Record

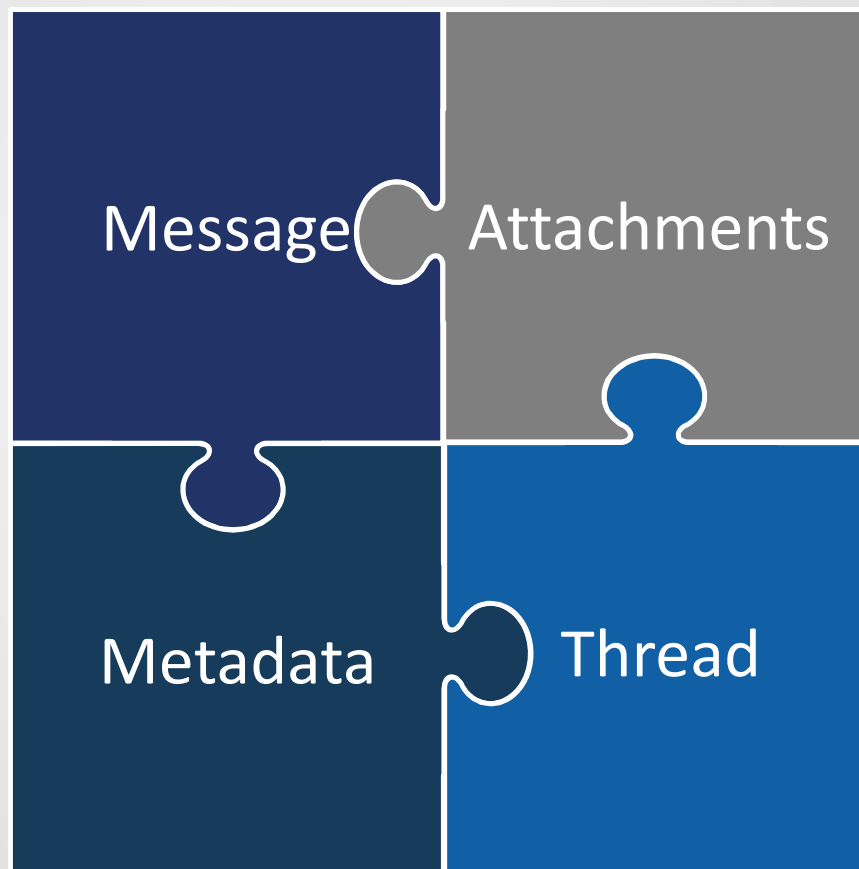
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# Complete Record

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# Record Copy





## Record Copy

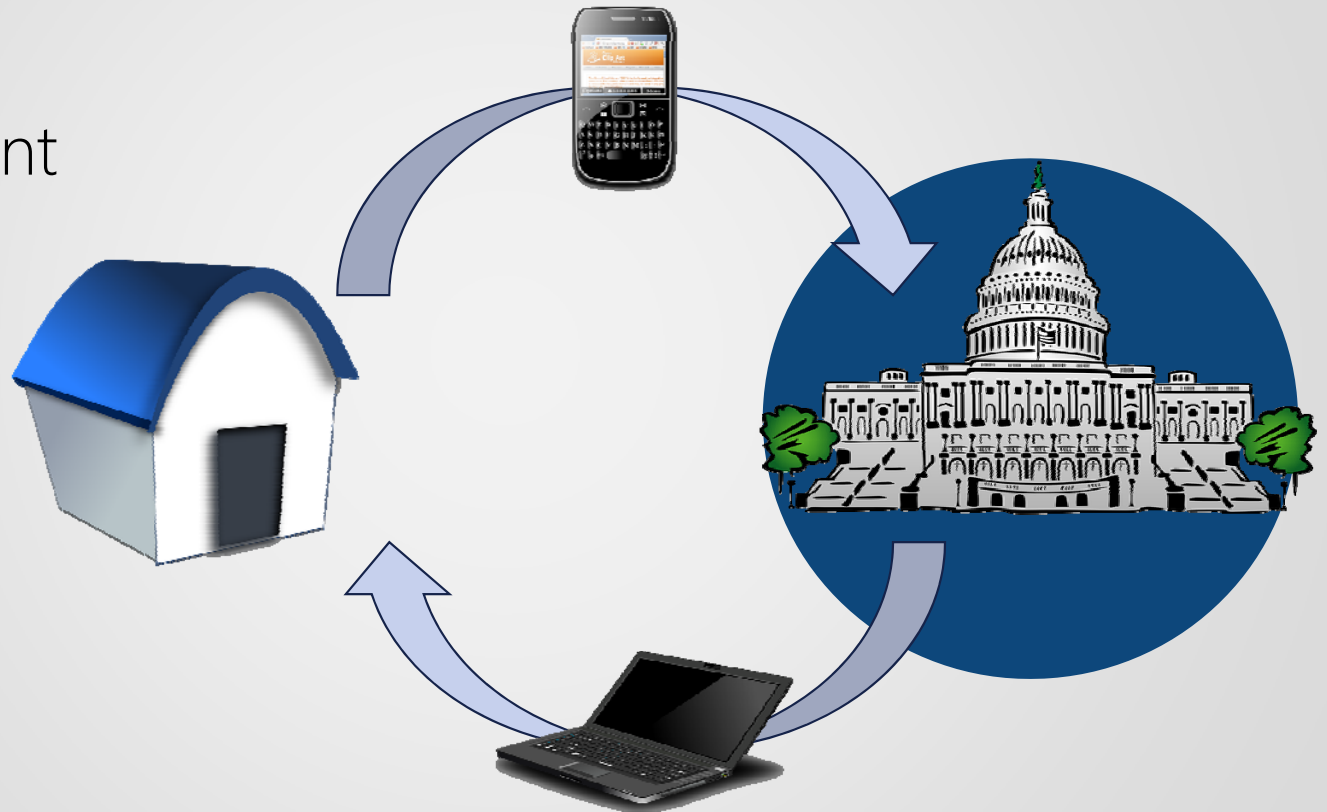
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- Copy to which retention applies
- Can be sent or received correspondence
- Maintained by custodian of the record



# Record Copy

Public to  
Government

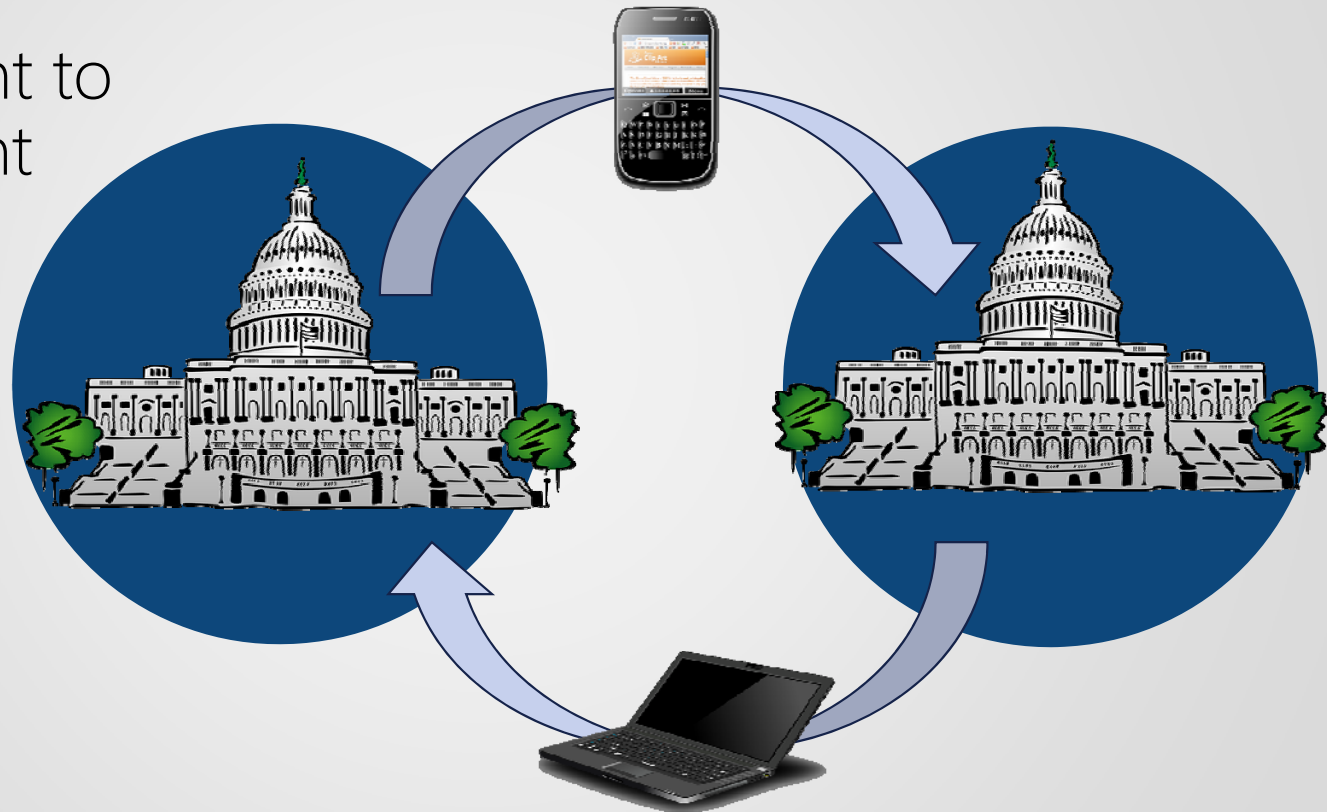






# Record Copy

Government to  
Government



# Record Copy





# Electronic Correspondence Records





# Record

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- Documentary material
  - Evidence of agency carrying out functions
  - Not format specific
  - May be created internally or externally
  - All of the original is reproducible
- Utah Code 63G-2-103
- (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



# Record

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- May be created internally or externally
- Part of legal and business processes
- Not format specific
- Uses term "information"

ISO International Standard 15489-1

"Information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business."



## Group Discussion

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How does electronic correspondence relate to the definition of a "record"?  
What types of electronic correspondence does your agency use?



# Managing Retention





# General Retention Schedule

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- High level retention schedules
- May have multiple series under one retention schedule
- Reduces number of retention schedules

Transitory Correspondence

Administrative Correspondence

(may include correspondence related to a core function with an associated retention schedule)

Executive Correspondence



## Transitory Correspondence (SG 4-11)

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Incoming and outgoing correspondence, regardless of format or mode of transmission, related to matters of short term interest. Transmittal correspondence between individuals, departments or external parties containing no final contractual, financial or policy information. When resolved, there is no further use or purpose.

### RETENTION

Retain until administrative need ends and then destroy.  
(Approved 05/14)





## Administrative Correspondence (SG 4-12)

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Incoming and outgoing business-related correspondence, regardless of format or mode of transmission, created in the course of administering agency functions and programs. Administrative correspondence documents work accomplished, transactions made, or actions taken. This correspondence documents the implementation of agency functions rather than the creation of functions or policies. Business-related correspondence that is related to a core function with an associated retention schedule should follow the associated schedule.

### RETENTION

Retain for 7 years and then destroy.

(Approved 06/14)



# Administrative Correspondence: Series-specific Retention Schedule

May include  
correspondence  
related to a core  
function with an  
associated  
retention  
schedule

AGENCY: Governor. Office of Economic Development

SERIES: 14219

TITLE: Contract files

DATES: ca. 1984-

ARRANGEMENT: Alphabetical by subject or agency name, thereunder by private contracting party name

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION: These records support the agency's function to facilitate economic development in the state by actively creating, developing, attracting, and retaining business, industry, and commerce (Utah Code 63N-1-201(3)(c) (2015)). Records document agreements made between the agency and organizations that participate in technological innovation and business incentive programs, or in other projects related to economic development in Utah. Information includes participant applications and profiles, terms of the agreement, executed contracts, correspondence, and related materials.

## RETENTION

Retain 7 years after termination of contract.

## DISPOSITION

Destroy.

## RETENTION AND DISPOSITION AUTHORIZATION

Retention and disposition for this series is authorized by Archives general schedule SG 13, Item 18.



# Administrative Correspondence

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The Records Analysis section provides [consulting services](#) to state and local agencies in the management of their records. The section [assists in the appraisal of state and local government records](#) to determine their value to current government operations and future research needs.





## Executive Correspondence (SG 4-10)

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Incoming and outgoing business-related correspondence, regardless of format or mode of transmission, that provides unique information relating to the functions, policies, procedures or programs of an agency. These records document executive decisions made regarding agency interests. Executive decision makers may include the Director, Chief Administrative Officer, Public Information Officer or other internal administrators as identified by the executive office.

### RETENTION

**Permanent.** May be transferred to the State Archives.

(Approved 05/14)



# Managing Retention

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Transitory { • Feedback on routine business matters

Administrative { • Administering agency functions or programs  
or  
Series-specific

Executive { • Unique information relating to the agency's  
functions, policies, procedures, or programs  
• Executive decisions regarding agency  
interests



## Scrapbooks (CNT 1-5)

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These are a [chronological record of the activities](#) of the county or individual county department. They include [photographs](#), [newspaper clippings](#), [flyers](#), program notes, [brochures](#), and other items pertaining to county activities and actions and reactions of county citizens.

RETENTION

[Permanent](#). May Transfer Archives





## Retention Holds

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- Audit
- Litigation
- Potential litigation
- Public records request