

Management System: Records Management**Subject Area: Records Management****Procedure: Identifying, Filing, and Maintaining E-mail Records****Issue Date and Revision Number:**
10/05/15 0**Lead Subject Matter Expert:**
Jackie Schoultheis or Kathy Reid**Management System Owner:**
John Sattler**1.0 Applicability**

This procedure applies to all Environmental Management Consolidated Business Center (EMCBC) organizations and Environmental Management (EM) small sites utilizing the EMCBC e-mail (electronic) services.

2.0 Required Procedure

The purpose of this procedure is to establish a process for identifying, filing, and maintaining Federal records generated and received in e-mail format, including e-mail attachments. Federal agencies are required to create and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions. Presidential Directive, M-12-18, “*Managing Government Records Directive*” requires all Federal agencies to manage and retain e-mail records in an electronic format and in an appropriate electronic records management system (ERMS) that supports records management and litigation requirements. An ERMS is defined as an application or system that captures, organizes, manages, applies proper retention and disposal of records, regardless of media throughout the records lifecycle (creation/receipt, maintenance/use and disposition).

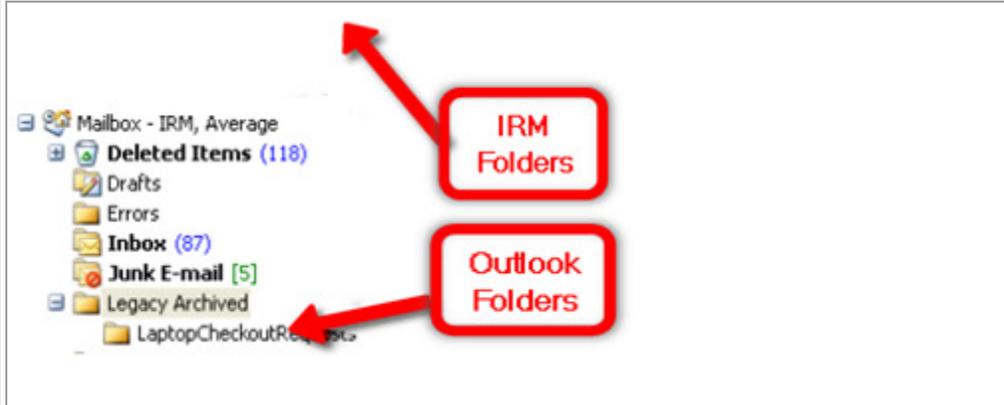
The EMCBC’s ERMS is Autonomy Records Manager (ARM) (previously known as CA Records Manager or CARM), which is a Department of Defense (DoD) 5015.2, “*Electronic Records Management and Design Criteria Standard for Electronic Records Management Software Applications*” certified system and is compliant with the National Archives and Records Administration (NARA) electronic recordkeeping requirements.

ARM is currently configured to manage e-mail (including attachments) and paper records; configuration has not been completed for other electronic records that are maintained on individual’s personal drive, shared drive or within SharePoint (see SAP-OTSAM-243-08 Identifying, Filing, and Maintaining Electronic Records for interim steps).

▼Notes: Clarifying terms for EM small sites:

- Records Coordinator (RC) replaces the term Record Custodian (RC).

- Small sites Records Management Field Officer (RMFO) replaces the term RMFO.
- Site File Plan replaces the term Master File Plan (MFP).

<p>Step 1</p>	<p>Employee reviews each e-mail created and/or received to determine whether it is record or non-record material (see Attachment 1, Is it a Record? for additional guidance). Record / non-record decisions are required for all e-mails within Outlook (inbox, sent, and all folders/subfolders).</p> <p>Determining whether a particular e-mail is a record does not depend on whether it was sent directly to the employee or the if the employee was copied on the e-mail. Several copies of a single e-mail may each have record status, as each may serve a separate administrative purpose. Multiple copies of a single e-mail may be a record if it serves a separate purpose.</p> <p>▼Notes:</p> <ul style="list-style-type: none"> • Contact your organizational RC or RMFO if there are questions concerning whether an e-mail is a record. • For additional guidance on handling e-mail, refer to Attachment 2, E-mail as a Record, Quick Reference Guide. • E-mail attachments are also declared with the e-mail, if applicable. <p>At the point of record identification, the employee becomes the Record Holder (RH) for the record(s).</p>		
<p>Step 2</p>	<p>RH to ensure existing or newly created Outlook folders segregate records/non-records as required by Federal laws and regulations, AND to ensure folders are created to align or crosswalk to an organizational file plan category and file arrangement. Example:</p> <table border="1" data-bbox="332 1339 1336 1465"> <tr> <td data-bbox="332 1339 527 1465"> <p>GRS 24-03-B1- [IRM]</p> </td> <td data-bbox="527 1339 1336 1465"> <p>INFORMATION TECHNOLOGY OPERATION AND MANAGEMENT RECORDS IT Asset and Configuration Management Files. [COMPUTER EQUIPMENT ASSET ASSIGNMENT (PROPERTY TRACKING DATABASE). LAPTOP USAGE ASSIGNMENT SHEETS].</p> </td> </tr> </table> 	<p>GRS 24-03-B1- [IRM]</p>	<p>INFORMATION TECHNOLOGY OPERATION AND MANAGEMENT RECORDS IT Asset and Configuration Management Files. [COMPUTER EQUIPMENT ASSET ASSIGNMENT (PROPERTY TRACKING DATABASE). LAPTOP USAGE ASSIGNMENT SHEETS].</p>
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<p>Step 3</p>	<p>If RH creates and maintains Outlook folders for the storage of non-records, non-record folders must also be arranged by subject/project to allow for the easy organization and disposition.</p> <p>▼ Notes:</p> <ul style="list-style-type: none"> • Non-record material and personal e-mails needed for reference shall be identified, and maintained separately from records (e.g., separate Outlook folders broken out by subject) as required by Federal laws and regulations. <ul style="list-style-type: none"> ○ “Copies” of records cannot be retained longer than the “original” record. ○ Non-record e-mails not declared into the ERMS, will be deleted from the user’s Outlook after 180-days in accordance with the Information Technology Policy, PS-205-05 Rev. 3, “E-mail Retention, Storage and Archiving” <ul style="list-style-type: none"> ▪ To be implemented when all users have been trained to use the ERMS. ○ In order to retain non-record e-mails that are needed longer than 180-days, they must be declared into the ERMS system as non-records and organized by subject/topic. Non-record folders will be reviewed annually to ensure proper disposition and deletion after the RH no longer needs for business.
<p>Step 4</p>	<p>RH must decrypt any encrypted e-mails prior to moving into Outlook folder(s). Refer to Attachment 3, How to Decrypt an Encrypted E-mail.</p> <p>▲ Note: Encryption limits access to only the individual that has the credentials for that entrust account, therefore, the e-mail is not accessible or searchable as required by Federal law for requests, including litigation.</p>
<p>Step 5</p>	<p>If e-mail attachments contain password protection, the RH must remove prior to moving e-mail w/attachment into the appropriate Outlook folder.</p> <p>▲ Note: Password protected files limits access to only the individual(s) that know the password; therefore, the records would not be accessible or searchable as required by Federal law for requests, including litigation.</p>
<p>Step 6</p>	<p>RH to organize/move (drag/drop) e-mails into the appropriate Outlook folders based on record/non-record status and the organizational file plan.</p> <p>▲ Note: Further breakdown by file arrangement is required (by subject, fiscal year, etc.) for both record and non-record to ensure proper disposition – see Organizational File Plan for proper file arrangement.</p>

Step 7	Employee to contact the RMFO to obtain ERMS training if not already complete, or to ensure ARM is installed on your computer and system is configured to allow access.
Step 8	RMFO provides training and/or ensures software installed and proper access to ARM.
Step 9	<p>RH to provide RMFO with current Outlook folder titles/descriptions (records / non-records) for creation of folders within the ERMS and if categorized as a Quality Record in accordance with EM-QA-001 Criterion 4.</p> <p>▼ Notes:</p> <ul style="list-style-type: none"> ○ RH only needs to provide RMFO with non-record Outlook folders if needed longer than 180-days for business needs. ○ Non-record folders shall be reviewed annually for proper destruction. <p>“Copies” of records shall not be maintained/retained longer than the “original” record.</p>
Step 10	<p>RH shall advise the RMFO if any of the records contained in the Outlook folders require special handling (additional folder security within the ERMS).</p> <p>It is the RH’s responsibility to ensure proper folder security*:</p> <ul style="list-style-type: none"> • Records containing Official Use Only (OUO), Unclassified Controlled Nuclear Information (UCNI), Unclassified Controlled Information (UCI), Personally Identifiable Information (PII) or other special markings; shall be identified, marked/labeled and maintained in accordance with the applicable DOE directives. <p>Marking E-mail:</p> <p>If the e-mail contains OUO information, the first line of an e-mail message must contain the abbreviation "OUO." There is no requirement to detail all of the information that is required in the front marking for hard copies (e.g., exemption name and number or guidance used, if applicable.) If the e-mail itself does not contain OUO, but an attachment contains OUO, the message must indicate the attachment is OUO (there is no specific language required.) See DOE M 471.3-1, Admin Chg 1, Chapter I, 3c. for further information.</p> <p>If the e-mail message contains UCNI, the first line of an e-mail message must include the abbreviation “UCNI,” the Reviewing Official’s name and organization, and the guidance used to make the UCNI determination (e.g., UCNI; Jane Smith, HS-90; CG-SS-4). If there is an attachment that contains UCNI, it must have all required UCNI markings. If the message itself is not UCNI but an attachment contains UCNI, the message must indicate</p>

	<p>that the attachment is UCNI. The attachment <u>must have</u> all required UCNI markings.</p> <ul style="list-style-type: none"> The default folder security in the ERMS is set to all individuals within the organization (e.g., Office of Director, Office of Finance, etc.), unless RH notifies RMFO of a change. <p>*The RH can update folder security changes within the ERMS (see Attachment 4, Changing Folder Security Within ERMS).</p>
Step 11	<p>RMFO will create folders within the ERMS (e.g., folder title, description, name of RH, inclusive dates, etc.) in order for the RH to be able to auto declare their Outlook folders.</p>
Step 12	<p>RH to restore e-mail messages that have been automatically archived to Enterprise Vault (e-vault) (See PS-205-05 Rev.3, <i>E-mail Retention, Storage and Archiving</i>), prior to auto-declaration of a folder or filing to an “auto-declared” Outlook folder. See Attachment 5, How to Restore E-mail(s) from the Vault.</p>
Step 13	<p>RH to “auto-declare” Outlook folders into ARM by following the steps, see Attachment 6, Auto Declaration Process or contact the RMFO for assistance.</p> <p>An Outlook folder has been auto-declared when the system automatically places a symbol in front of the folder title to indicate the folder has successfully been declared to the ERMS. Any e-mail(s) that are placed in the folder after this takes place automatically is declared into the system.</p>  <p>▼ Notes:</p> <p>If RH deletes an “auto-declared” Outlook folder or e-mail messages within an “auto-declared” folder, the e-mail will remain within the ERMS until the appropriate disposition takes place.</p> <p>If an e-mail is misfiled to the wrong Outlook folder that has been auto-declared, you typically have a few minutes to move it to the correct folder before it is processed. If message has been auto-declared, contact the RMFO so it can be moved within the ERMS system. After an e-mail has been declared into the ERMS, the email receives a FS# that is displayed in the subject line.</p>
Step 14	<p>RH to contact RMFO when NEW Outlook folders are created that contain records and for non-records that are needed longer than 180-days.</p>

Step 15	<p>RH can utilize the web interface to the ERMS to complete record searches. See Attachment 7, Searching Records in the ERMS.</p> <p>▼ Search Results are:</p> <p>Those records “you” have authorization to see based on folder security.</p> <p>Based on full text searches (email and attachments); when applicable, this will also include all other media types (e.g., paper, electronic records, etc.).</p>
Step 16	<p>RC shall notify the RMFO at least 2 weeks prior to an employee terminating. E-mail records maintained by the departing RH must be reassigned within the ERMS to a new RH (or RC) prior to terminating/transfer. See SAP-OTSAM-243-01, <i>Identifying, Filing and Maintaining Paper Records</i> for handling of paper records.</p> <p>RC shall remind terminating/transferring employee that Federal laws prohibit the removal of Federal records & non-records from agency custody even if transferring to another DOE site, including those supported by the EMCBC.</p>
Step 17	<p>RMFO shall coordinate with the appropriate management to obtain approvals prior to the destruction of any records from the ERMS.</p> <p>▲ Note: The ERMS manages the records lifecycle to ensure the record(s) are maintained for the appropriate retention period based on the NARA-approved DOE Records Disposition Schedule. Record destruction follows a formal process that requires Assistant Director / Federal Project Director, RMFO and the Office of Chief Counsel approvals prior to implementing any record destructions.</p>

3.0 References – Attachments

3.1 References

- DOE O 471.6, Information Security
- DOE M 471.3-1, Manual for Identifying and Protecting Official Use Only Information
- DOE O 471.1B, Identification and Protection of Unclassified Controlled Nuclear Information Order
- Information Technology Policy PS-205-05, Rev.3, E-mail Retention, Storage and Archiving
- Presidential Directive, M-12-18, Managing Government Records Directive
- Department of Defense (DoD) 5015.2, Electronic Records Management and Design Criteria Standard for Electronic Records Management Software Applications

- EM-QA-001 EM Quality Assurance Program, Criterion 4 Management/Documents and Records

3.2 Attachments

- Attachment 1: Is it a Record?
- Attachment 2: E-mail as a Record Quick Reference Guide
- Attachment 3: How to Decrypt an Encrypted E-mail
- Attachment 4: Changing Folder Security Within ERMS
- Attachment 5: Restore Email from Vault
- Attachment 6: Auto Declaration Process
- Attachment 7: Searching Records in the ERMS

4.0 Records Generated

No new records are generated as a result of implementing this procedure; however, this procedure details the identification and filing for most all of the day-to-day e-mail records generated/received at the EMCBC.

EMCBC RECORD OF REVISION**DOCUMENT TITLE: Identifying, Filing, and Maintaining E-mail Records**

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

I Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

I Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

Rev. No.	Description of Changes	Revision on Pages	Date
0	Initial Document	All	10/05/15