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Senior Agency Official for Records Management
FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.

- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.

- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words "SAO annual report" and your agency's name in the subject line of the email.

- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

Name of SAO: Luke McCormack

Position title: Chief Information Officer

Address: N/A

Office telephone number: N/A

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

> Department of Homeland Security (DHS)
> Customs and Border Protection (CBP)
> Federal Emergency Management Agency (FEMA)
> Federal Law Enforcement Training Center (FLETC)
> US Immigration and Customs Enforcement (ICE)
> Transportation Security Administration (TSA)
> US Citizens and Immigrations Services (USCIS)
> US Coast Guard (USCG)
> US Secret Service (USSS)

2. Is your agency going to meet the *Directive* goal to manage all <u>email</u> records in an accessible electronic format by December 31, 2016? *(Directive Goal 1.2)*

$\boxtimes$ Yes $\square$ No

The Department has implemented a policy of journaling emails, which automatically captures all emails in an accessible electronic format. This is viewed as a short-term solution for reaching the goal. Specific Components continue to work toward this goal with individualized efforts:

- TSA has researched and tested two solutions which allow for the accessing, retrieving and dispositioning of email Records.
- Various Components (TSA, USCG) have approved policies regarding email records with the potential procurement of an Electronic Records Management System (ERMS)
- DHS HQ, in collaboration with the Advisory Team and Records Leadership Council, has drafted a formal email policy for adoption and implementation on an enterprise-wide scale.
- Note – USCG's .mil email records will follow DISA's email solution under DoD.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

☒ Yes   ☐ No

The Department has submitted a draft policy memorandum on electronic information for review and approval. The policy is applicable to all DHS staff, and prohibits all DHS employees and personnel from conducting official DHS business over chat, text, or instant messaging. The Department emphasizes this policy change regarding the use of chat, text, and instant messages during every DHS New Hire Orientation. The Basic Records Management Training, mandatory for all DHS employees, also addresses this new policy.

Additionally, the use of personal email to conduct agency business is prohibited. An email notification went out to all employees from the Deputy Under Secretary for Management on Personal Email Usage on May 10, 2016. The Email Directive is in draft format with an expected issuance of June 2016.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

The Department has implemented a policy of journaling emails, which automatically captures all emails in an accessible electronic format. Additionally, upon separation from the Department, these employee's email accounts are captured and moved to a secure site for retention.

DHS prohibits all employees and personnel from conducting official DHS business over chat, text, or instant messaging.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? *(Directive Goal 2.5)*

☒ Yes   ☐ No

The Department has worked to develop an inventory of Agency records, and will continue to align records schedules to the DHS File Plan. Alongside the Records Leadership Council, the Department will continue to identify existing paper and non-electronic records, develop records schedules, and submit them through the approval process.

In preparation for an ERMS, we began standardizing records disposition schedules across Components three years ago by developing enterprise schedules. This involves standardizing the retention of common mission records by working with Component Records Officers, stakeholders and legal programs to identify appropriate retention periods. A number of enterprise schedules are in queue for approval and subsequent submittal to NARA.

CBP and ICE have ongoing projects to complete entire Component inventories. These plans will have all Component record schedules identified and drafted by 12/31/2017.

6. Is your agency going to meet the *Directive* goal to manage all <u>permanent</u> electronic records in an electronic format by December 31, 2019? *(Directive Goal 1.1)*

☒ Yes ☐ No

We have submitted a resource allocation plan (RAP) for FY18 for funding for an ERMS. In preparation for an ERMS, we began standardizing records disposition schedules across Components three years ago by developing enterprise schedules. This involves standardizing the retention of common mission records by working with Component Records Officers, stakeholders and legal programs to identify appropriate retention periods.

We have developed a transition plan to pilot and then migrate to a DHS-wide Information Governance capability, which includes the implementation of an ERMS. The Plan identifies a target state and outlines Strategic Improvement Opportunities (SIOs) and recommendations and steps forward.

SIOs:
• Standardize and unify policies and procedures
• Develop enterprise resource strategy to improve operation efficiencies
• Improve/streamline organization structure and relationships
• Improve methods to manage electronic information
• Develop and implement unified training

Moving forward, this Plan serves as a high-level, step-by-step guide for the Department to reach the target state.

As an interim solution and to begin standardizing data, we are currently implementing a SharePoint (SP) 2010 Records Center pilot. The primary purpose of the pilot is to utilize SharePoint's record management capabilities, namely in-place records management and Record Center, to transition into an all-electronic records management system (ERMS).

Once something has been declared a record in SP, it cannot be deleted unless the record has reached its final disposition. The significant document management functionalities in SP that are enhanced for RM and are applicable to this pilot include metadata, content types, permissions and disposition.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

The Department has submitted a draft policy memorandum on electronic information for review and approval. The policy is applicable to all DHS staff, and prohibits all DHS employees and personnel from conducting official DHS business over chat, text, or instant messaging. The Department emphasizes this policy change regarding the use of chat, text, and instant messages during every DHS New Hire Orientation. The Basic Records Management Training, mandatory for all DHS employees, also addresses this new policy.

Additionally, the use of personal email to conduct agency business is prohibited. Notification to all DHS personnel is currently in draft format.

Records Management written policies are in the process of being updated.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

☒ Yes   ☐ No

The Department is proactively developing guidance and handouts to ensure appropriate off-boarding of senior officials throughout the 2016 Presidential appointee transition. The guidance will underscore the requirement for departing officials to receive approval from the Agency Records Officer and the DHS Records Officer before any copies of files can be removed. Components are preparing individually for the transition:

- CBP is maintaining their use of an out-processing form which captures senior official and authorizing signatures.
- TSA has scheduled meetings with the internal Office of Administration to review procedures for handling the records of departing officials.
- FEMA has developed a Component-specific handout and a briefing to be disseminated to senior leadership, outlining leadership's responsibilities for protecting, identifying, and transferring all records upon their departure. In addition, FEMA Records staff will be conducting one-on-one meetings with the Administrator and Deputy Administration. FEMA has also developed off-boarding trainings for all Senior Agency personnel.