

**USER GUIDE:
MANAGING NARA
EMAIL RECORDS WITH
GMAIL AND THE ZL
UNIFIED ARCHIVE**

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1 Introduction

At a glance:

- ✓ NARA email records are managed with the ZL Technologies Unified Archive.
- ✓ Records are classified according to the Capstone approach.
- ✓ Items are archived via crawling and journaling.

The NARA Email Management System is implemented through the integration of:

- Gmail, and
- ZL Technologies Unified Archive (UA)

The ZL UA cloud service supports multiple functions including:

- personal email archiving,
- records management
- electronic discovery (E-Discovery) for legal purposes, and

The ZL UA application components include the following:

- **Personal Email Archive:** Repository for archiving email messages, calendar appointments, tasks, and attachments
- **Records Management:** Records management application for categorizing, retaining, searching, exporting, and disposing of records.
- **E-Discovery:** Support application for investigative searches and legal holds such as e-discovery and litigation

1.1 Personal Email Archive

While GroupWise provided NARA users with significant individual control over email archiving, archives were not centrally managed. The NARA Email Management System centralizes email management by providing an automated mechanism for managing email messages, calendar appointments, tasks, and attachments which can be accessed from multiple points.

1.2 Records Management

NARA Email Management System proactively manages information using a new approach to email management -- [Capstone](#)¹. Delivering automatic categorization, NARA's Email Management System provides a management framework to ensure compliance by automatically categorizing and managing NARA's internal email each day according to policies. The ZL UA Records Management Application (RMA) is certified to DoD 5015.02-STD certified

¹ <http://www.nara-at-work.gov/chief-operating-officer/corporate-records-mgmt/capstone.html>

repository. This ensures NARA complies with its records management obligations without end-users taking action.

The Records Management part of the NARA Email Management System is implemented through the ZL Technologies Unified Archive RMA. The application manages all aspects of record declaration, categorization, and disposition.

Through the RMA, NARA's Email Management System also offers end users an optional way to mark email as records and categorize them into a file plan. You can quickly and easily mark records from your Google Gmail mailbox. You can also mark legal holds, add metadata, search for records that you filed, move records within the file plan, and update records in ZL UA from your browser.

1.3 E-Discovery

The NARA Email Management System (inclusive of Gmail and ZL UA) delivers comprehensive litigation support capabilities with each step in the Electronic Discovery Reference Model (EDRM) for both proactive and reactive E-Discovery. With this technology, NARA can analyze compliance with comprehensive data mapping, manage legal holds, and conduct investigative searches across billions of documents in seconds. With concept search, case analytics, advanced visualization and guided review, the NARA E-Discovery tool speeds review and reduces overall costs. This tool produces emails and files in native format while also supporting seamless conversion of email between multiple industry standard formats.

1.3.1 Capstone Record Life Cycles

Within the NARA Email Management System, records are identified and defined by retention categories which are, in turn, based on the email user's role. These categories may contain subcategories, which may or may not inherit properties from the parent category. Together, these categories form a hierarchical categorization structure called the Records File Plan.

Record life cycles are governed by the disposition schedule, which consists of retention codes assigned to each category. Record lifecycles are sometimes broken up into phases, and may be subject to review before passing from one phase to another. At the end of its life cycle, a record is subject to a final action, which may be destruction, content-only deletion, or export to another repository.

Under Capstone, NARA's Record Life Cycle manages email records by automatically capturing Gmail email messages, Google tasks, GQueues tasks, and calendar appointments in permanent or temporary categories. The record management categories in ZL UA include **permanent**, **temporary**, and **non-record** types.

NARA uses Google Mail (Gmail) in combination with ZL UA to facilitate automated records archival, declaration, and management. This approach leverages automated email management rules supplemented by mailbox owner actions. Email messages received in Gmail are automatically declared as records by the records management application with exceptions managed by Gmail's labelling functionality.

A “safe harbor” period allows Gmail users to exclude non-records and otherwise manage their email records. The archive does not capture email records until 90 days after the send or received date of each mail message. After the mail message has been archived, the user has 90 additional days to re-categorize archived messages in the archive itself.

Once the email records reaches 90 days from creation, the records management application will copy the email message into its recordkeeping repository. Gmail messages, Google tasks, GQueues tasks, and calendar appointments stored in the users Gmail account will be archived. Email messages identified with Gmail labels including Trash, Spam, Draft, and Non-Record are not captured in the archive. Once the Gmail messages are captured in the archive, the email messages in the users Gmail account are considered convenience copies and may be removed as needed.

Within the first safe harbor time frame in Gmail, the user is able to delete non-record email types including personal emails, bulk mail, and any other emails deemed non-essential. Any Gmail messages with the Non-Record label will be identified by the records management application as non-records and will not be archived. This allows the Gmail users to keep messages, such as NARA notices, in the user’s Inbox without the messages being captured in the archive.

During the second safe harbor time frame in ZL UA, Gmail users can review captured records in the archive and categorize or re-categorize archived emails. For example, users can re-categorize messages from temporary to non-records. Email messages captured in the archives will not be removed when re-categorized to non-records, but will be deleted according to the retention period established for non-records.

1.4 Capstone Records Categorizations

NARA’s records management application relies on a “rules engine” combined with user actions (Google Mail labels) to automatically identify different types of records and categorize those records.

When email messages, Google tasks, GQueues tasks, and calendar appointments document NARA related business activities, they should be captured and managed in the records management application. When the emails, tasks, and calendar appointments are not NARA business related, they should be deleted or labeled in Google Apps or categorized in ZL UA as non-record during the “safe-harbor” period. Examples of “Non-Record” include messages about lunches, holiday parties, and water clubs. These are not considered Federal records.

Capstone Approach



2

Capstone Approach

By default, the records management application captures all email, tasks, and calendar appointments as records unless they are labeled in Gmail as a “Non-Record”, Draft, Spam, or Trash. If a Google Apps user chooses not to proactively manage their email, the records management application will capture and manage them automatically as records, based upon the Gmail user’s role at NARA.

If the Gmail user chooses to manage their archive using Gmail labels beyond just the “Non-Record” label, users should setup the following high-level labels:

- Non-Record – emails not captured in the records management application
- Permanent – by default in email accounts designated as Capstone Permanent (those of Senior officials, such as office heads and members of the Executive Leadership team). Non-Capstone Permanent account users (Capstone Temporary) who create limited numbers of permanent email records may create and use the permanent label
- Temporary – by default in all other (Capstone Temporary) accounts. Capstone Permanent account users may create and use the temporary label for email records that are not of permanent, historical value. Temporary email records are retained using a 7 year disposition schedule

The use of labels and filters for categorizing records is discussed in detail in Section 5 of this guide.

1.5 Gmail and ZL UA Integration

The ZL Unified Archive cloud service is completely separated from Google Apps for Government. It provides a separate data store for archiving and records management. Items to be archived are transmitted from Google to ZL in two ways:

Crawling - The primary mechanism for capture involves a background process that runs daily against each mailbox and is referred to as “crawling”. ZL communicates with Google and intelligently retrieves email messages, Google tasks, GQueues tasks, and calendar appointments from the Gmail mailboxes, archives the items and applies automatic records declaration rules as defined by the system administrators. These items are accessible to each individual user in a separate ZL end user mailbox. Messages can be searched, categorized, and even restored to the Gmail mailbox.

ZL ignores items labeled as “Non-Record”, draft, spam or trash.

Journaling – The secondary mechanism for capture involves a separate file, called a journal file, of all email messages and calendar appointments as sent or received by Google. This mechanism captures all messages that flow to and from Google’s servers and a copy of each messages is transmitted to ZL for storage in ZL’s Journal archive. These messages are kept for a specified time period for e-Discovery purposes and other limited search purposes, and are not accessible to end users. NARA may use this journal file for litigation or other investigatory purposes.

2 Installing NARA Gmail Archive and Records Management

At a glance:

- ✓ Install a Gmail gadget to access ZL UA.
- ✓ You will receive a one-time ZL activation password from the Help Desk.
- ✓ Once installed, the gadget will be available wherever you logon to Gmail.

Access to the NARA Google Apps Archives and records management application is through the use of a Gmail “gadget” which each user must install one time only. Once installed, the application is available on all devices and browsers when logged into Gmail. You will receive an email from **Google Apps Help <googleappshelp@uis-fed-coe.com>** with a personalized activation key that is used in the installation procedure. Follow the instructions below to install the Gmail gadget.

1. From Gmail select Settings:

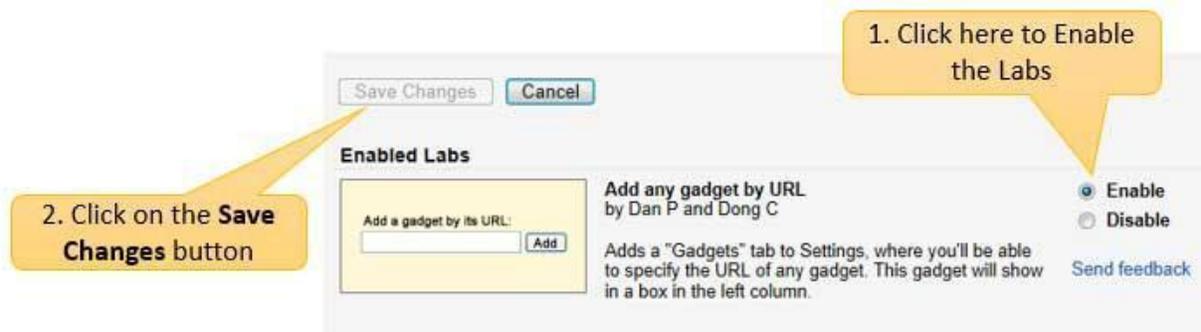


2. If you already have enabled the Gadgets menu option proceed to step 4:



Otherwise select **Labs** from the menu

3. Enable “Add any gadget by URL” and Click on the **Save Changes** button.



4. Click on Gadgets from the Settings menu bar:



5. Select **Add a Gadget by its URL**:



6. Enter the following URL:

https://records.zlticloud.com/ps/PmApp/gajax/arch_fetchGadget?tenant=nara&server=records.zlticloud.com&protocol=https

Click the **Add** button and the following displays:



7. Return to Gmail to complete the configuration. At this point you should see the ZL Gadget in the left hand pane as shown:



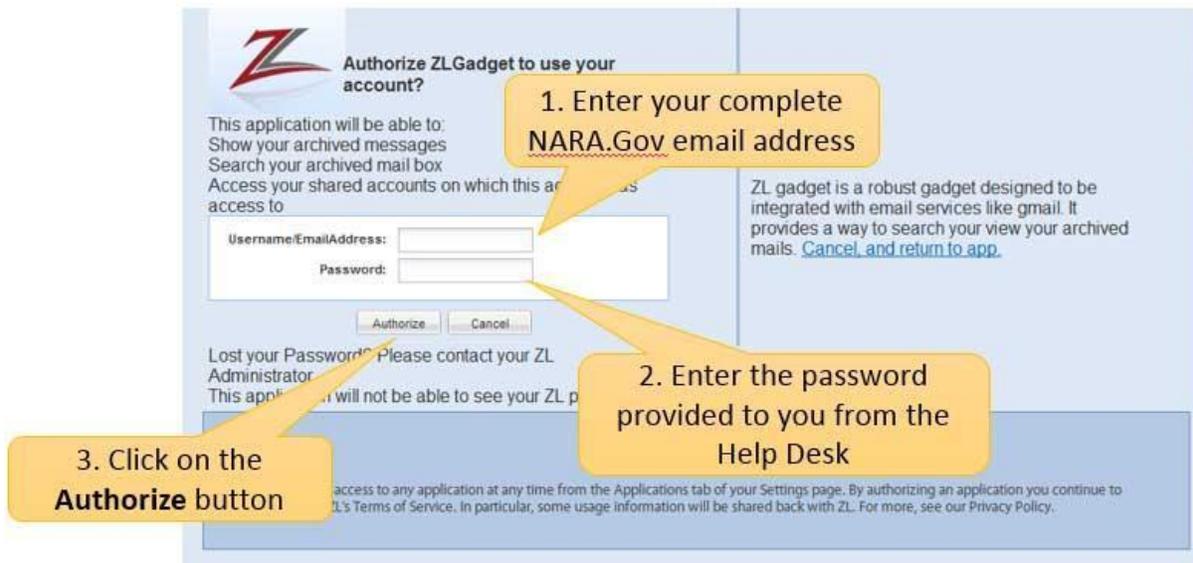
If you do not see the ZL Gadget as shown above, verify that your Gmail gadgets list is not minimized by clicking on the dotted icon as shown below:



7. Click on the ZL Gadget Personalize link



8. You should be presented with the following page to enter your full Gmail address and the password which will be provided in an email from the help desk and click the **Authorize** button.



9. Upon successful authorization, the ZL Gadget Search user interface will be displayed on the left side of the Gmail browser page as shown:



Tips and Techniques

- **When I personalize the gadget I receive an “unauthorized” error.** Ensure that you typed your full email address -- first.last@nara.gov when you click to authorize.

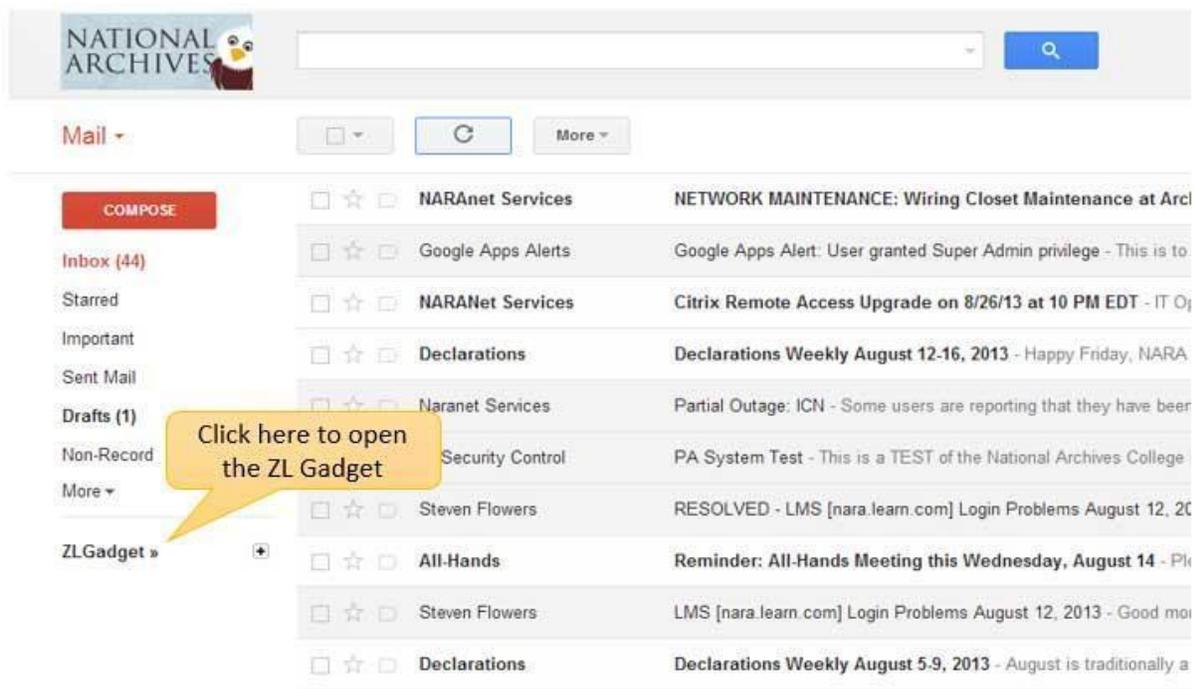
3 How to Use the ZL Gmail Gadget to Access Archived Email

At a glance:

- ✓ Install a Gmail gadget to access ZL UA.
- ✓ You will receive a one-time ZL activation password from the Help Desk.
- ✓ Once installed, the gadget will be available wherever you logon to Gmail.

3.1 The ZL Gmail Gadget

Once ZL is authorized, the Search page displays when you click on the ZL Gadget in the lower left of your Gmail screen as shown below.



After clicking on the gadget, the ZL Gmail search user interface will display.

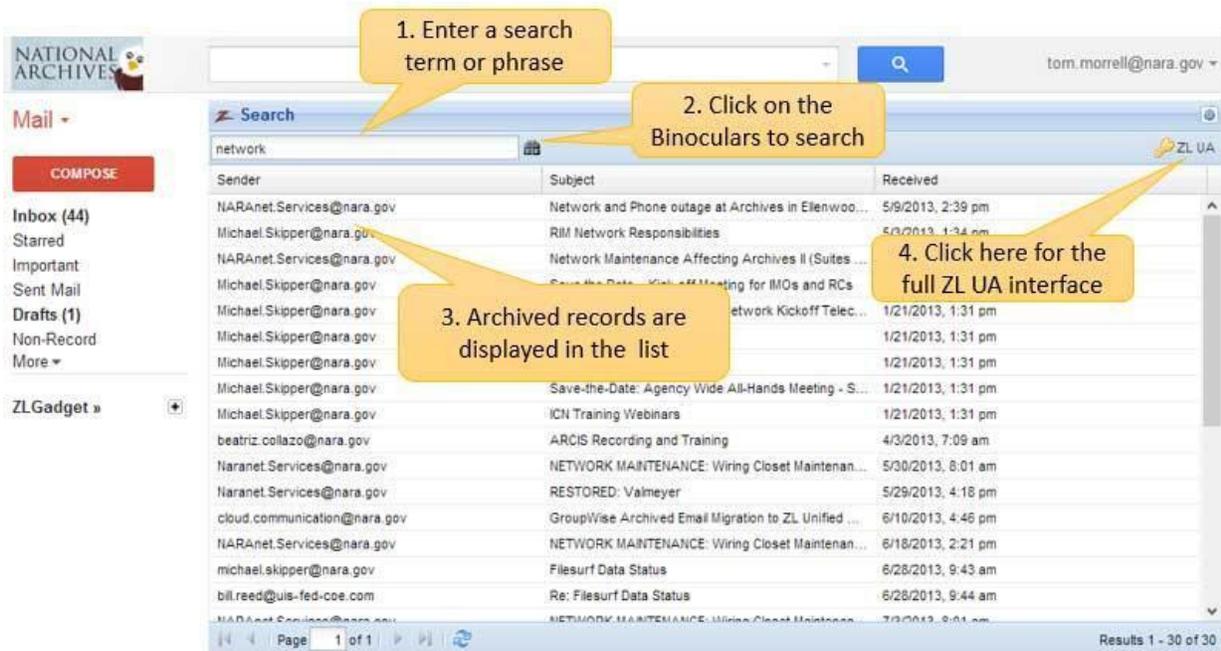
Tips and Techniques

How do I share all of, or a subset of, my email archive with another employee?

A ZL system administrator can enable sharing of a mailbox with another user. The entire mailbox is shared with the designated user and a subset is not supported.

3.2 Using the ZL Gmail Gadget

Use the **Search** text box to search the content in your end-user archive without fully launching the ZL UA application. This is useful for quickly identifying items without leaving the Gmail window. You can use this box to search through the subject, body, and attachments of the e-mail messages that have copied to the archive from your mailbox.



Double click on a record in the list to display the contents of the message.

Tips and Techniques

- **When I do a search in the "gadget box" the results don't open in Gmail, why?**

The gadget provides search results from the ZL archive and not Gmail. These are two different applications. If you need to access an archived message in Gmail that is no longer in the Gmail mailbox you can restore the message from the full ZL user interface.

Access the full ZL UA application by clicking on the  button in the upper right corner of the page. When this icon is clicked a new browser window will pop up and automatically log you into your ZL End-User Mailbox. This interface allows you to create more complex search queries and perform additional actions such as downloading, updating record status, restoring, forwarding, re-filing, and marking legal holds.

Use of the ZL End-User Mailbox containing your archives and records is detailed in the following sections.

Tips and Techniques

- **When working at home, I click on my ZL UA Gadget but it doesn't load.**
Verify that your browser is not blocking pop-up windows. ZL UA uses pop-up windows to display the user interface and these should be enabled for the application.
- **How do I expand the Windows when I open ZL? The windows stay semi-collapsed on the left side of my screen.**
Resize the window to the desired size, right click, and select Reload.

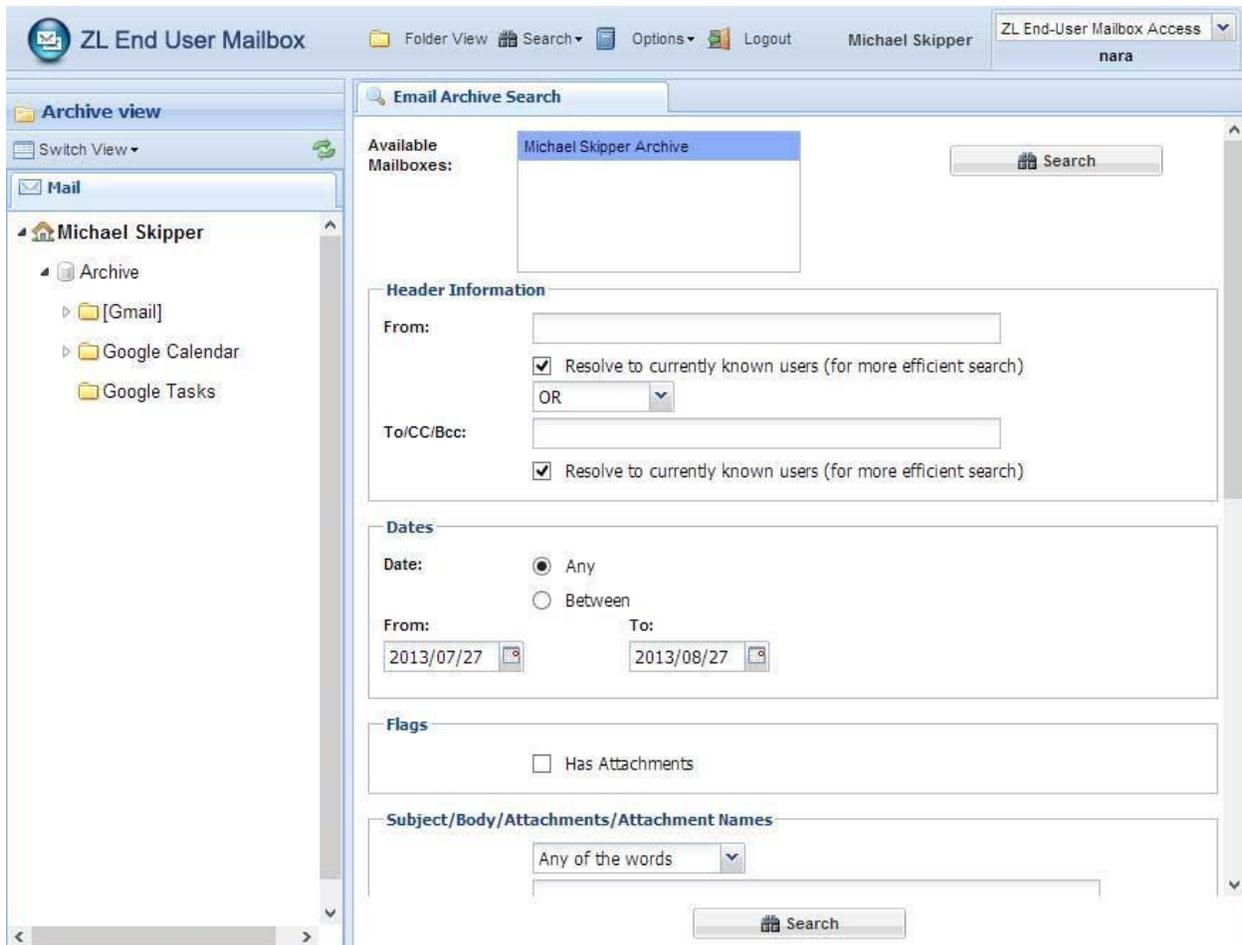
4 Overview of the ZL End User Mailbox

At a glance:

The ZL End User Mailbox provides four different views of your archived mailbox. See sections 4.1 - 4.4 for how to use each view.

- ✓ Archive View: Lists all items in the archive that you are permitted to access.
- ✓ Records View: Shows records that have been declared by file plan categories.
- ✓ Legal Hold View: Displays items that are on legal hold.
- ✓ Label View: Organizes messages according to the labels of the Gmail mailbox.

To access your ZL End User Mailbox from your Google Gmail mailbox, click the  button on the ZL Gadget. The ZL End User Mailbox module opens in the browser as a pop-up window and automatically logs you in to the ZL End User Mailbox using your existing Gmail session authentication. This means that you don't need to log in to ZL UA once you are logged in to Gmail.



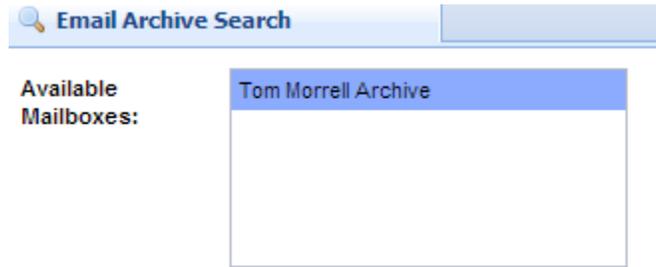
The screenshot displays the ZL End User Mailbox interface. The top navigation bar includes the title "ZL End User Mailbox", a "Folder View" icon, a "Search" dropdown, "Options" and "Logout" buttons, the user name "Michael Skipper", and a "ZL End-User Mailbox Access" dropdown menu with the name "nara".

The left sidebar shows the "Archive view" and a "Switch View" button. Below it, the "Mail" section is expanded to show "Michael Skipper" with sub-items: "Archive", "[Gmail]", "Google Calendar", and "Google Tasks".

The main content area is titled "Email Archive Search" and features a search interface. Under "Available Mailboxes:", "Michael Skipper Archive" is selected. A "Search" button is present. The search filters are organized into sections:

- Header Information:** Includes "From:" and "To/CC/Bcc:" fields. Both have a checked option: "Resolve to currently known users (for more efficient search)". An "OR" dropdown is located between the fields.
- Dates:** Includes a "Date:" section with radio buttons for "Any" (selected) and "Between". Below are "From:" and "To:" date pickers with values "2013/07/27" and "2013/08/27" respectively.
- Flags:** Includes a checkbox for "Has Attachments", which is currently unchecked.
- Subject/Body/Attachments/Attachment Names:** Includes a dropdown menu set to "Any of the words" and a "Search" button at the bottom.

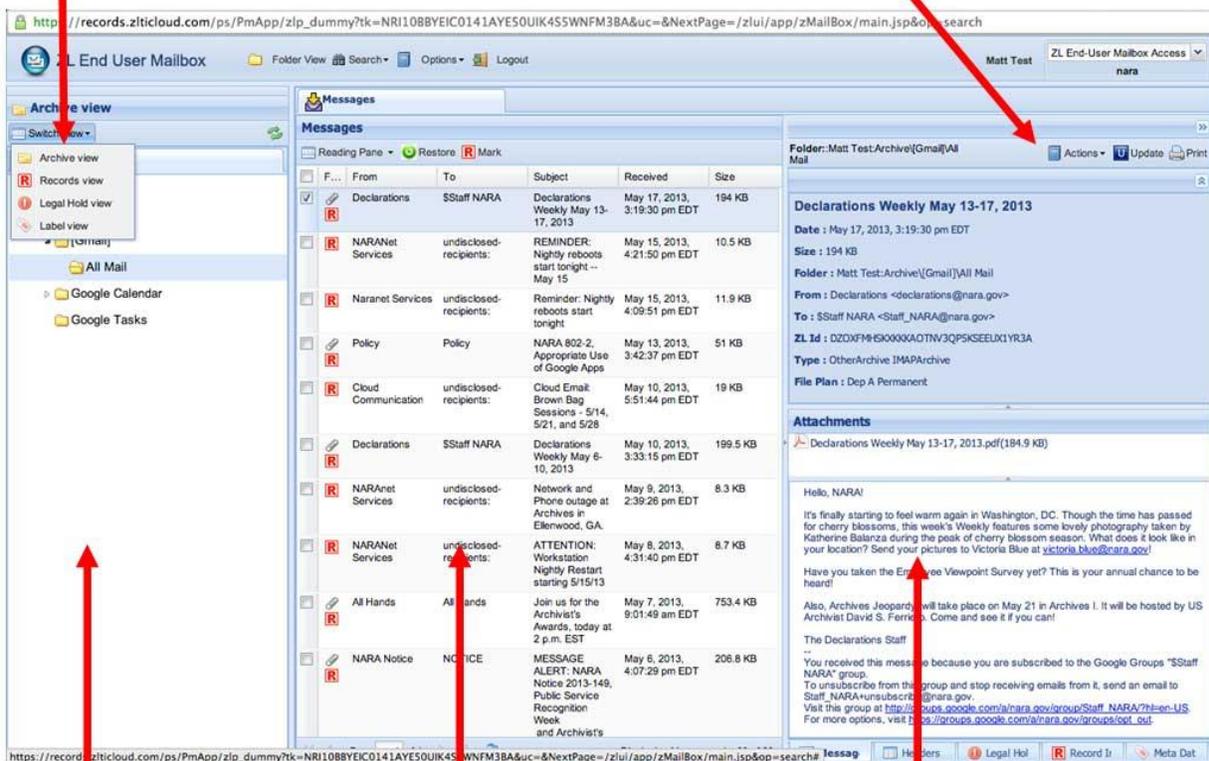
Upon initiation, the **Email Archive Search** page is displayed. On this form should see the mailboxes that you are authorized to view in ZL UA:



On the left side of the page you will notice that, by default, the **Archive View** is displayed. When you click on a folder or label in the view pane, the **Messages** page lists the items in the view, metadata about items, and a preview pane showing the message content.

Switch Views Menu

Actions Menu



Navigation Pane

Messages Pane

Reading Pane

Components of the ZL End User Mailbox

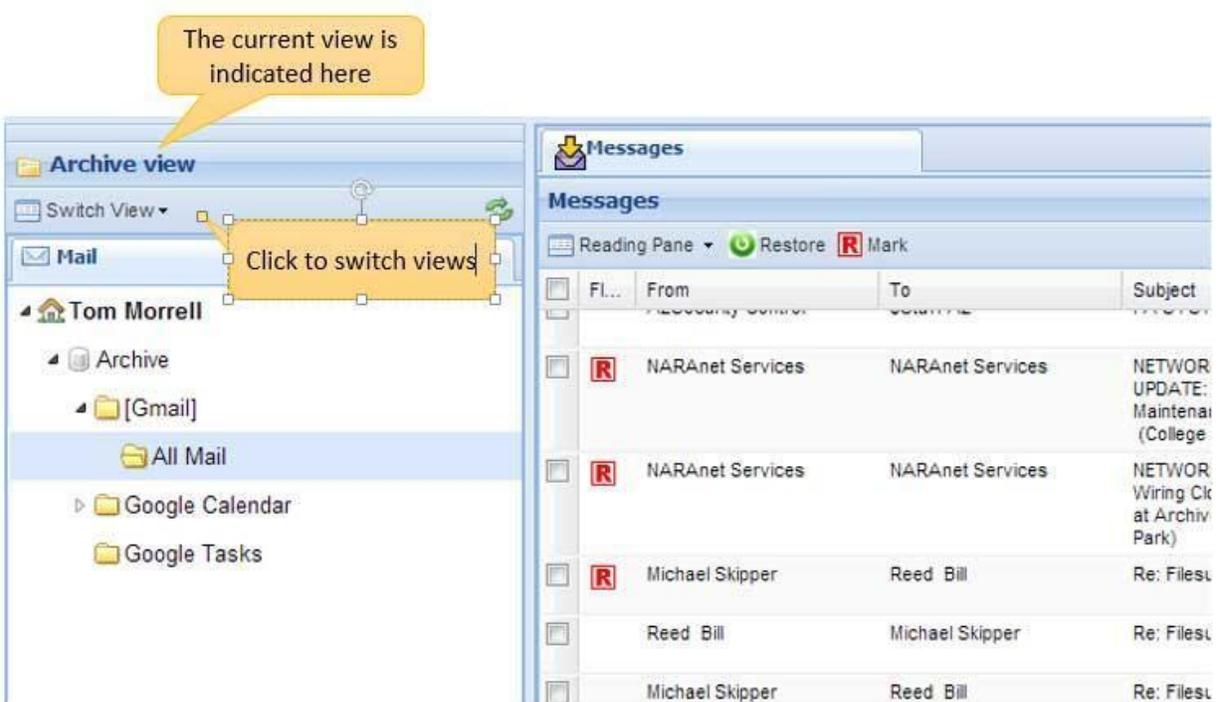
Items in the ZL End User Mailbox can be displayed in four different views which are specifically tailored to management of the items. These views include the following:

- Archive View: Lists all items in the archive that you are permitted to access
- Records View: Shows records that have been declared by file plan categories
- Legal Hold View: Displays items that are on legal hold
- Label View: Organizes messages according to the label or folder structure of the Gmail mailbox

To switch between these views, click the **Switch View** menu located above the navigation pane.

4.1 Archive View

The Archive view contains all of the items in the archive that have been crawled into the archive and you have permission to view. Some of these items might also have been declared as records or marked with legal holds. These documents are marked with a R or ! icon, respectively.



Archive View

The Archive view shows all of the mail archived from your mailbox, duplicating your mailbox label structure. The Archive view can be useful for viewing email items that were migrated from GroupWise using the original folder structures migrated into Gmail.

The Archive view is the default view that is opened when you initially access ZL UA from Gmail.

4.2 Records View

The Records View displays all objects declared as records (both automatically and manually) and reflects the current file plan structure. This view is directly linked with the records repository and is only accessible while online in ZL.



Records View

4.2.1 Reminders:

January 22, 2013 is the designated effective date for Capstone.

Email, tasks, and calendar appointments created and received after January 21, are automatically categorized as permanent or temporary records under Capstone, by default. NARA's print and file policy applies to email records created or received before January 22, 2013.

Email objects dated before January 22, 2013, in the email archive are considered as convenience copies and will not be automatically designated as records (i.e, have a "R" icon, unless manually categorized by the user). Users may manually categorize these items as temporary, permanent, or non-records in ZL Unified Archive, as needed. See Section X on how to manually categorize email records.

Objects categorized manually as Non-Records in the archive are deleted after a specified number of calendar days.

Once capture begins, the archive system continuously crawls the Gmail mailbox. It copies and auto-categorizes email messages, tasks, and calendar appointments that are a specified number of days old AND sent and received after January 22, 2013 (hereafter “email records”) to its recordkeeping repository. It excludes trash, spam, draft and objects labeled as “Non-Record”. Email records stored in Gmail become “convenience copies” after capture. You may keep or delete them as needed.

The archive retains email records as:

- Permanent, for designated senior officials; or
- Temporary, for everyone else and will be kept for 7 years; or
- Non-Record when manually identified by users as a non-record.

The Capstone approach minimizes the need for end-user involvement in day to day email recordkeeping. If you choose not to manage your Gmail objects, the archive will capture and manage them automatically as records, based on your role at NARA. However, you can re-categorize these records in ZL UA during the safe harbor period.

Tips and Techniques

➤ **How do I delete messages from my email archive?**

Manually re-categorizing messages as Non-Record will shorten the retention in ZL to a few days as specified by policy, at which time they will be removed from the archive.

➤ **How do I file an email in ZL UA at the time I send or receive it?**

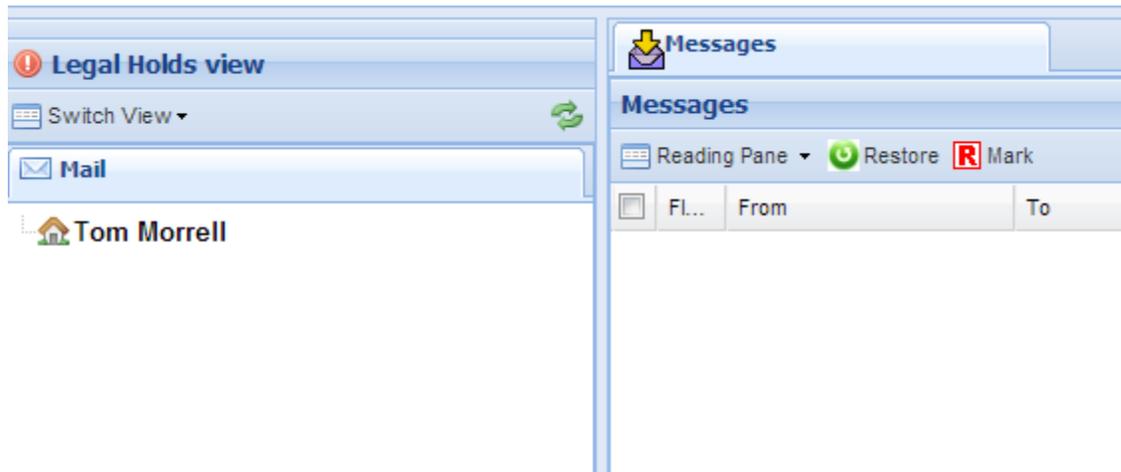
Users do not have the ability to directly file items into ZL UA at the time of sending or receipt. A background process runs each night at ZL which will scan your mailbox for messages that are older than a pre-determined date for inclusion in the archive.

➤ **What attachment file types can I open in ZL UA? What if I don't have the application on my workstation?**

You can download any file type and open it in its native application if you have the application. If you don't, then you can still see several file types (such as .doc, .pdf, .ppt, .xls, .txt) in HTML without having to download the file.

4.3 Legal Hold View

The Legal Hold view contains all of the items marked for legal hold. A legal hold is a preservation measure that locks an item so that it cannot be altered or destroyed. Legal holds are initiated by authorized ZL administrators when conducting e-Discovery for litigation, audits, or investigations.



Legal Hold View

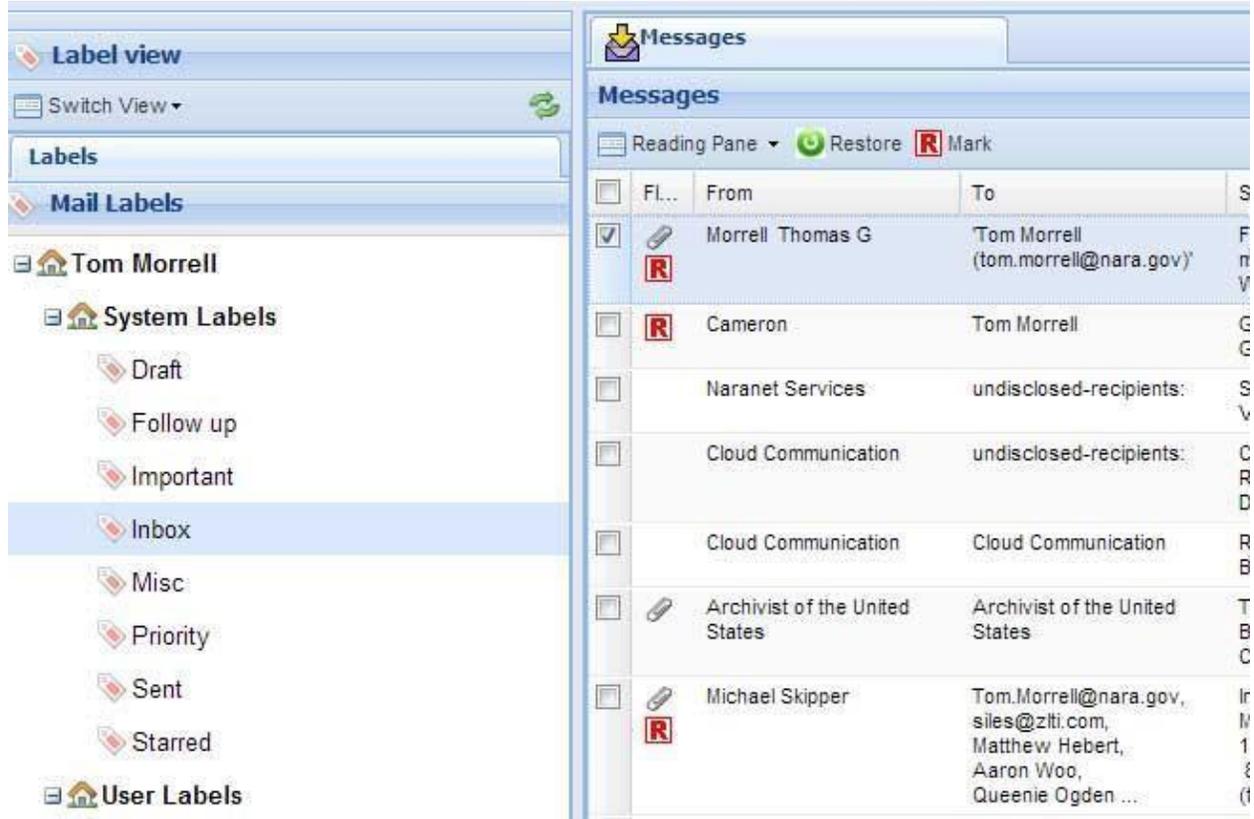
Tips and Techniques

- **Why are records listed in my “legal holds” view? I don’t have any holds.**

Legal holds are set by ZL administrators using the ZL e-Discovery application. These authorized users can place items on legal hold without the end user’s interaction.

4.4 Label View

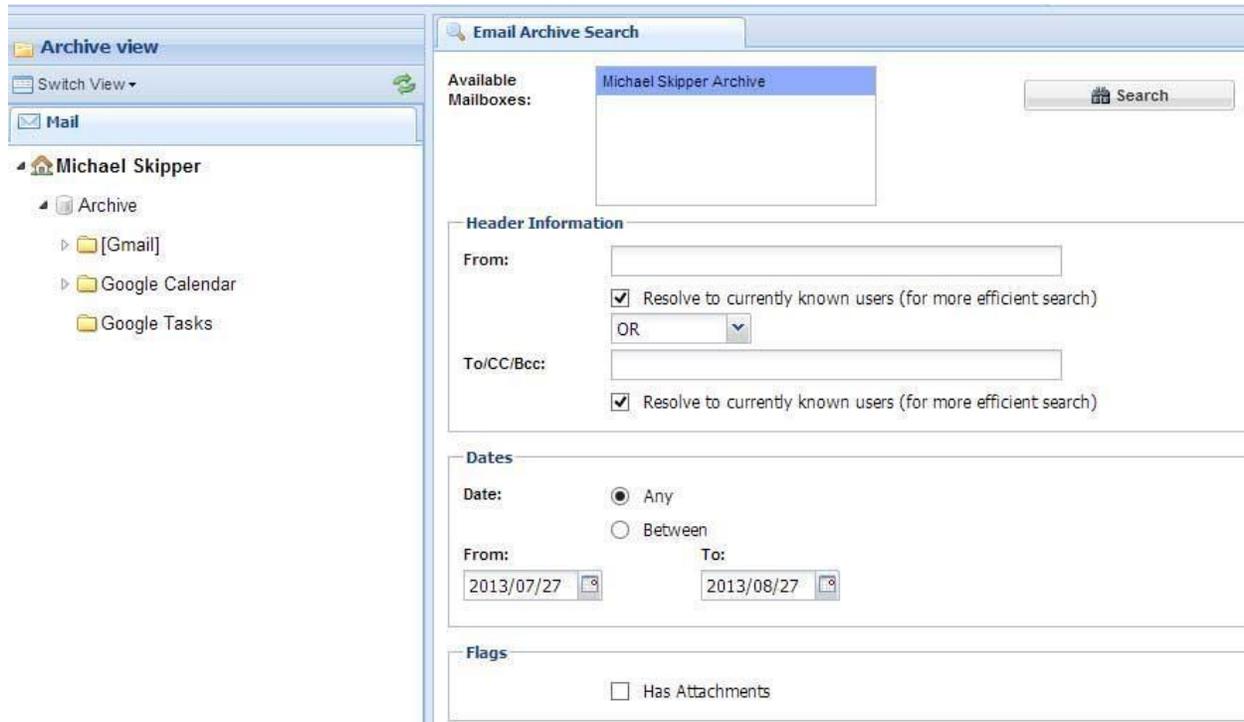
The Label View contains all of the items organized by Gmail Labels. This view shows the layout of the Gmail mailbox and how the mailbox is organized. There are two types of Gmail Labels shown, System Labels (Gmail provided labels) and User Labels (Gmail labels setup by the user).



Label View

4.5 Navigating the ZL End User Mailbox

As previously discussed, the Archive View is the default view of the ZL End User Mailbox when you first launch the application.

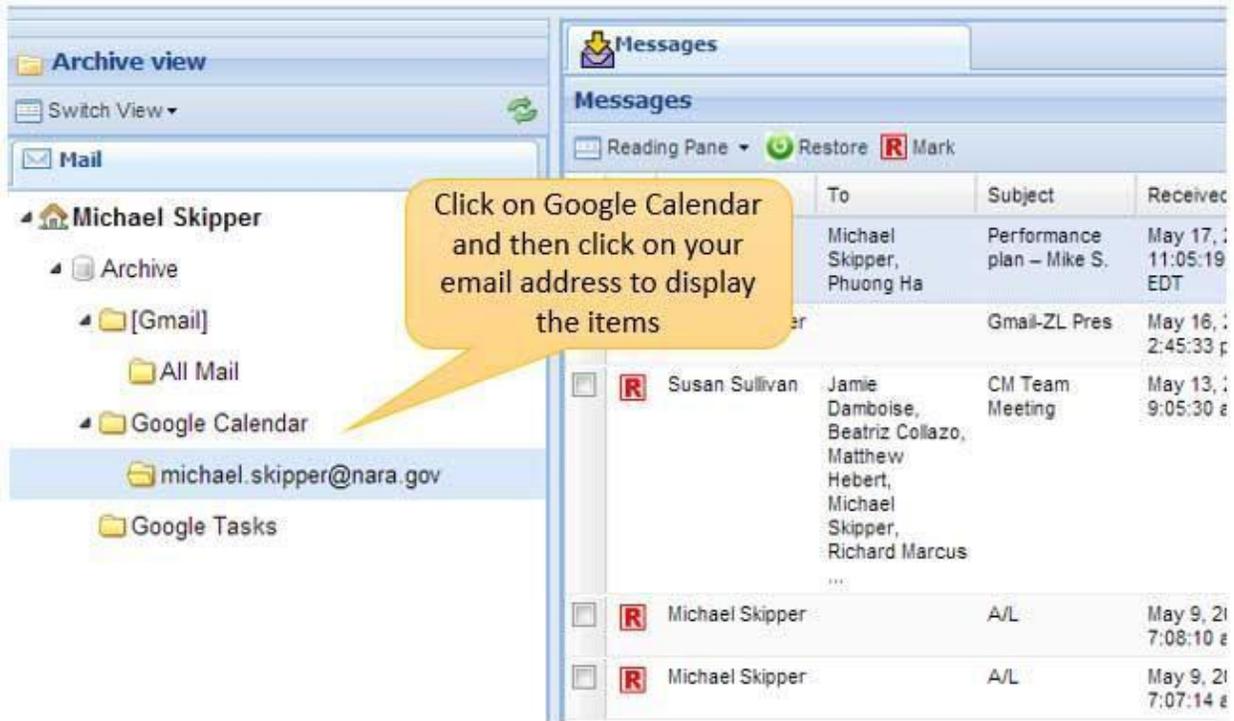


ZL End User Mailbox Default View (Archive View)

Archive View displays all of your emails, calendars, and tasks you have permissions to view.

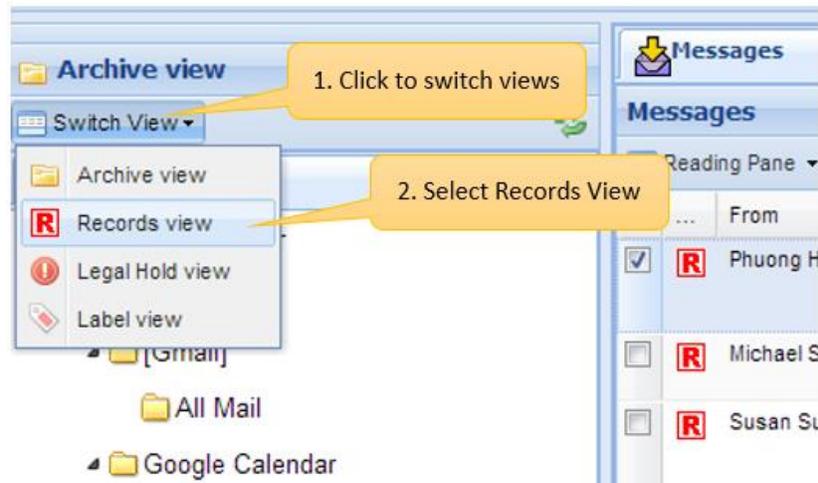
In the Navigation Pane, click on the **[Gmail]** link and then click on **All Mail** to display all the emails captured as records.

Click on the **Google Calendar** link to display the calendars captured as records.



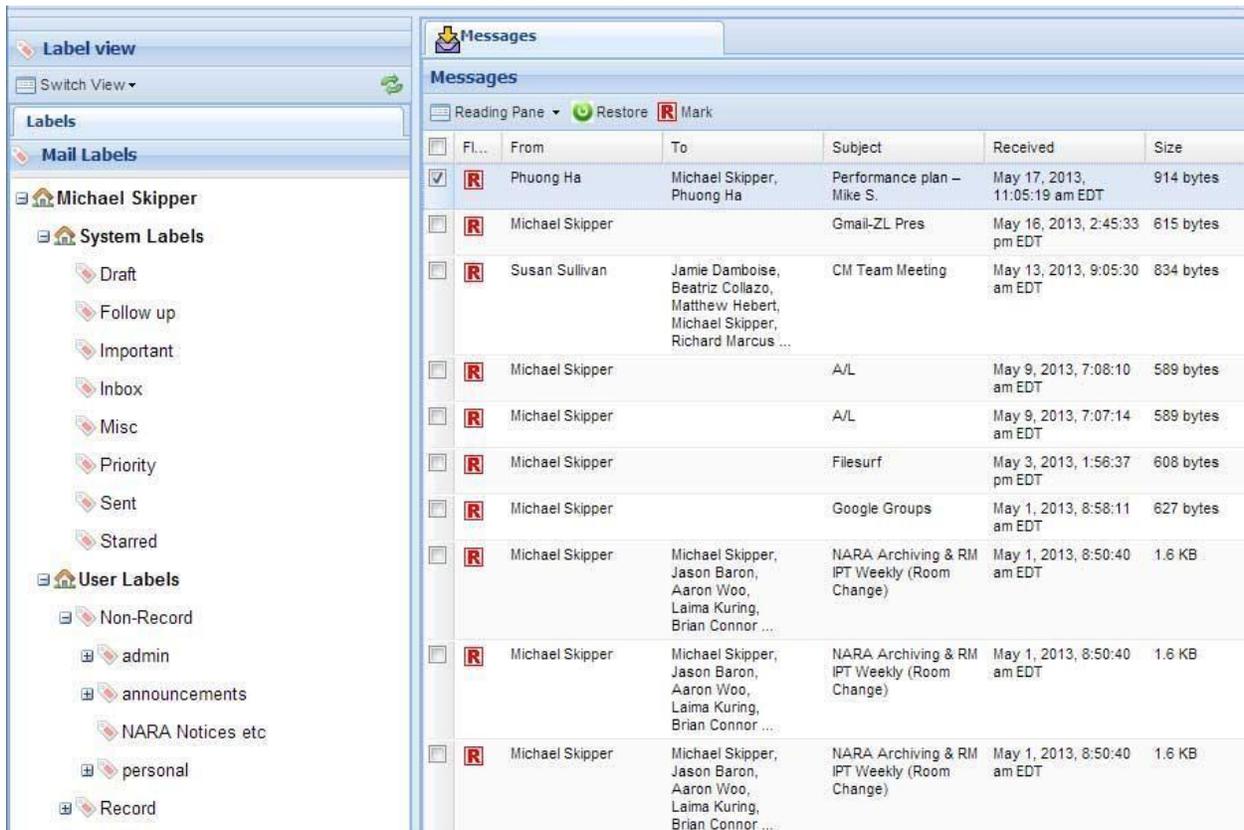
ZL End User Mailbox Archive Calendar View

Click **Switch View** and select **Records View** to display the available File Plan categories.



In the Navigation Pane, you can click on each File Plan category to display the messages that have been declared in that category.

Click **Switch view** and select the **Label View**.

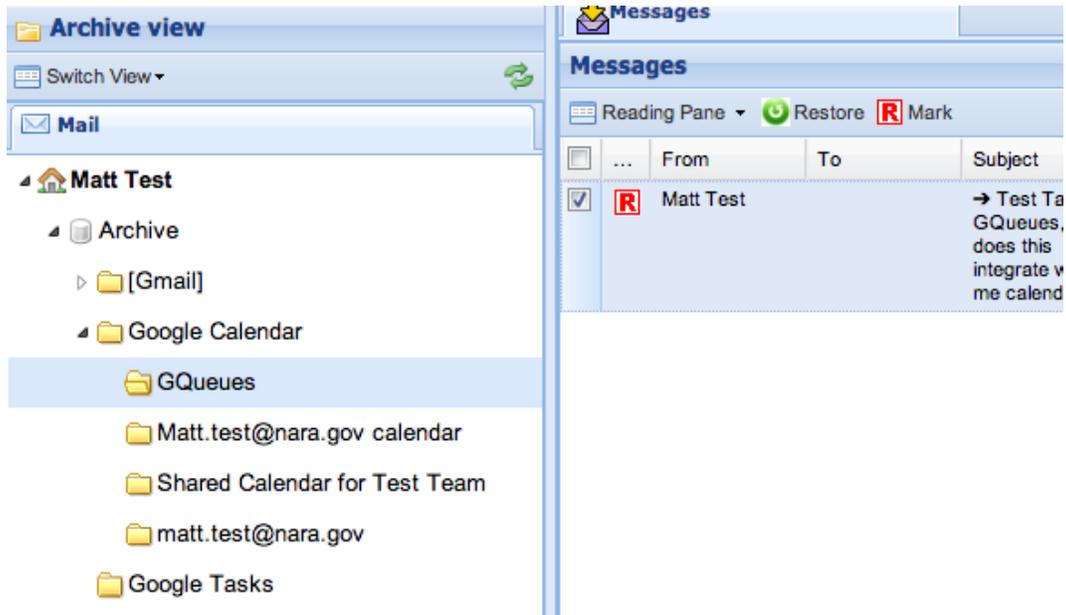


ZL End User Mailbox Label View

The Label View displays your messages organized by Gmail Labels. Each night, ZL analyzes your Gmail mailbox and looks for any new items that are suitable for archiving (e.g., have exceeded the Google Apps safe harbor period). Additionally, ZL captures the Gmail labels and maintains the organization of items in ZL the same way that they were organized within Gmail. In the Navigation Pane, you can click on each label and display the items captured in the archive organized by Gmail Label.

4.6 Managing Calendars and Tasks

The ZL End User Mailbox Archive view is where you will find your Calendars and Tasks that have been archived. GQueues tasks are represented by a GQueues calendar and native Google Tasks are listed separately. In the Navigation Pane, click on the **Google Calendar** link to list all of the calendars that have been captured in the archive.



All of the calendars that you can access are listed when you expand the Google Calendar and Google Tasks labels. Google Gmail Tasks are listed in their own folder. Note that tasks can be created either in Gmail or GQueues. GQueues tasks are shown as a calendar in the ZL end user mailbox. Calendar and task items (including GQueues) are managed in ZL just like email messages, including the ability to mark and categorize them as records.

5 Automated Records Management in Gmail

At a glance:

- ✓ Records management for Gmail can be as simple as using a label.
- ✓ Gmail labels can be applied in bulk.

The NARA Google Apps Archive and records management application has automated email management based on simply labelling items in Gmail so users do not need to manually declare or categorize records within ZL UA. Using Gmail labels, you can delete useless information or label Gmail objects to control how email objects are captured as records. Based on your role as a standard user or a designated senior official, ZL Unified Archive looks for the following Gmail labels and uses them when crawling your Gmail account.

- **Temporary** – Designated senior officials’ email records are permanent by default. However, they should use this label to identify temporary records, as appropriate.
- **Permanent** – Staff not designated senior officials email records are temporary by default. Staff should use this label when their email records are permanently valuable, per NARA’s records control schedule.
- **Non-Record** – everyone can label non-records that you wish to keep, but do not want captured as records in the archive. The archive excludes all objects labeled as Non-Record in the crawl.

Please add these labels exactly as shown above (for consistency). This allows the Archive to recognize and use your labels correctly.

ZL Unified Archive acts only Non-Record, Temporary, or Permanent labels. You can use other labels to as needed to support your daily work. The archive “label view” displays your archived email using Gmail labels.

5.1 Applying Labels to Messages

You can add a label to your messages in several ways:

- When viewing a message, click the **Labels** button to add a label to the message. You can also click and drag a label from the left side, and drop it on the message.
- When writing a new message, use the **Labels** button to add a label before sending your message.

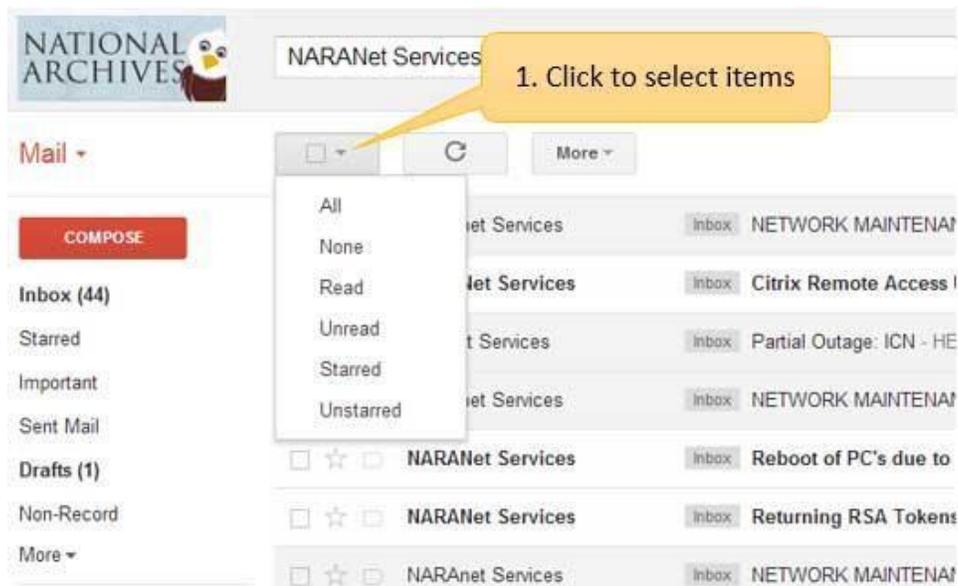
Tips and Techniques

- If “conversation view” shows a label in Gmail for the conversation, are all messages in that conversation captured in ZL under that label? Yes. All of the messages in the conversation will be labeled automatically.

5.2 Applying Labels in Bulk

Use the following steps to apply labels in bulk:

1. Click the search bar at the top of your mailbox. Enter the search criteria, for example, “NARANet Services”, for the messages that you would like to select. Click the **Select: All** link above your messages.

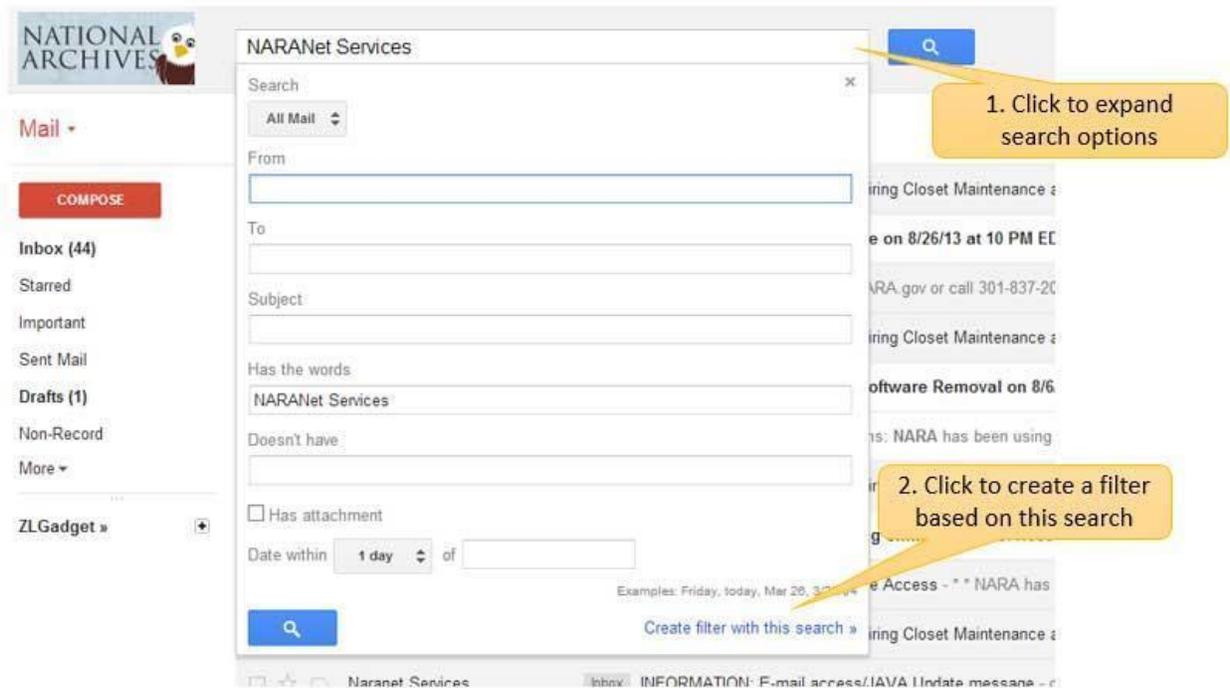


2. If you would like to select more than the first page of search results, click the text that says 'Select all conversations that match this search.'
3. Select the label you'd like to apply from the **Labels** drop-down menu.

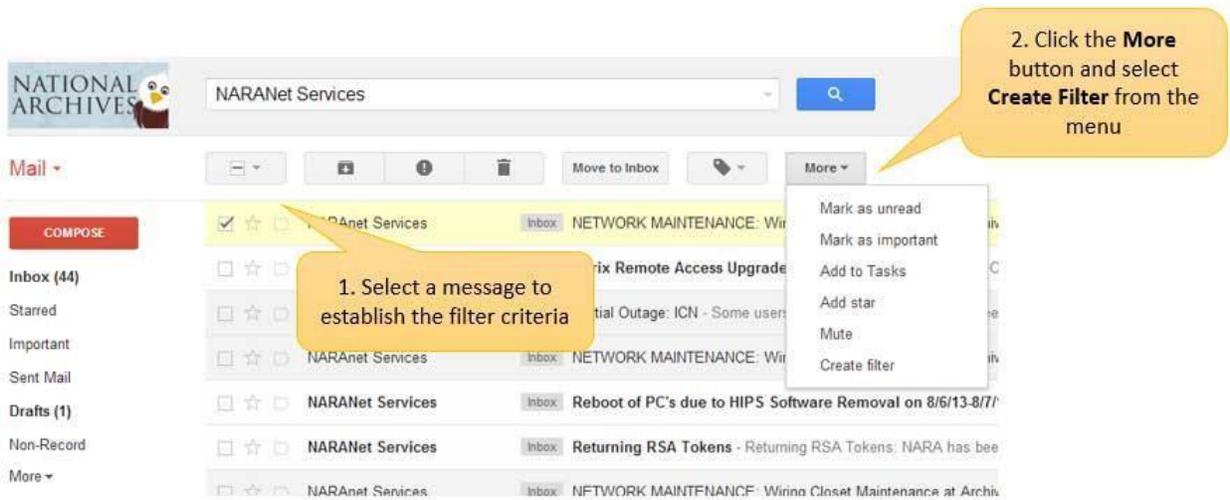
5.3 Applying Labels Automatically with Filters

Use the following steps to apply labels based on filter criteria:

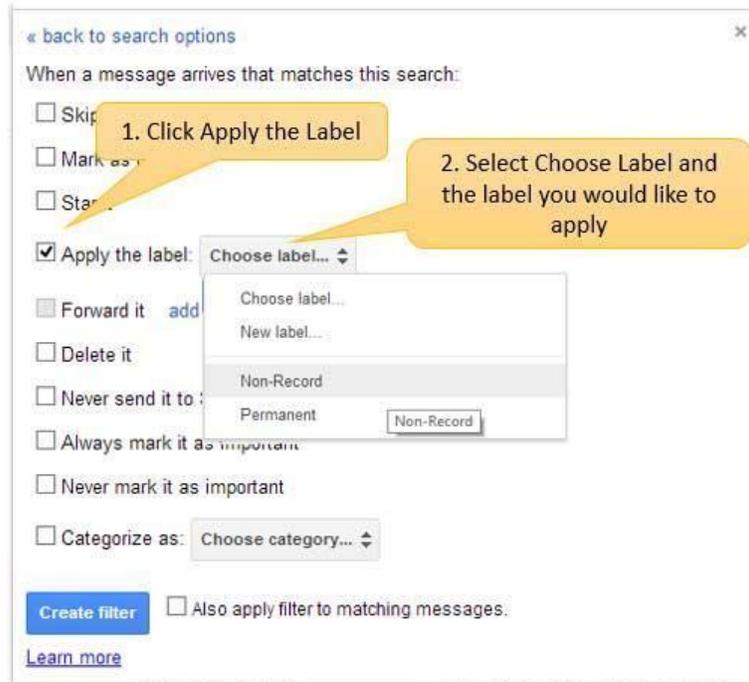
1. Click the **Show Search Options** triangle on the right end of the search bar at the top of your mailbox, enter your search criteria and click **Create filter with this search**.



2. Alternatively, select a message from your mailbox, click the **More** button, and click **Create Filter**.



3. Choose a label from the 'Apply the label' drop down box.

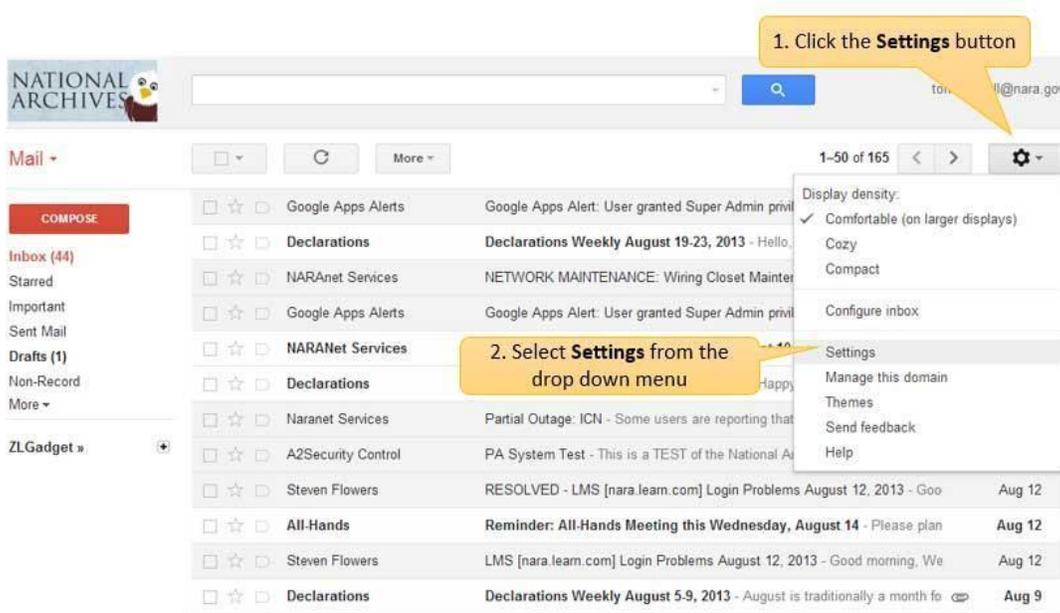


4. If you would like to apply this filter to the messages you already have (rather than only to new messages), select the **Also apply filter to matching messages** checkbox.
5. Click the **Create Filter** button.

5.4 Filtering Non-Records in Gmail with a Label

You can use the following procedure to automate management of non-records in the NARA environment.

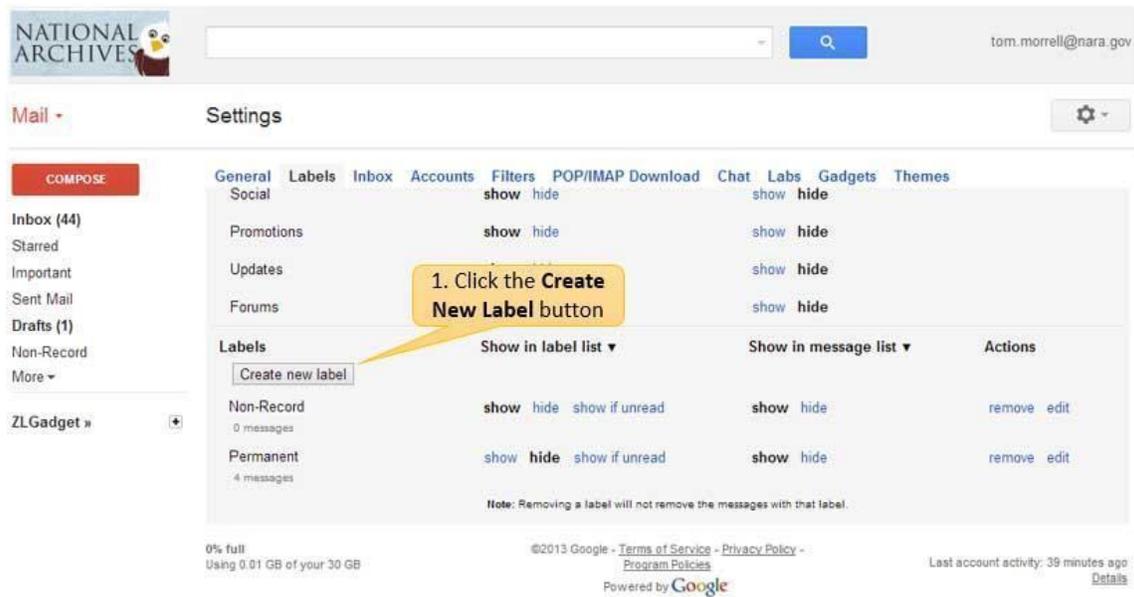
1. Create a **Non-Record** label, through Gmail Settings. Clicking on the **Settings** button and select **Settings** from the drop-down menu.



2. Once in Settings, Choose Labels



3. Click Create new Label

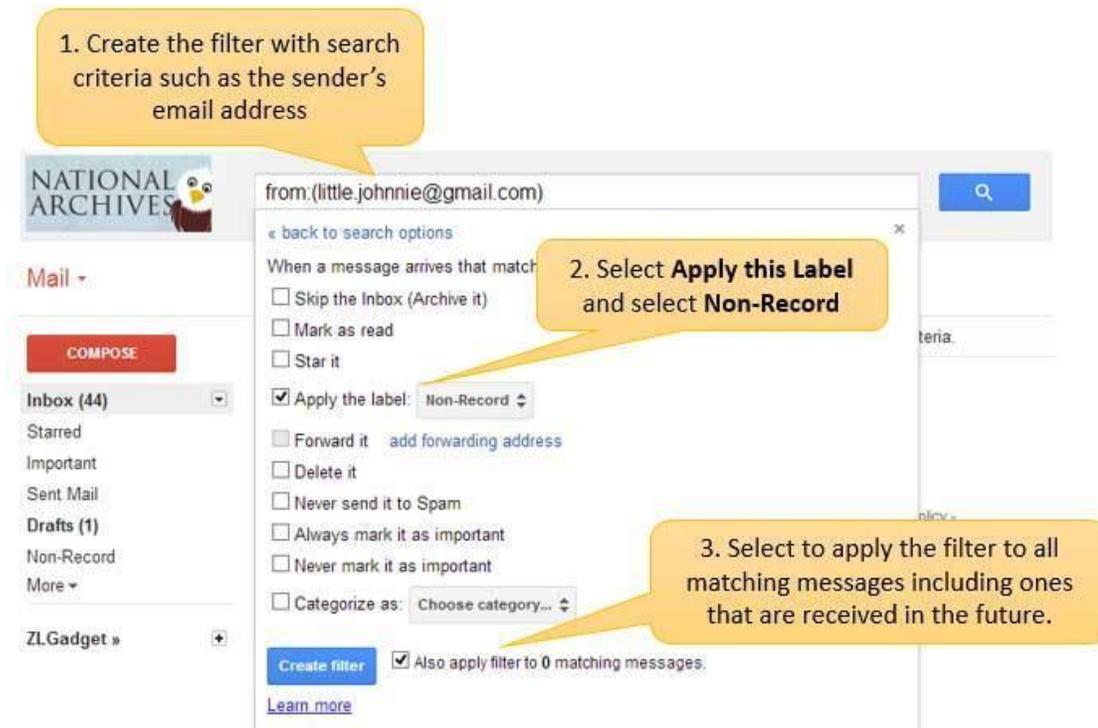


4. In the Create New Label Window, type Non-Record in the “new label name” box, click “create”.



5. The **Non-Record** label will now appear in your Gmail list of labels. Label Non-Records with your Non-Record label or move them and label them at the same time. If you don't want to keep an email then delete it.

6. If you would like to automatically label messages with the Non-Record label then follow the procedure in the previous section, ***Applying Labels Automatically with Filters***, to create filters that label messages as Non-Record. For example, if messages that arrive from a specific email address such as a family member or friend should always be marked as Non-Record, then create a filter on that email address.



Tips and Techniques

- **If a message has multiple labels how does ZL use them to file records? What is the order of precedence?**

For all users, the Non-Record label is checked first as this prevents an item from being ingested into ZL UA in the first place. Depending on the type of user the following rules are used in order of precedence from top to bottom:

- **Standard Users (Capstone Temporary):**
 - Permanent label: Declare as a Permanent record
 - If no label or any other label: Declare as a Temporary record
- **Designated Senior Officials (Capstone Permanent):**
 - Temporary label: Declare as a Temporary record
 - If no label or any other label: Declare as a Permanent

6 Manually Managing Records in ZL UA

At a glance:

- ✓ In addition to Gmail label management, records can be processed manually.
- ✓ Records can be searched with rich filter criteria.

An item marked as a record will retain the properties of its record category as well as all of its original data fields; however, the disposition schedule assigned to the record category will take effect for the item. Legal holds will essentially over-ride both of these schedules, since as long as an item has at least one legal hold, it cannot be destroyed.

In addition, records may be assigned user-entered data fields called Record Schema if these are defined by the system administrators. These fields may vary according to the record category and can be optional or mandatory. Examples of additional data fields might include event dates, legal hold reasons, project names, region information, and action items.

6.1 Marking an Uncategorized Item as a Record

In the ZL End User Mailbox, Records View, Legal Hold View, or Label View select any document that is not marked with an R icon.

1. Click **Record Actions > Mark as Record**. To mark multiple records from the archive, select multiple documents, and from the Messages pane, click **Mark as Record(s)**.
2. The **Mark As Record** dialog box opens.



3. Select the appropriate retention category.
4. To view or enter additional record information, including legal holds, click the **Show Details** button. The page expands to provide fields for entering meta-data as shown below.

The screenshot shows a web application window titled "Enter meta-data for category:Non-Records (3000)". On the left, a sidebar lists record counts: "Records (1)", "Records (2)", "Records (1000)", and "Records (2000)". The main content area is divided into several sections:

- User fields:** A section with a collapsed arrow icon.
- Media type:** A dropdown menu currently set to "email".
- Content fields:** Contains two input fields labeled "Priority:" and "Attachment Reference:".
- Supplemental Markings:** Includes a checkbox for "Apply Supplemental Marking" (which is unchecked) and a list box for "Named holds available:" containing the text "Confidential".

At the bottom of the window, there are three buttons: "Submit", "Hide Details", and "Cancel".

5. Click the **Submit** button. If any required fields are left blank, the system prompts you to enter them. The document is marked with a Record icon in the Messages pane.

Note: A record remains visible in both the records view and the archive view for the duration of its record life cycle (and until any final legal hold is lifted).

Tips and Techniques

- **When I declare a message in ZL UA as a record (or re-categorize one as a non-record) the change does not seem to be captured by the system. Why not?**

The view does not always update automatically. Click on the blue circular arrows at the bottom of the messages pane to refresh the view. Due to the complexity of ZL UA and the need to manage millions, if not billions of records, background processes may need to complete in order to update search indexes so some actions may require some time before being reflected in the user interface.

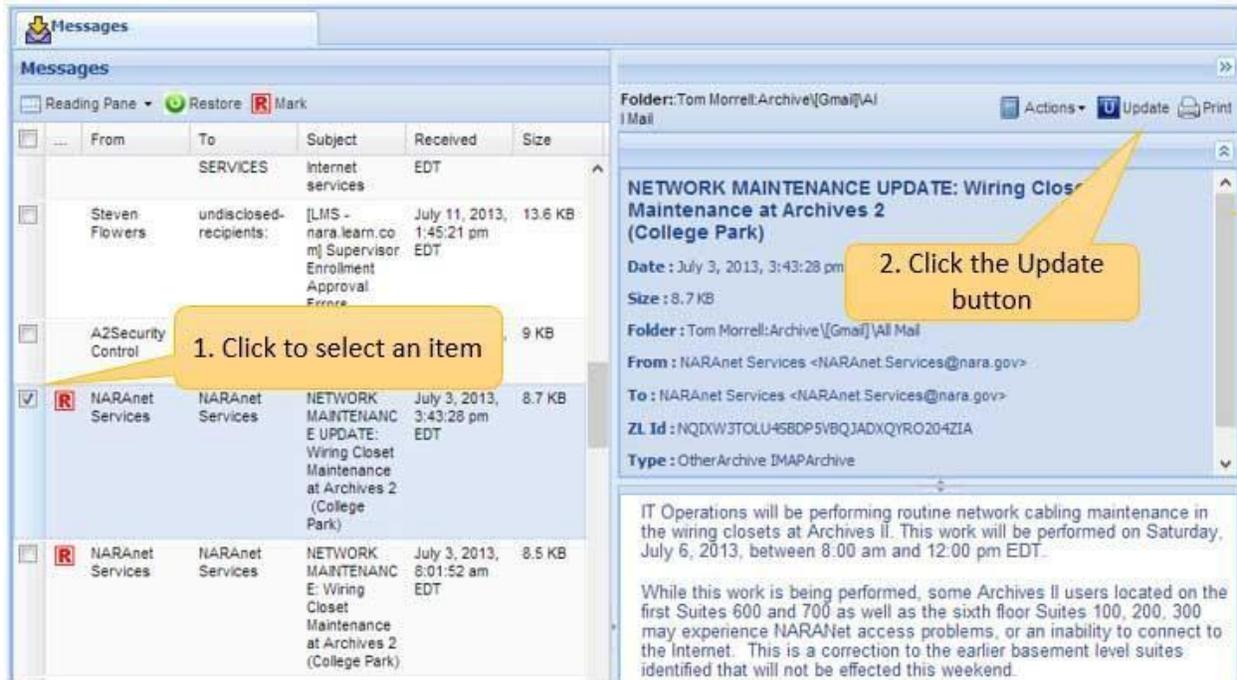
- **How do I file messages in ZL UA in a more granular file plan (e.g., when I need to keep a temporary record for 15 years)?**

Access to existing granular file plan categories can be granted to you by an administrator. Creation of file plan categories and retention periods requires access to the administrative Records Manager application. Access to various categories and features within this application will be subject to the access control and privacy policies of NARA and may be granted after users are given suitable time and training to ensure acceptable access restrictions on their own data.

6.2 Updating an Archived Item

To update information or category for a item:

1. In the ZL End User Mailbox, select the item.
2. Click the **Update** button above the Reading Pane.



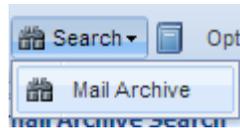
3. To re-categorize a record, select a new category in the file plan. If no folder is selected, the record remains in its current file plan location.

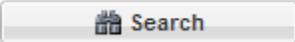


4. If needed, click **Show Details** to edit additional meta-data and click **Submit**.

6.3 Searching for Items

To search for items from any view click on the **Search > Mail Archive** button at the top of the screen:



Use the Email Archive Search page to search for items by entering filter criteria and clicking on the  button. If you click on the **Search** button without entering any criteria all of your end user archive items will be returned. The search filter criteria are described below and you can use any combination of them to find items.

Available Mailboxes: By default, each user is associated with their own mailbox but in some instances administrators may provide access to additional mailboxes. Select the mailboxes that will be used for searching.

Header Information: You can restrict searches to various combinations of message header information such as messages from a selected user or list of users and recipients of messages with To, CC, and BCC designations. You can combine addresses with the AND Boolean operator or isolate them with the OR operator. List multiple addresses by separating them with a semicolon.

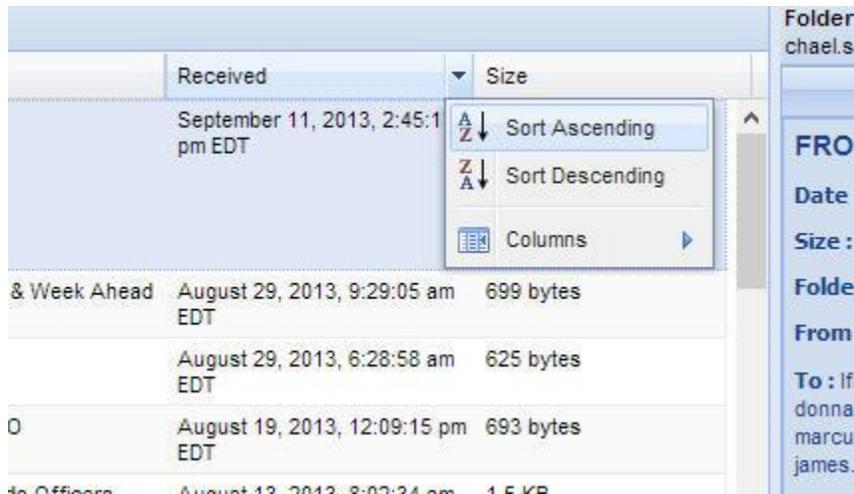
Dates: Select items that were created between specific date ranges.

Flags: You can filter only items that have attachments.

Subject/Body/Attachments/Attachment Names: Identify keywords or phrases that are used when searching the subject, body, attachment body, or attachment names of messages. You can specify that the exact phrase, any of the words, or all of the words are used when searching. Additionally, you can request that words are co-located within a specified proximity of each other. ZL UA provides the ability to search across all of the text-based portions of the message or to individual components separately such as a phrase in the subject and a key word in the body, etc.

Size: The size of the messages can be used to filter search results. The size can be anything, less than or greater than a specified value.

When you click the **Search** button and the search results are displayed, if less than 10,000 results are returned you can sort the results based on the column. For example, in the illustration below you can choose to sort on the date received in either ascending or descending order.



Search Column Sort

The search results and filter criteria are displayed in separate windows that can be accessed by the tabs at the top of each page. To refine or start a new search click on the **Email Archive Search** tab.



Archive Search Window Tabs

Tips and Techniques

- **How do I determine what date the record was captured? This will let me know how long I have left to re-categorize the record.**

Click on an item within the End User Mailbox. In the bottom right hand side there is a “Record Info” tab. You will see a “Record Information” pane which has two date fields. “Date” is when the record was captured, while “Publish Date” is when the message was created.

- **Can I do a search and re-categorize all of the results (e.g.; as non-records)?**

Currently you can only re-categorize one item at a time from the search interface. ZL has indicated that in their next upgrade they will replace the bulk ‘Mark’ button in the search results pane with a bulk ‘Update’ button, which will allow you to re-categorize in bulk.

6.4 Restoring an Item to Gmail

To restore an item to a Gmail mailbox, select the item in the ZL End User Mailbox, and on the right side of the window, click **Actions > Restore**. The restored mail re-appears in the location in the Gmail mailbox from which it was originally archived.

6.5 Printing Items

To print an item, in the ZL End User Mailbox, select the item, and on the right side of the window, click the **Print**  button.

6.6 Exporting Items

The ZL End User Mailbox view does not provide the capability to export archive items. Archive items can be exported by system administrators with the e-Discovery and Records Management applications in ZL UA.

7 For More Information

Corporate Records Management maintains complete documentation and guidance on the NARA-at-Work Capstone Email Management Page at:

<http://www.nara-at-work.gov/chief-operating-officer/corporate-records-mgmt/capstone.html>

What if I have more questions?

For policy questions related to Capstone, contact Corporate Records Management at 301-837-0880 or at Recordsmatter@nara.gov. For technical questions related how to use Gmail of ZL Unified Archive, contact 72020 or ithelp@nara.gov.

8 Glossary

Category – In ZL UA Records Management, records must be placed into categories. Some categories may contain subcategories, which may or may not inherit properties from the parent category.

Cut-off Periods – As with physical documents, records are often grouped according to cut-off periods that are determined by their trigger date.

Declare – To mark as a record.

Legal Hold – Status applied to case items to prevent their deletion from the ZL UA Records Management.

Mail – E-mail messages, conversation histories, and calendar items are collectively categorized as mail in ZL Unified Archive.

Records File Plan – In ZLUA Records Management, categories form a hierarchical categorization structure called the Records File Plan.

Retention Codes – Record life cycles are governed by the disposition schedule, which consists of retention codes assigned to each category.

Trigger Date – The file date, published date, record date, or any other data date field.

ZL End User Mailbox Access– A module within ZL Unified Archive which allows you to view all of the items that have entered the archive from your mailbox or associated file/SharePoint locations.

ZL UA Records Management Application– An application of ZL Unified Archive that manages all aspects of record declaration, categorization, and disposition.