Managers’ Briefing

Capstone Approach to Email Management

March 13, 2014

• 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:

- Department Accounts of Department AB
- Agency A
- Agency B
- Department employees with temporary accounts
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:

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