NARA’s Capstone
Email Management Implementation: Technical Perspective

Susan J. Sullivan, CRM
Director – Corporate Records Management

February, 2014
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

- User Acceptance Testing Completed
- Capture IT Pilot Users (30)
- Capture Early Adopters (300)
- Capture Google Go Live Users
- Roll out RMA Permanent Officials
- GroupWise Archives converted and migrated to RMA
- Roll out RMA to all

Daily email capture and records auto-filing

Training and Support

May 6  May 10  June 10  June 26  September 30  October  November 6
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
• 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

1. Select the record.
2. Open the Label options.
3. Choose the appropriate label.

- Confidential
- Non-record
- Non-record/Broadcast
- Non-record/Personal
- Non-record/Recordkeeping Info
- Non-record/recordsmatter
- Non-record/Sequestration
- Non-record/Transitory Records
How Records Declared: Filters

- Create filters from searches, or
- Go through your sent or received messages
How Records Declared: Overview

- **X day safe harbor** before records capture

**Gmail**
- Sent and received
- Do nothing
- Delete
- Label
- Filter

**Copy**
- Records Management Rules
- For email AFTER January 21, 2013

**Journaled Email (all)**

**ZL Unified Archive (one copy only managed)**

**Records Manager**

**E-Discovery**

**RetentionPolicy Rules**
- Permanent
- Temporary
- Non-Record

**X day safe harbor** for records re-filing

**Gadget**

**ZL TECHNOLOGIES INC.**
Policies Developed: Capture Rules

- 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

<table>
<thead>
<tr>
<th>Rule Name</th>
<th>Conditions</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>GroupWise</td>
<td>IF MessageDate Date Earlier Than '2013/01/22'</td>
<td>THEN Don't Declare</td>
</tr>
<tr>
<td>Temporary Records</td>
<td>IF Sync Property Labels Contains Phrase 'temporary' AND Age (days) Greater than or equals '90'</td>
<td>THEN Declare as Record</td>
</tr>
<tr>
<td>Permanent Records</td>
<td>IF Age (days) Greater than or equals '90'</td>
<td>THEN Declare as Record</td>
</tr>
</tbody>
</table>
Policies Developed: Capstone Account Rules
Policies Developed: Labeling Rules

**Edit Policy Rule**

- **Rule Name:** Temporary Records
- **Rule Description:** Allows permanent record user to reclassify as temporary record
- **IF ALL conditions defined below are satisfied:**
  - Sync Property Labels Contains Phrase temporary
  - Age (days) Greater than or equals 90
- **Record Declaration Action:** Declare as Record
- **File Plan:** temporary records
- **Supplemental Marking:** Select Supplemental Marking(s)

**Save Rule**
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

- 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) 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-accessioned 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!
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?

Susan Sullivan, CRM
Corporate Records Management Director
Susan.Sullivan@nara.gov
Tel: 301-837-2088