Managers' Briefing

Capstone Approach to Email Management

March 13, 2014

Capstone is documented in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email (August 29, 2013).

- NARA 2013-02 is a response to the OMB/NARA Managing Government Records Directive (M-12-18)

What is Capstone?

- Capstone helps agencies manage email.

- Capstone is based on identifying email accounts according to the work of the user.
  - Some accounts will be permanent.
  - The remainder will be temporary.

Example Capstone implementation at a Department with two sub-agencies

Capstone Accounts of Department AB

Department employees with temporary accounts

Agency A

Agency B

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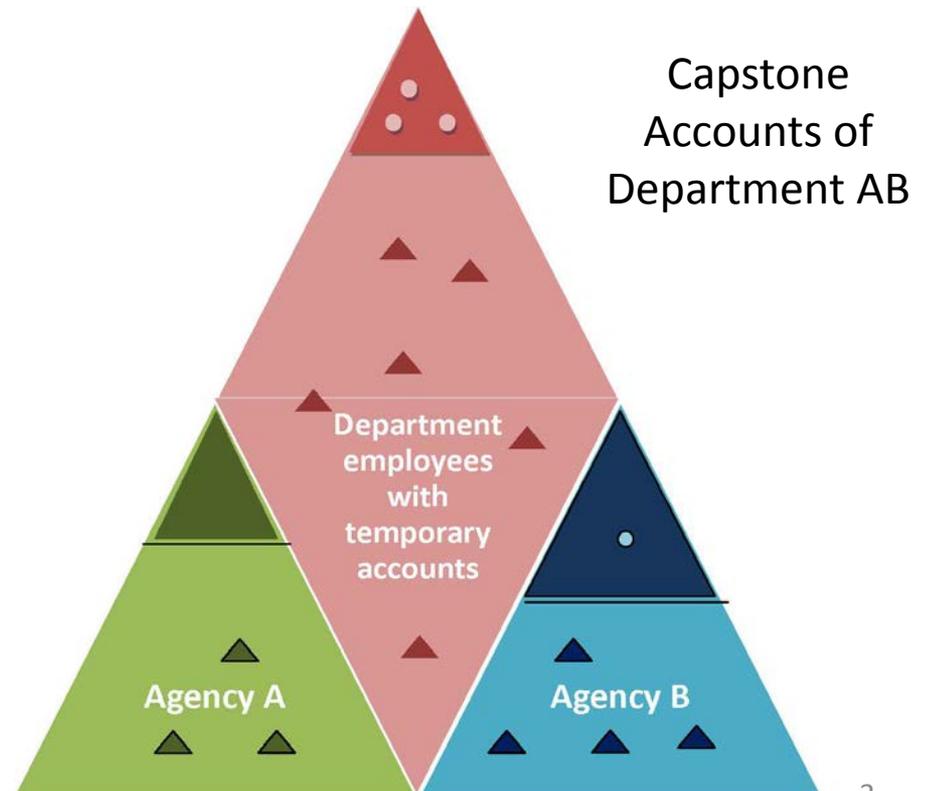
What is Capstone?

Capstone is an approach that:

- Allows agencies to manage email records at the account level.

  - NARA recommends that agencies allow users to cull personal messages and those that are clearly not records.

- Reduces the use of item by item filing.

- Leverages the agency's existing technology.

Capstone Is Not…

- Capstone is not mandatory.
- Capstone is not a technology.
  - It allows use of current technology.
  - No need to buy new software.
- Capstone is not a records schedule.
  - Agencies must still schedule records.
  - A General Records Schedule is under review.
- Capstone does not relieve agencies of records management responsibilities.

What Managers Should Know

- Capstone is flexible and allows for various implementation approaches.
  - Allows for the systematic transfer of email accounts scheduled as permanent to the National Archives.
  - Allows for the systematic disposal of entire email accounts scheduled as temporary.
- Management Responsibilities
  - Identifying accounts that are permanent or temporary.
  - Ensuring that these are the proper accounts over time.

Where to Start

- Evaluate your agency's current email management:
  - What are your agency's email management practices and policies?
  - What is your email platform and storage capacity?
  - What records management challenges has your agency experienced?
  - Other factors:
    - Legal issues
    - PII , FOIA, Classified email, and other access issues
    - IT and budget resources
    - Leveraging of potential current or future IT infrastructure plans

Where to Start

- Get the right people involved in the conversation…
  - Senior Agency Official (SAO) for Records Management
  - Agency Records Officer
  - Departmental Records Officer, if applicable
  - Chief Information Officer / IT Staff
  - General Counsel
  - FOIA Office Representative
  - Privacy Program Representative
  - NARA Appraisal Archivist
  - Other stakeholders, e.g. procurement staff

Implement Capstone

- Implementation factors include:
  - Technology
    - Review current IT capabilities and needs.
  - Policy
    - What new policies are needed.
  - Training and Awareness;
    - What training is needed for staff, IT, etc.
  - Stakeholders
    - Keep your team intact.

More Information

- Additional Resources can be found at:
  - http://www.archives.gov/records-mgmt/email-mgmt.html

- Questions? Please Contact your Agency's NARA Appraisal Archivist.
  - http://www.archives.gov/records-mgmt/appraisal/