TECHNICAL ARCHITECTURE REVIEW

Project Name:	**E-Mail Archiving and Retention**
Requestor:	Stephen Fletcher
Date of Initial Request:	March 19, 2008
Request Description:	Identify policies and practices in other states for e-mail archiving and retention policies in a context of best practices and Utah legal requirements.
Agency or Agencies:	Enterprise
Reviewers:	Bob Woolley and Dave Fletcher
ARB Acceptance Date:	
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Introduction

E-mail policy and retention are topics of concern throughout State and federal government. Archiving and retention requirements are frequently at odds with practical needs for managing electronic mail from an IT perspective. For purposes of this report, archival and agency retention requirements are discussed separately from IT based retention policies and practices, which may be very different. The IT e-mail infrastructure must be able to support the archival and retention business requirements of agencies. E-mail also represents an important component of institutional memory, and the specific requirements for access to older e-mail need to align and enable agency specific retention requirements, without adding undue complexity to e-mail management.

The pressure on organizations to protect and manage data has increased with the recent growth in unstructured data and the reliance on e-mail to communicate and exchange documents. Many organizations now consider e-mail to be mission critical. Recent Gartner[1] studies suggest “that e-mail and other messaging applications store as much as 75 percent of a company's intellectual property.”

Governments are conducting business electronically through e-mail. In the process, they are creating records which document the policies, programs, and

[1] DiCenzo, Carolyn and Kenneth Chin, *Magic Quadrant for E-Mail Active Archiving, 2007*, May 16, 2007.

functions of their agencies. Because e-mail systems are convenient, they are also used to communicate personal messages and minor day-to-day business. All of this information is typically stored in e-mail systems and on backup volumes without regard to content, kept for the same length of time, then purged. Several problems arise from this practice:[2]

- Records with little or no value to the agency continue to exist and place the agency at risk from audit or litigation. Agency personnel may then be required to sift through thousands of e-mail messages to determine what is pertinent.

- Records with little or no value, ignored by users in their inbox or outbox, take up unnecessary server space, often being kept for years on backup tapes, wasting money.

- Records deleted from an inbox or outbox by a user still exist on backup tapes. If at any time one message needs to be retrieved, finding the item may be next to impossible without restoring several years' worth of old deleted (and worthless) e-mail.

- Backup systems are not record-keeping systems, yet they are often forced into that role, causing technical staff to be taken off of mission-critical projects to coax the backup system to do something it was not designed to do. Backup systems ideally should be used primarily for disaster recovery.

- Records of value, needed by the agency to document its own actions or make decisions based upon that information, or those which provide accountability to the public, are not placed somewhere where their survival could be guaranteed. Such records often have historical research value after a period of time.

- Records of value, even if kept by the creator, are usually not in a centralized location accessible to others in the agency that may need the information.

Objectives and Scope of Review

The purpose of this review is to establish a baseline of current practice and applicable laws pertaining to the State of Utah. The study also identifies best practices and patterns for e-mail archiving and retention across the fifty states. Technology solutions for e-mail archiving and retention that are usable with the current State environment have been identified. An initial draft of an e-mail archiving and retention policy for the State of Utah has been included.

[2] Perkes, Elizabeth, *E-mail Guidelines (Draft),* Utah State Archives, April 4, 2008.

Current Utah Records Retention Requirements for E-Mail

E-mail has been defined as a record similar to correspondence but only for specified record categories that require some level of preservation. E-mail is retained as an archived record based upon specific content guidelines. The vast majority of State e-mail does not require any preservation unless specifically required by the management of agencies for business purposes. Pertinent definitions associated with e-mail include:

Record, according to UCA 63-2-103(18)(a), means all books, letters, documents, papers, maps, plans, photographs, films, cards, tapes, recordings, electronic data, or other documentary materials regardless of physical form or characteristics:

(i) which are prepared, owned, received, or retained by a governmental entity or political subdivision; and,

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

E-mail which is determined to fall under the definition of a record will follow its approved retention schedule. Both the electronic source record and the recordkeeping copy will follow the Archives' *Electronic Mail Guidelines*. Electronic mail appropriate for transfer to the Archives will additionally follow the Archives' *Procedures for Transferring Permanent Electronic Records*.

5.6.1 Recordkeeping System: The system used to manage the recordkeeping copy of e-mail will be determined by the agency. The recordkeeping system will include functionality identified by the Archives' *Recordkeeping System Guidelines*.

5.6.1.1 Paper-based Systems: E-mail managed by a paper-based recordkeeping system will include a printout of the following: name and e-mail address of who sent the message, names and e-mail addresses of those the e-mail was sent to, the date the e-mail was sent, the date the e-mail was read, the subject line of the e-mail, the message body of the e-mail, any attachments, and all associated metadata.

5.6.1.2 Electronic-based Systems: E-mail managed by an electronic recordkeeping system will include all content and metadata for the e-mail and any attachments.

5.6.2 Determination of Record Series: The person who will decide which record series and retention schedule is appropriate for a given e-mail message will be determined by the agency. This person may be the sender of the message or a records officer designated to this task. Alternatively, the agency may choose to automate this process through software. The person

who makes this determination will place the record into the recordkeeping system.

5.6.3 Electronic Source Record: The electronic source record of the e-mail, contained within the e-mail system, may be destroyed automatically by the e-mail system on timetables established by the agency after the e-mail has been copied to a recordkeeping system.

5.6.4 Backup Systems: Backup copies of e-mail systems will be cycled and replaced according to timetables established by the agency. Timetables are encouraged to be of short duration so that the recordkeeping function remains with the recordkeeping system, not the backup system."[3]

The State Records Committee has further defined e-mail retention requirements for the following specified records groups:

Policy and Program Correspondence[4]
Business-related correspondence which provides unique information about agency functions, policies, procedures, or programs. These records document material discussions and decisions made regarding all agency interests, and may originate on paper, electronic mail, or other media. This correspondence is filed separately from project and program case files.

Retention

- Record Copy: Permanent. Retained by agency until administrative need ends, then transferred to State Archives with authority to weed.
- Duplicate Copies: Retained by agency until administrative need ends, then destroyed.

Suggested Primary Designation: Public (Approved 02/05).

Administrative Policy and Program Records[5]
Records created by agency administration to document the research, creation, and application of agency programs, policies and procedures. May include correspondence, policy and program case files, and executive files documenting leadership roles and the decision making processes.

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[3] *Utah Guidelines for Electronic Records*, Utah State Archives, March 2008, *http://www.archives.state.ut.us/main/index.php?module=Pagesetter&func=viewpub&tid=1&pid=201*
[4] State Agency Schedule 1 Administrative Records, Utah State Archives, http://archives.utah.gov/main/index.php?module=Pagesetter&func=viewpub&tid=1&pid=349#30364
[5] *Ibid.*

Retention

- Record Copy: Permanent. Retained by agency for three years and then transfered to Archives with authority to weed.
- Duplicate Copies: Retained by agency until administrative need ends, then destroyed.

Suggested Primary Designation: Public (Approved 01/04).

Transitory Correspondence[6]
Business-related correspondence that is routine or transitory in nature and does not offer unique information about agency functions or programs. These records include acknowledgment files and most day-to-day office and housekeeping correspondence. These records may originate on paper, electronic mail, or other media. This correspondence is filed separately from program and project case files.

Retention:

- Record Copy: Retained by agency until administrative need ends, then destroyed.
- Duplicate Copies: Retained by agency until administrative need ends, then destroyed.

Suggested Primary Designation: Public (Approved 02/05).

Personal records, as defined by *Utah Code Annotated* 63-2-103, created or received through e-mail systems, do not require a formal retention schedule. The recommendation is to destroy upon receiving or sending.

Other special requirements have been developed for the Office of the Governor. These requirements, as documented, are similar to the previously discussed types of records. Electronic mail is explicitly mentioned for these records. E-mail archiving requirements are based primarily upon content. This is also the case for federal and e-mail archiving requirements in essentially all of the States with explicit electronic record and e-mail policies.[7]

In summary, e-mail is a defined record type and is subject to specific archival requirements. The overall impact of these requirements may apply to less than 10% of all e-mail within State government.[8] The balance of the e-mail is

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[6] *Idid*.
[7] Entlich, Richard, *E-mail Management, Retention, and Usage Policies in the 50 United States*, RLG DigiNews, Volume 10, No. 3, June 15, 2006.
[8] Smith-Mansfield, Patricia (State Archivist), Interview *Regarding State Record Committee Rules and Policies for e-Mail Retention and Archiving*. Utah State Archives, March 31, 2008.

considered transitory and need only be retained based upon agency business needs.

E-Mail Archiving and Retention Practices in Other States

An analysis of other state policies[9] in light of the current electronic communications environment, legal, and implementation strategies suggests that:

- State policies have not been updated recently and changes in technology have rendered at least portions of them incomplete or out-of-date.
- Training and enforcement tend to lag behind policy development and are deficiencies that hinder effective implementation.
- Waiting for the law to catch up with technological development does not necessarily produce policies that are the best reflection of archiving and records management principles.
- The tension between records retention laws and the desire of elected officials to maintain control over release of their communications is largely unaddressed.

From a national perspective, states have taken their lead on e-mail policies and retention requirements from the U.S. National Archives and Records Administration (NARA). Records managers at the state level followed NARA when NARA clearly defined e-mail messages as potential records. Many states subsequently started developing their own policies. The landmark case, *Armstrong v. Executive Office of the President*, decided in 1993, led to new regulations from NARA governing retention and management of e-mail messages by federal agencies. Prior to that there had been substantial disagreement over whether e-mail messages qualified for record status. Some of those same arguments still persist in state government today. Appendix 1 is a summary of the e-mail policies and electronic records preservation documents for the 50 states.

Findings

- E-mail is treated as a record in all of the forty three states for whom documentation was available.
- The definition of a record varies, but the majority exclude most routine e-mail communication and focus on e-mail that contains specific policy and program references, or otherwise important historical information.

[9] Entlich, Richard, *You've Got Mail—Now What? Regulatory and Policy Dilemmas in E-mail Management Part II. US State Environment*, RLG DigiNews, Volume 10, No. 3, June 15, 2006

- Forty three states have published policies or guidelines that address the management, retention, and archiving of e-mail. Policies are generally based upon archival records preservation guidelines within the States.

- All of the states with archiving and retention policies preserve e-mails based upon the content of the e-mail.

- From an operational perspective, archival preservation of e-mail is handled in a variety of ways. The best systems appear to consist of third party e-mail add-ons that enable easy user identification of e-mail that should be retained.

- Operational management of e-mail, including expiration policies, retention, and archiving practices, is generally based upon agency administrative needs.

- Operational management preferences and practices for e-mail retention are often in potential conflict with legal requirements for preservation of records.

Agency E-Mail Archiving and Retention Practices

State of Utah agencies handle e-mail archiving and retention in a variety of ways,[10] as listed in Appendix 2. To summarize:

- There are 107 GroupWise post office domains in agencies covered by the CIO statute.

- Policies to expire or reduce e-mails vary from agency to agency and within agencies.

    - 72 Domains, or 67.3%, do not have any expiration or reduction events scheduled. E-mail is retained indefinitely.
    - 25 domains, or 23.4%, expire or reduce e-mails in 120-180 days.
    - 10 domains, or 9.3%, expire or reduce e-mails on other timelines.

- E-mail retention policies for reloading e-mails in case of a loss use varying schedules:

    - 20 domains, or 18.7%, use a 14 day reload policy.
    - 4 domains, or 3.7%, use a 120-180 day reload policy.
    - 83 domains, or 77.6%, had no discoverable policy.

[10] Cornish, Eva (State E-mail Coordinator), *Interview Regarding Agency e-Mail Practices for Retention and Archiving*, Department of Technology Services, April 3, 2008.

- Of the107 domains, none reported any kind of programmatic or consistent solution for e-mail archiving. A few noted that they used Tivoli for post office backups.

- There are 16 GroupWise post office domains in other branches of government, and other agencies not included in the CIO statute.

- There is one Outlook Exchange post office, in the State Office of Education, for which data was not available.

Baseline of Current Architecture

GroupWise is used in all agencies of State government except the State Office of Education. Versions deployed vary from version 6.5 through 7.03. No software for e-mail archiving or automated identification of e-mail records that need to be preserved by law has been deployed. Some test instances of Nexic Discovery have been deployed in various agencies. A DET group is currently evaluating other e-mail archiving solutions for possible enterprise implementation.

Best Practices Review

Best practices have been drawn from a wide range of resources and are presented in two principle contexts: policy development and archiving. Retention is addressed within the policy development component.

E-mail Policy Development Guidelines

Guidance in the development of e-mail management policies[11] has been available for many years. An overall governing principle for such policies must be practicality of implementation. One early and thorough analysis by David Wallace,[12] written in 1998, retains its relevance. Wallace's analysis focused on the following best practice policy components:

- Record Status: Does the policy define what a record is, address the record status of e-mail, and provide criteria and examples to help distinguish record e-mail from non-record e-mail?

- Filing and Maintaining Records: Does the policy specify what means (print, microform, electronic) can or should be used to store record e-mail? Does it offer filing suggestions? Does it address how to handle attachments or encryption? Is there a discussion of long-term preservation and archiving?

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[11] SANS E-mail Retention Policy Template, SANS Institute, 2006. http://www.sans.org/resources/policies/e-mail_retention.pdf

[12] Wallace. David A., *Recordkeeping and Electronic Mail Policy: The State of Thought and the State of the Practice*, Society of American Archivists, Orlando, Florida, September 3, 1998.

- Administration: Does the policy include a link to the records retention schedule? Does it identify the entity responsible for producing the policy? Does it specify sanctions for non-compliance? Is there a glossary of terms used in the policy?

These criteria provide a good framework for e-mail policy development. Additional points suggested by Richard Entlich[13] Should be added and elaborated.

- Scope: Does the policy identify which branches of state government it applies to or, even better, those that it does not apply to? (Many policies are only applicable to state agencies and not to the executive or judicial branches.)

- Date: Does the policy indicate its effective date and whether or not it supersedes a previous policy? If old policies remain posted, are they identified as obsolete?

- Linkage: In addition to retention schedules, does the policy link to all other policy statements that reflect on e-mail management, regardless of what department or agency produced them? Has it been checked against those other policies for consistency of content and point of view? Are the links to other Web sites kept up to date?

- Legal Framework: Does the policy identify not only which entity is responsible for the document and from what statutes their authority comes, but the entire statutory framework for records management and public access to records?

- Retention vs. Destruction: Does the policy balance the need for retention of legitimate records with a need to discard non-records?

- Analog vs. Electronic Filing: Does the policy permit filing of record e-mail in an analog form, such as hard copy printouts or microform?

Tolson[14] has suggested that effective e-mail policies follow what he has characterized as the five second rule. “Keep it simple: A policy that requires an employee to search through pages and pages of retention schedules for a specific document probably won't be followed. If it takes employees more than five seconds to decide how long a document (including an e-mail) should be retained, they probably won't do it.”

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[13] Entlich, Richard, *You've Got Mail—Now What? Regulatory and Policy Dilemmas in E-mail Management Part II. US State Environment*, RLG DigiNews, Volume 10, No. 3, June 15, 2006

[14] Tolson, Bill, *Top 10 best practices for e-mail archiving*, January 18, 2006. http://searchcio-midmarket.techtarget.com/tip/0,289483,sid183_gci1159997,00.html

E-mail Archiving

There have been numerous articles on e-mail archiving. The following, adapted from Bill Tolson,[15] are among the most useful and applicable to the State:

1. Understand the problems needing resolution before technology is purchased. Understand the requirements for e-mail archiving. There is generally more than one problem that can be solved with e-mail archiving. Understanding business requirements should come before solution procurement.

2. Create or update e-mail retention policy to reflect current business needs. An effective document retention policy will address what the document retention policy covers, the data retention philosophy, responsibilities, and procedures. Create retention schedules that employees can easily follow and remember. Make these documents short and simple.

3. Periodically perform a legal or regulatory refresh. Review the data retention policy; be sure to review it annually in the context of relevant laws, related rules, and industry best practices.

4. Include all stakeholders: legal, compliance, HR, agency business management, and technical personnel. A data retention policy affects all employees and should reflect input from an appropriately diverse audience. Create a cross-functional team that represents most business operations or departments. Interview a wide sampling of employees and departments to determine how and why they create documents; if they re-use or reference them later; and where they store the documents. Avoid retention policies that adversely affect the employees and their day-to-day work.

5. Focus on similarities in laws or regulations and create "high water mark" retention lengths. Multipage retention schedules are rarely effective or followed. Simplify them as much as possible. It is easier for employees to follow one retention period that meets all retention requirements for all employee-related records than to try to remember different retention periods. Creating high-water marks for retention periods will also make it easier to adopt automated e-mail archiving processes.

6. Socialize the policy on a State-wide basis. Adequately inform employees about the new or existing policy and make it easily accessible. Employees usually do not know if their company has a data retention policy or where to find it if there is one. Employees need to be trained on a new policy, including knowing why the policy was created (legal, regulatory, or other); how to use any new technology associated with the policy; and, consequences for the State and employee if the policy is not followed.

[15] *Ibid*.

7. Do not attempt to teach employees to subjectively recognize "business" records. Asking employees to individually decide which records are business records and what can be archived is not usually successful. If employees are required to interpret the policy and make archiving decisions, the less complicated the policy, the more uniform the archive will be.

8. Don't forget the e-mail acceptable use policy. Even with a data retention policy, an e-mail use policy should be published that informs the employees of their responsibilities, including things they should not do, privacy expectations, and consequences for system misuse.

9. Move e-mail retention from a manual process to an automated process. Take e-mail archiving out of the hands of employees. Automated e-mail archiving will ensure uniform archiving, increase employee and IT productivity and, most importantly, put in place a system that can ensure no message protection if a litigation hold procedure is instituted.

10. Discourage employees from creating personal archives. Employees, without e-mail archiving automation, create their own personal archives for many reasons. Some use e-mail as their filing system. They create archives for future protection, for reference, or re-use. While this may have some utility it is vastly inferior to a uniformly applied archiving methodology.

Emerging Technologies and Business Trends

There are numerous technologies available for archiving e-mail messages and enabling and managing e-mail retention. There is no shortage of technology solutions. Solutions are available as software and appliance based products. Gartner has identified many of the key e-mail archiving vendors in their e-mail archiving report, as illustrated in Figure 1.[16]

[16] DiCenzo, Carolyn and Kenneth Chin, *Magic Quadrant for E-Mail Active Archiving, 2007*, May 16, 2007.

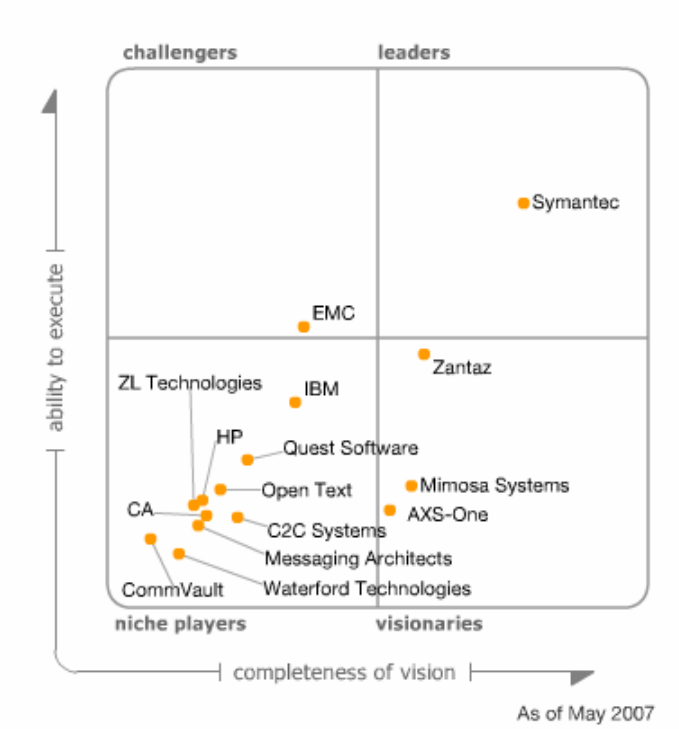

Figure 1. Gartner Magic Quadrant for E-mail Archiving.

One strategy that is being tested by a number of different archival institutions is the use of XML. Essentially, scripts are run against the transmittal copy of the e-mail, with the message, attachments, and metadata captured and wrapped with XML. The XML files are then placed in an electronic recordkeeping system. In one test case, the e-mail client was modified to capture retention information based on user input or rules.[17]

Gartner suggests that "the biggest roadblock for customers is in defining their own requirements."[18] Fundamental to the e-mail preservation issue is the development of a philosophy and culture for e-mail use in the enterprise, and recognition of how e-mail archiving can preserve and enable institutional memory and be adapted to employee working preferences. E-mail archiving is one of the best examples of the need to understand legal and regulatory issues in a context of agency preferences for access to e-mail records. Businesses generally limit e-mail access to avoid prolonged discovery and litigation processes. Government must address those concerns and a requirement to preserve documents that may have historical significance to the State.

Financial Analysis

Any e-mail archiving solution will represent additional costs to the State from a licensing perspective. The e-mail archiving and retention policy must be

[17] Perkes, Elizabeth, *E-mail Guidelines (Draft)*, Utah State Archives, April 4, 2008.
[18] DiCenzo, Carolyn and Kenneth Chin, *Magic Quadrant for E-Mail Active Archiving, 2007*, May 16, 2007.

established before specific products are implemented. Unduly complex policy requirements will increase costs.

Security Review and Analysis

The existing mixture of 107 post office domains in CIO agencies makes any implementation of security or archiving and retention inherently more complicated. An overall plan to consolidate and simplify these environments will enhance security and make implementation of a practical archiving and retention policy attainable.

Operational and Infrastructure Analysis

The existing environment is diverse and the management is relatively complex. Simplifying and consolidating overall e-mail environments will likely reduce operational costs. Failure to do so will increase operational costs as new archiving and retention functions are added to existing e-mail platforms.

Solution Delivery Impact and Analysis

Impact from a solutions delivery perspective is minimal since archiving and retention requirements are not usually a concern on an application level.

Agency Services Impact and Analysis

New functionalities added on an agency level in the current post office environment will add cost and additional management complexity to agencies.

Summary and Recommendations

The existing State e-mail environment is complex from an operational and management perspective. The diversity of State agencies, employees, and needs for information contained in e-mail records suggests a difficult environment for implementing a universally acceptable e-mail archiving and retention policy. In the absence of such a policy and related business practices, the State is exposed to loss of historically significant information and attenuated opportunities for discovery and litigation. State agencies are largely out of compliance with existing GRAMA e-mail record requirements. Handling of e-mail is a subject of some sensitivity and concern with most agency IT directors. Given this context, the following recommendations may be appropriate:

- Continue an already ongoing effort to simplify the State e-mail environment and consolidate post offices.

- Initiate a working group to define business, legal, and technical requirements for the management, archiving, and retention of e-mail messages in a context of GRAMA and operational realities.

- Develop an implementation plan for the creation of an enterprise e-mail archiving solution architecture.

- Identify “high water” marks that will meet GRAMA requirements and constrain extended litigation and discovery requests.

- Ensure that DTS can operationally implement the storage and technology solutions for a consolidated enterprise e-mail archiving and retention system.

- Develop a simple and practical policy for e-mail archiving and retention.

- Continue the ongoing DET efforts to identify technology solutions for archiving e-mail, but make no purchase recommendation until needs are better understood and an e-mail policy document has been released.

Gartner suggests that users favor e-mail archiving solutions that “create an active archive that provides quick access to historical information by end users, IT, and legal departments.”[19] While mailbox management is the leading driver for e-mail archiving, discovery is a close second. Providing an archive platform that can support archiving, retention, and access to multiple types of content is increasingly becoming a key decision point in selecting an e-mail archiving solution. For the State to be successful in addressing these issues it will be necessary to understand agency and legal requirements inclusive of the e-mail working preferences of employees. Once these issues are identified, and a policy is developed, it will be possible to select an archiving solution that has the capability of supporting current and possible future e-mail technologies.

[19] DiCenzo, Carolyn with Kenneth Chin, Alan Dayley, *E-Mail Active Archiving Market Update, 2007*, Gartner Research, May 30, 2007.

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Appendix 1. E-mail Management, Retention, and Usage Policies in the 50 States

State	E-mail Policy	Date	Type of Document
Alabama	Guidelines for Managing E-mail	Apr 2001	Policy Guidelines
Alaska	State of Alaska General Administrative Records Retention Schedule	Mar 2005	Retention Schedule
Arizona	Managing Public Records Sent and Received via Electronic Mail	N/A	Policy Guidelines
	Guidelines for Managing Public Records Sent and Received via Electronic Mail	N/A	Policy Guidelines
Arkansas	Practical Approaches to Electronic Records Management and Preservation	Nov 2001	Policy Guidelines
California	Electronic Records Management Handbook	Feb 2002	Policy Guidelines
	Electronic Mail (E-mail) Retention Instructions	Apr 2003	Retention Schedule
Colorado	Electronic Messaging Guidelines (E-mail)	Dec 2004	Policy Guidelines
Connecticut	Electronic and Voice Mail: A Management and Retention Guide for State and Municipal Government Agencies	Jun 1998	Policy Guidelines
Delaware	Policy Statement and Guidelines: Electronic Mail	Sep 2002	Policy Guidelines
Florida	Electronic Records and Records Management Practices	Mar 2006	Policy Guidelines
Georgia	E-mail Retention Guidelines	Aug 2004	Policy Guidelines
Hawaii	General Records Schedules	May 2006	Retention Schedule
	Comptroller's Memorandum 2002-30: E-mail Retention Schedule to Conserve Resources	July 2002	Policy Guidelines
Idaho	Frequently Asked Questions about E-mail Retention	N/A	Policy Guidelines
Illinois	N/A	N/A	N/A
Indiana	Records Management: Records Coordinator's Handbook	N/A	Policy Guidelines
Iowa	Managing Electronic Mail: Policy for Iowa Government Agencies	Jan 2003	Policy Guidelines
Kansas	Managing Electronic Mail: Guidelines for Kansas Government Agencies	May 2002	Policy Guidelines
	Kansas Electronic Records Management Guidelines	N/A	Policy Guidelines

Kentucky	Guidelines for Managing E-mail in Kentucky Government	Sep 2005	Policy Guidelines
	The Status of Electronic Mail as a Public Record	Mar 1996	Policy Guidelines
	Recordkeeping: Electronic Mail	May 2003	Policy Guidelines
Louisiana	Electronic Mail (E-mail) Retention	Feb 2003	Policy Guidelines
Maine	Electronic and Voice Mail	May 2003	Policy Guidelines
Maryland	N/A	N/A	N/A
Massachusetts	Electronic Mail	May 2003	Policy Guidelines
Michigan	Electronic Mail Retention Guidelines	N/A	Policy Guidelines
	E-mail Storage Options	N/A	Policy Guidelines
Minnesota	E-mail Management	Mar 2004	Policy Guidelines
Mississippi	Electronic Records Draft Guidelines Part 4: E-mail	N/A	Policy Guidelines
Missouri	Managing E-mail Records	Feb 2001	Policy Guidelines
Montana	Montana E-mail Guidelines: A Management Guide for the Retention of E-mail Records for Montana State Government	Jun 2006	Policy Guidelines
Nebraska	Electronic Messaging and Electronic Mail (E-mail) Regulations	Mar 2003	Policy Guidelines
Nevada	Legal Requirements for Nevada's Public Electronic Records	Dec 2005	Policy Guidelines
New Hampshire	N/A	N/A	N/A
New Jersey	Managing Electronic Mail: Guidelines and Best Practices	July 2002	Policy Guidelines
New Mexico	New Mexico Administrative Code: Electronic Mail	Jan 2004	Retention Schedule
New York	Managing E-mail Effectively	2002	Policy Guidelines
North Carolina	E-mail as a Public Record in North Carolina: Guidelines for its Retention and Disposition	Aug 2002	Policy Guidelines
North Dakota	Electronic Records Management Guidelines	Sep 1998	Policy Guidelines
Ohio	Managing Electronic Mail: Guidelines for State of Ohio Executive Agencies	Oct 2000	Policy Guidelines
Oklahoma	Consolidated General Records Disposition Schedule	Jan 2006	Retention Schedule
Oregon	Electronic Mail (E-mail)	May 1996	Policy Guidelines

Pennsylvania	Retention and Disposition of Records Created on Electronic Mail (E-mail) Systems	Nov 2004	Policy Guidelines
Rhode Island	N/A	N/A	N/A
South Carolina	E-mail Management	Mar 2005	Policy Guidelines
South Dakota	N/A	N/A	N/A
Tennessee	N/A	N/A	N/A
Texas	Texas State Agencies Model Policy for Records Management Requirements for Electronic Mail	N/A	Policy Guidelines
Utah	Utah Guidelines for Electronic Records	Mar 2008	Policy Guidelines
Vermont	Policy Statement and Guidelines: Electronic Mail	N/A	Policy Guidelines
Virginia	Electronic Mail (E-mail) Retention Guidelines and Requirements	N/A	Policy Guidelines
Washington	Electronic Mail Guidelines for Developing Policy and Establishing Procedures for E-mail	Mar 2001	Policy Guidelines
	Agencies of Washington State Government General Records Retention	Apr 2006	Retention Schedule
West Virginia	N/A	N/A	N/A
Wisconsin	Statewide Enterprise E-mail Policy and Guidance Updated Draft	Oct 1999	Policy Guidelines
	Draft Standard for Retention of Electronic Mail Public Records	N/A	Policy Guidelines
Wyoming	State of Wyoming Electronic Mail Policy	Dec 1999	Policy Guidelines

Appendix 2. Agency E-mail Retention, Expiration, and Archiving Practices as of April 4, 2008.

Agency	Post Office Domain	E-mail Retention	E-mail Expiration Policy	E-mail Archiving
Ogden Regional Center	ASOGDEN.ORC1	14 Day Reload	Cleanup Mail, Calendar 120 Days / Expire/Reduce All Items 90 Days	No Solution
Provo Regional Center	PRDOMAIN.PRMAIN	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Administrative Services	DOMAIN-A.POA1	14 Day Reload	Cleanup Calendar 365 Days	No Solution
Agriculture and Food	DOMAIN-A.POA3	14 Day Reload	Cleanup Calendar 365 Days	No Solution
AGRC	DOMAIN-A.POA1	14 Day Reload	Cleanup Calendar 365 Days	No Solution
Alcoholic Beverage Control	ASPOSUPT.ABCMAIN		Expire/Reduce All Items 240 Days (Scheduled Event)	No Solution
Board of Pardons	BPDOMAIN.BPMAIN	14 Day Reload (trial)	Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	BRCMRC.BRDOPL		No Expire/Reduce Event Scheduled	No Solution
Commerce	BRCMRC.BRMAIN		No Expire/Reduce Event Scheduled	No Solution
Community and Culture	DOMAIN-A.POA2	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Corrections	CRCUCFDO.CRPBEPO	180 Day	Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRCUCFDO.CRCEDPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRCUCFDO.CRCUCFPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRCUCFDO.CRFIPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRCUCFDO.CRMOPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution

Agency	Post Office Domain	E-mail Retention	E-mail Expiration Policy	E-mail Archiving
	CRCUCFDO.CRPRPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRCUCFDO.CRIPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRCUCFDO.CRROPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRCUCFDO.CRSTGPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRCUCFDO.CRVEPO		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRDEPTDO.CRBRIG		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRDEPTDO.CRDEPT		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRDEPTDO.CRFARM		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRDEPTDO.CRGROUP		No Expire/Reduce Event Scheduled	No Solution
	CRDEPTDO.CRLOGAN		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRSLCDO.CRBON		No Expire/Reduce Event Scheduled	No Solution
	CRSLCDO.CRFRE		No Expire/Reduce Event Scheduled	No Solution
	CRSLCDO.CRNUT		No Expire/Reduce Event Scheduled	No Solution
	CRSLCDO.CRORA		No Expire/Reduce Event Scheduled	No Solution
	CRSLCDO.CRSLC		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRSLCDO.CRTOO		No Expire/Reduce Event Scheduled	No Solution
	CRTRNDO.CRTRNRM		Expire/Reduce All Items 1 Day (Scheduled Event)	No Solution

Agency	Post Office Domain	E-mail Retention	E-mail Expiration Policy	E-mail Archiving
	CRUSPDO.CRUC12		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
	CRUSPDO.CRUSP		Expire/Reduce All Items 180 Days (Scheduled Event)	No Solution
Environmental Quality	EQDOMAIN.	14 Day Reload (trial)	No Expire/Reduce Event Scheduled	No Solution
Financial Institutions	DOMAIN-A.POA2	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Governor's Office	GVDOMAIN	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Governor's Office of Economic Development	DOMAIN-A.POA2	14 Day Reload	Cleanup Calendar 365 Days	No Solution
Health	HLDOMAIN.HL44MED	14 Day Reload (trial)	Cleanup Mail, Calendar 250 Days	No Solution
	HLDOMAIN.HLDOH		Expire/Reduce All Items 90 Days (Scheduled Event)	No Solution
	HLDOMAIN.HLLHD		No Expire/Reduce Event Scheduled	No Solution
Human Resource Management	DOMAIN-A.POA2	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Human Services	HSADMIN.HSADMIN1	180 days	No Expire/Reduce Event Scheduled	No Solution
	HSADMIN.HSCREGION		No Expire/Reduce Event Scheduled	No Solution
	HSADMIN.HSNREGION		No Expire/Reduce Event Scheduled	No Solution
	HSADMIN.HSPSUPPORT		No Expire/Reduce Event Scheduled	No Solution
	HSADMIN.HSSREGION		No Expire/Reduce Event Scheduled	No Solution
	HSCNTRL.HSCOTTON		No Expire/Reduce Event Scheduled	No Solution

Agency	Post Office Domain	E-mail Retention	E-mail Expiration Policy	E-mail Archiving
	HSCNTRL.HSFAM		No Expire/Reduce Event Scheduled	No Solution
	HSCNTRL.HSHOLLAND		No Expire/Reduce Event Scheduled	No Solution
	HSCNTRL.HSORS		No Expire/Reduce Event Scheduled	No Solution
	HSCNTRL.HSYCSLD		No Expire/Reduce Event Scheduled	No Solution
	HSEAST.HSBLANDI		No Expire/Reduce Event Scheduled	No Solution
	HSEAST.HSMOAB		No Expire/Reduce Event Scheduled	No Solution
	HSNORTH.HSCLR		No Expire/Reduce Event Scheduled	No Solution
	HSNORTH.HSOGDCFS		No Expire/Reduce Event Scheduled	No Solution
	HSWEST.HSCEDAR		No Expire/Reduce Event Scheduled	No Solution
	HSWEST.HSDC		No Expire/Reduce Event Scheduled	No Solution
	HSWEST.HSSTGDFS		No Expire/Reduce Event Scheduled	No Solution
	HSWEST.HSSTH		No Expire/Reduce Event Scheduled	No Solution
Insurance	DOMAIN-A.POA2	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Labor Commission	ICDOMAIN.ICMAIN		No Expire/Reduce Event Scheduled	No Solution
National Guard	NGDOMAIN.NGMAIN		No Expire/Reduce Event Scheduled	No Solution
Natural Resources	NRDOMAIN.NRMAIN	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Public Safety	PSDOMAIN.PSMAIN	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution

Agency	Post Office Domain	E-mail Retention	E-mail Expiration Policy	E-mail Archiving
	PSDOMAIN.PSCEM	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Public Service Commission	ASPOSUPT.PUPSC	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
Tax Commission	TXDOMAIN.TXAUDIT		No Expire/Reduce Event Scheduled	No Solution
	TXDOMAIN.TXCOLL		No Expire/Reduce Event Scheduled	No Solution
	TXDOMAIN.TXMV		No Expire/Reduce Event Scheduled	No Solution
	TXDOMAIN.TXNET1		No Expire/Reduce Event Scheduled	No Solution
	TXDOMAIN.TXOPER		No Expire/Reduce Event Scheduled	No Solution
	TXDOMAIN.TXP01		No Expire/Reduce Event Scheduled	No Solution
Transportation	SRDOMAIN.SRC0P01	120 Days	Cleanup Mail, Calendar 120 Days Set Per User	No Solution
	SRDOMAIN.SRLHP01		Cleanup Mail, Calendar 120 Days Set Per User	No Solution
	SRDOMAIN.SRR1P01		Cleanup Mail, Calendar 120 Days Set Per User	No Solution
	SRDOMAIN.SRR2P01		Cleanup Mail, Calendar 120 Days Set Per User	No Solution
	SRDOMAIN.SRR3P01		Cleanup Mail, Calendar 120 Days Set Per User	No Solution
	SRDOMAIN.SRR4PO1		Cleanup Mail, Calendar 120 Days Set Per User	No Solution
	SRDOMAIN.SRTCP01		Cleanup Mail, Calendar 120 Days Set Per User	No Solution
Workforce Services	WSADMIN.WSADMPO	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSATELPO		No Expire/Reduce Event Scheduled	No Solution

Agency	Post Office Domain	E-mail Retention	E-mail Expiration Policy	E-mail Archiving
	WSADMIN.WSCDT		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSWSCESCPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSMETROPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSCMIDV		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSCSA		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSCSCTY		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSCWEST		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSECASTLEPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.EPRICEPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSEROSPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSEVRNPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSEVRNPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSMAMERFRK		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSMPRVN		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSNBRC		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSNLGNYC		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSNLOGAN		No Expire/Reduce Event Scheduled	No Solution

Agency	Post Office Domain	E-mail Retention	E-mail Expiration Policy	E-mail Archiving
	WSADMIN.WSWSNOGDENPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSNROYPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.NWSK		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSWCEDPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSWMTIPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSWRCHPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSWSTGPO		No Expire/Reduce Event Scheduled	No Solution
	WSADMIN.WSXTEST		No Expire/Reduce Event Scheduled	No Solution
Other Agencies not Included in the CIO Statute				
Courts				
Legislature	LEDOMAIN.LEAUDIT		No Expire/Reduce Event Scheduled	No Solution
	LEDOMAIN.LEHOUSE	14 Day Reload	No Expire/Reduce Event Scheduled	
	LEDOMAIN.LEINTERN		No Expire/Reduce Event Scheduled	
	LEDOMAIN.LELFA		No Expire/Reduce Event Scheduled	
	LEDOMAIN.LELRGC		No Expire/Reduce Event Scheduled	
SITLA	ASPOSUPT.TLMAIN		No Expire/Reduce Event Scheduled	Nexic Discovery/Tivoli

Agency	Post Office Domain	E-mail Retention	E-mail Expiration Policy	E-mail Archiving
	ASPOSUPT.TLMOAB		No Expire/Reduce Event Scheduled	
	ASPOSUPT.TLRICH		No Expire/Reduce Event Scheduled	
	ASPOSTUP.TLSTGEO		No Expire/Reduce Event Scheduled	
State Attorney General	ATDOMAIN.ATCAP01		No Expire/Reduce Event Scheduled	No Solution
	ATDOMAIN.ATKEY01		No Expire/Reduce Event Scheduled	
	ATDOMAIN.ATLIT01		No Expire/Reduce Event Scheduled	
	ATDOMAIN.ATMAIN		No Expire/Reduce Event Scheduled	
	ATDOAMIN.ATMED		No Expire/Reduce Event Scheduled	
	ATDOMAN.PROVOCP		No Expire/Reduce Event Scheduled	
State Auditor	SADOMAINSAAUDIT	14 Day Reload	No Expire/Reduce Event Scheduled	No Solution
State Office of Education	Outlook Post Office	Not Available	Not Available	