

# NARA's Capstone Email Management Implementation: Technical Perspective

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# Overview

- How procured
- Information managed
- Functions automated
- Categories and accuracy
- Technical approach, products used / integrated
- Volume processed
- How records declared
- Policies developed
- Implementation challenges
- Maintenance resources
- Lessons learned
- Future plans

# How Procured: Formed a Team

NARA developed a team of internal stakeholders to lead a Capstone approach to meet NARA's business needs:

- Corporate Records Management
- Office of General Counsel
- Chief Information Officer staff (COR, Project Manager)
- Office of Chief Records Officer (Paul Wester's group)
- Members of Senior Leadership (monitoring / supporting).

## How Procured: Process

- CPIC planning;
- Architecture Review Board meetings;
- Solicitation addressed Service Level Agreements, data conversion, and reporting requirements, bandwidth requirements;
- Business case and Statement of Objectives
  - Functional, operational, records management, security, and privacy requirements; and
- Contract was awarded in September 2012 via GSA schedule 70 Firm Fixed Price.

# How Procured: RM Requirements

- Immutable email management solution integrated with the messaging system;
- Retain functionality and integrity throughout the full lifecycle;
- Automated capture in an open format of all email messages subject to exceptions:
  - (1) where automated "rules" for non-capture have been determined by NARA-authorized end-user(s) in advance;
  - (2) based on manual actions of authorized end-users overriding the automated "rules" in place.

# Information Managed

- Email messages and attachments;
- Calendars and appointments;
- Tasks (that are part of a calendar);
- Chat transcripts (that are moved to a mailbox);
- January 22, 2013 is the designated effective date...
  - Objects created or received after January 21, 2013 are captured and automatically categorized as permanent or temporary records under Capstone, by default.

# Volumes Processed

- 5300 Google licenses, 4900 "in use";
- >4500 Gmail accounts migrated;
  - 12 million messages
  - 2TB of data
- 700+ Google Groups (not counted in the license numbers); and
- 400 BlackBerry devices supported via a cloud-based service offering.

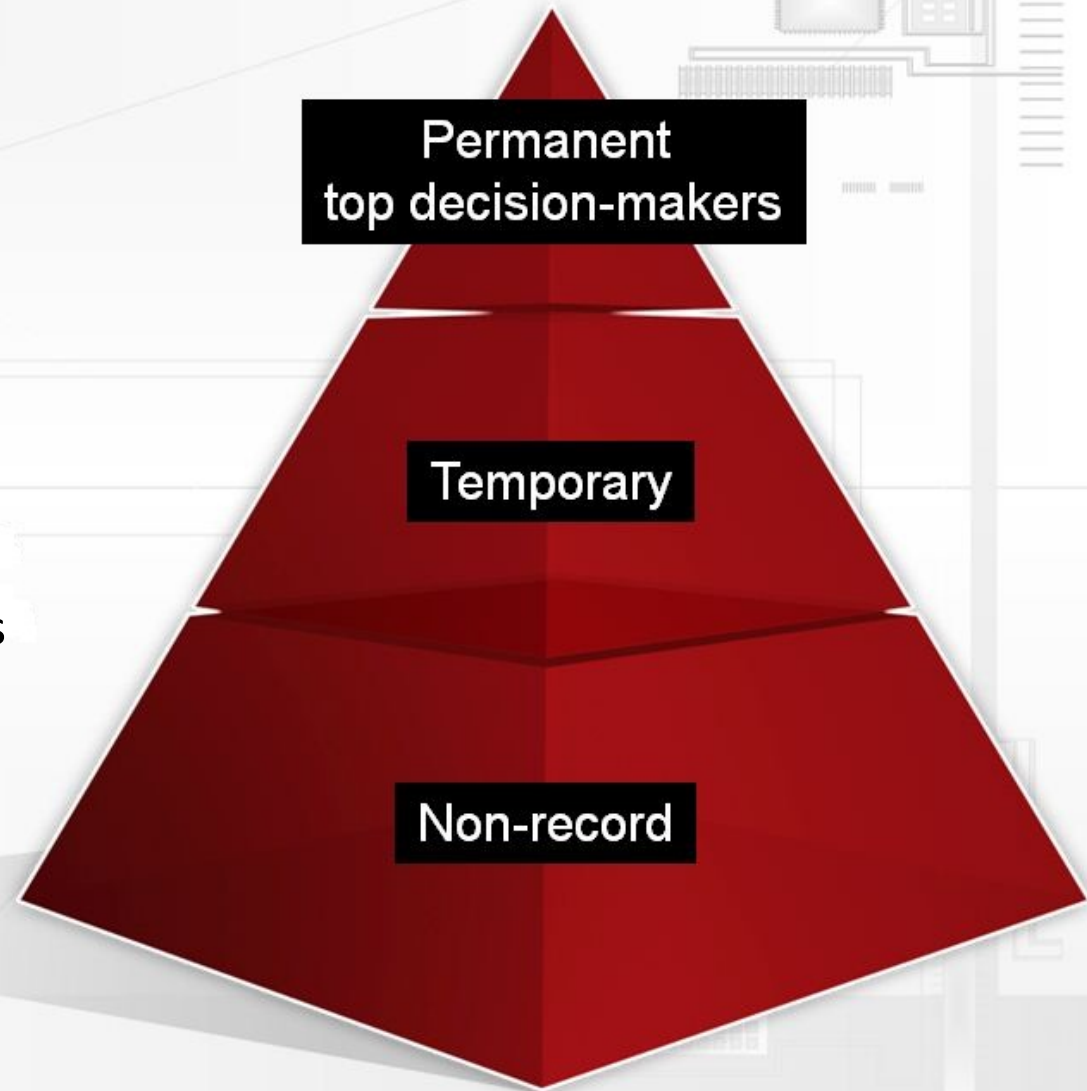
# Functions Automated

- Journaling (e-discovery);
- Capture (crawl);
- Declaration (rules);
- Destruction of temporary records (RMA); and
- RMA functionality: search, litigation holds, restore to Gmail, reports, file export



# Categories Used

- 48 staff members were identified as “Capstone”
  - Agency Head & Deputy
  - “C” Level Officials
  - Executives
  - Directors of major programs
  - Presidential Library Directors



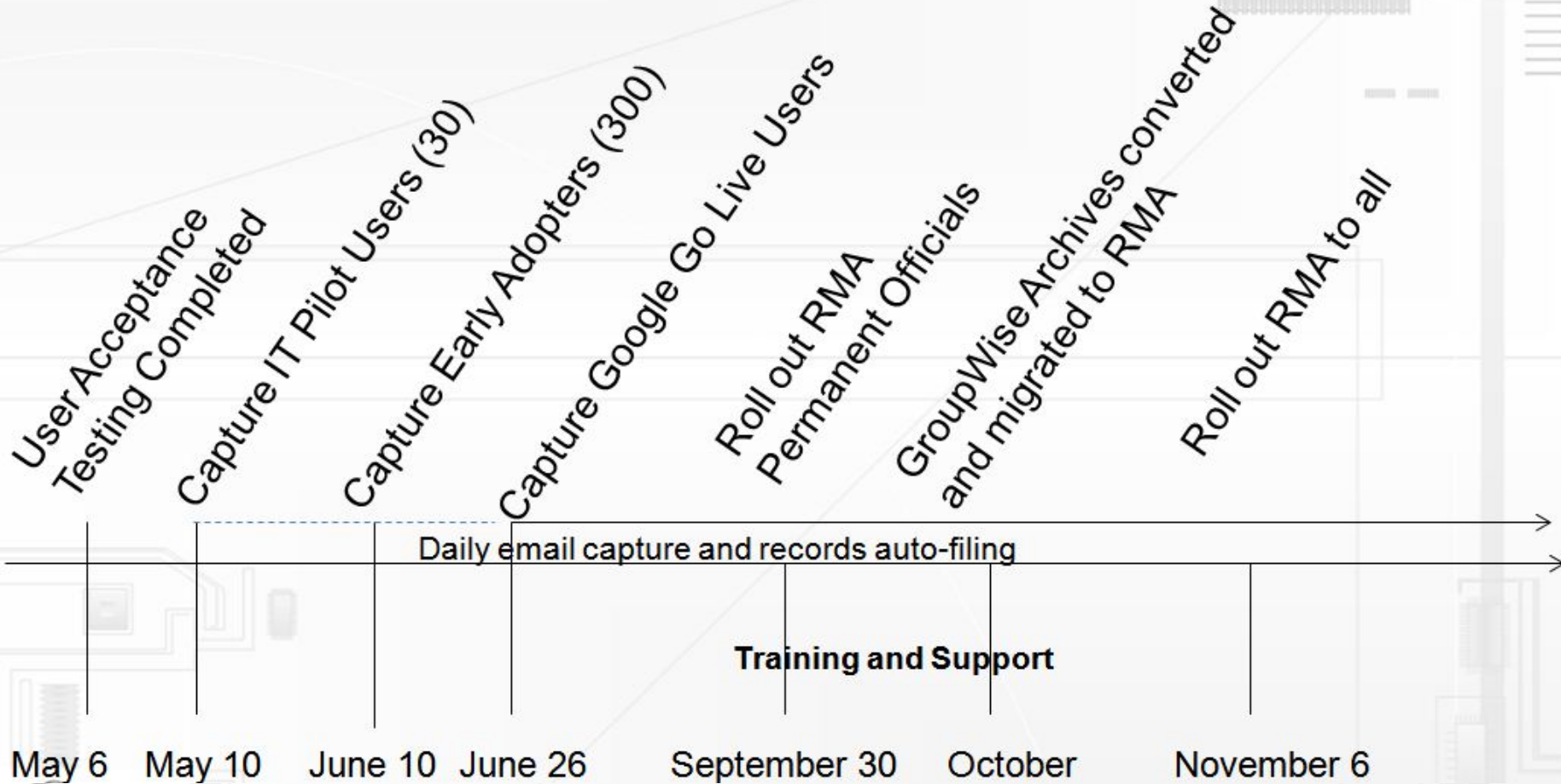
# Technical Approach: Integration, Migration, Security

- Three clouds integrated (Google, BlackBerry and ZL);
- Migrated server based mail, calendar and contacts, personal archives as well as FileSurf;
- Implemented a single sign-on solution for users in the office; and
- Two-factor authentication solution when users are remote.

# Technical Approach: Records Management

- Convert / migrate GroupWise to Gmail;
- Crawl Gmail into RMA;
- Convert GroupWise archives to PSTs;
- Import GroupWise archives to RMA as convenience copies;
- Users install RMA “Gadget”, access RMA; and
- Search, view, re-categorize as needed.

# Technical Approach: 2013 Timeline



# Technical Approach: Effective Date

- If sent/received before January 22, 2013, then
  - Capture in RMA as a convenience copy;
  - Do not auto-file as a temporary or permanent record;
  - Pre-Capstone recordkeeping policy applies but user can manually file under Capstone.
- If sent/received after January 21, then
  - File as a record in RMA based on user role and label (if present).

# How Records Declared: “File Plan” in RMA

- Permanent
  - Default for Sr. Officials, or
  - Labeled as “Permanent” by those not identified as Sr. Officials, or
  - Re-categorized as Permanent during RMA Safe Harbor, or
  - Manually categorize pre-January 22 messages under Capstone.
- Temporary
  - Default for everyone else (not Sr. Officials), or
  - If labeled as “Temporary” by Sr. Officials, or
  - For re-categorizing as Temporary (e.g., by Sr. Officials) during RMA Safe Harbor, or
  - Manually categorize pre-January 22 messages under Capstone.
- Non-Record
  - For manually re-categorizing during RMA Safe Harbor (i.e., from Permanent or Temporary)



# How Records Declared: Safe Harbor

**Gmail Safe Harbor** – Time period before recordkeeping capture to:

- Delete useless non-records
- Label non-record information that users want to keep
- Label records as Temporary or Permanent when the default Capstone retention category, based on user's role, is inappropriate

**RMA Safe Harbor** – After capture, time period to review captured records in the RMA and change the default category (e.g., from temporary to non-record).

# How Records Declared: Capture

## Journaling

- Captures all sent and received - For e-Discovery and RM quality monitoring

## Mailbox Crawling

AND

- For records management;
- Rules based;
- Acts on labels, if applied;
- Excludes “non-record”, deleted, draft, spam;
- Supports “Safe Harbor”; and
- Requires extra security (IMAP)



# How Records Declared: Simple Logic

- Captured when....
  - Not spam, draft, or trash;
  - Date sent/received > X calendar days; and
  - No non-record label.
- Is the user a designated senior official?
  - Yes. File as permanent if not labeled as “temporary.”
  - No. File as temporary if not labeled as “permanent.”
- Labeling / deletion NOT required, optional

# How Records Declared: Labels

The screenshot shows an email client interface with a list of emails. The 'Labels' dropdown menu is open, showing various label options. Callout 1 points to the 'Labels' button in the top bar. Callout 2 points to the 'Labels' dropdown menu. Callout 3 points to the 'Apply' button at the bottom of the dropdown menu.

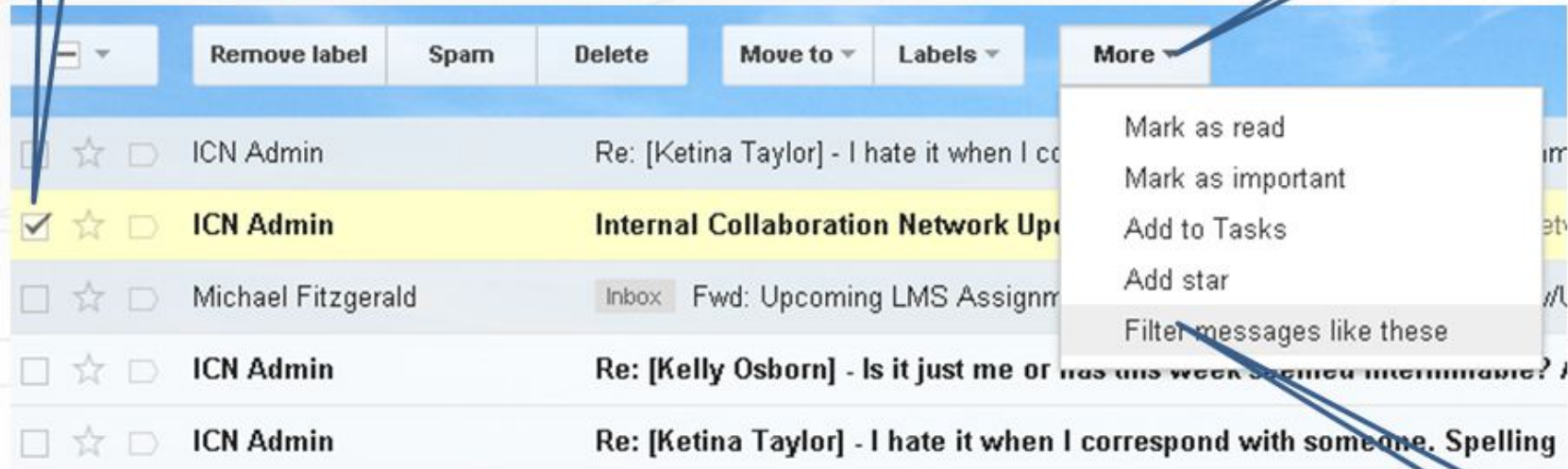
Checkbox	Star	Folder	Name	Subject
<input type="checkbox"/>	☆	Folder	Sam McClure	Correct
<input type="checkbox"/>	☆	Folder	Kristen Soter	Tempo
<input checked="" type="checkbox"/>	☆	Folder	<b>Wong Proctor</b>	<b>Travel</b>
<input type="checkbox"/>	☆	Folder	<b>Vu, Hiep [USA]</b>	Tempo
<input type="checkbox"/>	☆	Folder	Thomas Jenkins	Telewo
<input type="checkbox"/>	☆	Folder	Michael Fitzgerald	Non-re
<input type="checkbox"/>	☆	Folder	Debra Wall	Re: Ac
<input type="checkbox"/>	☆	Folder	Catherine Farmer	Re: En

Labels dropdown menu options:

- Label as: [Search]
- Confidential
- Non-record
- Non-record/Broadcast
- Non-record/Personal
- Non-record/Recordkeeping Info
- Non-record/recordsmatter
- Non-record/Sequestration
- Non-record/Transitory Records

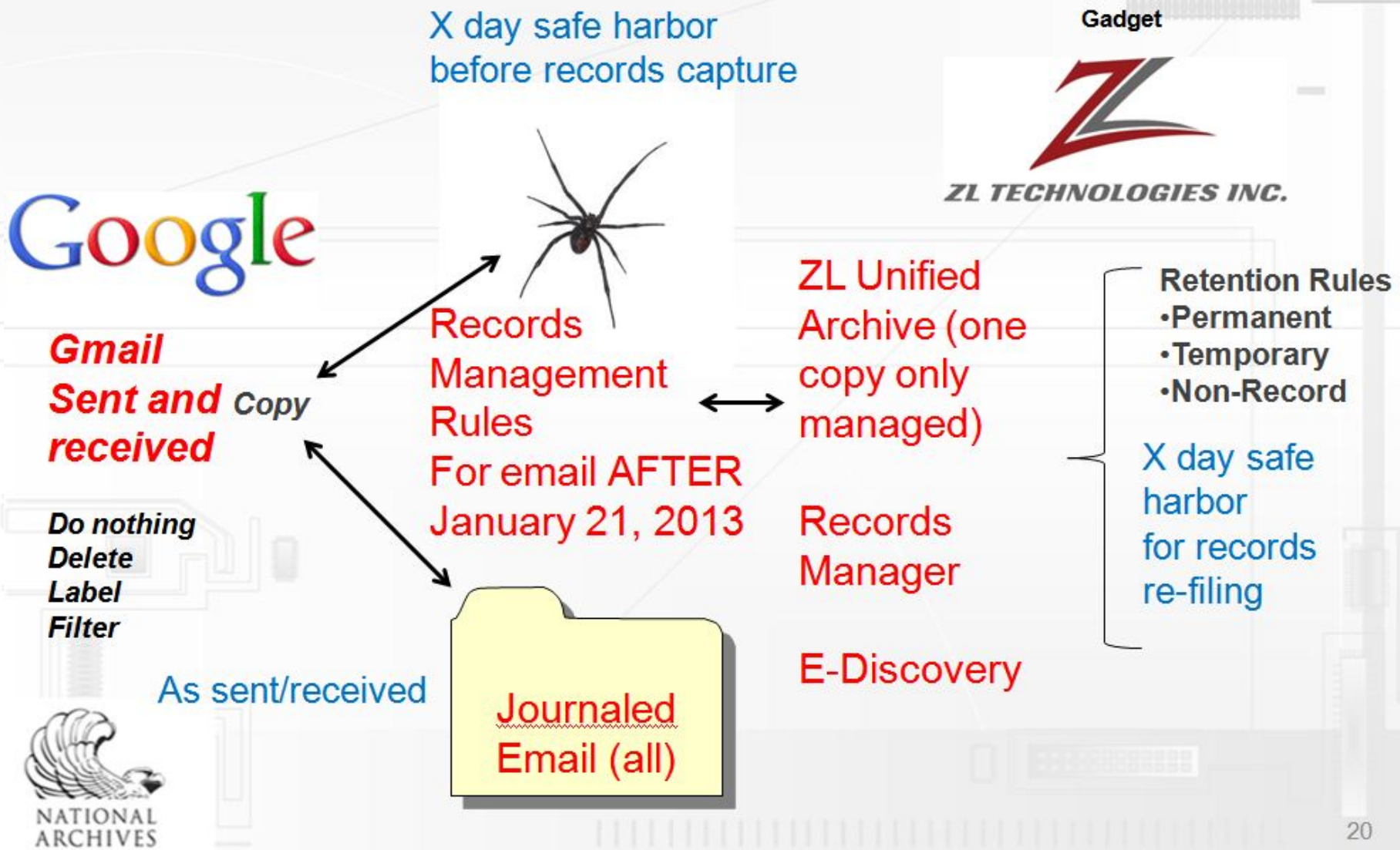
Apply

# How Records Declared: Filters



- Create filters from searches, or
- Go through your sent or received messages

# How Records Declared: Overview



# Policies Developed: Capture Rules

<input type="checkbox"/>	Rule Name	Conditions	Action	Details
<input type="checkbox"/>	Non-Record Filter	IF Sync Property Labels Contains Phrase 'non-record*'	THEN Don't Archive	↓
<input type="checkbox"/>	GroupWise	IF MessageDate Date Earlier Than '2013/01/22 '	THEN Archive	↑ ↓
<input type="checkbox"/>	AFGE.Local2578 Exclusion	IF MessageProperty From Contains Phrase 'AFGE.Local2578@nara.gov '	THEN Don't Archive	↑ ↓
<input type="checkbox"/>	afro.american Exclusion	IF MessageProperty From Contains Phrase 'afro.american@nara.gov '	THEN Don't Archive	↑ ↓
<input type="checkbox"/>	AIBStaffMeeting Exclusion	IF MessageProperty From Contains Phrase 'AIBStaffMeeting@nara.gov '	THEN Don't Archive	↑ ↓
<input type="checkbox"/>	AllHands Exclusion	IF MessageProperty From Contains Phrase 'AllHands@nara.gov '	THEN Don't Archive	↑ ↓
<input type="checkbox"/>	aotustumblr Exclusion	IF MessageProperty From Contains Phrase 'aotustumblr@nara.gov '	THEN Don't Archive	↑ ↓
<input type="checkbox"/>	AppliedResearch Exclusion	IF MessageProperty From Contains Phrase 'AppliedResearch@nara.gov '	THEN Don't Archive	↑ ↓

- If non-record, exclude
- If earlier than 01/22/2013, archive but no record designation (migration only)
- If known “broadcast messages”, exclude

# Policies Developed: Capstone Declaration Rules

**Edit Policy Rule** ✕

+ Add Rule - Delete Rule

<input type="checkbox"/> Rule Name	Conditions	Action	Details
<input type="checkbox"/> GroupWise	IF MessageDate Date Earlier Than '2013/01/22 '	<u>THEN Don't Declare</u>	↓
<input type="checkbox"/> Temporary Records	IF Sync Property Labels Contains Phrase 'temporary ' AND Age (days) Greater than or equals '90 '	<u>THEN Declare as Record</u>	↑ ↓
<input type="checkbox"/> Permanent Records	IF Age (days) Greater than or equals '90 '	<u>THEN Declare as Record</u>	↑

# Policies Developed: Capstone Account Rules

**Michael Wash**

User Info Mailbox Archiving

User Info User Policy Permissions History Report(s) Archive Projects

Mailbox Archiving: ON

Archiving Policy: [Auto-Resolve]  
Resolved to Base Policy with Broadcast Exclusions using I

Stubbing Policy: [Auto-Resolve]  
Resolved to DEFAULT using I

Mailbox Record Declaration: Capstone Permanent

Save



# Policies Developed: Labeling Rules

**Edit Policy Rule**

**Rule Name:**

**Rule Description:**

**IF ALL conditions defined below are satisfied:**

**Record Declaration Action:**

**File Plan:**

**Supplemental Marking:**



# Implementation Challenges: User Actions

- Mandatory - If an email message is part of a case file, save a copy and file with related records outside of RMA; and
- Facilitate exclusions or auto-filing, by using labels and filters; or
- Users may choose to do nothing.

# Implementation Challenges: Training

The screenshot displays the 'ZL End User Mailbox' interface. At the top, there are navigation options: 'Folder View', 'Search', 'Options', and 'Logout'. The main area is divided into two panes. The left pane, titled 'Records view', contains a 'Switch View' dropdown menu with the following options: 'Archive view', 'Records view' (highlighted with a red 'R' icon), 'Legal Hold view', and 'Label view'. Below this menu, there is a 'File records' button and a list of folders including '1000-01\_Billing' and '240-20\_Temporary 240-20'. The right pane, titled 'Records', shows a 'Messages' list with a 'Reading Pane' and an 'Update' button. The messages list has columns for 'Flag', 'From', 'To', 'Subject', 'Received', and 'Size'. The messages are as follows:

Flag	From	To	Subject	Received	Size
<input type="checkbox"/>	<b>R</b> Dan Martinez	Don Riggs	Re: Journal Down 5 (3 bcc)	January 29, 2013, 5:22:00 pm PST	2.8 KB
<input type="checkbox"/>	<b>R</b> Dan Martinez	Don Riggs	Re: Journal Down 5 (3 bcc)	January 29, 2013, 5:21:33 pm PST	1.4 KB
<input checked="" type="checkbox"/>	<b>R</b> Dan Martinez	Earl Harris	Mapping North Korea	January 29, 2013, 5:20:53 pm PST	2 KB
<input type="checkbox"/>	Dan Martinez	Jan Rangel	Contract	January 29, 2013, 5:17:34 pm PST	478.1 KB
<input type="checkbox"/>	<b>R</b> Dan Martinez		Early Lunch	January 25,	579 bytes

- Robust search capabilities and 4 different views of the end user's mailbox, including Records view and Gmail label view.
- End users can file, update, or re-file their archived messages as records from their search results or any mailbox view.

# Implementation Challenges: Gadget

- After all email was captured in ZL UA;
- Users received an email ([zl.rc@nara.gov](mailto:zl.rc@nara.gov)) with... “Gadget” installation instructions, and a user’s guide;
- As with GroupWise and Gmail, access to content in RMA Mailbox is limited to users and system administrators.
  - NARA may use your journal file for litigation or other investigatory purposes, and
  - NARA Directive [802](#) addresses privacy of information on NARA systems, specifically sections 10, and 11.

# Implementation Challenges – Legacy RMA

- Migrating records stored in existing RMA;
- Accessioning eligible perm;
- Exporting all data from former RMA (FileSurf);
- Converting from proprietary format to open format;
- Reproducing user access in different security framework;
- Training users of former system; and
- Contract add-on.

# Implementation Challenges – Legacy RMA

- Pre-acquisition permanent records from legacy RMA first;
  - 25,269 emails
  - 89,577 files
  - 3.17 GB
- Created a “data dump” and complimentary HTML export (for validation purposes) to transfer records and metadata to new RMA; and
- Migrated data from old RMA to new RMA.
  - Over 250,000 email messages and files

# Maintenance Resources

- Contractor Service Level Agreement;
  - Help desk
  - Training / Users Manuals
  - RMA Administration
- RM Integrated Project Team; and
- Corporate Records Management – ERM specialist.

# Maintenance Resources: ERM Specialist

- Administers agency electronic recordkeeping system;
- Governance, strategy, and training;
- Develops, coordinates, and maintains records schedules for NARA records maintained in electronic information systems;
- Identifies electronic records management requirements; and
- Directly implements requirements, as applicable, in electronic recordkeeping system(s).

# Lessons Learned

- Explicitly include migration of existing email repositories in contracts / plans;
- Early work to migrate existing email repositories and legacy email;
- Maintain Capstone Officials list;
- Establish common understanding with vendors / contractors;
- Recognize that user communication is very important;
- Allow users extra time to manage legacy email;
- Establish Capstone records schedule and policies; and
- User communications / training.



# Communicate, communicate, communicate

## Briefings, blogs, Intranet, and emails!



Capstone Implementation  
The National Archives and  
Records Administration (NARA)

- Capstone concept of email management.

### On the Record (Blogging about Corporate Records Management) 136 Posts



#### ZL UA going live NARA-Wide Beginning November 6

Posted by Susan Sullivan Nov 5, 2013

Here is what you'll find on NARA's *Capstone NARA-at-Work* page. We've attempted to provide

#### Capstone Email Management

#### Managing NARA's Email Records in the Cloud - Implementing News and Updates

Beginning November 6 (We couldn't send out 3000+ unique email messages. Unified Archive Roll-out Planned)

On November 6, 2013 Unisys plans to begin providing all staff with instructions to access ZL Unified Archive (ZL UA). ZL Unified Archive is NARA's new cloud-based email archiving and records management system. Access to your ZL UA "mailbox" will be available on November 6, 2013.

WORK LIFE NEWS & SOCIAL MEDIA PEOPLE, PLACES & ORGS. POLICIES, PLANS & GUIDANCE SUPPORT SERVICES ARCHIVES & RECORDS MGMT.

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#### CORPORATE RECORDS MANAGEMENT

- Capstone Email Management
- NARA Records Schedule
- Records Management Laws and Regulations
- Government-wide Records Management Guidance
- Government-wide Records Management Training
- Tribal Trust Cases

#### FIND A STAFF MEMBER

Enter a Name

### Capstone Email Management

#### Managing NARA's Email Records in the Cloud - Implementing "Capstone"

#### News and Updates

#### ZL Unified Archive Roll-out Completed

On November 6, 2013 all staff received instructions about how to access ZL Unified Archive (ZL UA). ZL Unified Archive is NARA's new cloud-based email archiving and records management system. Access to your ZL UA "mailbox" is limited to you and system administrators (just like Gmail). Your ZL UA "mailbox" should contain content from your:

- GroupWise archives (convenience copies)
- GroupWise mailboxes (convenience copies), and
- Email records from Gmail beginning on your "Google Go Live" date, up to 90 days before today (the current date).



# Future Plans

- Implement new Capstone policy / training;
- Approved records schedule;
- Initiate CPIC to expand to more data types;
- Conduct back-end data analysis / cleanup;  
and
- Refine capture policies and rules.

# Summary

- Ultimately, NARA subscribes to a new cloud email system (Gmail);
- Uses ZL Unified Archive (ZL UA) as the official recordkeeping repository for all agency email records;
- Captures and manages email electronically in compliance with [Section 1.2 of the Presidential Directive](#); and
- Manages records prior to the ZL UA start date under previous policies.

Questions?

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