

FOR NARA USE ONLY	
Number	GRS-6-1-0263-2017-0001
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Total Accounts	426

Agencies are reminded that NARA reserves the right to review agency email practices and records. Pursuant to 36 CFR 1239.20, NARA may undertake an inspection involving high risk to significant records. Problems may be identified through a risk assessment or through other means, such as reports in the media, Congressional inquiries, allegations of unauthorized destruction, reports issued by the GAO or an agency's Inspector General, or observations by NARA staff members.

VERIFICATION FOR IMPLEMENTING GRS 6.1: EMAIL MANAGED UNDER A CAPSTONE APPROACH

SECTION A: Agency and Scope Information

This section captures general information about the agency and the scope of Capstone implementation. This includes: 1) name of the agency to which this form applies; 2) applicable record group number; 3) selection of which GRS 6.1 items the agency is proposing to use; and 4) information on implementation scope, such as whether agency-wide or limited to a specific component/office, as well as information on legacy email.

NOTE: One form is required for each unique implementation plan (for example, if implementation is limited to two program offices, but each program office differs in their implementation, one form for each is required) and/or per record group (RG) included (for example, a department implementing Capstone on behalf of their components which have separate record group numbers would need to submit one form per component/record group). This ensures that all positions are appropriately identified and documented. As a general rule, each record group number will require a separate form.

Name of Agency to Which this Form Applies:

Record Group Number:

*** Please spell out full agency name. Please do not use acronyms.*

Is this form superseding a previous submission? YES NO

If yes, provide previous tracking number assigned by NARA:

GRS 6.1 item(s) proposed for use: ALL ITEM 010 ITEM 011 ITEM 012

Implementation scope for this submission: Agency-Wide Component/Office (explain in additional scope comments)

Additional Scope Comments. If an agency did not check “all” under the “GRS 6.1 item(s) proposed for use” section, please summarize how other email is to be managed. If applicable, please include in this section all other RGs for which your agency is submitting a separate form (for example, “The department will also be submitting forms for the following additional components: [list of components, with their record group number].”

The email of Non-Capstone officials will have the retention of GRS 6.1, item 011. The total number of Capstone accounts is classified and is not included in the total number of accounts listed on Page 1. The unclassified number listed on Page 1 represents categories 1-9. The number of Capstone accounts in Category 10 is classified.

*** Note: Box will expand to accommodate text.*

Cutoff Instructions. Agencies using item 010 must also include the cutoff instructions to be used for implementation (for example, "cutoff of email will be annual" or "cutoff of email will be by employee tenure").

For item 010, cutoff of email will be by employee tenure.

*** Note: Box will expand to accommodate text.*

Transfer Instructions. Agencies using item 010 must also include the transfer instructions to be used for implementation (for example, "transfer when 15 years old" or "transfer when 20 years old"). Transfer time must be between 15 and 25 years when using GRS 6.1, item 010.

Email will be transferred 25 years after cutoff or after automatic declassification review under Executive Order 13526, whichever is later.

*** Note: Box will expand to accommodate text.*

Legacy Email Scope. Agencies using this GRS are expected to apply the items being used to all legacy (existing) email. Please provide any general information on legacy email below (for example, “no legacy email exists for this agency, as traditional records management with a print-and-file policy was enforced prior to Capstone adoption” or “agency will be including legacy email for all items being used, dating back to approximately 2010.”)

Traditional records management with a print-and-file policy was in place prior to the Capstone adoption. The Central Intelligence Agency has legacy classified and unclassified email for Capstone and Non-Capstone officials that will be dispositioned with this schedule. The Agency has classified email dating back to approximately 1995. The archive for email sent and received on the Agency's unclassified network was deployed in December 2014. Searches of the unclassified archive have returned emails dating as far back as 2007. Emails for Non-Capstone officials are temporary and will be kept in accordance with GRS 6.1, item 011.

*** Note: Box will expand to accommodate text.*

Capstone Officials and Classified Accounts. Do any of the Capstone officials proposed on this list have email accounts on security classified networks or systems? NOTE: This information will be used by NARA YES NO for transfer planning purposes.

URL to Agency Organization Chart (If not available online, please attach with your submission. NARA reserves the right to request additional information to facilitate review):

The URL for the organizational chart can be found at:
www.cia.gov/about-cia/leadership/cia-organization-chart.html

*** Note: Box will expand to accommodate text.*

Contact Information for Agency Records Officer (Name, Email, and Phone):

Nancy E. Morgan

*** Note: Box will expand to accommodate text.*

Whom should NARA contact if there are any questions about this form, or the information contained within? (Name, Email, and Phone). NOTE: *only complete if different from above.*

*** Note: Box will expand to accommodate text.*

SECTION B: List of Capstone Accounts (GRS 6.1, item 010)

This section captures a listing of all positions or roles that fit into the definitions provided in item 010 of GRS 6.1. This section is broken down to correspond to the ten categories provided under item 010.

The number of accounts is an estimate of the number of accounts affiliated with an entry. For example, the head of the agency may be one Executive Director who utilizes two (2) different accounts to conduct business. In this case the entry would be "Executive Director" and the number of accounts would be "2."

Some agencies may not have any positions for certain categories. Please explain why under each applicable category. (For example, "We do not have any regional administrators" or "These positions are included under another submission" or "all the positions in this category are already covered in other categories.") Please refer to GRS 6.1, the corresponding FAQ #6, and the definitions provided within each category below for additional information on which positions must be included in a Capstone approach.

This section is required even in instances where only the temporary items (011 and/or 012) are being used, in which case it acts as an exception list.

NOTE: the list should be of positions or roles (for example, "Secretary"), not specific individual names or email addresses (for example, "John Smith" or "John.Smith@agency.gov"). Agencies may summarize or condense specific levels of management, rather than repeat positions. For example, an agency may input one entry for "All Under-Secretaries" with a position total that represents the number of said positions, rather than listing out each specific Under-Secretary.

Category 1) The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent. The very top executive of the agency. For cabinet level agencies, this is typically a Secretary. For independent agencies, and components within cabinet level agencies, this may be a Commissioner, Administrator, Director, or a specialized title (such as "Archivist of the United States"). For other agencies, including Commissions and Boards, this may be a Chairman, Executive Director, a group of Commissioners, Council Members, Board Members, or the equivalent. Most agencies will have one position for this category (although the one position may have multiple email accounts); some agencies, such as Commissions and Boards, may have multiple positions in the category. ***If no positions are identified, please briefly explain why (for example, "Not applicable; no positions in this category exist.")**

		POSITION TITLE / ROLE	# of Accounts
Add Row	Remove Last Row	Director, Central Intelligence Agency (CIA)	2
<i>(total number of accounts for this category; this number will auto-populate)</i>			2

Category 2) Principal assistants to the head of the agency (second tier of management), such as Under Secretaries, Assistant Secretaries, Assistant Commissioners, and/or their equivalents; this includes officers of the Armed Forces serving in comparable position(s). Generally the second-tier of management within an agency, this may include Under Secretaries, Assistant Secretaries, Assistant Commissioners, Vice Chairmen, etc. Some agencies may use other terminology, such as "Associate." The number of positions at this level will vary greatly agency to agency. Some may only have one, such as an Assistant Commissioner, while others may have multiple, such as numerous Assistant Secretaries each with oversight of a specific program, bureau, or line of business within the agency. ***If no positions are identified, please briefly explain why (for example, "Not applicable; no positions in this category exist.")**

		POSITION TITLE / ROLE	# of Accounts
Add Row	Remove Last Row	Deputy Director, CIA	2
Add Row	Remove Last Row	Chief Operating Officer, CIA	2

Add Row	Remove Last Row	Deputy Chief Operating Officer, CIA	2
(total number of accounts for this category; this number will auto-populate)			6

Category 3) Deputies of all positions in categories 1 and 2, and/or their equivalent(s). Most of the first- and second-tier executives covered in the first two categories have corresponding deputy position(s) that assist in the daily operations of the agency. This includes Deputy Secretaries, Deputy Commissioners, Deputy Assistant Commissioners, etc. The number of deputy positions will also vary greatly from agency to agency. ***If no positions are identified, please briefly explain why (for example, “Not applicable, no positions in this category exist.”)**

POSITION TITLE / ROLE		# of Accounts	
Add Row	Remove Last Row	Deputy Director of Analysis (DDA)	2
Add Row	Remove Last Row	Deputy Director of Digital Innovation (DDDI)	2
Add Row	Remove Last Row	Deputy Director of Operations (DDO)	2
Add Row	Remove Last Row	Deputy Director of Science & Technology (DDS&T)	2
Add Row	Remove Last Row	Deputy Director of Support (DDS)	2
(total number of accounts for this category; this number will auto-populate)			10

Category 4) Staff assistants to all positions in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides. For those senior officials in categories 1 and 2, important work is often carried out by special assistants, confidential assistants, military assistants, aides, executive assistants, etc. They may send email on behalf of senior officials and/or their email account contains email closely related to the responsibilities and actions of the senior officials they support. For example, a “special assistant” to the Secretary of Defense, or a “Counselor” to Secretary of Health and Human Services would fall into this category. ***If no positions are identified, please briefly explain why (for example, “Not applicable, no positions in this category exist.”)**

POSITION TITLE / ROLE		# of Accounts	
Add Row	Remove Last Row	Special Assistant to the Director, CIA (3)	6
Add Row	Remove Last Row	Special Assistant to the Deputy Director, CIA (2)	4
Add Row	Remove Last Row	Special Assistant to the Chief Operating Officer, CIA	2
Add Row	Remove Last Row	Special Assistant to the Deputy Chief Operating Officer, CIA	2
Add Row	Remove Last Row	Executive Assistant to the Director, CIA (3)	6
Add Row	Remove Last Row	Executive Assistant to the Deputy Director, CIA (3)	6
Add Row	Remove Last Row	Executive Assistant to the Chief Operating Officer, CIA (2)	4
(total number of accounts for this category; this number will auto-populate)			30

Category 5) Principal management positions, such as Chief Operating Officer, Chief Information Officer, and Chief Financial Officer, and/or their equivalent(s). These positions tend to be those executives who have operational and management responsibilities within an agency, including Chief Operating Officer, Chief Information Officer, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer. These positions are often required by statute or Executive Order, such as, for example, the Chief Financial Officer Act and the Chief Technology Officer Act. For some agencies, these positions may already be covered by other categories. ***If no positions are identified, please briefly explain why (for example, “Not applicable; no positions in this category exist.”)**

		POSITION TITLE / ROLE	# of Accounts
Add Row	Remove Last Row	Executive Managers of the Directorate of Analysis (DA) (3)	6
Add Row	Remove Last Row	Executive Manager of Directorate of Digital Innovation (DDI) (1)	2
Add Row	Remove Last Row	Executive Managers of Directorate of Operations (DO) (4)	8
Add Row	Remove Last Row	Executive Managers of the Directorate of Science & Technology (DS&T) (2)	4
Add Row	Remove Last Row	Executive Managers of the Directorate of Support (DS) (2)	4
Add Row	Remove Last Row	Special Assistant to the Director for Foreign Intelligence Relationships	2
Add Row	Remove Last Row	Associate Director for Military Affairs	2
Add Row	Remove Last Row	Chief Financial Officer	2
Add Row	Remove Last Row	Chief, Corporate Policy Staff	2
Add Row	Remove Last Row	Chief, Measures of Effectiveness Office	2
Add Row	Remove Last Row	Director, Critical Mission Assurance Program	2
Add Row	Remove Last Row	Chief, Director’s Executive Support Staff	2
Add Row	Remove Last Row	Executive Secretary	2
Add Row	Remove Last Row	Director, Office of Congressional Affairs	2
Add Row	Remove Last Row	General Counsel	2
Add Row	Remove Last Row	Inspector General	2
Add Row	Remove Last Row	Director, Office of Public Affairs	2
Add Row	Remove Last Row	Privacy and Civil Liberties Officer	2
Add Row	Remove Last Row	Procurement Executive	2
Add Row	Remove Last Row	Director, Center for the Study of Intelligence	2

Add Row	Remove Last Row	Chief, Director's Advisory Group on Women	2
Add Row	Remove Last Row	Chief, Diversity and Inclusion Office	2
Add Row	Remove Last Row	Chief, Diversity in Leadership Study	2
Add Row	Remove Last Row	Chief, Engagement, Strategy and Innovation Staff	2
Add Row	Remove Last Row	Chief, Learning Enterprise	2
Add Row	Remove Last Row	Chief, Talent Development Office	2
Add Row	Remove Last Row	Chief, Talent Management Office	2
Add Row	Remove Last Row	Executive Managers (3)	6
<i>(total number of accounts for this category; this number will auto-populate)</i>			74

Category 6) Directors of significant program offices, and/or their equivalent(s). Those Directors (or equivalents, such as Executive Directors, Managers, Directorates, or Chiefs) that oversee and manage major program offices, bureaus, or lines of business that support the agency mission. For example, many agencies will have a Director that oversees Congressional and Legislative affairs, or a Director that oversees one specific mission-related program office. For some agencies, these positions may already be covered by other categories. ***If no positions are identified, please briefly explain why (for example, "Not applicable; no positions in this category exist.")**

		POSITION TITLE / ROLE	# of Accounts
Add Row	Remove Last Row	Director, Office of Advanced Analytics in the DA	2
Add Row	Remove Last Row	Director, Office of Analytic Production and Dissemination in the DA	2
Add Row	Remove Last Row	Director, Office of Resources and Support in the DA	2
Add Row	Remove Last Row	Director, Office of Strategic Programs in the DA	2
Add Row	Remove Last Row	Executive Manager in the DA (1)	2
Add Row	Remove Last Row	Director, Agency Data Office in the DDI	2
Add Row	Remove Last Row	Director, Center for Cyber Intelligence in the DDI	2
Add Row	Remove Last Row	Director, Information Technology Enterprise (Chief Information Officer) in the DDI	2
Add Row	Remove Last Row	Director, Open Source Enterprise in the DDI	2
Add Row	Remove Last Row	Lead Talent Officer in the DDI	2
Add Row	Remove Last Row	Executive Managers in the DDI (5)	10
Add Row	Remove Last Row	Chief, Human Resources Staff in the DO	2

Add Row	Remove Last Row	Chief, Intelligence Staff in the DO	2
Add Row	Remove Last Row	Chief, Operations and Resource Management Staff in the DO	2
Add Row	Remove Last Row	Chief, Policy Coordination Staff in the DO	2
Add Row	Remove Last Row	Chief, Support Resource Staff in the DO	2
Add Row	Remove Last Row	Executive Managers in the DO (6)	12
Add Row	Remove Last Row	Director, Office of Global Access in the DS&T	2
Add Row	Remove Last Row	Director, Office of Mission Resources in the DS&T	2
Add Row	Remove Last Row	Director, Office of Space Reconnaissance in the DS&T	2
Add Row	Remove Last Row	Director, Office of Special Activities in the DS&T	2
Add Row	Remove Last Row	Director, Office of Technical Collection in the DS&T	2
Add Row	Remove Last Row	Director, Office of Technical Service in the DS&T	2
Add Row	Remove Last Row	Executive Managers in the DS&T (5)	10
Add Row	Remove Last Row	Director, Center for Talent Management in the DS	2
Add Row	Remove Last Row	Director, Office of Facilities and Mission Delivery in the DS	2
Add Row	Remove Last Row	Director, Office of Innovation and Integration in the DS	2
Add Row	Remove Last Row	Director, Office of Medical Services in the DS	2
Add Row	Remove Last Row	Director, Office of Personnel Resources in the DS	2
Add Row	Remove Last Row	Director, Office of Security in the DS	2
Add Row	Remove Last Row	Director, Resource Management Group in the DS	2
Add Row	Remove Last Row	Executive Managers in the DS (3)	6
Add Row	Remove Last Row	Assistant Director for Africa Mission Center	2
Add Row	Remove Last Row	Africa Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for Counterintelligence Mission Center	2
Add Row	Remove Last Row	Counterintelligence Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for Counterterrorism Mission Center	2
Add Row	Remove Last Row	Counterterrorism Mission Center Executive Managers (7)	14

Add Row	Remove Last Row	Assistant Director for East Asia and Pacific Mission Center	2
Add Row	Remove Last Row	East Asia and Pacific Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for Europe and Eurasia Mission Center	2
Add Row	Remove Last Row	Europe and Eurasia Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for Global Issues Mission Center	2
Add Row	Remove Last Row	Global Issues Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for Korea Mission Center	2
Add Row	Remove Last Row	Korea Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for Near East Mission Center	2
Add Row	Remove Last Row	Near East Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for South and Central Asia Mission Center	2
Add Row	Remove Last Row	South and Central Asia Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for Weapons and Counterproliferation Mission Center	2
Add Row	Remove Last Row	Weapons and Counterproliferation Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Assistant Director for Western Hemisphere Mission Center	2
Add Row	Remove Last Row	Western Hemisphere Mission Center Executive Managers (7)	14
Add Row	Remove Last Row	Additional Assistant Director Mission Center	2
Add Row	Remove Last Row	Additional Mission Center Executive Managers (7)	14
<i>(total number of accounts for this category; this number will auto-populate)</i>			286

Category 7) Principal regional officials, such as Regional Administrators, and/or their equivalent(s). Those agencies with a regional structure must include the accounts of principal regional officials. For most agencies with a regional presence this will be limited to Regional Administrators, or those officials who are responsible for the management and operations of specific regional areas (e.g., an agency that has 10 regions to carry out mission-critical activities would include those 10 Regional Administrators). It does not pertain to the heads of individual offices within regions, such as, but not limited to, customer-service centers, processing centers, or administrative offices that conduct routine activities (e.g., passport offices, or Social Security claims processing offices). ***If no positions are identified, please briefly explain why (for example, "Not applicable; no positions in this category exist.")**

		POSITION TITLE / ROLE	# of Accounts
Add Row	Remove Last Row	Not applicable	

<i>(total number of accounts for this category; this number will auto-populate)</i>	
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Category 8) Roles or positions that routinely and directly advise the above positions, including special advisers, General Counsels, Chiefs of Staff, Inspectors General, etc. Many management positions routinely provide advice and oversight to the agency in the course of daily business, and are involved in mission related policy formulation, implementation, and/or interpretation. This may include general program oversight, legal protection and oversight, and daily operations and management. For most agencies this will include General Counsels, Chiefs of Staff, Inspectors General and special advisers (such as “Policy Advisors”) within the top tiers of the agency. This does not include those that advise on purely administrative issues. For example, a Chief of Staff within a lower tier of the agency would not be included in this category. ***If no positions are identified, please briefly explain why (for example, “Not applicable; no positions in this category exist.”)**

		POSITION TITLE / ROLE	# of Accounts
Add Row	Remove Last Row	Chiefs of Staff Executive Managers (9)	18
<i>(total number of accounts for this category; this number will auto-populate)</i>			18

Category 9) Roles and positions not represented above and filled by Presidential Appointment with Senate Confirmation (PAS positions). This category is a catch all for any position that was filled by Presidential Appointment with Senate Confirmation (PAS) but not represented in any of the other categories. For most agencies the PAS positions will already be captured in categories 1 through 8, and no other PAS positions will need to be identified. ***If no positions are identified, please briefly explain why (for example, “Not applicable; no positions in this category exist.”)**

		POSITION TITLE / ROLE	# of Accounts
Add Row	Remove Last Row	Not applicable; all Presidential Appointments are included in above categories.	
<i>(total number of accounts for this category; this number will auto-populate)</i>			

Category 10) Additional roles and positions that predominately create permanent records related to mission critical functions or policy decisions and/or are of historical significance. These represent roles, positions, and/or programs within the agency that predominantly create permanent records related to mission critical functions or policy decisions and/or are of historical significance. This category is for those roles and positions that are appropriate for permanent retention, but not captured in the other nine (9) categories. ***If no positions are identified, briefly explain why (for example, “Not applicable; no positions in this category exist.”)**

		POSITION TITLE / ROLE	# of Accounts
Add Row	Remove Last Row	All other senior executive managers and senior executive experts, including those serving in field installations, responsible for a major business function or activity. Each senior executive manager and senior executive expert. 	
<i>(total number of accounts for this category; this number will auto-populate)</i>			

SECTION C: Agency Approvals

NOTE: Approvals must be completed digitally.

By checking these boxes, you are confirming that this form has been reviewed and approved by the appropriate agency officials, and is ready for review by the National Archives and Records Administration. The information provided on this form will be made publicly available, unless the agency provides, in its email submission, NARA with a proper citation requiring the protection of this information.

TITLE and PRINTED NAME	APPROVAL	DATE
Agency Records Officer <input type="text" value="Nancy E. Morgan"/>	<input checked="" type="checkbox"/> Approved	Jun 28, 2017
Senior Agency Official, Records Management <input type="text" value="Milton R. Downs"/>	<input checked="" type="checkbox"/> Approved	Jun 29, 2017

Submit this form as an attachment to an email to GRS_Team@nara.gov for processing and approval. Hard-copy or printed and scanned to PDF forms will not be accepted. You may also submit the form automatically by pressing here:

----- Below for NARA Use Only -----

TITLE and PRINTED NAME	STATUS		DATE
Chief Records Officer for the U.S. <input type="text" value="Laurence Brewer"/>	<input checked="" type="checkbox"/> Approved	<input type="checkbox"/> Denied	Apr 24, 2018
If denied, reason:			