#### National Archives and Records Administration

Federal Records Management Level 1: Maintenance and Use

Participant Guide

Module 5: Manage Email Records

Table of Contents

[Module 5: Manage Email Records 3](#_Toc15468346)

[Module 5 Checklist 3](#_Toc15468347)

[Task Goal 3](#_Toc15468348)

[Task Objectives 3](#_Toc15468349)

[Email Management Guidance from NARA 3](#_Toc15468350)

[Identifying Email Records 4](#_Toc15468351)

[Methods for Managing Email 5](#_Toc15468352)

[Module 5 Assignment 5](#_Toc15468353)

[Module 5 Assignment – Email Success Criteria 6](#_Toc15468354)

# Module 5: Manage Email Records

## Module 5 Checklist

* Complete this online module.
* Complete the Email Success Criteria assignment at the end this Participant Guide. Discuss your answers with a colleague or with someone in your agency’s records management team.

## Task Goal

Given various agency email scenarios, you will be able to determine the causes and effects of challenges surrounding email management.

### Task Objectives

* Discuss what email management is and is not
* Identify email records
* Recognize email management methods

## Email Management Guidance from NARA

NARA’s website offers several useful guidance documents and other resources:

<https://www.archives.gov/records-mgmt/email-management/email-guidance-and-resources.html>

## Identifying Email Records

Our definition of a Federal record, as seen in previous modules:

Made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that 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 value of data in them.

## Methods for Managing Email

Capstone Approach

Records Management Applications (RMAs) and email management automation

Other approaches?

# Module 5 Assignment

* Complete the Email Success Criteria assignment on the following pages of this Participant Guide. Discuss your answers with a colleague or with someone in your agency’s records management team.

## Module 5 Assignment – Email Success Criteria

Review the following excerpts from the NARA memo entitled Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18).

After reading each excerpt, answer the questions, which are also selected from the NARA memo.

If you do not know the answers to any of the questions, use this opportunity to ask your Records Liaison Officer (RLO) or records management network and learn more about how your agency manages its email.

The full memo may be accessed on NARA’s website at [https://www.archives.gov/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf](https://www.archives.gov/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf%20)

The NARA memo outlines four categories of success criteria: Policies, Systems, Access, and Disposition. Review each category and do your best to answer the questions.

**Policies:**

Agency-wide policies and training must inform account holders of their responsibilities for managing email records. Policies should be developed with all relevant stakeholders and should address the requirements of the Federal Records Act, 36 CFR Chapter XII Subchapter B, and NARA guidance.

**What Success Looks Like:**

Your agency’s policies and training programs explain staff responsibilities for managing email records. The policies and training should instruct staff how to distinguish between permanent, temporary, transitory, and non-record email messages and how to appropriately handle email messages containing classified national security information and those created on nonofficial or personal electronic messaging accounts.

**Questions:**

Has your agency developed, disseminated, and implemented an approved email management policy throughout the agency?

Does your agency perform periodic audits to make sure employees are in compliance with records management laws, regulations, and policies?

Does your agency have policies in place regarding the use of personal or nonofficial email accounts?

**Systems:**

Agencies must have systems in place that can produce, manage, and preserve email records in an acceptable electronic format until disposition can be executed. Additionally, systems must support the implementation of agency policies and provide access to email records throughout their lifecycle.

**What Success Looks Like:**

Your agency’s systems and business processes support the management of email records in accordance with all applicable requirements including the manual or automatic execution of their disposition whether using a Capstone-based or content-based record schedule.

**Questions:**

What systems does your agency use to store and manage email messages?

Who in your agency has the ultimate responsibility for the systems that manage email, how email is accessed, and how disposition is carried out?

Are departing employees’ email records preserved in accordance with NARA-approved disposition schedules?

Does your agency use email systems to transmit classified information?

**Access:**

Email records must remain usable and retrievable throughout their lifecycle. Access supports an agency’s ability to carry out its business functions. Access should address internal agency needs and accommodate responses to requests for information.

**What Success Looks Like:**

Your agency’s email records are maintained in a system that preserves their content, context and structure, protects against their unauthorized loss or destruction, and ensures that they remain discoverable, retrievable, and usable for the period specified in their retention schedule.

**Questions:**

Can your agency use, retrieve, and interpret email records throughout the entire NARA-approved retention period?

Is your agency able to access email from current and departed employees?

Is your agency able to perform a federated search across multiple email accounts or multiple systems to find emails needed for agency business?

**Disposition:**

The agency must have a NARA-approved schedule in place to be able to carry out the disposition of permanent and temporary email records – using either agency-specific schedules or General Records Schedule (GRS) 6.1: Email Managed under a Capstone Approach.

**What Success Looks Like:**

Your agency has identified appropriate retention periods for email records and implemented systems and policies to support the disposition as specified in an approved records schedule.

**Questions:**

Has your agency analyzed existing disposition schedules to determine if they apply to email records? Have you identified gaps in the disposition schedules?

Has your agency established procedures to associate email records with projects or case files?

Has your agency developed training to inform employees of their responsibilities for managing records in email accounts in accordance with approved disposition authorities?