

RECORDS AND INFORMATION MANAGEMENT

I. Purpose

This Directive establishes the Department of Homeland Security (DHS) Records and Information Management (RIM) Program and sets forth the policies for managing records regardless of medium, lifecycle stage, or environment.

II. Scope

This Directive applies throughout DHS. It applies to Federal records, non-records used for reference, and personal records. Each Component may augment this Directive with more specific internal policies and procedures that are in alignment with DHS policy.

III. Authorities

- A. Title 44, United States Code (U.S.C.), Chapter 21, "National Archives and Records Administration," Chapter 29, "Records Management by the Archivist of the United States and by the Administrator of General Services," Chapter 31, "Records Management by Federal Agencies," Chapter 33, "Disposal of Records," Chapter 35, "Coordination of Federal Information Policy," and Chapter 36, "Management and Promotion of Electronic Government Services"
- B. Title 36, Code of Federal Regulations (CFR), Chapter XII, Subchapter B, "Records Management"
- C. Title 41, CFR, Subtitle C, Chapter 102, "Creation, Maintenance, and Use of Records"
- D. Office of Management and Budget (OMB) / National Archives and Records Administration (NARA) Memorandum M-12-18, "Managing Government Records Directive"
- E. DHS Delegation 04000, "Delegation for Information Technology"

IV. Responsibilities

A. Senior Agency Official:

1. Ensures that the Department efficiently and appropriately complies with all applicable records management statutes, regulations, and NARA policies.
2. Makes adjustments to practices, personnel, and funding as may be necessary to ensure records management compliance and support the business needs of the Department.

B. Chief Information Officer (CIO):

1. Establishes and oversees the RIM Program throughout the Department.
2. Appoints an official as the Chief Records Officer to lead and manage a Department-wide RIM Program.
3. Establishes RIM qualification requirements and training throughout the Department.
4. Provides for the seamless capture and storage of electronic records and associated metadata in DHS enterprise-wide systems and applications.
5. Ensures that records management and archival functions are addressed in the requirements development phase for the design, development, and implementation of new or significantly revised information systems.
6. Assists OMB in the performance of its functions assigned under the E-Government Act of 2002.
7. Ensures that system administrators do not disconnect or delete electronic mail stores and personal network drives or personal desktops and any other storable information technology (IT) device of departing personnel until proper receipt.

C. Chief Human Capital Officer (CHCO):

1. Ensures RIM training is included as a component of the in-processing procedures for all DHS personnel.

2. Facilitates annual RIM training (as developed by the Chief Records Officer) for all DHS personnel.

3. Ensure that confirmation of records custodial transfer is received prior to out-processing of the departing personnel.

D. The **General Counsel, Office of the** provides notice to the CIO and other appropriate officials of the need to suspend records disposition requirements for litigation, Congressional inquiries, etc. and when suspensions have been lifted.

E. **Chief Privacy Officer:**

1. Establishes the policies for, and oversees, proper handling of record and non-record material containing Personally Identifiable Information (PII).

2. Examines new or updated records systems for privacy considerations.

3. Coordinates with the CIO to determine the requirements necessary to facilitate timely and accurate searches for Freedom of Information Act (FOIA) requests.

F. **Component heads:**

1. Implement the DHS RIM Program within their Components.

2. Designate a Chief Records Officer for the Component, who manages the RIM Program in accordance with this Directive and ensures proper records officials (records liaisons or custodians) are identified.

3. Obtain Component specific records retention schedules (via the Component Chief Records Officer) for all records within the Component.

4. Incorporate requirements for annual records training into contracts, as appropriate.

G. **Records Management Policy Working Group (RMPWG):**

1. Advises the CIO on RIM policy impact and effectiveness.

2. Provides recommendations to integrate functional policies and practices throughout the Department.

3. Is managed and led by the Chief Records Officer.

4. Members include representatives from across the Department, as determined by the Chief Records Officer.

H. **Records Leadership Council (RLC):**

1. Advises the CIO on DHS-wide RIM policies and procedures.
2. Provides recommendations on requirements, standards, and practices for the DHS-wide RIM program.
3. Provides recommendations to the CIO on records management governance requirements for IT systems and records management activities, accomplishments, and risks within DHS.
4. Members include authorized representatives from OCIO's Records and Information Management Program Office, each Operational Component, and the Federal Law Enforcement Training Center.

V. Policy and Requirements

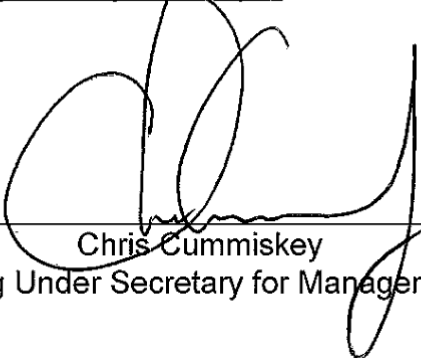
It is DHS policy to preserve all records in accordance with applicable statutory requirements that leverages economic advantages and provides a common basis among all Components. The Department has established the following requirements for all DHS employees.

- A. Create, receive, and maintain official records providing adequate and proper documentation in support of DHS activities (Title 44, U.S.C., Section 3301).
 1. Non-records are not retained beyond the usefulness of the records or when no longer needed for reference and should be kept separate from official DHS records.
 2. Keep personal records to a minimum and separate from official DHS records. Personal files are excluded from the definition of Federal records and are not owned by the Government.
- B. Ensure all records are properly maintained in all programs, projects, and administration efforts).
- C. Print electronic records, including metadata, and file them in a paper records keeping system. If an Electronic Records Management System (ERMS) is available, file records in accordance with the requirements of that system.
- D. Maintain records according to a designated DHS file plan, which allows for retrieval across the varied DHS missions.

- E. Provide appropriate training to new employees and annual training to current employees to ensure awareness of their responsibilities to maintain and safeguard DHS records.
- F. Establish appropriate out-processing for departing employees and ensure that the program or process is established to review and adjudicate requests for the removal of records.
- G. Create and/or Implement Record Schedules:
 - 1. Where acceptable, apply the General Records Schedules (GRS), as approved by the National Archives and Records Administration.
 - 2. For mission related records, follow the instructions for disposition of records as specified by the approved DHS, Component, or Enterprise Records Schedule and dispose of as authorized by that schedule.
 - 3. In the absence of a Record Schedule, create DHS, Component, or Enterprise Record Schedules which specify disposition instructions for unscheduled records and submit to the National Archives and Records Administration for approval by the Archivist of the United States.
- H. Implement a Vital Records Program.
- I. Evaluate annually the RIM Program, including records disposition, responsibilities, training, and records maintenance.

VI. Questions

Address questions regarding this Directive to the Office of the Chief Information Officer, Records and Information Management Program Office at dhsrecordsmanagement@hq.dhs.gov.


Chris Cumiskey
Acting Under Secretary for Management


Date