PREPARE
Preparing Archives for Records in Email
EA:BCC Symposium
Council of State Archivists
Maine State Archives

CoSA SERI State Electronic Records Initiative

ABOUT US: COUNCIL OF STATE ARCHIVISTS

Nonprofit membership organization representing the state and territorial government archives of the fifty states, five territories, and the District of Columbia

Other projects include:
- SERI: State Electronic Records Initiative
- ARM: Archives and Records Management Survey
- BACKER: Building Archival Capacity for Keeping Electronic Records

PREPARE

- PREPARE: Preparing Archives for Records in Email (2021-2022)

- Two-year, three-phase study of email challenges (and potential solutions) in state and territorial government

- For more information, please see our Project Briefing and website: https://www.statearchivists.org/electronic-records/state-electronic-records-initiative/cosa-prepare

PREPARE: PHASES

Phase 1: Needs Assessment

Phase 2: Tools & Protocols Testing

Phase 3: Direct Assistance

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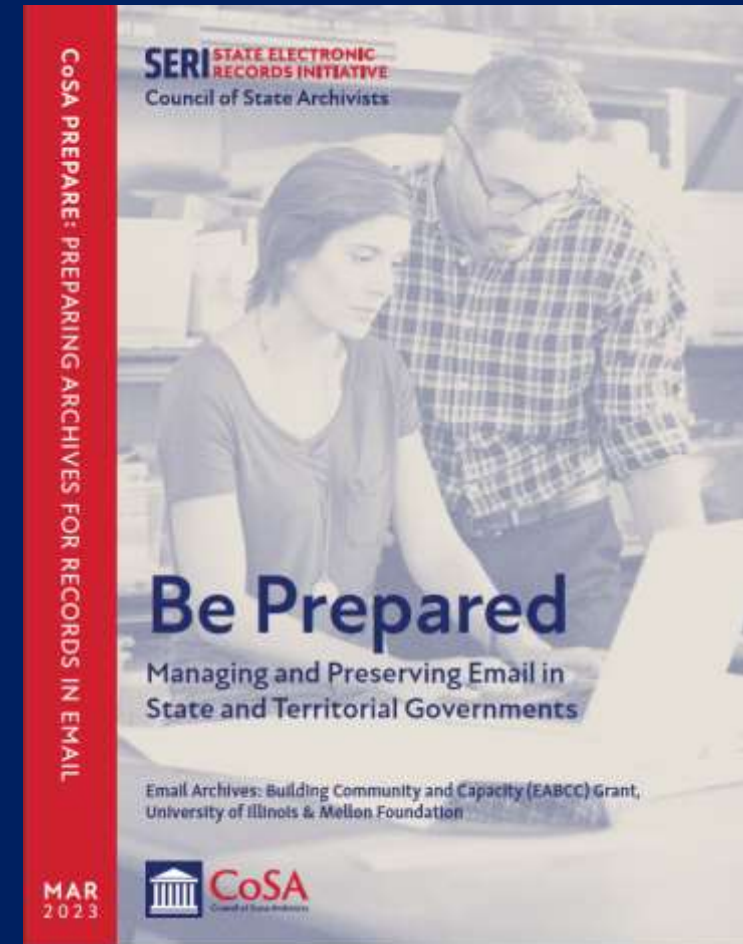
PREPARE PHASE 1: IDENTIFIED CHALLENGES

Scale/quantity of email records (66% listed this as a challenge and 19% identified it as the biggest obstacle faced)

Insufficient statewide policy adoption (63% and 16%)

Lack of access to technology (63% and 13%)

PREPARE PHASE 2: TOOLS AND PROTOCOLS

Are widely-available email "processing" software suited to the scale and scope of public archives work?

Building consistency within *and* across digital preservation programs

Locked-down IT environments

PREPARE PHASE 3: ASSISTANCE & COMMUNITY

Direct Assistance Projects —> PREPARE

Indirect Assistance: Guidance Documents

Indirect Assistance: Be Prepared

ONGOING CHALLENGES

- **<u>Governance</u>:** Not everyone uses email like you'd expect
- **<u>Technology</u>: P**rocessing and access tools and workflows might not account for all circumstances
- **<u>Requirements</u>:** Thousands of categories of exemptions, classifications, protected and sensitive information
- **<u>Future-Proofing</u>:** Email is still changing (and we still haven't dealt with the backlog)

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SERP: CORE DIGITAL PRESERVATION COMPONENTS

- Identification of essential recordkeeping requirements

- Assignment of roles and responsibilities

- Governance of digital systems

- Migration of data

- Provisioning of authorized access

ESSENTIAL RECORDKEEPING REQUIREMENTS

- **Records schedules:** administrative, legal, technical requirements

- Super-category: Archival appraisal

- Position-based appraisal: Capstone

- Appraisal + legal requirements = moving pipeline

Position-Based Email Appraisal Categories + Estimated Percentage of Accounts

Tier 1: Top-Level Officials	<1%
Tier 2: Top-Level Advisors + High-Level Policymakers	1-4%
All other accounts	95%

https://www.archives.gov/records-mgmt/email-management/capstone-training-and-resources.html
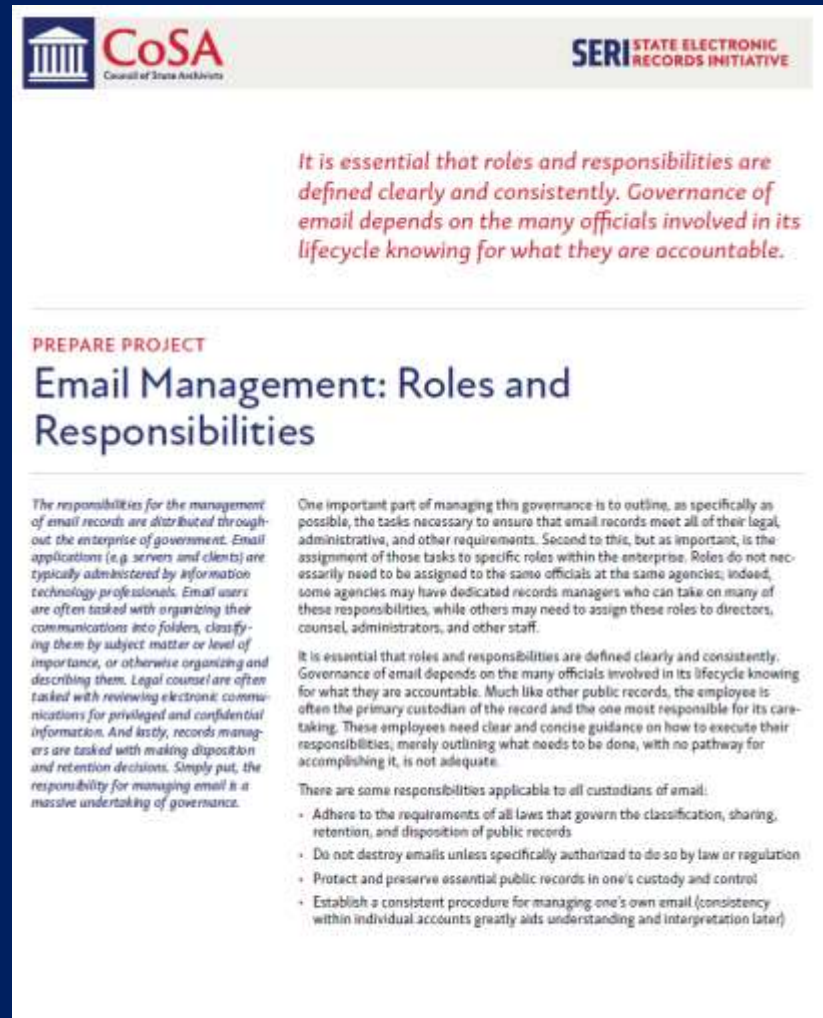
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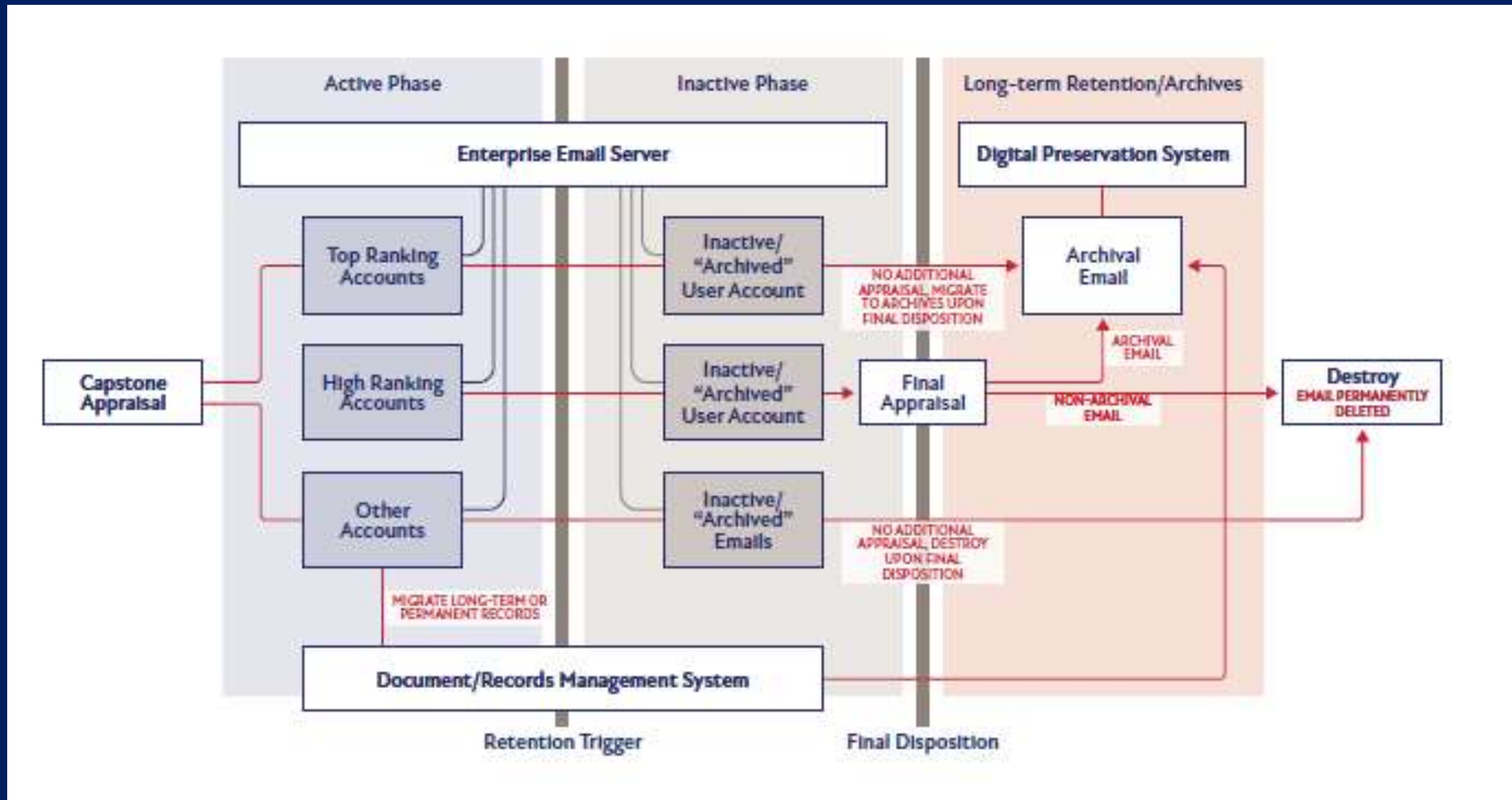
ROLES AND RESPONSIBILITIES

- Uncertainty in roles

- Appropriately placing responsibilities for management, access, discovery, preservation

- No single approach – individual definitions and assignments

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DIGITAL SYSTEMS GOVERNANCE

- How can email servers (and cloud-based licenses, etc.) be configured to best support digital preservation requirements?

- Who can make this happen?
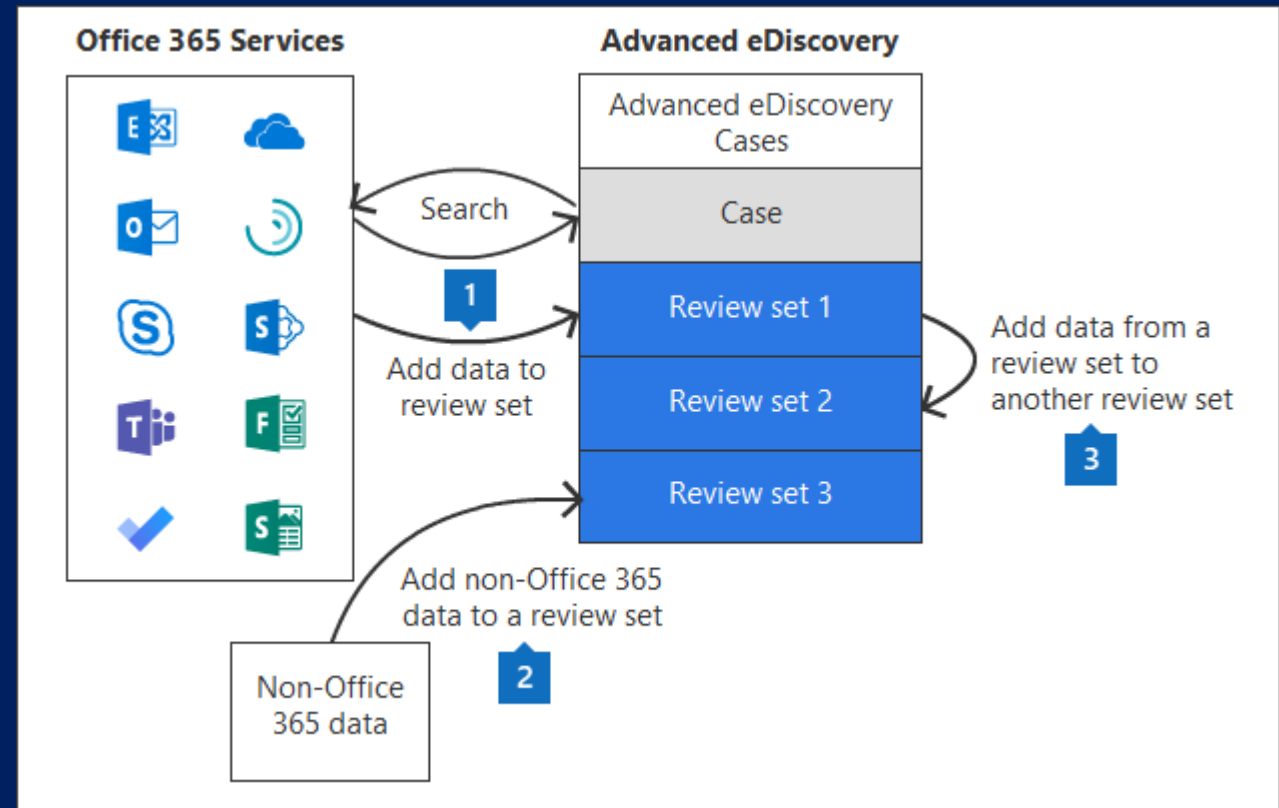
DATA MIGRATION

- Systems

- Custodians

- Packages

PROVISIONING OF AUTHORIZED ACCESS

- Strict requirements for providing public access to records (e.g. FOIA)

- Appropriate moment for review + redaction

- "Turnaround time", archival processing, and online public records

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DIRECT ASSISTANCE: MAINE PROJECT

- 2022 – Present
- Direct assistance = address unique circumstances and requirements
- Project Team = enterprise-wide collaboration and community building

STATE GOVERNMENT: EMAIL RESPONSIBILITIES

- Email is part of the State of Maine's General Schedule 5 - State Agency Correspondence. Agencies must:
  - At a minimum, agencies must submit "agency specific" schedules for approval. Where other state or federal laws dictate longer retentions, Intended for State agency use.

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STATE GOVERNMENT: EMAIL ARCHIVING GOALS

- Ensure that important officials' email is not "lost to history" upon their departure.

- Handle "retention rules" within Microsoft 365 albeit with limited capabilities.

- Leverage Microsoft 365 functionality in which ALL email can be discovered/ recovered.

STATE GOVERNMENT: SIZE AND SCOPE

- Maine has approximately 12,000 @maine.gov email accounts.

- Former employees and officials also need management and archiving – est. 6,000 – 10,000 over a 10-year period.

- Mailbox volumes can be 20,000 email messages or more per year.

- Resulting in more than 200 million messages for current employees alone.

STATE GOVERNMENT: EMAIL GUIDANCE

- Retention guidance depends on Content and Governmental role. Official and leadership roles become Capstone accounts and require detailed management.

- Agencies must establish email folders by year and by subject whenever possible. Quickly delete any non-record or transitory correspondence.

- MSA staff are collaborating with CoSA to develop a policy and procedures that guide employees in managing their email. Plans include a position- based process using a tiered approach to record capture and a Capstone policy for email retention.

STATE GOVERNMENT: RETENTION DETERMINANTS

- Email retention requirements are based on content. Maine State Archives uses a "four-part content-value criteria" to determine retention of any record (including email) as outlined:
  - Administrative use;
  - Legal requirements;
  - Fiscal/ audit requirements; and,
  - Historical/ research value.

STATE OF MAINE – FREEDOM OF ACCESS ACT

- "… It is the intent of the Legislature that their actions be taken openly and that the records of their actions be open to public inspection and their deliberations be conducted openly. …"

- "This subchapter does not prohibit communications outside of public proceedings between members of a public body unless those communications are used to defeat the purposes of this subchapter. "

- "This subchapter shall be liberally construed and applied to promote its underlying purposes and policies as contained in the declaration of legislative intent."

STATE OF MAINE – CONTEXT OF GOVERNMENT INFORMATION

- Government is a "storehouse" of information – EVERYTHING IS PUBLIC.

- Individuals manage data and records in this storehouse .

- "Curate and convey" is core function in the ordinary course of government business.

- FOAA requests for records are a small segment of the flow of information.

- Agency response to FOAA request must comply with statutory requirements.

MAINE STATE ARCHIVES
EMAIL ARCHIVING PROGRESS

- Digital Records Working Group.

- Collaboration with CoSA to develop Capstone plan.

- Identification of email archiving pilot target.

- Digital Preservation System:
    - RFP;
    - Vendor Selection/Contract; and,
    - Plans for implementation.

MAINE STATE ARCHIVES
EMAIL ARCHIVING PLANS

- Collaboration with CoSA to develop workflow and user documentation for email archiving.

- Expand guidance into policy.

- Pilot email archiving in Secretary or State's office.

- Pilot outside of controlled domain.

- Integrate with Digital Preservation System.

- Develop and execute launch plans.

YOUR THOUGHTS

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STAY CONNECTED & INFORMED

CoSA Website

CoSA Resource Center

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