

Implementing Capstone for Email Preservation

New Methodologies for Email Management and Archiving in North
Carolina

Transforming Online Mail with Embedded Semantics (TOMES)

- 3 year grant (2015-2018)
- “Tagging” system that complements Capstone Email Management
- TOMES Tool that assists archivists in processing email accounts with enduring value



What is Capstone?

- Appraisal methodology (what records are archival and why?)



The screenshot shows the National Archives website. At the top is the National Archives logo and a search bar. Below the logo is a navigation bar with links: RESEARCH OUR RECORDS, VETERANS' SERVICE RECORDS, EDUCATOR RESOURCES, VISIT US, and AMERICA'S FOUNDING DOCUMENTS. The main content area is titled 'Records Managers' and features a sidebar with links to various resources. The main article is 'Bulletin 2013-02' dated August 29, 2013. The subject is 'Guidance on a New Approach to Managing Email Records'. The bulletin discusses the 'Capstone' approach for managing federal record emails electronically. It mentions that the approach was developed in recognition of the difficulty in practicing traditional records management on the overwhelming volume of email that Federal agencies produce. The bulletin also states that Capstone will provide agencies with feasible solutions to email records management challenges, especially as they consider cloud-based solutions. The bulletin is part of NARA's continuing efforts to evaluate how agencies have used various email repositories to manage email records. The bulletin also mentions that the approach was developed in recognition of the difficulty in practicing traditional records management on the overwhelming volume of email that Federal agencies produce. The bulletin also states that Capstone will provide agencies with feasible solutions to email records management challenges, especially as they consider cloud-based solutions. The bulletin is part of NARA's continuing efforts to evaluate how agencies have used various email repositories to manage email records.

Records Management Resources

- Email Management
- Records Management FAQs
- Memorandums to Agency Records Officers
- Federal Records Centers (FRC)
- Guidance and Policy for Accessioning
- Records Management Policy and Guidance
- Records Management Self Assessment (RMSA)
- Records Management Training
- Electronic Records Archives (ERA)
- Basic Laws & Authorities
- Meetings & Activities

Operating Status & Schedules

- View the National Archives Operating Status

Bulletin 2013-02

August 29, 2013

TO: Heads of Federal Agencies

SUBJECT: Guidance on a New Approach to Managing Email Records

EXPIRATION DATE: Expires when revoked or superseded

1. What is the purpose of this Bulletin?

This Bulletin provides agencies with a new records management approach, known as "Capstone," for managing their Federal record emails electronically. This Bulletin discusses the considerations that agencies should review if they choose to implement the Capstone approach to manage their email records.

NARA developed the Capstone approach as part of NARA's continuing efforts to evaluate how agencies have used various email repositories to manage email records (see NARA Bulletin 2011-03, "Guidance Concerning the use of E-mail Archiving Applications to Store E-mail"). This approach was developed in recognition of the difficulty in practicing traditional records management on the overwhelming volume of email that Federal agencies produce. Capstone will provide agencies with feasible solutions to email records management challenges, especially as they consider cloud-based solutions. Moreover, the Capstone approach supports the Presidential Memorandum on Managing Government Records and allows agencies to comply with the requirement in OMB/NARA M-12-18 Managing Government Records Directive to "manage both permanent and temporary email records in an accessible electronic format" by December 31, 2016.

NARA bulletins provide fundamental guidance to Federal agency staff, who must then determine the most appropriate ways to incorporate recordkeeping requirements into their business processes and identify the specific means by which their agencies will fulfill their responsibilities under the Federal Records Act.

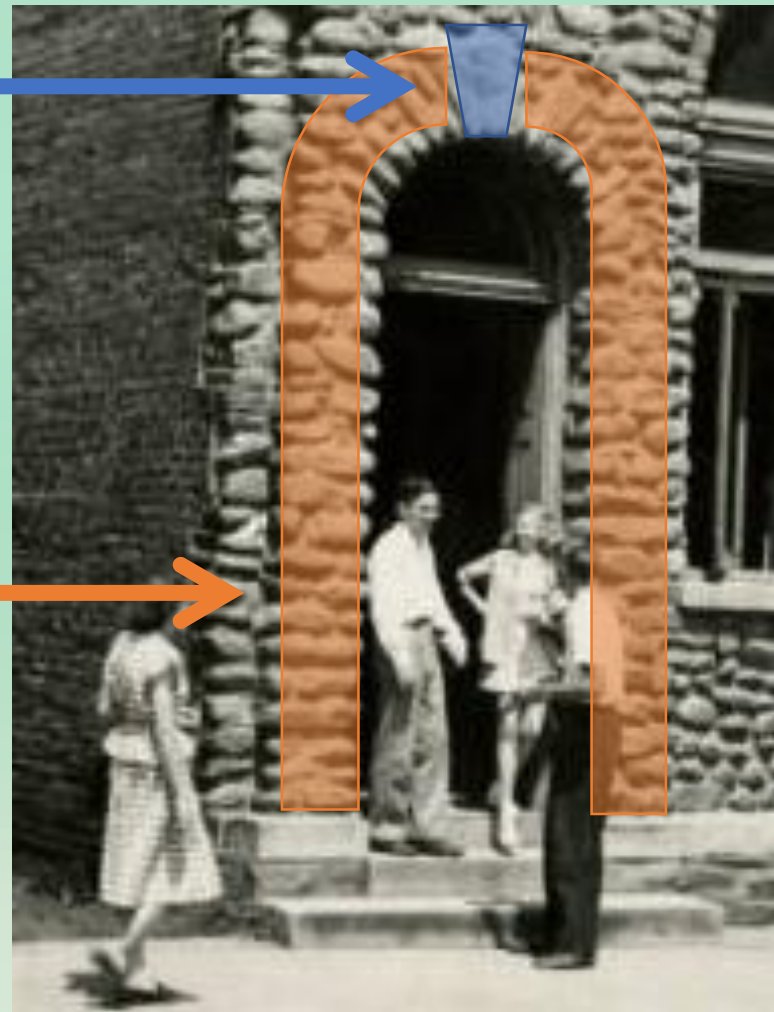
2. What is the Capstone approach?

Capstone offers agencies the option of using a more simplified and automated approach to managing email, as opposed to using either print and file systems or records management applications that require staff to file email records individually. Using this approach, an agency can categorize and

- Focus on email accounts, not email messages
- Simplifies email management for account owners and archivists

Capstone in Practice

- Email accounts containing permanent and archival email – Transfer to Archives
- All remaining email – Non-permanent; eligible for eventual destruction



Agency Survey Forms



Agency:

Please fill in the appropriate criteria for

If e-mail: the email positions every po

For the email. The email or office is

Form 1

Form 2

Form 3

APPRAISAL CRITERIA FOR STATE AGENCY E-MAIL November 2018

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PURPOSE

The State Archives of North Carolina (SANC) is tasked with the preservation of historically valuable public records, regardless of form or characteristics.¹ E-mail has become an indispensable platform for the creation of public records by North Carolina state government employees; hence, to fulfill its mandated role, SANC must identify state agency e-mail that contains records of enduring historical value in order to capture, preserve, and provide access to those records.² To that end, SANC has chosen the Capstone method of appraisal originally developed by the National Archives and Records Administration (NARA)³ to analyze positions within state government agencies to determine whether their related e-mail accounts contain records that warrant permanent retention at the State Archives. This document delineates SANC's Capstone-informed appraisal criteria for the selection of e-mail of enduring historical value.

APPROACH

State agency records retention and disposition is governed by the *Functional Schedule for North Carolina State Agencies*, a comprehensive guide to the record types created by North Carolina state government, how long agencies must keep those record types, and which record types are eligible for transfer to the

¹ See North Carolina General Statute 121, section 5(d), and General Statute 132, section 1(a), for the role of the State Archives in collecting and preserving public records with enduring value and the definition of public record in North Carolina, respectively.

² For more information, see North Carolina Department of Natural and Cultural Resources, "Transforming Online Mail with Embedded Semantics," <https://www.ncdcr.gov/resources/records-management/tomes>.

³ See National Archives and Records Administration (NARA), "White Paper on the Capstone Approach and Capstone GRS," April 2015, www.archives.gov/files/records-mgmt/e-mail-management/final-capstone-white-paper.pdf.

DIVISION OF ARCHIVES AND RECORDS GOVERNMENT RECORDS SECTION

919-814-6900

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or functions that are not represented in
nently. See page 4 of this form for

page 4 or are already being captured in
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stone list. Your agency may not have
roduce archival email.

chedule record type they create in

Officials

responsibilities, such as rulemaking
first from position to position

tion for State Agency Email for more

tions

FOR EMAIL COLLECTION	DATE FOR EMAIL COLLECTION

mail

Agency Survey Forms

1. **The head of the agency, such as the secretary, commissioner, Council of State member, superintendent, director, president, or equivalent.** The very top executive of the agency. Most agencies will have one position for this category, although the one position may have multiple email accounts.


NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION

Predecessors (from January 2011-present):

NAME	POSITION TITLE/ROLE	EMAIL ADDRESS	BEGINNING & ENDING DATES IN THIS POSITION

Tagging Archival Accounts

3. Supervisors and heads of significant business units, and units Those major program offices of business units that are not covered by other categories.

 NORTH CAROLINA Office of State Human Resources

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	EMAIL ADDRESS	
Sarah Koonts	Director, Archives & Records	55555555	Sarah.Koonts@ncdcr.gov	~2012

State Archivist

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55555555

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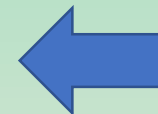
New Archivist



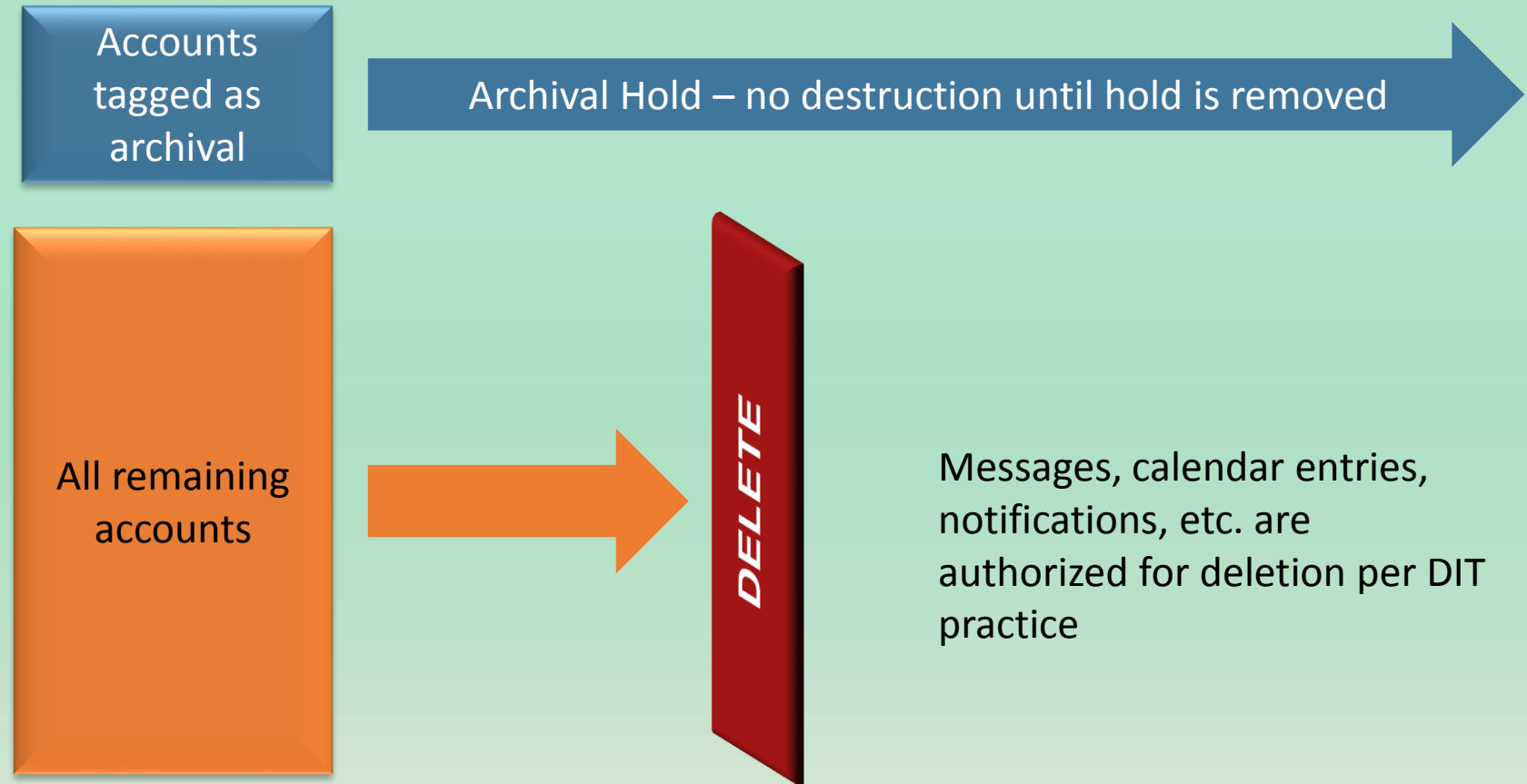
New.Archivist@ncdcr.gov

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Archival



Tagging Archival Accounts



Care and Keeping

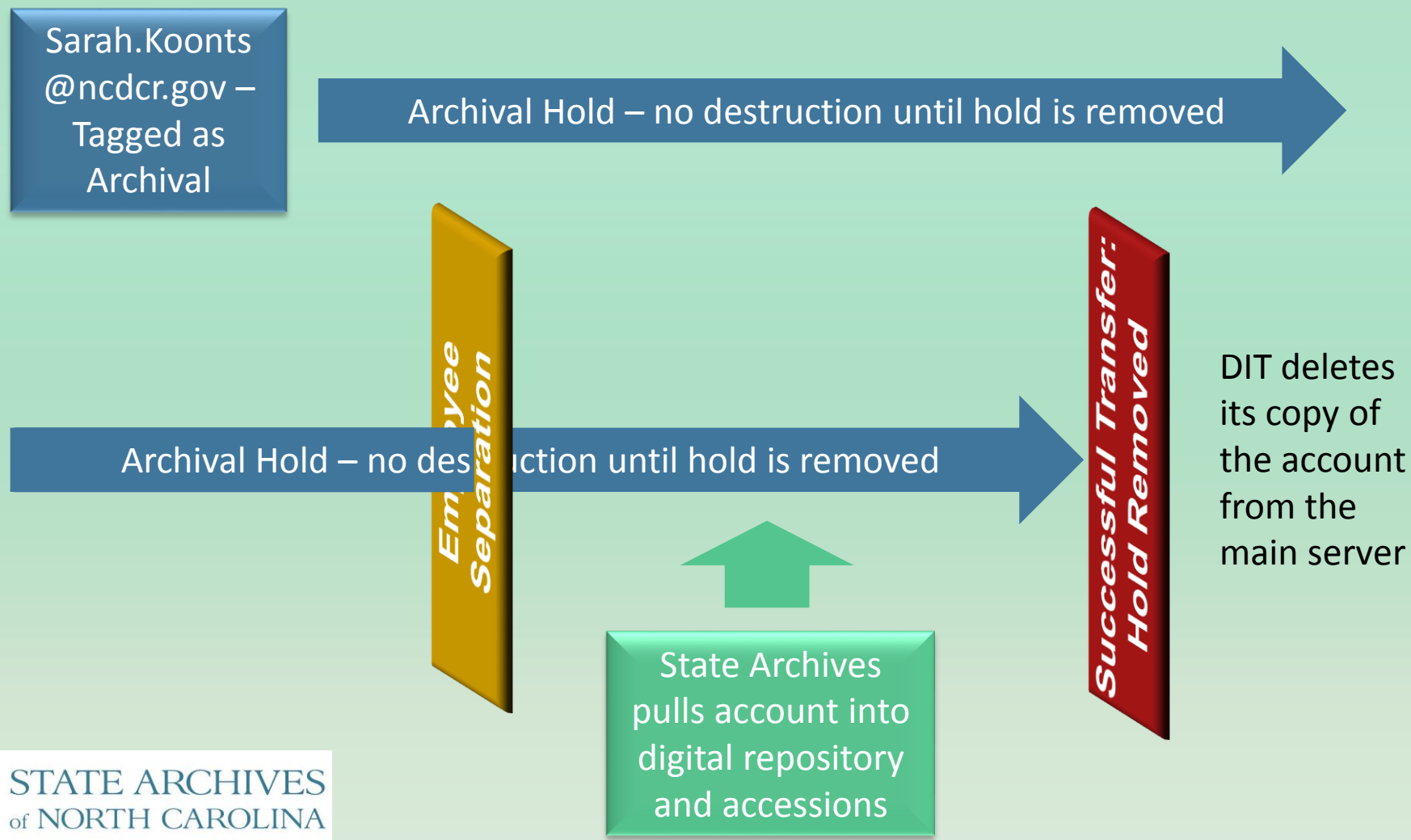
Annual List of Capstone Positions sent to CROs in April – Please Document

- Changes in organizational structure or employee duties that affect positions' Capstone status
- New Capstone position numbers (if any)
- Departing Capstone position numbers (if any)
- Departure dates of separated employees in Capstone positions

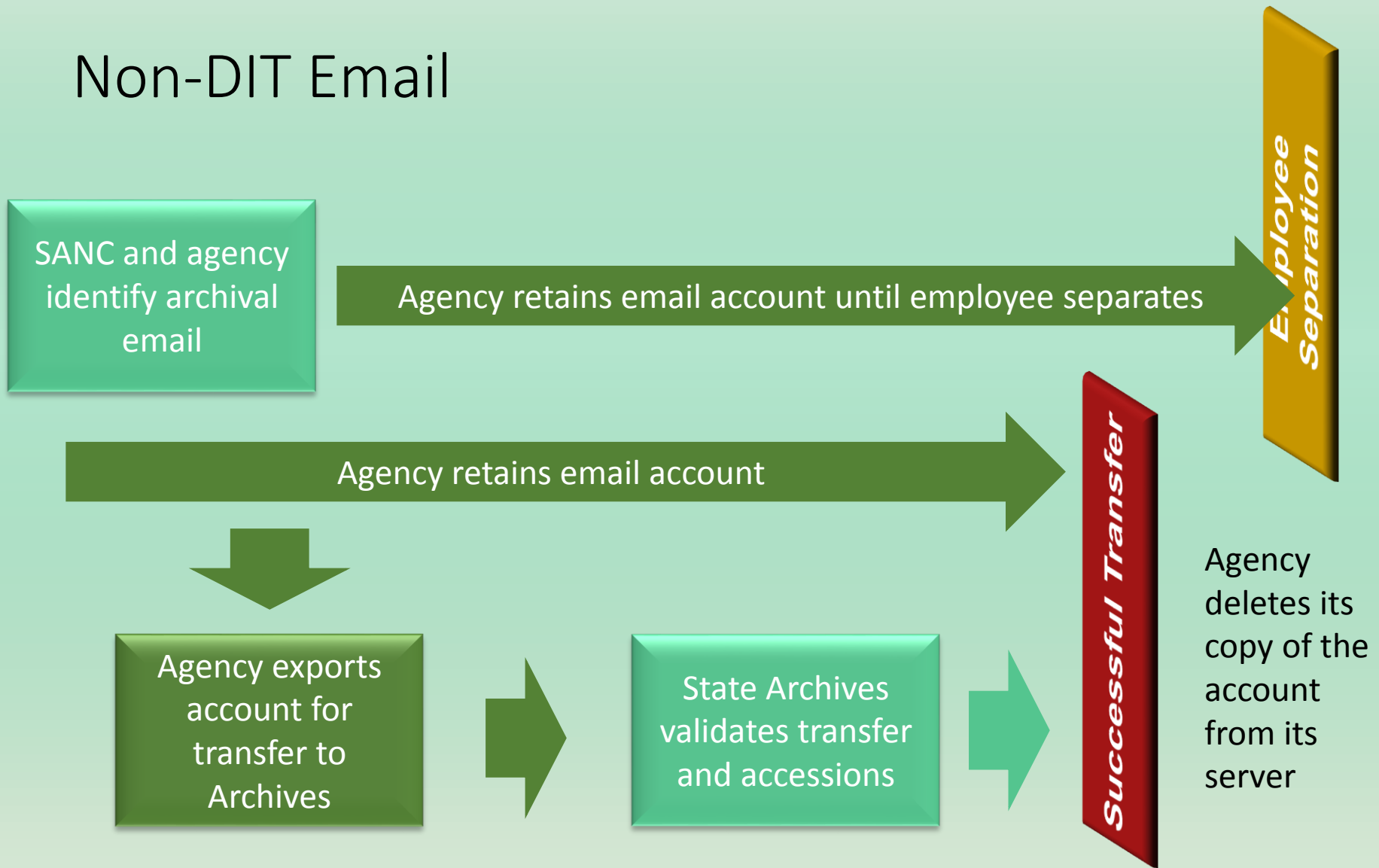
Significant Reorganizations

- Please contact your analyst once these are complete
- We will keep an eye on statutory changes and reach out, but may not catch everything

Transferring Accounts to the Archives



Non-DIT Email

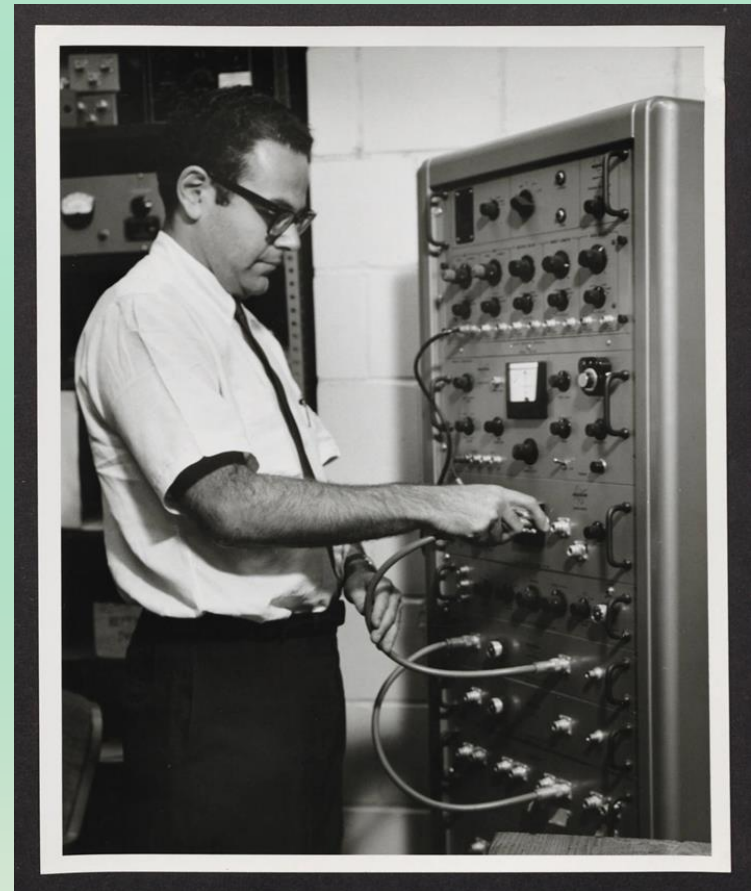


Processing Archival Email

- The TOMES Tool
 - “Reads” email using Natural Language Processing
 - *Natural language processors use rules of syntax and semantics to parse ordinary language into a form that a machine understands.*
(SAA Glossary of Archival and Records Terminology, 2005)
 - Looks for confidential information and terms specific to North Carolina government



- Digital Archivist Expertise



The TOMES Tool

Hi,

Can the TOMES software recognize SSNs?

For example, would it tag 721-07-4426 as an SSN?
Don't worry, I got the number from Wikipedia.

Thanks,
Fred

ps:

```
<SingleBody>
  <Charset>us-ascii</Charset>
  <BodyContent>
    <Content>
      <![CDATA[
        <tagged_content xmlns="http://archives.ncdcr.gov/mail-account/tagged-content/">
          Hi,
          Can the TOMES software recognize SSNs?
          For example, would it tag <tagged
          Don't worry, I got the number fro
          Thanks,
          <tagged entity="PERSON" authority
          ps: I'm enjoying my vacation from
          </tagged_content>
        ]]>
      </Content>
    </BodyContent>
  </SingleBody>
```

Hi,

Can the TOMES software recognize SSNs?

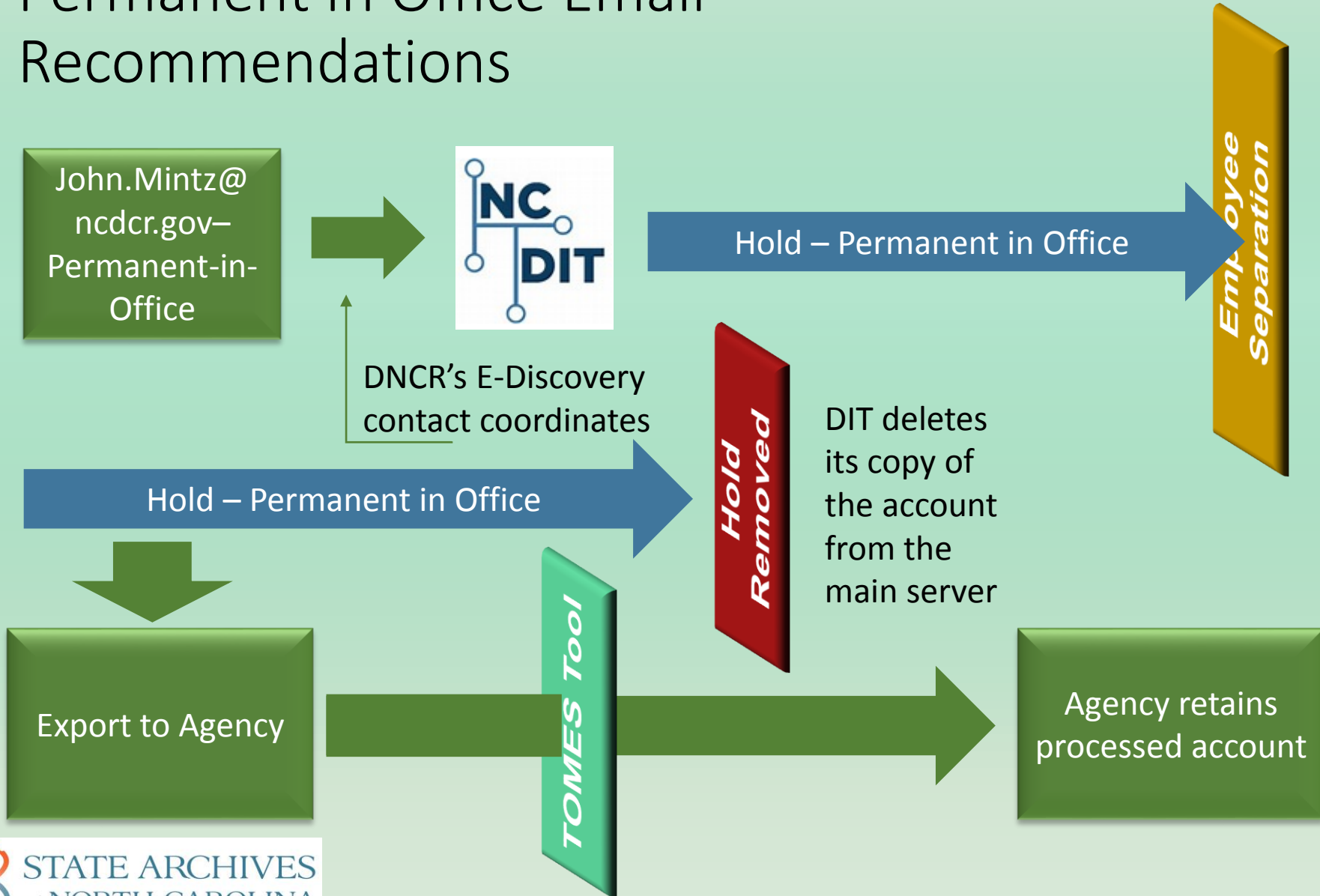
For example, would it tag 721-07-4426 as an SSN?
Don't worry, I got the number from Wikipedia.

Thanks,

Fred

ps: I'm enjoying my vacation from Paris.

Permanent In Office Email - Recommendations



Take-Aways

- Archival email is eligible for transfer to the Archives after employee separation
 - All requests for email of current employees should still go through the creating agency
 - The Archives will not fulfill requests to access records that are still in the custody of the creating agency
- Email in the custody of the Archives is processed on request
 - Archivists process email accounts with the assistance of computers
 - Email will not be disclosed until it has been processed and reviewed for confidential information
 - We do not have plans to place email online for general public inspection
- Non-archival email can be authorized for destruction once all archival positions are identified
- Analysts will work with agencies to ensure that the Archives' information on positions that create archival email is still accurate