

Capstone Planning Checklist

This checklist will assist agencies with planning and implementing a Capstone approach at their agency.

There are various ways to implement a Capstone approach. Agencies should develop an implementation plan for a Capstone approach that meets their business and legal needs. Federal agencies are encouraged to consider Capstone as an approach that may help them meet the requirements of section 1.2 of the Managing Government Records Directive (M-12-18), which states that agencies will manage all email electronically by December 31, 2016.

Current Email Management Program

My agency's current email management:

- yes no Practices and policies are compliant
- yes no Storage capacity is affected by legacy email
- yes no Legacy email is managed
- yes no Solution meets our business needs and requirements
- yes no Solution complies with M-12-18

If you answered "no" to any of the above, then a Capstone approach should be considered.

Agency Stake-Holder Involvement

Which agency stakeholders listed below should be involved in the planning and implementation of a Capstone approach?

- Senior Agency Official (SAO) for Records Management
- Agency Records Officer
- Departmental Records Officer, if applicable
- Chief Information Officer
- General Counsel
- FOIA Office Representative
- Privacy Office Representative
- NARA Appraisal Archivist
- Other Stakeholders, e.g. Procurement Staff

Legal Considerations

Does my agency's Capstone approach:

- yes no Conflict with other regulations and/or requirements
- yes no Address FOIA requirements
- yes no Address Privacy Act requirements
- yes no Mitigate my General Counsel's concerns regarding Capstone implementation
- yes no Other

Capstone Approach Scope

My Capstone implementation scope will apply to:

- The entire agency
- Only specific offices and/or regions

And

- Legacy email accounts
- Day forward email accounts
- A specific email platform or email archiving solution

Implementation Factors

My system/technology in use for our Capstone approach:

- yes no Identifies permanent and temporary accounts
- yes no Manages and updates account designations
- yes no Supports transfer requirements for permanent records
- yes no Supports disposal requirements for temporary accounts

If “no”, can all of the above be accomplished manually or through a combination of automated and manual policies and processes?

My agency has supported a Capstone implementation rollout by:

- Updating and issuing agency policies
- Developing and conducting agency-wide training
- Other

Specific Records Management Considerations

My agency’s Capstone approach will allow (check all that apply):

- Manual end-user culling (e.g., deletion of non-record material)
- Automated culling using technology
- No culling
- Manual end-user categorization (e.g., non-record to record)
- Automated categorization using technology
- No categorization

General Considerations

My agency’s Capstone approach takes into account:

- Continued requirements to cross-file email with related records (e.g., case file)
- Email may be kept longer than necessary
- Email may be kept shorter than necessary
- All content in email accounts designated as permanent will be transferred to NARA
- All content, including personal, in email accounts will be considered record
- Other