Implementing Capstone for Email Preservation

New Methodologies for Email Management and Archiving in North Carolina

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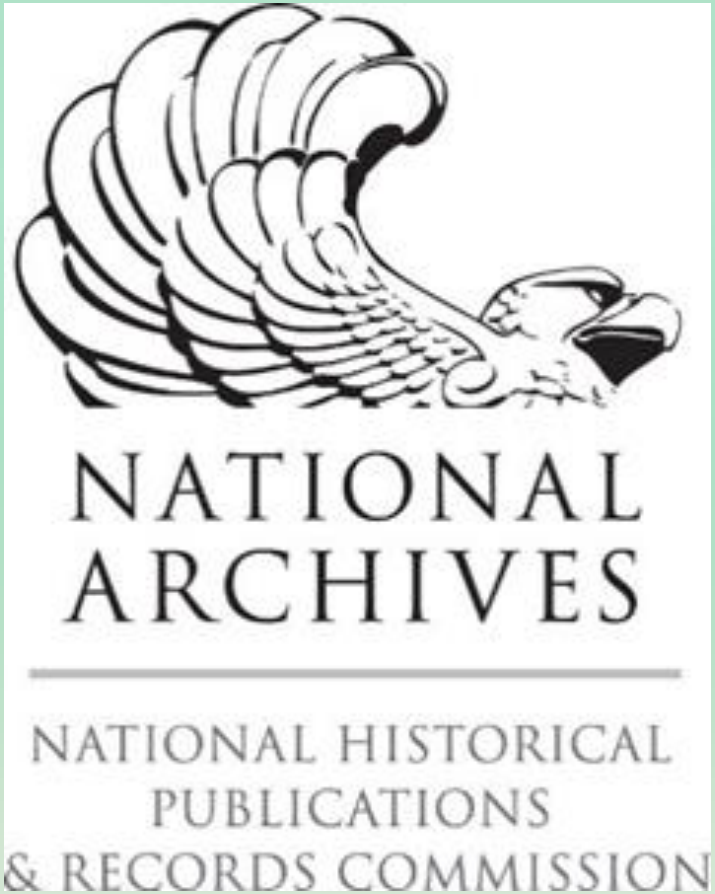
Transforming Online Mail with Embedded Semantics (TOMES)

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



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What is Capstone?

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Records Managers

Home > National Archives Records Management Information Page > NARA Bulletins > Bulletin 2013-02

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EXPIRATION DATE: Expires when revoked or superseded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

- Appraisal methodology (what records are archival and why?)
- Focus on email accounts, not email messages
- Simplifies email management for account owners and archivists

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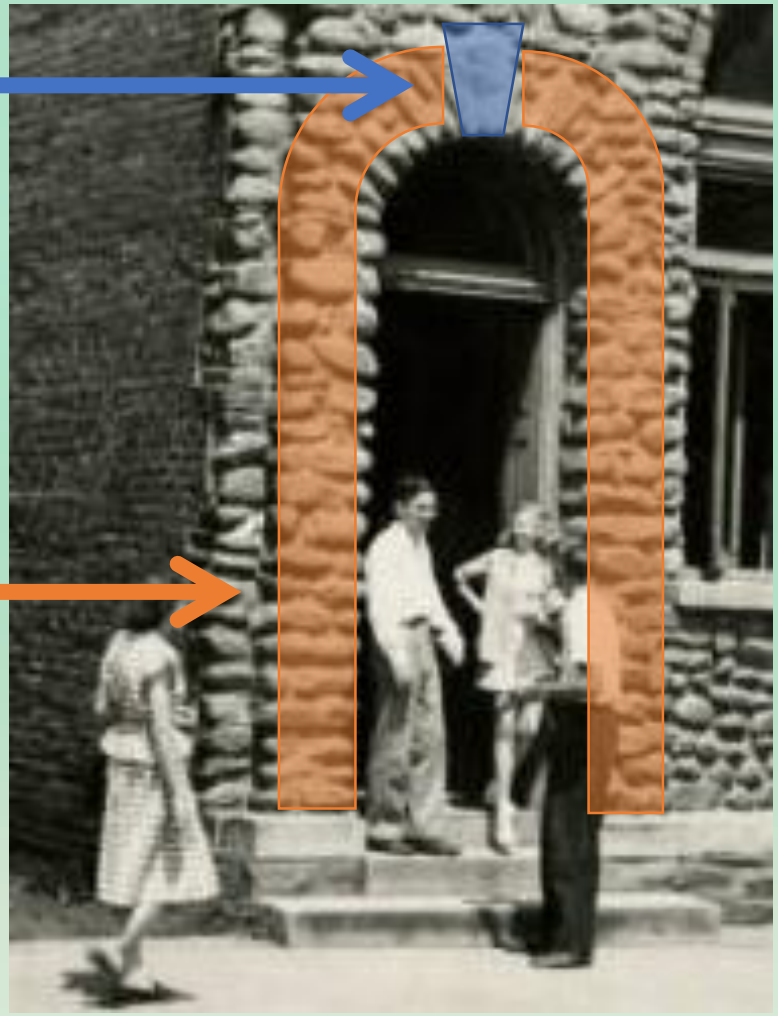
Capstone in Practice

- Email accounts containing permanent and archival email – Transfer to Archives

- All remaining email – Non-permanent; eligible for eventual destruction



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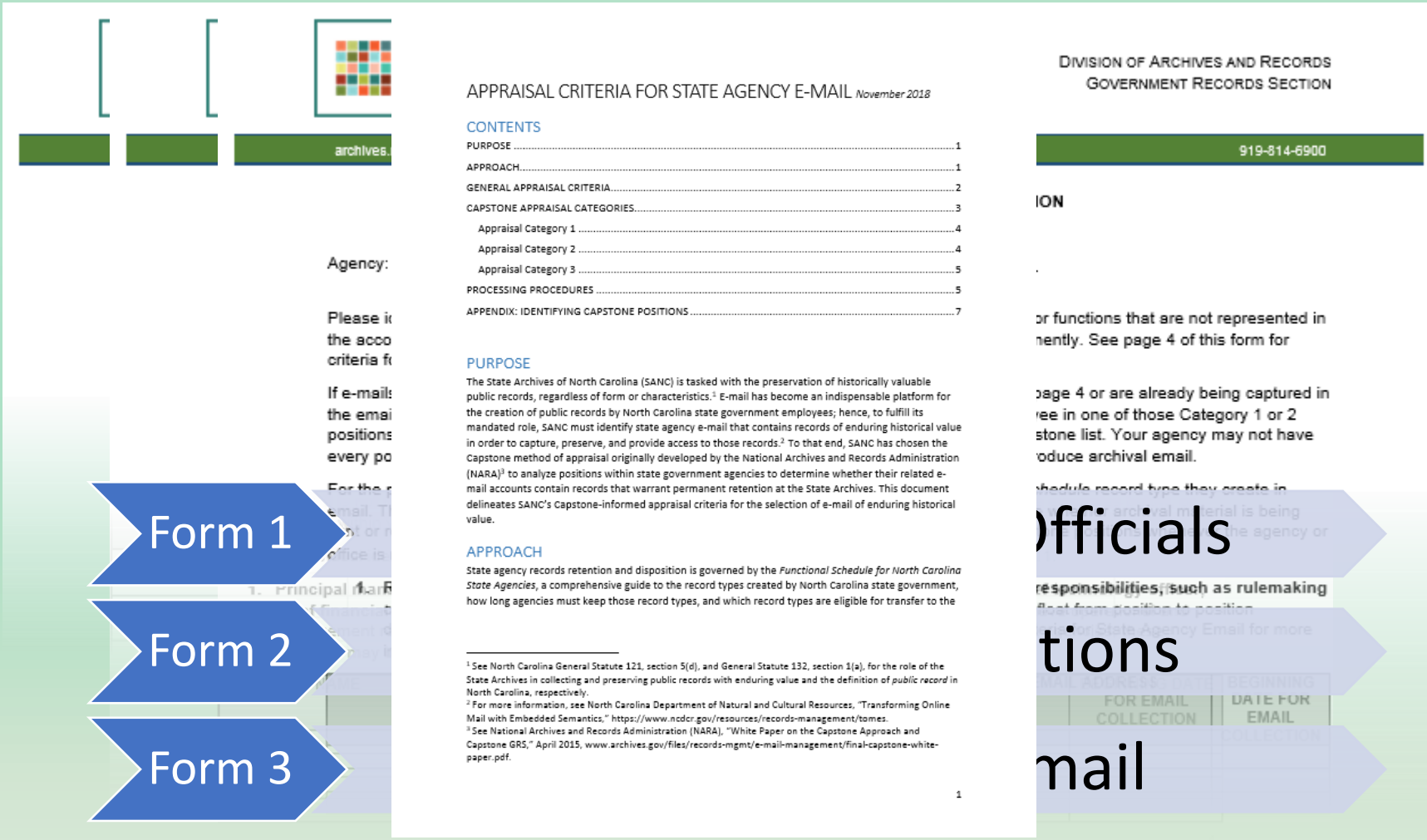
Agency Survey Forms



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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

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Tagging Archival Accounts

3. **Supervisors and heads of significa** ... **s, and units** Those
major program offices ... busi ... sion. ... agen
be covered by other categories

NORTH CAROLINA Office of *State Human Resources*

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

State Archivist
=
55555555
=
New Archivist

NC DIT

New.Archivist@ncdcr.gov
=
Archival

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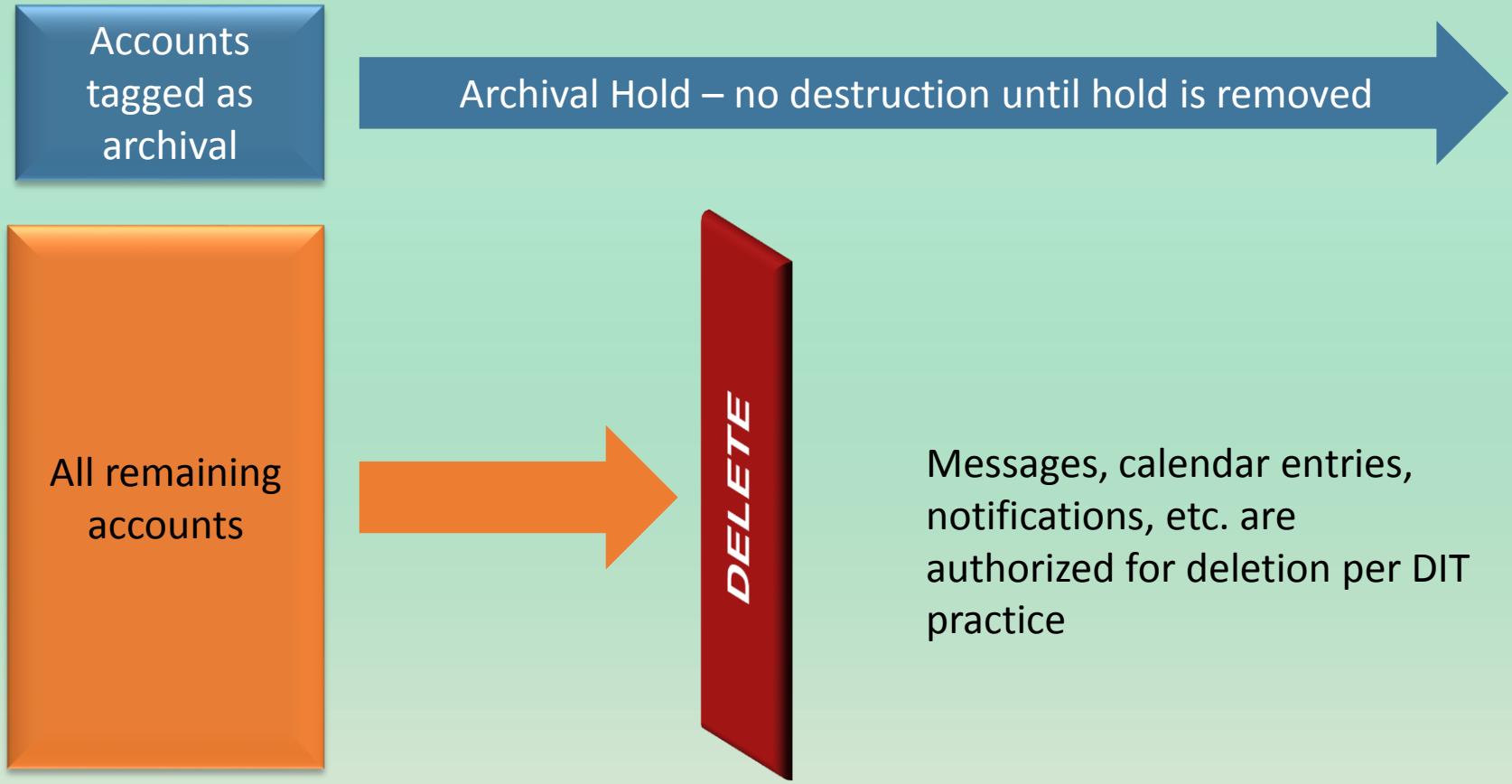
Tagging Archival Accounts



Messages, calendar entries, notifications, etc. are authorized for deletion per DIT practice

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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

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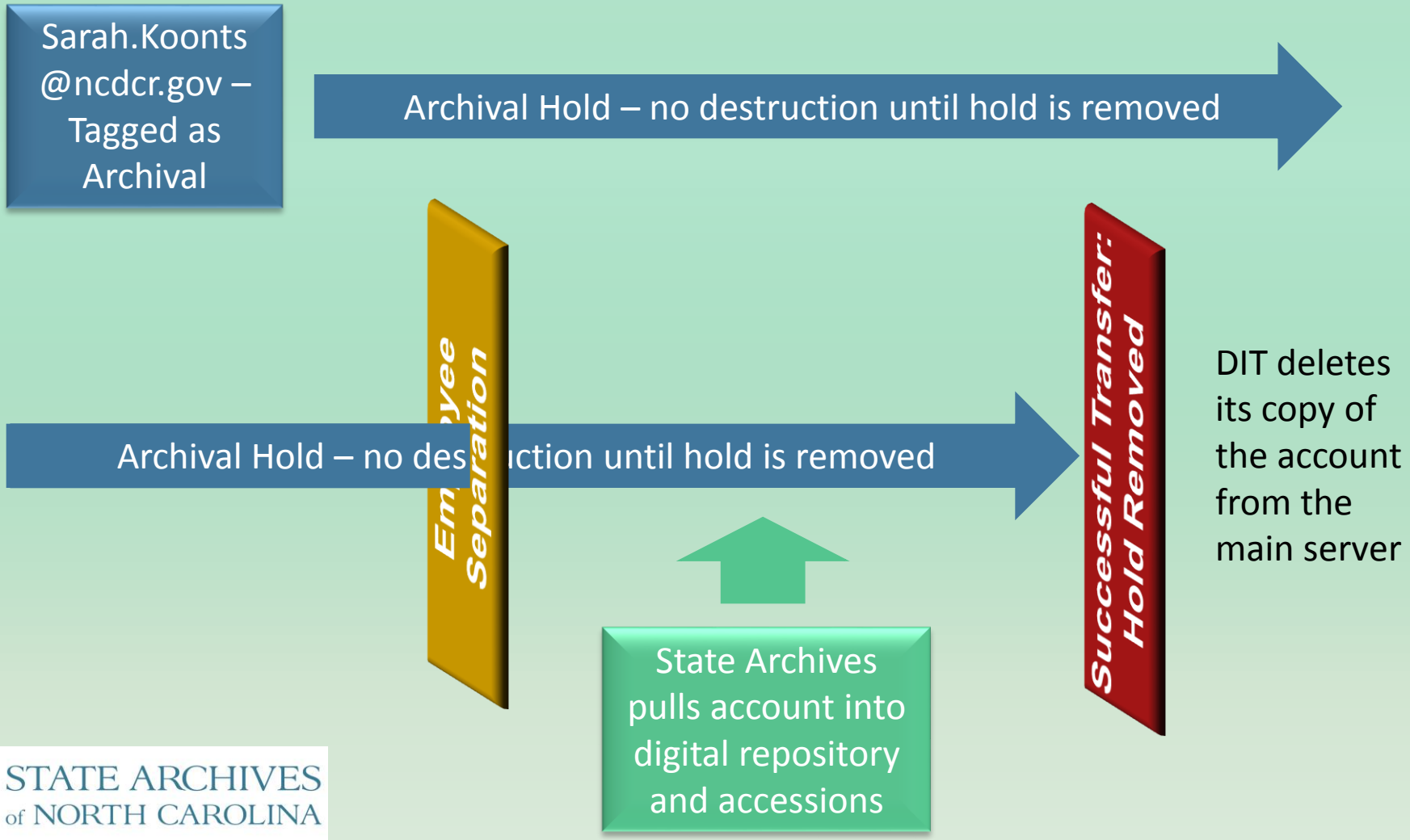
Transferring Accounts to the Archives



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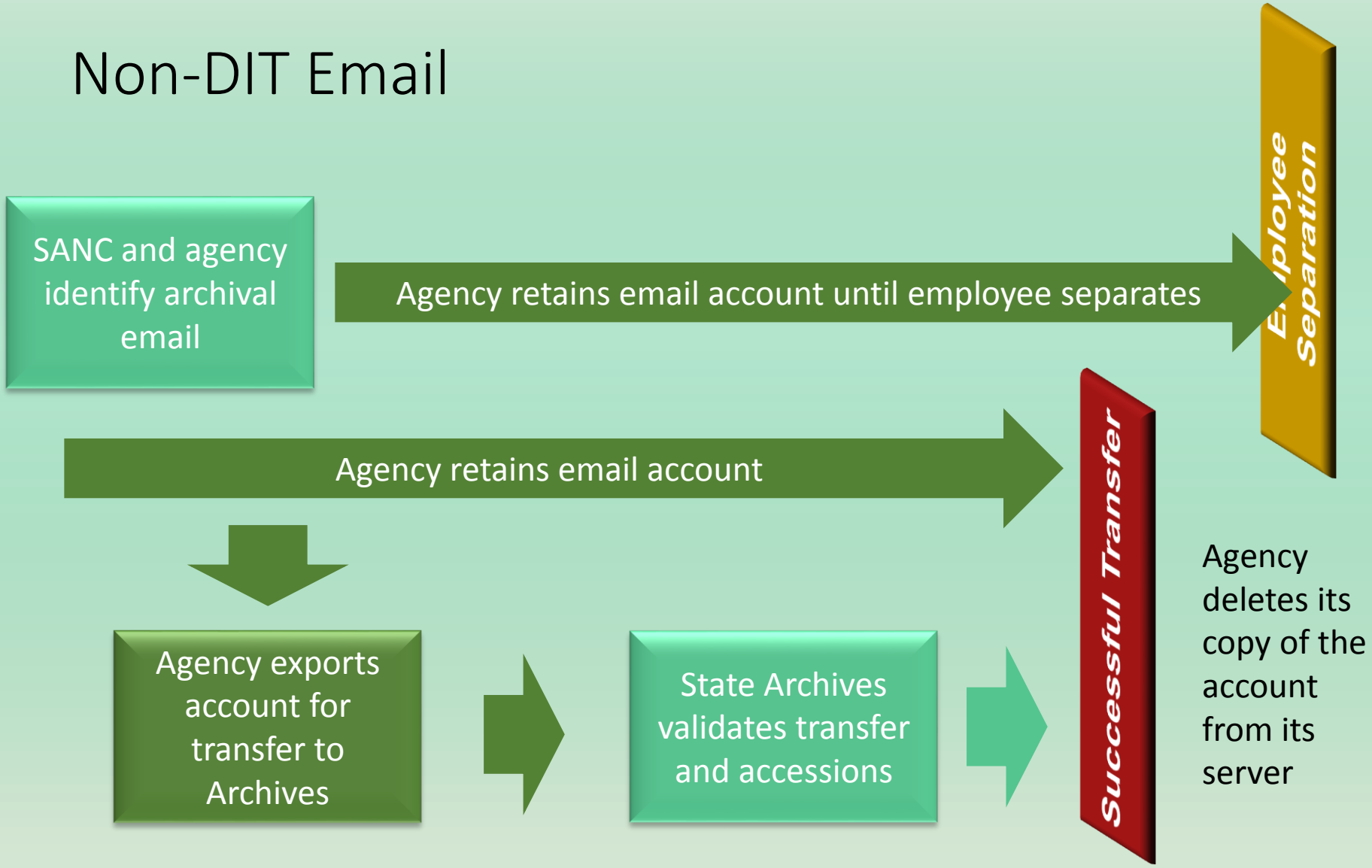
Non-DIT Email



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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

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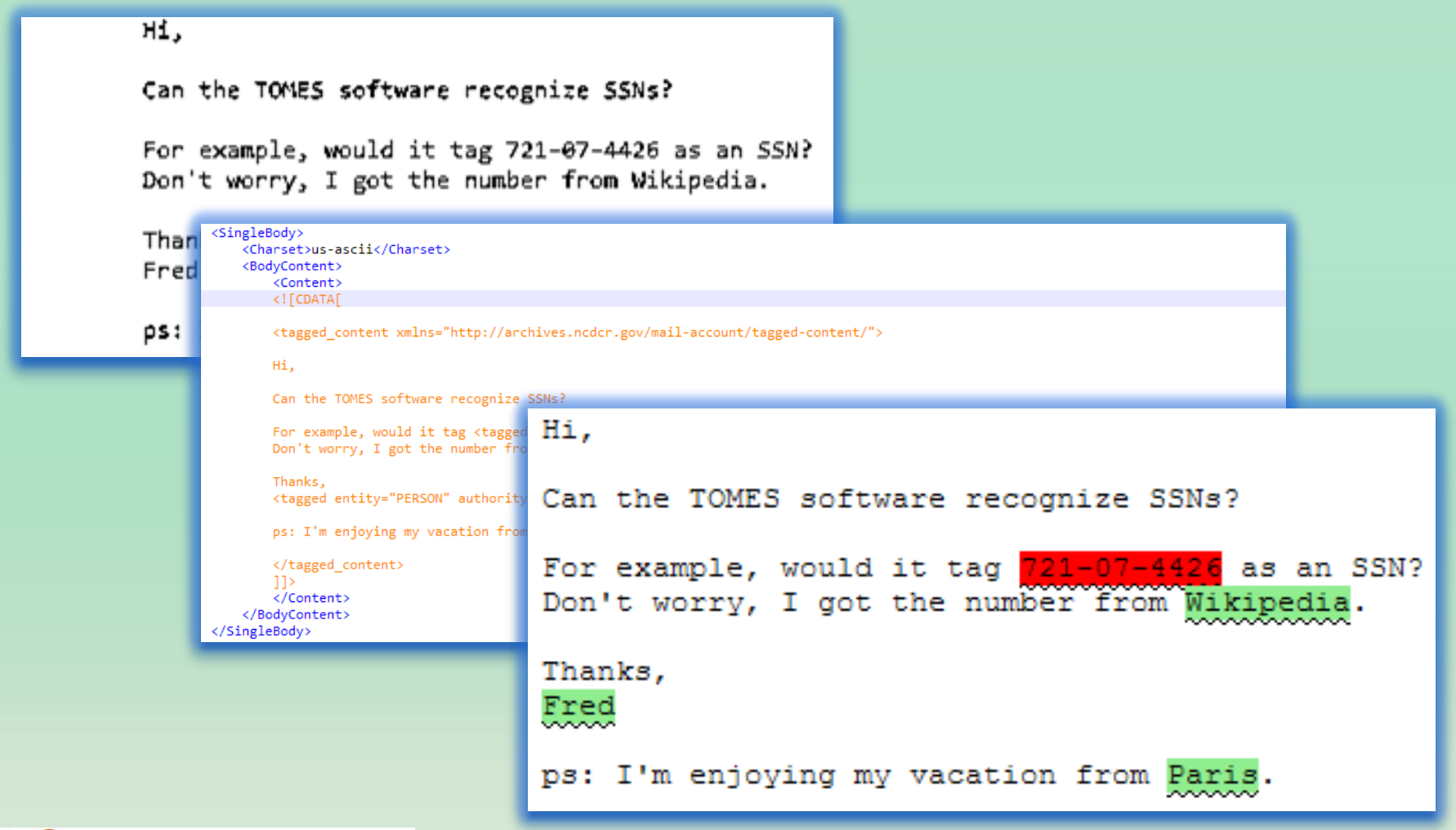
The TOMES Tool



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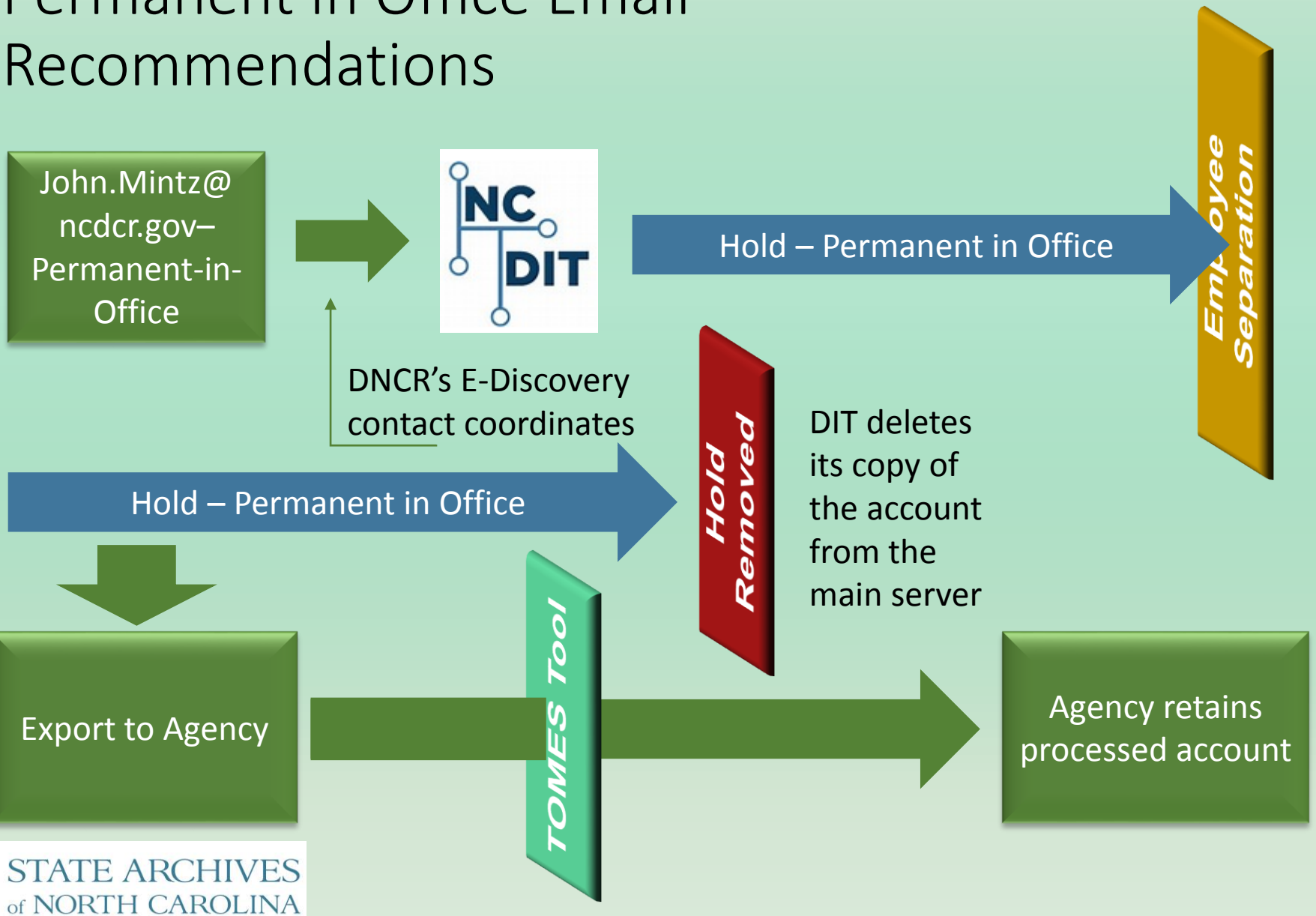
Permanent In Office Email - Recommendations



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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

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