



Senior Agency Official for Records Management
2017 Annual Report

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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting

- This template covers progress through December 31, 2017.
- 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. Include the words "SAORM annual report - [Agency 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 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?

- 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. Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

Yes

No

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 Department's 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 ongoing work include:

- the continuing use and refinement of the RIM Certification 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. The component works with the Departmental Records Officer to assure appropriate approaches are in place and reviewed every three years.
- 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 completion of and implementation of the Account Management reengineering project that the modernized account management processes to allow for management and tracking of departmental accounts for Capstone Officials, staff, and contractors. These changes also included establishing Records Managers as authorizing entities on the management of content for departing users.
- 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 focused on managing Capstone email in a cloud environment. This effort has been formally expanded to include continued collaboration on the implementation of additional capabilities in the cloud such as SharePoint and OneDrive. It includes efforts to determine a framework for long-term management of electronic records in the context of moves to more enterprise wide electronic systems, services, and applications.
- the continuation of the use of the Department of Justice Capability Maturity Model (CMM) to align with the RIM Strategic Plan Program elements as a foundation for the Department of Justice RIM evaluation and review program. The ORMP uses the DOJ RIM CMM 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 enables 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 maintain electronic court filings and other case-file documents electronically. Civil Division Records Staff also designed and implemented a training program to provide each office tailored guidance and direction on how to use the new processes to further their litigation and team collaboration needs while also achieving records management goals.
- the use of a document management system,
- iManage within the Tax Division to manage its electronic records. In 2017, the Tax Division installed a records management module as an addition to iManage that will help automate records disposition, including closing case files, making transfers to NARA, and managing litigation holds. In addition, the Environment and Natural Resources Division and the Office of Professional Responsibility have implemented and use the OpenText EDocs document management system within their components to manage case and records materials. Both of these components have ongoing 2018 work

to fully implement the records management (RM) module for automating recordkeeping functions in conjunction with the use of the document management system.

- 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 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 electronic records across multiple enclaves including the unclassified, secret, and top secret networks.
- The research and development of a Division wide electronic records repository in the Criminal Division and active analysis of current document and records management systems being used within the system to provide enhanced understanding of current electronic operations and the potential for standard division practices to address recordkeeping needs.
- The implementation of a four-phase project to modernize the electronic processing of Executive Secretariat correspondence that incorporates electronic recordkeeping requirements for permanent records and to allow the correspondence process to become electronic.
- The automation of workflows and work processes in SharePoint within multiple components as a first step to moving processes electronic.

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

3. 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

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

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

- The Office of Legal Counsel (OLC) continues to digitize all its daybooks.
- 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 the FBI digitizes these records, it manages the electronic versions with the same disposition schedules that apply to hard copy equivalents.
- OIG has undertaken active digitization projects for permanent Audit reports and follow-up materials as well as for employee background investigations, and is exploring digitization of investigation cases as part of moves to automate the larger business processes.
- 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.
- Office of Professional Responsibility (OPR) has implemented an as needed scanning solution to ensure that the documentation in their document management system is the complete record. OPR records managers review paper documentation to verify their classification and retention schedule and to determine if the paper record requires storage in the electronic records management system as part of the overall record.
- The Office of the Pardon Attorney has been working on a project to digitize historic grant and denial records as well as continuing to digitize previously closed case files that needed for current business use (as time and staffing permit).
- The Office of Information Policy (OIP) scans all incoming paper FOIA or Privacy Act requests, appeals, consultations, etc., as well as any responsive unclassified documentation as part of the FOIA case file.
- JMD finance staff is currently digitizing all Attorney General travel records.
- DEA is digitizing legacy policy records for uploading to the newly developed policy portal.

- ATF's Imaging Workflow is a massive effort to digitize all Out of Business Records as well as AFMER records. These are saved as images with only basic metadata to help facilitate Crime Gun traces without creating a database of guns.
- 4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?**

Yes

No

Please explain your response:

The Office of Records Management Policy (ORMP) actively works with all component records managers and records officers. Part of this active interaction is to identify and offer advice regarding records implications for any active or planned organizational changes within the component. ORMP has worked with records managers during 2017 to prepare for and implement recordkeeping activities in responses to organizational changes and will continue to do so in 2018.

- 5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management
<https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)**

Yes

No

Please explain your response

The Department has engaged in strategic planning, assessed the Departmental programs, identified needs, and solicited leadership support and resources. The SAORM continues to advocate for additional resources where there are shortfalls and continuing long-term needs. In the current climate of reduced administrative budgets and hiring freezes, the Department does not expect to be able to fully meet all resource needs, but does continue to evaluate and make strategic decisions on how best to achieve program success with available resources.

- 6. Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices,

bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

Yes
 No

In advance of the transition to the new administration, the SAORM and the Departmental Records Officer were involved in the planning for both the departure of many senior staff and the onboarding of new appointees. In terms of departing staff, the Department updated checkout procedures and checklists in order better to identify records locations and management. With respect to electronic records, OCIO and ORMP worked together to incorporate changes to business processes for the opening and closing of electronic accounts. These changes included incorporating records managers as signing authorities for the appropriate handling of content in electronic accounts that include email and documents.

As part of the onboarding process for newly appointed senior staff, the Departmental Records Officer continues to participate with the Departmental Ethics Officer in a series of briefings such that every incoming political appointee in the Department of Justice receives records briefings within the first 90 days of their tenure.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?

Yes
 No

The Senior Agency Official for Records and the Office of the Chief Information Officer (CIO) build record keeping requirements into their strategic analysis and decision making in the normal course of the information resources strategy development. The Departmental Records Officer and the Office of the CIO collaborate on an ongoing basis on multiple information technology projects in order to insure that recordkeeping requirements addressed throughout the development and implementation phases of IT systems, services, and applications.

At this time, there is little funding for needed additional human and financial resources for these efforts.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan, Goal 2.4)

In general, it would be helpful for NARA to focus its guidance and support for agencies on the following:

- a. Approaches for funding records management programs and the management of digital information in the current environment of continuing agency budgetary cuts and reduced

- funding for Chief Information Officers and business offices that manage digital information.
- b. Specific, more practical approaches for managing messaging applications, such as text messaging and other forms of electronic messaging, that address the limitations on capture and management inherent in these communications tools.
 - c. Development or identification of automated tools that provide support for overarching records program management. NARA tends to focus its guidance on electronic recordkeeping tools that automate the management and capture of record content such as records and document management applications. While this effort is helpful, it does not address larger programmatic management issues. Other types of tools that would assist records program management include, for example, those that facilitate the development of taxonomies, agency repositories for records control schedules and inventories, tools that automate and assist tracking Capstone Officials, titles, names and tenures, or tools that support the analysis and approval of systems, services, or applications that house records. Simply acquiring a records management or document management application, without management of the other elements of the records program, does not adequately support full-scale compliance with record keeping requirements.