Managing Email and Electronic Records

Presented by Janice Schulz, CRM
University Records Manager

Objectives

- Define electronic records and their characteristics
- Determine retention and disposition requirements for email and electronic records
- Provide practical suggestions for maintenance, storage and retrieval

Electronic Records at UC

- Machine records introduced in 1949
- Began creating electronic records in mid-1960s
- Office Automation Network, 1984
- Initially managed only prints of electronic information
- Began addressing electronic records management in 1987
What is a Record?

A record:
• documents the organization, functions, policies, decisions, procedures, and operations of the University
• can be either created or received by your office
• is regardless of physical form

The Value of a Record

Historic – permanent retention

Legal – base minimum for all retention

Administrative/Fiscal – applied after legal, can increase office retention.

Electronic Record Characteristics

• Most records we create today are born digital.
• “Invisible”
• Multiple, often disparate, formats
• Ever-changing technologies
• Easily disseminated and propagated
• Metadata
Retention

- Fundamental RIM principles apply.
- “Storage is cheap” is not an answer to proper retention.
- Email/electronic records are not record categories.
- They should be analyzed, retained and disposed of according to their content and approved records retention schedules.

Retention

- Records need to be accessible for the entire retention period.
- A migration plan may be necessary for longer-term records.
- In what form should they be retained?
  - Native format is best for active/inactive records.

Directory Structures

- Think of your directory structure like your paper file plan.
- Directories can be based on subject, document type, project, etc.
- Consider server space for department records, including email.
- Create inactive records folders based on retention.
Configuring Existing Systems

- Some systems can be configured to apply record retention rules.
- Investigate features of your system to see if record retention tools are available.
- Take this path before investigating an Electronic Document Management System.

Electronic Document Management Systems

- Allow users to access and manage files in a central repository
- Have feature that allows retention rules to be applied.
- Have security features
- Cost $$$
- Currently no central system at UC - investigating

Printing Electronic Records

- Still a tried and true method. It's been happening successfully for decades.
- Allows group access where some electronic methods do not.
- Allows you to file both electronic and paper in one place
- Metadata is lost in most cases when printing.
Storage of Inactive Records

- **Online**: Keep on server in alternate directories. EDMS includes application of retention rules.
- **Near-line**: Vendors provide electronic vaults
- **Offline**: Removable media, paper

Security

- Password protect PCs, folders, network access
- Do not disseminate protected, sensitive or confidential records via email without encryption. Contact UCit.
- Keep removable media in cabinet/desk drawer

Email

- Email is not a records series, but rather a means of communication. It should be retained according to content.
- A majority of email is probably not a record.
- Email can proliferate like crazy. Be careful how you use it.
How UCMail Works

• Exchange server – client relationship
• Different configurations
  – Messages are left on the server unless you move or delete them (standard configuration)
  – Messages are immediately downloaded to the local PC and removed from the server (POP3 configuration)

How UCMail Works

• Mailbox limits apply to server.
• Extended storage is available for a fee.
• Exchange database is backed up.
• UCit has a team dedicated to the management of core email services. See http://www.uc.edu/ucit/email/default.html.

Managing the Inbox

• Don’t leave everything just sitting in your inbox.
• Manage messages as they are received.
  – Remove SPAM, personal messages
  – Remove transitory messages as they are no longer needed
  – Determine record material
• Consider automatically removing deleted files on exit.
Managing the Inbox

- Ways to manage and retain
  - Create folders in your client and move messages
  - Save messages and attachments to a directory structure
  - Use an Electronic Document Management System
  - Print and file
- Don’t forget your sent box!
- Remember: Everything is discoverable if it exists.

Managing Email in Outlook

- Outlook is only one of the clients that can be used with the Exchange System.
- Create inboxes based on project, retention period, sender, etc.
- Personal folders can be used to store on your local PC.
- Folders on the server can be shared with other Outlook users.

Email converted to file

- Can convert an Outlook message to several formats:
  - Text
  - HTML
  - Outlook message (.msg)
- Use File → Save As menu option
- Save attachments in native format
Websites
- Require special analysis and scheduling
- Types of websites: static, dynamic, transaction based?
- Is the information available in any other form?
- How frequently are updates made?
- Do customers count on a specific page at a point in time to make decisions?

Business Applications
- Require special analysis and scheduling
- Types of systems at UC
  - UCFlex (SAP) – HR & financials
  - UniverSIS – student records
  - Financier – student financial aid
- Where is the record? Data? Reports?
- Can records be recreated at any time?

Databases
- Require special analysis and scheduling
- Data repositories with no real application systems or interface tied to them. Example: Microsoft Access db
- Serve individual or department.
- May include tables, queries, forms, reports. Again, ask if a record can be recreated at any time.
Imaging

• Imaging should add value to your business process.
• If you image, what do you do with the paper?
• Ensure quality of imaged records.
• Ensure accessibility of images records.
• If you do keep the paper, upon retention limit dispose of both paper and electronic.

Disposition of Electronic Records

• Retention schedules will tell you what is to be done with the records
• Dispose of ALL formats – paper too!
• What happens when you delete a file?
  – Delete <> Destroy; Delete = Discard
  – Files can still be retrieved
  – Software is available to “shred” electronic files
  – Follow UCit’s disposal policy

Certificate of Records Disposal

• Still required for electronic records
• Paper and electronic records can be combined on one certificate.
• How do you determine the volume? – number of files? KB?
• You don’t have to fill out a Certificate every time you delete a file or email! We’re only concerned about those that are records.
Transferring to the Archives

• Native format is not required for archival records.
• The Archives can only accept certain file types.
  – PDF, Microsoft Office (except Access), text, rich text, csv, html, most image files, zip
  – Contact us to ask about other file types or databases/applications

Transferring to the Archives

• The Archives can only accept certain media
  – CD/DVD
  – Flash/thumb drives
  – Email
  – These will change with advances in technology
• We cannot accept floppies, zip disks, or tape

Questions?

Q&A Period

If you have additional questions, please contact Janice via phone or email, or stop in at Blegen 806.