OCIO Office of the DOT
Chief Information Officer

U.S. Department of Transportation

Senior Agency Official for Records Management (SAORM) 2016 Annual Report

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

The Department of Transportation (DOT) Records Management (RM) program is overseen by the Departmental Chief Information Officer (DOT CIO), who also serves as the Department's Senior Agency Official for Records Management (SAORM). The DOT CIO has appointed a Departmental Records Management Officer (DRMO) under the Associate CIO for IT Policy Oversight to lead the strategic implementation and cross-component oversight of DOT records management programs. Under the DRMO's leadership the Department has created collaborative working relationships with the Operating Administrations (OA), the Office of General Counsel (OGC), and other key stakeholders to produce an operational RM program that leverages the knowledge and capabilities found across the Department in a sustained, rational, and effective manner.[1]

The DRMO's primary responsibilities include development of frameworks, fostering collaboration across the Department, issuance of standards, and the promotion of sharing, acquisition, and implementation of common methodologies and technologies necessary to establish a Department-wide electronic records management program. The DRMO issues guidance and advocates for the use of shared services as well as the implementation of best practices to assist the OAs in meeting all records management requirements including but not limited to those set forth in the Federal Records Act and the Management Government Records Directive (M-12-18). The DRMO develops guidance collaboratively with the OAs in support of the OCIO's vision of implementing enterprise-wide standards and solutions.

Operational records management responsibilities fall to Agency Records Officers (ROs) within the Office of the Secretary (OST), the Office of the Inspector General (OIG) and the Department's OAs.[2] In addition to providing Departmental oversight the DRMO has endeavored to support the operational programs by identifying and working to resolve common

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[1] The term Records Management (RM) is used throughout this document and unless explicitly stated otherwise should be understood to include the entire records management lifecycle for all records including electronic records.

[2] For the reporting period the Department's Operating Administrations include; Federal Aviation Administration (FAA), Federal Highway Administration (FHWA), Federal Motor Carrier Safety Administration (FMCSA), Federal Railroad Administration (FRA), Federal Transit Administration (FTA), Maritime Administration (MARAD), National Highway Traffic Safety Administration (NHTSA) Pipeline and Hazardous Materials Safety Administration (PHMSA), and the Saint Lawrence Seaway Development Corporation (SLSDC).

issues through evaluation and research of best practices and lessons learned through participation in inter-agency collaboration groups including the Federal Records Officer Network (FRON), NARA's Bimonthly Records and Information Discussion Group (BRIDG), Capstone working group meetings, and Senior Agency Official meetings.

2. **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

☑ **Yes**

☐ **No**

If No, please list and explain which part of your agency or components did not meet the deadline?

N/A

(Please note: Through a separate reporting request we will be asking your agency records officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18*)

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

☑ **Yes**

☐ **No**

If No, please list which part of your agency or components did not and why?

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

☑ **Yes**

☐ **No**

If Yes, please describe this progress.

The Department, led by the DRMO, has in its Records Management Strategic Plan specific goals and objectives that enable the Department to meet the Directive's mandates and includes multi-pronged approaches which address the unique electronic records management requirements for email, electronic information systems (EISs), as well as document artifacts. This allows DOT to create guidance for each of the unique technical requirements that must be implemented to

manage EISs and Electronic Documents and Artifacts throughout their lifecycle. Among the key initiatives are;

1. Development of <u>OA specific strategic and tactical plans for EIS records management</u> which include the following minimum elements required by the DRMO:

    - Integrated teams comprised of the following: Agency Records Officers, Records Liaisons, Information Collection Officers, Privacy Officers, Enterprise Architects, Information Technology Project Managers, and Capital Planning and Investment Control (CPIC) Coordinators.

    - Maintaining inventories of all EISs including a mapping of records and associated schedules contained therein.

    - Processes to evaluate RM requirements within each EIS based on Departmental guidance, and

    - Mechanisms to identify and request necessary resources to ensure ongoing compliance for all EIS.

    - Development and delivery of training that enables Records Management Officials and <u>Information Technology (IT)</u> officials to better communicate records management requirements for EIS systems.

    The DRMO provides oversight and tracking of OA progress towards implementation of these plans, and works with stakeholders to remove roadblocks, identify opportunities for multi-OA collaboration, and advocate for resources.

2. Leveraging <u>Department-wide capabilities</u> to serve as common platforms and methodologies. For example, the DRMO and OGC partnered in a pilot of SharePoint recordkeeping capabilities which resulted in the successful business process reengineering of OGC filekeeping and records management practices. The DRMO continues gathering lessons learned and developing guidance to support the use of this technology throughout the Department.

3. The DOT has initiated the <u>integration of records management requirements into the IT governance processes,</u> including Federal Information Security Management Act (FISMA) cybersecurity authorization packages, Investment and Technical Review Boards, and Change Control Boards.

    Working together through the Department's Records Management Working Group (RMWG) the Department and OAs will continue to evaluate internal and federal best practices to achieving the goal of managing all permanent electronic records electronically by the end of 2019. Practices currently under evaluation or being integrated for standardization and implementation include;

    - Integrating records management requirements into the IT system cybersecurity authorization process by leveraging records management related security controls identified by the National Institute of Standards and Technology (NIST).

- Inclusion of records management needs in system requirements development processes and change control boards to ensure that Electronic Records Management (ERM) requirements are captured and capabilities do not erode during system development and modifications activities.

- Analyzing SharePoint with additional Commercial Off the Shelf (COTS) tools for supporting ERM of document artifacts allowing better document management and reducing redundancy.

- Developing file plans that support the program area requirements for sustained access that augments any automated tools for better management of document artifacts.

- Updating CPIC and IT Governance practices to include ERM requirements for EIS enabling lifecycle records management by programs, and

- Piloting the transfer of permanent records to NARA. This will allow both the Department and NARA to test formats as well as Extraction, Transfer, and Load (ETL) requirements and capabilities.

5. **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

     ☑ **Yes**

     ☐ **No**

Please describe your specific plans or actions.

The Department understands that M-12-18 Goal 1.1 does not mandate the digitization of permanent records that are not already available electronically. This allows the Department's program areas to make business driven decisions regarding storage and access requirements that enhance the program's business activities. The DRMO supports OAs when performing this business decision analysis by using a cost benefit analysis of alternatives for all of its significant IT investments. This includes any digitization projects in order to make sure that access requirements and return on investment align such that the program and the records owners are able to make the best use of limited resources.

At this time the DRMO is assisting several OAs, including the Pipeline and Hazardous Materials Safety Administration (PHMSA) and the Maritime Administration (MARAD), in these cost benefit evaluations. These analyses include the costs of a Quality Assurance/Quality Control phase within the digitization effort that mitigates the risk of not capturing a complete copy of a permanent record as well as the development/enhancement of an OA specific file plan that supports accessibility and availability of the permanent records.

6. **Have you, as the SAORM, taken steps to include records management as a key comp`onent of your agency's information resources management strategy in**

accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)

☑ **Yes**

☐ **No**

If Yes, please describe what steps have been taken.

The DOT CIO is designated as the Department's SAORM. This is consistent with the M-12-18 Goal 2.1. As noted in earlier responses, the CIO has utilized the IT system cybersecurity oversight team, the RM oversight team, the Privacy oversight team, and the CPIC oversight team to integrate records management as a key component of the Department's information resources management strategy. The Department's updated Records Management Policy released in August, 2016 can directly map RM policy requirements to the revised OMB Circular A-130, Managing Information as a Strategic Resource (OMB A-130 5.h, page 19).

Other steps include the development of OA specific strategic and tactical plans for EIS records management which include the following minimum elements required by the DRMO:

- Maintaining inventories of all EISs including a mapping of records and associated schedules contained therein;

- Processes to evaluate RM requirements within each EIS based on Departmental guidance;

- Mechanisms to identify and request necessary resources to ensure ongoing compliance for all EIS; and

- Development and delivery of training that enables RM officials and IT officials to better communicate records management requirements for EIS systems.