

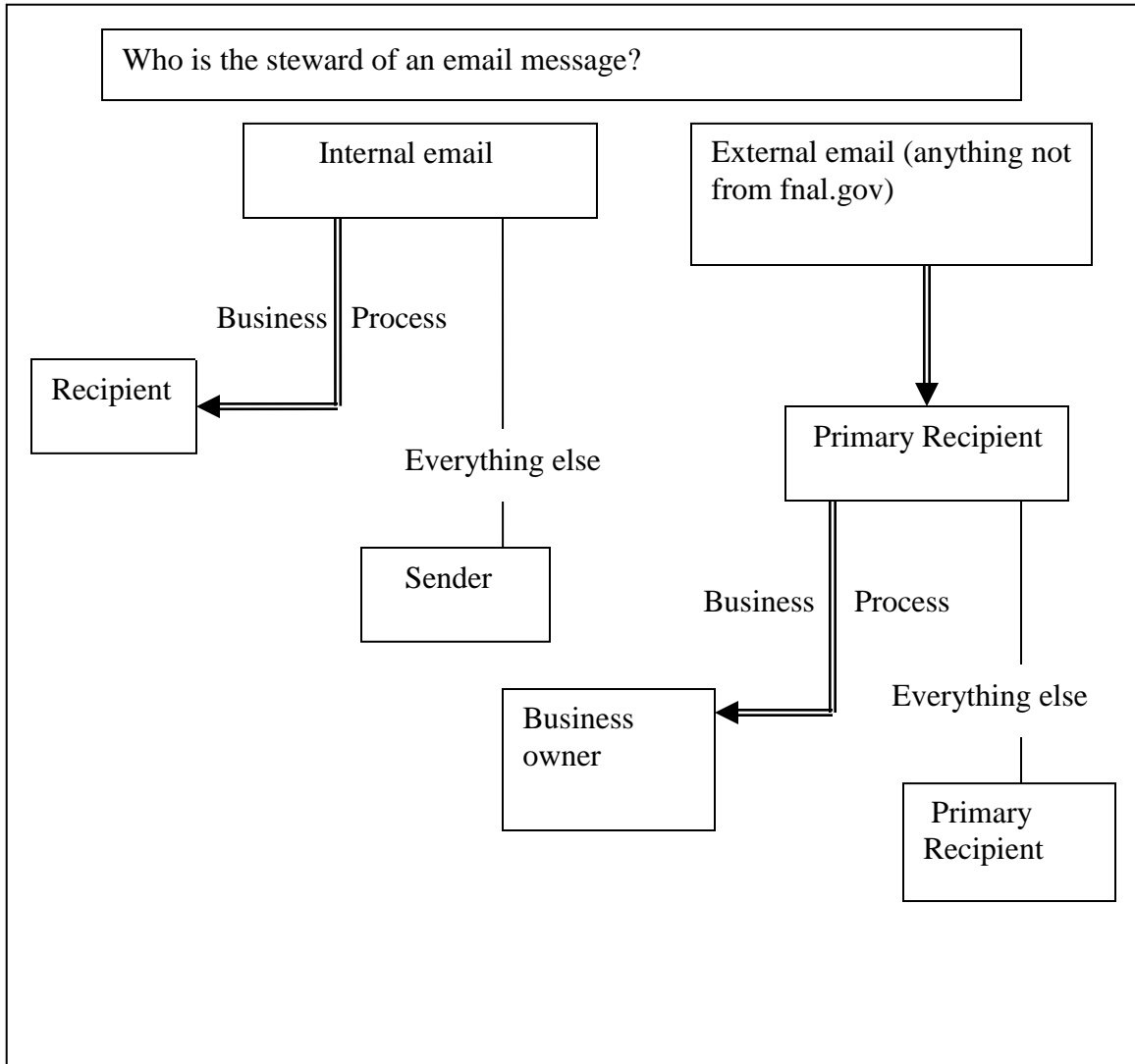
Fermilab Email Records Procedures

Purpose: This document provides guidance on how to handle Fermilab records (*See record definition in Policy*) created or received in the email system, as the email system is not a record archive and records cannot be stored in it. These procedures are designed to place minimal burden on staff while fulfilling the requirement of the Fermilab Records Management Program (FRMP). Although email is an important communication tool at Fermilab, the vast majority of email requires no special handling. However, all email will go through a two step process to first identify the email steward, who is responsible for making the determination as to whether or not this particular piece of email needs to be processed as a record), and second for the steward to manage the resulting record if necessary.

Email Steward Determination: This person has responsibility for deciding if the email needs to be processed as a record and, if so, managing the resulting record. Typically the steward is the sender of the email, or the recipient if the email comes from outside Fermilab. Occasionally there might be multiple stewards for externally originating email.

1. For internal mail (from fnal.gov) the sender is the steward unless an established business practice makes the recipient the steward. These established business practices will be listed in the FRMP Handbook. An example is accounting information sent to the Finance Section; for those cases business practices will specify the individual in the Finance Section who acts as the steward.

2. For external mail (from outside fnal.gov), the primary recipient is the steward unless an established business practice dictates the primary recipient should forward the email to another recipient. In that case this secondary recipient becomes the email steward. [These established business practices will be listed in the FRMP Handbook.] An example is some sort of legal issue such as a subpoena that is emailed to a random laboratory employee. Such email would be forwarded to the Lab's Legal Office, which then becomes the steward.



Record Processing: The email steward will determine if the email would constitute a record, using the criteria given in the Fermilab Records Management Program Handbook. If so, the steward becomes the owner of the record and is responsible for creating a record containing this information, in either paper or electronic form, as described below. However, if the steward recognizes that according to established business practices another person should be the owner of the record, then the steward should forward it to that person.

Three Types of Email:

1. **Record:** Defined in the Policy. Examples of records may include policy and procedure activities, contract and subcontract negotiation and administration, legal matters, administration of research, and administration of facility operations. The email system is **not** an archival repository and records may not be stored there.

ACTION: Enter email (include headers and any attachments) in the record storage system using one of the following methods and combine with other related records and retain according to DOE schedule:

- a) may print out and keep in a file with other related papers
- b) if an electronic document management system exists store it there¹

These, like all records, should be clearly labeled and findable. File custodian is responsible for making sure every record is scheduled (assigned a disposition date based on DOE rules).

2. **Transitory Record:** e.g. routine Fermilab-related requests and notices.

ACTION: Delete immediately or when no longer needed for reference, typically within 180 days.

3. **Non-Record:** e.g. personal email, subscribed news headlines and mailing lists.

ACTION: delete as soon as no longer needed.

Personally Identifiable Information:

If storing in electronic form, always think about who can access records. PII must **not** be stored electronically except in explicitly authorized systems. More information can be found at the Computing Division PII website:

<http://security.fnal.gov/Policies/PII%20Procedures-final-clean.htm>

Email Practice:

In order to facilitate the FRMP the following practices are recommended:

- a) **Business/Personal:** As Fermilab email can be stored as a record, do not include non-work asides in work-related email. Send a separate email.
- b) Subject line should give as complete a description as practical.

Training: All staff will receive training every three years on Records Management.

Further Information:

- a) Your Division/Section Records Coordinator.
- b) Fermilab Records Management Program website <http://bss.fnal.gov/records>
- c) NARA Regulations for Electronic Mail Records.

¹ This is required by DOE in 2010 according to 4.g of the proposed O243.1a, sent out for comment on May 9, 2008 by John Davenport, intended to replace O243.1. By 2010, maintain electronic records in an approved records management application that meets the functional requirements of DoD 5015.2, "Electronic Records Management Software Application Design Criteria".