



North Carolina Department of Natural and Cultural Resources

PAT McCRORY, Governor

SUSAN KLUTTZ, Secretary

TO: Nancy Melley, National Historical Publications and Records Commission

FROM: Kelly Eubank, Project Director, Digital Services

SUBJECT: NAR15-RG-50005-15—Transforming Online Mail with Embedded Semantics Collaborative Project

The Transforming Online Mail with Embedded Semantics Collaborative Project is a multi-state, multi-part collaborative initiative to identify state positions by function that are responsible for generating or receiving archival email, develop methodologies to move archival email accounts out of their native system, and to develop predictive coding and libraries to assist archivists' process that mail and make it available. The project team includes Kelly Eubank, Jeremy Gibson, and Camille TyndallWatson (NC), Elizabeth Perkes (UT), and Joanna Hammerschmidt (KS) with staff from the Library of Virginia contributing and offering their insight and experiences. The project also has an advisory committee—Cal Lee, University of North Carolina at Chapel Hill and Chris Prom, University of Indiana at Urbana Champaign.

Information Technology Environment

The three states involved in this project have different technology environments. The state of Utah uses Google mail (Gmail) as their mail provider. Kansas has a variety of email technologies and is not currently centralized on their platform. They are in the process of moving to Office365 as a hosted platform for their email provider.

The state of North Carolina state government uses Office365 for its email services. Office365, a centralized e-mail solution managed by the Department of Information Technology (NCDIT). The service is hosted and managed by Microsoft offsite and includes an email archiving solution with rules that can be implemented to delete emails once retention has been met.

In the past year, a number of initiatives occurred in NC. Legislative actions consolidated a number of agencies—North Carolina Department of Cultural Resources and North Carolina Department of Environment and Natural Resources to create the North Carolina Department of Natural and Cultural Resources (DNCR). Additionally, the North Carolina Department of Information Technology (NCDIT) was promoted to a department level agency and information technology services are in the process of being consolidated. In the past year, DIT has been in the process of moving archived email account from Mimosa Nearpoint into Office365 as support for Mimosa is no longer available. To date, NCDIT has moved over 346 TB of email messages into Office365. None of the email has been destroyed and currently is on

“Legal hold”. During the course of the migration, DIT discovered that information from some emails within email accounts are no longer readable. The header information is still available but the body of the message itself is corrupt. Currently, DIT is working with NCDNCR and other state agencies to determine the next course of action with regards to this data.

The Utah State Archives uses AXAEM, Archives Enterprise Manager, an open source software tool that uses the APPX engine. The software is a life cycle management tool that allows Archives to produce records retention and disposition schedules, accessioning, catalog records, finding aids, and space management for paper records. Additionally, it has some limited digital preservation capabilities. It was developed by UT to manage their holdings and integrate their records in order to promote efficiency and have data stored in one tool rather than having multiple tools in separate databases. AXAEM can process mbox formatted email accounts and breaks each email into the .eml format and stores it as an .eml file.

The team met with the advisory group—Dr. Cal Lee and Chris Prom—to discuss deliverables and expectations. The advisory group spoke to some of the other technologies in development. At the time of the meeting, ePADD was still in development and neither could comment about its current iteration.

SANC staff also met with staff from UNC Chapel Hill’s University Archives. The University Archivist is interested in deploying a Capstone like approach to campus email accounts. He wanted to discuss the implications regarding the schedule and to learn more about how we are approaching the issue. We discussed the forms and agreed that we were open to looking at changing the University Records Schedule to reflect the change in approach.

Deliverables:

Deliverable #1: Design a Methodology for Identifying Position in State Government whose email is designated as archival (based on the NARA Capstone account approach)

Staff from the State Archives of North Carolina (SANC) spent the first period of the grant research and investigating different tools and solutions from others working in the space of the retention of email as well as its preservation. Staff attended and participated in a Records Management Roundtable discussion from the Society of American Archivists. The roundtable featured staff from the University of Illinois discussing their work with eDiscovery tools. Additionally, staff further investigated ePADD to see how it works and what may apply to this grant. Staff also tested third party tools (Preservica) as well as open-source tools (BitCurator) to research how they treat email files as Microsoft’s .pst format is the preferred container for ingest.

Transfer of significant email accounts happen on a periodic basis from an agency to SANC. Typically, accounts are identified as staff becomes aware of the exit in key personnel in different state agencies. SANC staff collaborate internally with their information technology group (DNCR-IT) as well as with staff from Unified Communications from DIT to develop a workflow for the transfer of email accounts. The custodian of the email account (agency) retains control of the account and must provide permission for the account to transfer. DIT maintains the account, but does not have authority to transfer the accounts without agency permissions. SANC and DIT staff developed a preliminary workflow to accommodate the transfer that included seeking agency permission to transfer them to SANC.

Identifying Archival Accounts

SANC has been successful transferring archival emails in the past in part because multiple staff members are diligent about keeping up with who left government employment. Unfortunately, this methodology is not feasible today as people change roles and positions frequently and media coverage declined.

In order to address this need, SANC staff reviewed and modified the NARA Capstone form used to identify positions by function who produce or receive archival email. The Capstone approach focuses on executive level positions within government. At the same time, the TOMES team recognized that there are also positions that may not be at the executive level but that may produce or receive email messages that are archival as well due to the regulatory nature of their position.

In order to address these different scenarios, SANC staff met weekly to discuss the deliverables and how to best accomplish those goals. Staff started working with the Capstone guidance and forms developed by the National Archives and Records Administration. Building from that, staff did research on what other factors may affect appraisal of e-mail accounts. Staff looked at regulatory requirements, state requirements and developed a list of high level categories that had statewide impact. From these meetings, Government Records Section staff developed a series of three forms (addendum A, B, C). The first form is focused on executive level roles that may produce or receive archival email. The second form focuses on identifying those roles that are not executive, but may create or receive archival email. The third form focuses on identifying inactive accounts that belonged to a position in one of these roles so that we may be able to address the retention and disposition of these accounts. And, because the state recently moved its "email archives" from Nearpoint to Office365, we have a unique potential opportunity to identify former employees who held these identified roles in order to transfer those accounts.

The team decided to engage a focus group to review the forms and provide feedback on them. The team wanted to ensure that the forms were not overly complicated, conveyed clearly the intentions of SANC, and could be completed by agencies. The focus group consisted of chief records officers as well as IT managers. The outreach proved to be really successful and helped staff to refine the forms and the messaging associated with those. Separately, staff engaged the Chief Information Officers Council as well as the Chief Records Officers to present the project and ask for their help to accomplish the goals of the project.

A smaller group of staff met to set deadlines for sending the forms to the agencies and to develop the messaging for the forms. Messaging included information about the project, why we were doing this and under what authorization, and a timeline so that CROs would know the deadlines for feedback (addendum D and E). Staff also produced a training video on the forms and included that in the messaging sent out-- <https://www.youtube.com/embed/UA0-0BSwo4U>. This first 6 months, we have sent out the first form to identify high level positions that may produce or receive archival email and had a great response to that form. We proceeded to send form two (identify those roles that are not high level management but may send or receive archival emails) but have not been as successful. The initial review of positions seems to be very straight forward. The more nuanced roles that are not at the executive level seem to present more of a challenge. We are currently following up with agencies.

Possible “Tagging” Workflow

In NC, we have several scenarios—how do we identify and mark current archival accounts, how do we develop a workflow for future accounts, and how do we address the inactive archival accounts. NC staff met regularly with the staff of Unified Communications from the Department of Information Technology (DIT). As a partner in NC, they are aware that some accounts (to be identified) will need to be transferred to the State Archives. We have been trying to determine how we can leverage technology to ensure that those accounts are preserved. Initially, we will use the legal hold feature available through Office365. In doing so, none of the data can be deleted until/unless the legal hold is removed. While in this status, we will determine how to best transfer the accounts.

Identifying current accounts

SANC discussed how to best identify positions. Finding titles is fairly easy as most agencies have their organizational chart on the web and we have retention schedules. Additionally, the state uses BEACON, an enterprise-wide human resources/benefits system that manages employee roles, employee times and workplans/evaluations. Within this system, each position is assigned a unique position number. Currently, SANC and DIT staff are pursuing the idea of using the position as the starting point for this process. Essentially, Office365 has some features that may allow us to assign a role to an account (tag it) based on the position number of the person. In doing so, the account would be put on legal hold until it is appropriate for it to transfer (change in administration/ change in employees in a certain role, etc.) SANC staff met with DIT staff from Unified Communications and BEACON to discuss the feasibility of leveraging the technologies. It seems like this may be a possibility and we will explore it in the next six months. It is also possible that we could have the “tagging” added to the workflow when an employee is hired. In the next six months, we will be talking with the Office of State Human Resources to discuss how this might work. We will also continue to reach out to agencies, IT managers, and CROs to gather as much information about positions, inactive and current email accounts.

Utah

The state of Utah drafted a formal policy for *Acquiring Executive Email* in July 2015. (addendum F) The policy assigns roles to both the agencies and the analysts at the Utah State Archives. The policy states that the agency must contact their chief records officer when an executive leaves his position within 60 days of the person leaving. Email accounts are deleted 60 days after a person leaves per the contract with Gmail. By preserving these emails, State Archives will further meet its mandate to administer the state’s records management programs.

The definition of what constitutes executive correspondence is contained within the general retention schedule (<http://archives.utah.gov/recordsmanagement/grs/stgrs-4-active.html#28477>, copied below). This type of correspondence is created by those who have decision-making authority, which include department directors, division directors, and sometimes deputy directors or others who are influential in policy-making process. The Archives generally only harvests email accounts when such a person has left their position, although such harvests could take place more frequently if desired. Notification of personnel changes come through word-of-mouth when interacting with agency records officers, as well

as newspaper articles. One staff member's specific job duty is to monitor news outlets for such information.

Possible Methodologies for Transferring Emails

North Carolina

DIT provisioned an eDiscovery license of Office365 for use by SANC staff. SANC staff received training on the tool and will use it pull material to transfer from Office365 cloud storage to SANC-hosted storage. The tool allows staff to identify materials, create search cases, place holds for permanent or long-term retention, and export Microsoft .pst files of the selected content with .csv reports on the export that include a list of messages, an audit trail, and errors. The Microsoft .pst file will be the file format used to transfer archival email. We anticipate using this tool to identify records and export .pst files for transfer, as well as to test to determine if there are issues with file sizes or number of items in one single file. According to msoutlook.info, Outlook 2007 and later, are coded in Unicode and can support larger file sizes and items up to 50GB and not experience performance or corruption issues.¹ During this six month period, SANC staff worked with DIT staff to identify email accounts from the administration of Gov. Bev Perdue (2009-2013) and have them assigned to our eDiscovery license to begin testing processes and workflows in the tool. Staff is currently working through challenges with accounts as DIT began assigning accounts to our instance—inaccurate reporting of names or active accounts for which the individual moved from a Capstone position to a non-Capstone position but maintains the same email account. During the next six months, we will work to extract those accounts from Office365 and transfer them to SANC.

Utah

In UT, The Department of Technology Services (DTS) manages the state's contract with Google to provide email services through Gmail. Employees are assigned Gmail accounts when they enter state employment. When a determination has been made to harvest an email account, permission is obtained from the agency, and a formal request to harvest is made to the state's Department of Technology Services (DTS). Then DTS uses the tools it has available, including AXAEM, to do the actual harvest. Since DTS has the ability to reset passwords, this is a more secure procedure than having the agency provide the Archives with an account's password and having Archives staff use their copy of AXAEM directly to obtain the email. After harvest, DTS then uploads the files to the Archives' requester's PC, after which it is placed in a holding location on the Archives' server until ready for full processing and ingest into AXAEM's preservation system. To date, the records of several state agencies have been harvested. For the most part, local government email accounts have not been transferred.

¹ "Recommended Pst-/ost-file Size vs. Maximum Technical Size." MSOutlook.info. Accessed April 21, 2016. <http://www.msoutlook.info/question/852>.

Deliverable #2: Produce a cross platform .pst to EAXS XML parser

NC Archives staff worked with the North Carolina Department of Natural and Cultural Resources Information Technology staff (DNCR-IT) to set up a virtual machine to mount Exchange Server 2003 and the EMCAP software. This took quite some time to do as consolidation within the agency took priority and getting permission from DIT. It is now installed and staff is reviewing to see what can/should be repurposed and updated.

SANC staff also began looking at the XML preservation schema originally developed with the staff of the Smithsonian Institution Archives in 2006 (http://www.history.ncdcr.gov/SHRAB/ar/emailpreservation/mail-account/mail-account_single.xsd). The schema was developed to include the content, context, and structure of an email account. When transformed, large .pst files result in large XML files which makes it search and access extremely difficult. The NC staff researched the possibility of moving to a schema based on the .eml file for email and then find a way to tie those singular .xml files together. By moving to individual xml files, the ability to discover and access them becomes much easier. However, providing the context and structure becomes a challenge.

In April, SANC staff also met with staff from the Smithsonian Institution Archives (SIA) via teleconference to discuss the schema and possible changes. SIA moved away from the CERP parser and developed Dark Mail, a JavaScript tool that forces a break in the account at approximately ten thousand emails. Every ten thousand emails, the tool creates a new file with the same root name but with different numbering sequence appended to it. SANC is now evaluating the tool to see if it serves our purpose or if it is something we may decide to build on. SIA staff is currently writing documentation and intend to load the code to GitHub or a similar site to make the tool available.

Administration:

SANC staff set up the budget for this grant with the budget office at NCDNCR. The digital archivist began working with DNCR-IT to create a website to host materials from this grant. The state of NC is moving onto a branded Drupal platform. This in addition to consolidation efforts has slowed down the development of this site but it should be resolved in the 6 months.



ASSESSMENT OF EMAILS FOR PERMANENT RETENTION PART 1

Agency: _____

Emails from the individuals identified below are records of significant historical value and are to be retained permanently. These individuals are high-level, senior officials in your agency.

For each individual identified below, please list the email accounts of all predecessors in that role since January 2011.

- 1. The head of the agency, such as the secretary, commissioner, Council of State member, superintendent, director, president, or equivalent.** The very top executive of the agency. Most agencies will have one position for this category, although the one position may have multiple email accounts.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION



2. Principal assistants to the head of the agency (second tier of management), such as assistant and deputy secretaries, deputy directors, commissioners, assistant and deputy commissioners, and/or their equivalents. The number of positions at this level will vary greatly from agency to agency. Some agencies will have only one, while others may have multiple.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION



ASSESSMENT OF EMAILS FOR PERMANENT RETENTION PART 2

Agency: _____

Please list below the individuals in the suggested roles and positions who you believe are routinely using email to document the core functions and programs of your agency. Core functions or programs are those that directly support your agency’s goals and/or mission statements and serve significant populations and/or geographic areas. Consider individuals who are on governing boards, conduct research supporting core programs, oversee outreach and/or educational efforts, manage time-limited projects with agency-wide impact, capture the history of core programs, or are responsible for communicating the accomplishments of these programs. If these email accounts are not already listed under categories 1-5, please list under category 6.

If the emails generated by individuals listed below are already being captured by the email account of an agency executive listed on the Part 1 form you already completed, including instances where the agency executive has been copied on these emails, it is not necessary to list those individuals here. Your agency may not have positions in every category.

For each individual identified below, please list the email accounts of all predecessors in that role since January 2011.

- 1. Staff assistants to heads of agencies and their deputies, such as special assistants, executive assistants, and/or aides.** Important work is often carried out by special assistants, aides, executive assistants, etc. They may send email on behalf of senior officials and/or their email account contains email closely related to the responsibilities and actions of the senior officials they support.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION



Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION

2. Principal management positions, such as chief operating officer, chief information officer, chief technology officer, chief financial officer, and/or their equivalents. These positions tend to be those executives who have operational and management responsibilities within an agency. These positions may be required by statute. For some agencies, these positions may already be covered by other categories.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION



3. **Supervisors and heads of significant divisions, branches, sections, and units.** Those supervisors oversee and manage major program offices or lines of business that support the agency mission. For some agencies, these positions may already be covered by other categories.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION



4. Roles or positions that routinely and directly advise the above positions, including special advisers, general counsel, chiefs of staff, deputy chiefs of staff, etc. Many management positions routinely provide advice and oversight to the agency in the course of daily business and are involved in mission-related policy formulation, implementation, and/or interpretation. This may include general program oversight, legal protection and oversight, and daily operations and management. This does not include those who advise on purely administrative issues.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION



5. Roles or positions with regulatory approval, regulatory sign-off, and rulemaking responsibilities, such as rule-making coordinator.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION



6. Additional positions proposed for inclusion. These represent additional roles and positions within the agency that predominantly create records with archival value, according to the agency's program records schedule. This may include public information officers and program administrators; members of boards, commissions, committees, councils, and task forces; and staff in lower level (non-senior) positions.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION



ASSESSMENT OF EMAILS FOR PERMANENT RETENTION PART 3

Agency: _____

Please identify positions that create official records that document agency policies and decisions related to any of the programs or subjects listed below. These programs or subjects are not represented in the accounts of personnel already listed on Parts 1 and 2 but still may need to be retained permanently. Please note: if emails that document the programs or subjects listed below are already being captured by the email account of an agency position listed on the Parts 1 or 2 forms, including instances where the agency executive has been copied on these emails, it is not necessary to list those positions here. For each individual identified below, please list the email accounts of all predecessors in that role since January 2011.

Possible email subjects with archival value:

1. Major agency policies
2. Formulation of rules and monitoring standards (e.g., Administrative Code)
3. Events, incidents, and situations that required a prolonged response involving multiple agencies and led or had the potential to lead to large-scale loss of life, severe damage to lands and property, or major disruption of the state's infrastructure
4. Direction and planning of the core program(s) of your agency
5. Cooperation with external state and/or federal agencies
6. Construction and real property transactions
7. Major public events, such as the State Fair, First Flight Centennial, inaugurations, etc.
8. History of the state of North Carolina
9. Advocacy for minorities, such as Indian tribes
10. Certification, commissioning, etc.
11. Management of assets held in public trust for the people of North Carolina – e.g. state parks, historic sites, artifacts, archival materials, etc.
12. Evaluation of rules created by other agencies, where the agency is an established part of the rule review process

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	ARCHIVAL SUBJECT MATTER (insert number from list above)	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION



Possible email subjects with archival value:

1. Major agency policies
2. Formulation of rules and monitoring standards (e.g., Administrative Code)
3. Events, incidents, and situations that required a prolonged response involving multiple agencies and led or had the potential to lead to large-scale loss of life, severe damage to lands and property, or major disruption of the state's infrastructure
4. Direction and planning of the core program(s) of your agency
5. Cooperation with external state and/or federal agencies
6. Construction and real property transactions
7. Major public events, such as the State Fair, First Flight Centennial, inaugurations, etc.
8. History of the state of North Carolina
9. Advocacy for minorities, such as Indian tribes
10. Certification, commissioning, etc.
11. Management of assets held in public trust for the people of North Carolina – e.g. state parks, historic sites, artifacts, archival materials, etc.
12. Evaluation of rules created by other agencies, where the agency is an established part of the rule review process

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	ARCHIVAL SUBJECT MATTER (insert number from list above)	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION

Dear CRO,

Thank you for completing and returning the Part 1 form of our Transforming Online Mail through Embedded Semantics (TOMES) project. Through this project, the Division of Archives and Records is engaging our stakeholders to determine what may be feasible for the identification and capture of permanent, archival email. We would like to stress that the information you share with us will not result in any immediate action. We will not use the information to begin collecting email accounts at this time; we are simply gathering information. Please be assured that we would not and could not transfer email to our agency without more in-depth conversations and without your agency's express permission.

Though we recognize that most archival email will be generated or received by a high-level position, we also acknowledge that there are some roles that are not part of that executive structure who also create archival emails. The attached document focuses on roles and positions that are commonly tied to core functions and programs within your agency. Core functions or programs are those that directly support your agency's goals and/or mission statements and serve significant populations and/or geographic areas. We request that you complete this form and return it to me for review. When filling out this form, consider individuals who serve on governing boards, conduct research supporting core programs, oversee outreach and/or educational efforts, manage time-limited projects with agency-wide impact, capture the history of core programs, or are responsible for communicating the accomplishments of these programs.

I have provided some examples of individuals within your agency whose roles may fit into the categories; however, keep in mind that there may be additional positions fitting into these categories of which I am not aware. Your agency may not have positions in every category. In addition, it could be that as a result of your record creation practices, these individuals may not generate archival email that is not already captured in one of the accounts you listed on the Part 1 form.

If you need additional information on the TOMES project or want a quick refresher on the types of information we need for each position on the forms, I direct your attention to our 7-minute online tutorial, which may be found here: <https://www.youtube.com/embed/UA0-0BSwo4U>. **Please complete and return the attached Part 2 form by Friday, April 8th.** Once again, thank you for your assistance in this project. If you have questions or want to further discuss this project, please contact me. We also have a list of frequently asked questions we put together that we are happy to send you if you want.

ACQUIRING EXECUTIVE EMAIL

July draft 2015

POLICY: The Utah Division of Archives and Records Service is mandated to administer the state's archives and records management programs (Utah Code 63A-12-101(2)(a)(2010)). Part of an effective records management program is to preserve records of enduring value. To that end, the State Archives collaborates with agency records officers and the Department of Technology Services (DTS) to collect and preserve the executive electronic correspondence of Utah government executives. Executive correspondence often provides unique information relating to the agency's functions, policies, procedures, programs, or decisions made during the executive's tenure, and therefore has enduring value. By preserving these emails, State Archives will further meet its mandate to administer the state's records management programs.

RESPONSIBILITY ACTION

ANALYST When government agency executives leave their positions, notify the affected entity's records officer that the State Archives is interested in acquiring the executive's email, as described in the executive correspondence general schedule. Provide the records officer with an electronic record transfer sheet. Email accounts are deleted by the Department of Technology Services (at the request of the Department of Human Resource Management) sixty days after the employee leaves his/her position; therefore, it is urgent that a request for the email be submitted to DTS before that deadline.

ANALYST Identify or create a series-specific retention schedule for executive correspondence for the applicable entity. Notify the processing department that the agency has been contacted and to expect the records.

RECORDS OFFICER Submit an electronic records transfer sheet to the State Archives' records analyst.

ANALYST Access and complete the Security Request Form found on the DTS website or have the records officer of the government agency complete the form, if preferred. Under Special Instructions, make it clear that the records need to be transferred to the State Archives, not the requesting agency. Also provide contact information for the analyst who will be working with DTS to upload the records.

- RECORDS OFFICER Obtain approval and signatures from agency supervisor and director on the Security Request Form.
- ANALYST Create a new incident on the Department of Technology Services website, requesting that the email be transferred to the State Archives. Attach the Security Request Form to the incident submission. This can also be done by the records officer, if preferred.
- DTS Investigations office reviews the security request and either approves or denies it. If approved, a DTS employee will contact the records analyst to arrange the transfer of the requested email to the analyst's computer. EML format is preferred.
- ANALYST Once the email is uploaded to the analyst's computer, move the files to the shared network drive. The specific location is H:\Arrangement and Description\Electronic Acquisitions_Email Accounts. Notify the processing department that the records have been acquired.