Technical Functionality to Support Capstone: Planning Checklist

Agencies choosing to manage email under a Capstone approach are responsible for establishing a Capstone plan that is implementable in compliance with 36 CFR, Chapter XII. Although implementing Capstone does not require the use of a specific solution or product, implementation may be easier if the technology (e.g., the email system, a repository, tools, applications, etc.) includes certain **basic functionality**. The most basic of these functionality is the ability to manage email accounts (or groupings/bodies of email) based on the role or position of the end user, and apply disposition accordingly (whether temporary or permanent).

Agencies are encouraged to consult with all relevant stakeholders when discussing Capstone. This may include the Senior Agency Official (SAO) for Records Management, agency/departmental Records Officer, Information Technology Staff, and General Counsel. The *Guidance on Managing Email Records Bulletin* allows for flexibility, in that an agency may choose NOT to utilize certain functionality that the technology allows due to legal or other concerns raised by these stakeholders (for example, not allowing users the ability to manually re-categorize email, even if the functionality allows it).

This resource is designed to assist in facilitating agency discussions regarding Capstone implementation in order to answer the question: *Does the agency's current or planned email technology support the planned approach?* This list should not be considered exhaustive. Please contact your NARA Appraisal Archivist with any questions.

General

The agency can identify or determine …

☐ YES ☐ NO   … the official recordkeeping repository to be used for email management. This may be an email repository (archive), records management application, the live system, or some other technology.

☐ YES ☐ NO   … all instances of email. For example, the technology and policies support managing the email maintained in the official recordkeeping repository vs. email remaining in the live system, etc.

☐ YES ☐ NO   … an appropriate point/time of official capture (the time when email is locked down for disposition). The technology should be reviewed to determine if there are limits to this capture point (e.g., capture may only occur at the exact moment of creation or receipt).

☐ YES ☐ NO   … all the functions related to the email system. The agency can manage other records created from these functions, such as calendars, tasks, lists, and chats.

The technology, whether existing or planned, supports …

☐ YES ☐ NO … the inclusion and/or association of attachments to email messages at capture.

☐ YES ☐ NO … the capture of required metadata for each email in compliance with current regulations (36 CFR, Chapter XII) (e.g., the name of the sender, names of all addressees, and date the message was sent). The agency may determine that additional metadata is needed to meet agency business needs, such as receipt information.

☐ YES ☐ NO … the identification and management of lists which identify the sender and addressee(s) of messages (including bcc lists). This is necessary in scenarios where users are indentified by codes or nicknames, or distribution lists are used.

Account Designation, Management and Disposition:

The technology, whether existing or planned …

☐ YES ☐ NO … allows for the identification and designation of individual accounts as either permanent or temporary (for example, with labeling or tagging). A list of such can be maintained.

☐ YES ☐ NO … allows for the application of disposition rules based on the account designations (for example, those accounts designated as temporary can be assigned the proper retention period).

☐ YES ☐ NO … allows for all accounts associated with a Capstone official to be identified and managed. For example, multiple accounts (secondary and/or proxy) used by an individual and/or accounts managed on behalf of a Capstone official can be identified and managed.

☐ YES ☐ NO … supports routine updates to account designations. Since agencies will be responsible for managing accounts, account designations must be updated during staff changes, when new positions are created, and/or when individuals serve in an "acting" capacity.

☐ YES ☐ NO … supports cut-off requirements. For example, the technology allows bodies of inactive email to be identified for the disposition period to begin.

☐ YES ☐ NO … facilitates final disposition, such as providing reports identifying those accounts eligible for disposition (e.g., identify a range of accounts eligible for legal transfer to NARA at the end of a given year).

☐ YES ☐ NO … allows for temporary email to be fully destroyed in compliance with disposition rules, schedules, and other requirements.

☐ YES ☐ NO … allows for permanent email (and associated metadata, attachments, etc) to be exported and transferred in compliance with disposition rules and schedules.

☐ YES ☐ NO … facilitates the transfer of permanent email to NARA in an acceptable format with all relevant metadata and documentation (such as lists of Capstone officials, with their start and end dates).

☐ YES ☐ NO … facilitates and supports the application of record freezes / litigation holds, at both the individual email and account levels to halt disposition as appropriate.

If your agency answered yes to all of the statements above, then Capstone is likely implementable from a technology standpoint.

Additional Functionality

The below sections represent additional functionality, although not mandatory, that may further improve the management of email under a Capstone approach. Answering no to any or all of the statements below does not prohibit an agency from using Capstone.

Culling Activities

The technology, whether existing or planned, includes functionality that allow for …

☐ YES ☐ NO … programming of a specific time period in which culling (removal) – whether automated, manual, or both – may occur (e.g., a 90 day period where administrators or users may manage their email manually.

☐ YES ☐ NO … **automated** culling of non-record material.

☐ YES ☐ NO … programming of system rules to facilitate automated culling/re-categorization. Rules can be programmed to identify and re-categorize email blasts, duplicates, and/or email from specific domains or addresses as non-record (thus not captured as part of Capstone).

☐ YES ☐ NO … individual users to program additional domains/email addresses (for example, the email addresses of family members) for automatic re-categorization of certain email as non-record (thus not captured as part of Capstone).

☐ YES ☐ NO … **manual** (non-automated) culling of non-record material. For example, individual users and/or administrators can remove (or otherwise tag/label) individual emails as non-record, transitory, or personal, excluding them from official capture.

☐ YES ☐ NO … individual users to be granted rights/permissions to identify and designate (e.g., label or tag) individual emails as either permanent or temporary (for example, a non-Capstone user can tag specific emails as permanent).

☐ YES ☐ NO … the differentiation between "general users" and "administrators," who may have access to more functionality within the system. For example, specific administrators (RM staff, IT staff) may have longer periods to re-categorize email.

☐ YES ☐ NO … the accounts associated with individuals who moved from a non-Capstone position (temporary) to a Capstone position (permanent), or vice versa, to be divided to allow split disposition.

☐ YES ☐ NO … the records related to other functions within the email system (calendars, tasks, lists, and chats) to be separated from the email, or it is confirmed that they can only be managed and/or disposed of together.

Legacy / Inactive accounts:

The agency can identify and determine …

☐ YES ☐ NO … the volume of legacy or inactive accounts (e.g., a body of email dating before Capstone implementation). An agency may decide to include such accounts in the scope of their Capstone implementation.

☐ YES ☐ NO … whether these accounts are permanent or temporary based on the agency's designation of Capstone officials.

☐ YES ☐ NO … if accounts associated with individuals who moved from a non-Capstone position (temporary) to a Capstone position (permanent), or vice versa, can be divided to allow split disposition.

☐ YES ☐ NO … if these accounts meet other requirements mentioned above, including format guidance, metadata requirements, etc. (for example, the account is in an accessible format).