

Email and Electronic Messages Transfer Checklist and Instructions

NARA may accept early transfers of permanent Capstone official email and electronic messages for agencies being reorganized that do not have a successor or have been minimized, to the maximum extent possible. If the functions of the agency are moving to a successor entity, that successor entity remains responsible for managing all temporary and permanent records that have not yet met their disposition.

This means that NARA will accept legal custody of the records earlier than prescribed in the applicable agency-specific records disposition schedule or approved form NA-1005 (GRS 6.1) for agencies that do not have a successor or have been minimized to the maximum extent possible. This is not pre-accessioning. NARA will verify that the proposed Capstone records and metadata are complete and accessible. At that time NARA will notify the agency when full legal custody has been accepted.

This document is to help agencies work with NARA to transfer these records as quickly and efficiently as possible. If you would like to discuss this document or need assistance with any of the instructions please contact GRS_Team@nara.gov.

CHECKLIST:

- ☐ Confirm your disposition authority (see instruction 1)
- ☐ Capture and package the permanent email for transfer (see instruction 2)
- ☐ Prepare transfer documentation (see instruction 3)
- ☐ Identify access restrictions (see instruction 4)
- ☐ Prepare the transfer request (TR) in ERA (see instruction 5)
- ☐ Work with NARA to finalize the transfer (see instruction 6)
- ☐ Manage temporary email appropriately (see instruction 7)

If you need assistance with the transfer of any electronic records: Additional information on transferring electronic records to NARA, including email and electronic messages, may be found on NARA's [Accessioning Electronic Records](#) webpage. You may also reach out to etransfers@nara.gov with any questions.

STEPS / INSTRUCTIONS:

1. Confirm that your agency has disposition authority for “Capstone official” email and / or electronic messages, either via an agency-specific records disposition schedule or an approved form NA-1005 authorizing the use of GRS 6.1.

Resources:

Your agency's most current disposition schedules may be [found here](#), including your agency's most recently approved form NA-1005 if your agency is using [GRS 6.1](#).

If you need assistance determining the status of your disposition authorities, or know you do not have disposition authority for these records, please contact GRS_Team@nara.gov.

2. Work with your information technology team(s) and / or email service provider(s) to facilitate capture, packaging, and export of the permanent email of those officials listed on your disposition schedule or approved form NA-1005.

Resources:

Acceptable file formats for email records are outlined in [Appendix A: Tables of File Formats](#) of NARA Bulletin 2014-04. Appendix A includes formats for aggregates of email (at the account level) and for individual email records. Most agencies using a Capstone Approach will likely be transferring aggregates of email, driven by the account level. **This is the preferred method of packaging email for transfer.** For example, one PST file (or multiple files, if needed) for each individual serving in a specific position.

NARA will not accept encrypted email. Email and any encrypted attachments must be decrypted prior to transfer to NARA. See [FAQ for GRS 6.1](#) (question 2) for more information on encrypted email.

If you are transferring electronic records not yet included on the tables of accepted file formats, please contact NARA at rmstandards@nara.gov.

NOTE: if your agency has any issues with any of the above requirements please reach out to etransfers@nara.gov to discuss other options.

3. Prepare transfer documentation for the records being transferred.

Resources:

The [FAQ for GRS 6.1](#) (question 3) explains the level of documentation required when transferring email and electronic messages. See the FAQ for an example of acceptable documentation.

NOTE: If your agency has any issues with creating this documentation, please reach out to etransfers@nara.gov to discuss other options.

4. Identify access restrictions prior to proposing a transfer to NARA. NARA is required to apply all appropriately identified access restrictions to the records.

Resources:

Please complete the [checklist for early transfer](#) to assist in identifying access restrictions (to the best of your ability). The completed checklist should be submitted to etransfers@nara.gov.

The [FAQ for GRS 6.1](#) (question 4) provides additional information on access restrictions and reiterates that NARA is taking over all legal responsibility for the records. If an agency is unable to identify access restrictions, NARA will still apply certain FOIA restrictions until a review can be conducted.

Your agency's Legal Counsel, FOIA office, and privacy officer can help identify access restrictions.

5. Prepare a transfer request (TR) in ERA 2.0. The disposition authority for the transfer will either be an agency-specific schedule, or (for most agencies) GRS 6.1 (DAA-GRS-2022-0006-0001).

Resources:

Information on using ERA 2.0 to submit a transfer request (TR) may be found in the [ERA user manuals](#).

The login for ERA 2.0 may be [found here](#).

If you need an ERA account, [follow the instructions here](#). It can usually be established within a day or two.

If you are unable to establish an account, reach out to etransfers@nara.gov to discuss alternative methods of transfer, including the use of the SF-258.

6. Work directly with the NARA custodial unit accepting the transfer.

Resources:

Contact etransfers@nara.gov for assistance with your transfer of electronic records. They can answer questions about documentation, file formats, methods of transfer, and logistics of creating a transfer request. They will also reach out directly to your agency if they have questions about a transfer.

7. Continue to manage temporary (non-Capstone) email and electronic messages records as required by the disposition authority.

Resources:

For functions moving to other agencies, your agency should work with the receiving agency to transfer records that have not yet met their disposition. Additional general information related to this scenario [may be found here](#). The receiving agency will take over legal custody of the records. This transfer may include packaging email in aggregate bodies (PST files, etc.). Contact information for agency records officers [may be found here](#).

For functions being completely eliminated or for assistance in reaching other agencies contact your [NARA Appraisal Archivist](#) for additional guidance.

ADDITIONAL REMINDERS:

1. This is not pre-accessioning. Full legal custody of the records will transfer to NARA.
2. It is the responsibility of the transferring agency to identify access restrictions as part of the transfer request (TR) process.
3. If you do not have disposition authority for your email and / or electronic messages, you must manage those records as permanent until a disposition authority is approved.