



The OMB/NARA Managing Government Records Directive (M-12-18) requires Senior Agency Officials for Records Management (SAORM) 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 January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies.

#### Instructions for Reporting

- This template covers progress through December 31, 2016.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to [PRMD@nara.gov](mailto:PRMD@nara.gov). Include the words "SAORM annual report" 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 SAORM: Michael H. Allen
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1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

*Please list below:*

This report covers all of the Department of Justice (DOJ), which includes the following:

- Offices, Boards, and Divisions as defined in 28 CFR § 0.1 *et seq.*
- Bureau of Alcohol, Tobacco, Firearms, and Explosives
- Bureau of Prisons
- Drug Enforcement Administration
- Executive Office for Immigration Review
- Executive Office for United States Attorneys and United States Attorneys' Offices
- Federal Bureau of Investigation
- Office of Justice Programs
- United States Marshals Service

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?

(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?

Of the records series (both paper and electronic) identified that required scheduling during the Department's 2013 inventory, all but 88 have either been identified as falling under existing schedules or have had schedules developed and submitted to NARA. The remaining 88 are in the draft process with concrete plans for submission in the near future and not later than June 2017.

Components with remaining records series to be scheduled include Drug Enforcement Administration, Executive Office for United States Attorneys, Executive Office for Immigration Review, Criminal Division, US Trustees Program, National Security Division, and Civil Division.

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 has developed a RIM Strategic Plan that sets forth an overarching approach to meeting the stated goals of the OMB/NARA RIM Directive. This strategic plan lays out a RIM Program Framework that includes the program elements of governance and policy, business foundations, supporting technologies, training, evaluation and review, and identifies the Departments goals within each program element area, as well as success criteria for each goal. The plan also provides direction to business and information technology stakeholders on their responsibilities and concrete tasks to meet those goals. Finally, the plan includes identified outcomes that meet these criteria and includes stakeholder responsibilities for meeting those outcomes. The Department has also developed and begun to execute on a work plan that addresses Departmental level work.

Examples of work completed include:

- the completion of up to date inventories of scheduled and unscheduled paper and electronic records.

- the development of a RIMCertification process that requires departmental components to go through an established procedure in which the component provides information on recordkeeping approaches for any new systems, services, or applications that contain records and works with the Departmental Records Officer to assure appropriate approaches are in place and reviewed every three years.
- the continuing work of the Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF) to implement the RIMCert process, which identifies structured electronic records maintained in IT systems supporting ATF's essential missions, and are the kinds of records most likely to be deemed of permanent value. RIMCert ensures that these systems will maintain the records according to appropriate records control schedules.
- the continued evaluation by the Federal Bureau of Investigation (FBI) of its electronic information systems for compliance with records disposition standards through its existing Electronic Record Keeping Certification (ERKC) process
- the initiation of an Account Management reengineering project that included as an immediate task, the modernizing of account management processes to allow for management and tracking of departmental accounts for Capstone Officials, staff, and contractors and better controls over the management of the content in those accounts
- the engagement of the Office of Records Management Policy (ORMP) and the Office of the Chief Information Officer in a joint project related to the development of Capstone policy and configuration management during and after email migration to the Microsoft Office 365 Cloud. This effort is directed at managing Capstone email in a cloud environment.
- the customization of the NARA RIM Capability Maturity Model (CMM) Tool to a Department of Justice CMM to align with the RIM Strategic Plan Program elements for use as a foundation for the Department of Justice RIM evaluation and review program. The DOJ RIM CMM is designed to monitor progress, as well as provide guidance on next steps to components on improving in all program areas. The DOJ RIM CMM is used as part of the Department's OMB A-123 controls process to measure and evaluate component RIM program effectiveness and progression, along with the other areas usually included in the a-123 processes.
- the development of a SharePoint-based email recordkeeping system within the Civil Division that allows users to associate email records with Civil Division case files and allows records staff to apply record retention policies and safeguards to the records in accordance with applicable records retention schedules. The Civil Division is working to expand the functionality of this system to also maintain electronic court filings and other case-file documents electronically. Civil Division Records Staff also works with Civil Division IT staff to ensure that other permanent records and systems that are already maintained electronically will meet the transfer requirements set by NARA

- the development of a SharePoint Records Center-based electronic recordkeeping system within the Office of the Inspector General (OIG).
- the use of a Document Management System (iManage) within the Tax Division to manage its electronic records. The Tax Division is also researching tools that would automate record disposition (including transfers to the National Archives) in accordance with approved schedules.
- the use of the Hummingbird Document Management System (DM) within the Office of Professional Responsibility with a planned update for records management to include the capture of e-mails in the DM until they meet the record retention schedule.
- the active identification of all permanent records within the Drug Enforcement Administration (DEA) along with the offices that maintain them. DEA is currently working toward automating the tracking, inventory and transfer of permanent records to the FRC.
- the implementation of EDocs within the Environment and Natural Resources Division (ENRD) as an electronic records management system that integrates with the division's existing document management solutions.
- The deployment of Sentinel, an electronic case management system, within the Federal Bureau of Investigations (FBI) in July 2012. In addition to overall case management, Sentinel provides an electronic workflow process and digital signature for electronically created documents. Sentinel uses a Department of Defense (DOD) 5015.02 certified records management application (RMA), EMC Documentum, as the records repository and disposition manager. The RMA is programmed to manage records in accordance with NARA approved disposition schedules.
- the implementation of an FBI Records Management Division (RMD) initiative to manage permanent electronic Top Secret (TS)/Sensitive Compartmented Information (SCI) records on the FBI's TS/SCI enclave using Microsoft SharePoint services

The Department has also continued to develop Departmental level policy on electronic records and messaging. To date, the department has the following policy in place:

- DOJ Policy Statement 0300.02 Use of Social Media to Communicate with the Public
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- DOJ Order 0801, Records and Information Management
- DOJ Policy Statement 0801.01, Records and Information Management Certification
- DOJ Policy Statement 0801.02, Removal of and Access to Department of Justice
- DOJ Policy Statement 0801.03, Digitizing/Scanning DOJ Records and Information
- DOJ Policy Statement 0801.04, Electronic Mail Electronic Messaging Records Retention

- DOJ Instruction 0801.04.01 Electronic Mail Instruction
- DOJ Instruction 0801.04.02 Electronic Messaging Instruction
- DOJ Instruction 0801.04.03 Capstone Account Creation
- DOJ Instruction 0801.04.04 Record Processing for Capstone Officials
- 2015-01 DOJ Policy Memorandum, Protecting DOJ Information on Mobile Devices
- 2014-01(E) DOJ Policy Memorandum Lync Retention

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

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 has had the DOJ Policy Statement 0801.03 Digitizing/Scanning DOJ Records and Information in place since September 22, 2014. This policy provides clear business and technical guidance and requirements associated with digitizing/scanning projects. Components make component level determinations on digitization projects based on their business needs, resources, and the guidelines provided in the DOJ Policy Statement.

As a result, multiple components have begun or completed digitization projects. Some examples follow:

- The Office of Legal Counsel (OLC) recently digitized all daybooks.
- INTERPOL, under the ECE NextGen database for investigative case information includes plans for digitizing certain biometric information.
- Since 2002, the FBI has been actively digitizing paper and microform records through the development and continued evolution of the DocLab. The DocLab units are responsible for digitizing paper records, evidentiary material, and other hard copy format information as needed to accomplish the FBI mission. As these records are digitized, the electronic versions are managed with the same disposition schedules that apply to their hard copy equivalents. In most circumstances, the hard copy information is retained due to National Archives and Records Administration (NARA) rules regarding conversion of hard copy records, while the text searchable electronic versions are uploaded to the Sentinel case management system for enterprise access.

- OIG has undertaken active digitization projects with the OIG Audit Division for permanent AUD reports and audit follow-up materials
  - Office of Privacy and Civil Liberties has retained contractors who have been assigned to scan all paper files to electronic files (going paperless).
  - Office of Justice Programs (OJP) has a project known as the OJP Digitization Initiative. In this initiative, meetings are held with each program and business office in OJP to determine their quantity, quality and retention needs of documents and their defined records requirements. Upon this determination and associated preparation, digitization of the documents occurs and documents are uploaded into the OJP records maintenance system.
  - ATF has four established or recent digitization projects underway for the Office of Enforcement Programs and Services (EPS).
    - OBRIS. ATF is currently digitizing all Out-of-business records that come to the bureau.
    - NFA Imaging. ATF images National Firearms Act Registration and Transfer Records (NFRTR) and uses them for daily operations.
    - ECM. The Enterprise Content Management system is an enhanced imaging system using up-to-date software, which is expected to replace the OBRIS system when funding is available to develop the system and migrate the existing images.
    - Digital Reel. Before imaging systems were available, many types of EPS records were microfilmed or microfiched. Digital Reel is a conversion project to migrate those filmed records to digital images, which significantly improves retrieval times and aids in long-term preservation of the records. The Digital Reel project is nearing the end of the project, with only a small amount of microfilm left to convert.
6. Have you, as the SAORM, taken steps to include records management as a key component 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)

X  Yes

No

If Yes, please describe what steps have been taken.

The Senior Agency Official for Records and the Office of the Chief Information Officer build record keeping requirements into their strategic analysis and decision making in the normal course of the information resources strategy development. At this time, there is little funding for needed human and financial resources for these efforts.

