
Email and Archiving: NARA's New Approach

INF 389G Introduction to Electronic and Digital Records
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Background

Introduces a new approach to managing email records through the new idea of Capstone

Builds off:

- NARA Bulletin 2009-03 (July 30, 2009)
 - Presidential Memorandum-- Managing Government Records (Nov. 29, 2011)
 - NARA Bulletin 2011-03 (Dec. 22 2011)
 - OMB/NARA M-12-18 (Aug. 24, 2012)
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Overview of Capstone Approach

- Intended as a simplified approach to email management
 - Identify email accounts likely to create or receive permanently valuable records
 - Assumes that all major discussions and decisions leave traces in senior management email accounts
 - Instead of declaring specific emails as records, designates email accounts as permanent records
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Email Records Management Requirements

Agencies must:

- Ensure email records are scheduled
 - Prevent unauthorized access, modification, and deletion of permanent records
 - Ensure all records are retrievable and usable
 - Consider if email records should be associated with related records
 - Capture and maintain required metadata
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NARA (Past Approaches)

Evolution to Capstone:

2006-9: NARA would copy electronic records onto archival quality media, agency will keep original copies (at no charge)

2011: Specifies email archiving and what needs to be archived and what can be weeded

Advantages of the Capstone Approach

- Increased automation
 - Less reliance on users to correctly identify and classify emails as permanent records
 - Optimizes access to records
 - Reduces risk of unauthorized deletion of email records
 - Allows agencies to utilize already existing technologies
 - Allows for the use of evolving technologies (i.e. auto-categorization)
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Potential Challenges

- Ensuring that the correct accounts are identified as Capstone positions
 - Vague instructions about how to implement the Capstone approach
 - Possibility of permanently capturing non-record and personal emails from Capstone accounts
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NARA Bulletin 2013-03

September 9, 2013

This one extends the current one to address the issue of multiple accounts

Stricter rules to follow and offers the idea that there are penalties

It also mentions assistance that NARA offers to comply with the bulletin

National Archives of Australia

Approach

- Email records must be captured individually and saved in a records management system
 - Emails need to be actively managed through agency policies and procedures
 - Staff must be trained to implement the procedures and incorporate email management into daily workflow
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Content Classification in Capstone

- Automated Content Classification v. Capstone Policies?
 - NARA allows the use of auto-categorization of e-mails prior to official capture: see <http://www.archives.gov/records-mgmt/email-management/sample-capstone-approach.pdf>
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Technologies for Content Categorization

- Technologies for content categorization and preservation are growing in use in legal discovery (eDiscovery)
- Services such as OpenText and Integro are widely used for eDiscovery and email management
- Dept. of Interior and the Email, Enterprise Records and Document Management System (eERDMS) uses OpenText
- Other services such as Integro use auto-classification <http://goo.gl/EgdZBI>

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