

## Request for Records Disposition Authority

Records Schedule Number DAA-0064-2014-0001  
Schedule Status Returned Without Action  
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 concurrence will be provided No

Background Information The Managing Government Records Directive (OMB-M-12-18) requires that "by 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
0	0	0	2

GAO Approval

Returned Without Action

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

Returned Without Action

### Records Schedule Items

Sequence Number

1

#### Email Records of Designated Capstone Officials

Disposition Authority Number: DAA-0064-2014-0001-0001

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.

Final Disposition: Permanent

Item Status: Withdrawn

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 204-1

Disposition Instruction

**Retained Without Action**

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

Additional Information

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

2

Email Records Captured from Email Accounts Not Designated as Capstone Officials

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                      Withdrawn

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

Disposition Instruction

Retention Period                      Destroy no earlier than 7 years after capture in the electronic recordkeeping system.

Additional Information

GAO Approval                      Not Required

Returned Without Action

### 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
11/08/2015	Certify	Richard Marcus	Records Officer	Office of Information Services - Records management Staff
01/26/2015	Return Without Action	Rachel BanTonkin	Supervisor, ACNR Appraisal Team 1	National Archives and Records Administration - Records Management Services

Returned Without Action