



**ASSESSMENT OF EMAILS FOR PERMANENT RETENTION
CATEGORY 3**

December 2018 Update

Agency: _____

Please identify positions that create official records that document agency policies, decisions, or functions that are not represented in the accounts of personnel already listed for Categories 1 and 2 but need to be retained permanently. See page 4 of this form for criteria for determining the historical value of email.

If emails generated by one of these positions do not contain records that meet the criteria on page 4 or are already being captured in the email of an agency position listed in Category 1 or 2, including instances where the employee in one of those Category 1 or 2 positions has been copied on these emails, these positions should not be included on the Capstone list. Your agency may not have every position in the examples listed below, and these positions within your agency may not produce archival email.

For the positions, individuals, and accounts listed below, please also provide the *Functional Schedule* record type they create in email. These positions should be reappraised on an employee-by-employee basis to determine whether archival material is being sent or received by the current occupant of the position. It is critical to review Category 3 Capstone positions whenever the agency or office is reorganized or position responsibilities change.

- 1. Roles or positions with regulatory approval, regulatory sign-off, and rulemaking responsibilities, such as rulemaking coordinator.** The duties described here might not be position-specific but might rather float from position to position depending on the institutional structure and individual employee. See the "Appraisal Criteria for State Agency Email" for more information.

NAME	POSITION TITLE/ROLE	BEACON POSITION NUMBER	FUNCTIONAL SCHEDULE RECORD TYPE	EMAIL ADDRESS	BEGINNING DATE FOR EMAIL COLLECTION



2. **Supervisors and heads of significant divisions, branches, sections, and units.** This includes supervisors who oversee and manage major program offices or lines of business that support the agency mission. For some agencies, these positions may already be covered by other categories.

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3. **Staff assistants to heads of agencies and their deputies, such as special assistants, executive assistants, and/or aides.** Important work is often carried out by special assistants, aides, executive assistants to the secretaries, etc. They may send email on behalf of senior officials; act as clerks or secretaries for boards or commissions; and/or their email account may contain email closely related to the responsibilities and actions of the senior officials they support.

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4. **Any other position that likely creates or receives email content with long-term value, as defined above in the general appraisal criteria.** Depending on the employee and current agency procedures, there may be positions that fall outside those suggested above whose email accounts contain records of enduring value. See page 4 and the “Appraisal Criteria for State Agency Email” for tips on how to identify these positions.

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Please sign here to confirm that the employees in the positions identified above routinely use email to produce records that document the core functions and programs of your agency.

Name (print) _____ Title _____

Signature _____ Date _____



The *Functional Schedule for North Carolina State Agencies* provides criteria for determining the historical value of records in the form of clarifying questions. A position's associated email accounts may be archival if the answer to any of the following questions is yes:

- **Do the records protect the rights and property of citizens?** These would include legal and vital records held at the state level. Staff who have final approval on permits or registrations involving rights or property, and document that approval via email, would be Capstone candidates.
- **Do they have a long-term impact on citizens?** For instance, records involving environmental pollution and clean-up efforts may document events or programs that affect the health of citizens for generations.
- **Do they document the core functions of an agency?** Core functions or programs are those that directly support the agency's goals and/or mission statements and serve significant populations and/or geographic areas. Records from the Office of the Governor related to the issuance of disaster declarations (RC No. 626.A), for example, document a core function of that office and have been scheduled as archival.
- **Do they document high-level decision-making that shapes an agency's policies or initiatives?** This criterion is particularly relevant to email. There are many positions within state government that involve email communication documenting high-level decision-making; for example, administrative staff tasked with managing the day-to-day operations of important boards or commissions likely send and receive archival email.
- **Do they summarize an agency's activities?** Annual reports and agency histories fall into this category; although these are not likely to be created and stored via email, if they were, the email would be archival.

Other considerations for determining historical value include

- **Inherent interest** is created by nonroutine events, by the involvement of famous parties, and by compelling contexts. For instance, foreclosure proceedings from the 1930s have high historical value because they date from the era of the Great Depression.
- **Extraordinary documentation** is found in records that shed light on political, public, or social history. For instance, the records from the replevin case that returned the Bill of Rights to North Carolina hold more historical value than most property case files because of the political history intertwined with this case.

See the *Functional Schedule* and the "Appraisal Criteria for State Agency Email" for further guidance.