



NARA's Agency Services Bimonthly Records and Information Discussion Group (BRIDG)

Wednesday, June 17, 2015

Today's Meeting Agenda

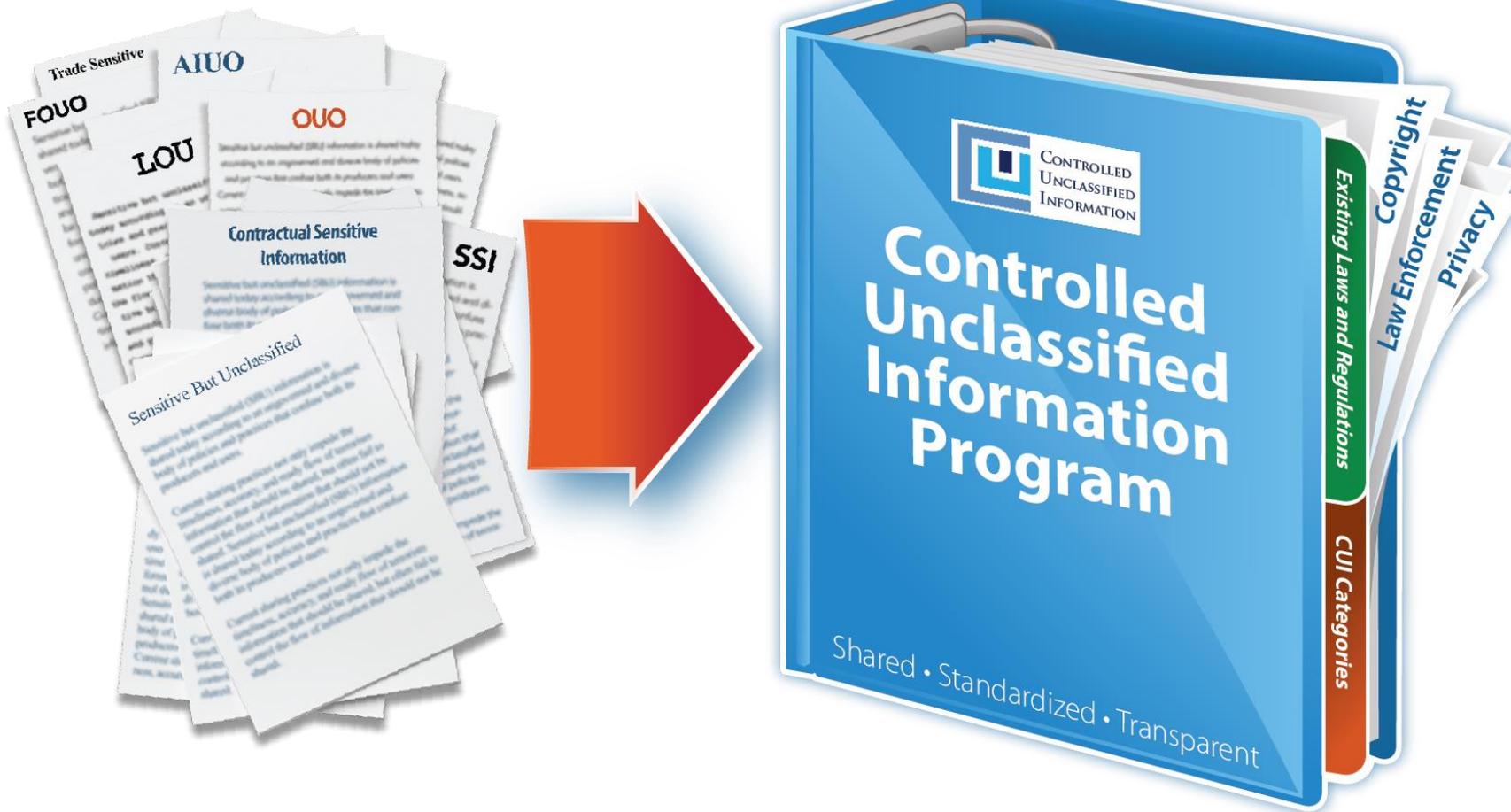
- **Update on draft for the Controlled Unclassified Information (CUI) rule** ~ John P. Fitzpatrick, Director, Information Security Oversight Office (ISOO)
- **Federal Records Center Program's Records Management Consulting Services** ~ David Miller, FRCP Director Records Management Services
- **Agency Approaches to Scheduling Existing Unscheduled Records** ~ Laurence Brewer, Director, National Records Management Program
- **General Requirements for Federal Agencies Related to Review of Classified Accessions of Permanent Records Before Transfer to NARA** ~ Alex Daverede, Supervisor, National Declassification Center (ANDC)
- **Update on GRS Transmittal 24** ~ Andrea Riley, Supervisor, General Records Schedules (GRS) Team



Update on Draft of Controlled Unclassified Information (CUI)

John P. Fitzpatrick, Director, Information
Security Oversight Office (ISOO)

Overview of the CUI Program

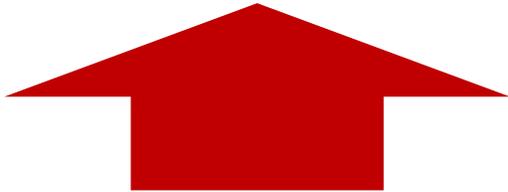


Draft CUI Regulation Out for Comment

- Proposed Rule 32 CFR 2002 Controlled Unclassified Information is in the Federal Register
- Comments Due 7 July
- Consider: separate meeting with your group
- Link here: <http://tinyurl.com/ne5o5qd>

Online Registry

<http://www.archives.gov/cui>



■ 23 Categories

■ 82 Sub-categories

■ 315 unique Control citations

■ 106 unique Sanction citations

The screenshot shows the National Archives website for the Controlled Unclassified Information (CUI) program. At the top, there is a navigation bar with links for "Research Our Records", "Veterans Service Records", "Teachers' Resources", "Our Locations", and "Shop Online". A search bar is also present. Below the navigation bar, the main heading is "Controlled Unclassified Information (CUI)" with a breadcrumb "Home > CUI".

The main content area features a paragraph explaining the CUI program, established by Executive Order 13556, and a link to "Learn About CUI". To the right, there is a "CONTROLLED UNCLASSIFIED INFORMATION" logo and links to "Use the CUI Logo" and "Contact Us". Below this, a "News and Notices" section lists a date: "December 8, 2014 - Welcome to the new CUI Portal!".

The central part of the page is titled "Registry" and contains a search bar with the text "Search the Registry:" and a "Go" button. Below the search bar, there are two columns of links: "Access Registry by" (with a sub-link "Category-Subcategory") and "Policy and Guidance" (with sub-links "Executive Order 13556", "CUI Notices", and "Additional Information" with a sub-link "CUI Glossary").

At the bottom, there are two sections: "Training" and "Oversight". The "Training" section includes a link to "CUI Training Modules" and a description: "Learn about training developed by the Executive Agent for CUI users". The "Oversight" section includes a link to "CUI Reports" and a description: "Learn about CUI oversight requirements and tools.".

Handling CUI

One uniform and consistent policy applied to a defined and organized body of information



What is CUI?

- **Unclassified information that requires protection pursuant to and consistent with law, regulation and Government-wide policies (LRGWP).**
- **To “create CUI,” a LRGWP must:**
 - **Identify an information type and say it needs to be protected or limit its dissemination.**
 - **Apply broadly across the Federal government.**

Two types: Basic and Specified

“CUI Basic” vs. “CUI Specified”

- **CUI Basic = LRGWP*** identifies an information type and generally requires protection or prohibits release.
- **CUI Specified = LRGWP*** identifies an information type specifies some specific measures for its protection or handling.

*LRGWP = Law, Regulation, Government-Wide Policy

General Safeguarding Policy

- Agencies must safeguard CUI while allowing for access by and dissemination to authorized holders.
 - For categories designated as CUI Specified, personnel must also follow the procedures in the underlying LRGWP.
- Safeguarding measures that are authorized or accredited for classified information are sufficient for safeguarding CUI.

CUI and IT Implementation

- “This order shall be implemented in a manner consistent with...applicable Government-wide standards and guidelines issued by the National Institute of Standards and Technology, and applicable policies established by the Office of Management and Budget”, Section 6(a)3, Executive Order 13556.
- Future CUI guidance where it addresses IT issues, must be aligned to Federal policies.

CUI Advisory Council

Comprised of Program Managers from the following:

Executive Office of the President (elements)

General Services Administration (GSA)

Social Security Administration (SSA)

Environmental Protection Agency (EPA)

Department of the Interior (DOI)

Nuclear Regulatory Commission (NRC)

Department of Transportation (DOT)

Department of Labor (DOL)

Department of the Treasury

Department of Housing and Urban Development (HUD)

National Science Foundation (NSF)

Department of Homeland Security (DHS)

Central Intelligence Agency (CIA)

Department of Agriculture (USDA)

Department of Commerce (DOC)

Department of Justice (DOJ)

Federal Bureau of Investigation (FBI)

National Aeronautics and Space Administration (NASA)

Department of State (DOS)

Office of the Director of National Intelligence

United States Agency for International Development (USAID)

Office of Personnel Management (OPM)

Department of Veterans Affairs (VA)

Department of Education (ED)

Department of Defense (DOD)

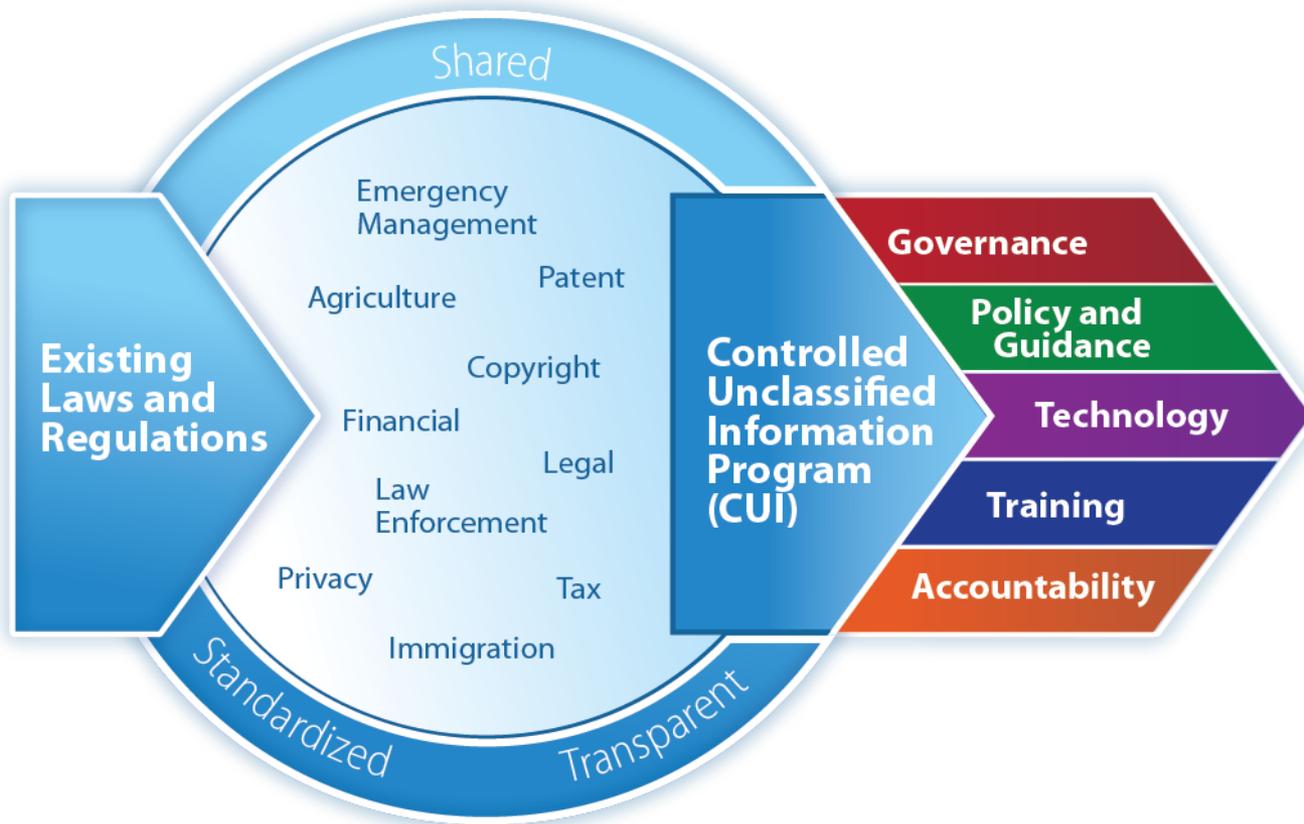
Department of Health and Human Services (HHS)

Department of Energy (DOE)

Office of Management and Budget (OMB)

President's Cabinet, Chief Financial Officers (CFO) Council member agencies, major stakeholder constituent elements (CIA and FBI), and participants

Questions?



CUI Approach for Contractor Environment



Government

**E.O.
13556**

Registry

32 CFR 2002

NIST SP 800-171

FAR



Industry

Until the formal process of establishing a single FAR clause takes place, the CUI requirements in NIST SP 800-171 may be referenced in federal contracts consistent with federal law and regulatory requirements.



Records Management Consulting Services

David Miller, FRCP Director of
Records Management Services

Records Management Challenges

- Office moving, reorganizing, or out of space?
- Not sure what records you have?
- Struggling to access records?
- Schedules out of date?
- Managing born-digital records?
- Where to begin?

Records Management Services

- Program assessment
- Inventory records
- Disposition review
- Draft new records schedules, file plans
- Expert advice and best practices

Records Management Consulting

- Senior analysts and records technicians
- Experience and expertise
 - Applying records schedules
 - Digitization
 - Scheduling records
 - Project management
 - Accessioning permanent records
 - Electronic records management

Using Consulting Services

- You determine tasks, time lines, expectations
- We provide a cost estimate
- Easy to reach with an interagency agreement
- Billed through ARCIS

Find Out More

- Email RMConsulting@nara.gov
- Contact your FRC Account Manager
- Contact David Miller
 - Director, FRC Records Management Services
 - david.miller@nara.gov
 - (301) 837-2010



Scheduling Unscheduled Records

Laurence Brewer
Director, NRMP

June 17, 2015

Benefits

- Comply with Managing Government Records Directive (OMB/NARA M-12-18)
- Intellectual control of large volume of paper and non-electronic records
- Engage agency SAOs on critical activity
- Reduce unnecessary storage costs
- Implement timely disposition

Drivers

- Effective management
- Policy compliance
 - OMB/NARA M-12-18, Requirement 2.5
 - *December 2013*: Identify unscheduled records in FRCs and agency storage
 - *December 2016*: Submit schedules to NARA for all unscheduled records
- Responding to oversight (e.g., GAO, OMB, NARA)

Tools

- Agency Disposition Profile
 - Unscheduled volume reduced by FRC action
- Action Plans
 - Unscheduled Records in NARA FRCs
 - Unscheduled Records in Agency Storage
- Basic, high-level approach
- Starting points for process

Action Plan – NARA FRCs

- Obtain updated list of unscheduled records from your FRCP account rep/T&D contact
- Review available SF 135s to determine if records need to be:
 - Matched to an existing approved authority (many now ARCIS-coded Pending Agency Action)
 - Scheduled (i.e., no schedule submitted, withdrawn, or disposition not authorized)

Action Plan – Agency Storage

- Review and analyze sources to determine where active and inactive records are located
- Collect needed information about the records using appropriate methods
- Draft schedule for submission to NARA through ERA

Resources

- Webinar on unscheduled records
 - July 8, 2:00 pm ET
- FAQs on NARA RM web site
 - <http://www.archives.gov/records-mgmt/faqs/>
- Quality Control Checklist
 - See AC 09.2013 (Nov 26, 2012)
- NARA appraisal staff and FRCP Account Reps
 - <http://www.archives.gov/records-mgmt/appraisal/>
- FRCP Records Management Consulting Services
 - <http://www.archives.gov/frc/rmconsulting.html>

Q&A

Laurence Brewer, CRM

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NATIONAL
DECLASSIFICATION
CENTER

Accessioning Classified Records into the National Archives



NATIONAL
ARCHIVES

JUNE 17, 2015

ALEX J. DAVEREDE III
DIRECTOR, PROCESSING AND
RELEASE DIVISION



NA 14130



31



NA14130.ajd.PDF



GRS Transmittal 24

Andrea Riley

Supervisor, GRS Team

New Content

- GRS 2.5: Employee Separation Records
- GRS 2.8: Employee Ethics Records
- GRS 4.1: Records Management Records
- GRS 4.2: Information Access & Protection Records
- GRS 6.2: Federal Advisory Committee Records
- Updates to FAQs
- New FAQs on GRS notifications and flexible disposition instructions

Newly Rescinded Items

- GRS 2/9a: Record of employee leave, such as SF 1150, prepared upon transfer or separation
- GRS 14/11b, 12b, and 21b: Official file copy of requested records in FOIA request and appeal files and in Privacy Act request files
- GRS 14/31b and 32b: Official file copy of requested records in mandatory review for declassification request and appeal files
- GRS 16/4a and 4b: Records holdings files
- GRS 18/25b: Classified Information Nondisclosure Agreements maintained in OPFs
- GRS 26/2b2: FACA web site design, management, and technical operation records
- GRS 26/3: Committee Records Not Maintained by the Sponsor or Secretariat

GRS 2.5 Significant Changes

- New item covering separation program management records as a unit
- New item covering individual separation case files
- New item covering capture of institutional and special knowledge in the office of a separating staff member
- For the first time, a full list of records created at the time of a separation that are required to be placed in the OPF
- For the first time, the GRS directly addresses the separation of employees under FERS as well as under CSRS.

GRS 2.8 Significant Changes

- Financial Disclosure Reports (public, confidential, alternative)
 - Disposition instructions are now mandatory; deviations are not allowed
 - New items for forms required by law and OGE regulations
 - New item for financial disclosure supporting documentation
- Ethics training records addressed in GRS 2.6: Employee Training Records

GRS 4.1 Significant Changes

- Tracking and control records for permanent records must be scheduled
- New items related to vital records
 - New program item carved out from records management
 - Copies of vital records retained by emergency response function identified as records

GRS 4.2 Significant Changes

- Merging of FOIA/PA/MDR requests to reflect how records are currently maintained
 - Files are not maintained separately based on action
 - Agencies wanted a single retention
- Erroneous Release Files revised to reflect current business practices
 - Files are not pulled from native locations
- Classified Non-disclosure Agreement Files
 - Retention updated to reflect current regulations (50 years is now applicable to all)

GRS 6.2 Significant Changes

- List of permanent records has been updated and revised
- Permanent records (excluding special media) now have a 15 year retention
- Grant review committees are temporary
- Temporary committee records divided into two items based on retention requirements
- Extensive FAQ and transfer checklist to help with implementation

New FAQs

- FAQs about GRS Notifications:
Information about when and how to submit a notification to use agency schedules instead of the GRS
- FAQs about Flexible Instructions:
Explanation of how agencies can use flexible instructions in the GRS.
 - We've also posted a couple times on this topic on Records Express.

Implementation (36 CFR 1227.12)

- If agencies do not have their own previously approved authorities, they must either use the GRS or submit a schedule requesting a deviation.
- If your agency does not create or maintain the records covered by the GRS then no action is required.
- Agencies have 6 months to distribute the new GRS transmittal to their staff.

Requesting Deviations

- Agencies may request to deviate from new GRS items, using their existing approved authorities instead, via notification
 - Agency **MUST** submit notifications within 120 days of issuance of the new transmittal or request an extension
 - Notifications and request for extensions should be sent to GRS_Team@nara.gov
 - Please use the spreadsheet available on the GRS website
 - No need to submit deviations from the “Old GRS”
 - Agencies cannot request deviations to previously issued new GRS (1.1, 1.2, 3.1, 3.2, or 4.3) – new schedules would be required

When is a Notification Required

- Any time an agency plans to use its own authority for records covered by a newly issued GRS. This includes:
 - **Big bucket schedules** incorporating records covered by the GRS
 - When an agency wishes to **continue to use its own authority** instead of the GRS, even if the retention is within accepted parameters

When Is a Notification Not Required

- When setting a specific retention within the retention parameters established by the GRS disposition instruction—provided the agency cites the GRS.
- Agency authorities that are deviations from “Old GRS” items that have not yet been superseded by the New GRS.

Questions

Contact the GRS Team at
GRS_Team@nara.gov

or

check out our website at
[http://www.archives.gov/records-
mgmt/grs/](http://www.archives.gov/records-mgmt/grs/)

BRIDG FY 2015 Meeting Dates

Date	Location
August 19, 2015	McGowan Theater

For BRIDG FY 2015 Meeting Dates, go to <http://www.archives.gov/records-mgmt/meetings/#dates> for BRIDG meeting listing