

The background of the slide is a dark blue-tinted photograph of the Utah State Capitol building at night. The building's dome is illuminated, and the classical columns of the portico are visible. A white diagonal line runs from the top left towards the bottom center, separating the solid blue area on the left from the image area on the right.

Email Management For State Agencies

August 2020

Email is a record



Utah Division of Archives
and Records Service

Email is a record

Utah Code 63G-2-103(22)

(a) "Record" means a... letter, document... electronic data, or other documentary material regardless of physical form or characteristics:

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

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

Email is a record

Utah Code 63G-2-103(22)

(a) "Record" means a... letter, document... electronic data, or other documentary material **regardless of physical form or characteristics:**

(i) that is **prepared, owned, received, or retained** by a governmental entity... and

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

Email is a record

- Whether in a work account or personal account
- Whether on a work device or personal device
- Whether in your house or with a mouse



Why manage email?



Utah Division of Archives
and Records Service

Why manage email?

- To meet legal obligations
- To preserve permanent records
- To make it easier to find what you need
- To make it easier for others to find what they need

Why manage email?

\$18,000

per gigabyte for records discovery

Seth Katsuya Endo, "Technological Opacity & Procedural Injustice," *Boston College Law Review*, Vol. 59, Iss. 3, pp. 822-875, 2018.

Challenges to managing email

- Don't know how
- Can't implement changes across the agency
- Hard to get everyone on board/agree on policies
- No manager support
- People don't follow the rules / procedures



What does "manage" mean?

- Maintenance
- Scheduling
- Designation
- Disposal
- Preservation

See Utah Code [63A-12-103](#)(2) (2019)





Android Auto



Android OS



Calendar



Cardboard



Chrome



Chrome Web Store



Chromebook



Chromecast



Connected Home



Contacts



Daydream View



Docs



Drawings



Drive



Earth



Google Store



Google Street View



Hangouts



Keep



Maps



Messages



Gmail



Google Alerts



Google Cast



Nest Wifi



News



Pixel



Pixelbook Go



Play Protect



Scholar



Google Duo



Google Expeditions



Google Fi



Search



Sheets



Sites



Slides



Stadia



Tilt Brush



Google Groups



Google Input Tools



Google Meet



Translate



Voice



Waze



Wear OS by Google



YouTube



YouTube Kids



Google Play



Google Play Books



Google Play Games



YouTube Music



YouTube TV

G Suite applications

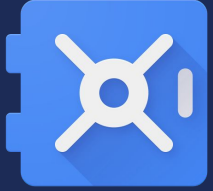
- Email
- Chat
- Google Drive
- Hangouts chats & recordings
- Meet chats & recordings
- Calendar
- Contacts
- Data Studio
- Maps
- Photos
- Forms
- Voice
- Keep
- YouTube

Google Vault



Utah Division of Archives
and Records Service

Google Vault



An archive, records management tool, discovery tool

Google Vault



+You Search Images Mail Drive Calendar Sites Groups Contacts More ▾

Google

Search Vault

Vault

HR Investigation

	NAME	EXPORTED BY	COUNT
<input type="checkbox"/>	Query 14.2013 View 23 completed files Show query Run query	jhalprin@altostrat.com	120

Preserve

▸ Search

Export

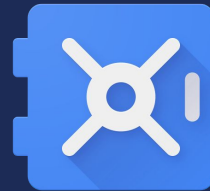
Audit



Google Vault

An archive, records management tool, discovery tool

- For Gmail and Chat
- Does not apply to Drive files, Calendar, drafts
- Set unique retention periods
- Use for ediscovery, litigation holds, other legal requirements
- Not a separate copy from Gmail



Google Vault - not a backup!

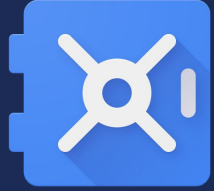
Vault

- Used for e-discovery, holds
- Data can be exported, not restored
- Can set retention periods
- If deleted, original data is lost

Backup

- Used to restore data in case of data loss
- Data can be restored to original location
- Cannot set retention periods
- If backup crashes, original data is still okay

How the State of Utah uses Google Vault



- Each agency has a Vault administrator to liaise with DTS
- DTS is setting up default retention rules
 - Default retention is 7 years (or 30 days for trash)
 - 7 years starts when employee terminates
- Agency may set up additional retention rules
 - Form 525: Risk Acceptance Form



Agency

State
Archives

Google

DTS

Who's responsible for what?

- Maintenance
 - Google (physical storage), your agency (intellectual)
- Scheduling
 - Your agency (retention schedules with Archives assistance), Vault (retention rules set up by DTS)
- Designation
 - Your agency

Who's responsible for what?

- Disposal
 - Executed in Vault according to retention rules set up by DTS in collaboration with Vault admin in collaboration with agency records officer, to match agency's approved retention schedules (as set up with Archives)
- Preservation
 - Archives via DTS, in collaboration with records officer, according to approved retention schedule

Managing transitory correspondence

Transitory correspondence (GRS-1759)

Keep until resolution of issue, then destroy

- Logistics like when and where to meet
- Food in the break room
- Travel plans (hotel reservations, flight reservations, etc.)
- Lunch plans

Managing transitory correspondence

- Vault retains deleted emails for 30 days
- Then they'll be gone



Managing administrative correspondence

Routine administrative correspondence (GRS-1760)

Keep 7 years, then destroy

- Basic transactions that you do to accomplish the basic functions of your agency

Managing administrative correspondence

- Default Vault retention is 7 years, same as administrative correspondence
- No action needed



Managing executive correspondence

Executive correspondence (GRS-1758)

Keep 5 years, then transfer to Archives

- "Capstone" approach (from [NARA](#))
- Correspondence of executive director and/or other policy-making positions is permanent
- Agency determines which accounts are executive

Managing executive correspondence

- Archives works with DTS & agency to obtains a preservation copy of executive email immediately after termination
- Agency retains custody (and is responsible for access) for 5 years
- Not automated: let us know when executives leave

Managing project-related correspondence

Project-related correspondence (no GRS)

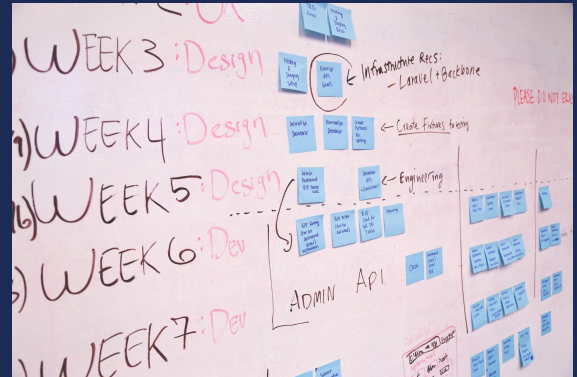
Keep with associated records & follow that retention schedule.

- "And related correspondence"
- Ex: Vendor contract records (Archives, [7322](#))
- Ex: GRAMA requests (Archives, [28572](#))
- Ex: Audit workpapers (DHRM, [29872](#))

Managing project-related correspondence

How to keep email with the associated records?

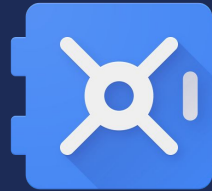
- Use a central email account
- Export emails to main system/database
- Copy/paste (cannot verify metadata)
- Use labels/folders in email
- Subject-line naming conventions



Managing project-related correspondence

Using labels

- Can set retention rules in Vault by label
- Can be implemented agency-wide w/standard label names
- Helps other people who may need to find emails in your account (like to answer a GRAMA request)



Google Vault main take-aways

- You have tools to manage email
- Tell Archives when executives leave
- Know which retention schedules include "related correspondence" and how emails will comply
- Let Google do the work



GRAMA requests



Utah Division of Archives
and Records Service

GRAMA requests - email

GRAMA requests for email can be voluminous and daunting!

- Have employees search their own email for responsive records (if in accordance with agency policies)
- Ask the requester to narrow the search parameters, such as providing dates or keywords

GRAMA requests - general

- No classification for "embarrassing" (can't redact it)
- Agency may charge staff time for search, retrieval, redactions, other costs associated w/responding
- Agency may not charge for reviewing records to determine whether they're subject to disclosure
- Not always easy to draw the line between the two

GRAMA requests - general

- Questions about GRAMA/responding to requests?

Rosemary Cundiff

Government Records Ombudsman

801-531-3858

rcundiff@utah.gov



To do



Utah Division of Archives
and Records Service

To do (for you and to train co-workers)

- ❑ Use work accounts for work communications
- ❑ Identify executive positions; tell Archives when an executive terminates
- ❑ Know which retention schedules include "related correspondence" & how to implement retention
- ❑ Update Vault retention if necessary (work with DTS)
- ❑ Create & implement policies and procedures for email/chat

Resources



Utah Division of Archives
and Records Service

Resources - RIM specialists

Avalon Snell

avalonsnell@utah.gov

801-531-3866

Board of Education
Health
Heritage & Arts
Natural Resources
System of Higher Education
System of Technical Colleges

Matt Pierce

mpierce@utah.gov

801-531-3834

Board of Pardons & Parole
Commerce
Corrections
Financial Institutions
Insurance
Labor Commission
Public Service Commission
Tax Commission

Renée Wilson

reneewilson@utah.gov

801-531-3842

Administrative Services
Agriculture & Food
Alcoholic Beverage Control
Environmental Quality
Human Resource Management
Human Services
National Guard
Public Safety (not UHP or POST)
School and Institutional Trust Lands
Administration (SITLA)
Technology Services

Transportation
Veterans & Military Affairs
Workforce Services

Governor's Office
Governor's Independent Boards
& Commissions
Attorney General's Office
State Treasurer
State Auditor
Legislature

Resources

Email Management Guideline

Utah State Archives, November 2019. <https://go.usa.gov/xfpnZ>

Google Vault FAQ

Utah State Archives, July 2019. <https://archives.utah.gov/rim/google-vault.html>

NARA Bulletin on Capstone Approach

National Archives and Records Administration, August 2013.

<https://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html>

Resources

Email Management Guideline

Utah State Archives, November 2019. <https://go.usa.gov/xfpnZ>

Google Vault FAQ

Utah State Archives, July 2019. <https://archives.utah.gov/rim/google-vault.html>

NARA Bulletin on Capstone Approach

National Archives and Records Administration, August 2013.

<https://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html>

Questions?

Images from Pexels and Flickr by the following users:

- Andrea Piacquadio (man looking at laptop)
- Element5 (envelope and PO boxes)
- Leonie (hammock scene)
- Pixabay (direction arrows)
- Retha Ferguson (woman at desk)
- Startup (whiteboard with sticky notes)
- Steve Johnson (wastebasket)
- Vlada Karpovich (woman on computer on couch)
- #WOCinTech Chat (hands holding cell with laptop)