



North Carolina Department of Cultural Resources

Beverly Eaves Perdue, Governor
Linda A. Carlisle, Secretary

Office of Archives and History
Jeffrey J. Crow, Deputy Secretary

February 10, 2009

Kathleen Williams, Executive Director
National Historical Publications and Records Commission
National Archives and Records Administration
700 Pennsylvania Avenue, NW
Washington, D.C. 20408-001

Dear Ms. Williams:

I am writing to request an extension of the NHPRC grant for collaboration on electronic mail.

Our team in Archives and Records has benefited tremendously from their collaboration with Kentucky and Pennsylvania on this grant. I also believe that our staff and our state partners have contributed significantly to the field of research regarding electronic mail. The XML schema developed in conjunction with the Collaborative Electronic Records Project (CERP) has been well received in a number of communities. David Minor and Kelly Eubank of our staff were asked to present on the project at the CERP symposium in November, 2008. Additionally, a proposed half-day work shop on the XML schema has been accepted for the annual meeting of the Society of American Archivists in Austin in August, 2009.

While each of the state partners worked diligently to meet the time frame of this project, unforeseen circumstances and the consolidation of information technology within their respective agencies in the partner states have delayed the completion and testing of the EMCAP (e-mail archiving) tool. The tool will be built and deployed in February, but there will be little time to test it with our partners in each state. We respectfully request an additional three-month extension to May 29, 2009, in order to thoroughly test the collection tool as well as the parser, and to complete the final phase of the project as originally proposed. A detailed work plan for the requested extension and the completion of the grant is enclosed.

Our state's outgoing governor, Michael Easley, issued an Executive Order regulating the retention and preservation of e-mail before his term of office expired. Governor Beverly Eaves Perdue is a proponent of transparency in government, and we need additional time to meet with the new head of Constituent Services in the Governor's Office about the EMCAP tool and to seek their continued participation in the project. Pennsylvania is implementing consolidation of their state's information technology environments. Our Kentucky partners are hoping to test the tool within their agency.

We appreciate your consideration of this request. Please let us know if you have any questions.

Sincerely,

A handwritten signature in blue ink that reads "Jeffrey J. Crow".

Jeff Crow
Deputy Secretary

enclosure

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4615 Mail Service Center
Raleigh, NC 27699-4615

PHONE NUMBERS
Telephone 919-807-7355
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LOCATION
109 East Jones
Raleigh, NC 27601

EMCAP Software Project Timeline
February 16th, 2005
By David Minor

During the period August to October, 2008 Alan Samet built the EMCAP processor from specifications written by David Minor.

During the period October 2008 to January 15th, little work was done on the project due to reorganization of staff at DCR and the absence of key staff due to surgery complications.

During the period January 15th to February 15th, David Minor has been able to spend an average of 25 hours each week on the project.

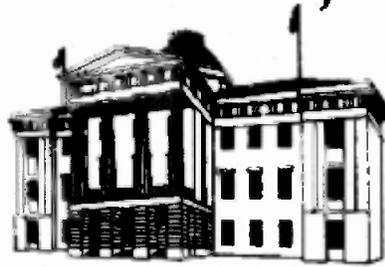
From now until the completion of the project David Minor has been instructed to spend at least 32 hours / week on EMCAP.

Here are the tasks that remain to be completed.

Description	Projected completion date.
Allow the account address to be changed. From the administrator console the user will be able to change the accounts address, presumably to reflect a name change. This will cause the name of the folder and the name of the XML file in the XML store to be changed as well. This code will allow for active accounts to duplicate the account address of existing inactive accounts. The accounts will be distinguished by their creation time as well as the account address.	2/20/09
Rewrite the "build digest" function so that it uses the in-memory account object instead of performing an XSLT transform. This will reduce the memory footprint of the core processor. Make sure that its output is identical to that produced by the XSLT transform.	2/20/09
Make sure that during initial installation that the .xsd schema is written to the root of the XML store.	2/20/09
Gracefully handle the user closing the console window of the core process. Currently it throws an exception; it should schedule the core process to shut down.	2/20/09
Continue to improve the way that the core process uses memory.	2/20/09
Add tables to the EMCAP database to store information about any messages that could not be completely parsed.	2/20/09
Update the installation instructions for version 1.5	2/20/09

Build the Installation / Upgrade package for version 1.5 and publish to internal FTP site.	2/20/09
Write user's manual for running the EMCAP processor including reporting and fixing messages that did not completely parse.	3/13/09
Upgrade to hMailServer 5.0. This version supports Secure Sockets Layer (SSL) encryption for messages transmission from the client to the server.	3/13/09
Make it so that the core processor performs all critical updates to external state using a transaction including file operations.	3/13/09
Make sure the e-mail address parser works correctly with comments, quotes and character escaping.	3/13/09
Complete the Account Details report, and Error Details report (These can be exported to Excel or PDF.) The Message Counts report has already been completed.	3/13/09
Make it so that the Administration Console keeps an "account-info.xml" file up-to-date with the items stored in the SQL database, one for each account folder. This will remove the dependency on the SQL server for preservation. This information will include a copy of the account's digest.	3/13/09
Provide a utility to reset the hMailServer password. Because of the tight integration between EMCAP and the hMailServer, changing the password must be done in three separate places. This utility will automate this process.	3/13/09
Build a stand-a-lone program that can be use to build an account digest. The output can be sent back to the repository administrators to verify that the version of the account from which the account digest was produced is identical to the account stored in the repository.	3/13/09
Build the Installation / Upgrade package for version 2.0 and publish to internal FTP site.	3/13/09
Publish Installation / Upgrade package on NC's public web site.	3/13/09
Publish source code and build directions on NC's public web site.	3/13/09

State of North Carolina



MICHAEL F. EASLEY
GOVERNOR

EXECUTIVE ORDER NO. 150 E-MAIL RETENTION AND ARCHIVING

WHEREAS, the North Carolina Public Records Law declares that the public records and information compiled by the agencies of North Carolina government are the property of the people; and

WHEREAS, all e-mail messages sent and received in connection with state business are public records; and,

WHEREAS, a transparent government and the citizens' right to access public records, are of paramount importance; and

WHEREAS, as a result of changing technology and the need to ensure that public records are properly preserved, I established the E-Mail Records Review Panel to review and recommend changes to the current e-mail and electronic text communication record retention policies for North Carolina's executive branch agencies; and

WHEREAS, the E-Mail Records Review Panel met six times, which included public hearings where the Panel heard from representatives from the North Carolina Press Association, the North Carolina Association of Broadcasters, the State Employees Association, and other interested parties; and

WHEREAS, the E-Mail Records Review Panel submitted to me its recommendations and proposed changes to current e-mail and electronic text communication record retention policies; and

WHEREAS, I have carefully reviewed and considered the E-Mail Records Review Panel's recommendations and proposed changes regarding current e-mail and electronic text communication ("e-mail") record retention policies.

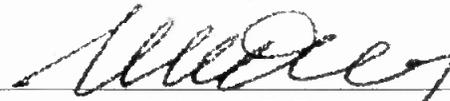
NOW, THEREFORE, pursuant to the authority vested in me as Governor by the Constitution and the laws of the State of North Carolina, **IT IS ORDERED THAT:**

1. Executive Branch employees shall treat all e-mail messages, which they send or receive via state government e-mail accounts as public records and shall handle and maintain them in compliance with the Public Records Law and records retention policies in the same manner as paper documents or other tangible records.
2. Executive Branch employees shall not delete in a 24-hour period any e-mail messages sent or received in the course of conducting State business.
3. Executive Branch employees shall not use state e-mail accounts for political purposes.
4. Executive Branch employees shall not use state e-mail accounts for personal purposes except to communicate about family matters. All employees shall assume that information on the state's e-mail system is subject to public review and to review by state officials.
5. All outgoing e-mails sent from Executive Branch state e-mail accounts shall include language notifying the recipient(s) that the message is subject to the Public Records Law and may be disclosed to third parties.
6. Employees who conduct public business via personal e-mail accounts or non-government technology shall ensure that all public records are properly retained and archived pursuant to the Public Records Law and applicable record retention schedules.
7. The Department of Cultural Resources (DCR) shall provide all Executive Branch employees with online training for managing e-mail as public records, which training shall be mandatory for all employees who handle public records.
8. Information Technology Services (ITS) shall copy all Executive Branch agencies' e-mail messages to backup tapes at least once daily and shall retain the tapes for a minimum of ten (10) years.
9. Executive Branch agencies shall collaborate with the State Chief Information Officer (CIO) and DCR to employ a software platform that complies with the E-Mail Records Review Panel's recommendations, including saving backup tapes for a minimum of ten years.
10. As soon as possible, the Office of the State CIO shall procure, through the competitive bidding process, an archive system and shall work jointly and in collaboration with DCR to provide the archives/records management software package to be used by state agencies.

11. Executive Branch agencies shall follow all other directives issued by the Office of the Governor pertaining to e-mail retention and archiving policies, consistent with North Carolina law and record retention schedules.
12. DCR shall conduct random audits of state agencies in the Executive Branch to ensure that employees are in compliance with the records retention and disposition schedules and DCR shall conduct annual reviews of backup tape requests and provide reports to the State CIO and the Office of the Governor.
13. State agencies outside the Executive Branch and not directly subject to this order are invited and encouraged to review and revise their e-mail and electronic text communication record retention policies consistent with this Executive Order.

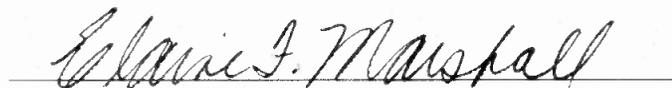
IN WITNESS WHEREOF, I have hereunto signed my name and affixed the Great Seal of the State of North Carolina at the Capitol in the City of Raleigh, this the ninth day of January in the year of our Lord two thousand and nine, and of the Independence of the United States of America the two hundred and thirty-third.





Michael F. Easley
Governor

ATTEST:



Elaine F. Marshall
Secretary of State

**** This is a long consultation summary****

Consultation with the Governor's Office on February 17, 2009

Written by Pamela Ingle and Kelly Eubank on February 17, 2009

In Attendance:

Kelly McFarland, Citizens and Community Services for Governor's Office
Justin Guillory, Citizens and Community Services for Governor's Office
Amy Blinson, CRO for Governor's Office
Larry White, IT Support for Governor's Office
Kelly Eubank, Electronic Archivist, DCR
Pamela Ingle, Records Management Analyst, DCR

We met at the Administration building in the Governor's Press Conference Room on February 17, 2009 at 2:00 pm. The meeting consisted of Kelly McFarland Justin Guillory and Larry White who deal with the governor's email received through governor.org. Kelly asked to hold the meeting to discuss the possibility of the Governor's office of Citizen and Community Services continued participation in EMCAP. Claire Ennis left the position in December and it has not been filled. Kelly McFarland who was in this office previously has continued into the new administration and is currently responsible for archiving the email. Kelly did not archive email monthly for this year through EMCAP because she was unsure of the funding for the pilot. Kelly Eubank mentioned that we have begun discussions with ITS to begin the process of moving EMCAP into production. Kelly McFarland agreed to continue archiving monthly using EMCAP from the agency folders with files organized by date in her system. She said it was much simpler than the method of burning them to a CD and would not involve Larry White, the ITS support. Kelly Eubank offered to speak with the new head of Intergovernmental Services about EMCAP once the position is filled. She also offered the GRB staff to do workshops with the office on retention schedules, the records of the governor's office and how to archive those records, paper and electronic. Amy and Justin agreed to the idea but Amy wanted to wait until the organization positions are filled and schedules are updated.

With the new website that Governor Perdue has set up, Justin Guillory mentioned that the contact us page works slightly different. When a citizen makes a suggestion or needs to contact someone, those "emails" are put into a database. The database then exports the information into an excel spreadsheet which is then sent to Kelly McFarland. Kelly then reviews it. Items that need responses, she responds to but otherwise, she is saving the spreadsheets. If a submission requires an answer it is archived through EMCAP. Justin asked how those would be "archived" and if they were the same as the emails.

The information being captured is from forms titled Question and Answer, Constituents Service and Suggestions. The information is captured into an Excel file. Each submission from the forms is answered with an automatic standard response. The group concluded that they are the same content. When it comes time to send them to the State Archives, we will most likely handle them the way we have handled the transfer of Governor Easley's files (provide Larry White with a hard drive and work with staff to put "archived" materials on a drive from which Larry will copy them onto the hard drive).

The discussion turned to backup of the Database that receives emails—Mail Tracking Database (and Issues) File (Item 34904). Amy mentioned that Claire Ennis put in a ticket to Clay Adams at

ITS to export the data so that it could be transferred to the Archives. We have never had any contact with Clay regarding this information. Amy will check with IT on its backup.

Justin Guillory asked if EMCAP was only available for Citizens and Community Services or if it is open for use by other members of the staff. Kelly said we could certainly explore that if the Governor's office would like to discuss it. Justin said he was not opening anything but would let us know. Amy Blinson asked if we received all of the other electronic files. We explained that we were going to pick up the hard drive from Larry at the end of the meeting. Larry White said he had everything except one email account from Liz Reilly. He was going to get that and send it to us. He then said that he was only authorized to send us 2 email accounts but that he had account from everyone that was on the list Pam sent in December 2008 backed up (e.g. Susan Rabon and Anita Berry, secretary to Franklin Freeman). He said if Amy Blinson authorized it, he would copy them over. Amy said she would look into it and let us know.

Pamela Ingle will send Amy a listing of the Governor's Office personnel under Governor Easley's administration whose email is designated to be archived. Amy will check on the status of releasing the information.

Kelly and Pam