

Congress of the United States
House of Representatives

COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM

2157 RAYBURN HOUSE OFFICE BUILDING

WASHINGTON, DC 20515-6143

MAJORITY (202) 225-5074

MINORITY (202) 225-5051

<http://oversight.house.gov>

March 10, 2016

The Honorable Jeh Johnson
Secretary
U.S. Department of Homeland Security
Washington, D.C. 20528

Dear Mr. Secretary:

On April 30, 2014, the Department of Homeland Security issued a department-wide policy directive, titled “DHS Sensitive Systems Policy Directive 4300A,” that prohibited the use of personal email accounts on DHS-furnished equipment or network connections.¹ In July 2015, a media outlet reported that you and twenty-eight senior staff continued to use personal email accounts on DHS equipment in direct contravention of the policy directive.² According to the report, you and your staff requested, and were granted “informal waivers” to access personal email on DHS equipment.³ The day after the report was published, you vacated the waiver and stated your intention to stop the practice in light of the inherent security risks.⁴

The aforementioned directive was issued under the authority of the DHS Chief Information Security Officer (CISO) and is unequivocal with regard to the use of personal email accounts. The directive states: “The use of Internet Webmail (Gmail, Yahoo, or AOL) or other personal email accounts is not authorized over DHS furnished equipment or network connections.”⁵ The directive outlines a waiver process to allow component agencies to waive out of the policy directive if “they are unable to fully comply.”⁶ Under the terms of the directive, waiver requests must document the problems that would be created by compliance with the directive and must include a plan to bring the procedure or control into compliance.⁷ The CISO has final authority to grant a waiver.⁸

¹ DHS Sensitive Systems Policy Directive 4300A, Ver. 11.0 (Apr. 30, 2014), *available at* <http://www.dhs.gov/sites/default/files/publications/4300A%20Sensitive%20Systems%20Policy%20v11%200.pdf> (last accessed Feb. 4, 2016).

² Josh Rogin, *Homeland Security Leaders Bent Rules on Private E-Mail*, BLOOMBERGVIEW, July 20, 2015.

³ *Id.*

⁴ Rachel Witkin, *Sec. Jeh Johnson: ‘Whoops’ on Using Personal Email at DHS*, NBC News, July 21, 2015.

⁵ *Supra* note 1, Sec. 5.4.7 Personal Email Accounts.

⁶ *Id.*, Sec. 1.5 Waivers.

⁷ *Id.*, Sec. 1.5.1 Waiver Requests.

⁸ *Id.*

Significantly, the directive does not outline any exemptions from the directive for reasons other than an inability to comply due to mission requirements. Nothing in the directive justifies permitting senior DHS officials to continue access to personal email accounts from DHS computers for a limited time, let alone permitting open-ended access through an “informal” waiver process.

The “informal waivers” that you and other senior officials relied on raise a number of concerns about the Department’s commitment to securing sensitive systems at the highest levels. The use of an informal process to skirt cybersecurity rules and regulations creates the appearance that senior DHS officials consider themselves above the rules they expect rank and file employees to abide by. This posture raises a number of questions, especially in light of DHS’s recently expanded cybersecurity role. Additionally, the fact that you and other senior officials continued to use personal email on DHS equipment for at least one year, and possibly longer, raise concerns that those accounts were used to conduct official government business, potentially in contravention to P.L. 113-187.

To assist the Committee in better understanding how and why waivers for you and other top officials were granted with respect to cybersecurity regulations, provide the following information as soon as possible, but no later than noon on March 24, 2016:

1. All waivers, including documents and communications relating to informal waivers, granted to any DHS official to access personal email on DHS equipment.
2. All documents and communications referring or relating to the process, policy, or guidance regarding waivers, or informal waivers to DHS Sensitive Systems Policy Directive 4300A’s personal email access prohibition.
3. Documents sufficient to show the name and title of the individual who made the final approval for each of the waivers, or informal waivers to DHS Sensitive Systems Policy Directive 4300A’s personal email access prohibition for senior officials.
4. For each waiver, formal or informal, documents sufficient to show the name and title of the waiver recipient, the date of waiver request, the date of waiver grant, the date of restored access (or whether access was ever lost), the date the waiver was withdrawn, and the date access was disabled (or whether access continues).
5. All documents and communications referring or relating to DHS Sensitive Systems Policy Directive 4300A’s personal email access prohibition waiver applications, approvals, and denials, whether formal or informal, including any justification for such waiver application, approval, or denial.
6. Documents sufficient to identify all DHS employees who currently hold waivers, formal or informal, from the personal email access prohibition of DHS Sensitive Systems Policy Directive 4300A at DHS.

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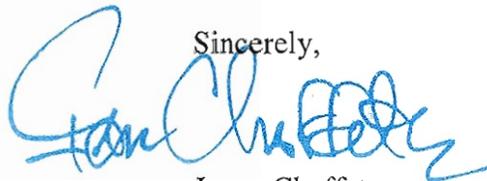
Additionally, please provide a briefing for Committee staff as soon as possible, but not later than noon on March 24, 2016, to cover how the waiver program began and operated, and the risks posed by the program with regard to cybersecurity and Federal Records Act compliance.

The Committee on Oversight and Government Reform is the principal oversight committee of the House of Representative and may investigate "any matter" at "any time" as set forth in House Rule X.

When producing documents to the Committee, please deliver production sets to the Majority staff in room 2157 of the Rayburn House Office Building and the Minority staff in room 2471 of the Rayburn House Office Building. The Committee prefers, when possible, to receive all documents in electronic format. An attachment to this letter provides additional information about responding to the Committee's request.

Please contact Jeffrey Post of the Committee staff at (202) 225-5074 with any questions about this request. Thank you for your attention this this matter.

Sincerely,



Jason Chaffetz
Chairman

Enclosure

cc: The Honorable Elijah E. Cummings, Ranking Member

Responding to Committee Document Requests

1. In complying with this request, you are required to produce all responsive documents that are in your possession, custody, or control, whether held by you or your past or present agents, employees, and representatives acting on your behalf. You should also produce documents that you have a legal right to obtain, that you have a right to copy or to which you have access, as well as documents that you have placed in the temporary possession, custody, or control of any third party. Requested records, documents, data or information should not be destroyed, modified, removed, transferred or otherwise made inaccessible to the Committee.
2. In the event that any entity, organization or individual denoted in this request has been, or is also known by any other name than that herein denoted, the request shall be read also to include that alternative identification.
3. The Committee's preference is to receive documents in electronic form (i.e., CD, memory stick, or thumb drive) in lieu of paper productions.
4. Documents produced in electronic format should also be organized, identified, and indexed electronically.
5. Electronic document productions should be prepared according to the following standards:
 - (a) The production should consist of single page Tagged Image File ("TIF"), files accompanied by a Concordance-format load file, an Opticon reference file, and a file defining the fields and character lengths of the load file.
 - (b) Document numbers in the load file should match document Bates numbers and TIF file names.
 - (c) If the production is completed through a series of multiple partial productions, field names and file order in all load files should match.
 - (d) All electronic documents produced to the Committee should include the following fields of metadata specific to each document:

BEGDOC, ENDDOC, TEXT, BEGATTACH, ENDATTACH,
PAGECOUNT, CUSTODIAN, RECORDTYPE, DATE, TIME, SENTDATE,
SENTTIME, BEGINDATE, BEGINTIME, ENDDATE, ENDTIME, AUTHOR, FROM,
CC, TO, BCC, SUBJECT, TITLE, FILENAME, FILEEXT, FILESIZE,
DATECREATED, TIMECREATED, DATELASTMOD, TIMELASTMOD,
INTMSGID, INTMSGHEADER, NATIVELINK, INTFILPATH, EXCEPTION,
BEGATTACH.
6. Documents produced to the Committee should include an index describing the contents of the production. To the extent more than one CD, hard drive, memory stick, thumb drive, box or folder is produced, each CD, hard drive, memory stick, thumb drive, box or folder should contain an index describing its contents.

7. Documents produced in response to this request shall be produced together with copies of file labels, dividers or identifying markers with which they were associated when the request was served.
8. When you produce documents, you should identify the paragraph in the Committee's schedule to which the documents respond.
9. It shall not be a basis for refusal to produce documents that any other person or entity also possesses non-identical or identical copies of the same documents.
10. If any of the requested information is only reasonably available in machine-readable form (such as on a computer server, hard drive, or computer backup tape), you should consult with the Committee staff to determine the appropriate format in which to produce the information.
11. If compliance with the request cannot be made in full by the specified return date, compliance shall be made to the extent possible by that date. An explanation of why full compliance is not possible shall be provided along with any partial production.
12. In the event that a document is withheld on the basis of privilege, provide a privilege log containing the following information concerning any such document: (a) the privilege asserted; (b) the type of document; (c) the general subject matter; (d) the date, author and addressee; and (e) the relationship of the author and addressee to each other.
13. If any document responsive to this request was, but no longer is, in your possession, custody, or control, identify the document (stating its date, author, subject and recipients) and explain the circumstances under which the document ceased to be in your possession, custody, or control.
14. If a date or other descriptive detail set forth in this request referring to a document is inaccurate, but the actual date or other descriptive detail is known to you or is otherwise apparent from the context of the request, you are required to produce all documents which would be responsive as if the date or other descriptive detail were correct.
15. Unless otherwise specified, the time period covered by this request is from January 1, 2009 to the present.
16. This request is continuing in nature and applies to any newly-discovered information. Any record, document, compilation of data or information, not produced because it has not been located or discovered by the return date, shall be produced immediately upon subsequent location or discovery.
17. All documents shall be Bates-stamped sequentially and produced sequentially.
18. Two sets of documents shall be delivered, one set to the Majority Staff and one set to the Minority Staff. When documents are produced to the Committee, production sets shall be delivered to the Majority Staff in Room 2157 of the Rayburn House Office Building and the Minority Staff in Room 2471 of the Rayburn House Office Building.

19. Upon completion of the document production, you should submit a written certification, signed by you or your counsel, stating that: (1) a diligent search has been completed of all documents in your possession, custody, or control which reasonably could contain responsive documents; and (2) all documents located during the search that are responsive have been produced to the Committee.

Definitions

1. The term “document” means any written, recorded, or graphic matter of any nature whatsoever, regardless of how recorded, and whether original or copy, including, but not limited to, the following: memoranda, reports, expense reports, books, manuals, instructions, financial reports, working papers, records, notes, letters, notices, confirmations, telegrams, receipts, appraisals, pamphlets, magazines, newspapers, prospectuses, inter-office and intra-office communications, electronic mail (e-mail), contracts, cables, notations of any type of conversation, telephone call, meeting or other communication, bulletins, printed matter, computer printouts, teletypes, invoices, transcripts, diaries, analyses, returns, summaries, minutes, bills, accounts, estimates, projections, comparisons, messages, correspondence, press releases, circulars, financial statements, reviews, opinions, offers, studies and investigations, questionnaires and surveys, and work sheets (and all drafts, preliminary versions, alterations, modifications, revisions, changes, and amendments of any of the foregoing, as well as any attachments or appendices thereto), and graphic or oral records or representations of any kind (including without limitation, photographs, charts, graphs, microfiche, microfilm, videotape, recordings and motion pictures), and electronic, mechanical, and electric records or representations of any kind (including, without limitation, tapes, cassettes, disks, and recordings) and other written, printed, typed, or other graphic or recorded matter of any kind or nature, however produced or reproduced, and whether preserved in writing, film, tape, disk, videotape or otherwise. A document bearing any notation not a part of the original text is to be considered a separate document. A draft or non-identical copy is a separate document within the meaning of this term.
2. The term “communication” means each manner or means of disclosure or exchange of information, regardless of means utilized, whether oral, electronic, by document or otherwise, and whether in a meeting, by telephone, facsimile, email (desktop or mobile device), text message, instant message, MMS or SMS message, regular mail, telexes, releases, or otherwise.
3. The terms “and” and “or” shall be construed broadly and either conjunctively or disjunctively to bring within the scope of this request any information which might otherwise be construed to be outside its scope. The singular includes plural number, and vice versa. The masculine includes the feminine and neuter genders.
4. The terms “person” or “persons” mean natural persons, firms, partnerships, associations, corporations, subsidiaries, divisions, departments, joint ventures, proprietorships, syndicates, or other legal, business or government entities, and all subsidiaries, affiliates, divisions, departments, branches, or other units thereof.

5. The term “identify,” when used in a question about individuals, means to provide the following information: (a) the individual's complete name and title; and (b) the individual's business address and phone number.
6. The term “referring or relating,” with respect to any given subject, means anything that constitutes, contains, embodies, reflects, identifies, states, refers to, deals with or is pertinent to that subject in any manner whatsoever.
7. The term “employee” means agent, borrowed employee, casual employee, consultant, contractor, de facto employee, independent contractor, joint adventurer, loaned employee, part-time employee, permanent employee, provisional employee, subcontractor, or any other type of service provider.