

DEPARTMENT OF THE ARMY
Corps of Engineers, Northwestern Division
P.O. Box 2870
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CENWD-IM
Regulation
No. 25-1-5

15 August 2001

Information Management
ELECTRONIC MAIL ADMINISTRATION AND MANAGEMENT

History. This issue is a revision of this regulation for the Northwestern Division (NWD).

Summary. This regulation updates organization and E-mail user responsibilities. Additional clarification on establishing and managing a group or private electronic mailbox has been provided for the reader. Guidance on personal use of a communication system has been addressed to include discussion on the types of information that may or may not be transmitted in the work place referenced in Appendix C. The regulation provides straightforward guidance on maintaining E-mail messages in hard (paper) copy. The practice of saving E-mail messages to a user's personal space on a server, personal computer hard drive, or to floppy disks, compact disks (CD), etc., is for the convenience of the user only and will not be used as a method of storing organizational records. The retention of backup media has been revised to include guidance on auto-deletions. The text includes an updated list of related and required publications and terms that provide additional clarification on E-mail administration and management. Hyperlinks to referenced publications have been included to assist with the reading and understanding of this regulation. All organizational elements are required to become familiar with and to follow the policies and procedures outlined in this regulation.

Local supplementation of this regulation is permitted but not required. If a supplement is issued, the district will provide two copies to U.S. Army Corps of Engineers, Northwestern Division, ATTN: CENWD-IM, P.O. Box 2870 Portland OR 97208-2870.

1. **PURPOSE.** The contents of this regulation provide policies and procedures for proper usage and management of private and group mailboxes by Corps employees and contractors to include minimum guidance on the use of the Internet during duty hours. The regulation provides guidance on transferring documents electronically. It outlines specific guidance for maintaining an E-mail message containing informational value that needs to be kept within an organization as a record. The regulation states why an organization is to perform E-mail backups and provides direction on retention and disposal of backup media. The regulation provides disposal time frame guidance for a District office configured to perform auto-deletions.

*This regulation supersedes NWDR 25-1-5, 27 February 1998; CENWD-NP-IM Memorandum, 12 January 1999, Subject: Use of Federal Government Communication Resources.

2. APPLICABILITY. This regulation applies to all Northwestern Division and Districts organizational levels.
3. REFERENCES. See Appendix A.
4. EXPLANATION OF TERMS. See Appendix B.
5. ELECTRONIC POST OFFICE. Each district will maintain an electronic post office that will send to and receive E-mail messages from the E-mail Center of Expertise located at Portland District. The post office will contain a directory of mailboxes for group (office symbol) and private (individual) message traffic. NWD sites will run Microsoft Exchange server-based post offices.
6. LOCAL MASTER DIRECTORY. X.500 Automatic Directory Synchronization. Each district will maintain a local master directory that contains the E-mail mailbox entries for all organizations as received from the X.500 automatic directory synchronization process. Each district will accept and process directory updates from eMail Sentinel/Exchange. Reference ER 25-1-101 <http://www.usace.army.mil/inet/usace-docs/eng-regs/er25-1-101/toc.htm>
7. RESPONSIBILITIES.
 - a. Each NWD Information Management Office will:
 - (1) Establish internal policies and/or procedures to implement this regulation.
 - (2) Appoint a Local Mail Coordinator (LMC), whose name will be furnished to the NWD Director of Information Management (CENWD-IM).
 - b. Headquarters Northwestern Division (HQNWD) and NWD District LMCs will:
 - (1) Coordinate with the US Army Corps of Engineers Mail Center of Expertise (CENWP-IM-IM) prior to implementation of system changes that may impact other systems (i.e., software version upgrade, gateway, or post office changes).
 - (2) Ensure available access of local E-mail post offices by way of Outlook Web Access server site.
 - (3) Upon request, establish group mailboxes for sending and receiving mail.
 - (4) Maintain mailboxes for field office organizations that have implemented E-mail.

(5) Remove E-mail messages from the system according to local guidelines (refer to paragraph 11 and 12).

c. Each Director and Office Chief at Division level; and each Chief, Division and Staff Office at District level will:

(1) Manage a group mailbox (referred to as an office symbol mailbox) for sending and receiving organizational mail to include operating procedures for daily reading of the mailbox.

(2) Designate individual(s) to manage the group mailbox according to ER 25-1-74 requirements <http://www.usace.army.mil/inet/usace-docs/eng-regs/er25-1-74/toc.htm>

(3) Provide the LMC with a point of contact (POC) who will have overall responsibility for the group mailbox. All organizational changes to the mailbox will be coordinated through the appointed POC. All organizational mailboxes must be in compliance with this regulation and the local office symbol directive.

(4) Ensure the organization is complying with guidance addressed in paragraph 11, printing hard (paper) copies of E-mail messages that are records, following the retention period addressed in AR 25-400-2, and soliciting guidance from the organization's records manager.

(5) Notify the local LMC in writing, paper or E-mail, when individual names are to be added or deleted from the directory, or when names, office symbols, and phone numbers need to be corrected or changed.

d. Corps Employees and Contractor Staff:

(1) The user will be encouraged to read incoming E-mail messages at least once a day when in the office, understanding that temporary duty or personal leave of absence for any length of time may prevent a daily review of the private mailbox.

(2) Housekeeping procedures such as reviewing and purging the private inbox and individualized folders, and printing out messages determined to be records will become a routine task.

(3) The user will be responsible for ensuring the activities performed within an assigned private or group mailbox or at an Internet site are in agreement with guidance included at Appendix C, Use of Government Communications Systems and Equipment (Electronic Mail and Internet). DoD 5500.7-R guidance <http://web7.whs.osd.mil/html/55007r.htm>.

(4) Those employees that share a PC terminal or do not have a typical work schedule will be encouraged to follow the guidelines in the preceding paragraphs d(1) thru (3) with the understanding that it may not always be practical or possible.

8. TWO TYPES OF MAILBOXES – PRIVATE AND GROUP.

a. A private mailbox will be established for the individual user, known as the owner. It will be identified with the owner's name. Corps employees and contractors are provided private mailboxes to aid in performing work related tasks at their workstations. A private mailbox will offer an efficient and expeditious way of doing business. The individual user will be responsible for the sending of individual messages following guidance noted in ER 25-1-74. The private mailbox will not be shared by other employees.

b. The group mailbox referred to as the organization's mailbox will be established for E-mail messages directed to a group of employees, multiple users. One primary and often an alternate employee will be responsible for managing incoming and outgoing messages. This type of mailbox will be most commonly established with an office symbol, but may be a group or function name. Hyphens will not be used in a group or function name, for example, CENWO HelpDesk or CENWP Mailroom NWP. A group mailbox identified by an office symbol will agree with NWDR 25-1-1 and local office symbol directives, using upper case letters and appropriate hyphens <http://www.nwp.usace.army.mil/im/r/regs/nwdregs/nwdr/25-1-1.pdf>. New or revised office symbols and group or function names will be coordinated through the local Information Management Office's records manager before establishing as an E-mail address.

c. A group mailbox owner(s) will be responsible for reading the organizational mail at least twice daily, and when necessary, routing E-mail messages as discussed in ER 25-1-74.

9. USE OF THE GROUP MAILBOX.

a. The group mailbox will be primarily used to disseminate memorandums containing tasking, directing, or setting policy. E-mail messages needing to be kept because of their informational value relating to a decision, tasking, project, etc., will be managed as noted in paragraph 11.

b. Formal and informal memorandums will be disseminated to office-symbol mailboxes not private mailboxes, unless noted within the memorandum as discussed in ER 25-1-74. Guidance on formats for preparing and processing memorandums is discussed in AR 25-50.

(1) Incoming memorandums identifying suspense dates will be coordinated with the supervisor or manager of the office and given the appropriate action to meet the suspense dates.

(2) Outgoing memorandums will be prepared in the same format as paper documents, but identified with a /s/ above the signature block to represent the signature of the approving official prior to sending. A signed paper copy will be placed in the appropriate file to demonstrate that the signer did, in fact, sign the correspondence. Note: The "/s/" is not part of the standards used for electronic signature, therefore, may not be acceptable in court without the paper copy.

10. ELECTRONIC TRANSFER OF DOCUMENTS.

a. Documents that do not have special formatting codes embedded will be transferred as an attached Rich Text file or embedded in the E-mail message. The transmitting message will indicate the attached file's format, if not evident. Documents that must contain special formatting codes created by software applications will be converted to one of the Microsoft Office (MS Office) formats, Adobe Acrobat, or HTML format and sent as an attached file to the E-mail message. Districts will ensure prompt available capability to process the MS Office document or convert it to a locally used program.

b. The sender may deviate from the preceding guidelines only if proper coordination with all recipients has been accomplished, confirming compatibility of version being transmitted. The sender must identify the file type when sending attachments.

11. MAINTAINING E-MAIL MESSAGES. All NWD employees and contractors will need to understand the following guidance on maintaining E-mail messages to avoid potential legal ramifications or exposure to litigation.

a. The NWD E-mail system will not serve as an electronic recordkeeping system for a NWD organization or employee. The system will be used only to create, receive, and transmit messages and other documents. Unlike an electronic recordkeeping system, the E-mail system will not ensure security and integrity of stored information. The E-mail system cannot ensure the preservation or the migration of information considered to be working papers or completed records (including their metadata) to another data system or subsequent system as specified in DoD 5015.2-STD and 36 CFR Part 1234 <http://www.nara.gov/nara/cfr/cfr1234.html>.

b. Employees creating E-mail archives and folders to organize and save messages within a group or private mailbox for easy retrieval or to hard drive, floppy disks, or CD must keep in mind that these messages will be convenience only. Saved E-mail messages will not replace printed, filed, paper E-mail messages as discussed in ER 25-1-74.

c. Electronic mail messages held for their informational value and the transaction of Corps business will be printed as hard (paper) copies and retained as part of the organization's records. A printed E-mail message determined to be a record will include the transmission data identifying the sender and the recipient(s), and if applicable, coordinating information, backup correspondence, and enclosures (refer to 36 CFR Part 1234 and ER 25-1-74).

d. The printed message will be assigned a MARKS filing designation (as noted AR 25-400-2). If an E-mail user does not understand the guidance discussed in the preceding paragraphs, contact the appropriate district or NWD records manager for additional clarification.

12. RETENTION OF BACKUP MEDIA FOR E-MAIL.

a. Backups for the E-mail system will be used for system backups only. Media will be retained for no longer than 35 days and will be fully erased, degaussed, or destroyed, depending on the type of medium used. The backup media will be used for the recovery of data or systems in case of loss.

b. E-mail customers will need to systematically review the retention of E-mail messages to maintain a responsive and manageable system. The following disposal time frames will be used if a District office configures their system to perform auto-deletions.

- (1) Delete inbox "read" messages older than 180 days.
- (2) Delete sent-item folder entries after 60 days.
- (3) Delete mail in deleted-items folder older than 7 days.

c. If auto-deletion is not performed, the District office will need to work with customers to ensure server cleanliness and prevent improper storage of messages that need to be retained as records following the retention period addressed in AR 25-400-2, and soliciting guidance from the organization's records manager.

FOR THE COMMANDER:



CLIFTON P. JACKSON, JR.
Executive Assistant

- 3 Appendices
- App A – References
- App B – Explanation of Terms
- App C – Use of Government Communications
Systems and Equipment

DISTRIBUTION:

- NWD Internet - <http://www.nwp.usace.army.mil/im/r/regs/nwdr.html>
- CENWD-IM (Records Administrator)
- CENWK-IM (Records Manager)
- CENWO-IM (Records Manager)
- CENWP-IM (Records Manager)
- CENWS-IM (Records Manager)
- CENWW-IM (Records Manager)

APPENDIX A

REFERENCES

1. Required References.
 - a. AR 25-50 (Preparing and Managing Correspondence). Cited in paragraph 9b.
 - b. AR 25-400-2 (The Modern Army Recordkeeping System – (MARKS)). Cited in paragraphs 7c(4), 11d, 12c, and Appendix B, Terms 7, 9, and 11.
 - c. ER 25-1-74 (Electronic Mail). Cited in paragraphs 7c(2), 8a, 8c, 9b, 11b, and 11c.
2. Related References.
 - a. DoD 5015.2-STD (Design Criteria for Records Management Applications).
 - b. DoD 5200.28 (Security Requirements for Automated Data Processing (ADP) Systems).
 - c. DoD 5400.7-R (DoD Freedom of Information).
 - d. DoD 5500.7-R (Joint Ethics Regulation (JER)).
 - e. 36 Code of Federal Regulations Part 1222-36 (Personal Papers).
 - f. 36 Code of Federal Regulations Part 1234 (Electronic Records).
 - g. AR 25-1 (The Army Information Resources Management Program).
 - h. AR 25-55 (The Department of the Army Freedom of Information Act Program).
 - i. AR 380-5 (Department of the Army Information Security Program).
 - j. AR 380-19 (Information Systems Security).
 - k. ER 25-1-101 (USACE Electronic Phone Book).
 - l. NWDR 25-1-1 (Office Symbols).

APPENDIX B

EXPLANATION OF TERMS

1. Electronic Mail. The process or result of sending and receiving messages by means of telecommunications links between computer terminals. Also called E-mail.
2. Electronic Mail Message. A document created or received on an electronic mail system including brief notes, more formal documents and attachments, such as word processing, Excel spreadsheet, PowerPoint presentation and other electronic documents, which may be transmitted with the message.
3. Electronic Mail System. A computer application used to create, receive, and transmit messages and other documents. This system does not include data systems that are used to collect and process data that have been organized into data files or data based on either personal computers or mainframe computers.
4. Group Mailbox. A mailbox with multiple users and managed only by one or two owners. A group mailbox will normally be identified by an office symbol, but may also be a group or a function name.
5. Local Mail Coordinator (LMC). Appointed individual(s) to manage the local E-mail system providing assistance to E-mail users.
6. Private Mailbox. A mailbox used by a single user known as the owner. The private mailbox name will be the name of the owner of the mailbox. Often referred to as an individual mailbox within the organization.
7. Records. Records are any documentary materials, regardless of physical form or characteristics, made or received by an agency of the US Government under Federal law or in connection with the transaction of public business. These records are preserved or are appropriate for preservation by that agency, as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the agency because of the value of the information contained in them. These records belong to the US Government rather than Government employees or contractors, not personal papers. Provisions for the personal papers of high-ranking Government officials may be found in 36 CFR 1222.36 at web site: <http://www.nara.gov/nara/cfr/cfr1222.html>. Within the Army Corps of Engineers, records are preserved and disposed of according to AR 25-400-2.

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8. Records Manager. The individual assigned responsibility by a Corps division or district commander for overseeing the organization's records management program according to AR 25-1. The Northwestern Division has appointed records managers at the Headquarters Northwestern Division and each NWD District.

9. Retention Period. The length of time a record is to be kept according to records disposition standards addressed within AR 25-400-2, Appendix B.

10. Sensitive Information (Computer Security Act of 1987). The loss, misuse, or unauthorized access to or modification of any information which could adversely affect the Corps' or the conduct of federal programs, or the privacy to which individuals are entitled under Section 552a of Title 5, USC (the Privacy Act). This definition does not make reference to sensitive information authorized under a specific Executive Order or and Act of Congress to be kept at a classified level of secret in the interest of national defense or foreign policy (AR 380-5).
http://www.usapa.army.mil/pdffiles/r380_5.pdf

11. Working papers. Documents such as rough notes, calculations, or drafts that are assembled or created and used in the preparation of or analysis of other documents. These documents are records and will be filed under the appropriate MARKS number (AR 25-400-2).

12. X.500 Directory Synchronization. A Microsoft Exchange process that allows a designated individual to make a modification in the directory of one post office. The modification is automatically applied to the directories of all other USACE post offices, including the Control Data Corporation CDC eMail Sentinel X.500 Directory which is maintained in accordance with ER 25-1-101.

APPENDIX C

Use of Government Communications Systems and Equipment (Electronic Mail and Internet)

1. Use of E-mail or the Internet will be for “official use” within “authorized purposes” only as discussed in DoD 5500.7-R, paragraph 2-301. Authorized purposes may include personal use within specified limitations as permitted by the “Agency Designees” (i.e., commanders, directors and supervisors). The following paragraphs provide additional guidance on ethical parameters and examples of what is permissible and what is not:

2. Employees may use government communications systems and equipment for communications deemed necessary in the interest of the Federal government (i.e., communications directly related to the conduct of Corps business or communications having an indirect impact on Corps ability to conduct its business). The DoD 5500.7-R (Joint Ethics Regulation) provides some latitude by permitting personal communications that are reasonably made from the workplace to include communications by E-mail and brief Internet searches, when permitted by the “Agency Designee”. The criteria for such permissive communications are:
 - a. No adverse impact on the employee’s official duties.
 - b. Reasonable duration and during personal time (i.e., break, lunch).
 - c. Serves legitimate public interest (i.e., keeping employee at desk, enhancing employee proficiency in use of system).
 - d. No adverse reflection on the Department of Defense, US Army, or Corps.
 - e. Does not overburden the communications system or result in additional costs.

3. Use of the NWD E-mail or the Internet system will not extend to personal communications that will reflect adversely on the Corps. Communications not authorized are:
 - a. Soliciting a business, advertising or engaged in selling activities in support of private business enterprises, fundraising activities, or any other use that would reflect adversely on the Corp, or which is incompatible with public service (i.e., chain letters, harassing E-mails, surfing sexually oriented sites, or downloading sexually oriented material).
 - b. Sending group electronic mailings to offer items for sale or other personal purposes (i.e., selling an automobile or renting a private residence).

c. Sending group electronic mailings to announce events sponsored by a non-Federal entity without prior approval from your supervisor and the Information Management Office.

4. The Internet will provide a tremendous resource of information interchange and other communication through such vehicles as mail list servers, databases, files and web sites. Subject to restrictions in the preceding paragraphs employees will have permission to use their computer access and use of Internet sources for professional development purpose, subject to ensuring that primary duties and mission are accomplished.

5. Employees will exercise extreme care when transmitting any sensitive information, or other valued data. Information transmitted over an open network (such as E-mail or the internet) can be accessible to anyone else on the network or in the chain of delivery. E-mail messages and Internet information can be resent to others by anyone in the chain. Users should be aware that any use of Government communication resources is with the understanding that such use is not secure, not anonymous and serves as consent to monitoring (reference AR 380-5)
http://www.usapa.army.mil/pdffiles/r380_5.pdf

6. Employees will not forward government E-mail messages to an unapproved commercial Internet service provider (ISP) account (such as hotmail or yahoo mail) to work at home unless specifically authorized to do so by the Director of Information Management or the Deputy Chief of Staff for Information Management in accordance with AR 380-19 .
http://www.usapa.army.mil/pdffiles/r380_19.pdf

7. Employees will not accept requests from a person or an organization asking for Corps recorded information to be copied or downloaded to another source, such as an internet site, CD-ROM, diskette, paper printout, etc., without first coordinating the request through the Office of Counsel. The release of government records to the public, private parties, or government official, etc. will not be an [automatic consent to] as outlined in AR 25-55, Chapter 5
http://www.usapa.army.mil/pdffiles/r25_55.pdf and DoD 5400.7-R <http://web7.whs.osd.mil/html/54007r.htm>.

8. Employees will not transmit classified information over the NWD system, it is not a secure system. Classified material (confidential and secret) will only be transmitted over a secure defense message system, only after approval has been granted according to DoD Directive 5200.28. <http://web7.whs.osd.mil/pdf/d520028p.pdf>