Records Management FAQ for Email
July 12, 2013
How to set up Gmail for managing NARA's email records in the cloud

This FAQ explains how to set up and use Google Mail (Gmail) to facilitate automated records capture and management. It also addresses how to avoid capturing and managing non-records in the new email archive (ZL Unified Archive). This version responds to feedback from users and includes edits to clarify the information and answer emerging questions. Policy changes from former versions are shown in *red italics*. It remains a living document.

Contents

1. How is NARA capturing my email in the new email archiving system?

NARA's new email archiving system, ZL Unified Archive, uses two methods to copy records from Gmail.

Crawling - The archive captures email, tasks, and calendar appointments from Gmail and stores them in your ZL Unified Archive mailbox unless they are labeled as "Non-Record", draft, spam or trash.

<u>Journaling</u> – The archive keeps a separate file, called a journal file, of all email, tasks, and calendar appointments as sent or received in Gmail. This includes messages migrated from GroupWise. NARA may use this journal file for litigation or other investigatory purposes. This supports the requirement to preserve and access email not captured in the recordkeeping repository (for example, email records deleted by a user or labeled Non-Record).   Journaled content will be maintained for one year.

2. What content is being captured in ZL Unified Archive?

Each user will have your own "mailbox archive" in ZL Unified Archive. Your mailbox archive will contain:
- Copies of email, tasks, and calendar appointments, created and received via Google Apps.
- Copies of GroupWise objects stored in your live Gmail box.
- Email objects stored in GroupWise Archive files.

3. Who can access my email objects in ZL Unified Archive?

NARA Directive 802 addresses privacy of information on NARA systems, specifically sections 10, and 11.

<u>Crawled content:</u> As with GroupWise and Gmail, access to your mailbox archive in ZL Unified Archive is limited to you and system administrators.

<u>Journaled content</u>: NARA may use your journal file for litigation or other investigatory purposes. Only limited authorized staff (e.g., NGC or OIG) may access journaled content.

NARA will retain objects identified as records in the archive for a minimum of seven years, and we will retain all journaled objects for a minimum of one year. *Items labeled as Non-Records in ZL Unified Archive are deleted after ten calendar days.*

4. How are my email records being managed in ZL Unified Archive?

NARA is implementing an automated email management approach in ZL Unified Archive, called "Capstone". Using crawling technology, ZL Unified Archive automatically copies Google email, tasks, and calendar appointments (hereafter "email records") and manages them based on the user's role at NARA. Under "Capstone", email records are designated as either:
- permanent records (for designated senior officials, such as office heads and members of the Executive Leadership team),
- temporary records (for all other NARA employees, keeping them for a minimum of 7 years).

When your work creates long-term temporary or permanent email records, you may also need capture and file those records with other related records outside of ZL Unified Archive. If you create a large volume of permanent email records, please contact your records custodian to determine whether, based on your role, your email account should be designated as permanent.

5. Why is NARA implementing the Capstone approach?

NARA is implementing the Capstone approach to manage email electronically per the President's Directive on Managing Government Records (OMB M-12-18). NARA's Chief Records Officer is issuing a records management Bulletin for all federal agencies, explaining how all government agencies can use the Capstone approach. This bulletin will emphasize that Capstone is one way to manage email records. NARA is one of the first agencies to implement Capstone.

6. Will all of the objects in my archived mailbox be automatically managed as records under Capstone?

No. January 22 is the designated effective date for Capstone (i.e., when IT Pilot users began using Google mail).

Objected created or received after January 21, 2013.   Email, tasks, and calendar appointments created and received after January 21, will be captured and automatically categorized as permanent or temporary records under Capstone, by default. This FAQ addresses the nuances of automated capture and what you can do to manage your email records before and after capture.

Objected created or received before January 22, 2013. NARA's print and file policy applies to email records created or received before January 22, 2013. This means that all email objects dated before January 22, 2013, in the email archive are considered as convenience copies. However, you may manually categorize these items as temporary, permanent, or non-records in ZL Unified Archive, as needed.

7. Can I control which email, tasks, and calendar appointments get managed as records?

Yes. You can delete useless information or label Gmail objects to control how email objects are captured as records. 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.

8. What will happen if I chose not to label my email?

The Capstone approach minimizes the need for end-user involvement in day to day email recordkeeping. If you are not a designated senior official, such as an office head or member of the Executive Leadership team; then your email records will be maintained in the archive for seven years.

Remember that you are still required to capture and manage email that is part of business process and/or case file according to NARA's records disposition schedule.

9. How much time do I have to manage email records before and after capture in the archive?

As noted in the answer to Question 1, all NARA Gmail messages are "journaled" as sent or received for e-discovery and legal purposes, and are retained for one year.

However, for recordkeeping crawls "Safe Harbor" timeframes allow you time to manage email both before and after capture.

Gmail Safe Harbor – Before capture, during the Gmail safe harbor (90 days after sent / received) you can:

- <u>Delete useless non-records</u> such as some personal communications and advertisements.
- <u>Label non-record information</u> that you want to keep as "Non-Record" (such as NARA messages to all staff). This allows you to keep messages, such as NARA notices, in Gmail without them being captured as records by the archive.
- <u>Label records as Temporary or Permanent</u> when the default Capstone retention category, based on your role, is inappropriate (e.g., A staff member's email message is permanently valuable and is not shared with a designated Senior Official). For questions about when to use labels to override default Capstone retention categories, contact Corporate Records Management.

Archive Safe Harbor – After capture, during ZL Unified Archive safe harbor (*180 days after capture in ZL Unified Archive*), you can review captured records in the archive and change the default category (e.g., from temporary to non-record).

You can manually categorize uncategorized objects dated before January 22, 2013 as permanent, temporary or non-record at any time. Once categorized, you may change that category during the Archive Safe Harbor period.

10. What are records and non-records under Capstone?

Under Capstone, email, tasks, and calendar appointments are:

- records when they document your NARA business activities.
- non-records when they are not business-related. For example, messages about lunches, holiday parties, water clubs, etc. are not Federal records.

When unsure, you contact Corporate Records Management or leave the object in Google for 90 days and allow ZL Unified Archive to capture and manage the object according to Capstone.

11. Are chats automatically captured and managed as records?

Chats are not automatically captured in ZL Unified Archive. Most chats are either non-records or transitory (records of short-term value that can be deleted within 180 days). For the small percentage of chats that provide evidence of NARA business decisions or transactions (i.e., records), you can ensure they get captured in ZL Unified Archive (our recordkeeping system).

Select the chat label on the left for your Gmail screen, you'll then get a list of all your chats. Select a chat, by clicking in the check box, and then click "move to inbox." Just because they are listed under "chats", doesn't mean they will get crawled as records.

12. Are shared Google calendars captured in ZL Unified Archive?

All calendars listed in Google Calendar for a user under "My calendars" will be archived. These include any calendars that have been shared with the user and fall under that list. Calendars listed in Google Calendar under "Other calendars" will not be archived.

13. Can I automate email management in Gmail?

Yes. Gmail uses powerful Google search technology. Use Gmail filters to find, label, and manage Non-Records, personal, sensitive and other content automatically.

- You can set filters to run continuously in Gmail; automatically applying labels, and moving messages out of your mailbox to archive or trash.
- Go to the settings / help menu and use the tutorials to learn how to set up labels and filter your account.
- Messages in Gmail (regardless of how labeled) will remain in your Gmail account until you delete them, subject to the 25 GB Gmail size limitation.
- Use care when creating filters. Avoid creating overly broad filters (e.g., for all .com addresses) that can delete or label email records as non-record. Filters should be fairly specific to an address or subject (e.g. a filter that labels messages from declarations@nara.gov or FSAFEDS@shps.com as non-record).

14. Is there an easier way to avoid capturing my personal messages in the archive?

Yes!
- Provide friends, family and other non-business contacts with your personal email address.
- Use your personal email address for non-business notifications (such as from your bank, your doctor, your health insurance company, linked-in, Facebook, etc.). NARA 802 explains how to appropriately use NARA's Information Technology.)
- Use Gmail labels and filters to automatically label objects as "Non-Record". The "Non-Record" label tells the archive not to capture these objects as records.

15. How does Capstone work with NARA's records retention schedule?

Corporate Records Management is working with the Chief Records Officer's staff on a new Capstone records retention schedule. The Capstone schedule will apply to email records across NARA, including designated Senior Officials' email records determined to be permanently valuable.

The Capstone schedule will not replace existing business practices that require email messages and other related records to be retained together in established recordkeeping systems. NARA organizations should evaluate Capstone in terms of their existing business processes.

16. What if my unit requires me to file email (either as paper or electronically) with other related records as part of a business process?

Capstone may work well for daily communications that are not necessarily part of a business process. When business practices require email to be retained as part of a case file or other recordkeeping system, staff should manage these records outside of the archive and retain them according to the applicable records disposition schedule.

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In some situations, offices may have a business need to manage an additional recordkeeping copy of an email as part of a larger file system. For example, an email record discussing appraisal of an agency's records may be captured in the Archive and printed and filed in an appraisal dossier file.   For example, in some cases, it may still be necessary to print or re-format (PDF) email records and file them with related records.

When email records are scheduled as part of a business process, NARA staff should work with Corporate Records Management and their Information Management Officer to determine the best options for managing those email records.

17.   How do I find more information on how to use Gmail?

Access the Gmail Training pages (FAQs and short videos) by clicking on the following links

- http://learn.googleapps.com/gmail
- http://learn.googleapps.com/top-faqs/top-faqs-1

You can also access tutorials from within Gmail by clicking the "More" link in the header and then selecting the "Google Apps Training" link from the dropdown.

18.   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.