

Capstone GRS Public Meeting

Paul Wester

Thursday, May 21, 2015

Today's Agenda

Opening Remarks

GRS Creation

GRS Scope and Use

Review of GRS 6.1 Items

Verification Process

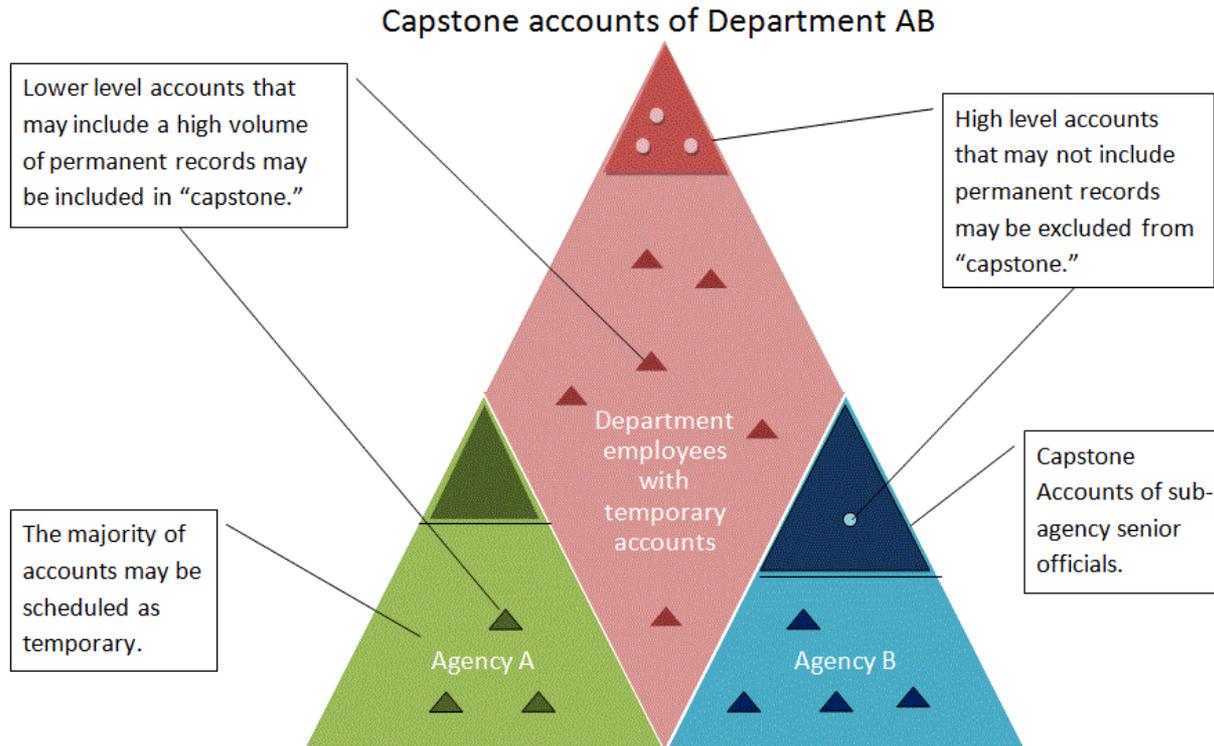
Initial Public Comments

Open Q&A

GRS Creation

The Capstone Approach

Example: Capstone implementation at a Department with two sub-agencies



GRS Creation

- NARA's goals for GRS 6.1 development
- Held targeted focus group to solicit feedback
- Government-wide review to solicit feedback
- Development of a verification process
- Federal Register publication and comment period

GRS Scope and Use

- Agencies **must** complete a verification process with NARA before using any part of this GRS
- Agencies are not required to use all items of this GRS; this will be documented on the verification form
- Legacy email may be included; this will be documented on the verification form
- If agencies do not use the Capstone GRS for their email records, they must apply disposition authorities from other GRS or agency specific schedules

GRS 6.1 Items

- Permanent Item 010
 - Description: Email of 9 categories of roles and positions of Capstone officials
 - Transfer to NARA when 15 years old, or after declassification review

GRS 6.1 Items

- Item 010 Required Categories

- 1) The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent;
- 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);
- 3) Deputies of all positions in categories 1 and 2, and/or their equivalent(s);
- 4) Staff assistants to those in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides;
- 5) Principal management positions, such as Chief Operating Officer, Chief Information Officer, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer, and/or their equivalent(s);
- 6) Directors of significant program offices, and/or their equivalent(s);
- 7) Principal regional officials, such as Regional Administrators, and/or their equivalent(s);
- 8) Roles or positions that routinely provide advice and oversight to the agency, including those positions in categories 1 through 3 and 5 through 7, including, General Counsels, Chiefs of Staff, Inspectors General, etc.; and
- 9) Roles and positions not represented above and filled by Presidential Appointment with Senate Confirmation (PAS positions).

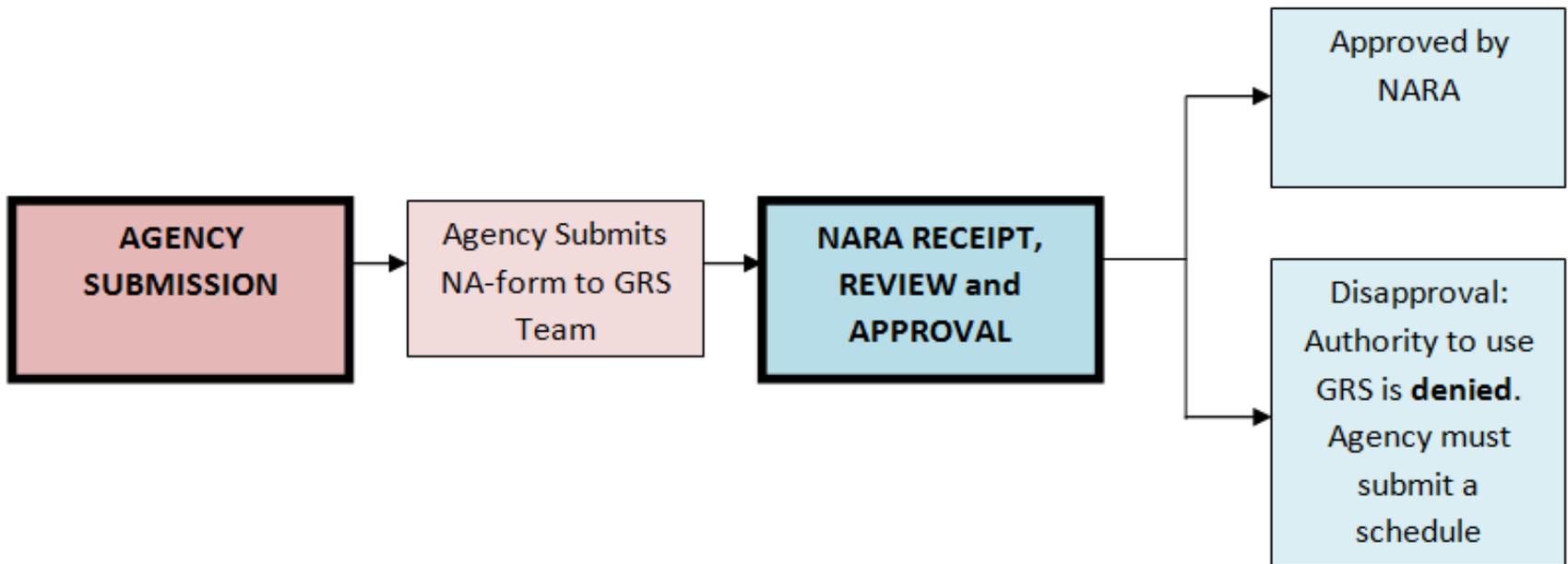
GRS 6.1 Items

- Temporary Item 011
 - Default category for most temporary email
 - Description: Email of all other officials not included in either item 010 or 012
 - Retain 7 years but longer retention is authorized
- Temporary Item 012
 - Discretionary, but limited to only certain categories of positions
 - Description: Email of administrative or support positions carrying out routine and/or administrative duties
 - Retain 3 years but longer retention is authorized

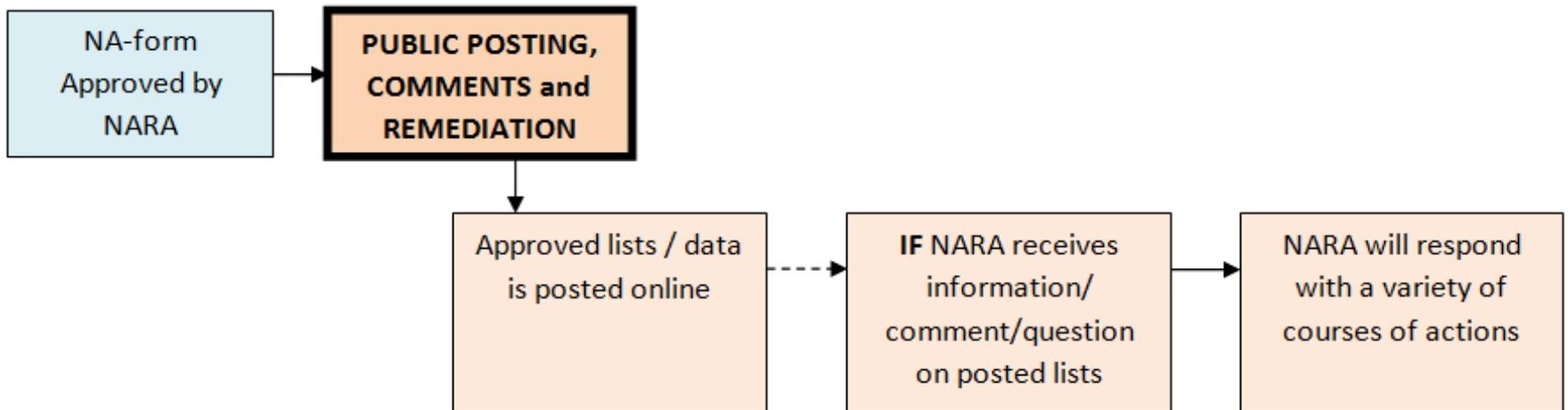
Verification Process

*Why is there a verification Process
in order to use GRS 6.1?*

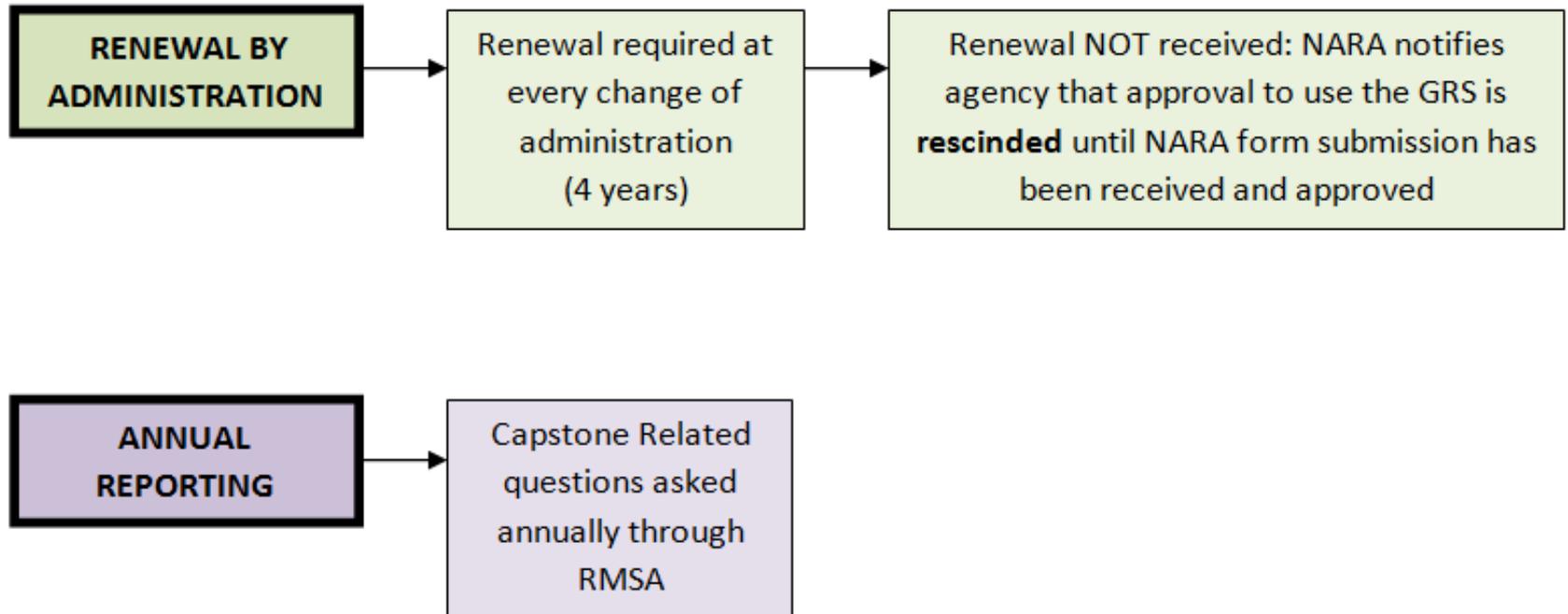
Verification Process



Verification Process



Verification Process



Open Q&A

Panelists:

Paul Wester, Chief Records Officer for the U.S.

Gary Stern, General Counsel

Margaret Hawkins, Director Records Management Services

Initial Public Comments

*Why are temporary emails in item
011 retained for 7 years?*

Initial Public Comments

If an agency submits an agency-specific schedule, will it be evaluated against the same criteria outlined in the GRS?

Initial Public Comments

Why doesn't GRS 6.1 also contain other electronic communications mentioned in the (revised) Federal Records Act?

Initial Public Comments

Why does this GRS have two items for temporary email? What is the difference between them?