

## Request for Records Disposition Authority

Records Schedule Number DAA-0064-2014-0001

Schedule Status Proposed

Agency or Establishment National Archives and Records Administration

Record Group / Scheduling Group Records of the National Archives and Records Administration

Records Schedule applies to Agency-wide

Schedule Subject Agency Electronic Mail Records (Email)

Internal agency concurrences will be provided No

### Background Information

The Managing Government Records Directive (OMB-M-12-18) requires that

“[b]y 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format....” Based on the results of several studies on email management (NARA Bridge Proof of Concept / NARA Email Management 2.0 study), NARA is seeking authority to manage email under the “Capstone Approach.” This approach acknowledges that the email records of senior agency officials document high-level policy and operational decisions and includes significant and historically valuable communications of the agency.

Capstone, employed with the IT infrastructure necessary to support it, should improve email records management by simplifying the records schedule for email, and automating email capture and management . In particular, Capstone should substantially reduce the records management burden on individual email users by basing email records retention on the mailbox owner’s role in NARA rather than on the content of each email record, and by automating email capture and management according to the simplified, role-based Capstone retention periods. Using Capstone’s simplified and automated management approach should help ensure that all NARA email is managed efficiently as electronic records in full compliance with OMB-M-12-18.

NARA users will still have individual responsibility to understand that the materials they create and receive day-to-day may or may not be records, whether email or not, and to use tools in the email system to manually weed out non-record (including personal) material prior to capture as official record.

NARA will implement policy and training on how to use both the email system and the electronic recordkeeping system. This will include identifying record and non-record email, weeding non-record material, and other filing requirements and responsibilities (such as cross-filing email with related case files, etc.).

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

GAO Approval

APPROVAL PENDING

## Outline of Records Schedule Items for DAA-0064-2014-0001

Sequence Number	
1	Email Records of Designated Capstone Officials Disposition Authority Number: DAA-0064-2014-0001-0001
2	Email Records Captured from Email Accounts Not Designated as Capstone Officials Disposition Authority Number: DAA-0064-2014-0001-0002

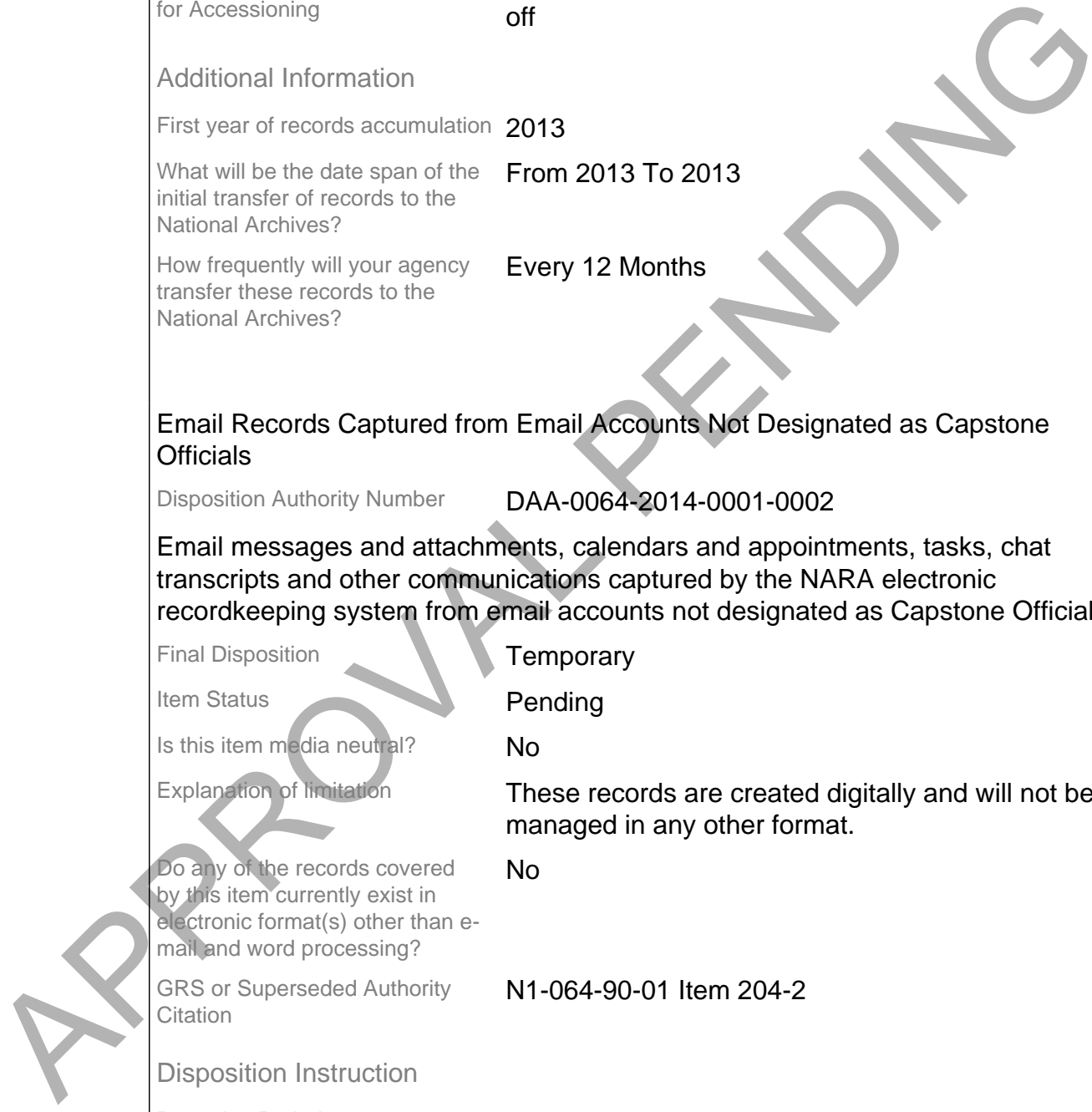
APPROVAL PENDING

## Records Schedule Items

Sequence Number													
1	<p data-bbox="341 380 1031 411"><b>Email Records of Designated Capstone Officials</b></p> <p data-bbox="341 432 1153 464">Disposition Authority Number      <b>DAA-0064-2014-0001-0001</b></p> <p data-bbox="341 485 1528 1356">Email messages and attachments, calendars and appointments, tasks, chat transcripts and other communications captured by the NARA electronic recordkeeping system. NARA captures these email records from email accounts of agency Capstone officials designated as creating and receiving email records that document high-level policy and operational decisions. Such accounts may also include secondary accounts and/or accounts maintained by assistants. For NARA, designated Capstone officials include positions such as: Archivist of the United States; Deputy Archivist of the United States; Chief Operating Officer; Director, Congressional Affairs; Director, EEO Program; General Counsel; Director, NHPRC; Executive, Agency Services; Chief Records Officer; Director, Federal Records Center Program; Director, NPRC; Director, ISOO; Director, National Declassification Center; Director, Government Information Services; Executive for Business Support Services; Chief Financial Officer; Director, Federal Register; Chief Human Capital Officer; Chief Information Officer; Deputy Chief Information Officer; Executive for Legislative Archives, Presidential Libraries, and Museum Services; Director, Center for Legislative Archives; Director, Presidential Materials Division; Director, Office of Presidential Libraries; Director of each Presidential Library; Inspector General; Executive for Research Services; Access Coordinators; Director, Preservation Programs; Chief Strategy and Communications Officer; and Chief Innovation Officer. This disposition is effective with the implementation of the agency-wide electronic mail recordkeeping system as of January 22, 2013. This disposition may also be manually applied to email records migrated into that system from prior electronic systems.</p> <table data-bbox="341 1377 1528 1839"> <tr> <td data-bbox="341 1377 730 1409">Final Disposition</td> <td data-bbox="747 1377 1528 1409">Permanent</td> </tr> <tr> <td data-bbox="341 1430 730 1461">Item Status</td> <td data-bbox="747 1430 1528 1461">Pending</td> </tr> <tr> <td data-bbox="341 1482 730 1514">Is this item media neutral?</td> <td data-bbox="747 1482 1528 1514">No</td> </tr> <tr> <td data-bbox="341 1535 730 1566">Explanation of limitation</td> <td data-bbox="747 1535 1528 1619">These records are created digitally and will not be managed in any other format.</td> </tr> <tr> <td data-bbox="341 1640 730 1766">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td data-bbox="747 1640 1528 1671">No</td> </tr> <tr> <td data-bbox="341 1776 730 1839">GRS or Superseded Authority Citation</td> <td data-bbox="747 1776 1528 1808"><b>N1-064-90-01 Item 204-1</b></td> </tr> </table> <p data-bbox="341 1871 657 1902">Disposition Instruction</p>	Final Disposition	Permanent	Item Status	Pending	Is this item media neutral?	No	Explanation of limitation	These records are created digitally and will not be managed in any other format.	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No	GRS or Superseded Authority Citation	<b>N1-064-90-01 Item 204-1</b>
Final Disposition	Permanent												
Item Status	Pending												
Is this item media neutral?	No												
Explanation of limitation	These records are created digitally and will not be managed in any other format.												
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No												
GRS or Superseded Authority Citation	<b>N1-064-90-01 Item 204-1</b>												

Cutoff Instruction	Cut-off at the end of the fiscal year
Transfer Electronic Records to the National Archives for Pre-Accessioning	Transfer electronic records to the National Archives for pre-accessioning immediately after cut-off
Transfer to the National Archives for Accessioning	Transfer to the National Archives 15 year(s) after cut-off
<b>Additional Information</b>	
First year of records accumulation	2013
What will be the date span of the initial transfer of records to the National Archives?	From 2013 To 2013
How frequently will your agency transfer these records to the National Archives?	Every 12 Months
<b>Email Records Captured from Email Accounts Not Designated as Capstone Officials</b>	
Disposition Authority Number	DAA-0064-2014-0001-0002
Email messages and attachments, calendars and appointments, tasks, chat transcripts and other communications captured by the NARA electronic recordkeeping system from email accounts not designated as Capstone Officials.	
Final Disposition	Temporary
Item Status	Pending
Is this item media neutral?	No
Explanation of limitation	These records are created digitally and will not be managed in any other format.
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	N1-064-90-01 Item 204-2
<b>Disposition Instruction</b>	
Retention Period	Destroy no earlier than 7 years after capture in the electronic recordkeeping system.
<b>Additional Information</b>	
GAO Approval	Not Required

2



## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
11/08/2013	Certify	Richard Marcus	Records Officer	Office of Information Services - Records management Staff

APPROVAL PENDING

## Executive Summary

### Summary

Permanent Item Numbers 0001

Federal Register Notice

Publication Date

Copies Requested 0

Comments Received 0

APPROVAL PENDING