

## **ELECTRONIC MAIL USAGE AND MAINTENANCE**

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### **I. Purpose**

This Directive establishes the Department of Homeland Security (DHS) policy regarding electronic mail (e-mail) usage and maintenance.

### **II. Scope**

- A. This Directive applies throughout DHS and applies to all DHS E-mail users.
- B. Management Directive (MD) 4500.1, "DHS E-Mail Usage," is hereby cancelled.

### **III. Authorities**

- A. Title 5, United States Code (U.S.C.), Section 552, "Public Information; Agency Rules, Opinions, Orders, Records, and Proceedings"
- B. Title 5, U.S.C., § 552a, "Records Maintained On Individuals"
- C. Title 5, U.S.C., §§ 7501-7543, "Adverse Actions"
- D. Title 18, U.S.C., § 2071, "Concealment, Removal, or Mutilation Generally"
- E. Title 44, U.S.C., §§ 2901-2911, "Records Management by the Archivist of the United States and by the Administrator of General Services," Chapter 31, "Records Management By Federal Agencies," and Chapter 35, "Coordination of Federal Information Policy"
- F. Title 5, Code of Federal Regulations (CFR), Part 2635, "Standards of Ethical Conduct for Employees of the Executive Branch"
- G. Title 36, CFR, Parts 1220-1249, "Records Management"

- H. Office of Management and Budget (OMB) and National Archives and Records Administration (NARA) M-12-18, "Managing Government Records Directive"
- I. OMB and NARA M-14-16, "Guidance on Managing E-mail"
- J. DHS Delegation 04000, "Delegation for Information Technology"
- K. DHS Directive 141-01, "Records and Information Management"
- L. DHS Directive Policy 4300A, "DHS Sensitive Systems"
- M. DHS MD 4600.1, "Personal Use of Government Office Equipment"

## IV. Responsibilities

- A. The **DHS Chief Information Officer (CIO)**:
  - 1. Issues guidelines on the security, accessibility, retention, and use of e-mail within the Department;
  - 2. Defines standards for DHS e-mail systems ensuring interoperability and interconnectivity;
  - 3. Defines special configurations and processes for Department-wide services;
  - 4. Manages and maintains the DHS Directory Services/E-mail System, including managing and maintaining anti-virus software for e-mail systems;
  - 5. Provides the DHS standard e-mail server and client applications; and
  - 6. Ensures retention of e-mail records in an appropriate electronic system that supports records management and litigation requirements, including the capability to identify, retrieve, and retain the records for as long as they are needed, as well as provide the technical means to transfer e-mail records deemed permanent federal records.
- B. The **DHS Chief Records Officer**:
  - 1. Maintains a list of names and dates of tenure of DHS Capstone Officials, ensuring Capstone Officials' e-mail records are designated as permanent records;

2. In coordination with the DHS CIO and CIO counterparts, prepares and approves the transfer of permanent e-mail records to NARA for accession in accordance with approved records schedules and existing preservation obligations;
3. Conducts periodic reviews of all e-mail systems to identify electronic records and ensure the records are scheduled;
4. Establishes a training program for employees that provides for the management of electronic messages as records; and
5. Reports annually to the DHS CIO on the management of both permanent and temporary e-mail records in an electronically accessible format. This report is submitted annually to OMB and NARA, by the DHS Chief Records Officer.

C. The **Component Heads:**

1. Ensure development and implementation of Component-specific policies for approved and prohibited uses of e-mail that are consistent with this Directive;
2. Ensure that all e-mail records are maintained in accordance with applicable records retention schedules;
3. Ensure appropriate security for their e-mail systems is provided; and
4. Ensure that all Component employees have been provided training or written instructions appropriate to their role and responsibilities for the Component under this Directive, including approved and prohibited use of Component e-mail.

D. **Component Chief Information Officers:**

1. Work with the DHS CIO and Component Records Managers/Officers to provide tools and approaches to maintain e-mail for the required retention period;
2. Ensure that Component processes allow for removal of non-record and personal e-mail records; and

3. Retain e-mail records in an appropriate electronic system that supports records management and litigation requirements, including the capability to identify and retrieve records as well as provide the technical means to transfer e-mail records deemed permanent federal records in accordance to NARA standards; and
4. Ensure that Component processes allow for the required disposition of temporary e-mail records.

E. **DHS E-mail Users:**

1. Comply with the provisions of DHS Directive 141-01 and this Directive;
2. Use only DHS-issued e-mail accounts to send and receive DHS business-related communications;
3. Follow Department and Component policies and procedures for appropriate use of DHS e-mail systems, including the accurate and timely designation of the record status of an e-mail; and
4. Consult upon request with appropriate personnel (e.g., Freedom of Information Act Officials, Privacy Officers, security managers, Records Management Officials, legal staff, etc.) on e-mail issues.

## V. Policy and Requirements

It is the policy of the Department to manage e-mail messages pursuant to NARA Bulletin 2013-02, "Guidance on a New Approach to Managing Email Records," also known as "Capstone." The Capstone approach aims to improve the management of e-mail records by simplifying and automating it in an electronic recordkeeping system. This Directive applies to Departmental and Component communications that are federal records whether the applications are hosted by DHS or hosted on non-DHS servers.

A. **Under this policy, DHS:**

1. Manages all e-mail messages electronically, in a manner that complies with applicable law, policy, OMB, and NARA guidance;
2. Manages e-mail messages based upon the account holder's position in the Department, rather than the specific content of individual e-mail messages;
3. Designates e-mail messages of specific account holders ("Capstone Officials") as permanent records;

4. Preserves e-mail messages that are designated as permanent records for transfer to NARA in approved format and in accordance with federal regulations; and

5. Manages e-mail messages of account holders who are not Capstone Officials as temporary records, to be preserved in accordance with approved records retention and disposition policies.

B. **Non-DHS E-Mail Accounts** (per DHS Directive Policy 4300A):

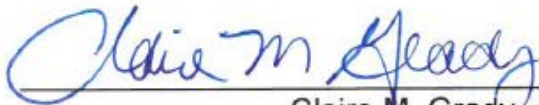
1. DHS employees may not use non-DHS e-mail accounts to create or send e-mail records that constitute DHS records. In case of an emergency, employees may use a non-DHS e-mail account, but thereafter must ensure the e-mail record is submitted to an official DHS e-mail account within 20 days and removed from the non-email account once the employee has ensured the capture of e-mail information.

2. DHS employees who are on detail to another agency may use that agency's e-mail system to send e-mail records during the course of their detail. This permission also extends to task force, working group, or other project or application-based e-mail accounts established by another federal agency for use by DHS employees.

3. Auto-forwarding or redirecting of DHS e-mail to any e-mail address outside of the .gov or .mil domain is prohibited. DHS employees may manually forward individual messages after determining that the risks or consequences are minimal.

## VI. Questions

Address any questions or concerns regarding this Directive to the Office of the Chief Information Officer.



Claire M. Grady

Under Secretary for Management

19 Jan 2018

Date