

FOR NARA USE ONLY	
Number	GRS 6.1-0059-2016-0001
Received Date	Sep 20, 2016
Total Accounts	781

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:	Department of State
Record Group Number:	0059

*** 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].” **NOTE: for agencies using item 010, you 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”).

1. The number of positions identified on the NA 1005 may not always match the number of accounts being actively journaled. This is due to vacant positions or because one person may be serving in multiple roles, e.g., the Under Secretary for Management also occupies the Chief Financial Officer role.
2. The planned email management system will be deployed Agency-wide. However, a separate NA 1005 is being submitted for overseas posts because they are part of a separate record group (RG 084).
3. The Department may decide to use item 012 in the future and will submit a new form at that time.
4. Positions listed in Category 2 are those considered broadly equivalent to an Assistant Secretary.
5. Positions listed in Category 3 are those considered broadly equivalent to a Deputy Assistant Secretary.
6. Positions that might fall under Categories 5, 6, 8 and 9, are included in our listings for Categories 2 and 3 due to their elevated billet within the Department of State.
7. Certain positions have an additional classified account (three total) due to the nature of their work. These positions have been identified for S, D, M, INR, and DS and are reflected within the account totals.

Cutoff Instructions for GRS 6.1, item 10 – Cut off at the end of tenure. Transfer to the National Archives 25 years after cut off.

*** 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.”)

The Department will be applying GRS 6.1 item 010 and item 011 beginning on December 31, 2016 and continuing day forward for all emails. Pursuant to question 22, section A in the aforementioned FAQ guidance, the Department will also be using GRS 23, item 7 as part of its culling strategy.

The Department will be applying GRS 6.1, item 010 to any existing legacy senior official's emails, including its email collection that was previously maintained on disc commonly referred to as Cable Archive Retrieval System. This reflects the Department's effort to ensure as much permanently valuable email will be transferred to NARA as possible.

The Department will not be applying GRS 6.1, item 011 or item 012 for temporary legacy emails created before December 31, 2016. The Department will be applying its other approved disposition authorities for these records pursuant to question 22, section B in the aforementioned FAQ. Please note, the Department routinely communicated with its employees concerning their records management responsibilities through Cables and Department Notices which required each employee to print-and-file and/or cross-file email records.

*** 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):

<http://www.state.gov/r/pa/ei/rts/dos/99494.htm>

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

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

Timothy J. Kootz
KootzTJ@State.gov
(202) 203-7257

*** 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.*

Khalid Golden
Department of State
GoldenK@State.gov
(202) 203-7284

**** 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	Secretary of State	3
<i>(total number of accounts for this category; this number will auto-populate)</i>			3

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	All Deputy Secretaries of State (2)	6
Add Row	Remove Last Row	All Under Secretaries of State(6)	13

Add Row	Remove Last Row	All Assistant Secretaries (24)	50
Add Row	Remove Last Row	Legal Adviser	2
Add Row	Remove Last Row	Comptroller	2
Add Row	Remove Last Row	All Special Envoys and Representatives(37)	74
Add Row	Remove Last Row	Chief of Staff - Office of the Secretary	3
Add Row	Remove Last Row	Chief Information Officer	2
Add Row	Remove Last Row	Chief of Protocol	2
Add Row	Remove Last Row	All Ambassadors at Large (6)	12
Add Row	Remove Last Row	Medical Director	2
Add Row	Remove Last Row	Inspector General	2
Add Row	Remove Last Row	Counselor of the Department	2
Add Row	Remove Last Row	Special Assistant to Secretary and Executive Secretary of the Department	3
Add Row	Remove Last Row	Chief Economist	2
Add Row	Remove Last Row	U.S. Coordinator for International Communications and Information Policy	2
Add Row	Remove Last Row	Lead Coordinator for Iran Nuclear Implementation	2
Add Row	Remove Last Row	Coordinator for Cyber Issues	2
Add Row	Remove Last Row	Coordinator for Sanctions Policy	2
Add Row	Remove Last Row	Coordinator for Threat Reduction Programs	2
Add Row	Remove Last Row	Fissile Material Negotiator and Senior Cutoff Coordinator	2
Add Row	Remove Last Row	International Information Programs Coordinator	2
Add Row	Remove Last Row	Israel and the Palestinian Authority, U.S. Security Coordinator	2
Add Row	Remove Last Row	Coordinator For the Center for Strategic Counterterrorism Communications(Global Engagement Center)	2
Add Row	Remove Last Row	Director - M/PRI - Management Policy, Rightsizing, and Innovation	2
Add Row	Remove Last Row	Director - FSI - Foreign Service Institute	2
Add Row	Remove Last Row	Director - S/OCR - Office of Civil Rights	2
Add Row	Remove Last Row	Director - F - Foreign Assistance	2

Add Row	Remove Last Row	Director - BP - Budget and Planning	2
Add Row	Remove Last Row	Director - OBO - Overseas Building Operations	2
Add Row	Remove Last Row	Director -S/P - Policy Planning	2
Add Row	Remove Last Row	Director General of the Foreign Service and Director of Human Resources - DGHR	2
Add Row	Remove Last Row	Director of Diplomatic Outreach, Office of Global Food Security	2
Add Row	Remove Last Row	Director -M/OFM - Office of Foreign Missions	2
Add Row	Remove Last Row	Director of the Afghanistan and Pakistan Strategic Partnership Office	2
Add Row	Remove Last Row	Director of Economic Policy, Analysis and Public Diplomacy	2
Add Row	Remove Last Row	Director for Major Events and Conferences	2
Add Row	Remove Last Row	Coordinator of Counterterrorism	2
Add Row	Remove Last Row	Senior Coordinator for International Information Technology Diplomacy	2
Add Row	Remove Last Row	Senior Coordinator for Security Infrastructure	2
Add Row	Remove Last Row	Senior Coordinator for Global Criminal Justice	2
Add Row	Remove Last Row	Special Coordinator for Tibetan Issues	2
Add Row	Remove Last Row	Department Spokesperson	2
(total number of accounts for this category; this number will auto-populate)			233

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	All Deputy Assistant Secretaries (95)	198
Add Row	Remove Last Row	All Principal Deputy Assistant Secretaries (24)	46
Add Row	Remove Last Row	Deputy Executive Secretaries- S/ES (5)	10
Add Row	Remove Last Row	Deputy Legal Adviser (3)	6
Add Row	Remove Last Row	Deputy Chiefs of Protocol (2)	4

Add Row	Remove Last Row	Deputy Chief Information Officers (5)	10
Add Row	Remove Last Row	Principal Deputy Chief Information Officer	2
Add Row	Remove Last Row	Executive Assistants to the Deputy and Under Secretaries (8)	16
Add Row	Remove Last Row	Deputy Inspector General	2
Add Row	Remove Last Row	Director of Mental Health Services	2
Add Row	Remove Last Row	Deputy Comptrollers(2)	4
Add Row	Remove Last Row	Coordinator of U.S. Assistance to Europe and Eurasia	2
Add Row	Remove Last Row	Deputy Chief of Staff - Office of the Secretary(2)	4
Add Row	Remove Last Row	Deputy Directors - OBO - Overseas Building Operations(2)	4
Add Row	Remove Last Row	Deputy Director - BP/OBA - Office of Budget and Analysis	2
Add Row	Remove Last Row	Deputy Director - S/OCR - Office of Civil Rights	2
Add Row	Remove Last Row	Deputy Director - FSI - Foreign Service Institute	2
Add Row	Remove Last Row	Deputy Director - S/P Policy Planning	2
Add Row	Remove Last Row	Deputy Director - BP - Payments Division	2
Add Row	Remove Last Row	Principal Deputy Director - OBO - Overseas Building Operations	2
Add Row	Remove Last Row	Principal Deputy Director - J/TIP - Trafficking in Persons	2
Add Row	Remove Last Row	Principal Deputy Director - S/P - Policy Planning	2
Add Row	Remove Last Row	Principal Deputy Legal Adviser	2
Add Row	Remove Last Row	Deputy Director - M/PRI - Management Policy, Rightsizing, and Innovation	2
Add Row	Remove Last Row	Deputy Director - Office of Foreign Assistance	2
Add Row	Remove Last Row	Haiti Special Coordinator	2
Add Row	Remove Last Row	Deputy Coordinator for Platforms - IIP/PL	2
Add Row	Remove Last Row	Deputy Coordinator for Products - IIP/PD	2
Add Row	Remove Last Row	Deputy Counterterrorism Coordinator For Homeland Security, Screening, and Designations	2
Add Row	Remove Last Row	Deputy Counterterrorism Coordinator for Operations Policy & Military Coordination	2
Add Row	Remove Last Row	Deputy Counterterrorism Coordinator for Regional and Multilateral Affairs	2

Add Row	Remove Last Row	Deputy Global Aids Coordinator	2
Add Row	Remove Last Row	Deputy Transparency Coordinator	2
Add Row	Remove Last Row	Principal Deputy Coordinator for International Information Programs	2
Add Row	Remove Last Row	Principal Deputy Coordinator for Counter Terrorism	2
Add Row	Remove Last Row	Associate Comptroller	2
Add Row	Remove Last Row	Deputy Special Envoy for Israeli-Palestinian Negotiations	2
Add Row	Remove Last Row	Deputy Medical Director	2
Add Row	Remove Last Row	Senior Representative to Minsk Negotiations	2
Add Row	Remove Last Row	U.S. Senior Official to the Asia-Pacific Economic Cooperation(APEC)	2
Add Row	Remove Last Row	Personal Representative on on Issues related to Northern Ireland	2
Add Row	Remove Last Row	Director of the Diplomatic Security Command Center	2
Add Row	Remove Last Row	Deputy Coordinator for Programs - IIP/PR	2
Add Row	Remove Last Row	Transparency Coordinator	2
Add Row	Remove Last Row	Director - R/PPR - Policy Planning and Resources for Public Diplomacy and Public Affairs	2
Add Row	Remove Last Row	Director of Strategic Information in the Office of the Global Aids Coordinator	2
Add Row	Remove Last Row	Procurement Executive	2
Add Row	Remove Last Row	Director of Clinical Services	2
Add Row	Remove Last Row	Managing Director for International Media Engagement	2
(total number of accounts for this category; this number will auto-populate)			380

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 Assistants/Staff Assistants - Office of the Secretary (9)	27

(total number of accounts for this category; this number will auto-populate)	27
------------------------------------------------------------------------------	----

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	Positions are included in Categories 2 and 3. See Scope Comments above, page 2.	
(total number of accounts for this category; this number will auto-populate)			

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	White House Liaison	2
Add Row	Remove Last Row	Director - Quadrennial Diplomacy and Development Review	2
(total number of accounts for this category; this number will auto-populate)			4

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	Positions which meet the definition of category 7 are included in the submission NA-1005, GRS 6.1-0084-2016-0001 for Record Group 84	
(total number of accounts for this category; this number will auto-populate)			

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	Chief Speechwriter	2
Add Row	Remove Last Row	Ombudsman	2
Add Row	Remove Last Row	Special Advisor to Children's Issues	2
Add Row	Remove Last Row	All Senior Advisors For the Secretary, Deputy Secretary, Under Secretaries, and Assistant Secretaries (48)	96
Add Row	Remove Last Row	Special Advisor for International Disabilities Rights	2
Add Row	Remove Last Row	Special Advisor for Religious Minorities in the Near East and South/Central Asia	2
Add Row	Remove Last Row	Special Advisor for Global Youth Issues	2
Add Row	Remove Last Row	Special Advisor for Holocaust Issues	2
Add Row	Remove Last Row	Science and Technology Advisor	2
Add Row	Remove Last Row	Special Advisor for Secretary Initiatives	2
Add Row	Remove Last Row	Special Advisor for Nonproliferation and Arms Control	2
Add Row	Remove Last Row	Special Advisor to the Special Representative for Afghanistan and Pakistan	2
Add Row	Remove Last Row	Senior Advisor to the Special Envoy for the Arctic	2
(total number of accounts for this category; this number will auto-populate)			120

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	Chairman, U.S. Advisory Commission on Public Diplomacy 2

Add Row	Remove Last Row	Vice Chairman, U.S. Advisory Commission on Public Diplomacy	4
Add Row	Remove Last Row	Commissioner, U.S. Advisory Commission on Public Diplomacy	8
(total number of accounts for this category; this number will auto-populate)			14

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	Not applicable; no relevant positions in this category exist for RG059	
(total number of accounts for this category; this number will auto-populate)			

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	Timothy J. Kootz	<input checked="" type="checkbox"/> Approved	Jun 28, 2017
Senior Agency Official, Records Management	Eric F. Stein (Director, A/GIS/IPS)	<input checked="" type="checkbox"/> Approved	Jun 28, 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:

Submit by Email

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

TITLE and PRINTED NAME		STATUS		DATE
Chief Records Officer of the U.S.	Laurence Brewer	<input checked="" type="checkbox"/> Approved	<input type="checkbox"/> Denied	Jul 14, 2017
If denied, reason:				

