

Message

From:

(b)(6), (b)(7)(C)

Sent:

11/2/2021 11:39:09 AM

To:

CC:

(b)(6), (b)(7)(C)

Subject:

Sample Agenda for NARA Letter meeting at 9:15 today

Hi (b)(6), (b)(7)(C)

Here is a sample agenda. I will follow your lead to take notes on the discussions today.

Sample Agenda:

Meeting purpose and desired outcome

1. provide input to address the NARA Letter to include unauthorized destruction
2. provide specific information related to the use of and retention practices for records created by WhatsApp and Wickr.
3. talk with the OFO POCs that participated in the OIG audit interviews and/or are working on remediation responses to the six recommendations that OIG cited in their report.

Introductions

Set stage: plan and schedule to respond to NARA letter, who is involved - what is needed high level.

1. Ensure that Records Management regulations are being adhered to
2. Ensure that the CBP is regulating the use of these messaging applications consistent with NARA's and the Department's records management policies
3. Ensure that CBP is communicating to all employees that they cannot use these applications to circumvent their records management responsibilities and that all employees are aware that they must be retaining all messages that are federal records in accordance with agency policy and all applicable NARA-approved records schedules

General Questions:

- Have you read the OIG Report?
- Have you read the NARA Letter?
- Role in OIG Audit and OIG Audit Remediation activities
- Role in Records Management - are you working with your RAE or LRIM to address the records retention schedules for communications apps?
- Role in Recommendation 6
- Specific Questions (see below)
- Anyone else we should contact for information to complete response to NARA Letter
 - Recover any of the lost communications from WhatsApp?

Specific Questions:

Concerning the unauthorized destruction of records in the OIG Report (Scope - WhatsApp and Wickr during the period in question in the OIG Report during 2018 to 2019), can you provide any of the following?

1. a complete description of the records with volume and dates if known;
2. description of the office maintaining the records;
3. a statement of the exact circumstances surrounding the removal, defacing, alteration, or destruction of records;

4. a statement of the safeguards established to prevent further loss of documentation;
5. details of the actions taken to salvage, retrieve, or reconstruct the records.
6. any records management corrective actions that CBP will be required to implement as a result of the OIG investigation
7. any documentation in the form of policies, training, approved records schedules or other resources CBP has established to mitigate the records management risk associated with the improper use of Wickr, WhatsApp, or similar messaging applications.
8. Any detains on the 4 officials in the report to support point 1 above?
 - a. From page 28/31 - Unless the **four CBP officials'** WhatsApp accounts were their official CBP electronic account, they likely violated 44 U.S.C. § 2911, because they did not copy or forward all WhatsApp messages to their official CBP accounts.

Reference: List of Recommendations:

Recommendation 1: Update Customs Directive No. 4320-003, July 1990 (TECS Directive) to clarify the appropriate bases for placing lookouts and provide training to all CBP officials who have the authority to place lookouts.

CBP Response to Recommendation 1: Concur. CBP will update lookout placement procedures in the TECS Directive. Additionally, CBP will modify existing training to inform users that lookouts should only be created for law enforcement purposes. CBP expects to complete these actions by December 31, 2021.

Recommendation 2: Develop and implement procedures to ensure CBP officials update and remove lookouts in accordance with the TECS Directive.

CBP Response to Recommendation 2: Concur. CBP will update lookout placement procedures in the TECS Directive. In addition, CBP will issue a memorandum and muster to remind CBP officers of their responsibilities to remove and update lookouts in accordance with policy. CBP expects to complete these actions by December 31, 2021.

Recommendation 3: Develop and issue a policy regarding asking, advising, or otherwise communicating with foreign governments about denying entry to U.S. citizens. At a minimum, the policy should specify the appropriate circumstances for such communications, who is authorized to approve such communications, and the procedures to follow when making such communications.

CBP Response to Recommendation 3: Concur. CBP will revise Directive No. 4320-025A, "Disclosure of Official Information to Foreign Authorities," dated April 2014, by adding a provision on sharing U.S. persons' information with foreign governments. CBP component offices will collaborate to revise and issue the policy. CBP expects to complete these actions by July 29, 2022.

Recommendation 4: Conduct a review of all instances in which CBP, as part of its response to the migrant caravan, disclosed U.S. citizens' Sensitive Personally Identifiable Information to Mexican officials, between October 2018 and March 2019, to identify any instances that did not comply with foreign disclosure requirements and take remedial actions. Remedial actions may include rescinding requests to deny entry to U.S. citizens, retroactively instructing foreign authorities to hold CBP information in confidence and use CBP information only for the purpose for which CBP provided it, ensuring disclosures are properly documented in CBP's systems of records, and any other steps necessary to ensure that all foreign disclosures comply with *CBP Directive No. 4320-025A, Disclosure of Official Information to Foreign Authorities, DHS Sensitive Systems Policy Directive 4300A, DHS Handbook for Safeguarding Sensitive Personally Identifiable Information*, and all other applicable policies and procedures.

CBP Response to Recommendation 4: Concur. CBP will identify and review disclosures of U.S. citizens' Personally Identifiable Information to Mexican officials that occurred as part of its response to the migrant caravans between October 2018 and March 2019, to ensure compliance with foreign disclosure requirements (specifically established policies and delegations of authority). To the extent remedial actions are required, CBP will remediate each noncompliant disclosure. CBP expects to complete these actions by March 31, 2022.

Recommendation 5: Provide training to all CBP personnel on the process for sharing information with foreign nations, covering all applicable policies and procedures, including which CBP personnel are authorized to make foreign disclosures.

CBP Response to Recommendation 5: Concur. CBP's Privacy and Diversity Office, in coordination with various CBP components, will identify individuals and work units that regularly disclose PII to foreign partners, and will provide virtual training regarding all applicable policies and procedures by March 31,

2022. The Privacy and Diversity Office, in coordination with the Office of Training and Development, will also develop a new course focused on domestic and foreign information sharing in the DHS Performance and Learning Management System. CBP expects to complete these actions by December 30, 2022.

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Regards,

(b)(6), (b)(7)(C)

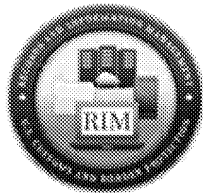
Records and Information Management Program (RIM)

DHS/CBP/OIT/RIM

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(b)(6), (b)(7)(C)

MSTeams



Message

From:

(b)(6), (b)(7)(C)

Sent:

11/2/2021 12:53:49 PM

To:

CC:

(b)(6), (b)(7)(C)

Subject:

Planned Approach - RE: Sample Agenda for NARA Letter meeting at 9:15 today

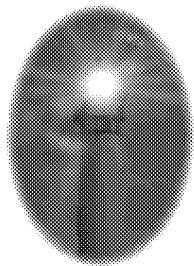
Thanks

All,
I will facilitate the meeting and get as much information as possible. I will open the discussion for additional RIM questions towards the end so if you have questions that you don't hear the answer for please capture them during the meeting and be prepared to ask them when I open the floor.

I may call on you specifically to address WhatsApp and Wickr depending on how the discussion goes.

Thanks,

(b)(6), (b)(7)(C) CBP Chief Records Officer
Records and Information Management Program (RIM)
DHS/CBP/OIT/RIM
(C) (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
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Shine a Light

Suicide Prevention and Awareness

National Suicide Prevention Lifeline
800-273-8255
CBP Employee Assistance Program
800-755-7002



From: (b)(6), (b)(7)(C)

Sent: Tuesday, November 2, 2021 7:39 AM

To: (b)(6), (b)(7)(C)

Cc: (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Subject: Sample Agenda for NARA Letter meeting at 9:15 today

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Regards,

(b)(6), (b)(7)(C)

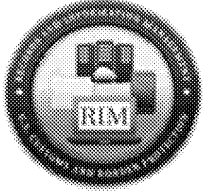
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(b)(6), (b)(7)(C)

MSTeams



Message

From:

(b)(6), (b)(7)(C)

Sent:

11/9/2021 5:41:58 PM

To:

(b)(6), (b)(7)(C)

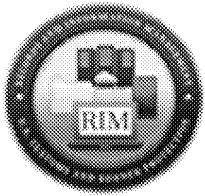
Subject:

RE: NARA Letter Check-in

Looks good to me

(b)(6), (b)(7)(C)

Records Manager
CBP Records Information Management Program (RIM)
MSLIS



From:

(b)(6), (b)(7)(C)

Sent: Tuesday, November 9, 2021 11:59 AM

To:

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Subject: RE: NARA Letter Check-in

Proposed WMB language:

NARA Letter Responsive to OIG Audit 21-62

(b)(6), (b)(7)(C) CBP Chief Records Officer, and (b)(6), (b)(7)(C) DHS CIO and DHS Senior Agency Official for Records Management, received a letter from (b)(6), (b)(7)(C) Chief Records Officer of the U.S. Government regarding CBP's planned deployment of Wickr and use of WhatsApp and possible unauthorized destruction of records as analyzed in OIT Audit "CBP Targeted Americans with the 2018-2019 Migrant Caravan."

The letter requires response within 30 days to include:

- A report documenting the unauthorized disposition
- Assurance that RM regulations are being adhered to
- Assurance that CBP is communicating to all employees that messages are federal records and must be retained as such
- Records Management corrective actions CBP will implement in response to OIG audit
- Any documentation in form of policy, training, approved records schedule and any other mitigating resources

CBP RIM is coordinating with OFO, USBP, and ENTSD to develop the response.

(b)(6), (b)(7)(C)

Project Manager

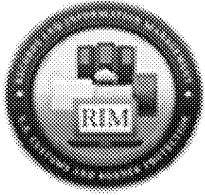
Contact Info: Teams: (b)(6), (b)(7)(C)

Capital Advisors on Technology, LLC

Records and Information Management

OIT | CBP | DHS

[RIM Website](#) | [Email Us](#)



-----Original Appointment-----

From: (b)(6), (b)(7)(C)

Sent: Monday, November 8, 2021 11:10 AM

To: (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Subject: NARA Letter Check-in

When: Tuesday, November 9, 2021 11:00 AM-12:00 PM (UTC-05:00) Eastern Time (US & Canada).

Where: Microsoft Teams Meeting

Microsoft Teams meeting

Join on your computer or mobile app

[Click here to join the meeting](#)

Or call in (audio only)

(b)(6), (b)(7)(C) United States, Arlington

Phone Conference ID: (b)(6), (b)(7)(C)

[Find a local number](#) | [Reset PIN](#)

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Appointment

From:

(b)(6), (b)(7)(C)

Sent:

10/26/2021 10:44:40 PM

To:

CC:

(b)(6), (b)(7)(C)

Subject:

PRIORITY - discuss OIG report on use of WhatsApp and Wickr

Location:

Microsoft Teams Meeting

Start:

10/27/2021 1:30:00 PM

End:

10/27/2021 2:30:00 PM

Show Time As:

Tentative

Importance:

High

Required

(b)(6), (b)(7)(C)

Attendees:

Optional

(b)(6), (b)(7)(C)

Attendees:

NARA sent letter to (b)(6), (b)(7)(C) regarding an OIG report about CBP's use of WhatsApp and Wickr, possible illegal destruction of records, existing policies, and communication to the workforce about the use of such applications. CBP has 30 days to respond. I will provide the memo at time of our discussion.

Microsoft Teams meeting

Join on your computer or mobile app

[Click here to join the meeting](#)

Or call in (audio only)

(b)(6), (b)(7)(C)

United States, Arlington

Phone Conference ID: (b)(6), (b)(7)(C)

[Find a local number](#) | [Reset PIN](#)

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From:
To:

(b)(6), (b)(7)(C)

Cc:

Subject: Questions due noon 12/3/21 - RE: Messaging Apps Policy Working Group
Date: Wednesday, December 1, 2021 5:22:58 PM
Attachments: [NARA Unauth Disp Report Mockup 211130abi.docx](#)
[2021-10-26 UD-2022-0001 DHS-CBP Open Letter-1301-1b.pdf](#)
[image001.png](#)
[image002.png](#)

Hi All,

Per discussion in today's WG session for your awareness I have attached DHS/CBP's draft response to a NARA Letter of Unauthorized Disposal (attached for reference).

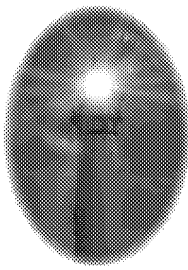
BACKGROUND:

Laurence Brewer Chief Records Officer for the US Government sent a letter (*see attached*) to (b)(6), (b)(7)(C) Chief Information Officer (CIO), DHS Senior Agency Official for Records Management (SAORM), with a cc to (b)(6), (b)(7)(C) DHS Agency Records Officer, and (b)(6), (b)(7)(C) CBP Chief Records Officer (CRO), regarding CBP's planned deployment of Wickr and information that NARA received in the Office of Inspector General (OIG) report, "CBP Targeted Americans with the 2018-2019 Migrant Caravan" (link to the report: [OIG-21-62 - CBP Targeted Americans Associated with the 2018-2019 Migrant Caravan \(dhs.gov\)](#)) regarding the use of WhatsApp and possible unauthorized destruction of records.

The response will be finalized and submitted to NARA from the DHS CIO / DHS RIM office next week. **If you have any questions please let me know by Noon, 12/3/21.**

Thank you,

(b)(6), (b)(7)(C) CBP Chief Records Officer
Records and Information Management Program (RIM)
DHS/CBP/OIT/RIM
(C) (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
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Shine a Light

Suicide Prevention and Awareness

National Suicide Prevention Lifeline
800-273-8255

CBP Employee Assistance Program
800-755-7002



-----Original Appointment-----

From: (b)(6), (b)(7)(C)

Sent: Wednesday, October 20, 2021 3:12 PM

To: (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Cc: (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Subject: Messaging Apps Policy Working Group

When: Wednesday, December 1, 2021 1:30 PM-2:30 PM (UTC-05:00) Eastern Time (US & Canada).

Where: Microsoft Teams Meeting

All,

Following CBP's acquisition of secure messaging services through the award of a contract with Wickr, the Privacy Division will be leading an effort to develop both Privacy Compliance Documentation [Privacy Threshold Analysis (PTA) & Privacy Impact Assessment (PIA)] and a Secure Messaging Platform Policy. I will provide an outline of the PTA and PIA process as well as provide a timeline for completion.

The Privacy Division is requesting all representatives of all operational and support offices involved in the use of Wickr or other secure messaging services come prepared to discuss their offices usage of these tools. In addition, working group members should be prepared to provide their thoughts about potential policy bounds that may be necessary around the usage of the messaging Apps.

Following the meeting, I will send out meeting minutes with due outs as well as a invite for the next meeting. Please forward this invite to anyone you think I may have missed. If you would like to be removed from future messages related to this group, please let me know.

Regards,

(b)(6), (b)(7)(C)

Microsoft Teams meeting

Join on your computer or mobile app

[Click here to join the meeting](#)

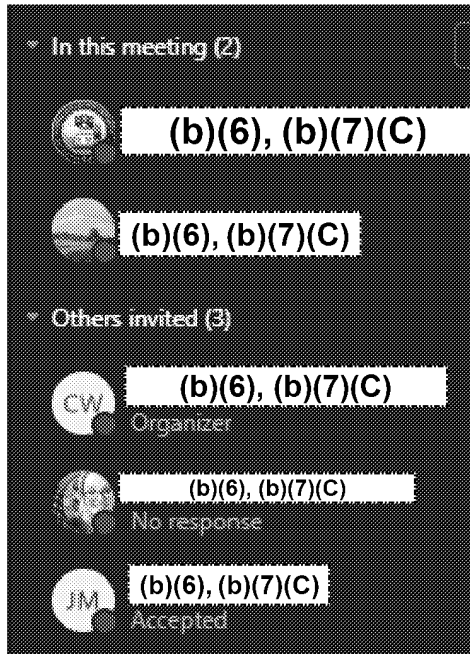
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21-11-10 - (b)(6), (b)(7)(C) Meeting-NARA Letter

Wednesday, November 10, 2021
10:55 AM

<<XD NARA Letter 211110 0906.pptx>>



- (b)(6), (b)(7)(C) - opens meeting and reviews slide 2
- (b)(6), (b)(7)(C) - are we the only agency in this position? Who else uses secure messaging apps? Is CBP being singled out? What about ICE, USCIS, DoD, Dept of State, others? Are we again out in front on this issue?
 - (b)(6), (b)(7)(C) - Yes. It is true that we are at the front. We do not know if any other agencies have solved this problem.
- (b)(6), (b)(7)(C) - Slide 3 review (emphasis on breaking the law) (b)(6), (b)(7)(C) concurs and understands
- (b)(6), (b)(7)(C) - slide 4 review of recommendation 6 - emphasis on the retention schedules...
 - (b)(6), (b)(7)(C) not entirely accurate.... Need these three items in the response
 - 1 replace WhatsApp or make it compliant - capture the records and retain them.
 - 2 are still pursuing Wickr pilot (pros and cons) to include some capture of messages, involves manual intervention and licensing
 - 3 There is PDO established working group to address the messaging issue. References the requirement - need to deal with the external issue with the other partners also using secured messaging
 - (b)(6), (b)(7)(C) agreed; highlights the final report line with the OIG Analysis. CBP RIM focus is on Rec 6 to address NARA Letter
 - (b)(6), (b)(7)(C) Where is Wickr referenced in the OIG Report?
 - CW - Take offline
 - (b)(6), (b)(7)(C) why is NARA leaning to Wickr? Not part of OIG report.

- Why does the OIG response indicate a pilot to replace WhatsApp when CBP did not indicate that in our response.
- [REDACTED] we want to be able to provide NARA with assurances that actions are taking place to address points in the NARA letter
 - Will address
- Slide 5
 - [REDACTED] - Point 1 concerns - no assurances are in place today.
 - Our partners also use WhatsApp to communicate. How do we smoothly indicate that. Mission impact if we turn it off without replacement.
 - [REDACTED] point 2 - we do control and regulate it. But we have not removed it. We have not started capturing messages.
 - [REDACTED] CBP tip of spear again. Others still using it. Want to be careful in our response. We are doing this out of necessity.]
 - [REDACTED] - thank you and re-emphasis on hearing his message.
 - [REDACTED] reference back to the PDO group about the policy going forward. They will decide. The agency is trying to determine the solution to this problem. Uncharted territory. New technologies. Policies not keeping pace.
 - [REDACTED] - this response will go through significant thorough vetting within CBP.
 - [REDACTED] - Wickr not mentioned in CBP response to OIG Report.
 - [REDACTED] - Also did not find it.
 - [REDACTED] - NARA pulled Wickr from somewhere else. Discussed the Wickr implementation in CBP.
 - [REDACTED] - acknowledged. In interest of time.... We ensure our response will correct any misunderstandings about Wickr
 - [REDACTED] - who can we talk to to get response to these?
 - [REDACTED] - how are you going to tell the story? About us following others in using WhatsApp for the mission? CBP did not decide to do this in a vacuum. We acknowledge that records are difficult to capture and not being captured. However there are potentials to make them compliant. Summary - given new dynamic in coms, PDO and CBP is looking at new and updated policies concerning these apps. CBP taking corrective actions. Balance mission with records retention. Given them the context.
 - [REDACTED] - NARA letter is public, CBP response will be public. There will be response.
 - [REDACTED] - "secure messaging applications with partners" Tools our partners use.
 - [REDACTED] - CBP is taking action to prevent going forward.
 - [REDACTED] - CBP is now controlling apps.
 - [REDACTED] - asking for POC to give words and to review response.
 - [REDACTED] - yes - we will give words. Points above and the three points at start of meeting.
 - [REDACTED] - suggest floating response to PDO group. Has all the key players.
 - [REDACTED] - meeting next week - Wednesday. 11/17. 1:00 pm.
 - [REDACTED] - work on a quick slide with response points for the meeting in advance of the words response
 - [REDACTED] - summary - use this deck as presentation
 - [REDACTED] - yes - emphasis that now there is more pressure on the policy side now; CBP response includes the policy side
 - [REDACTED] - summary and addition to the records schedule development
 - [REDACTED] - hole - training on the manual saving of messages today.

- (b)(6), (b)(7)(C) - CSD was going to push this?
 - (b)(6), (b)(7)(C) - yes
 - (b)(6), (b)(7)(C) - where are those steps?
 - (b)(6), (b)(7)(C) - yes I have the draft training j- I will send out. Need to be updated. Great bones.
 - (b)(6), (b)(7)(C) - I will push forward.
- (b)(6), (b)(7)(C) - slide 6 - details of the required response
 - (b)(6), (b)(7)(C) - no way we can provide the answer to these questions. OIG probably could not either and they did the audit. No intentional act. Just the result of the behavior of the secure messaging appl. We are still using the app. We can send out the training to manually save the records. Nothing we can do to retrieve the messages.
 - (b)(6), (b)(7)(C) - we have also asked OFO to USBP to respond to.
 - (b)(6), (b)(7)(C) - Again need to show the PDO so the policy can be written to address so to prevent this. This is what results when we do not have correct policy.
 - PDO - policy, counsel, OFO, USBP, and others
 - (b)(6), (b)(7)(C) - this group grew into this bigger policy need
 - (b)(6), (b)(7)(C) - a group was in place prior to the OIG Audit. CW - was not successful.
 - (b)(6), (b)(7)(C) - text msgs also a sloppy issue in today's world. Again - not just a cbp problem.
 - (b)(6), (b)(7)(C) - agreed. The tip of the iceberg.
 - (b)(6), (b)(7)(C) - "dung along the way"
- (b)(6), (b)(7)(C) - slide 7 - recap and summary
 - (b)(6), (b)(7)(C) - get in front of the PDO
 - (b)(6), (b)(7)(C) - good slide - he summaries the CBP response again
 - Response due 11/21 with a few days extra (b)(6), (b)(7)(C) did not give the date)
 - Internally
 - DHS
 - NARA
 - (b)(6), (b)(7)(C) - will push the training out to address 1 point
 - (b)(6), (b)(7)(C) - should come from Commissioner, not just an OIT problem. (again to cover the three points above at start of meeting)
- (b)(6), (b)(7)(C) - slide 9 - re-emphasizing the law behind this letter.
 - Thank you.
 - (b)(6), (b)(7)(C) - summary:
 - Work on response to NARA
 - Message to everybody about use of WhatsApp
 - Work on policy
- Meeting ends at 11:57 am

[4/4 9:54 AM] (b)(6), (b)(7)(C)

Did you see the article (b)(6), (b)(7)(C) send? Painful.

[4/4 9:54 AM] (b)(6), (b)(7)(C)

"CBP, like ICE and other agencies DHS oversees, has an abysmal track record when it comes to complying with record-keeping laws," said Nikhel Sus, senior counsel for Citizens for Responsibility and Ethics in Washington (CREW), a nonprofit watchdog group, in a statement.

[4/4 9:59 AM] (b)(6), (b)(7)(C)

Why are we making this more mysterious than it needs to be?

[4/4 9:59 AM] (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) said that Customs and Border Protection's contracts are for use of the Enterprise version of Wickr, which is designed for business communications, and allows for organizations to appoint administrators who can control messaging settings on the platform, including those regarding deletion. Theoretically, this feature could give CBP more control over how individual employees use Wickr, and prevent records from being scrapped, but the details of how the agency is using Wickr remain unclear, and (b)(6), (b)(7)(C) declined to specify them."

[4/4 10:13 AM] (b)(6), (b)(7)(C)

I spent the weekend on this article. would like to chat about it today

[4/4 10:35 AM] (b)(6), (b)(7)(C)

can you chat

[4/4 10:35 AM] (b)(6), (b)(7)(C)

yep

[4/4 12:28 PM] (b)(6), (b)(7)(C)

I just got pulled into a mtg with leadership on the news article... I don't anticipate any further inquiries today. 😊

like 1

Conversation with (b)(6), (b)(7)(C)

Post by (b)(6), (b)(7)(C) Feb 9, 2022

2/9 4:15 PM

cool. Sounds like we shouldn't be using Wickr. Just put the money into Telemessage and not bother with the Enterprise version of Wickr

(b)(6), (b)(7)(C) 2/9 4:45 PM

Sounds like Wickr folks are expanding the possibilities. Makes sense actually, but the security implications sa significant seem to be barrier.

[11/8/21 10:59 AM]

11/8/21 10:59 AM Meeting started

[11/8/21 11:21 AM] (b)(6), (b)(7)(C)

"Short Message Service (SMS) and Multimedia Messaging Service (MMS) are not used to process, store, or transmit sensitive information, unless they are protected by appropriate FIPS 140-2 validated encryption mechanisms and approved by the appropriate AO."

[11/8/21 11:23 AM] (b)(6), (b)(7)(C)

I'll add the 1400 to the TEAMS site, it does have my markups, so pardon the mess

[11/8/21 12:59 PM] (b)(6), (b)(7)(C)

technically I don't believe Whatsapp and Wickr are SMS or MMS services, so not sure this specifically applies to them

Discuss CBP RIM Action Plan to address NARA letter-part 2

[10/28/21 11:31 AM] (b)(6), (b)(7)(C)

Wickr

[10/28/21 11:37 AM] (b)(6), (b)(7)(C)

The Federal Records Act requires all Federal Agencies retain records for a period of time authorized by the NARA-approved records retention schedules. Use of WhatsApp and

Wickr have resulted in the unauthorize destruction of Federal records before the approved retention period.

[10/28/21 11:39 AM] (b)(6), (b)(7)(C)

The Federal Records Act requires all federal agencies retain records for periods of time authorized by NARA-Approved records retention schedules. Because WhatsApp and Wickr do not retain messages consistent with NARA-approved retention schedules, their use violated this the Federal Records ACT and CBP and DHS policy. This resulted in illegal and Unauthorized Destruction of important federal records.

w/attachments - PRIORITY - discuss OIG report on use of WhatsApp and Wickr

[10/27/21 11:02 AM] (b)(6), (b)(7)(C)

FYSA and ACTION – Please send to all OIT XDs, CTO and Division Directors through your Taskings process

(b)(6), (b)(7)(C)

- You have lead action to respond from records management (b)(6), (b)(7)(C)
- Please work with XD (b)(6), (b)(7)(C) and Team, who are developing an overall WhatsApp//Wickr solution as an interim state (may include a grandfather clause for a while) and final transition state. This memo should be sent to the parties affected in CBP and should include RIM considerations. [ENTSD]
- The rest of the Apps for Records Management should be tracked with XDs (b)(6), (b)(7)(C) + XDs]
- It should also be briefed at OIT staff and ITGC as a news/action item underway. [CTO]

[10/27/21 11:03 AM] (b)(6), (b)(7)(C)

???

[10/27/21 11:04 AM] (b)(6), (b)(7)(C)

Part of our planning. We're still on the meeting.

(b)(6), (b)(7)(C) 9/30/21 9:57 AM

yes. i just changed wickr to start at 10am

CBP Records & Information Management (RIM) – Week of 5/16/2022

RIM Initiative Progress

NARA Unauthorized Disposition Letter Responsive to OIG Audit 21-62

(b)(6), (b)(7)(C) CBP Chief Records Officer, and (b)(6), (b)(7)(C) DHS CIO and DHS Senior Agency Official for Records Management, received a letter from Laurence Brewer, Chief Records Officer of the U.S. Government regarding CBP's planned deployment of Wickr and use of WhatsApp and possible unauthorized destruction of records as referenced in OIT Audit "CBP Targeted Americans with the 2018-2019 Migrant Caravan."

CBP RIM submitted an unauthorized disposition report and corrective actions to DHS, who submitted the report to NARA 12/15 in response to the letter. CBP RIM received response from NARA on 2/18/2022 and will need to provide quarterly updates on our progress.

- Complied current status on corrective actions for review by OIT next week. First status is due to NARA by June 1 (sent from DHS).

Capstone Email Management Archive 360 Implementation:

The CBP RIM Team and the Capstone IPT are working together to implement records management in Archive 360 for all CBP emails. The retention for CBP email is based on the role of the sender/receiver within the agency instead of the subject of the email. Capstone Officials (CBP has 60 Capstone Officials) email will be considered permanent. All other CBP employee and contractor email is temporary.

- Met with members of the IPT to discuss new dataset that needed to be imported into A360 and how that might affect timeline for Capstone implementation. We will implement the Capstone users in two phases – one with tenure dates ending before 11/2018 and the second for all tenure ending after that date. The second phase will happen after the new dataset is migrated and indexed in A360 which will most likely be in Q4 FY22.
- Continued implementation discussions with the eDiscovery team. Completed Phase 1 officials whose tenure ended through 2015 (62% Phase 1 Complete). Due to higher priority items, the Phase 1 list will not be complete by 5/11/22. New target date is 5/23/22.
- Coordinated with Chief of Staff's office in the Office of Commissioner to get responses for the Capstone historical list
- Met with OIT on potential transfer methods for permanent records to go to NARA, will need to follow up with NARA on some questions about their preferred method of transfer

Messaging Applications Policy and Schedule

- Messaging Schedule 234 form was approved by Privacy, OCC, Business Owner and the LRIM and has been submitted for NARA review. Set meeting with Archivist for 5/16 to address latest questions.

USCIS/CBP RIM Coordination

CBP RIM is responsible for managing the USCIS SLA and associated services that USCIS provides to CBP concerning immigration file (A-file) processes. This requires coordination between USCIS, CBP A-file user community, and CBP RIM to ensure the effective management USCIS SLA and supporting initiatives such as:

USCIS SLA / Invoice Review and Support:

- CBP RIM continues to identify the correct CBP points of contact in the mission offices to assist when questions are raised by USCIS.
- CBP RIM is reviewing the current USCIS SLA to determine which services are currently being performed versus what items are not currently performed.

Review of USCIS Records Policy Manual (RPM):

- CBP RIM continues to participate in the USCIS RPM refresh working group to keep informed on the services provided by the USCIS SLA. CBP RIM is also working to identify CBP subject matter experts to assist in reviews of the manual.
- CBP provided feedback on two sections under review for May.

Southwest Border (SWB) Support Records Management Discussion:

- CBP mission representatives continue to participate in the USCIS review to identify the Digitized A-file list of forms for the SWB Pilot.
- CBP RIM continues to research the CBP forms that will require CBP records schedules.

Digital Immigration Processing/Digital A-file Services MVP project:

- CBP RIM continues to attend weekly status updates.

Information Quality Act- CBP Compliance- Chief Records Officer:

Implementing CBP Information Quality Act compliance has been informally delegated to the Chief Records Officer.

- Completed initial draft of CBP's Information Quality Directive based on DHS Information Quality Directive (DHS 139-02) and Instruction (139-02-001). CRO review of draft completed September 20th.
- Completed IQ Working Group Charter discussion draft.
- Next IQ actions include:
 - Draft Directive review with DHS IQ Official
 - Convene IQ IPT to review and comment on proposed IQ Directive
- IQ Working Group Charter discussion draft completed and reviewed by CRO.
- CRO will brief Director, Strategic Vision and Planning, CISM and seek guidance on next steps to establish a CBP Information Quality Program appropriately aligned with CBP OIT Data Strategy Initiative.
- IQ Initiative on hold awaiting firm OIT Leadership guidance.

Electronic Records Management (ERM)

Electronic Records Management Program:

- Program Plan
 - The goals of the ERM Program Plan are:
 - Address the gaps found in the 2018 NARA Inspection Report
 - Fully integrate RIM into the design, development, and implementation of new systems
 - Bring existing systems to full compliance with the Federal Records Act
 - Support adequate management of electronic messages

- Provide recommendations to prepare CBP for implementation of a records management application
 - Program Plan was approved on 4/6/21
- Product Activities
 - Submitted Electronic Information System (EIS) Minimum RIM Requirements to external stakeholders from JICMS, HRBE, and BECN for review and feedback. When finalized, these requirements will be the foundation for a RIM Certification and EIS RIM Survey
 - RIM Certification and Survey will close NARA Inspection Report Recommendations 4.1 and 4.2
 - **NARA Inspection Recommendation 4.1:** *The CBP must update and implement its policies and procedures for IT management and systems development to include records management in the design, development, and implementation of EIS. (36 CFR 1220.34(e), 36 CFR 1236.6(b), 36 CFR 1236.10 and OMB Circular A-130)*
 - **NARA Inspection Recommendation 4.2:** *The CBP OIT must maintain and make available to CBP RIG staff up-to-date documentation about EIS that specifies all technical characteristics necessary for reading and processing records contained in systems, defines the contents of the files and records, indicates restrictions on access and use, describes update cycles or conditions and rules for adding, changing, or deleting information in the system, and contains authorized disposition authorities. (36 CFR 1220.34(e) and 36 CFR 1236.26(b))*
 - Continued developing draft version of the RIM Certification procedures
 - Discussed CIO office comments on survey and made updates to survey. Removed “retrofit” questions and will address those on follow-up with system owners after the survey. Scheduled review meeting with CIO Office rep next week.
 - Created draft of briefing deck for the RIM integration points within the development process per CRO request
 - Continued development of Product 5 – Electronic Records Storage RIM Technical Guidance. Continued research on current CBP guidance and other agency approaches.
- Systems Inventory
 - Planning Review and update of inventory to scheduling initiatives to finalize data.
 - **NARA Inspection Recommendation 9:** *The CBP RIG program must conduct regular inventories of existing electronic and non-electronic records to identify scheduled, unscheduled, and vital records. (36 C.F.R. 1223.14, 36 C.F.R. 1224.10 and 36 C.F.R. 1225.12)*
 - System inventory tracking tool is being updated with basic scheduling information in the system scheduling section of the tracker
 - Updated the master system inventory to reflect 2 system change per emails from (b)(6), (b)(7)(C)
 - Updating the formal system inventory SOP

Records Retention Analyses

CBP RIM continues to systematically review Privacy Threshold Analyses to provide records retention guidance, while working to develop or ensure coverage with existing National Archives and Records Administration (NARA) approved records retention schedules for all CBP’s records, especially CBP’s IT systems.

<u>Date</u>	<u>Description</u>	<u>CBP Offices Involved</u>	<u>Systems / Areas Included</u>
<u>5/12/2022</u>	Retention of Non-USC Encounter Photos – CBP RIM met with OFO to discuss how long and where photos of Non-U.S. Citizens are retained within the TVS system. The purpose of this discussion was to establish a schedule for these records.	OFO	TVS

Training

Training Program Plan:

- Approved by Chief Records Officer 09/2021

RAE Training:

- Training Product Plan being revised based on new training content and program direction
- Training Materials (Intro Deck & Intermediate Deck) under development
- Developing additional resource content including a wiki and community resource page using MS Teams
- Review of RAE training project plan to address numbers and types of training materials
- Review of materials to address other training areas where there might be overlap

LRIM Training:

- Continuing review/revision of LRIM Training deck through review with Records Management Working Group
- Reviewed content ensuring all previous edits and comments from previous RMWG Monthly Meetings were addressed
- Updated notes to ensure all proposed edits and changes will be addressed in the final LRIM deck update
- Potential for expansion of LRIM Training with other training content / opportunities

RIM 101:

- Two Quarterly RIM 101 sessions held the week of November 29th, 2021
- Two Quarterly RIM 101 sessions held the week of February 21, 2022
- Review of RIM 101 on a quarterly cycle

Needs Assessment:

- Needs Assessment will engage members of the CBP RIM community to better understand their training needs. What areas do they need more information? What information do they wish they would have had when they joined the RIM community? How can we prepare them to address the challenges and benefit from the opportunities they face? We will use the data from the Needs Assessment to plan, create, and deploy trainings, jobs aids, and content.
 - Needs Assessment Product Plan in draft
 - Adding timeline out outline for survey/questionnaire, panel discussions/interviews, and MS Teams pages

- Needs Assessment Product Plan ready for CRO review

SES On-and Off-boarding Materials:

- Reviewed and revised Senior Leadership brochure and offboarding deck and processes to ensure currency and comprehensiveness
- Contacted on- and off-boarding POCs to update content and process
- Continued project development- training needs and timelines
- Brochure update and training deck updated
- Links & updated content provided to external POC
- Updated external facing website for RIM community access

Separating Employees:

- Created short training deck by request of CRO for separating employees
- Separating employees training deck has been reviewed and approved
- Researched and reviewed DHS CBP Forms 141-02, 242, Legacy Forms website, new e-Forms website, and the internal On & Offboard SOP

RMWG Monthly Breakout Sessions:

- Developed and shared Breakout Session plan with RMWG and will begin to schedule trainings
- Multiple meetings with presenters and team to discuss topics, dates, planning, etc.
- 2 File Plans Breakout sessions week of March 29
- 2 Scheduling Breakout sessions week of April 25
- Scheduling future sessions:
 - 1 in May
 - 2 in June
- Updated schedule and calendar based on changes to breakout session offerings
- Meetings to review content which will be presented in breakout sessions

Records Custodian Curriculum Project:

- Reviewing NARA videos for potential leverage and reference
- Assisted community member with curriculum plan for their Component Office

Iron Mountain - Transition of Off-Site Records Storage

The CBP Records and Information Management (RIM) Team made the following progress toward Iron Mountain Transition completion:

Planning:

- NARA FRCs are now open with no occupancy limits and are working to reduce backlogs. CBP RIM is in discussions with the NARA Program Manager to determine schedules for moving CBP inventory based on FRC staff workloads. NARA has provided CBP with a notional FRC move schedule so CBP can begin planning for moving records to Iron Mountain.
- CBP RIM is reviewed inventory holdings in depth to determine records to be moved to Iron Mountain.
- Iron Mountain staff BI security packages are still in progress. 6 of 7 locations now have CBP-cleared staff to accept CBP records. Three locations also have cleared drivers to transport records.
- The team continues to coordinate with NARA personnel to plan the logistics for the physical transfer of CBP records from 15 NARA Federal Records Centers to 7 NARA certified Iron Mountain facilities.

- Detailed planning is moving forward for the NARA Federal Records Center in Pittsfield to move CBP records within the next few weeks. The final move list is being reviewed to ingest the metadata into the IMConnect tool. The move is scheduled to start May 26th.
- The team continues research to identify Disposition Authorities and Disposition Dates for 4,271 boxes of records that are currently unscheduled in the NARA FRCs. Resolution of these unscheduled records will allow CBP to reduce costs for storage in the NARA FRCs and consolidate our remaining holdings as we move to Iron Mountain.

Iron Mountain Initial Pilot:

- CBP RIM facilitated Iron Mountain Connect training for the Office of Field Operation LAX field office.
- CBP RIM continues to engage in conversation with component offices needing to move inventory to off-site storage facilities.

CBP RIM Component Office Evaluation Program

CBP RIM annually evaluates the maturity of CBP's 30 Component Office RIM Programs via a progressively comprehensive set of evaluation questions to ensure compliance with the Federal Records Act, implementing regulations, and other Federal RIM guidance and memoranda.

FY21 Evaluation:

- For FY21 **29** Component Offices submitted their Evaluation answers, and **27** fully completed the tasker.
- CBP RIM distributed FY21 Component Office Maturity Report Scorecards and Maturity Reports to all 30 Component Offices 12/30.
- CBP RIM continues developing the CBP-Wide Maturity Report, which will be briefed up through senior leadership after finalized.

CBP RIM File Plans

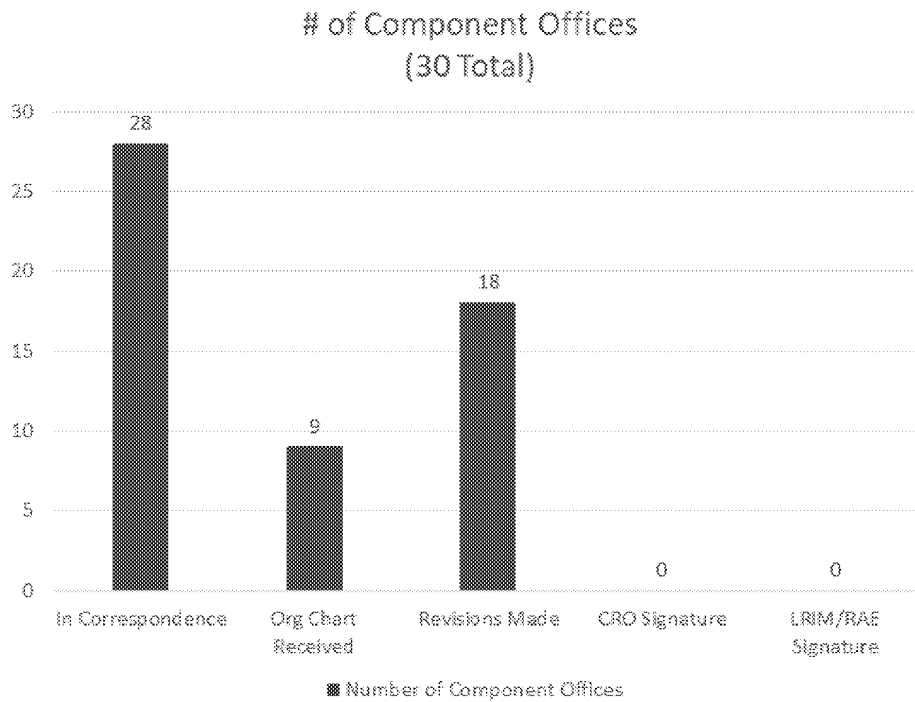
The 30 Component Offices are responsible for updating their File Plans annually in coordination with CBP Records and Information Management to ensure their File Plans are a current, complete picture of the records created and managed within the Component Office; providing retention instructions for their records covered by existing retention schedules and identifying records that need new retention schedules drafted to comply with the Federal Records Act.

FY22 Annual File Plan Review:

- CBP RIM completed updates to the 30 Component Office File Plans and converted them into FY22 File Plan Drafts.
 - CBP RIM staff incorporated NARA Transmittal 32 GRS updates to the already disseminated Draft File Plans.
 - The newly created record series have been sent out to LRIMs/RAEs for review and possible inclusion in their File Plan updates.
 - CBP RIM revised the Draft Component Office File Plans to reflect updates to existing record series.
- The FY22 File Plan Review tasker was disseminated to CBP Component Offices March 31 with a suspense date of April 27.
 - ES OACT, ES OA, ES HRM, ES OP, OC PDO, OC IPL, OC OPA, OS INA, OS LESC, M OFO, OC POL, OS OI, OC OCA, M AMO, ES OFAM, ES FO, CBP Watch, and OS LSSD

submitted their Draft FY22 File Plan submission. CBP RIM is currently reviewing, and had reached out to LRIMS regarding corrections, errors, and/or missing content.

- Met with OS OI to discuss reformatting their File Plan in response to changes in their organizational structure
- Met with OPR to discuss continuous improvement changes to the FY22 File Plan
- 6 Component Offices that have not submitted their initial draft requested tasker extensions.
- 2 Component Offices have not reached out to CBP RIM in response to the FY22 File Plan Tasker.



Message

From: (b)(6), (b)(7)(C)
Sent: 4/20/2022 12:39:19 PM
To: (b)(6), (b)(7)(C)
CC: (b)(6), (b)(7)(C)
Subject: RE: FOR FED REVIEW: WMB for last week

Hi (b)(6), (b)(7)(C)

I have no issues with the report. I will send it to OITWMB with your concurrence.

Regards,

(b)(6), (b)(7)(C)

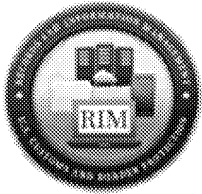
Records and Information Management Program (RIM)

DHS/CBP/OIT/RIM

[RIM Website](#) | [Request RIM Service](#) | [Email Us](#)

(b)(6), (b)(7)(C)

MSTeams



From: (b)(6), (b)(7)(C)
Sent: Tuesday, April 19, 2022 5:05 PM
To: (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
Cc: (b)(6), (b)(7)(C)
Subject: FOR FED REVIEW: WMB for last week

Please see below for CBP RIM input for WMB, word doc is [here](#):

CBP Records & Information Management (RIM) – Week of 4/11/2022

RIM Initiative Progress

NARA Unauthorized Disposition Letter Responsive to OIG Audit 21-62

(b)(6), (b)(7)(C) CBP Chief Records Officer, and (b)(6), (b)(7)(C) DHS CIO and DHS Senior Agency Official for Records Management, received a letter from (b)(6), (b)(7)(C) Chief Records Officer of the U.S. Government regarding CBP's

planned deployment of Wickr and use of WhatsApp and possible unauthorized destruction of records as referenced in OIT Audit "CBP Targeted Americans with the 2018-2019 Migrant Caravan."

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Capstone Email Management Archive 360 Implementation:

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- Met with members of the IPT to discuss new dataset that needed to be imported into A360 and how that might affect timeline for Capstone implementation. We will implement the Capstone users in two phases – one with tenure dates ending before 11/2018 and the second for all tenure ending after that date. The second phase will happen after the new dataset is migrated and indexed in A360 which will most likely be in Q4 FY22.
- Continued implementation discussions with the eDiscovery team. Completed Phase 1 officials whose tenure ended through 2008. Current plan is to have Phase 1 searches completed by 5/11/22.
- Sent new tasker for update of the Capstone Historical list due 4/22. Corresponded with offices as needed.

Messaging Applications Policy and Schedule

- Messaging Schedule 234 form was approved by Privacy, OCC, Business Owner and the LRIM and has been submitted for NARA review.
- Received comments from OCC on the latest draft of the AC communication memo, will be doing an internal review next week.

USCIS/CBP RIM Coordination

CBP RIM is responsible for managing the USCIS SLA and associated services that USCIS provides to CBP concerning immigration file (A-file) processes. This requires coordination between USCIS, CBP A-file user community, and CBP RIM to ensure the effective management USCIS SLA and supporting initiatives such as:

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Review of USCIS Records Policy Manual (RPM):

- CBP RIM continues to participate in the USCIS RPM refresh working group to keep informed on the services provided by the USCIS SLA. CBP RIM is also working to identify CBP subject matter experts to assist in reviews of the manual.
- CBP RIM is working with USCIS to communicate the new 100 Million Series A-Numbers policy update to the CBP A-file user community.
- CBP RIM is coordinating with CBP POCs to provide requested USEC and UIP training materials to USCIS Training Team for internal USCIS training needs.

Southwest Border (SWB) Support Records Management Discussion:

- CBP mission representatives continue to participate in the USCIS review to identify the Digitized A-file list of forms for the SWB Pilot.
- CBP RIM continues to research the CBP forms that will require CBP records schedules.

Digital Immigration Processing/Digital A-file Services MVP project:

- CBP RIM continues to attend weekly status updates

Information Quality Act- CBP Compliance- Chief Records Officer:

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 - Submitted Electronic Information System (EIS) Minimum RIM Requirements to external stakeholders from JICMS, HRBE, and BECN for review and feedback. When finalized, these requirements will be the foundation for a RIM Certification and EIS RIM Survey
 - RIM Certification and Survey will close NARA Inspection Report Recommendations 4.1 and 4.2
 - **NARA Inspection Recommendation 4.1:** *The CBP must update and implement its policies and procedures for IT management and systems development to include records management in the design, development, and implementation of EIS. (36 CFR 1220.34(e), 36 CFR 1236.6(b), 36 CFR 1236.10 and OMB Circular A-130)*
 - **NARA Inspection Recommendation 4.2:** *The CBP OIT must maintain and make available to CBP RIG staff up-to-date documentation about EIS that specifies all technical characteristics necessary for reading and processing records contained in systems, defines the contents of the files and records, indicates restrictions on access and use, describes update cycles or conditions and rules for adding, changing, or deleting information in the system, and contains authorized disposition authorities. (36 CFR 1220.34(e) and 36 CFR 1236.26(b))*
 - Started new draft version of the RIM Certification procedures
 - Completed review of survey questions and guidance with CRO. Sent questions for external review to contact in the CIO office for feedback.
 - Continued work on communication messaging for the survey including the start of a slide deck for executive awareness
 - Continued internal review of the Digitization guide.
 - Initiated development of Product 5 – Electronic Records Storage RIM Technical Guidance. Continued research on current CBP guidance and other agency approaches.
- Systems Inventory
 - Planning Review and update of inventory to scheduling initiatives to finalize data.
 - **NARA Inspection Recommendation 9:** *The CBP RIG program must conduct regular inventories of existing electronic and non-electronic records to identify scheduled, unscheduled, and vital records. (36 C.F.R. 1223.14, 36 C.F.R. 1224.10 and 36 C.F.R. 1225.12)*
 - System inventory tracking tool is being updated with basic scheduling information in the system scheduling section of the tracker
 - 3 courtesy emails from Donald Cornell regarding system changes
 - Updating the system inventory SOP and maintenance instructions

Records Retention Analyses

CBP RIM continues to systematically review Privacy Threshold Analyses to provide records retention guidance, while working to develop or ensure coverage with existing National Archives and Records Administration (NARA) approved records retention schedules for all CBP's records, especially CBP's IT systems.

<u>Date</u>	<u>Description</u>	<u>CBP Offices Involved</u>	<u>Systems / Areas Included</u>
<u>4/15/2022</u>	Scanning Hardcopy Files to PDF – CBP RIM met with OCC to address questions that they have been receiving from the field about the digitization of paper records. The purpose of this discussion was to explain digitization and establish next steps as to how these types of requests should be handled in the future.	Office of Chief Counsel	N/A

Training

Training Program Plan:

- Approved by Chief Records Officer 09/2021

RAE Training:

- Training Product Plan being revised based on new training content and program direction
- Training Materials (Intro Deck & Intermediate Deck) under development
- Developing additional resource content including a wiki and community resource page using MS Teams

LRIM Training:

- Continuing review/revision of LRIM Training deck through review with Records Management Working Group
- Reviewed content ensuring all previous edits and comments from previous RMWG Monthly Meetings were addressed
- Updated notes to ensure all proposed edits and changes will be addressed in the final LRIM deck update

RIM 101:

- Held 2 Quarterly RIM 101 sessions week of November 29th, 2021.
- Two Quarterly RIM 101 sessions held the week of February 21, 2022.

Needs Assessment:

- Needs Assessment will engage members of the CBP RIM community to better understand their training needs. What areas do they need more information? What information do they wish they would have had when they joined the RIM community? How can we prepare them to address the challenges and benefit from the opportunities they face? We will use the data from the Needs Assessment to plan, create, and deploy trainings, jobs aids, and content.
 - Needs Assessment Product Plan in draft
 - Adding timeline out outline for survey/questionnaire, panel discussions/interviews, and MS Teams pages

SES On-and Off-boarding Materials:

- Reviewed and revised Senior Leadership brochure and offboarding deck and processes to ensure currency and comprehensiveness
- Contacted on- and off-boarding POCs to update content and process
- Continued project development- training needs and timelines
- Brochure update and training deck updated
- Links & updated content provided to external POC

Separating Employees:

- Created short training deck by request of CRO for separating employees

- Separating employees training deck has been reviewed and approved
- Researched and reviewed DHS CBP Forms 141-02, 242, Legacy Forms website, new e-Forms website, and the internal On & Offboard SOP

RMWG Monthly Breakout Sessions

- Developed and shared Breakout Session plan with RMWG and will begin to schedule trainings
- Multiple meetings with presenters and team to discuss topics, dates, planning, etc.
- File Plans Breakout sessions week of March 29
 - Training Material
 - Attendance Report
- Scheduling future sessions.
 - 1 in April
 - 1 in May
 - 2 in June
- Updated schedule and calendar based on changes to breakout session offerings

Records Custodian Curriculum Project:

- Reviewing NARA videos for potential leverage and reference
- Assisted community member with curriculum plan for their Component Office

Iron Mountain - Transition of Off-Site Records Storage

The CBP Records and Information Management (RIM) Team made the following progress toward Iron Mountain Transition completion:

Planning:

- FRCs are now open with no occupancy limits and are working to reduce backlogs. CBP RIM is in discussions with the NARA Program Manager to determine schedules for moving CBP inventory based on FRC staff workloads. NARA has provided CBP with a notional FRC move schedule so CBP can begin planning for moving records to Iron Mountain.
- Iron Mountain staff BI security packages are still in progress. Five locations now have CBP-cleared staff to accept CBP records. Three locations also have cleared drivers to transport records.
- The team continues to coordinate with NARA personnel to plan the logistics for the physical transfer of CBP records from 15 NARA Federal Records Centers to 7 NARA certified Iron Mountain facilities. Detailed planning is moving forward for the NARA Federal Records Center in Pittsfield to move CBP records within the next quarter.
- The team has begun research to identify Disposition Authorities and Disposition Dates for 4,271 boxes of records that are currently unscheduled in the NARA FRCs. Resolution of these unscheduled records will allow CBP to reduce costs for storage in the NARA FRCs and consolidate our remaining holdings as we move to Iron Mountain.

Iron Mountain Initial Pilot:

- CBP RIM met with Component offices on Iron Mountain connect off-site storage initiative and began Iron Mountain Connect user profiles set up
 - OFO Miami
 - OFO Los Angeles (LAX)

CBP RIM Component Office Evaluation Program

CBP RIM annually evaluates the maturity of CBP's 30 Component Office RIM Programs via a progressively comprehensive set of evaluation questions to ensure compliance with the Federal Records Act, implementing regulations, and other Federal RIM guidance and memoranda.

FY21 Evaluation:

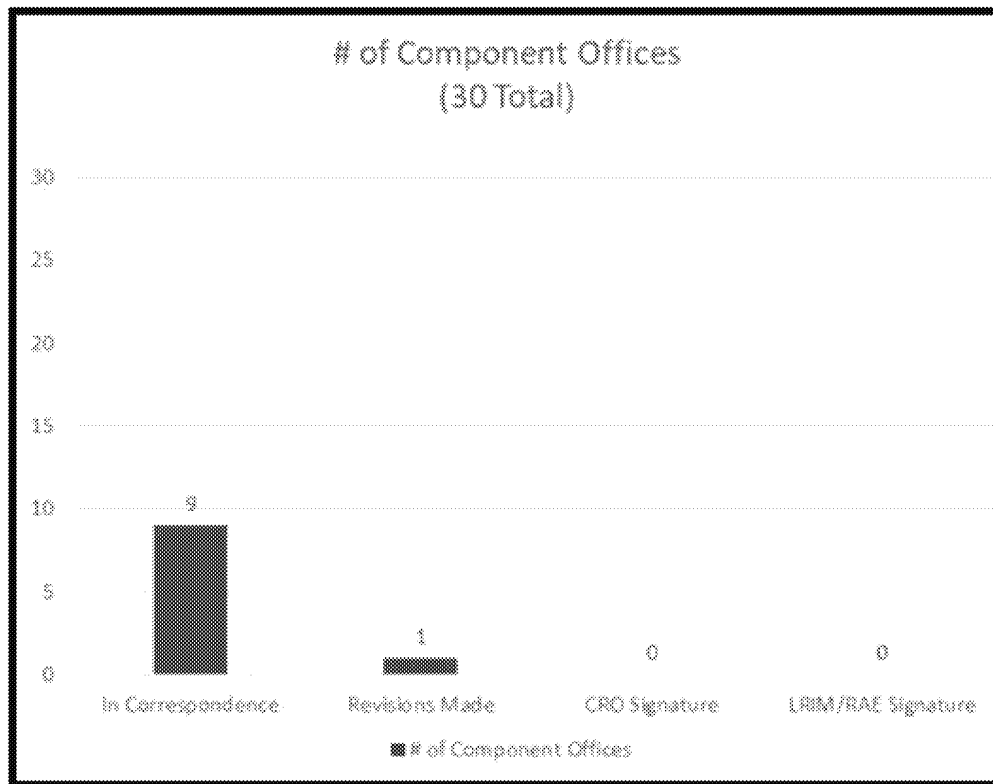
- For FY21 **29** Component Offices submitted their Evaluation answers, and **27** fully completed the tasker
- CBP RIM distributed FY21 Component Office Maturity Report Scorecards and Maturity Reports to all 30 Component Offices 12/30.
- CBP RIM continues developing the CBP-Wide Maturity Report, which will be briefed up through senior leadership after finalized.

CBP RIM File Plans

The 30 Component Offices are responsible for updating their File Plans annually in coordination with CBP Records and Information Management to ensure their File Plans are a current, complete picture of the records created and managed within the Component Office; providing retention instructions for their records covered by existing retention schedules and identifying records that need new retention schedules drafted to comply with the Federal Records Act.

FY22 Annual File Plan Review:

- CBP RIM completed updates to the 30 Component Office File Plans and converted them into FY22 File Plan Drafts.
 - CBP RIM staff is incorporating NARA Transmittal 32 GRS updates to the already disseminated Draft File Plans.
 - The newly created record series have been sent out to LRIMs/RAEs for review and possible inclusion in their File Plan updates.
 - CBP RIM is revising the Draft Component Office File Plans to reflect updates to existing record series.
- The FY22 File Plan Review tasker was disseminated to CBP Component Offices March 31 with a suspense date of April 27.
 - OC PDO submitted their Draft FY22 File Plan submission. CBP RIM is currently reviewing.



(b)(6), (b)(7)(C)

Project Manager

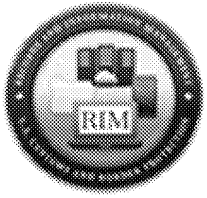
Contact Info: Teams- (b)(6), (b)(7)(C)

Capital Advisors on Technology, LLC

Records and Information Management

OIT | CBP | DHS

[RIM Website](#) | [Email Us](#)



Message

From:

(b)(6), (b)(7)(C)

Sent:

4/21/2022 7:55:32 PM

To:

(b)(6), (b)(7)(C)

CC:

Subject:

request by 4/27 to allow for AC approval - WhatsApp / Wickr remediation status due to NARA -

Attachments:

040522 v1 status - CBP Secure Messaging Update.docx

Hi XD (b)(6), (b)(7)(C)

Attached is the WhatsApp/Wickr remediation status that was provided by DAC (b)(6), (b)(7)(C) to DIO (b)(6), (b)(7)(C) a few weeks back. Will you please provide updated status within the attached document by 4/27/22? I will brief this to (b)(6), (b)(7)(C) and then AC Bhagowalia before submitting to DHS. DHS will submit the final status document to NARA by their 6/1/22 deadline. Please let me know if you have any questions, would like to meet and discuss, or if there are others that I should also get updates from?

Thanks,

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) CBP Chief Records Officer

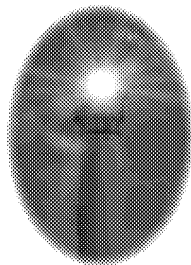
CBP Records and Information Management Program (RIM)

DHS/CBP/OIT/RIM

(C) (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

[RIM Website](#) | [Email Us](#)



Shine a Light

Suicide Prevention and Awareness

National Suicide Prevention Lifeline

800-273-8255

CBP Employee Assistance Program

800-755-7002



Message

From: (b)(6), (b)(7)(C)
Sent: 10/28/2021 7:36:03 PM
To: (b)(6), (b)(7)(C)
Subject: RE: Already went to (b)(6), (b)(7)(C) - FW: Allegation of Unauthorized Disposition

Good afternoon (b)(6), (b)(7)(C)

What are the current NARA approved retention schedules? Is it 10 years?

Thanks

(b)(6), (b)(7)(C) PMP
Director, Mobility and Collaboration Branch (MCB)
DHS | CBP | ES | OIT | ENTSD
Work: (b)(6), (b)(7)(C)
Mobile: (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)

From: (b)(6), (b)(7)(C)
Sent: Tuesday, October 26, 2021 8:52 PM
To: (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
Subject: Fwd: Already went to (b)(6), (b)(7)(C) - FW: Allegation of Unauthorized Disposition

OMG. Does it ever end.

(b)(6), (b)(7)(C)
Executive Director, Field Support
U.S. Customs and Border Protection
Department of Homeland Security
(b)(6), (b)(7)(C) (desk)
(b)(6), (b)(7)(C) (cell)
(b)(6), (b)(7)(C)

To schedule an appointment, please contact (b)(6), (b)(7)(C)

From: (b)(6), (b)(7)(C)
Sent: Tuesday, October 26, 2021 6:50:37 PM

To: (b)(6), (b)(7)(C)
Subject: FW: Already went to (b)(6), (b)(7)(C) - FW: Allegation of Unauthorized Disposition

FYSA

From: (b)(6), (b)(7)(C)
Sent: Tuesday, October 26, 2021 5:39 PM
To: (b)(6), (b)(7)(C)
Cc: (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
Subject: Already went to (b)(6), (b)(7)(C) - FW: Allegation of Unauthorized Disposition
Importance: High

AC and aDAC,

The attached memo was sent from NARA directly to (b)(6), (b)(7)(C) a within the last hour. It is concerning an OIG Audit report, "CBP Targeted Americans with the 2018-2019 Migrant Caravan," that the Customs and Border Protection (CBP) has been using the messaging software **WhatsApp** and is deploying the encrypted messaging application **Wickr** across all components of the agency. The message from NARA to (b)(6), (b)(7)(C) is to ensure that records management regulations are being adhered to. NARA wants to ensure that the CBP is regulating the use of these messaging applications consistent with NARA's and the Department's records management policies and to ensure that CBP is communicating to all employees that they cannot use these applications to circumvent their records management responsibilities and that all employees are aware that they must be retaining all messages that are federal records in accordance with agency policy and all applicable NARA-approved records schedules.

Current status with regard to CBP RIM:

Over the past few months, CBP RIM has been working with others in OIT to identify the various communication platforms (see attached power point) to include, on slides 2 & 3 **WhatsApp** and **Wickr**.

Next Steps:

With your concurrence, I can take the lead on pulling CBP / OIT's response together for this (***In accordance with 36 CFR Part 1230.14, CBP must respond to this letter within 30 days with a report documenting the unauthorized disposition of the federal records that were identified in the OIG report.***) I will coordinate with (b)(6), (b)(7)(C) the audit team, USBP, and others as needed to obtain and compile a full response, to include if necessary any unauthorized disposition, vet it through leadership for approval and work through the DHS Records Management team to ensure it is provided back to NARA within the deadline.

(b)(6), (b)(7)(C)

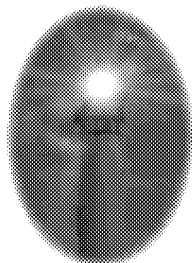
(b)(6), (b)(7)(C) CBP Chief Records Officer
Records and Information Management Program (RIM)

DHS/CBP/OIT/RIM

(C) (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

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Suicide Prevention and Awareness

National Suicide Prevention Lifeline

800-273-8255

CBP Employee Assistance Program

800-755-7002



From: (b)(6), (b)(7)(C)

Sent: Tuesday, October 26, 2021 4:24 PM

To: (b)(6), (b)(7)(C)

Cc: (b)(6), (b)(7)(C)

Subject: Allegation of Unauthorized Disposition

CAUTION: This email originated from outside of DHS. DO NOT click links or open attachments unless you recognize and/or trust the sender. If you feel this is a suspicious-looking email, please report by using the Report Phish button option.

Good afternoon (b)(6), (b)(7)(C)

Please see the attached letter from Laurence Brewer Chief Records Officer for the US Government regarding CBP's planned deployment of WICKR and the information that we received in the OIG report, "CBP Targeted americans with the 2018-2019 Migrant Caravan" regarding the use of WhatsApp.

I will be NARA's point of contact for this matter. Please respond to me within 30 calendar days with the information that NARA requested in the letter. Please let me know if you have any questions.

Thank you.

(b)(6), (b)(7)(C)

Records Management Oversight and Reporting

College Park, MD 20740

Office

Mobile (b)(6), (b)(7)(C)

Message

From: (b)(6), (b)(7)(C)
Sent: 10/29/2021 8:14:26 PM
To: (b)(6), (b)(7)(C)
Subject: Fwd: DHS/CBP Response to NARA Letter linked to OIG Audit Report
Attachments: 2021-10-26_UD-2022-0001_DHS-CBP_Open Letter-1301-1b.pdf

Is there any end-user documentation for how to use WICKR? When someone is told they have a license what do we send them for instructions?

(b)(6), (b)(7)(C)
Director, Mobility and Collaboration Branch (MCB)
DHS | CBP | ES | OIT | ENTSD
Work: (b)(6), (b)(7)(C)
Mobile: (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)

From: CBPRECORDSMANAGEMENT (b)(6), (b)(7)(C)
Sent: Friday, October 29, 2021 3:25:38 PM
To: (b)(6), (b)(7)(C)
Cc: CBPRECORDSMANAGEMENT (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
Subject: FW: DHS/CBP Response to NARA Letter linked to OIG Audit Report

(b)(6), (b)(7)(C)

CBP RIM is working on a response to a NARA letter (see attached) referring to unauthorized destruction of records and use and policy around WhatsApp, Wickr and other communication applications. The questions were raised by NARA based on the recent OIG Audit report and responded to by CBP. The particular Audit Recommendation and Response that CBP RIM is most interested in is Recommendation 6.

Recommendation 6: Take immediate action to end the use of WhatsApp for operational purposes or to ensure that WhatsApp messages are retained in compliance with legal and policy requirements including records retention schedules.

CBP Response to Recommendation 6: Concur. CBP's Office of Information and Technology will explore the viability of the continued operational use of WhatsApp, which will include looking for a replacement. Office of Information and Technology is currently piloting a managed messaging platform to replace WhatsApp. CBP is currently working on an operational pilot. CBP expects to complete these actions by December 31, 2021.

Can you provide available times early next week for a discussion on the activities that are being undertaken to respond to the Audit recommendation? Information we need in order to properly respond to NARA includes:

- a. The details about the interim action of "manual archiving" of messages until the final solution is put in place and how that is to be communicated to the users
- b. The long term solution for WhatsApp
- c. Updates on the Wickr Enterprise deployment
- d. Any documentation, policies, and training material that exists for WhatsApp, Wickr, or other communication apps under your control.

We are on a tight timeline to put this response together so hopefully we'll be able to find a time as early in the week as possible. Please let us know if you have any questions.

Thanks.

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Capstone Project Lead

Capitol Advisors on Technology

CBP Records and Information Management (RIM)

[RIM Website](#) | [Email Us](#)

Cell: (b)(6), (b)(7)(C)



From: (b)(6), (b)(7)(C) **On Behalf Of** OIT TASKINGS

Sent: Thursday, October 28, 2021 12:36 PM

Subject: DHS/CBP Response to NARA Letter linked to OIG Audit Report

Good Afternoon XD's and Directors,

Attached for review and action is a letter from (b)(6), (b)(7)(C) Chief Records Officer for the US Government sent to (b)(6), (b)(7)(C) Chief Information Officer (CIO), DHS Senior Agency Official for Records Management (SAORM), regarding CBP's planned deployment of *WICKR* and the information that NARA received in the OIG report, "CBP Targeted Americans with the 2018-2019 Migrant Caravan" regarding the use of *WhatsApp*. **With input from OIT Offices, CBP RIM is the lead for compiling the DHS/CBP response** (due 11/12/21) that will go from CIO (b)(6), (b)(7)(C) to the (b)(6), (b)(7)(C) Chief Records Officer for the US Government.

To ensure a full and accurate response CBP RIM will reach out to OIT Offices that are addressing the OIG audit findings (ENTDS) and others within CBP that can provide information for inclusion in the DHS/CBP response. Per NARA's letter, the response will include records management corrective actions being taken to address the OIG investigation. CBP RIM will be required to provide NARA periodic status of those corrective actions.

The NARA letter cites the following specific OIG Audit Report **Recommendation** within their audit report:

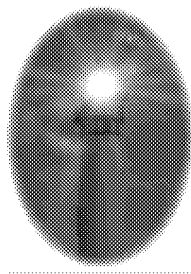
Recommendation 6: Take immediate action to end the use of WhatsApp for operational purposes or to ensure that WhatsApp messages are retained in compliance with legal and policy requirements including records retention schedules.

Please send all replies and questions to Dawn Watts.

Tasker Name	Review NARA Letter to CIO Hysen and provide CBP Records and Information Management (RIM) with POCs from involved OIT offices.
Lead Office	CBP Records and Information Management (RIM)
Assigned Office(s)	OIT XDs, CTO and Division Directors
Background	<p>The Federal Records Act requires all federal agencies retain records for periods of time authorized by NARA-Approved records retention schedules. Because WhatsApp and Wickr do not retain messages consistent with NARA-approved retention schedules, their use violates the Federal Records ACT and CBP and DHS policy. This resulted in illegal and <i>Unauthorized Destruction</i> of important federal records..</p> <p>The National Archives and Records Administration (NARA) indicated in their letter to the DHS CIO that they became aware, through multiple media reports and the recent <u>Office of Inspector General (OIG)</u> report, “CBP Targeted Americans with the 2018-2019 Migrant Caravan,” that the Customs and Border Protection (CBP) has been using the messaging software <i>WhatsApp</i> and is deploying the encrypted messaging application <i>Wickr</i> across all components of the agency.</p> <p>NARA cites in their letter the OIG report which states: there are “instances of CBP officers not documenting information they obtained during caravan-related inspections” (page 12); that CBP officials did not retain communication records (page 17); and that “the CBP officials failure to retain <i>WhatsApp</i> messages likely violated DHS and CBP records retention policies because the messages were information that CBP created or received in carrying out its mission and contained substantive information that was necessary to adequately and properly document the activities and functions of the CBP officials” (page 28). This violation of policy resulted in what NARA identified as <i>unauthorized destruction</i> of records caused by use of WhatApp and Wickr.</p>
Additional Instruction contained within NARA’s letter:	<p>*** NARA instructed DHS/CBP to provide a response that addresses the following (as contained in the attached letter):</p> <ol style="list-style-type: none"> 1. Ensure that Records Management regulations are being adhered to 2. Ensure that the CBP is regulating the use of these messaging applications consistent with NARA’s and the Department’s records management policies 3. Ensure that CBP is communicating to all employees that they cannot use these applications to circumvent their records management responsibilities and that all employees are aware that they must be retaining all messages that are federal records

	<p>in accordance with agency policy and all applicable NARA-approved records schedules</p> <p>4. Include a complete description of the records with volume and dates if known; description of the office maintaining the records; a statement of the exact circumstances surrounding the removal, defacing, alteration, or destruction of records; a statement of the safeguards established to prevent further loss of documentation; and details of the actions taken to salvage, retrieve, or reconstruct the records.</p> <p>DHS/CBP's response must also include Records Management corrective actions that CBP will be required to implement as a result of the OIG investigation.</p>
REQUEST:	<ol style="list-style-type: none"> 1. Please review the attached letter from Laurence Brewer Chief Records Officer for the US Government to (b)(6), (b)(7)(C) Chief Information Officer (CIO), DHS Senior Agency Official for Records Management (SAORM), regarding CBP's planned deployment of WICKR and the information that NARA received in the OIG report, "CBP Targeted Americans with the 2018-2019 Migrant Caravan" regarding the use of WhatsApp. 2. Respond directly to (b)(6), (b)(7)(C) CBP RIM CRO with questions, comments, and POC names within your OIT office that CBP RIM can coordinate with to compile the DHS/CBP response.
POC for Questions / Response	<p>Please contact (b)(6), (b)(7)(C)</p> <p>DUE COB 11/01/21</p>

(b)(6), (b)(7)(C) CBP Chief Records Officer
Records and Information Management Program (RIM)
DHS/CBP/OIT/RIM
(C) (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
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Suicide Prevention and Awareness
National Suicide Prevention Lifeline
800-273-8255
CBP Employee Assistance Program
800-755-7002



Message

From: CBPRECORDSMANAGEMENT; (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
Sent: 11/1/2021 1:30:47 AM
To: (b)(6), (b)(7)(C)
CC: CBPRECORDSMANAGEMENT; (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
Subject: RE: DHS/CBP Response to NARA Letter linked to OIG Audit Report

Would it be possible to meet at 12?

Thanks.

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Capstone Project Lead
Capitol Advisors on Technology
CBP Records and Information Management (RIM)
[RIM Website](#) | [Email Us](#)
Cell: (b)(6), (b)(7)(C)



From: (b)(6), (b)(7)(C)
Sent: Friday, October 29, 2021 3:14 PM
To: CBPRECORDSMANAGEMENT; (b)(6), (b)(7)(C)
Cc: CBPRECORDSMANAGEMENT; (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
Subject: Re: DHS/CBP Response to NARA Letter linked to OIG Audit Report

The first time I am free is Tuesday at 11 AM. Please send an invite. Thank you

(b)(6), (b)(7)(C)

Director, Mobility and Collaboration Branch (MCB)
DHS | CBP | ES | OIT | ENTSD
Work: (b)(6), (b)(7)(C)
Mobile: (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

From: CBPRECORDSMANAGEMENT (b)(6), (b)(7)(C)

Sent: Friday, October 29, 2021 3:25:38 PM

To: (b)(6), (b)(7)(C)

Cc: CBPRECORDSMANAGEMENT (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Subject: FW: DHS/CBP Response to NARA Letter linked to OIG Audit Report

(b)(6), (b)(7)(C)

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We are on a tight timeline to put this response together so hopefully we'll be able to find a time as early in the week as possible. Please let us know if you have any questions.

Thanks.

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

Capstone Project Lead

Capitol Advisors on Technology

CBP Records and Information Management (RIM)

[RIM Website](#) | [Email Us](#)

Cell: (b)(6), (b)(7)(C)



From: (b)(6), (b)(7)(C) } **On Behalf Of** OIT TASKINGS
Sent: Thursday, October 28, 2021 12:36 PM
Subject: DHS/CBP Response to NARA Letter linked to OIG Audit Report

Good Afternoon_XD's and Directors,

Attached for review and action is a letter from (b)(6), (b)(7)(C) Chief Records Officer for the US Government sent to (b)(6), (b)(7)(C) Chief Information Officer (CIO), DHS Senior Agency Official for Records Management (SAORM), regarding CBP's planned deployment of *WICKR* and the information that NARA received in the OIG report, "CBP Targeted Americans with the 2018-2019 Migrant Caravan" regarding the use of *WhatsApp*. **With input from OIT Offices, CBP RIM is the lead for compiling the DHS/CBP response** (due 11/12/21) that will go from CIO (b)(6), (b)(7)(C) to the (b)(6), (b)(7)(C) Chief Records Officer for the US Government.

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The NARA letter cites the following specific OIG Audit Report **Recommendation** within their audit report:

Recommendation 6: Take immediate action to end the use of WhatsApp for operational purposes or to ensure that WhatsApp messages are retained in compliance with legal and policy requirements including records retention schedules.

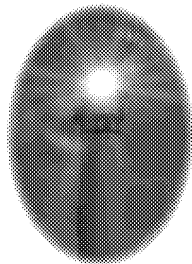
Please send all replies and questions to (b)(6), (b)(7)(C)

Tasker Name	Review NARA Letter to CIO (b)(6), (b)(7)(C) and provide CBP Records and Information Management (RIM) with POCs from involved OIT offices.
Lead Office	CBP Records and Information Management (RIM)
Assigned Office(s)	OIT XDs, CTO and Division Directors

<p>Background</p>	<p>The Federal Records Act requires all federal agencies retain records for periods of time authorized by NARA-Approved records retention schedules. Because WhatsApp and Wickr do not retain messages consistent with NARA-approved retention schedules, their use violates the Federal Records ACT and CBP and DHS policy. This resulted in illegal and <i>Unauthorized Destruction</i> of important federal records..</p> <p>The National Archives and Records Administration (NARA) indicated in their letter to the DHS CIO that they became aware, through multiple media reports and the recent <u>Office of Inspector General (OIG)</u> report, “CBP Targeted Americans with the 2018-2019 Migrant Caravan,” that the Customs and Border Protection (CBP) has been using the messaging software <i>WhatsApp</i> and is deploying the encrypted messaging application <i>Wickr</i> across all components of the agency.</p> <p>NARA cites in their letter the OIG report which states: there are “instances of CBP officers not documenting information they obtained during caravan-related inspections” (page 12); that CBP officials did not retain communication records (page 17); and that “the CBP officials failure to retain <i>WhatsApp</i> messages likely violated DHS and CBP records retention policies because the messages were information that CBP created or received in carrying out its mission and contained substantive information that was necessary to adequately and properly document the activities and functions of the CBP officials” (page 28). This violation of policy resulted in what NARA identified as <i>unauthorized destruction</i> of records caused by use of WhatApp and Wickr.</p>
<p>Additional Instruction contained within NARA’s letter:</p>	<p>*** NARA instructed DHS/CBP to provide a response that addresses the following (as contained in the attached letter):</p> <ol style="list-style-type: none"> 1. Ensure that Records Management regulations are being adhered to 2. Ensure that the CBP is regulating the use of these messaging applications consistent with NARA’s and the Department’s records management policies 3. Ensure that CBP is communicating to all employees that they cannot use these applications to circumvent their records management responsibilities and that all employees are aware that they must be retaining all messages that are federal records in accordance with agency policy and all applicable NARA-approved records schedules 4. Include a complete description of the records with volume and dates if known; description of the office maintaining the records; a statement of the exact circumstances surrounding the removal, defacing, alteration, or destruction of records; a statement of the safeguards established to prevent further loss of documentation; and details of the actions taken to salvage, retrieve, or reconstruct the records. <p>DHS/CBP’s response must also include Records Management corrective actions that CBP will be required to implement as a result of the OIG investigation.</p>

REQUEST:	<ol style="list-style-type: none"> 1. Please review the attached letter from (b)(6), (b)(7)(C) Chief Records Officer for the US Government to (b)(6), (b)(7)(C) Chief Information Officer (CIO), DHS Senior Agency Official for Records Management (SAORM), regarding CBP's planned deployment of WICKR and the information that NARA received in the OIG report, "CBP Targeted Americans with the 2018-2019 Migrant Caravan" regarding the use of WhatsApp. 2. Respond directly to (b)(6), (b)(7)(C) CBP RIM CRO with questions, comments, and POC names within your OIT office that CBP RIM can coordinate with to compile the DHS/CBP response.
POC for Questions / Response	Please contact (b)(6), (b)(7)(C) DUE COB 11/01/21

(b)(6), (b)(7)(C) CBP Chief Records Officer
Records and Information Management Program (RIM)
DHS/CBP/OIT/RIM
(C) (b)(6), (b)(7)(C)
(b)(6), (b)(7)(C)
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Shine a Light

Suicide Prevention and Awareness

National Suicide Prevention Lifeline
800-273-8255
CBP Employee Assistance Program
800-755-7002

