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Description of document: Transportation Security Administration (TSA) Sensitive Security Information (SSI) Program Documents, 2013, 2018

Requested date: 11-May-2020

Release date: 08-December-2020

Posted date: 10-May-2021

Source of document: FOIA Request
Department of Homeland Security
Transportation Security Administration
6595 Springfield Center Drive
Springfield, VA 20598-6020
Email: FOIA@tsa.dhs.gov
[DHS FOIA Public Access Portal](#)

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Transportation
Security
Administration

November 9, 2020

3600.1

Case Number: 2020-TSFO-00450

This letter responds to your Freedom of Information Act (FOIA) request dated May 11, 2020, addressed to the Transportation Security Administration (TSA) FOIA Branch seeking access to "The SSI Review Analyst SOP Checklist and Style Guide."

The processing of your request identified certain records that will be released to you. Portions not released are being withheld pursuant to the Freedom of Information Act, 5 U.S.C. § 552. Please refer to the Applicable Exemptions list at the end of this letter that identifies the authority for withholding the exempt record, which is indicated by a mark appearing in the block next to the exemption. An additional enclosure with this letter explains these exemptions in more detail.

Please be advised, the SSI Review Analyst SOP Checklist and Style Guide no longer exists as it was superseded by the documents that are being provided to you.

The rules and regulations of the Transportation Security Administration applicable to Freedom of Information Act requests are contained in the Code of Federal Regulations, Title 6, Part 5. They are published in the Federal Register and are available for inspection by the public.

Fees

There are no fees associated with processing this request because the fees incurred do not exceed the minimum threshold necessary for charge.

Administrative Appeal

Should you decide to file an appeal, it should be mailed to:

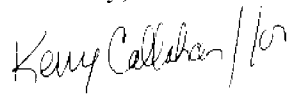
Christine Griggs
FOIA Appeals Officer
Office of Civil Rights & Liberties, Ombudsman and Traveler Engagement (CRL/OTE)
Transportation Security Administration
701 South 12th Street, West Building, TSA-33
Arlington, VA 20598-6033

Your appeal **must be submitted within 90 days** from the date of this determination. It should contain your FOIA request number and, to the extent possible, the reasons why you believe the initial determination should be reversed. In addition, the envelope should be prominently marked "FOIA Appeal." Please note that the TSA FOIA Appeals Officer's determination of the appeal will be administratively final.

Additionally, you have the right to seek dispute resolution services from the Office of Government Information Services (OGIS) which mediates disputes between FOIA requesters and Federal agencies as a non-exclusive alternative to litigation. If you are requesting access to your own records (which is considered a Privacy Act request), you should know that OGIS does not have the authority to handle requests made under the Privacy Act of 1974. You may contact OGIS as follows: Office of Government Information Services, National Archives and Records Administration, 8601 Adelphi Road-OGIS, College Park, Maryland 20740-6001; e-mail at ogis@nara.gov; telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5796.

If you have any questions pertaining to your request, please feel free to contact the FOIA Branch at 1-866-364-2872 or locally at 571-227-2300.

Sincerely,



Teri M. Miller
FOIA Officer

Summary:

Number of Pages Released in Part or in Full: 124

Number of Pages Withheld in Full: 0

Number of Pages Referred: 0

APPLICABLE EXEMPTIONS
FREEDOM OF INFORMATION ACT AND/OR PRIVACY ACT

Freedom of Information Act (5 U.S.C. 552)

☐ (b)(1) ☐ (b)(2) ☐ (b)(3) ☐ (b)(4) ☐ (b)(5) ☒ (b)(6)

☐ (b)(7)(A) ☐ (b)(7)(B) ☐ (b)(7)(C) ☐ (b)(7)(D) ☐ (b)(7)(E) ☐ (b)(7)(F)

Enclosures



Transportation Security Administration

Transportation Security Administration
Office of Law Enforcement/Federal Air Marshal Service
Security Services and Assessments

Section 3.2.6 Challenges and Informal/Formal Appeals

Attachment 2 to SSI Program Consolidated SOP v. 3.2

This SOP will become effective upon issuance.

Douglas E. Blair
Chief, SSI Program

3/28/2018

Date Issued



Internal SSI Program Consolidated SOP

3.2.6 Challenges and Informal/Formal Appeals

Clarification - If a requestor has a question seeking clarification that does not rise to a difference of opinion or a need to change a marking on a file, the question may be answered and noted within the comments section of the review. No further action is necessary.

Challenge— Challenges typically occur during the course of the review process and SME negotiation but may also occur between offices without SSI Program involvement. In a review, the SSI Program may have multiple emails and/or phone conversations with Subject Matter Experts and other officials as a part of routine consultation. Challenges do not need to be tracked in eReview but coordination emails and/or conversations shall be preserved in the email folder for the review and in the notes section. Ultimately, the goal of the program is to develop concurrence amongst various parties prior to closing out the review.

Informal/Formal Appeals - Informal and formal appeals may occur in full (i.e., overall SSI Determination) or in-part (i.e., when words or phrases are in dispute for protection or non-protection) and may originate from within the agency, DHS Components, other government agencies, stakeholders, or the public (e.g., FOIA appeal). According to the SSI Policies and Procedures Handbook, informal and formal appeals are to be submitted to the SSI Inbox at SSI@tsa.dhs.gov. If an appeal comes into the Inbox, notify SSI Program Leadership immediately. If an appeal comes into the Inbox for documents that are over three years old, have the requestor submit a new SSI Review Request and select “Re-review” with the previous SSI Review number.

Despite the requirement to submit appeals directly to the SSI Inbox, appeals may arrive to the SSI Program a number of ways. They may arrive through a new SSI Review Request, by a phone call or email directly to any member of the SSI Program, or by a meeting request to resolve various redactions in a record after the Transmittal Memo was provided.

Informal Appeal— The “Informal Appeal” process typically only begins once the SSI Program has completed its assessment and/or review and submitted a Transmittal Memo back to the requestor (with minor exceptions noted below). The Informal Appeal is typically the requestor stating that they wish the SSI Program to re-examine their markings and/or specific redaction on a Visually-Redacted (VR) record. Typical reasons for Informal Appeals are as follows:

- **Interoffice** - When two offices do not agree, the document is submitted to the SSI Program as an Assessment or Review. This is typically resolved when the SSI Program completes its assessment or review of the material.
- **Interagency** - When the SSI Program is involved in validating SSI markings from another agency (e.g., during the course of an audit), this could also be considered an Informal Appeal. This also includes questions of interdepartmental resolution.
- **Consistency** - When an office receives a Transmittal Memo from the SSI Program completing an assessment or review and sends the document back to the SSI Program for consistency markings.
- **Post-Findings** - When an office receives a Transmittal Memo from the SSI Program completing an assessment or review and sends the document back requesting release or protection of additional information.
- **Document Age** - When an office requests Re-review of material based upon the age of the document.



Internal SSI Program Consolidated SOP

- **Protection Changes** – Re-review due to shift in office SSI protections since last review. The shift in SSI protection can come from the Program Office or AA who has operational equities in the SSI ID Guide that they are looking to adjust to release 'more' – but driven by a document in FOIA, litigation, or institutional transparency release rather than during the SSI ID Guide review coordination.
- Informal appeals, including materials requested for Re-review, less than three years old should be handled within the original review request (reopen the review). Where the same Final Reviewer is available to collaborate with the requestor, no changes need to be made within the Contacts table. Simply change the final reviewer status to *Logged* and select the "Appeal" drop-down on the main review screen to indicate "Informal" and reason for appeal. Additional information about the nature of the informal appeal and the results will be added to the Notes section. Within the original review, any changes/revisions that are appropriate to the review will be made in the Inventory/Working folder, saving the new working file as "_First Appeal" as an extension to the original file name. After saving the new working file, "Upload documents" from main review screen to link the new file. On close-out, create a new folder in the Inventory/Final folder entitled "Informal Appeal Results" and save and VR and R files herein.

Note: The Appeal dropdown will allow us to run a query in eReports at any time. The results of the Appeal will be captured in the new Transmittal Memo and the email back to the requestor once the Re-review (i.e., informal appeal) is completed.

In those instances where a different Final Reviewer needs to resolve the appeal, load the new reviewer as "Request Contact Type" Release Authority and "ReviewOrder" as First Appeal. Within the original review, the First Appeal would be added as a contact and any changes/revisions that are appropriate to the review will be made in the Inventory/Working folder, saving the new working file as "_First Appeal" as an extension to the original file name. On close-out, create a new file in the Inventory/Final folder entitled "Informal Appeal Results" and save and VR and R files herein. Any emails strings and/or conversations during the informal appeal process shall be preserved in email folder for the review and in the notes section.

Formal Appeal – Procedurally, a document moves from informal appeal to formal appeal when the requestor continues to express disagreement with the determinations made in an Informal Appeal or when the requestor submits a formal letter of disagreement, either publically or sent to any program in TSA or DHS, including if the appeal is sent directly to the Administrator or DHS Leadership. In those instances, where a full, formal appeal is required/requested, go into the last SSI Review of the material and complete "Appeal" drop-down and select "Formal". Place additional notes in the comments section of the review.

When the appeal shifts to formal, the documentation begins to be in Word and Excel format. Files are stored here: M:\5000.04 Program Policy & Guidance\SSI Determinations Appeals. At the end of the formal appeal process, the final markings need to be stored within the final folder with the last associated SSI Review in a folder entitled "Formal Appeal Determination". See also SSI Policies & Procedures Handbook, Appendix 12: Formal Appeal Justification. Any emails strings and/or conversations during the formal appeal process shall be preserved in email folder for the review and in the notes section.

Sometimes Formal Appeals may come in the form of Civil Litigation or FOIA Litigation, where the party suing the Federal Government asserts that initial SSI findings were too restrictive. In these



Internal SSI Program Consolidated SOP

instances, SSI Program Leadership may determine it is more efficient to load the files being contested into a new review. In these instances, when loading the review, complete "Appeal" drop-down and select "Formal". Place additional notes in the comments section of the review. Link the new review to each of the previous reviews where the material was previously seen by the SSI Program. Complete the review using the normal review process. Any emails strings and/or conversations during the formal appeal process shall be preserved in email folder for the review and in the notes section.



Transportation Security Administration

Transportation Security Administration
Office of Law Enforcement/Federal Air Marshal Service
Security Services and Assessments

Section 6.0 Creating or Updating SSI ID Guides

Attachment 1 to SSI Program Consolidated SOP v. 3.2

This SOP will become effective upon issuance.

Douglas E. Blair
Chief, SSI Program

3/28/2018

Date Issued



Internal SSI Program Consolidated SOP

6.0 Creating or Updating SSI Identification Guides

For background on the creation and use of SSI Identification (ID) Guides, please see the TSA [SSI Policies and Procedures \(P&P\) Handbook](#) at § 3.0. The following instructions provide the SSI Program SOP to guide analysis in the coordination and update of, or creation of new, ID Guides. Analysts are responsible for completing the following tasks when performing this function.

X	Responsible Party	Action Required
PHASE 1		
<input type="checkbox"/>	Analyst	For a new guide, use the template and summarize the various categories of information related to the program into general topics of information. The OLE/FAMS guide for example has topics that include “deployment” “names of FAMS”, “numbers of FAMS” and “security procedures”. Once the topics are created, begin populating the draft guide with subtopics that represent various SSI decisions that have been made.
<input type="checkbox"/>	Analyst	For an update to a guide, use the word version of the last published document to create a new draft ID Guide in the Future folder, noting a draft version may have already been created as soon as the previous version was published. Ensure the document is in the current template format. If not, transfer the material to the new format before beginning coordination.
<input type="checkbox"/>	Analyst	Ensure the document is in the current template format. If not, transfer the material to the new format before beginning coordination.
<input type="checkbox"/>	Analyst	Review the various sections and use any notes which may have been saved in the future folder to begin to populate the various sections. For existing ID Guides, ensure you review the section and subsection titles for any areas which may require additional guidance. Do not take too much time developing the guide at this point in development as these steps are designed to prepare the Program Office to begin their review and update. <i>Note: For updated guides, use the Track Changes feature.</i>
PHASE 2		
<input type="checkbox"/>	Analyst	Provide document to appropriate SMEs and offices with equities in the information and request a 14-day response date for updates and a 30-60 day update for major revisions or new ID Guides.
<input type="checkbox"/>	SMEs	Review, solicit input from program leadership and provide feedback on draft ID Guide.
<input type="checkbox"/>	Analyst	Collaborate with SMEs and appropriate offices to further develop the draft guide with tentative approval from SMEs.
<input type="checkbox"/>	Analyst	Standardize formatting post-SME coordination, applying new section numbers and verifying correction of common file errors.
<input type="checkbox"/>	Analyst	Provide draft ID Guide to Analysis & Review Team Lead for review.



Internal SSI Program Consolidated SOP

PHASE 3		
<input type="checkbox"/>	Analysis & Review Team Lead	Review draft ID Guide and either 1) work with SMEs and analyst on fine-tuning or 2) release to analyst for official coordination.
<input type="checkbox"/>	Analyst	Folder the ID Guide for official coordination. Add the names of each of the AAs of responsible program offices first for concurrent coordination, followed by OCC Information Law and SSI Program Chief, respectively. Include a tracked-changes version of the edits made to the previous ID Guide. If the edits are too extensive to be readable, include a clean copy of the previous ID Guide as well as print-outs of emails reflecting initial informal approval from the impacted programs. Request a week turn around from each office and two weeks from Information Law.
<input type="checkbox"/>	AAs of Impacted Programs	Review the draft ID Guide for sufficiency for the needs of their program(s).
<input type="checkbox"/>	OCC Info Law	Review draft ID Guide within two weeks; return comments or folder with approval to SSI Program.
<input type="checkbox"/>	Analyst	Integrate OCC comments and, if necessary, send back to program SMEs for concurrence.
<input type="checkbox"/>	SSI Program Chief	Review draft ID Guide and either send back to Analyst for fine-tuning or sign.
PHASE 4		
<input type="checkbox"/>	SSI Program Chief	Sign. Deliver pdf with signature to Analyst.
<input type="checkbox"/>	Analyst	Convert signed ID Guide to OCR pft and archive signed document per records retention guidance. Create iShare version of ID Guide with text " <i>Original Signed by</i> " on signature line to OCR pdf and post to iShare under the ID Guides folder with standard naming convention absent of version number or date.
<input type="checkbox"/>	Analyst	Follow SSI Program Communications Plan for Major and Minor ID Guide Updates. Save completed checklist in folder with signed ID Guides.
<input type="checkbox"/>	Analyst	Manage all ID Guide Records in M:\5000.10 Standard Operating Guidance and Manuals\ID Guides\TSA_Identification_Guides folder, moving material saved in Current folder into Previous folder. Move material used for coordination and approval, including the signed ID Guide in pdf format and the most current word version in Current folder. Consider creating a new working draft in the Next folder for ease of documenting future needs for major or minor edit.



Transportation Security Administration

SSI Application

Reviewer User Manual

Version 1.0

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SSI System Application Overview

SSI Overview

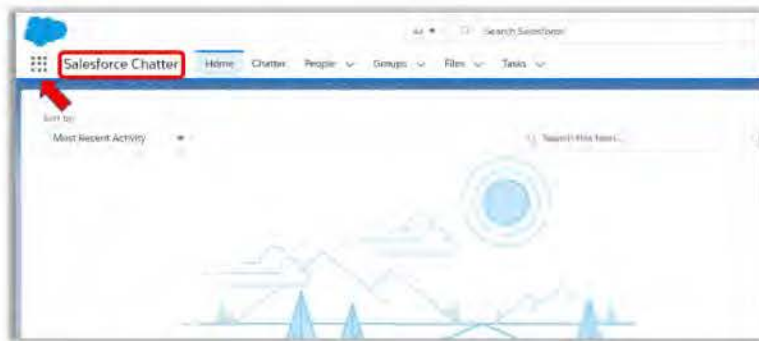
The Sensitive Security Information Application, also known as the SSI App, shall replace the legacy system known as eReview to process requests to determine whether files contain SSI and should therefore be protected from public disclosure. The SSI App will offer the functionality necessary to guide the requests through the internal submission and review processes and maintain record of historical reviews. The SSI App is built on the Salesforce Cloud Platform, a cloud-based request management solution enabling users to effectively submit and manage the workflow of their requests.

Logging-In

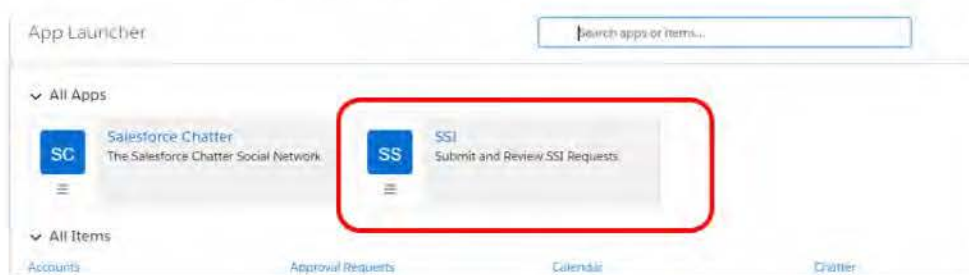
As a cloud-based application, the SSI App is accessed via the internet. Users can **only** access the application within the TSA network.

Users must also ensure have the **Microsoft EDGE** browser loaded onto their TSA machines. The SSI App will not operate in Internet Explorer. Go to EDGE and enter <https://tsa-dhs.my.salesforce.com>. As a

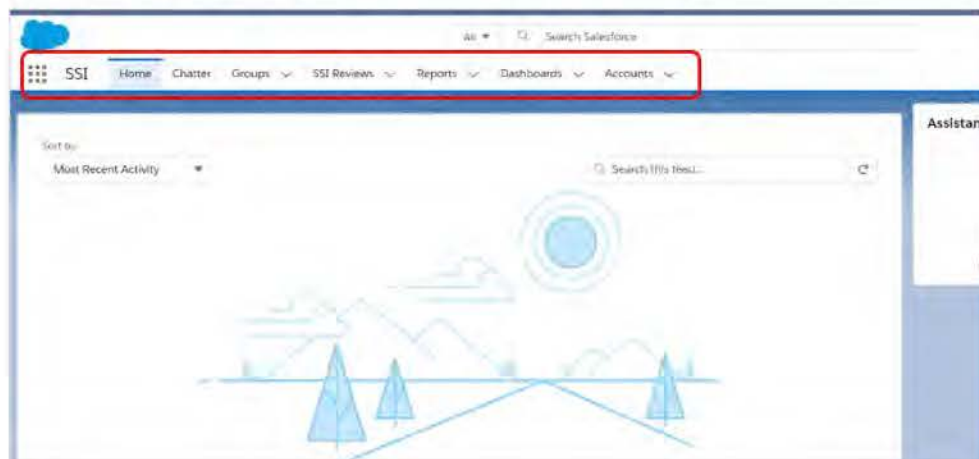
best practice, add the link to your bookmarks for quicker future access. The first time you open the link, you will land on the Salesforce Chatter tab.



Click the App Launcher  to select the SSI App.



A Salesforce application is merely a collection of tabs, referred to as the *Navigation Bar*. The SSI App is denoted by the letters SSI. (**Note:** After the first time clicking away from Salesforce Chatter App, all of your subsequent visits to Salesforce will open directly on the SSI App.)



Create a Review Request

Submitting a request within the SSI App is a streamlined process involving just a few steps! You will need to select the Record Type, complete the Submission Form, upload your files, and then Submit the record for approval.

Begin by clicking "New" under the SSI Review tab.



You can select between two types of requests, an SSI Assessment or an SSI Review.

New SSI Review

Select a record type

☒ SSI Assessment
We review the document and tell you whether or not it contains SSI.

☐ SSI Review
We review the document and identify (redact) each and every instance of SSI.

[Cancel](#) [Next](#)

Regardless of which record type you select, after clicking "Next" you are taken to a submission form to enter your information. Note: All fields prefaced by a red asterisk (*) are mandatory.

The screenshot shows the AWS IAM console 'Groups' page. The 'Groups' list is empty. The 'Create New Group' button is highlighted with a red circle.

Fill out all relevant information, to include comments that will help the reviewer assess the material. Not all of the categories will apply to every request. Because you have permissions beyond that of a

submitter outside the SSI Program, you will need to add all reviewers and assign due dates at this point. Once you have added all due dates and reviewer names click save at the bottom left corner of the review request.

Creating a Record for Someone Else

Submitting a request on behalf of someone else? No problem! Follow the steps below under the “Requesting on Behalf of?” section on the New SSI Review form.

New SSI Review: SSI Assessment

FOIA Number

OSG / OIG Number

Requesting on Behalf of?

TSA Employee

Search Accounts...

External Contact

Search Contacts...

+ New Contact

Requestor Information

Submitted To

Location

Another TSA Employee

If submitting a request on behalf of another TSA Employee, search for the employee's name in the applicable field. If the employee is not in the SSI App database, you can click “New Account” to add them.

Contact Outside of TSA

If submitting a request on behalf of someone outside of TSA, search for the person's name in the 'External Contact' field. If the contact is not in the SSI App database, you can click “New Contact” to add them.

New SSI Review: SSI Assessment

FOIA Number

OSG / OIG Number

Requesting on Behalf of?

TSA Employee

Crystal

Search Accounts...

External Contact

Search Contacts...

+ New Account

Requestor Information

Submitted To

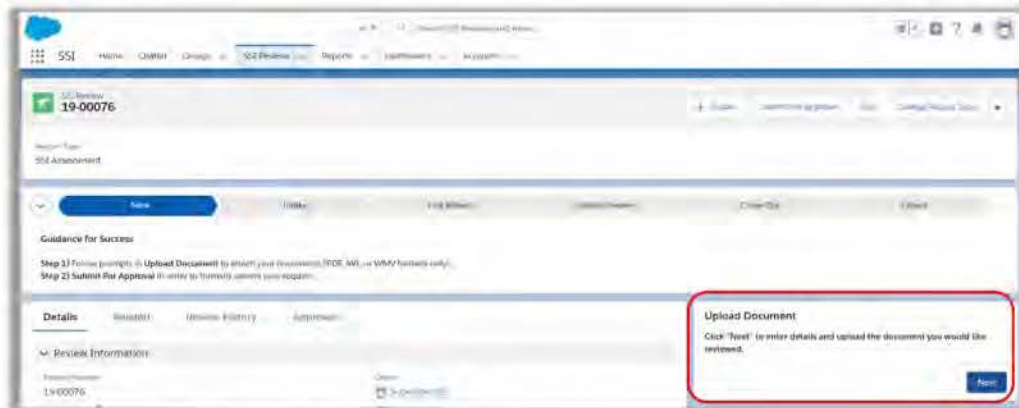
Location

TSA HQ

Airport/Com

Upload Document

Before the review can be approved for intake, you must upload all files. Upload one file at a time. Follow the prompts to upload successfully. *(Note: The only formats allowed are .PDF, .AVI, and .WMV.)* Files are limited to those less than 2GB.



Files Greater than 2GB

If the file is greater than 2GB, you will need to upload a single blank document and enter "1" as the page count. Place a comment in request indicating the location of the documents.

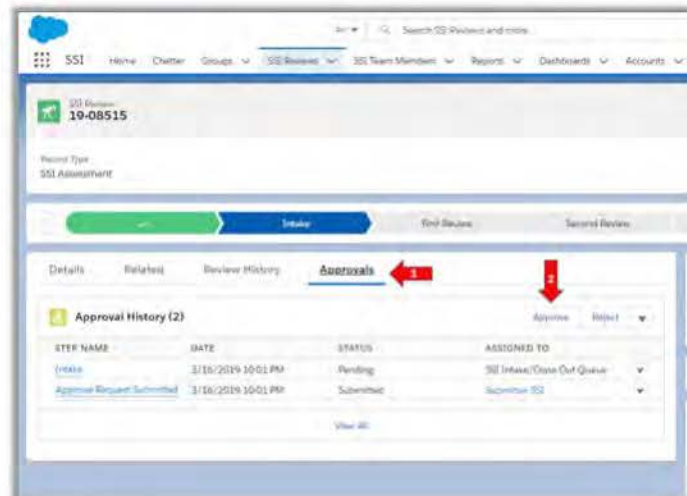
Submit for Approval

Once you've uploaded all relevant documents, your final step is to submit the record for review. To do so, click the "Submit for Approval" button at the top of the record, add comments explaining why the SSI team submitted the review and click submit.



Complete Intake (SSI Program Analyst Submissions)

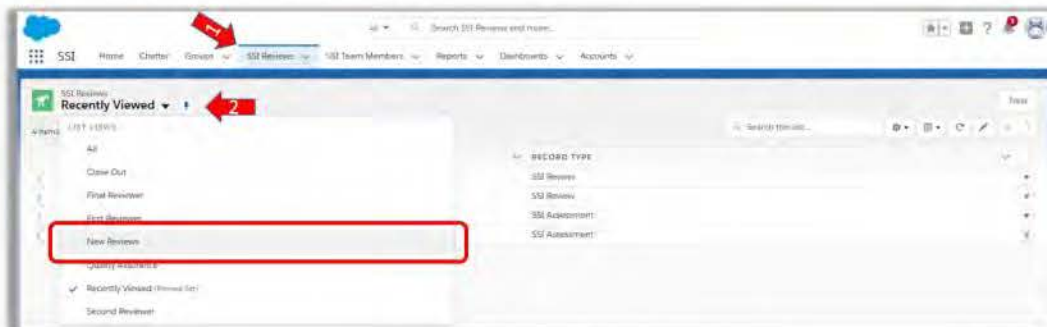
The record will then move to the *Intake* stage. Complete all Intake steps as detailed for Assessment or Review Approval Process below. Verify that all relevant fields have been filled and all documents are loaded. At this point you can click on the Approvals tab and approve the document. Add comments for first review, then click ok. You will receive an email notification that the review is being processed.



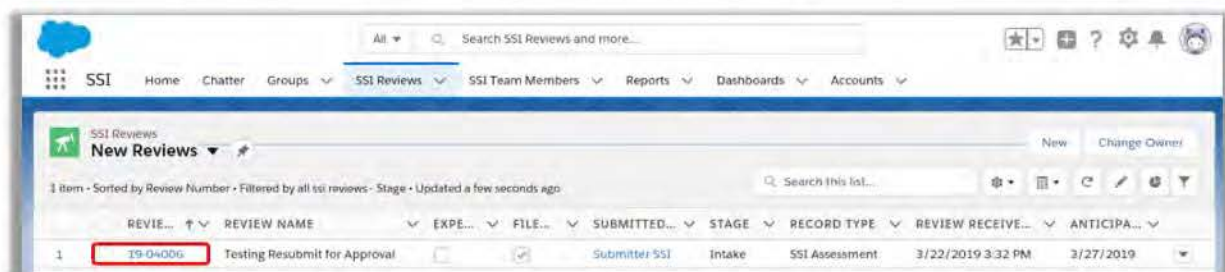
Assessment Approval Process

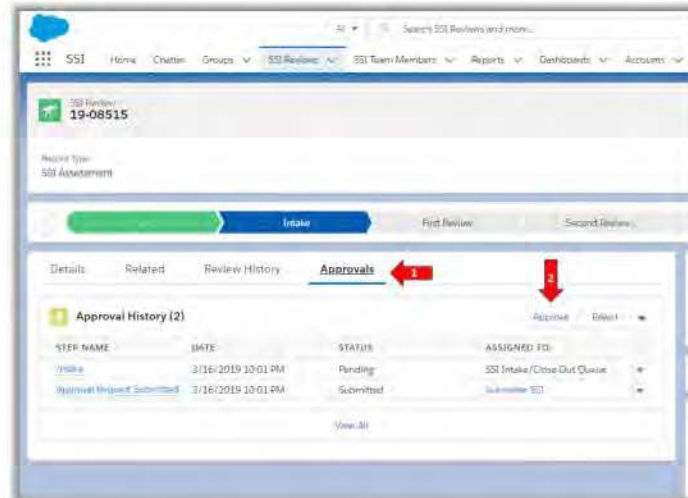
Intake Stage

Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) next, click the drop-down arrow next to the select the list view called *New Reviews*.



Click the Review Number (*blue hyperlink*) with the Record Type listed as SSI Assessment. The SSI Assessment record will open and display the record as in the Intake Stage. Note: At this time, there will be no records listed under the *Working Documents* section on the right.





Enter optional comments for the First Reviewer and click the *Approve* button again. Once the review is approved, the first reviewer will receive an email notification that they

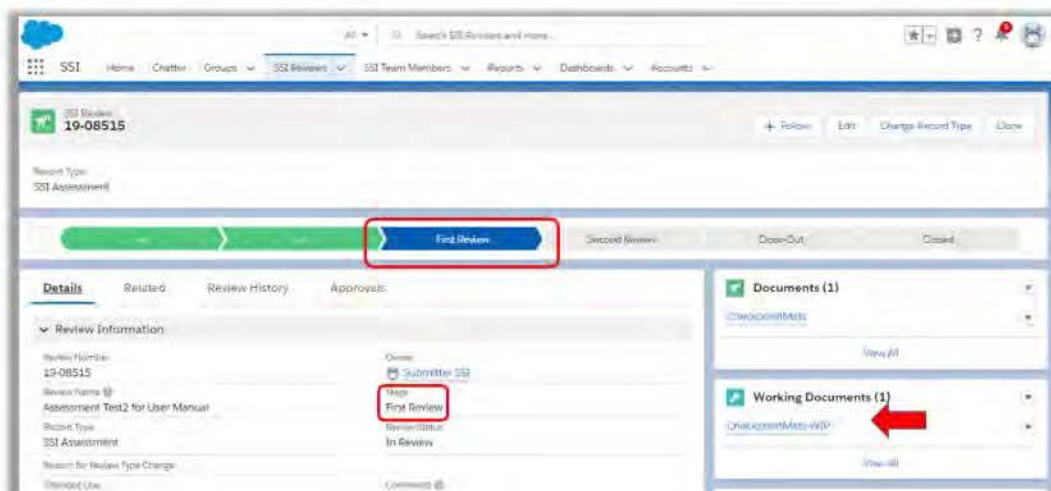
Approve SSI Review

Comments

Test comments for First Reviewer

Cancel Approve

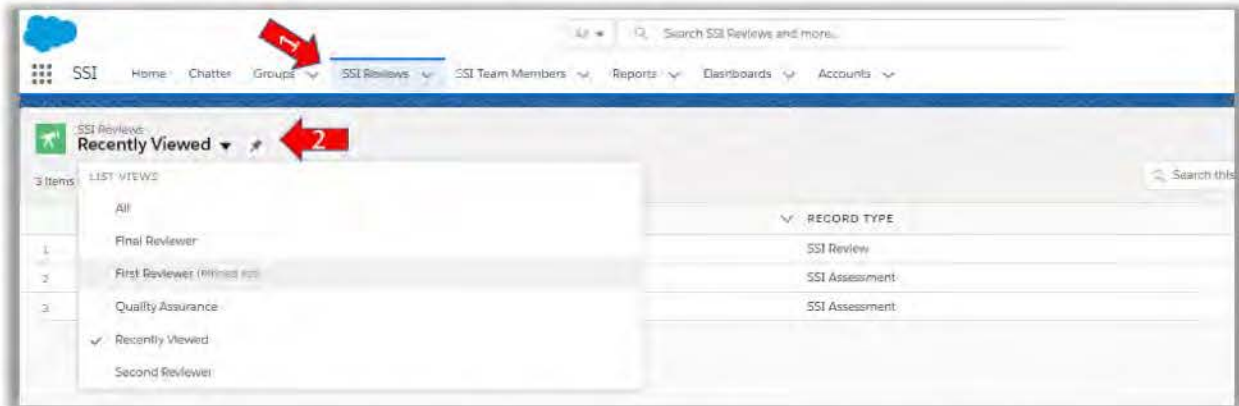
Notice the SSI Record is now in the First Reviewer stage. At this point, the record is locked to Intake and only the First Reviewer can edit. Also, after Intake approved the record, the SSI App instantly created a copy of the document uploaded by the Submitter. *Working Documents* is the area where the assigned Reviewers will work with their versions of the document.



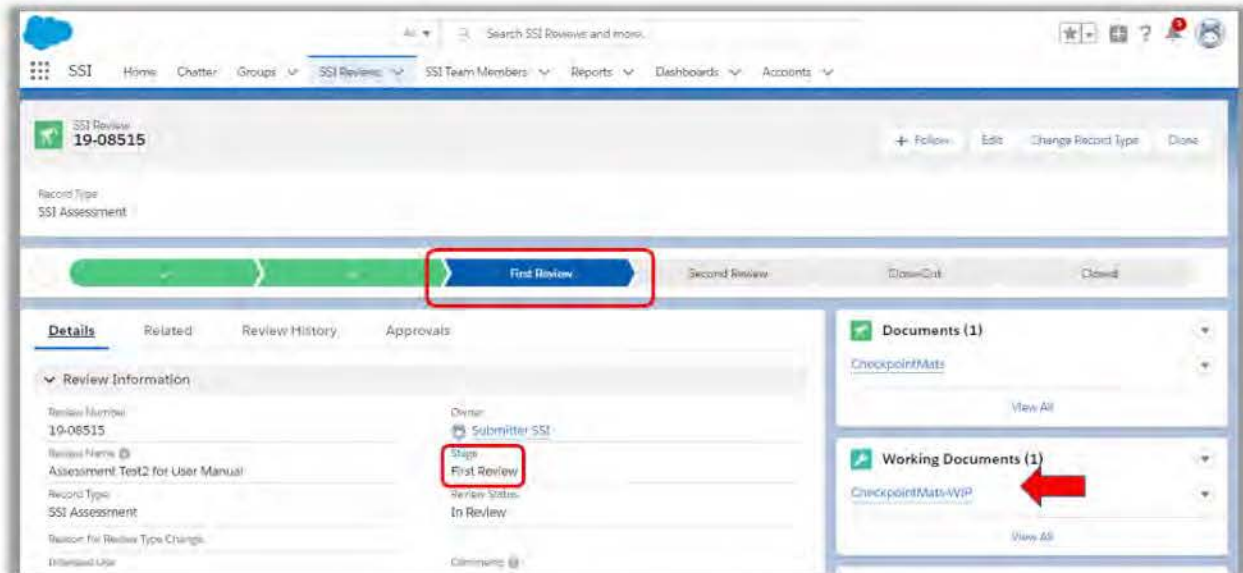
Assessment Review Stages

First Reviewer Stage

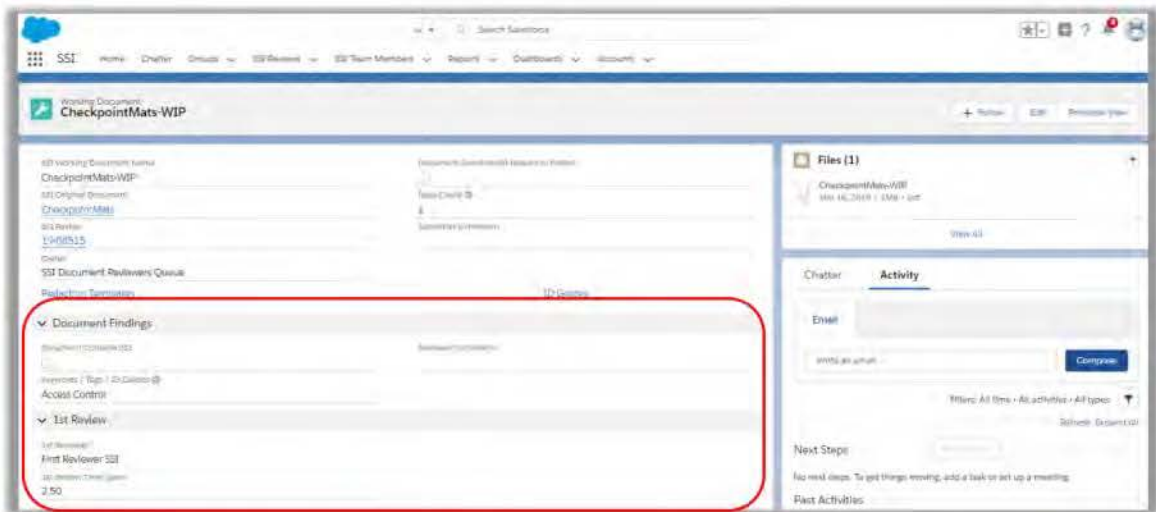
Using the navigational tab on top of the page, (1) click the words SSI Reviews. (2) Next, click the drop-down arrow next to the select the list view called First Reviewer.



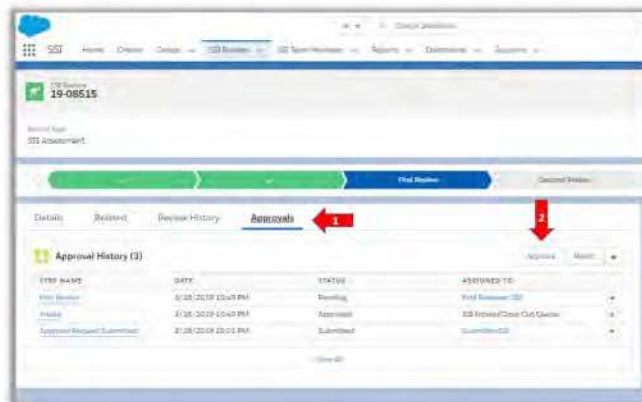
Click the Review Number ([blue hyperlink](#)) with the Record Type listed as SSI Assessment. The SSI Review record will open and display the record as in the First Review Stage. Then, under *Working Documents*, click the ([blue hyperlink](#)).



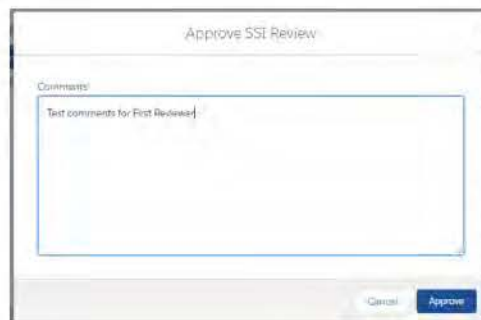
A separate record containing the working version of the Submitter's document will open. As a First Reviewer you can edit the fields under the section *Document Findings*. The *Keywords/Tags/ID Guides* is a required field, so you must select at least one value. Also, under the *1st Review* section, you can enter the total time spent reviewing the documents in the *1st Review Time Spent* field.



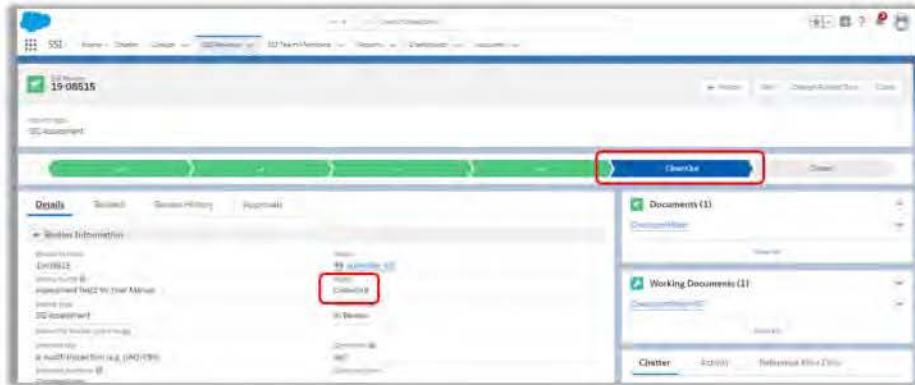
Once ready to forward onto the next level in the review process, click the Review Number ([blue hyperlink](#)) to return to the SSI Review record. Click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the next Reviewer and click the *Approve* button again.

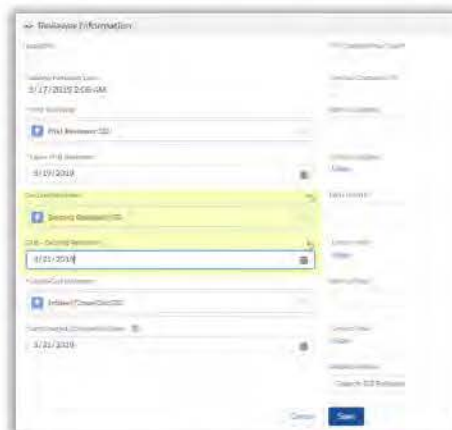


Notice the SSI Review record is now in the *Close-Out* stage. At this point, the record is locked to the First Reviewer and only the Close-out Reviewer can edit.

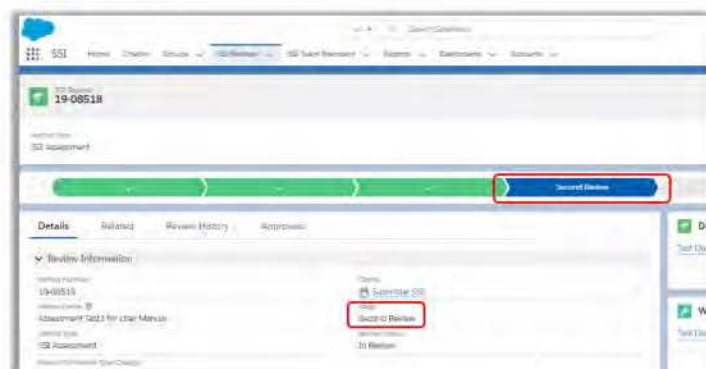


Adding Second Reviewer to Assessments

In the example above, the First Reviewer was able to complete review of the SSI Assessment without any further assistance needed. However, in the use case where a First Reviewer would like a second set of eyes to ensure accuracy and completeness, they can assign a Second Reviewer. On the SSI Review record, scroll down to the *Reviewer Information* section and click the pencil icon next to the *Second Reviewer* field. Enter name of Second Reviewer and date for Due-Second Reviewer field.



Now, once the First Reviewer clicks *Approve*, the SSI Review record will route to the Second Reviewer instead of going directly to Close-Out.

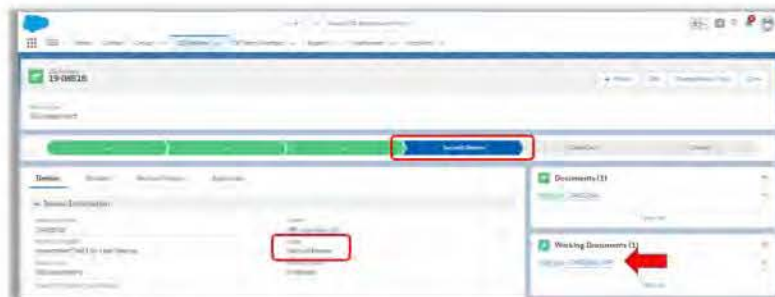


Second Reviewer Stage (when needed)

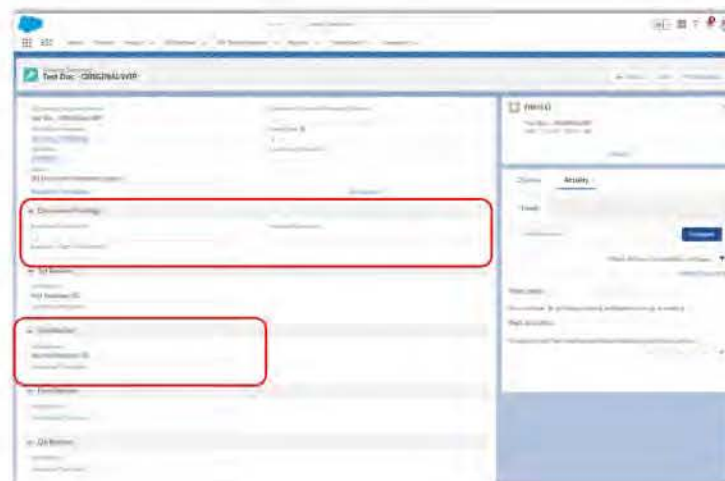
Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to the select the list view called *Second Reviewer*.



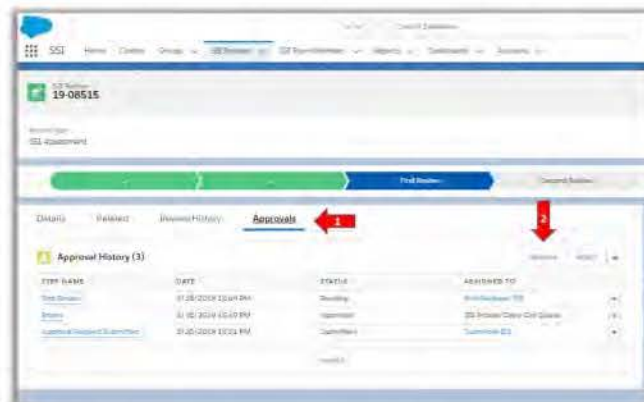
Click the Review Number (*blue hyperlink*) with the Record Type listed as SSI Assessment. The SSI Review record will open and display the record as in the Second Review Stage. Then, under *Working Documents*, click the (*blue hyperlink*).



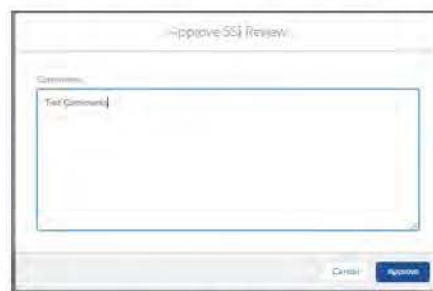
A separate record containing the working version of the Submitter's document will open. As a Second Reviewer you can edit the fields under the section *Document Findings*. The *Keywords/Tags/ID Guides* is a required field, so you must select at least one value. Also, under the 2nd Review section, you can enter the total time spent reviewing the documents in the 2nd Review Time Spent field.



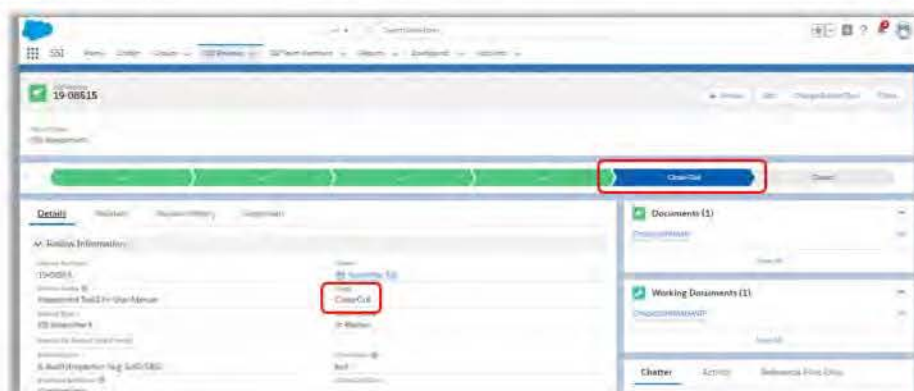
Once ready to forward onto the next level in the review process, click the Review Number (*blue hyperlink*) to return to the SSI Review record. Click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the next Reviewer and click the *Approve* button again.

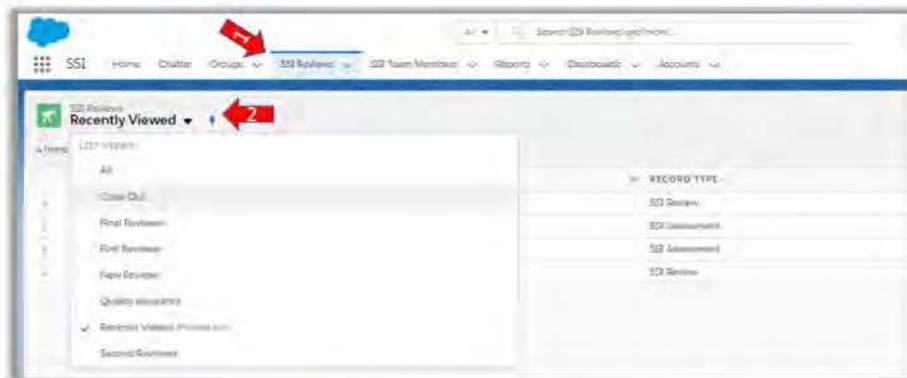


Notice the SSI Review record is now in the Close-Out stage. At this point, the record is locked to the Second Reviewer and only the Close-out Reviewer can edit.



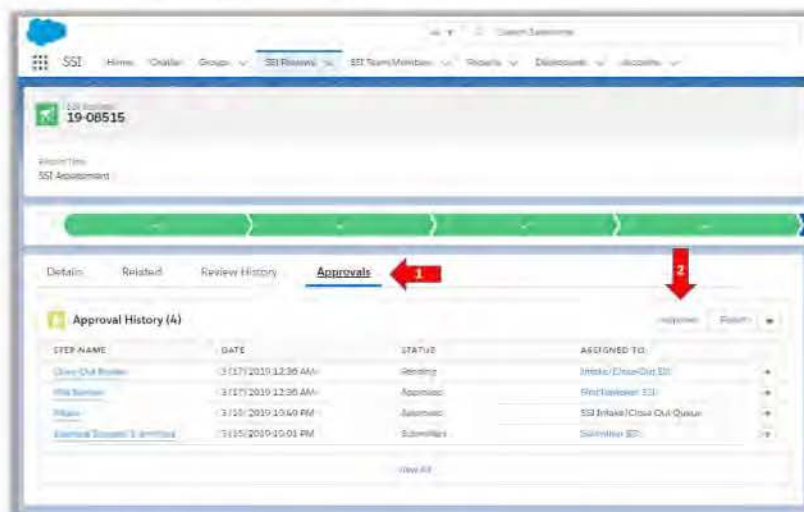
Closeout Stage for Assessments

Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to the select the list view called *Close-Out*.



Click the Review Number ([blue hyperlink](#)) with the Record Type listed as SSI Assessment. The SSI Review record will open and display the record as in the *Close-Out Stage*. At this point follow the instructions under [How to Email](#) to send notification to the Submitter that their assessment is complete. Also, attach the findings memo to the email following the steps for attaching template language. Be sure to use the appropriate template (records contain SSI or no SSI).

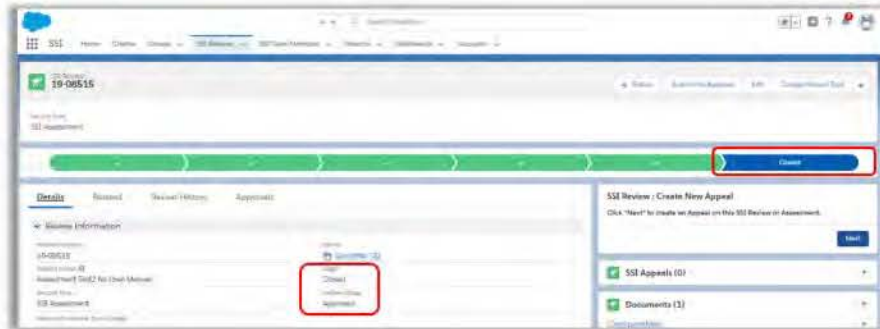
Finally, click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the next Reviewer and click the *Approve* button again.



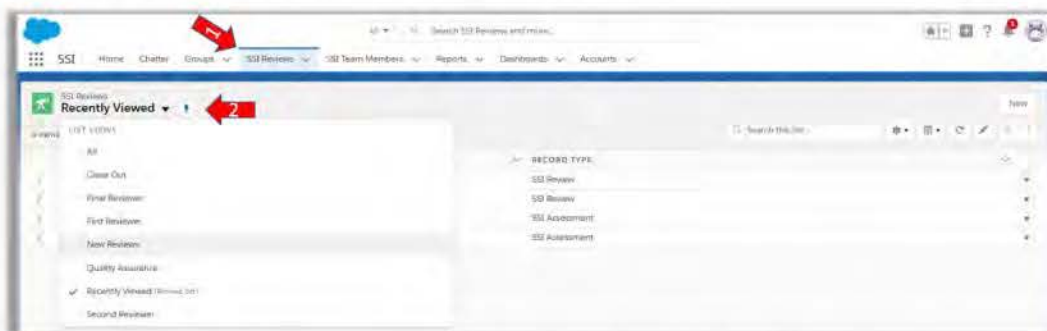
Notice the SSI Review record is now in the *Closed* stage and the Review Status is *Approved*. At this point, the record is locked to the Close-out user and no one can edit.



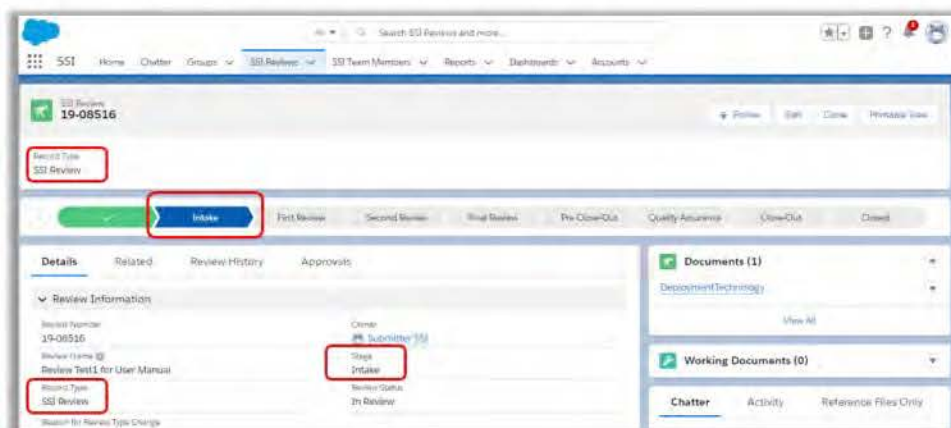
Review Approval Process


Intake Stage

Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to the select the list view called *New Reviews*.



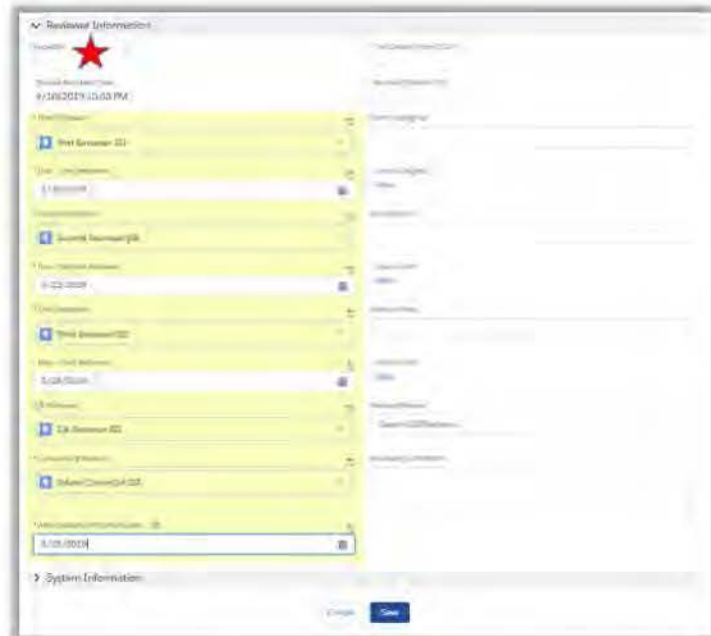
Click the Review Number (*blue hyperlink*) with the Record Type listed as SSI Review. The SSI Review record will open and display the record as in the *Intake Stage*. Note: At this time, there will not be any records listed under the *Working Documents* section on the right.



Navigate to the *Reviewer Information* section, click the pencil icon  next to the *First Reviewer* field and begin to complete the following fields:

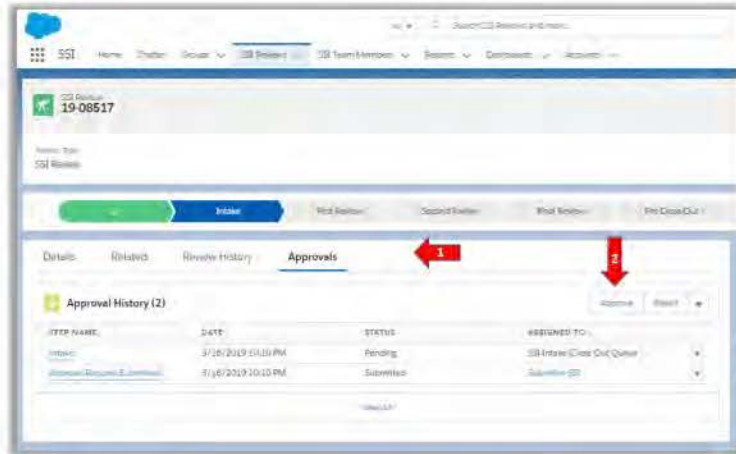
- First Reviewer
- Due-First Reviewer
- Second Reviewer
- Due-Second Reviewer
- Final Reviewer
- Due-Final Reviewer
- QA Reviewer
- Close-Out Reviewer
- Anticipated Completion Date

Then, click *Save*.

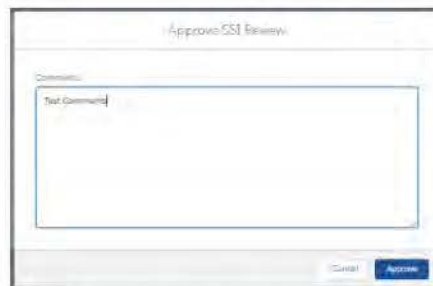
A screenshot of a web application form titled "Reviewer Information". The form has a red star icon in the top left corner. It contains several sections with yellow highlights: "First Reviewer" (with a dropdown menu), "Due-First Reviewer" (with a date field), "Second Reviewer" (with a dropdown menu), "Due-Second Reviewer" (with a date field), "Final Reviewer" (with a dropdown menu), "Due-Final Reviewer" (with a date field), "QA Reviewer" (with a dropdown menu), "Close-Out Reviewer" (with a dropdown menu), and "Anticipated Completion Date" (with a date field). The form also includes a "System Information" section at the bottom. The "Save" button is visible at the bottom right.

★ Note: As Intake, you can indicate if an SSI Review record is rushed by clicking the box next to the field labeled *Expedite*.

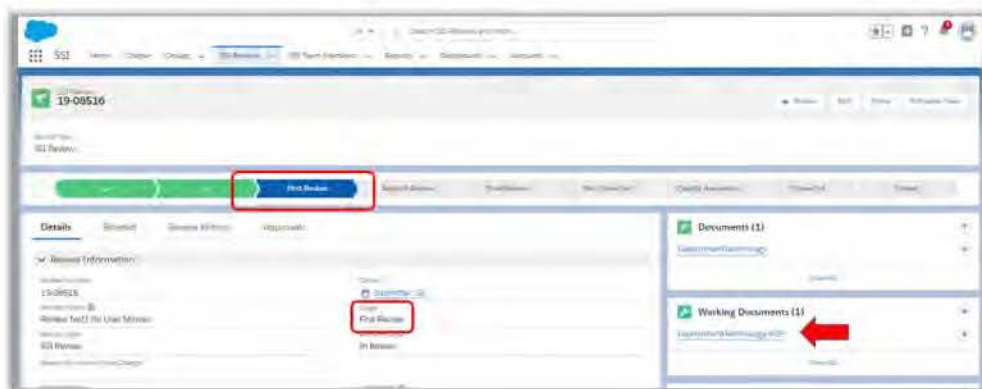
Scroll back to the top of the page and click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the First Reviewer and click the *Approve* button again.

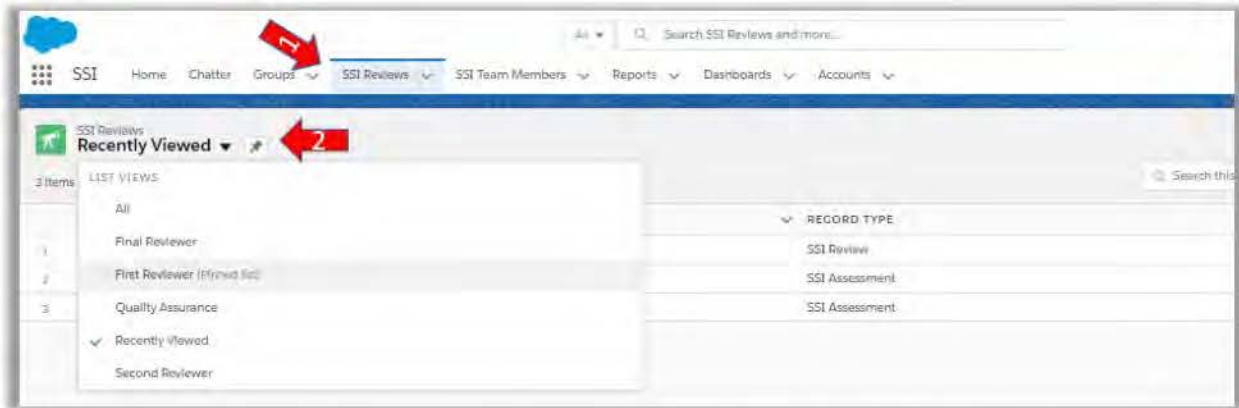


Notice the SSI Record is now in the *First Reviewer* stage. At this point, the record is locked to Intake and only the First Reviewer can edit. Also, after Intake approved the record, the SSI App instantly created a copy of the document uploaded by the Submitter. *Working Documents* is the area where the assigned Reviewers will work with their versions of the document.

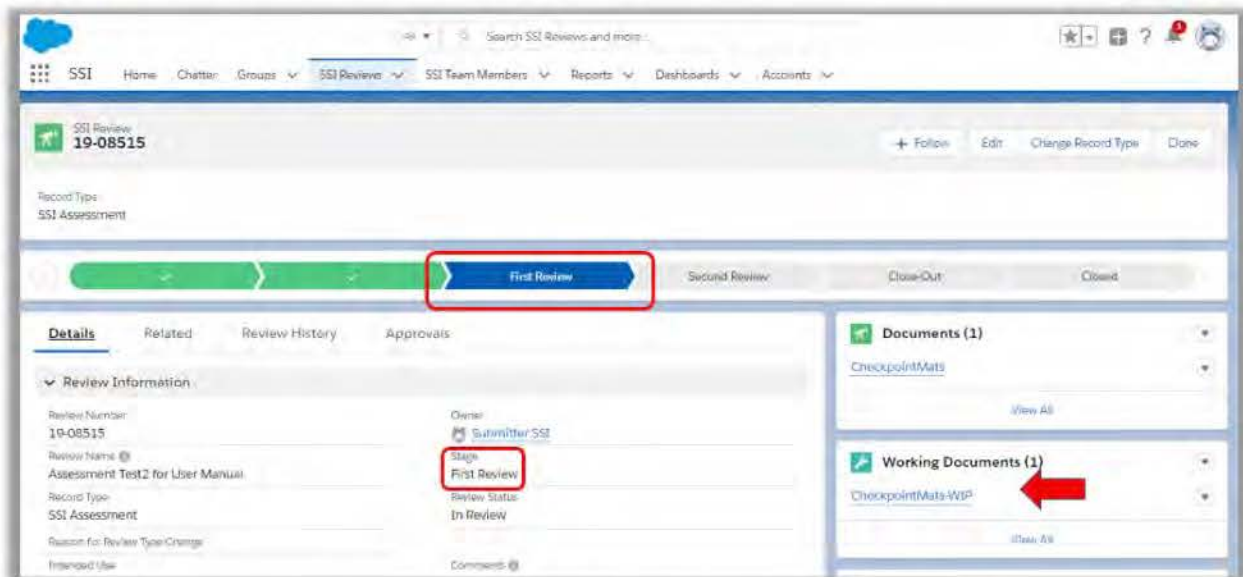


First Reviewer Stage

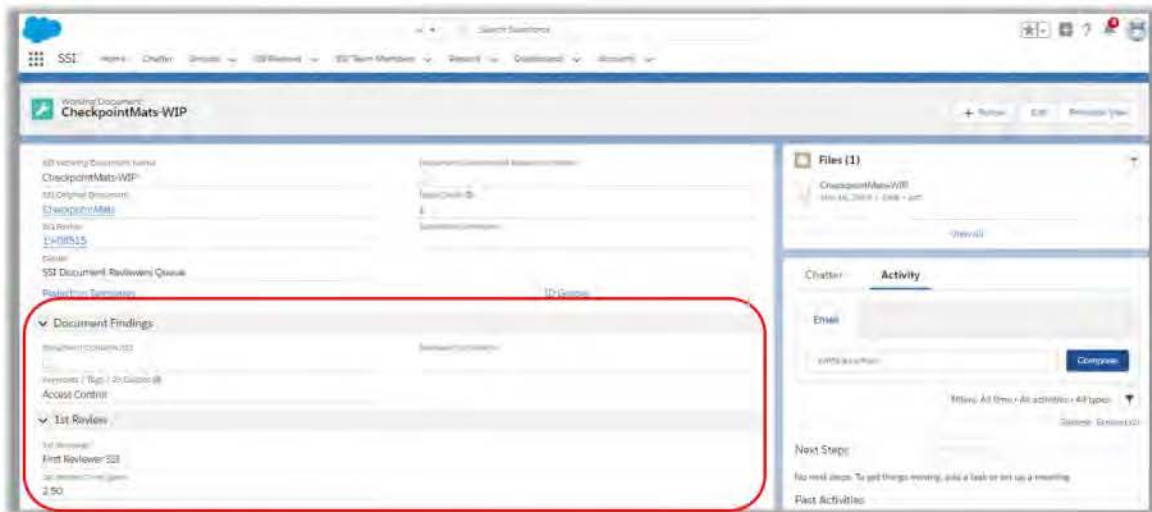
Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to the select the list view called *First Reviewer*.



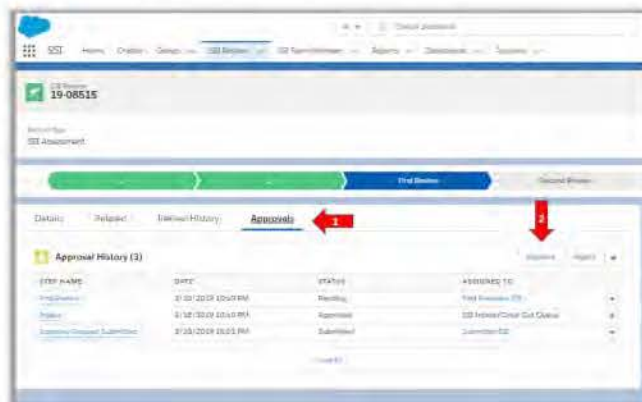
Click the Review Number ([blue hyperlink](#)) with the Record Type listed as SSI Review. The SSI Review record will open and display the record as in the *First Review* stage. Then, under *Working Documents*, click the ([blue hyperlink](#)) to access each of the working documents.



A separate record containing the working version of the Submitter's document will open. As a First Reviewer you can edit the fields under the section *Document Findings*. The *Keywords/Tags/ID Guides* is a required field, so you must select at least one value. Also, under the *1st Review* section, you can enter the total time spent reviewing the documents in the *1st Review Time Spent* field.



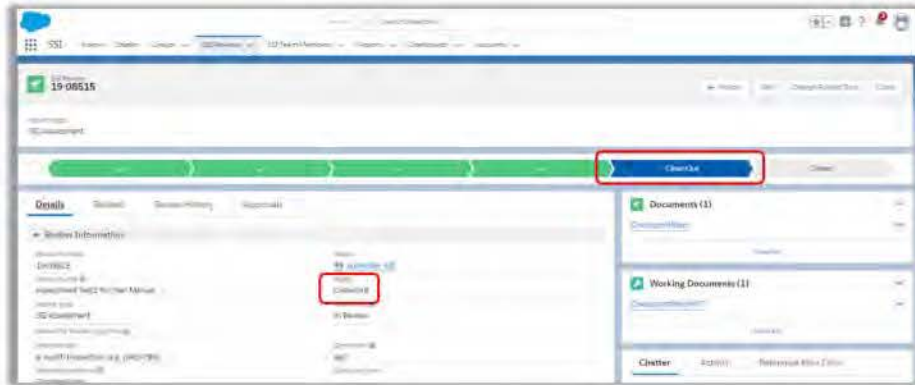
Once ready to forward onto the next level in the review process, go to the final document under review and send an email to the next reviewer indicating that you've completed your review. Ensure you add the review number in the email. Then click the Review Number ([blue hyperlink](#)) to return to the SSI Review record. Click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the next Reviewer and click the *Approve* button again.

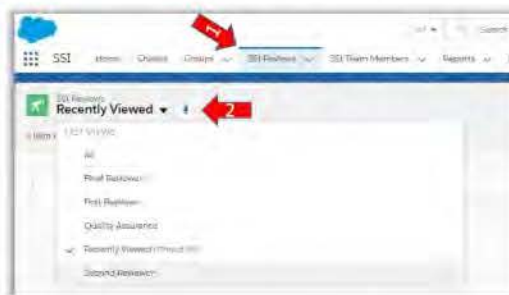


Notice the SSI Review record is now in the Second Review stage. At this point, the record is locked to the First Reviewer and only the Second Reviewer can edit.

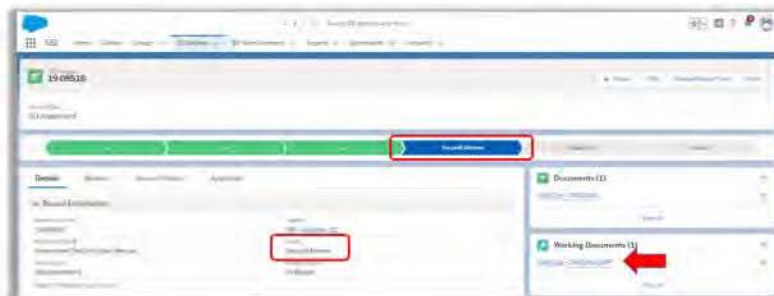


Second Reviewer Stage

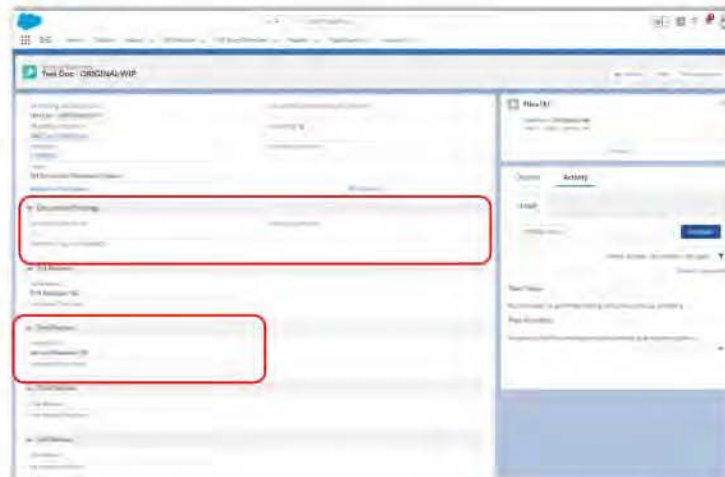
Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to the select the list view called *Second Reviewer*.



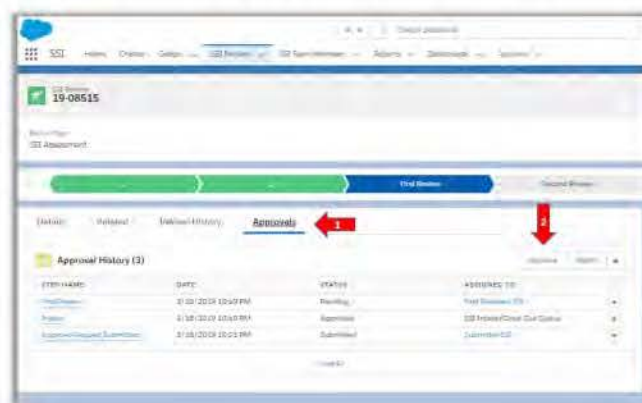
Click the Review Number (*blue hyperlink*) with the Record Type listed as SSI Review. The SSI Review record will open and display the record as in the *Second Review* stage. Then, under *Working Documents*, click the (*blue hyperlink*) to access each of the working documents.



A separate record containing the working version of the Submitter's document will open. As a Second Reviewer you can edit the fields under the section *Document Findings*. The *Keywords/Tags/ID Guides* is a required field, so you must select at least one value. Also, under the *2nd Review* section, you can enter the total time spent reviewing the documents in the *2nd Review Time Spent* field.



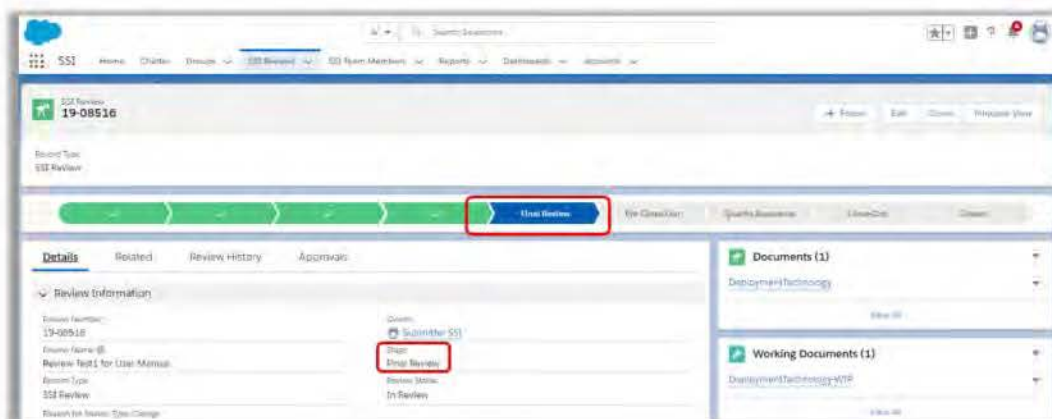
Once ready to forward onto the next level in the review process, go to the final document under review and send an email to the next reviewer indicating that you've completed your review. Ensure you add the review number in the email. Then click the Review Number ([blue hyperlink](#)) to return to the SSI Review record. Click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the next Reviewer and click the *Approve* button again.

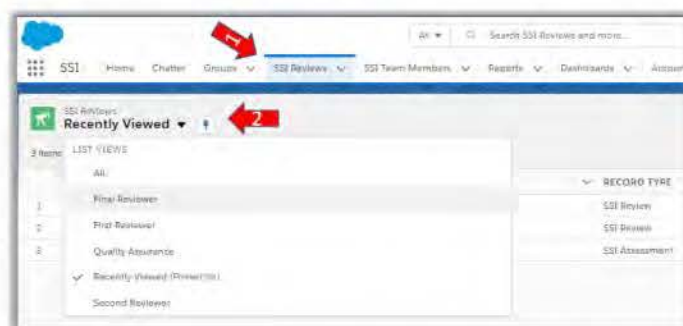


Notice the SSI Review record is now in the Final Reviewer stage. At this point, the record is locked to the Second Reviewer and only the Final Reviewer can edit.

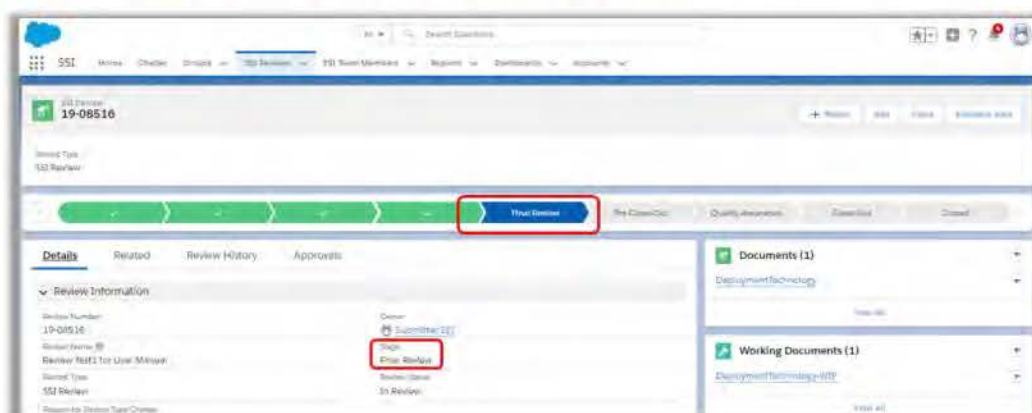


Final Reviewer Stage

Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to the select the list view called *Final Reviewer*.



Click the Review Number ([blue hyperlink](#)) with the Record Type listed as SSI Review. The SSI Review record will open and display the record as in the *Final Review* stage. Then, under *Working Documents*, click the ([blue hyperlink](#)) to access each of the working documents.



A separate record containing the working version of the Submitter's document will open. As a Final Reviewer you can edit the fields under the section *Document Findings*. The *Keywords/Tags/ID Guides* is

a required field, so you must select at least one value. Also, under the *Final Review* section, you can enter the total time spent reviewing the documents in the *Final Review Time Spent* field.

The screenshot shows a web form titled 'Text Doc: ORIGINAL.VMP'. It has several sections: 'Document Review' (highlighted with a red box), 'Final Review' (highlighted with a red box), and 'Final Review Time Spent'. The 'Document Review' section contains a table with columns for 'Document Review' and 'Final Review'. The 'Final Review' section contains a table with columns for 'Final Review' and 'Final Review Time Spent'. The 'Final Review Time Spent' field is a text input field.

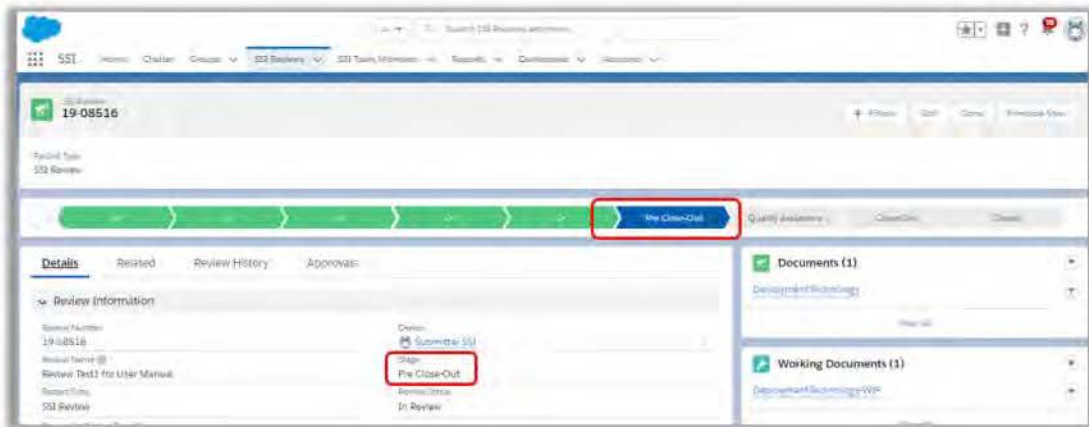
Once ready to forward onto the next level in the review process, go to the final document under review and send an email to the close-out analyst indicating that you've completed your review. Ensure you add the review number in the email. Then click the Review Number ([blue hyperlink](#)) to return to the SSI Review record. Click the *Approvals* tab. Next, click the *Approve* button.

The screenshot shows the 'Approvals' tab of the SSI Review record. It displays a table with columns for 'Item Name', 'Date', 'Status', and 'Assigned To'. The 'Approve' button is highlighted with a red arrow. The 'Review Number' link is also highlighted with a red arrow.

Enter optional comments for the next Reviewer and click the *Approve* button again.

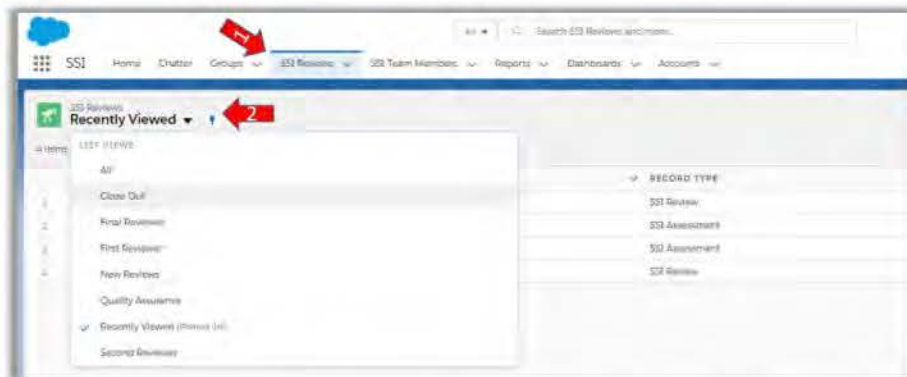
The screenshot shows a dialog box titled 'Approve SSI Review'. It contains a text area labeled 'Comments' with the placeholder text 'Add Comment'. There are 'Cancel' and 'Approve' buttons at the bottom.

Notice the SSI Review record is now in the *Pre Close-Out* stage. At this point, the record is locked to the Final Reviewer and only the *Close-Out* user can edit.

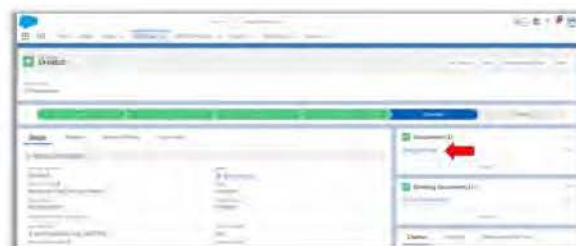


Pre-closeout Stage

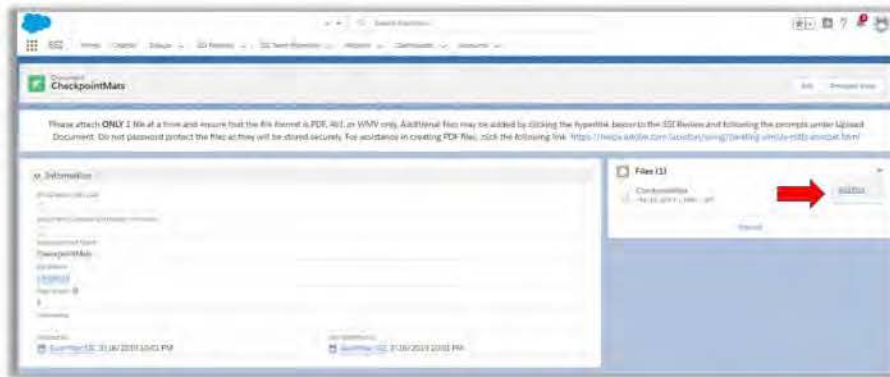
Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to *Recently Viewed* to select the list view called *Close Out*.



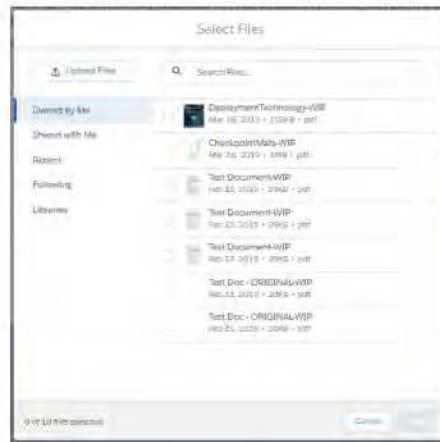
Click the Review Number (*blue hyperlink*) with the Record Type listed as SSI Review. The SSI Review record will open and display the record as in the *Pre Close-Out* stage. Then, under *Working Documents*, click the (*blue hyperlink*) to access the working version of the submitted documents (see [Downloading and Uploading Documents](#)). Once ready, return to the SSI Review record, by clicking the *blue hyperlink* in the *SSI Review* field. Back on the SSI Review record, click the *blue hyperlink* under the *Documents* section.



A Document record associated with the documents uploaded by the Submitter will open. Click the drop-down arrow on the right next to *Files*. And click *Add Files*.



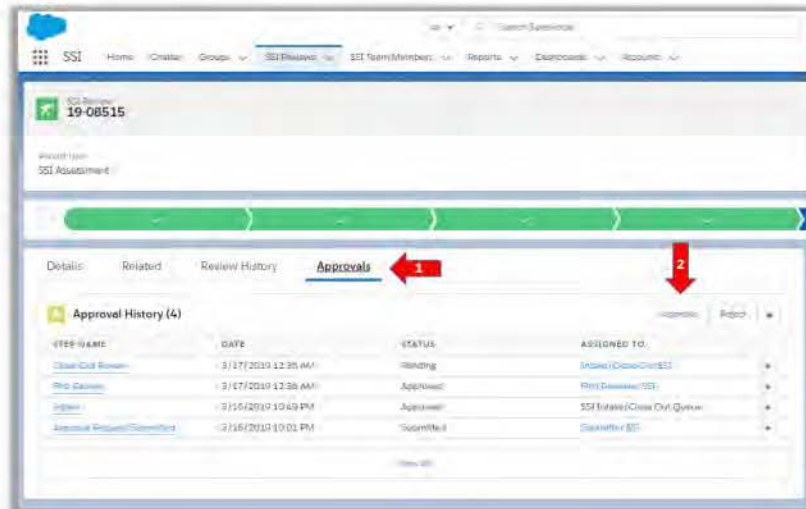
Click *Upload Files* and select the final version of the document from its saved location.



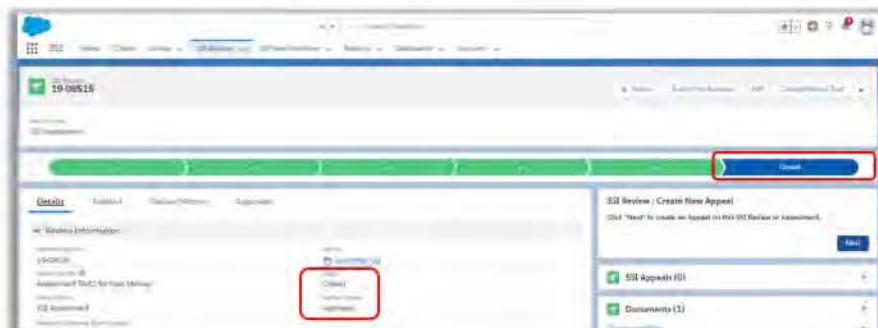
Click *Done*. The file is now added to the Document record and is visible to the Submitter. Repeat this process for all of the files associated with the request.



Once you have finished uploading the final files, return to the SSI Review record, by clicking the *blue hyperlink* in the SSI Review field. Follow the instructions under [How to Email](#) to send notification to the Submitter that their review is complete. Finally, click the *Approvals* tab. Next, click the *Approve* button.

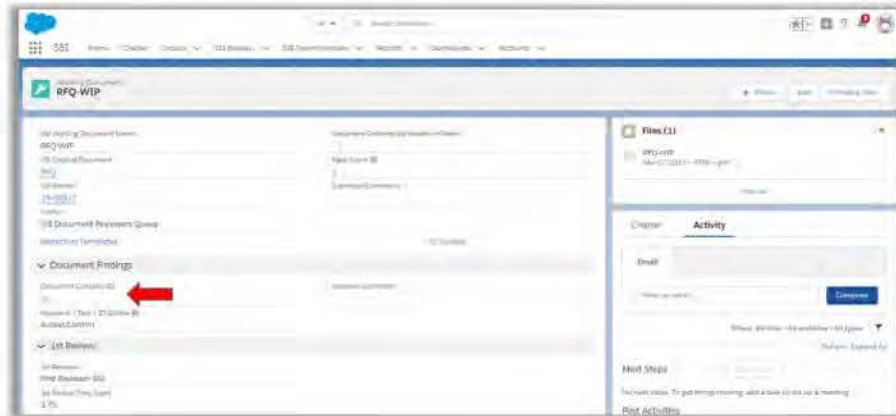


Notice the SSI Review record is now in the *Closed* stage and the Review Status is Approved. It has skipped the Quality Assurance stage as SSI was not found during the review process. At this point, the record is locked to the Close-out user and no one can edit.

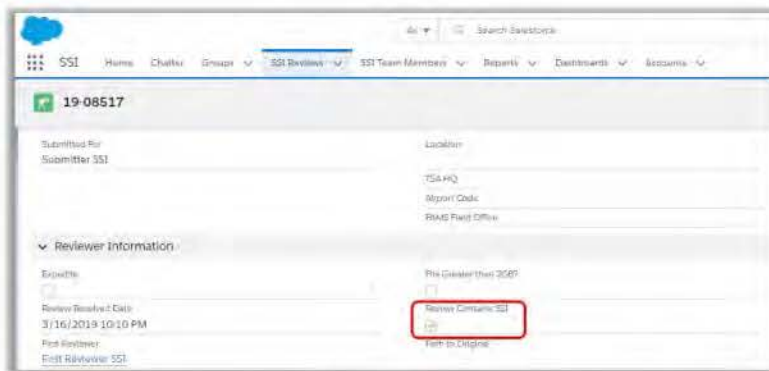


Quality Assurance Stage

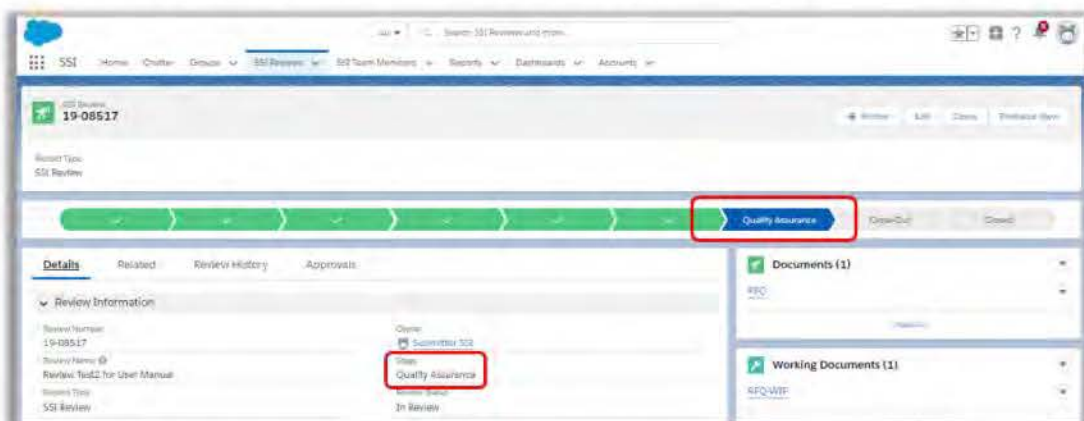
In the stage above, SSI was not found during the SSI Review process. However, if SSI were found at any point during the review process, reviewers would have the ability to indicate so by checking the Document Contains SSI field on a Working Document record. See the example below, during their stage of review, the First Reviewer has checked the box for the field.



As a result, the SSI App has auto-checked a similar field on the corresponding SSI Review Record. In our example, we've clicked the [blue hyperlink](#) in the SSI Review field to return to the SSI Review record to view.

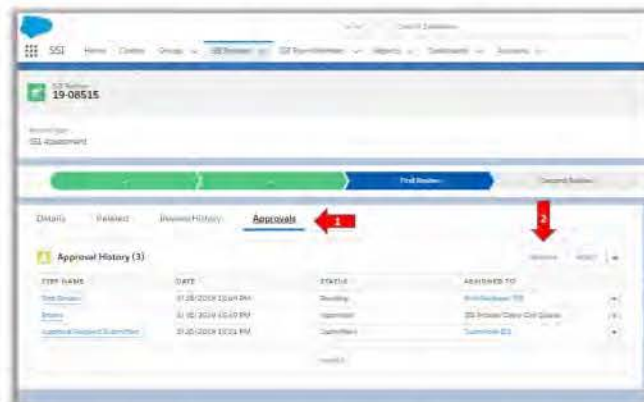


Now, after the SSI Review record reaches the Pre Close-Out Reviewer, when the Close-Out user Approves the record instead of moving to Closed stage, it will move to the Quality Assurance stage.

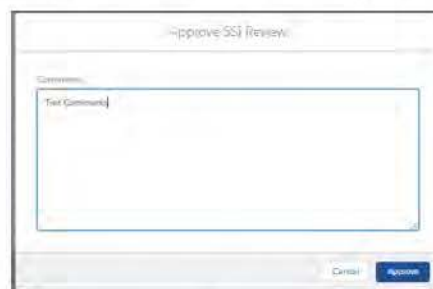


Using the navigational tab on top of the page the Quality Assurance user will (1) click the words "SSI Reviews". (2) Next, click the drop-down arrow next to Recently Viewed to select the list view called Quality Assurance.

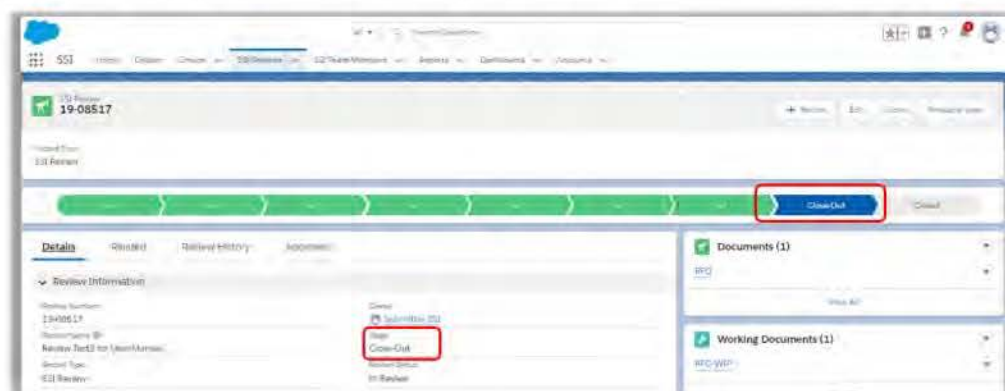
Once ready to forward onto the next level in the review process, click the Review Number ([blue hyperlink](#)) to return to the SSI Review record. Click the Approvals tab. Next, click the Approve button.



Enter optional comments for the next Reviewer and click the Approve button again.

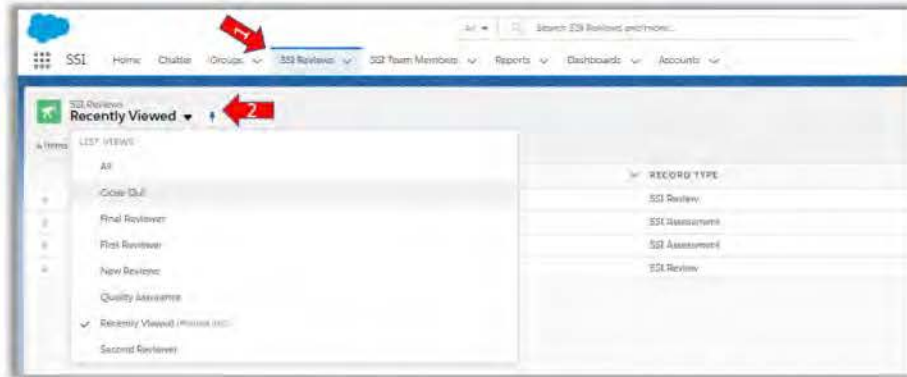


Notice the SSI Review record is now in the Close-Out stage. At this point, the record is locked to the Quality Assurance user and only the Close-Out user can edit.



Closeout Stage

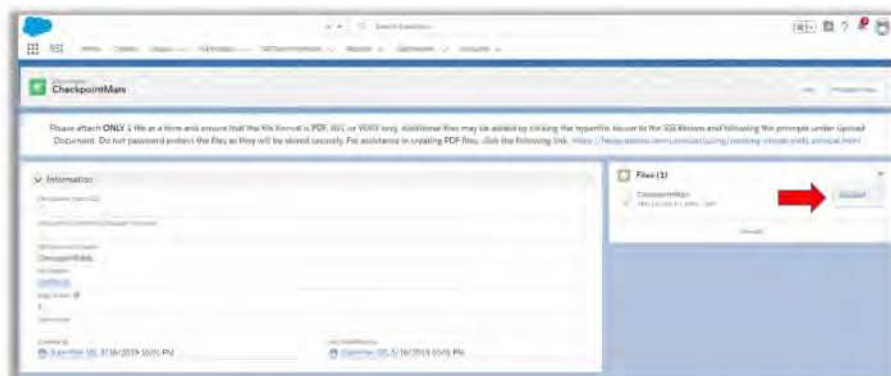
Using the navigational tab on top of the page, (1) click the words "SSI Reviews". (2) Next, click the drop-down arrow next to the select the list view called Close Out.



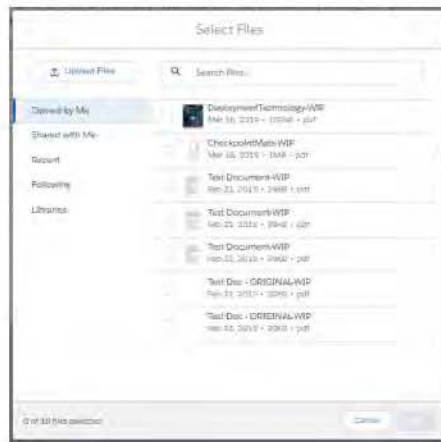
Click the Review Number ([blue hyperlink](#)) with the Record Type listed as SSI Review. The SSI Review record will open and display the record as in the Close-Out Stage. Then, under Working Documents, click the ([blue hyperlink](#)) to access the working version of the submitted documents (see [Downloading and Uploading Documents](#)). Once ready, return to the SSI Review record, by clicking the [blue hyperlink](#) in the SSI Review field. Back on the SSI Review record, click the [blue hyperlink](#) under the Documents section.



A Document record associated with the documents uploaded by the Submitter will open. Click the drop-down arrow on the right next to "Files". And click Add Files.



Click Upload Files and select the final version of the Document from its saved location.

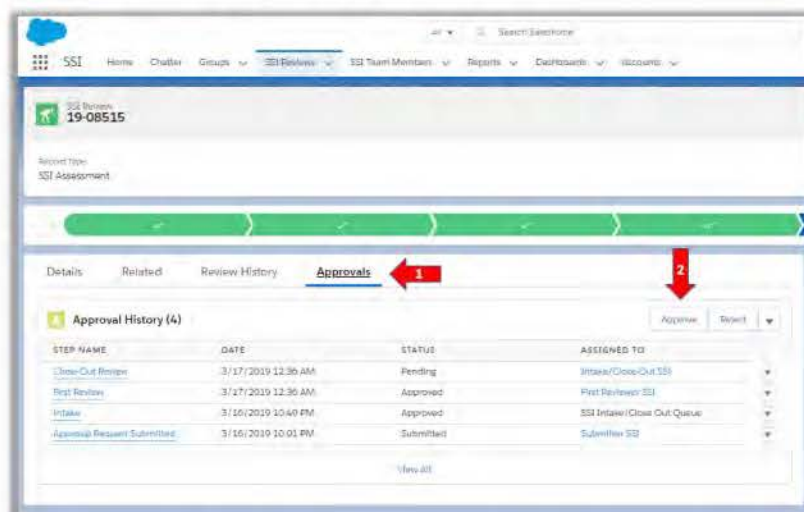


Click Done. The file is now added to the Document record and is visible to the Submitter.



Return to the SSI Review record, by clicking the [blue hyperlink](#) in the SSI Review field. Follow the instructions under [How to Email](#) to send notification to the Submitter that their review is complete.

Finally, click the Approvals tab. Next, click the Approve button.



Enter optional comments for the next Reviewer and click the Approve button again.

Notice the SSI Review record is now in the Closed stage and the Review Status is Approved. At this point, the record is locked to the Close-out user and no one can edit.

Appeal of an Assessment - Approval Process

After the SSI Team has completed their review of an SSI Review record, the Submitter has three years from the day the record was created to [appeal](#) the findings. For those records with the Record Type of SSI Assessment, the SSI Team will then follow the same process above used when reviewing a record with the record type of [SSI Review](#). This process includes a review at all levels:

- Intake First Reviewer
- First Reviewer
- Second Reviewer
- Final Reviewer
- QA Reviewer (optional depending on if SSI is found)
- Close-Out Reviewer

The only difference is when the SSI Team Member looks for an Appeal record in list views, they will look for the record type: SSI Appeal.

SS1

Home Chatter Groups SSI Reviews Reports Dashboards Accounts

SS1 Reviews

All

7 items • Sorted by Review Number • Filtered by all ssi reviews • Updated a few seconds ago

Search this list

REVIEW NUMBER	REVIEW NAME	SUBMITTED BY	STAGE	RECORD TYPE	OWNER ALIAS
1 19-08822	Appeal Text1 for User Manual	Submitter SSI	New	SSI Appeal	ss1
2 19-08819	test	Submitter SSI	New	SSI Assessment	ss1

Appeal of a Review - Approval Process

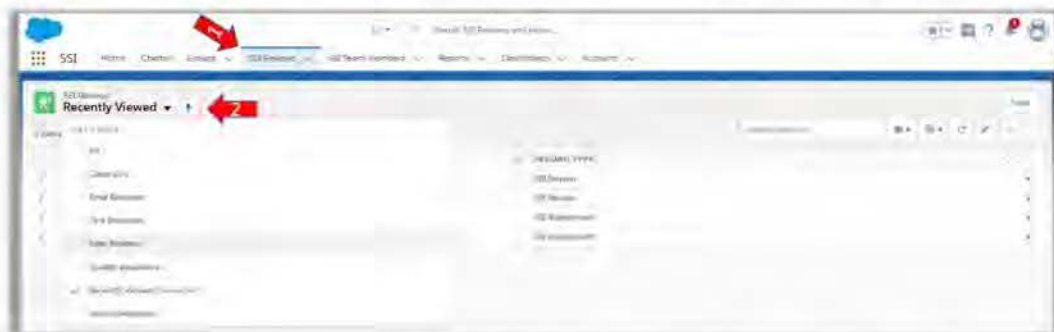
After the SSI Team has completed their review of a record with the Record Type as SSI Review, the Submitter has three years from the day the record was created to [appeal](#) the findings. The review process of an appeal of a record with the Record Type of SSI Review involves only certain stages:

- Intake
- Final Reviewer
- Pre Close-Out
- Quality Assurance (optional depending on if SSI is found)
- Close-Out

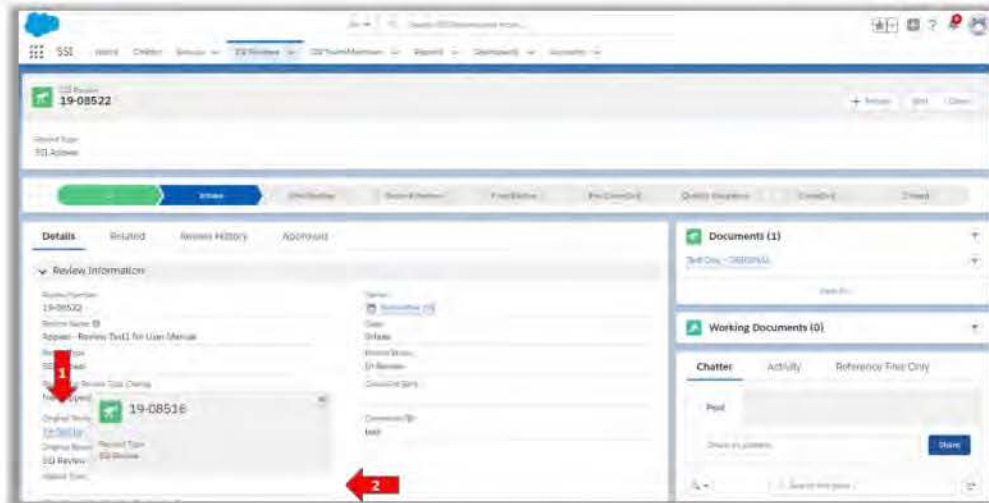
When the SSI Team Member looks for an Appeal record in list views, they will look for the record type: SSI Appeal.


Intake Stage

Using the navigational tab on top of the page, (1) click the words “SSI Reviews”. (2) Next, click the drop-down arrow next to the words “Recently Viewed” to select the list view called New Reviews.



Click the Review Number (*blue hyperlink*) with the Record Type listed as SSI Appeal. The SSI Review record will open and display the record as in the Intake Stage. (1) Hover over the Original Review # (*blue hyperlink*) to verify that the Appeal is for a record that originally had a Record Type of SSI Review. (2) Then, enter the Appeal Type. Note: there are no records listed under the Working Documents section on the right.



Navigate to the Reviewer Information section, click the pencil icon  next to the First Reviewer field and begin to complete the following fields:

- First Reviewer
- Due-First Reviewer
- Second Reviewer
- Due-Second Reviewer
- Final Reviewer
- Due-Final Reviewer
- QA Reviewer
- Close-Out Reviewer
- Anticipated Completion Date

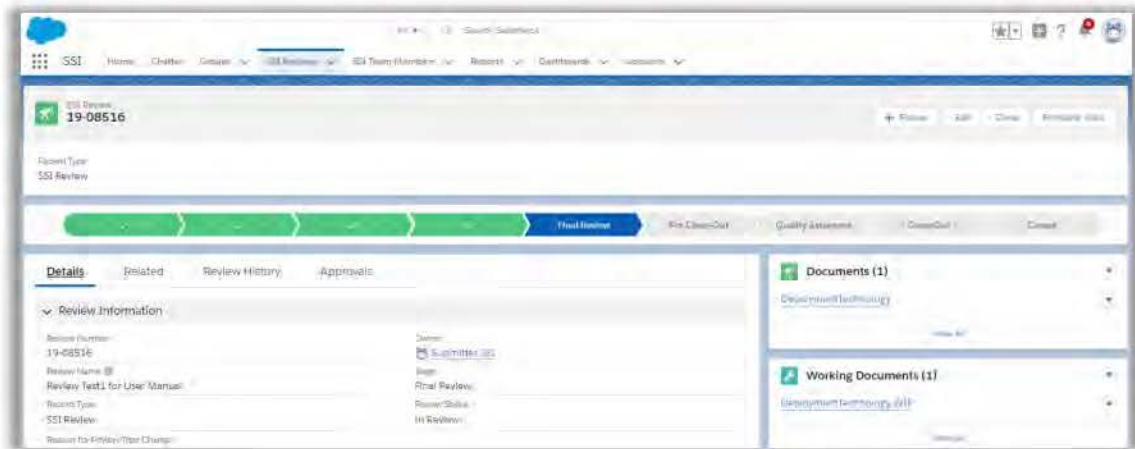
Then, click Save.

★ Note: As Intake, you can designate if an SSI Review record is rushed by clicking the box next to the field labeled “Expedite”.

Scroll back to the top of the page and click the Approvals tab. Next, click the Approve button.

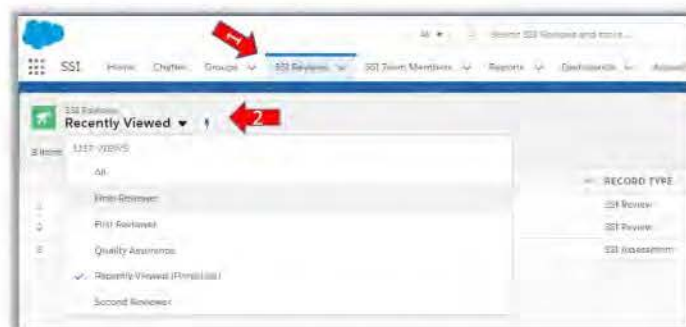
Enter optional comments for the Final Reviewer and click the Approve button again.

Notice the SSI Record is now in the Final Reviewer stage. At this point, the record is locked to Intake and only the Final Reviewer can edit. Also, after Intake approved the record, the SSI App instantly created a copy of the document uploaded by the Submitter. Working Documents is the area where the assigned Reviewers will work with their versions of the document.

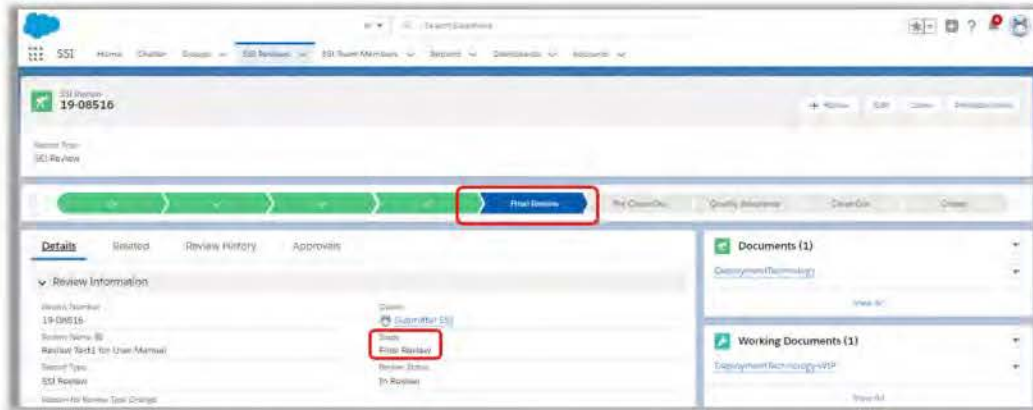


Final Reviewer Stage

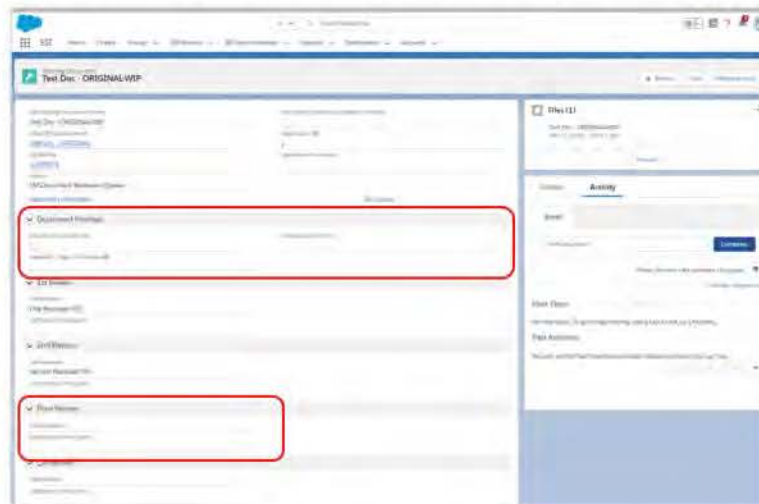
Using the navigational tab on top of the page, (1) click the words “SSI Reviews”. (2) Next, click the drop-down arrow next to the select the list view called Final Reviewer.



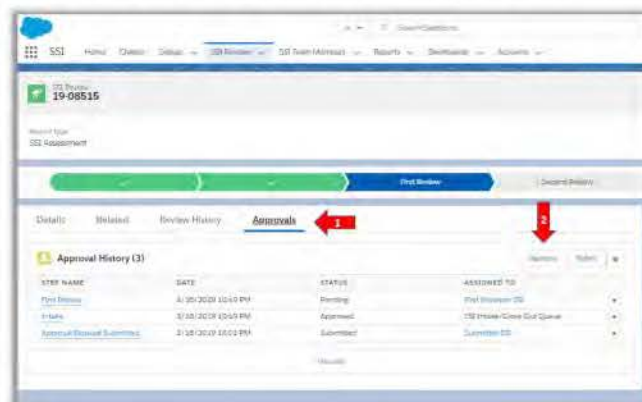
Click the Review Number ([blue hyperlink](#)) with the Record Type listed as SSI Appeal. The SSI Review record will open and display the record as in the Final Review Stage. Then, under Working Documents, click the ([blue hyperlink](#)).



A separate record containing the working version of the Submitter's document will open. As a Final Reviewer you can edit the fields under the section Document Findings. The Keywords/Tags/ID Guides is a required field, so you must select at least one value. Also, under the Final Review section, you can enter the total time spent reviewing the documents in the Final Review Time Spent field.



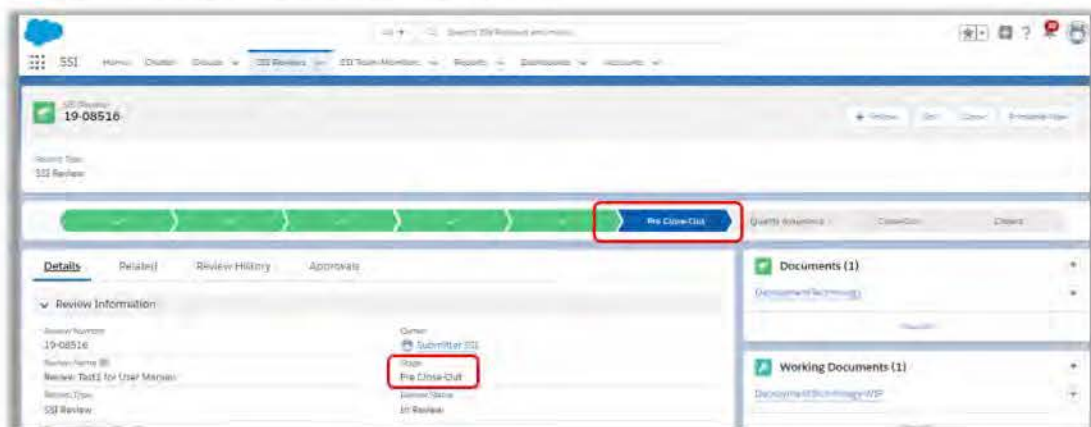
Once ready to forward onto the next level in the review process, click the Review Number ([blue hyperlink](#)) to return to the SSI Review record. Click the Approvals tab. Next, click the Approve button.



Enter optional comments for the next Reviewer and click the Approve button again.

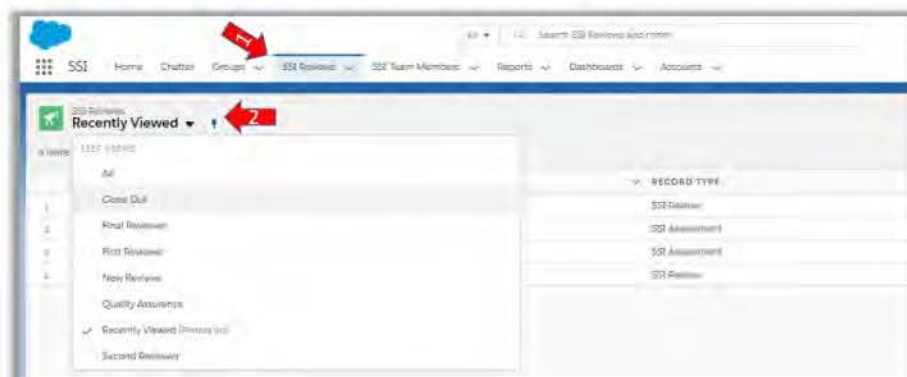


Notice the SSI Review record is now in the Pre Close-Out stage. At this point, the record is locked to the Final Reviewer and only the Close-Out user can edit.



Pre-closeout Stage

Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to Recently Viewed to select the list view called *Close Out*.

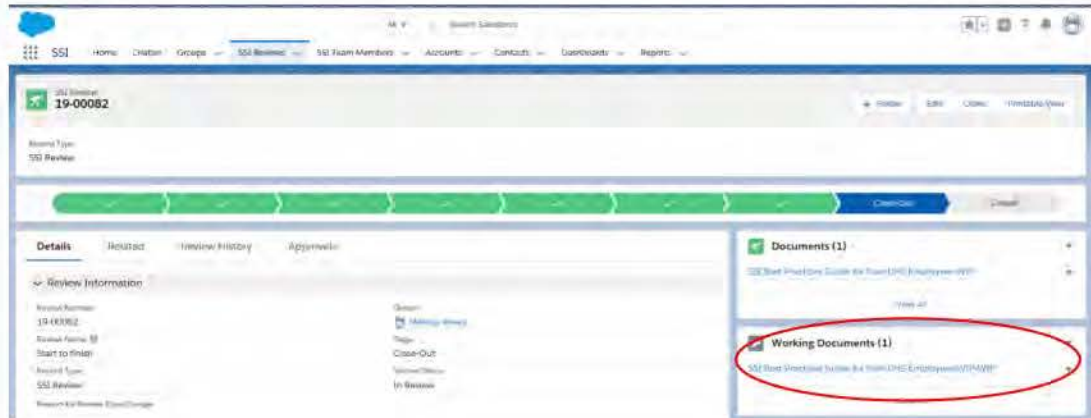


Click the Review Number ([blue hyperlink](#)). The SSI Review record will open and display the record as in the *Pre Close-Out* stage.

If no SSI was found, the system should automatically skip *Pre Close-Out* and *Quality Assurance* and move straight to the [Close-Out stage](#).

Creating Final Documents

If the document does contain SSI, you will need to prepare a VR and/or R. In order to create final versions, go to the SSI Review record by clicking the [blue hyperlink](#) in the SSI Review field. Then open the Working Documents by clicking the [blue hyperlink](#) under the *Working Documents* section and download the working copy. Once you have the working copy stored on your shared drive or desktop, you can create a VR and/or R final document.

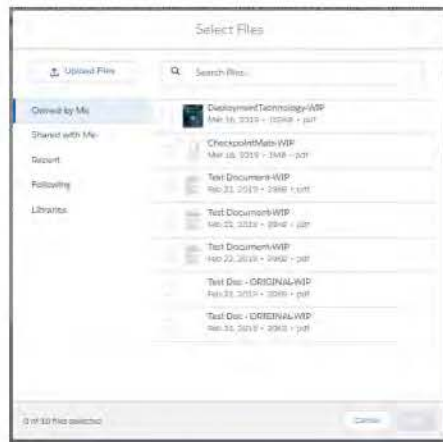


After the VR and R versions are created, you need to upload the final version(s) back onto the SSI App. In order to do this, go to the *Documents* section and click on the blue hyperlink.

A Document record associated with the documents uploaded by the Submitter will open. Click the drop-down arrow on the right next to *Files*. And click *Add Files*.



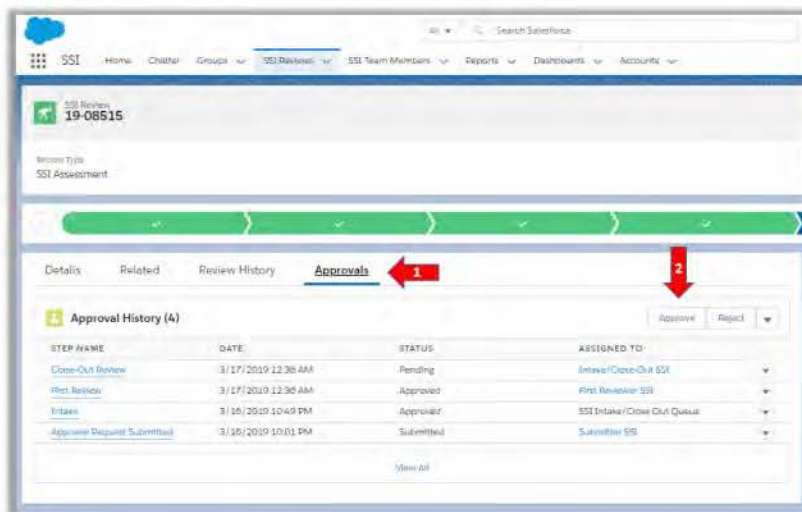
Click *Upload Files* and select the final versions (VR and R) that were created from each working document containing SSI.



Click *Done*. The file is now added to the Document record and is visible to the Submitter.



Finally, click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the next Reviewer and click the *Approve* button again.

Approve SSI Review

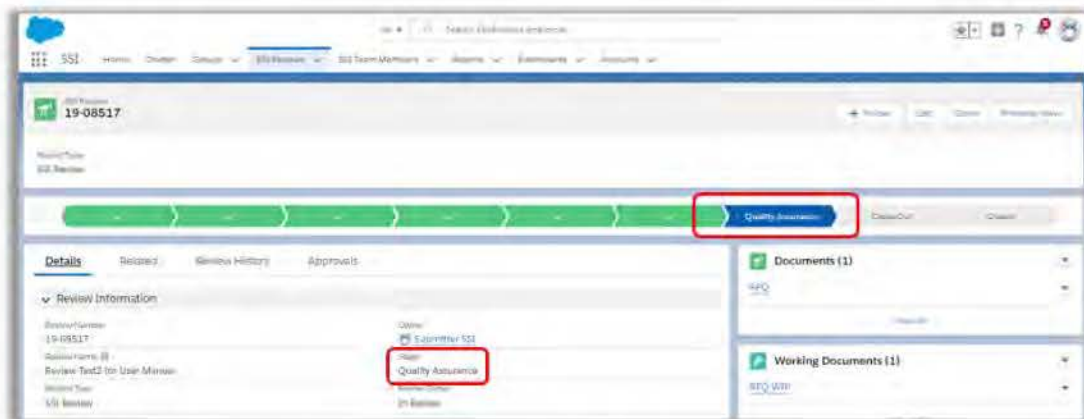
Comments:

Test Comment

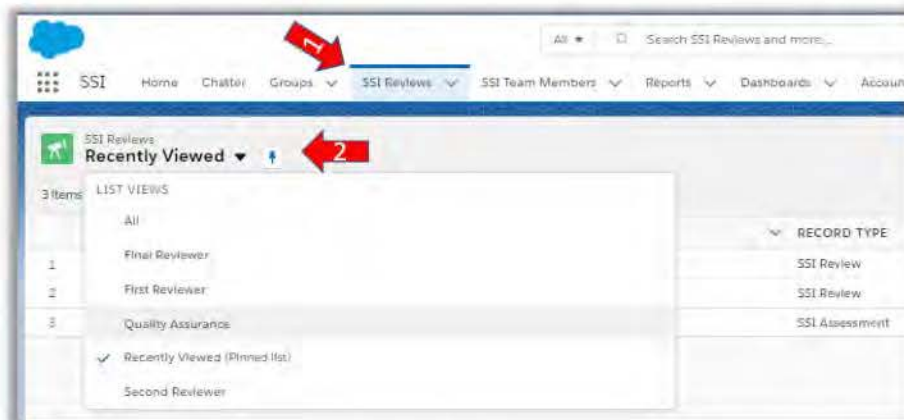
Cancel Approve

Quality Assurance Stage

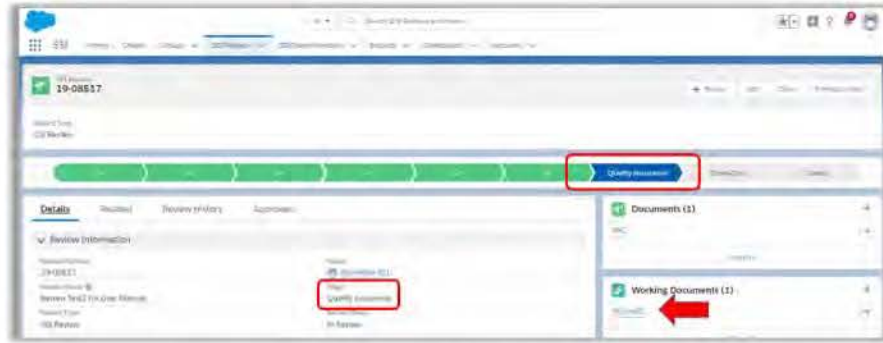
During the Pre Close-Out stage, when SSI is found, final versions (i.e., VR and/or R) of each document containing SSI are created, then the review is approved, and the record moves to the *Quality Assurance* stage.



Using the navigational tab on top of the page the Quality Assurance user will (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to *Recently Viewed* to select the list view called *Quality Assurance*.



Click the Review Number ([blue hyperlink](#)). The SSI Review record will open and display the record as in the *Quality Assurance* stage. Then go under the Working Document by clicking the ([blue hyperlink](#)).

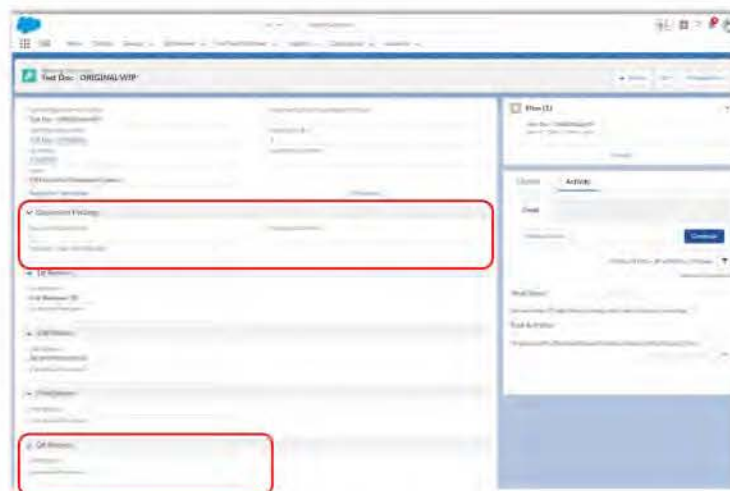


A separate record containing the working version of the Submitter's document will open and is available for view. You will need to save a copy of the working version in your designated upload folder in order to compare the working copy with the final version.

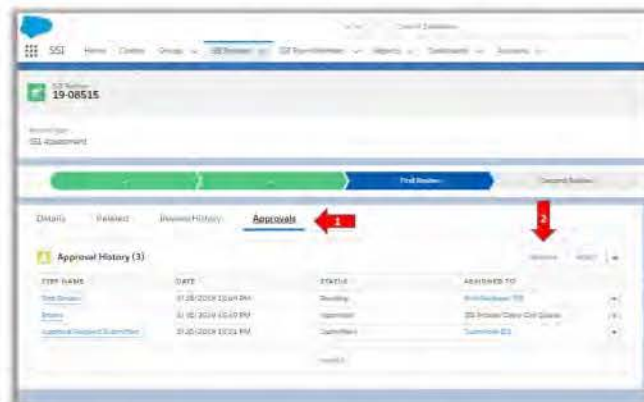
To open the final versions of each record, click on the (blue hyperlink) under documents. You will see up to three files, the original document submitted and the VR and R (if requested). To view each final version, download each final version, review using approved QA standard operating procedures (SOP), and upload.



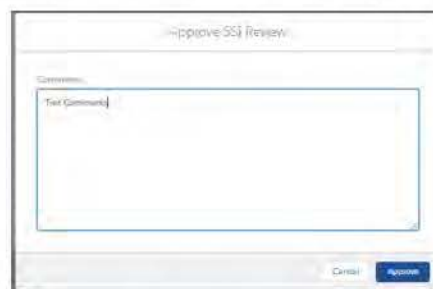
As a *Quality Assurance* user, you can edit the fields under the section *Document Findings* if needed. The *Keywords/Tags/ID Guides* is a required field, so at least one value must be selected. Also, under the *QA Review* section, you can enter the total time spent reviewing the documents in the *QA Review Time Spent* field.



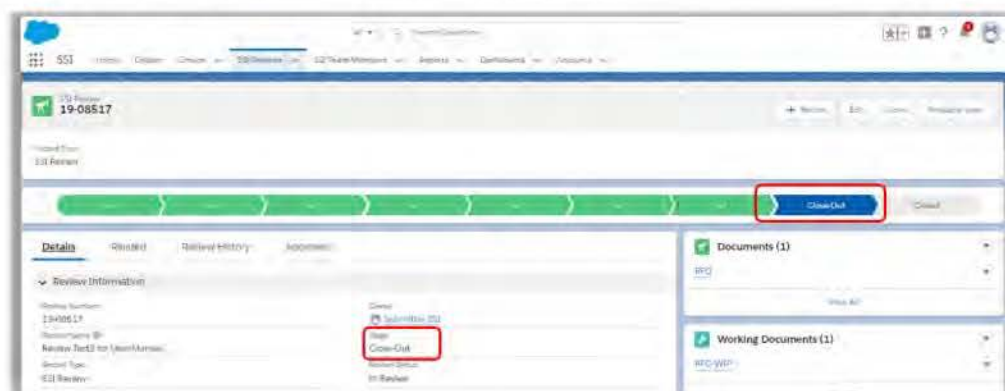
Once ready to forward onto the next level in the review process, click the Review Number (*blue hyperlink*) to return to the SSI Review record. Click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the next Reviewer and click the *Approve* button again.

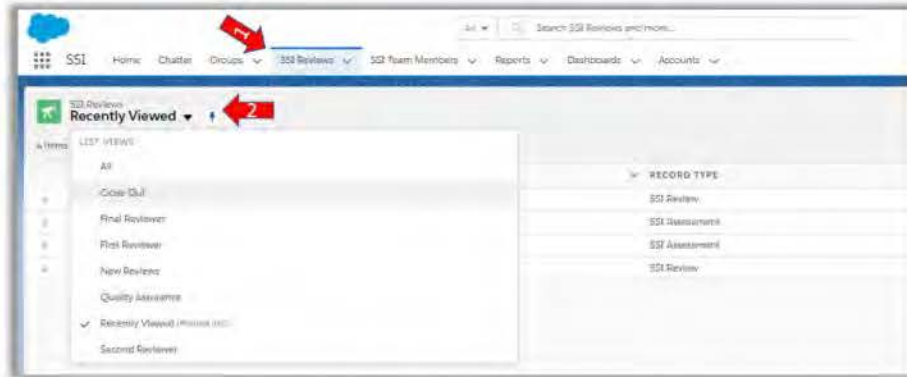


Notice the SSI Review record is now back in the *Close-Out* stage. At this point, the record is locked to the Quality Assurance user and only the Close-Out user can edit.

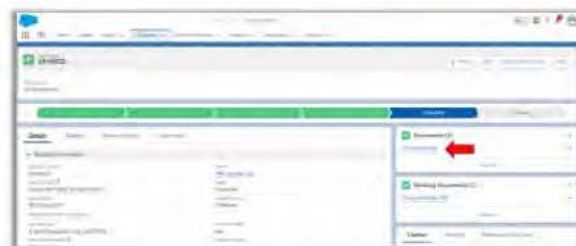
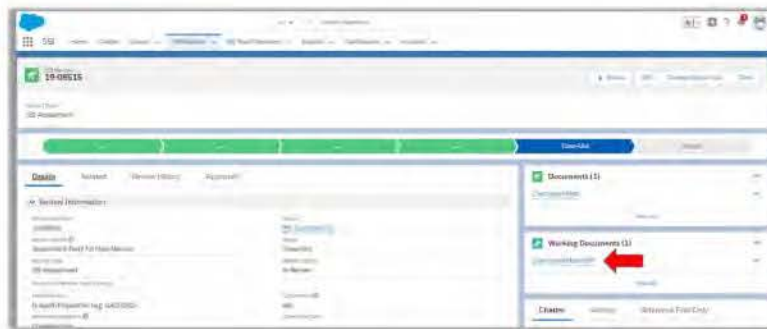


Closeout Stage

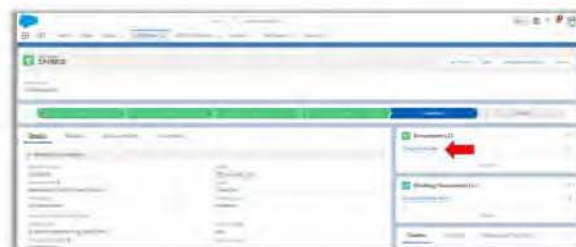
Using the navigational tab on top of the page, (1) click the words *SSI Reviews*. (2) Next, click the drop-down arrow next to the select the list view called *Close Out*.



Click the Review Number ([blue hyperlink](#)). The SSI Review record will open and display the record as in the *Close-Out* stage. If the request was not sent through *Pre Close-Out* and *Quality Assurance* stages, double-check all of the review details to ensure the SSI finding marked in the SSI App matches the markings on the files found under *Working Documents*. To access Working Documents, click the ([blue hyperlink](#)) to access the working version of the submitted documents (see [Downloading and Uploading Documents](#)).

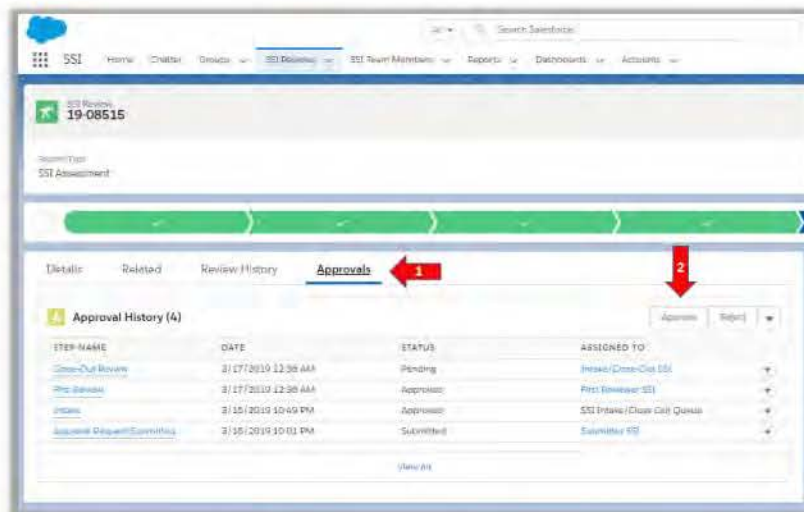


If the document has been through *Quality Assurance*, conduct one more check of the *Documents* section to ensure all Final Documents are viewable to the submitter.

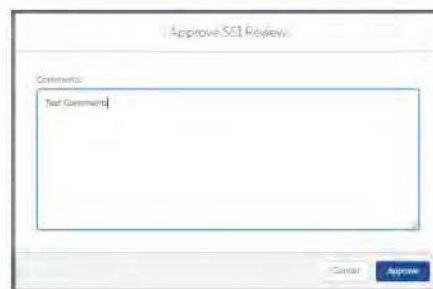


Return to the SSI Review record, by clicking the [blue hyperlink](#) in the SSI Review field. Follow the instructions under [How to Email](#) to send notification to the Submitter that their review is complete.

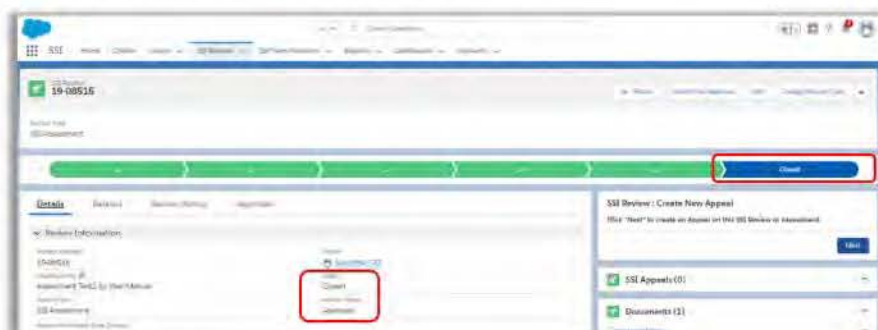
Finally, click the *Approvals* tab. Next, click the *Approve* button.



Enter optional comments for the next Reviewer and click the *Approve* button again.



Notice the SSI Review record is now in the *Closed* stage and the Review Status is *Approved*. At this point, the record is locked to the Close-out user and no one can edit.

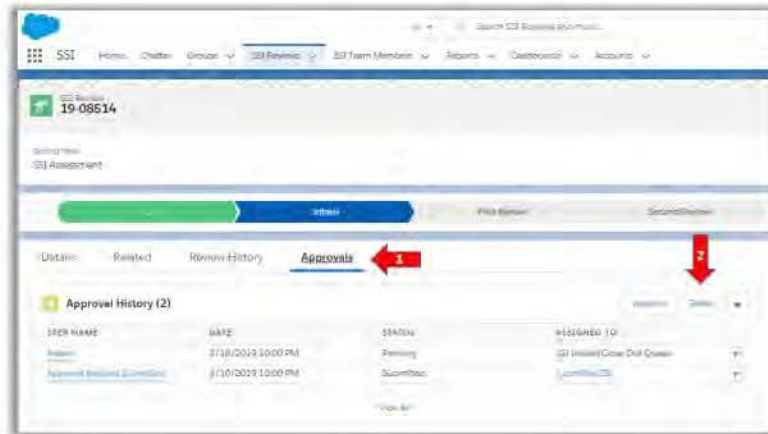


Rejection Process

Standard Salesforce functionality grants any user who can approve records to also have the ability to reject a record. Rejecting an SSI Review record simply sends it back to the previous person in the review process.

Intake Stage

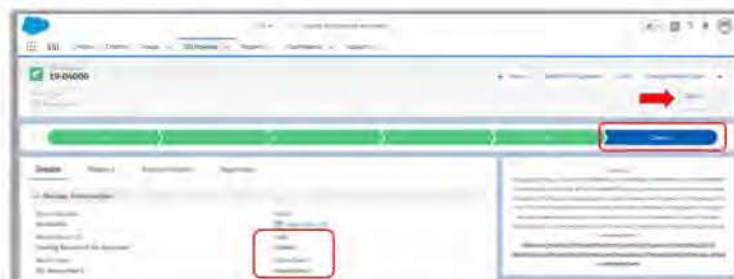
If, during the Intake process, the Intake user deems an SSI Review invalid or incomplete for any reason, they have the option to send it back to the Submitter. Within an SSI Review record, click the *Approvals* tab and click the *Reject* button.



Enter optional comments for the Submitter and click the *Reject* button again.



Notice the SSI Review record is now in the Closed stage and the Review Status is *Abandoned*. At this point, the record is locked to the Intake user and no one can edit. A notification will go to the Submitter via email. If the Submitter wishes to resubmit the request, they can click the drop-down arrow on the right-side and click *Clone* as shown below.



All of the data they entered on the original record are transferred to the new form. Edit any of the information shown on the new screen if needed, otherwise, click *Save*. All of their previous entries will carry over to the new record, however, they will need to upload their documents again and resubmit for approval.

First Reviewer thru Quality Assurance

Between the First Reviewer and Quality Assurance stages during an SSI Review, the SSI Team Member that has access to edit the record can reject it back to the stage that precedes theirs.

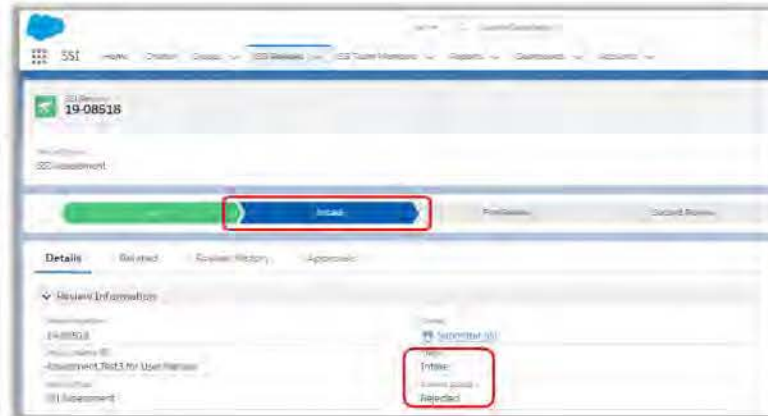
For example, if the First Reviewer deems an SSI Review invalid or incomplete for any reason, they have the option to send it back to Intake. Within an SSI Review record, click the *Approvals* tab and click the *Reject* button.



Enter optional comments for the Intake user and click the *Reject* button again.

A screenshot of a dialog box titled 'Reject SSI Review'. It contains a text area for 'Comments' with the placeholder text 'Post Comment'. At the bottom right, there are two buttons: 'Cancel' and 'Reject'.

Notice the SSI Review record is now back in the Intake stage and the Review Status is *Rejected*. At this point, the record is locked to the First Reviewer and only the Intake user can edit. In order for the First Reviewer to regain access to edit the record, the Intake user will need make the necessary corrections and *Approve* the SSI Review again to move it forward in the process.



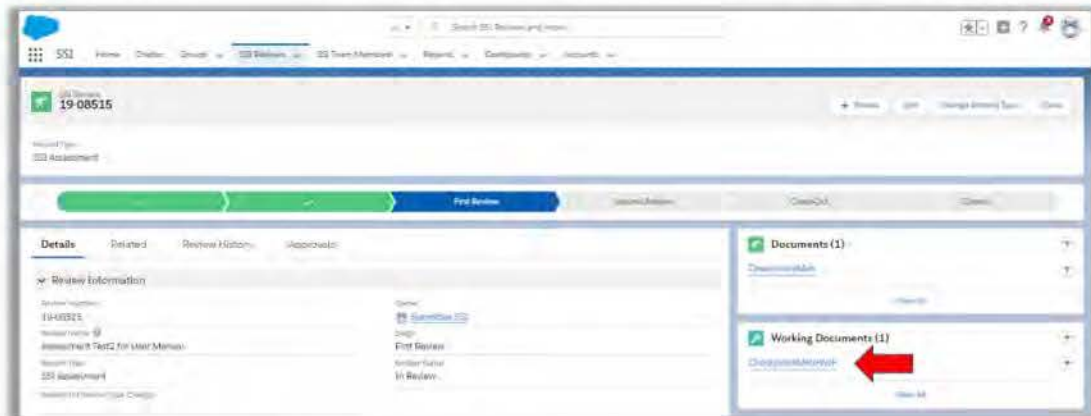
Important: If an SSI Review record is in the Close-Out stage and the Close-Out user rejects it, the case will automatically move to the Closed Stage NOT back to the previous Reviewer. This is because Close-Out is the final stage before the case is closed and hence the system is set to interpret a Rejection at this point as a final rejection back to the Submitter. Should a Close-Out user need the previous Reviewer to edit the record, it is recommended they send a Chatter post to communicate what is needed. Once the information is received, the Close-Out user can edit the record themselves and continue to Approve the record forward to Close.

Working Documents

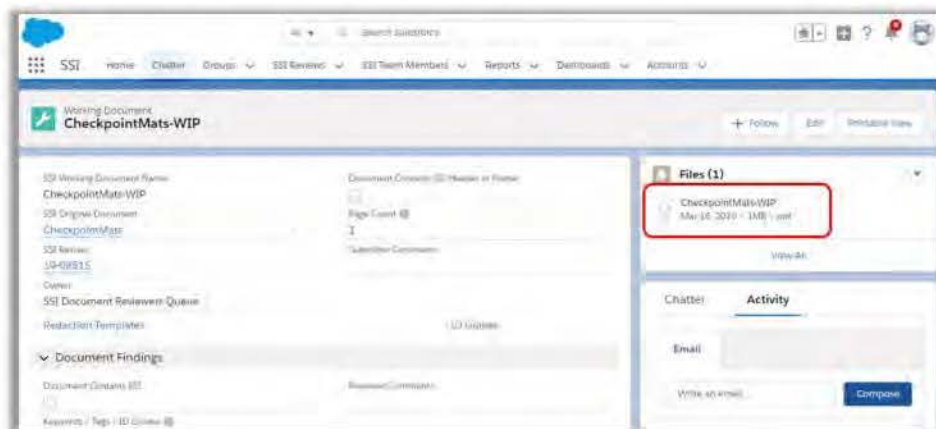
Working Documents is the object within the SSI App that houses all of the working versions of documents uploaded by the Submitter. The SSI Team can download these documents, mark them up, and re-upload to the SSI App as a new version with their edits. Only the SSI Team has access to view the Working Document records. The Submitter is not permitted to view these records.

Downloading and Uploading Documents

In two steps, the SSI Team can add their markups to the Working Document records. First, open an SSI Record and click the [blue hyperlink](#) under the *Working Documents* section to open a record.



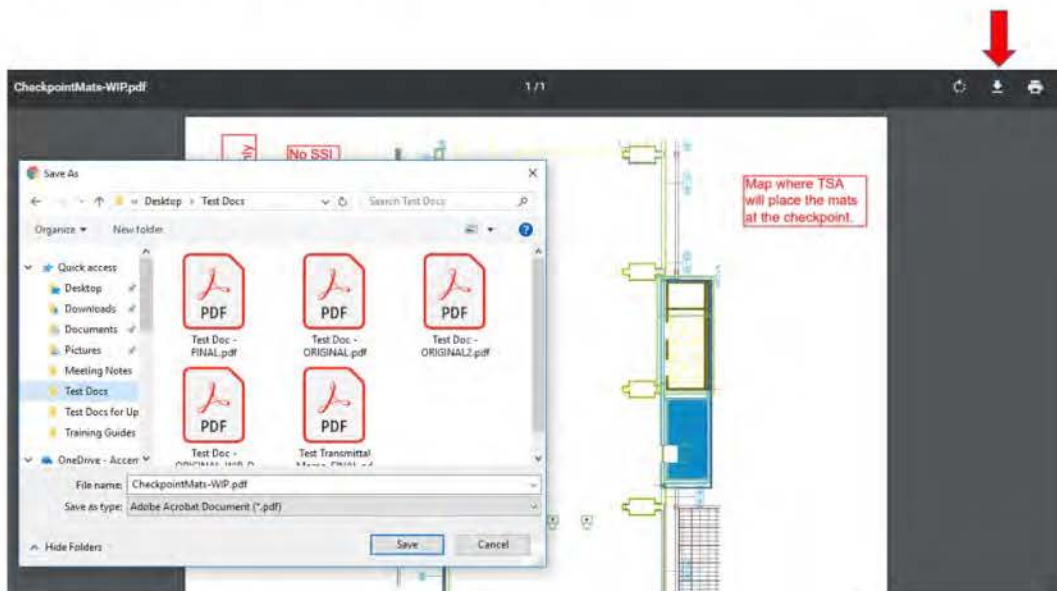
Click the File name located directly under the *Files* section.



A preview of the file will open, (1) click *Download*. (2) The downloaded file will appear in the lower left of your screen.



Click the downloaded file, it will open in a new EDGE window. Click the Download icon and Save a copy to your preferred drive. You can now markup the file with your comments.



Return to the EDGE browser page with the file preview still open in the SSI App. This time, select the drop-down arrow next to the words *View File Details* and select *Upload New Version*.



Locate the file you Saved to your Drive and click Open. The next screen will show your uploaded version and allow for optional comments noting "What Changed?". Lastly, click Upload.



no

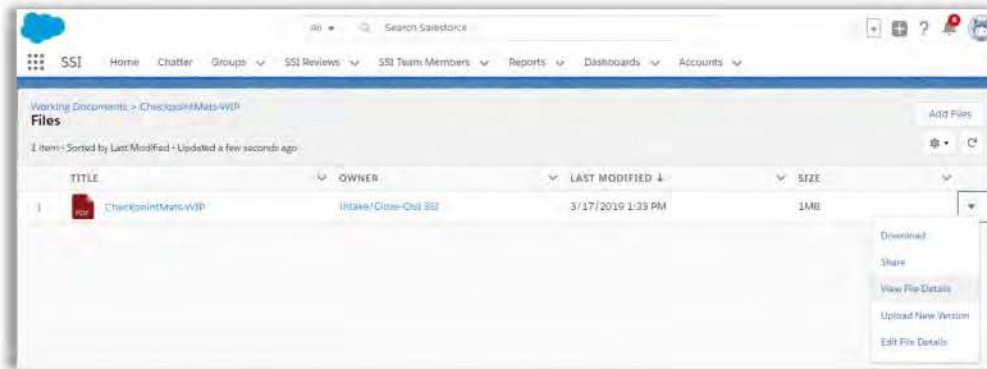
A new version of the file has now been uploaded as the current/active Working Documents file.

Previous File Versions

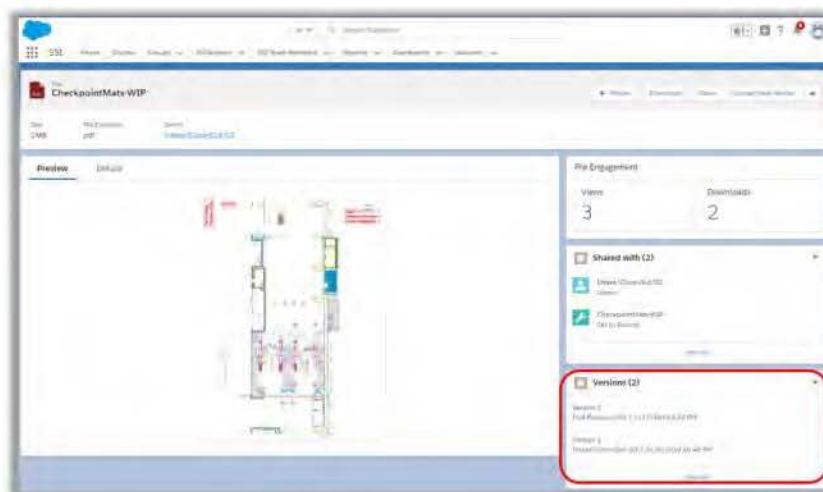
To view the versioning history of the file, return to the Working Document record by click "X" to edit out of the file preview. Click *View All* under the *Files* section.



On the next screen, click the drop-down arrow next to the file and select *View File Details*.



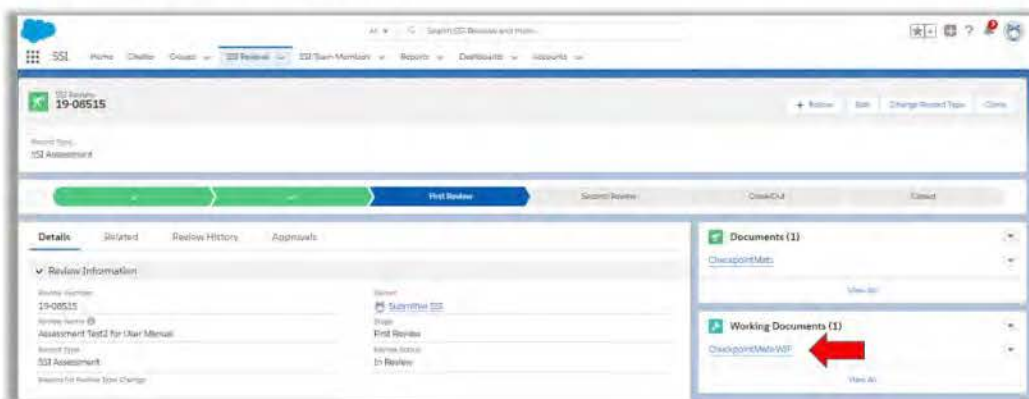
Here you can view a listing of all the previous versions of the file.




Clicking any version opens a preview page with options to download.

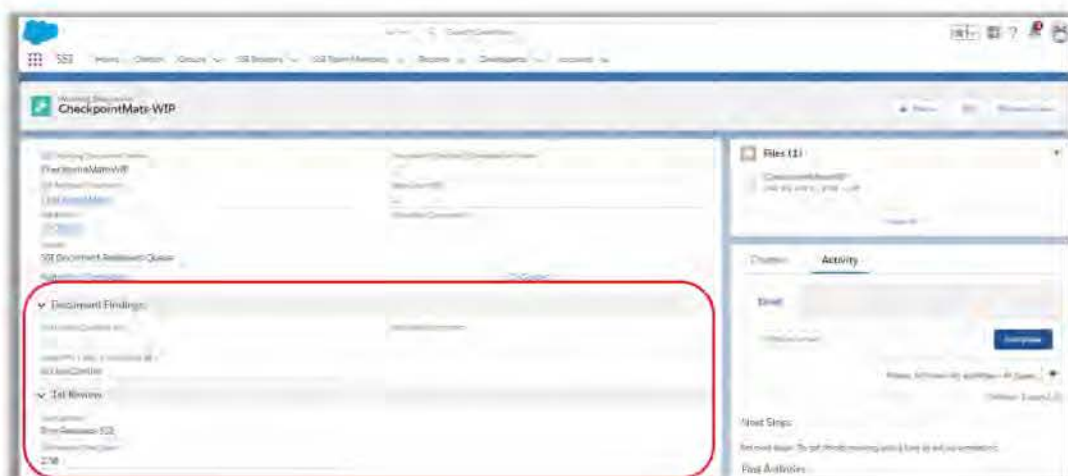
Time Spent Reviewing Files

Each Reviewer can enter the total amount time they spent reviewing a file. Click a blue hyperlink for the file under the *Working Documents* section.



Next enter click the pencil icon  next to the field that corresponds to your role during the SSI Review process. In our example below, we are logged in as a First Reviewer and have entered 2.5 hours as the *Total Time Spent* reviewing the file. Once done, click *Save*.

Notes: At least one value needs to be entered in the *Keywords/Tags/ID Guides* field. You can only enter time spent for yourself. Entering Time Spent for any other user will result in an error message.

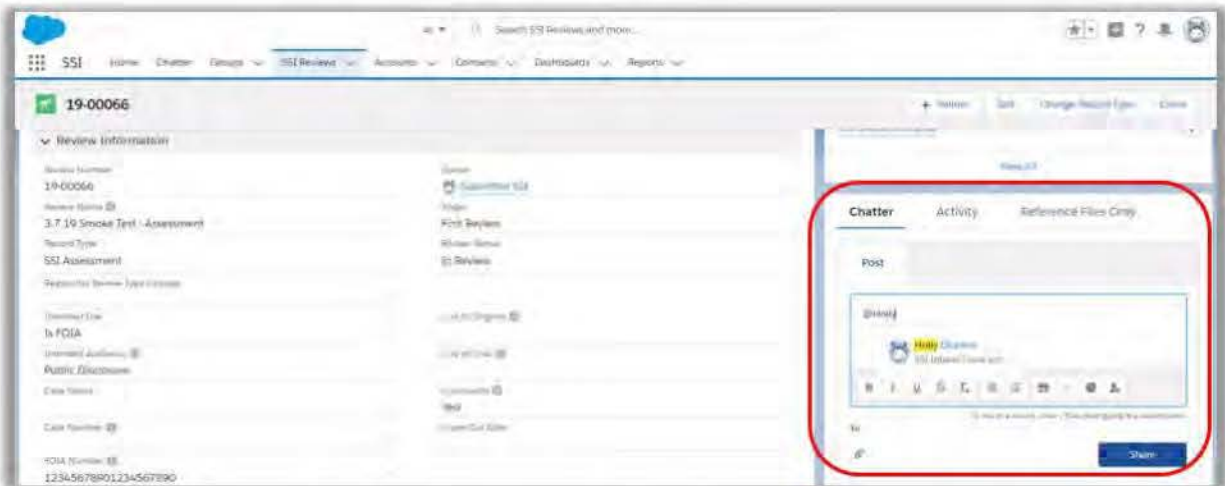


Chatter

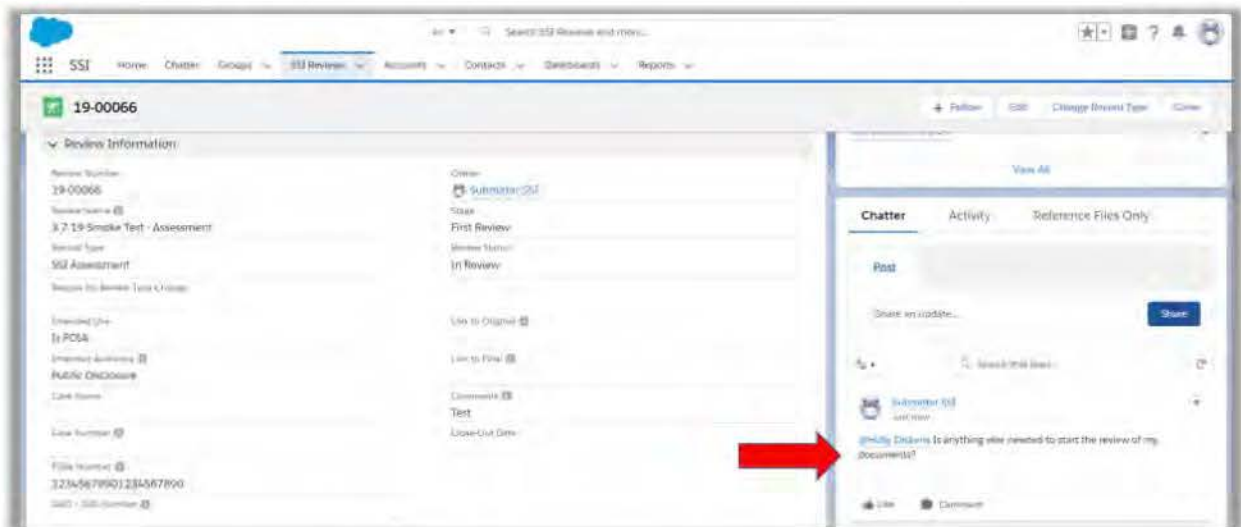
The Salesforce platform provides a convenient way to collaborate within the SSI Team and with the Submitters. Say goodbye to emails with Chatter! It's as easy as @mentioning a fellow SSI Team Member in a post and instantly they'll receive a notification within Salesforce. There are uses for chatter: communicating with the requestor on a review, communicating internal to the SSI Program on a specific file within a review, or communicating within the SSI Reviewers Community.

Communicating with Requestors

To communicate directly with the requestor on a specific review, first open the specific record in question. In the example below, we are using SSI Review record 19-00066. Note the Chatter component on the right-side of the page. Simply use the "@" sign and begin typing the TSA employee's name. As you begin typing, using predictive text, the SSI App begins to display a matching name. Click the desired recipient and then begin your message. Once done, click Share.

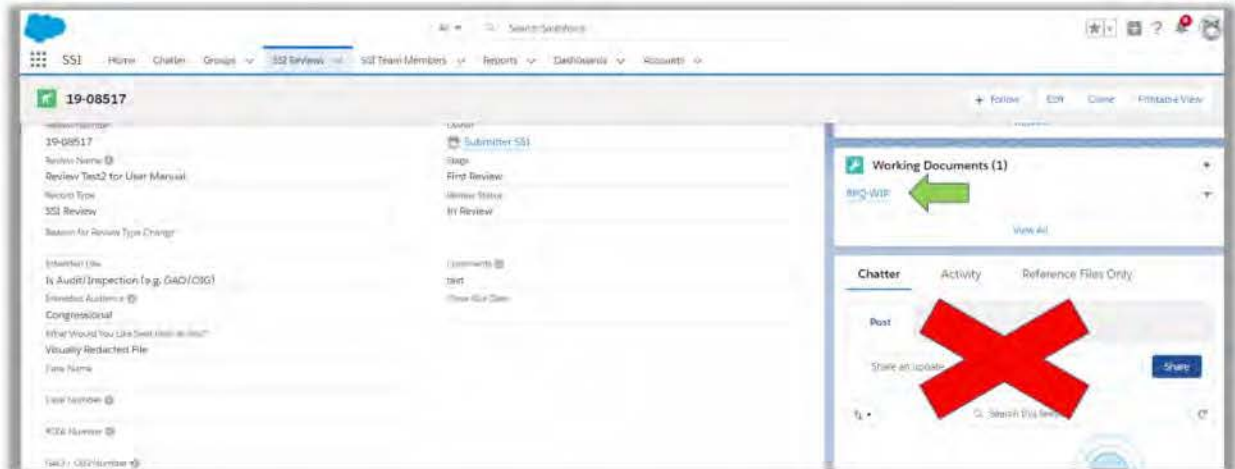


Instantly, you will see a copy of your post appear below the Chatter record. And your recipient is notified immediately.

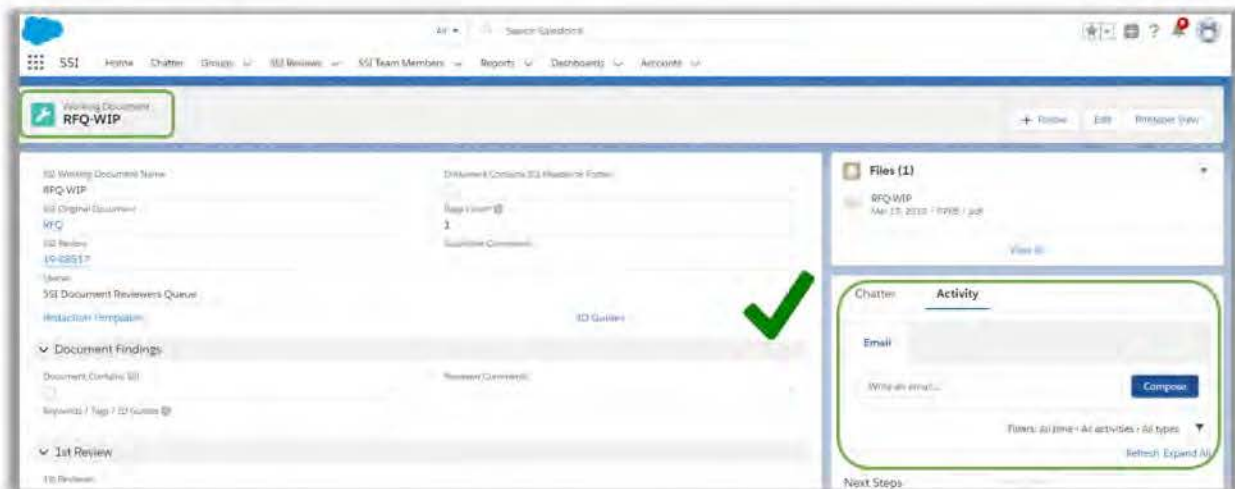


Communicating Privately with SSI Analysts within a Working File

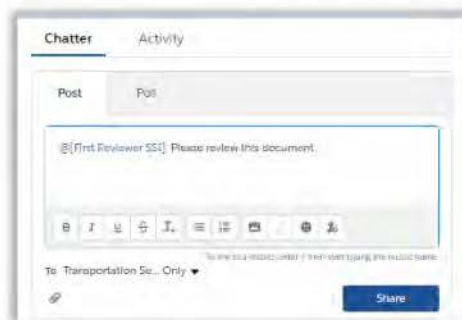
To communicate privately with SSI Program analysts on a specific review, post Chatter directly in your specific Working Document record in question as all posts there are NOT visible to the Submitter. In the example below, we are using SSI Review record 19-08517. Note the Chatter component on the right-side of the page. Any posts created here are viewable to the Submitter. Do not post internal SSI Team communication here. Instead, click the blue hyperlink (see Green arrow) under the *Working Documents* section.



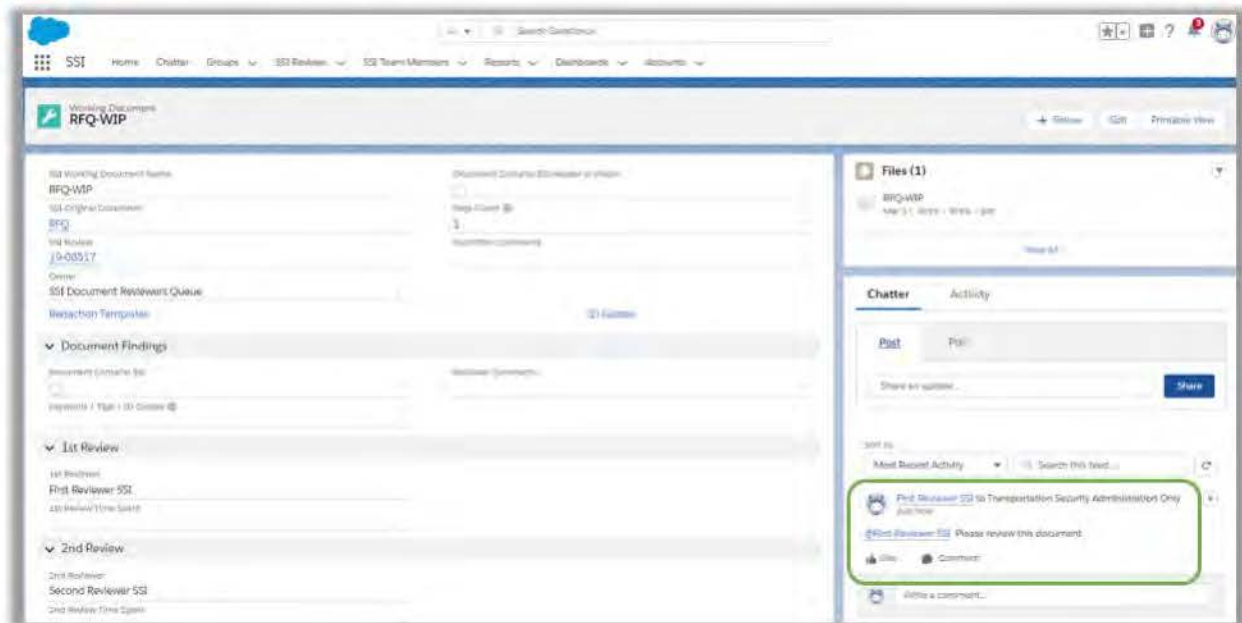
Now you are on a Working Document record which is only viewable to SSI Team Members. As you can see, this record also has a Chatter section. Here you can feel free to post messages to other SSI Team Members regarding internal communication.



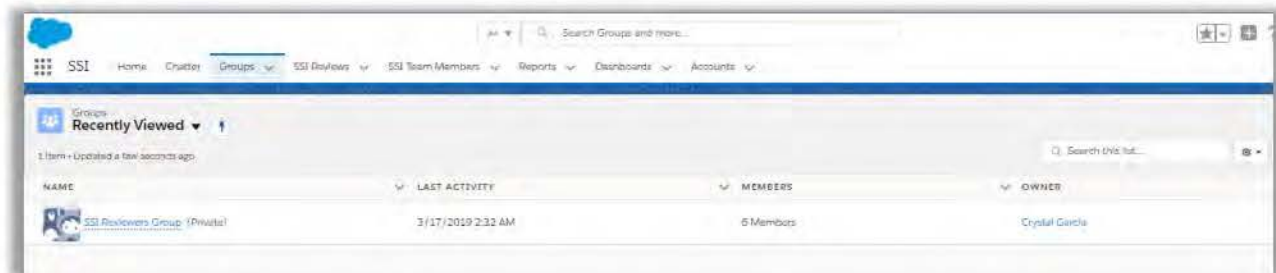
Simply use the "@" sign and begin typing the TSA employee's name. As you begin typing, using predictive text, the SSI App begins to display a matching name. Click the desired recipient and then begin your message.



Once done, click *Share*. Instantly, you will see a copy of your post appear below the Chatter record. And your recipient is notified immediately.



Communicating Privately with SSI Analysts within SSI Reviewer Community
Alternatively, you can click the *Groups* tab on the navigation bar, and select the *SSI Reviewers Community*.



Here you have a private Chatter group viewable only to those users that are a part of the SSI Team. You can post communications here as well as add important files that may be relevant for the team.

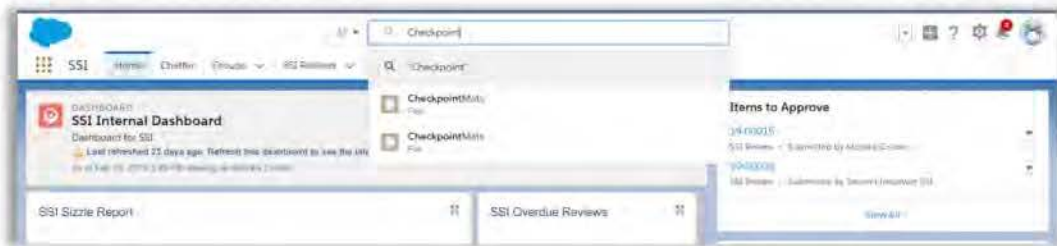
User Appendix

User Appendix

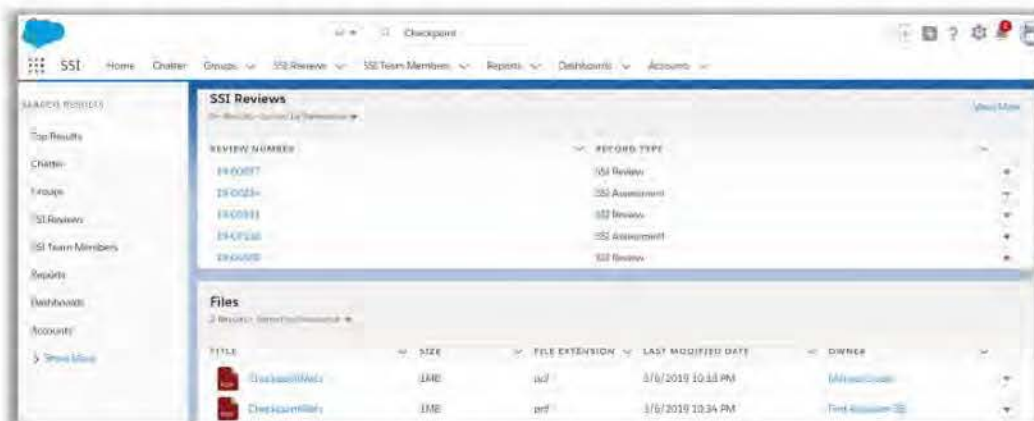
Global Search Functionality

Global Search allows users to search all records and data they are permitted to access based on their security settings. Users can search for SSI Reviews, Accounts, Contacts, Reports, Dashboard and Files. As such, a user can filter by which tab (or object) they wish to search.

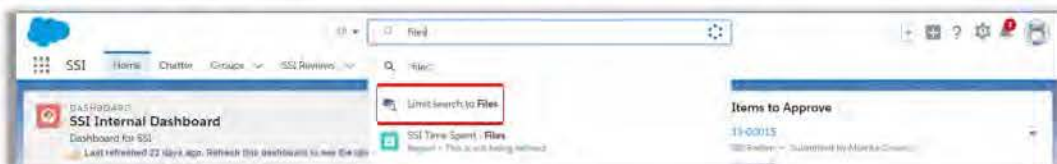
- (1) Click the Search bar at the top of the page in order to run a Global Search and enter your search criteria. (2) As you type, Salesforce uses predictive text to display possible matches. Select one of the items displayed.



The search results display all areas where the search criteria are found. In our example, the word “CheckpointMats” is found in five SSI Review records and also in the title of two Files.



It is also possible to search for specific content within a record. Simply type the object you desire to search and click the “Limit search to (enter object name)”. Then enter your search criteria.



Notice the list is now limited to show the word “CheckpointMats” filtered to only show results within the Files object.

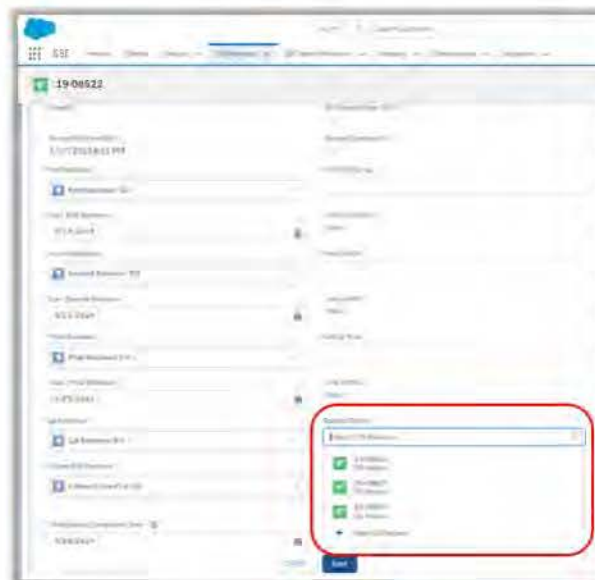


Additional Global Search tips:

- Under Search Results on the left-hand side of the page, a user can also select additional record types to further filter results
- Match one or more characters at the middle or end of a search term by using an "*" (asterisk) wildcard. Example: CheckpointMat*
- Match only one character at the middle or end of a search term by using a "?" (question mark). Example: Chec?pointMats

How to Associate Reviews

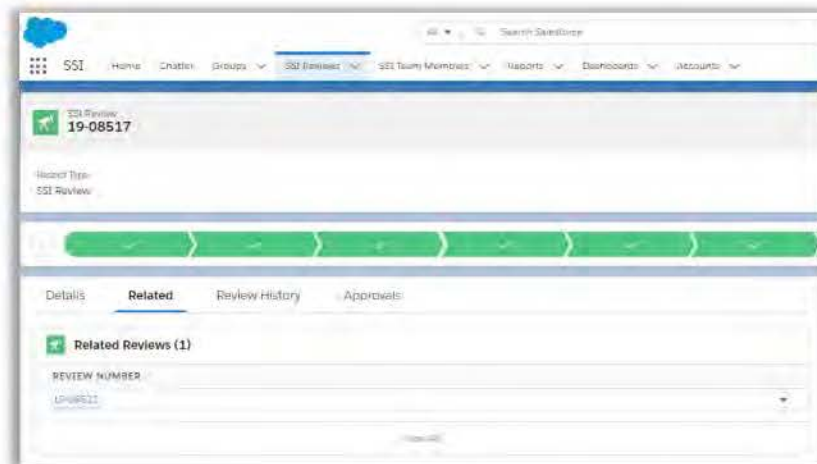
The SSI Team has the permission to associate one SSI Review to another SSI Review. To begin, open an SSI Record and scroll down to the Reviewer Information and click the pencil icon to edit the Related Review field. Now, you will immediately see a short listing of recent SSI Review records that you have accessed. Either select one from this list or enter another SSI Review number. In our example, we will select 19-08517. Click **Save**.



Note: Associated reviews may be used when a review is related to the same legal case as a previous review or if it is topically similar. Edit the *Reviewers Comments* field just below the Related Review field to enter comments as to why you associated the review.

Click the [blue hyperlink](#) now visible under the *Related Review* field and you are taken instantly to that SSI Review record. Again, in our example, we chose 19-08517. Once the record opens, click the *Related* tab.

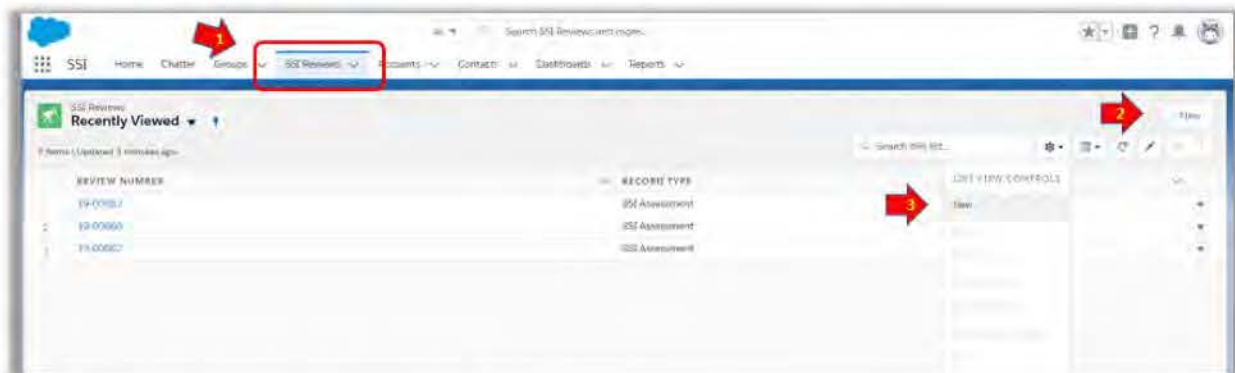
And you will notice under the section Related Reviews, a [blue hyperlink](#) to SSI Review record 19-08522 is now visible.



Creating Personal List Views

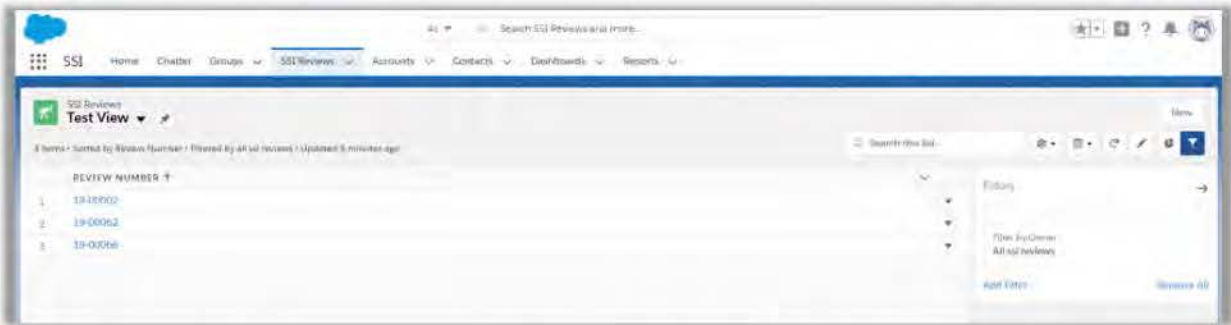
You can create your own personal view on the SSI Review tab within the SSI App. These views are local to the user meaning only you can see them. For example, to create a personal list view to reflect all of your pending reviews (i.e., current and future assigned reviews), complete the following steps.

(1) Click on the *SSI Review* tab, (2) then click the gear button to open the *List View Controls* menu, and (3) select *New*.

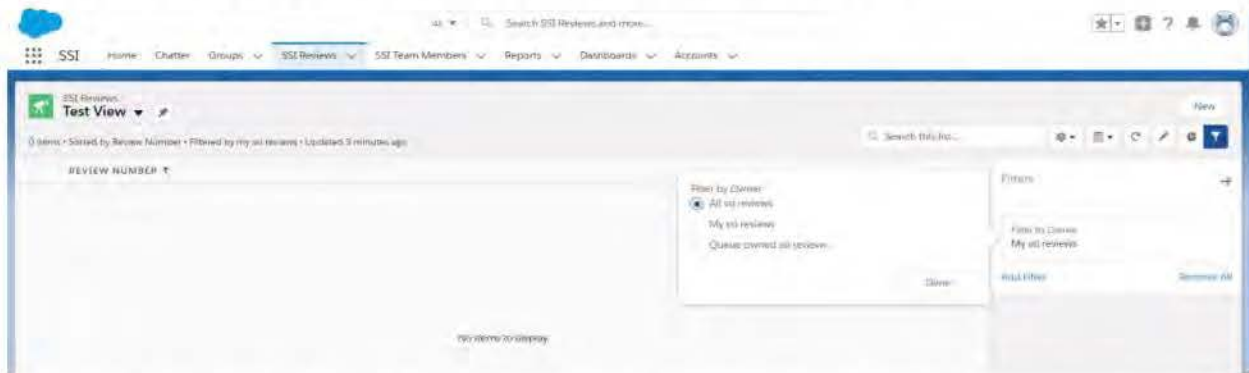


Enter any name that you wish. Click *Save*.

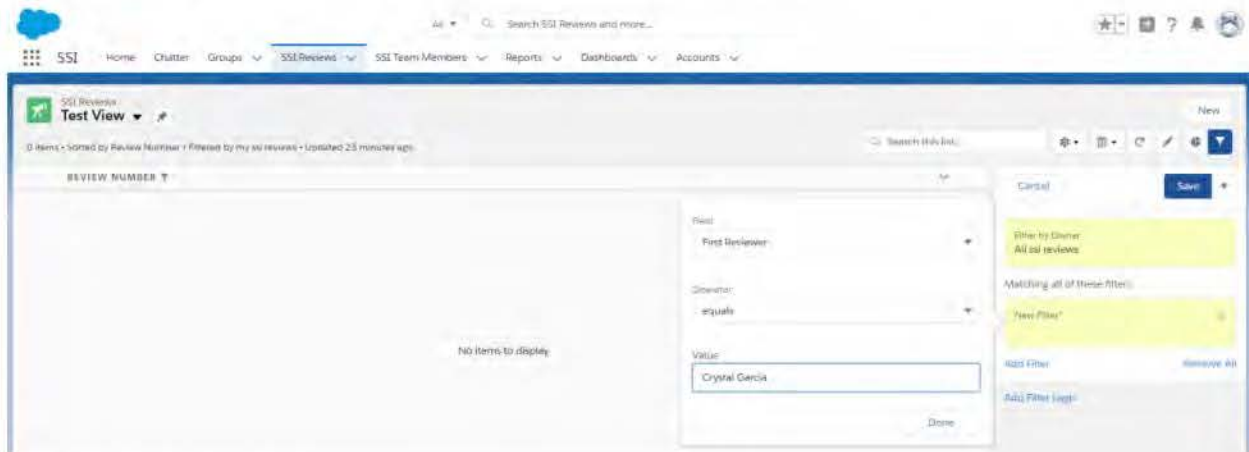
A screenshot of the 'New List View' dialog box. It has a text input field for the list name, which contains 'Test View'. Below the input field, there is a section 'Who sees this list view?' with three radio button options: 'Only I can see this list view.' (selected), 'All users can see this list view.', and 'Share list view with groups of users:'. At the bottom right, there are 'Cancel' and 'Save' buttons.



Now, you'll see a *Filters* pane on the far-right. Ensure the *Filter by Owner* box displays *All ssi reviews*. If *My ssi reviews* is displayed, click the Box, select *All ssi reviews* and click *Done*.



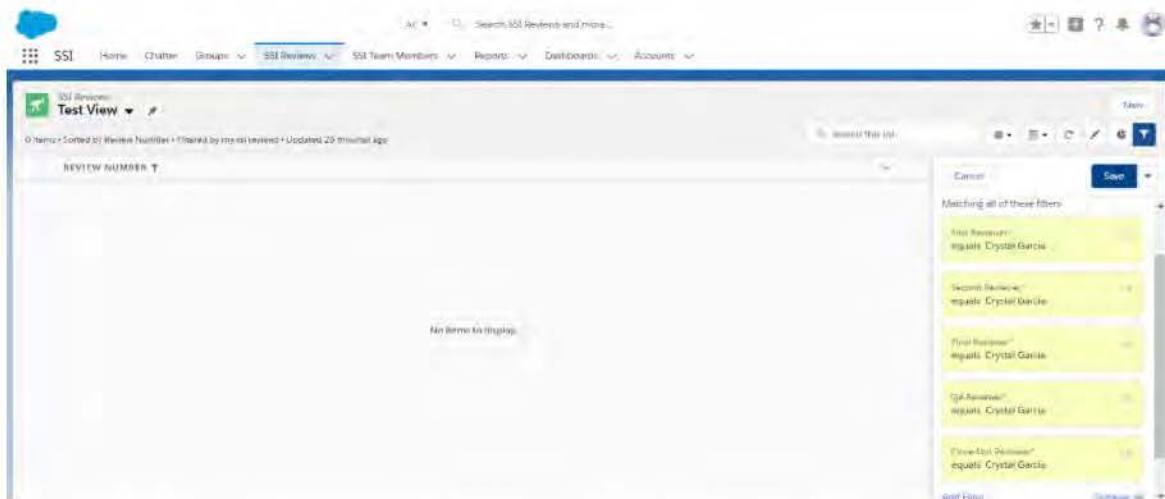
Next, click *Add Filter* and add the following filters. Note that you will need to click *Add Filter* to add each additional filter.



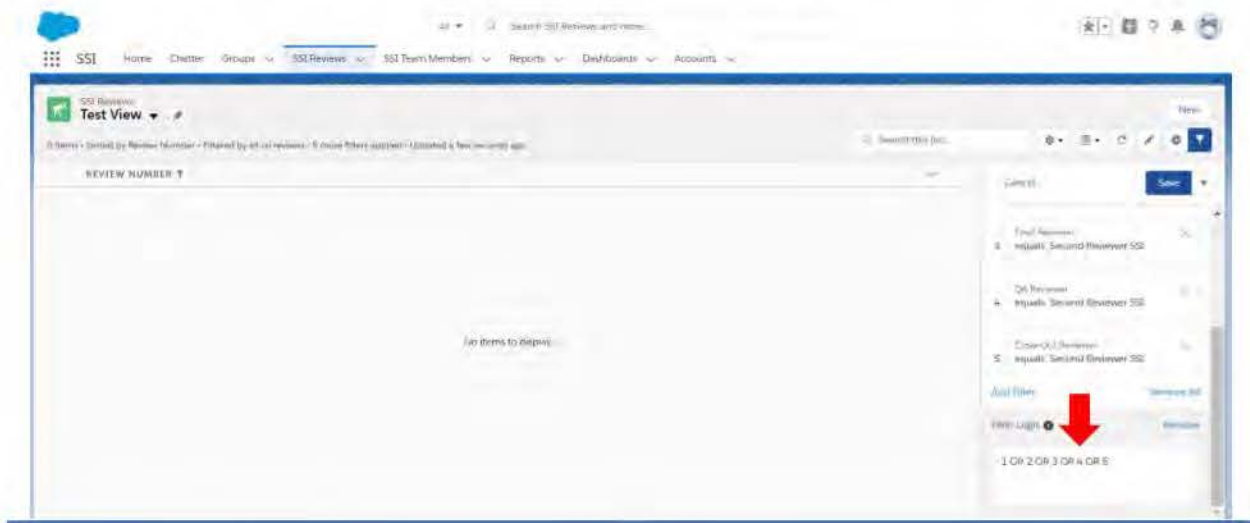
1. Field: First Reviewer
Operator: equals
Value: Your first and last name (i.e., Tom Jones)
2. Field: Second Reviewer
Operator: equals
Value: Your first and last name

3. Field: Final Reviewer
Operator: equals
Value: Your first and last name
4. Field: QA Reviewer
Operator: equals
Value: Your first and last name
5. Field: Close-Out Reviewer
Operator: equals
Value: Your first and last name

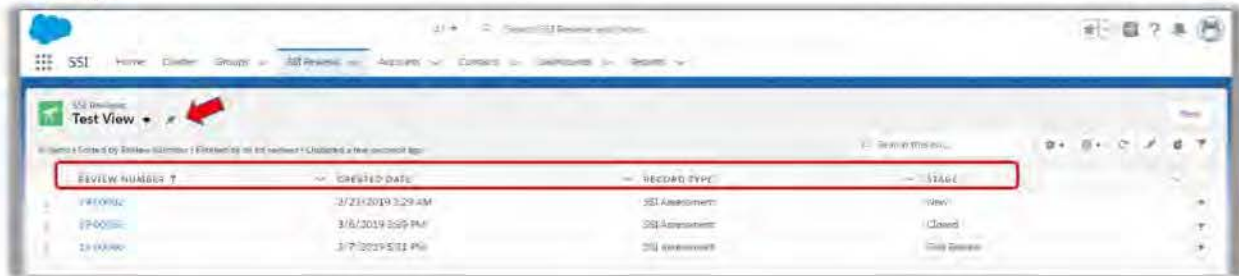
The filter pane will now look similar to this:



Underneath the five filters you added, click *Add Filter Logic*. In the *Filter Logic* text box, replace each “AND” with “OR”. Click *Save*. Click the arrow pointing to the right to hide the Filters pane.



Your list view is almost finished. Next, click the gear shift button again and click *Select Fields to Display* from the drop-down menu. A window will open showing you all available fields that you can add to your list view. For our example, we've selected to display the following fields: Created Date, Record Type, and Stage.



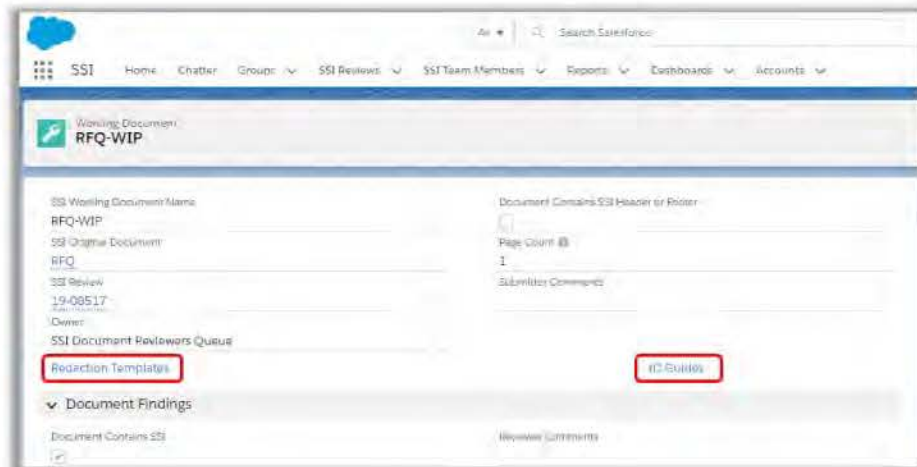
Other suggested fields to display, as needed:

- Review Number
- Stage
- Current Stage Due Date
- Anticipated Completion Date
- First Reviewer
- Second Reviewer
- Final Reviewer
- QA Reviewer
- Close-Out Reviewer

And now your list view is complete! See the new fields displayed above. If you'd like this list view to open automatically each time you click the SSI Reviews tab, simply click the thumbtack icon, to "pin" the list view as your default.

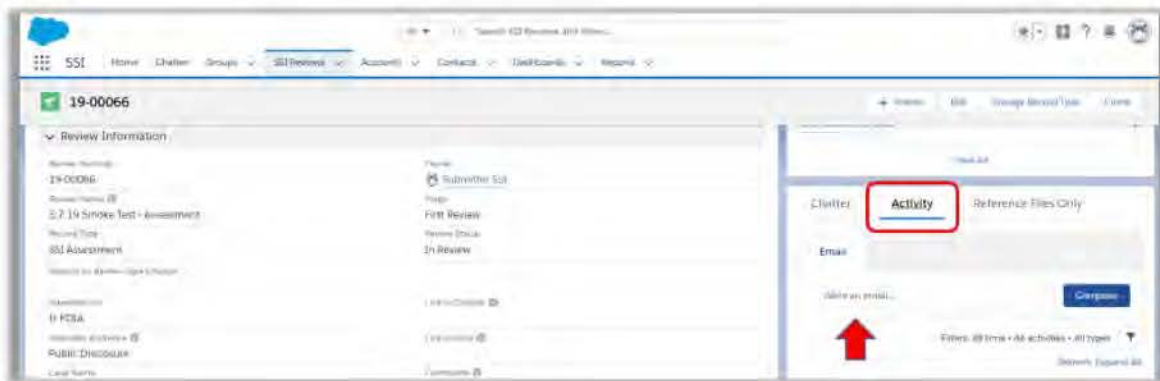
How to View Redaction Templates & ID Guides

Links to Redaction Templates and ID Guides are found in the *Working Document* records. The user clicks either link and is directed to the SSI Shared Drive where the templates and guides are located.



How to Email

In the event that you would like to send a manual email to SSI Team in reference to a record, the SSI App has that covered as well! While on an SSI Review record, click the *Activity* tab right beside the *Chatter* tab.



Then click within the word “Write an email...”. An email template will appear which is very similar to your standard email program. As you begin typing in the *To* field, using predictive text, the SSI App begins to display a matching name. Click the desired recipient and then complete the rest of your message. Click *Send* when done. Instantly, you will see a copy of your email appear below the Chatter record. And your recipient is notified.

Highlighted in the red box below is the SSI Review record number, which lets you know this email will become a part of the record’s history.

Chatter Activity Reference Files Only

Email

From: Submitter SSI +m (b)(6)

To: Holly Dickens

Bcc:

Subject: Question

is anything else needed to start the review of my documents?

Related To: 19-00066

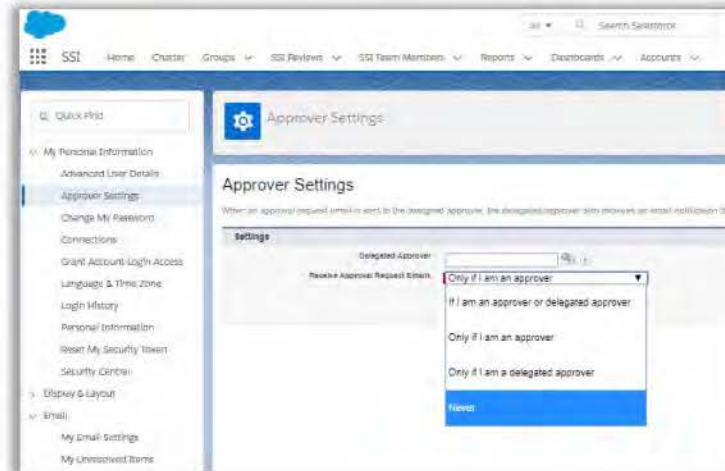
Send

How to Turn Off Email Notifications

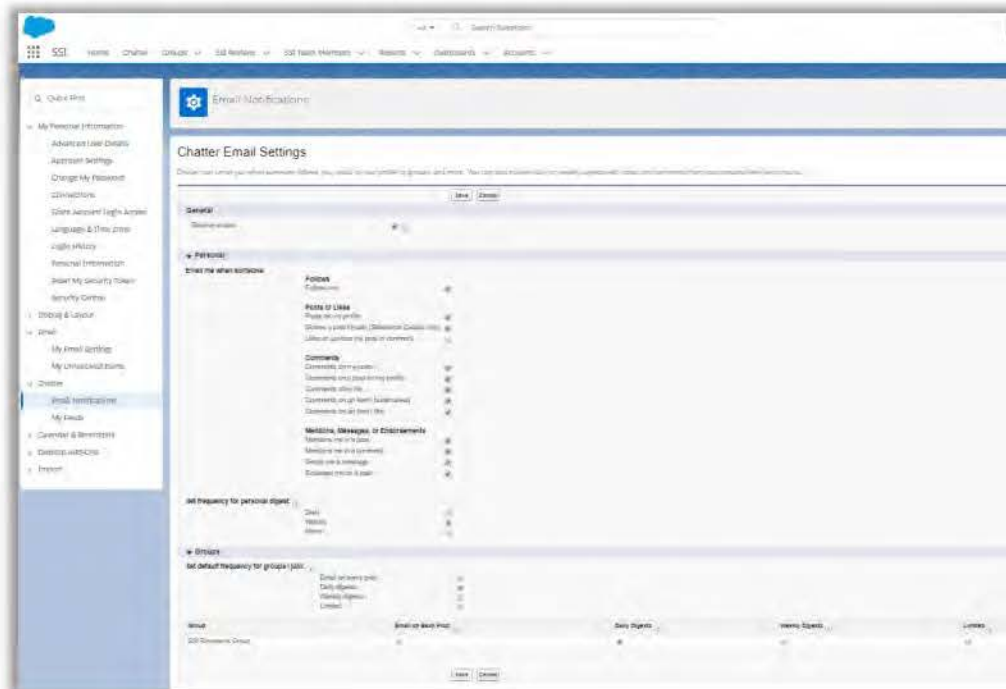
By default, Salesforce is designed to send you email notifications regarding everything from records awaiting your approval to Chatter posts that mention you. However, if you wish to reduce clutter in your email inbox (or ensure you don't get SSI from Chatter comments emailed to you), you can turn off email notifications under your personal settings. Simply click the Trailblazer icon in the top right-hand corner of any page. Then, click the [blue hyperlink](#) labeled *Settings*.



On the next page, to stop receiving emails about records requiring your approval, click *Approver Settings*. Then choose *Never* from the drop-down menu next to "Receive Approval Request Emails".



To stop or change the frequency of emails about Chatter posts, click *Chatter*, then *Email Notifications*. Then edit your preferred options and click *Save*.

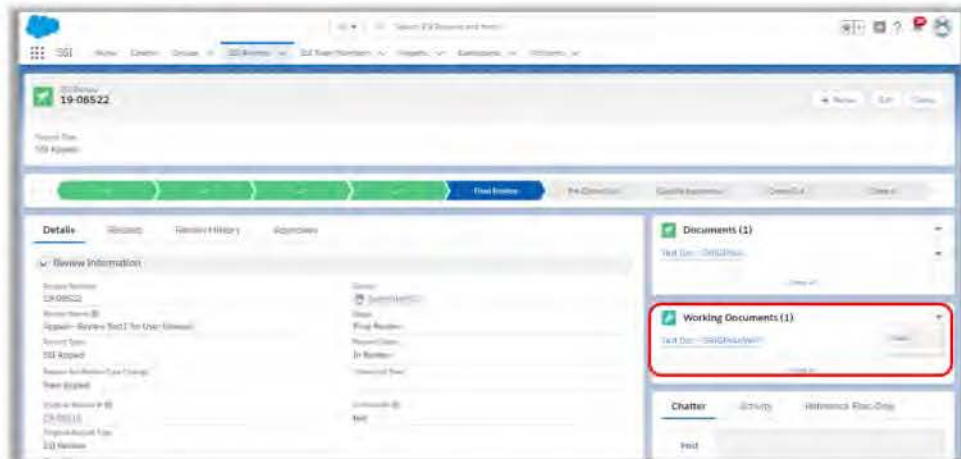


Note: You will still receive alerts within Salesforce which are visible by clicking the bell icon in the top right-hand corner of any page.

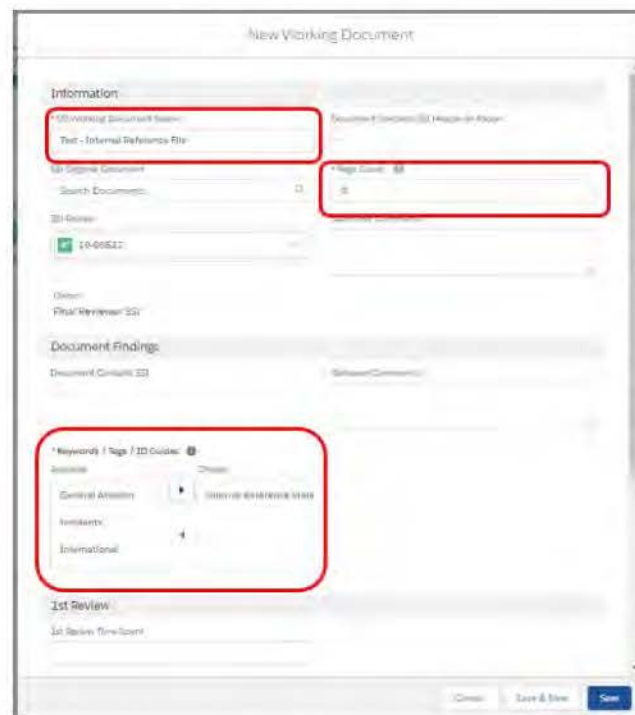


Uploading Internal Reference Files

The SSI Team can create *New Working Document* records to house Internal Reference Files that are viewable only to members of the SSI Team. Open an SSI Review record and click the drop-down arrow next to the words *Working Documents*.



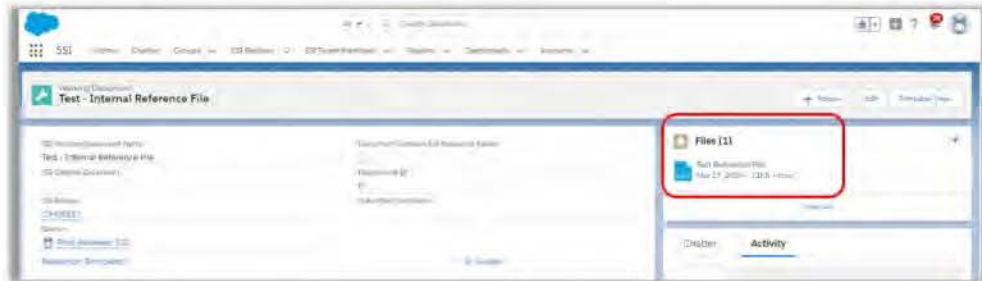
An entry form will appear. While the SSI Working Document Name can be whatever you prefer, you must enter "0" for the Page Count and select *Internal Reference Materials* for the *Keywords/Tags/ID Guides* field. Then, click *Save*.



The new *Working Documents* record you created will now appear as a [blue hyperlink](#) under the *Working Documents* section. Click the hyperlink.



Next, you can drag and drop files directly onto a record, under the Files section. Or, click Upload Files and navigate to where your reference files are located.



Note: Only the SSI Team Members are able to view files uploaded via this process. The files are not visible to the Submitter.

Quick Reference User Guide



User Guide -
Reviewers.mv.pdf



Transportation Security Administration

Transportation Security Administration
Office of Law Enforcement/Federal Air Marshal Service
Security Services and Assessments

Internal SSI Program Consolidated SOP *Roles & Responsibilities*

Version 3.2

This SOP will become effective upon issuance.

/S/

David E. Hoffman
Chief, SSI Program

May 14 2013

Date Issued



Internal SSI Program Consolidated SOP

Document Change History

Version	Date	Description
2.0	11/4/2011	Inclusion of standard response language
2.0	11/4/2011	Change to PHX 2.0 system and forms
2.0	11/4/2011	Addition of High-Priority/Visibility Reviews Concept
2.0	11/4/2011	Require test of redactions for any precedent documents accessed
2.0	11/4/2011	Reformat for simplified reference
2.0	11/4/2011	Addition of IdeaFactory referral process for sensitive submissions
2.1	10/3/2012	Change to Section 2.1 new drives and new link for access to TSA Shared Folders.
2.1	10/3/2012	Requirement for all SSI being posted to internet receive 3-stage review prior to posting.
3.0	10/22/2012	Merge of <i>SSI Program SOP for Managing the SSI Intake Process</i> and <i>SSI Program SOP for Redaction and Quality Assurance Utilizing Adobe Acrobat X Pro and the TSA Redaction Job Aid</i>
3.0	10/22/2012	Replacement of workflow management database Phoenix (PHX 2.0) with eReview
3.0	10/22/2012	Formalize process for completing findings memorandum
3.0	10/22/2012	Inbox handling requirements for informal and formal appeals
3.0	10/22/2012	Inclusion of incident follow-up requirement after 30 days
3.0	10/22/2012	Inclusion of SSI Review Request tool concept
3.0	10/22/2012	Set standard redaction properties requirements
3.1	12/17/2012	Integrate litigation-related SSI review requirements
3.1	12/17/2012	Modify redaction processes to incorporate Adobe Acrobat X Pro functionality
3.1	12/17/2012	Change of Intake duty handover to COB Friday



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Version	Date	Description
3.1	12/17/2012	Inclusion of requirement to save SME correspondence to "Internal" folder
3.2	5/14/2013	Addition of OI&A Products and quick turn-around requests to High-Priority SSI Reviews
3.2	5/14/2013	Addition of Delegations of Authority for Final Reviewers

Note: After the publication of this Consolidated SOP, Section 6.0, Creating or Updating SSI Identification Guides was published as Attachment 1 to this SOP. Additionally, an extensive update to Section 3.2.6, Challenges and Informal/Formal Appeals was published as Attachment 2 to this SOP.



Internal SSI Program Consolidated SOP

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Internal SSI Program Consolidated SOP

1.0 Introduction

Welcome to the Internal SSI Program Consolidated Standard Operating Procedure (SOP). This SOP is a compilation of two previous SOPs within the SSI Program, the *SSI Program SOP for Managing the SSI Intake Process* and *SSI Program SOP for Redaction and Quality Assurance*.

Authorities

This SOP expands on the SSI Regulation ([49 C.F.R. Part 1520, Protection of SSI](#)); [DHS MD 11056.1, Sensitive Security Information](#); [DHS MD 11042.1, Safeguarding Sensitive But Unclassified \(For Official Use Only\) Information](#); and [TSA MD 2810.1, SSI Program](#), and [SSI Policies and Procedures \(P&P\) Handbook](#). For detailed categories of SSI, see the SSI Regulation, 49 C.F.R. § 1520.5(b)(1) through (16).¹ For additional guidance on how to identify SSI, see the SSI Program office [Identification Guides](#).

Purpose

This SOP contains instructions on how to perform a number of different functions within the SSI Program which require standardization for record keeping, effective and efficient work processing, and accuracy. This SOP replaces the *SSI Program SOP for Managing the SSI Intake Process* and *SSI Program SOP for Redaction and Quality Assurance*, both dated October 10, 2012. For additional guidance and visual display of defined redaction steps, please reference "[TSA Redaction Job Aid Utilizing Adobe Acrobat X Pro](#)" directly.

Primarily, this SOP addresses *SSI In-Box Management*, *Conducting SSI Reviews and Assessments*, and *SSI Incident Report and Response*. If a topic of interest is not covered in this SOP, please email the SSI Policy Team Lead for consideration of inclusion in future SOP updates.

Who Should Use this Handbook

All persons permanently or temporarily assigned, attached, detailed to, employed by, or under contract with TSA's SSI Program must follow the guidance in this SOP in performance of their official duties and are hereafter referred to generally as "personnel," unless otherwise specified.

¹ All future "§" references refer to sections in the SSI Regulation, 49 C.F.R. Part 1520.

Internal SSI Program Consolidated SOP

2.0 Getting Started

2.1 Getting Set Up in eReview

- Make sure that you have access to the SSI folders on the S and Q drives.
- Copy the file below to your desktop: **Q:\eReveiw\eReview.accde**
- Create a sub folder named **SSIREviews** in your **My Documents** folder in your C drive.
- Please review the eReview User's Guide (under development) for additional information about eReview.

2.2 SSI Program Password Tool

This section coming soon.

2.3 Set Standard Redaction Properties

Having consistent boxes and colors will provide a more polished and finished product and will save significant time for those who are finalizing a review. Set auto settings for fill color, outline color, and overlay text font and color as detailed below.

STEP 1. To set the standard redaction properties within Adobe Acrobat Pro X, right click on a sample redaction box and select **Properties**². Within the **Properties** menu, **Appearance** tab, leave the defaults as Helvetica size 10.

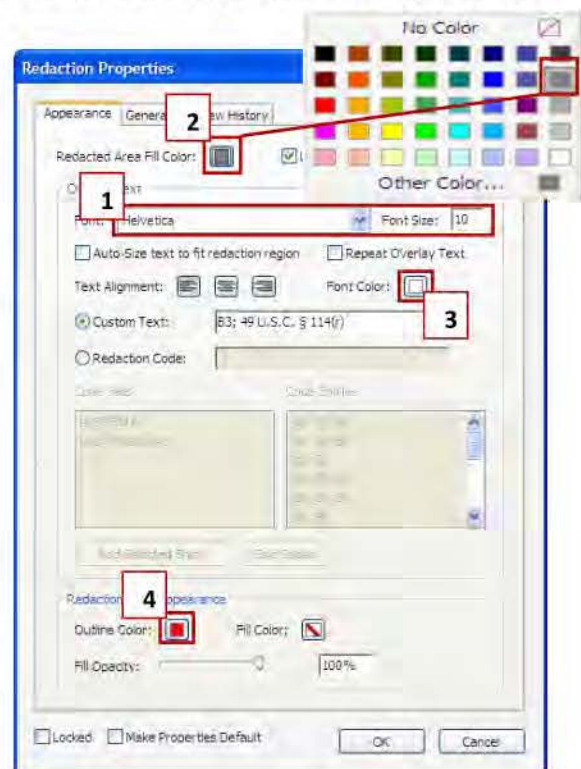
STEP 2. Markings for redaction should use the second darkest grey (not black) available within the default colors provided in Acrobat.

STEP 3. The font color of all text within the redaction boxes (used with FOIA stamp) should be white. For guidance on creating a FOIA stamp, see [Appendix 3: Setting Adobe Custom Redaction Code for FOIA Reviews](#).

STEP 4. Change the color of redaction boxes so that the outline color is red.

STEP 5. Click OK

STEP 6. When you have adjusted your appearances appropriately, right click on the redaction box again, and select **Make Current Properties Default** to ensure consistent markings throughout reviews.



² Also found by going to the Tools Menu, Protection, Redaction Properties.



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3.0 SSI Intake Management

The following instructions provide the SSI Program SOP to manage the day-to-day tasks associated with the SSI Intake function. Analysts working SSI Intake are responsible for ensuring close out of all intake actions received/opened while they were on duty performing this function or may share those duties as needed with other Team members. The Analyst is responsible for managing the Intake process for a calendar period beginning 5pm on Friday evening and ending 4:59 pm on the following Friday evening.

3.1 Division of Labor

This section coming soon.

3.1.1 Federal Employee (Communications Lead) Responsibilities

This section coming soon.

3.1.2 Contractor Employee (Intake Analyst) Responsibilities

This section coming soon.

3.2 Managing Intake, Delivery, and Close-Out of Reviews³

Intake for SSI review requests⁴ can come from requestors through the [SSI Program Review Request Tool](#)⁵, with notification delivered to the SSI Inbox. Both locations must be checked routinely to process new review requests. While managing Intake, analysts must strive to assign requests within four hours of receipt and requests received before noon will be assigned no later than close of business that same day. Analysts must strive to assign requests received after noon no later than noon on the next business day.

The Intake Analyst shall provide an acknowledgement of the receipt of the request to the requester after the request has been assigned. The acknowledgement must include the assigned Review number in eReview and expected date that the review will be closed and returned to the requester. The requester should also be advised to send an email that includes the review number to the SSI inbox if additional status is needed after one week. Status requests will be provided by the Analyst that is managing intake on the day that the status request is received.

For FOIA Requests, FOIA will complete the requested information in the SSI Review Request Tool. However, the document(s) to be reviewed will be located at [M:\FOIA X-FILES\INBOX](#).

For Office of Chief Counsel (OCC) Requests, OCC will complete the requested information in the SSI Review Request Tool. However, on occasion the document(s) to be reviewed will be located at [M:\9-11 Commission Binders](#)⁶.

³ Throughout the remainder of this SOP, those steps that are specific to FOIA Reviews appear in *red italic* text.

⁴ For information on SSI Assessments and Reviews, generally, see the [SSI Policies and Procedures \(P&P\) Handbook](#) at §§3.3 and 3.4.

⁵ The back-end to the [iShare repository](#) for the SSI Program Review Request is rights restricted to the SSI Program.

⁶ OCC will refer to this link as the "T drive," or "T:\OCC\INBOX"



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3.2.1 Prioritizing Intake

To the extent possible, **High-Priority/High-Visibility** actions must be processed first. Please use the following guidance to determine High-Priority actions. Remember, **all potential incident reports** should be treated as High-Priority. Analysts processing assessments of **High-Priority/High-Visibility** documents are responsible for verifying a final reviewer has visibility of the assessment before it goes out.

STEP 1. *Identify the documents which are **High-Priority/High-Visibility**.* Designation as **High-Visibility** is not necessarily how quickly the document must be reviewed but related to the visibility/significance of the review. Please use the following categories/guidelines as a starting point:

Table 1: Example High-Priority/High-Visibility Reviews Requiring Enhanced Coordination
Congressional responses
Government Accountability Office (GAO) responses and documents
Office of Inspector General (OIG) related documents
Documents to be signed by a member of the Senior Leadership Team
Major litigation actions with High-Visibility
DHS Office of Science & Technology (DHS S&T)
DHS Headquarters (DHS HQ) requests
Freedom of Information Act (FOIA) releases of significant interest to TSA leadership
Reviews of proposed Congressional testimony by TSA or DHS leadership
Transportation security vulnerability studies and reports
Products from TSA Office of Intelligence & Analysis
Any request submitted with a requested quick-turn around
Any other document review designated for prioritized treatment by TSA leadership or that the intake analyst believes could be of significance to TSA leadership.

STEP 2. All **High-Priority/High-Visibility** or otherwise prioritized reviews, whether originating from TSA Headquarters or Field Offices, must be reviewed by a Subject Matter Expert (SME) in consultation with an SSI Coordinator **prior to submission to the SSI Program**, with the information they believe to constitute SSI highlighted or otherwise marked. Both the SME and SSI Coordinator who performed the initial review must be identified as points of contact on the SSI Review Request Form accompanying the material when sent to the SSI Program Office for review. **Note:** *This pre-review by the SME and SSI Coordinator prior to SSI Program receipt is a concept currently being routed for approval with SLT. While this prior paragraph represents the ideal, the SSI Program may not enforce this pre-review until the action memo is signed and distributed.*

- A. If the intake analyst suspects a review may qualify as a High-Priority review, the analyst must confirm that the requester is asking for an expedited review which will require the SSI Program to prioritize this review over all other requested reviews within the office. Determine why the requester is asking for an expedite. Before annotating a review as High-Priority, verify with a team lead, Program Chief or Deputy Chief.
- B. When a review has been confirmed as High-Priority/High-Visibility, the analyst shall include an exclamation point "!" at the beginning of the title of the review.
- C. A High-Priority statement will be typed in the **Review Notes** section of the **Requests Tab**. The ! will remain within the description of the review.



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On certain High-Visibility or otherwise prioritized reviews, the SSI Program may submit the final material proposed for release, along with SSI markings and designations, to TSA leadership or senior executive personnel for approval. This may be preceded by a working group meeting among affected offices, OCC, and the SSI Program to review the material and ensure agreement on the information proposed for SSI designation. Any attendees to an SSI Review Working Group shall conduct a review of the material in question ahead of meeting with the working group—utilizing SSI Identification Guides, the SSI Federal Regulation, and their SSI Coordinator—to mark the information they believe is sensitive or may constitute SSI.

STEP 3. *Evaluate the **intended use** of the record(s) submitted.* Knowing the purpose of the review may change the handling applied to the file.

- A. If the information is going to be posted on the Internet, or if the information is associated with ongoing litigation⁷, assign the item as a full SSI review, regardless of the request. If the POC submitted the documents for an assessment only, please notify the requestor politely that the items have been submitted for a full SSI review because of the intended use of the document.

Note: Indications that it will be posted on the Internet include the requestor asking for an SSI assessment of a Statement of Work (and accompanying documents) that will be used for “Fed Biz”, “Fed Biz Ops” or for “FBO.” In addition, if the requestor notes that information is going to be sent to Office of Acquisitions for contract then please ask the requestor if the information is going to be posted on Fed Biz Ops or any other type of Internet posting. Another indication of posting to the Internet is if the files will be filed in court for a criminal or civil prosecution, or litigation.

- B. If the requestor insists that the item undergo an assessment only, check with the SSI Program Chief or Deputy Chief before making these items assessments.

STEP 4. *Evaluate whether the document or similar content has been reviewed previously.* Any previous review of the same or similar material is to be used only as precedence to be applied to the current document(s). Any precedential documents should be noted in eReview for reference by analysts conducting review. This step is especially important for reviews related to litigation, and must be employed for all litigation-related reviews, whether or not the submitter indicated that previous review requests have been submitted in conjunction with the same proceeding. Please consult the eReview User’s Guide (under development) for guidance on finding and noting previous reviews. If the review was accidentally submitted in duplicate, or entered multiple times by SSI Program personnel, the Intake Analyst should consult with the SSI Program Deputy Chief.

- A. For all precedential documents opened, test the redacted content for validity of redactions as detailed in the Quality Assurance section (Part 8.A.2) of SSI Program SOP for Redaction and Quality Assurance Using TSA Redaction Toolbar
- B. If previous redacted document is discovered to contain unprotected SSI:
 - a. Cross-reference against the previously breached files [list](#);
 - b. If the file is not found in the list, start the incident reporting process as detailed at [Section 5.0, SSI Incident Report and Response – SSI Program Checklist](#).

⁷ Litigation-related reviews should be noted on the SSI Program Review Request Tool, but may be indicated in the “Intended Use” field with a reference to the court, litigants’ name, or a case docket number.

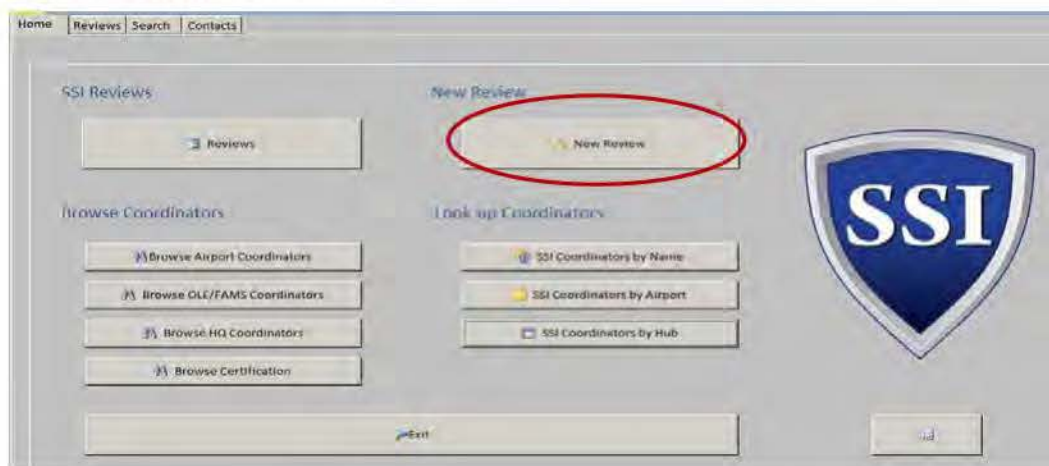


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3.2.2 Processing SSI and FOIA Review Requests into eReview

The New Main Screen

The screen below is displayed when you first start eReview. You can process reviews, add a new review, or search for reviews from this screen.



New Review Window

Fill in Request Description (Title), Scope, Type, Due Date and Redaction Scope (R or VR)⁸ needed. For FOIAs, the Request Description should be the FOIA number and a short descriptive title, e.g. "FOIA 11-1919 BDO Evaluation" using the actual FOIA number. **Note:** The description field must contain sufficient information/key relevant terms so that the information may be searched at a later date (e.g. "IT" is an insufficient description since it lends no reasonable description of the material contained in the review). For litigation-related SSI reviews, the case name and docket number must appear in the Description.

The screenshot shows the 'New Review' window. At the top, there are tabs for 'PM 2.0' and 'New Review'. The 'New Review' tab is active. The window title is 'Add New Review'. Below the title bar, there is a 'Request Number' field with the value '12 1045'. The main area contains several fields: 'Description' (a large text area), 'Keyword' (a text field), 'Request Scope' (a dropdown menu), 'Request Type' (a dropdown menu), 'Request Received' (a date field with '8/9/2012'), 'Our Due Date' (a date field with '8/23/2012'), 'Due - Reviewer 1' (a date field with '8/14/2012'), 'Due - Reviewer 2' (a date field with '8/19/2012'), 'Review Status' (a dropdown menu with 'Logged'), 'Redaction' (a dropdown menu), and a 'Notes' section (a large text area). On the right side, there are buttons for 'Add Contacts...' and 'Cancel'.

⁸ R is a full redaction which removes or obscures the data within the record; VR is a "visual redaction" which is visually identifying SSI in a record but does not actually remove or obscure the data within the record.



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The Request Number consists of the two digit fiscal year plus a sequential number. The Request number cannot be modified. The Request Scope can be either Assessment or Review. The Request Type can be one of the following:

- **Assessment** – A determination that SSI is contained within the document.
- **Breach** – Matters related to incidents and reports where it is believed that SSI information is available outside the parameters defined by Part 1520.
- **Case** – Matters referred by OCC, Field Counsel or Litigation.
- **Congressional Hearings** – Matters related to inquires, investigations, requests, etc.
- **FOIA** – Matters provided to the SSI Program Office from the FOIA Program Office.
- **Formal Appeal** – Requests for appeal of previous determination in accordance with MD.
- **Multi-media Review** – CD's, DVD's, videos, etc. provided to the SSI Program Office for review.
- **Other** – Matters referred by Agencies other than TSA.

Note: If you are entering a **FOIA request**, a FOIA number and Requestor (Point of Contact) within the FOIA Office must be provided. If you are entering an **OCC Case**, the Case name and number must be provided by, or acquired from, the requester. When finished, click on the **Add Contacts** button to continue.

The new review window auto-populates tailored dates for the 1st, 2nd, and Final Reviewer so that each level is allocated sufficient time to complete their review. Check that the auto-populated dates appear reasonable for the work-load submission and adjust accordingly, if necessary. If it appears that additional time is required for any review, consult with the SSI Program Deputy Chief. Consult the SSI Program Deputy Chief upon receipt of a short time frame review request.

If the FOIA review is more than 100 pages in length, add an additional five business days for every 100 pages and type in the new due date. The FOIA Requester and FOIA Number can be retrieved from the [SSI Review Request submission](#). For exceptionally large non-FOIA documents, speak with the SSI Program Deputy Chief about an acceptable deadline given the unique situation.



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3.2.3 Assigning a Review

The screen below will be displayed when the Add Contacts button is clicked. **Before assigning contacts for the review you must check the SSI Program calendar and evaluate pending assigned review workloads to determine who will be available in the office to complete each step of the review.**

Begin by typing the last name of person requesting the review, known as the Coordinating POC. (**Note:** Your name is automatically added as the person logging in the request. Please verify this field gets updated.) You can also use the drop down table to highlight the name of the person that you are assigning to the review.

STEP 1. Click on the name of each review type 1st review, 2nd, etc, and then click on the update button by assigning the following contact types for a typical full review.⁹

Assignment Chart:

Contact Type	Review Order
Coordinating POC	n/a
Reviewer	1 st Review
Reviewer	2 nd Review
Release Authority	Final Review
Delivery and Closeout	Closeout final

For litigation-related SSI reviews, always search for previous related SSI reviews. If any are located, ideally the review should be assigned to all of the same reviewers. However, ensure that at minimum the same second- and final-level reviews are assigned to the review. This ensures consistent protection of similar information in the same case. Note the previous,

⁹ An assessment typically can be completed by a single reviewer and does not require a separate release authority. The staff member logging in the assessment may also be responsible for a portion of the review, and *Delivery and Closeout*.



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related review, utilizing the Associated Reviews function. See the *eReview User's Guide* (under development) for more information.

An assessment typically can be completed by a single reviewer (**Note: Federal employee only**), and does not require a separate release authority. However, a first or second reviewer may request that a second person review the Assessment. In that case, the 1st reviewer will ask, assign and add a second person to conduct a second review of the Assessment. The assigned first reviewer will also send an email to the new second reviewer and the intake coordinator and make a note in the comments box in the main review screen. This is not necessarily a conversion to a review; the assessment remains an assessment. Check with a senior reviewer for more information. The staff member logging in or performing the assessment can also be responsible for review, delivery and closeout.

STEP 2. Verify the Coordinating POC's contact information. Ensure that all of the needed information is captured to include accurate email, title, office, and phone number. If the contact does not exist in the drop down list, click on the Add Contact button to add a new contact. Please do not enter personal email addresses, use **@tsa.dhs.gov** addresses only for TSA internal requestors and official email accounts for requestors outside of TSA.

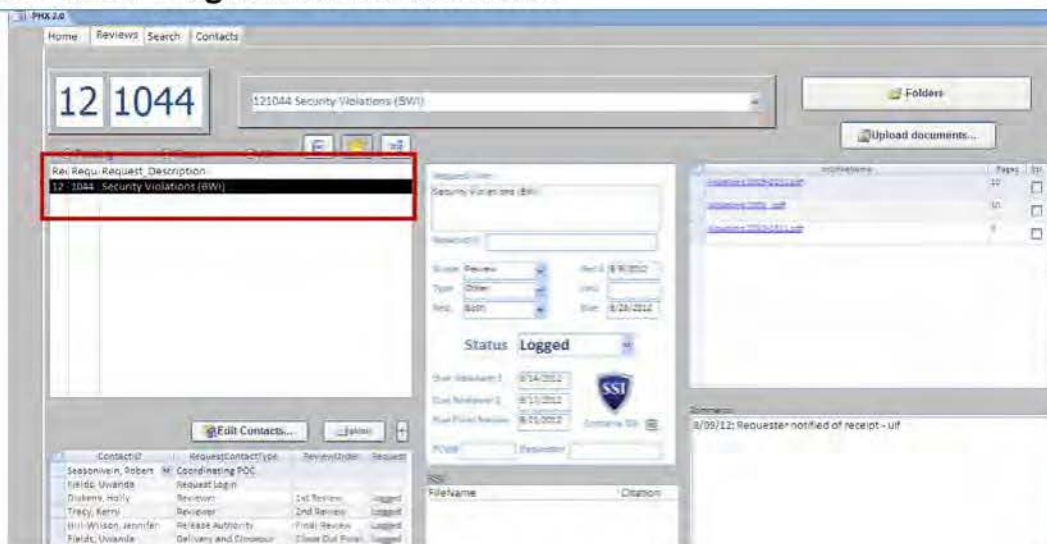
The screenshot shows a web form titled "Add a Contact". It includes the following fields: "First Name", "Last Name", "Type" (a dropdown menu), "Office" (with the text "(unknown)" inside), "Suffix", "Title", "Work Phone", and "TSA Email". At the bottom of the form is a button labeled "Save and Close".

STEP 3. Provide the information above about the contact, then click on Save and Close button. The Request Contacts screen is displayed again and the new contact is included in the drop down list of contacts.

STEP 4. In the example below, the main review screen is shown with the newly added review displayed in the list of pending reviews. By default, pending reviews are shown in the main review screen.



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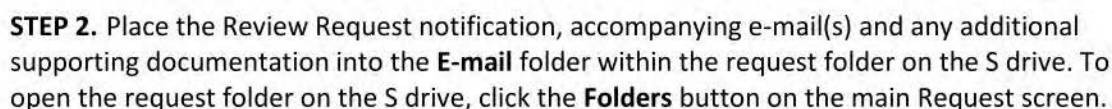
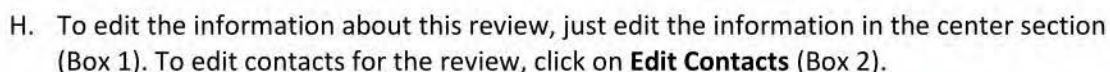
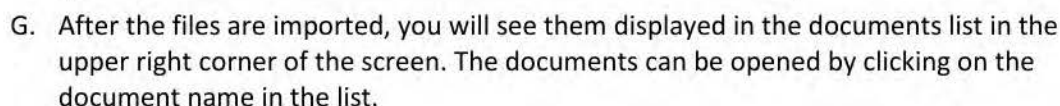
3.2.4 Add Inventory & Supporting Documentation

STEP 1. Save the inventory to the local drive and prepare it for upload into eReview.

- Ensure that the file(s) to be reviewed is not password protected and is in an Adobe .pdf format.
- Convert files to *.pdf format. (**Note:** To convert a Microsoft Office 2007 document into a *.pdf, click on the Office Button, click Save As, and then click Adobe PDF.)
- Remove any special symbols (e.g., *, #, %) that appear in the title of the file(s).
- “OCR” the files in accordance with [Appendix 2, How to Perform an OCR](#). (**Note:** If the size of the files prohibit rapid OCR, Intake must notify the first level of review that the files still need OCR prior to applying markings)
- Copy and paste the file(s) to be reviewed into the “SSIReviews” folder within in the “My Documents” folder on the local drive. Ensure that the file(s) to be imported for review is the only file(s) in the folder.



- Click Yes at the next screen after you have imported the files.





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After you have completed entry of a FOIA Review, delete the relevant folder from the FOIA Inbox on the M: drive.

STEP 3. Place the Review Request form, accompanying e-mail(s) and any additional supporting documentation into the **E-mail** folder within the request folder on the S drive. To open the request folder on the S Drive, click the **Folders** button on the main Request screen. After you have completed entry of a FOIA Review, delete the relevant folder from the FOIA Inbox on the M: drive.



STEP 4. Change the status of the Review on the SSI Reviews page to “Yes” for processed, so that the review no longer shows as pending for others accessing the page.

STEP 5. Notify First Reviewer - Identify First Reviewer from Contacts box, select their name and then hit the **E-mail** button. An e-mail addressed to that person will appear; simply send them the e-mail to notify them that the request is ready for review.

3.2.5 Delivery and Close-Out of SSI and FOIA Reviews

If, after the second-level review, the reviewer determines that the documents do not contain SSI, the reviewer may close the review¹⁰ as detailed following. Additionally, notify the final reviewer of the case number and finding. The Intake Analyst shall notify the requester of the closing, via email, with an attached Findings Memorandum. For more information on creating Findings Memorandum, see Section 4.3, [Creating a Findings Memo](#).

STEP 1. If SSI is found in the document, consult the SSI Review Request Form in the request's Internal folder on the S: Drive to determine if an _R or _VR was requested. For FOIA Reviews, only a _VR will ever be created. Consult Appendix 4: Redacting Information using Adobe Acrobat X Pro, for instructions on how to create _Rs and _VRs.

STEP 2a. Return document to requester: SSI Reviews.

- A. For the majority of SSI Reviews, send an email by clicking the Email button within the main review screen in eReview. In the case that OCC requests documents returned via the “Shared Drive” or “T: Drive,” create a folder within [M:\9-11 Commission Binders\Litigation - Outgoing to OCC](#) and drop the files there.

¹⁰ Documents that are assigned a full review because they are intended to be posted to the Internet, related to litigation, or a full review is otherwise required by the guidance at 3.2.1. above, may not be closed out at this point even if the second reviewer determines that the documents do not contain SSI.



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- B. Additionally, each request must be accompanied by a Findings memo that identifies to the requestor those files that contain SSI and those that do not contain SSI. Large files may be returned on a CD rather than through email. (**Note:** For more information on creating Findings memos, please see SSI Program [Guide to Templates](#) and Section)
- C. Save the email and Findings memo notifying the requester of the SSI Program's findings within the request's **Email** folder on the S: Drive.
- D. (Use Only as Applicable) Delivery of "VR" Documents to Office of Acquisition:
If the Requestor of a "VR" document is an Office of Acquisition employee, the SSI Program Chief and the Deputy Administrator must review and approve the release of the "VR" document prior to the return to the requestor.

STEP 2b. Return document to requester: FOIA Reviews.

- A. Within the request's **Final** folder on the S: drive, create a new folder, entitled "VR." Paste the _VR file into the "VR" folder, giving the file the name of the FOIA request number, followed by "_VR" (e.g., "TSA10-0701_VR").
- B. Additionally, each request must be accompanied by a Findings memo that identifies to the requestor those files that contain SSI and those that do not contain SSI. (Note: For more information on creating Findings memos, please see SSI Program [Guide to Templates](#).) Verify the accuracy of all of the information on the Findings memo and verify it contains the final reviewer's signature. Save the memo as "[FOIA request number]_Findings Memo" in the "VR" folder created in the review's folder on the [S: drive](#). The folder should now contain two PDFs: the "_VR" and the "Findings Memo." Select both PDFs to be copied into the Out Box.
- C. Return the files to the FOIA Program Office through the "Out Box," located at [M:\FOIA X-FILES\OUT-BOX](#). Create a folder within the Out-Box, labeled with the FOIA request number. Paste into that folder both the Findings memorandum and the _VR.
- D. Email the FOIA lead associated with the review request to notify them that the review is complete and the relevant files are in the Out Box with the following statement in the body of your email *"The SSI Program has completed its review. Please retrieve your files and the release Findings letter in the folder identified <Insert FOIA number> from the FOIA inbox at your earliest convenience."*

STEP 3. Within the **Requests** tab in eReview, under **Request Details**, change the **Status** drop-down from **Logged** to **Closed**.

3.2.6 Challenges and Informal/Formal Appeals

Section 3.2.6 material moved to Attachment 2 until Consolidated SOP is republished.



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Section 3.2.6 material moved to Attachment 2 until Consolidated SOP is republished.

3.3 Processing SSI Request – Voice Mail

The SSI Program maintains a dedicated phone line generic to the SSI Program (571-227-(b)(6)) located in (b)(6). The SSI Program contract analyst performing intake duty is responsible for checking and responding to messages left on SSI Voice Mail.

STEP 1. To retrieve messages from SSI Voice Mail:

- A. Check messages once or twice a day, preferably late morning and late afternoon.
- B. Access voice mail by dialing 571-227-(b)(6) internally)
 1. As soon as the greeting starts, press the * key
 2. When prompted for ID, enter (b)(6)
 3. When prompted for the passcode, enter (b)(6)
 - a. If the passcode has expired and a new one is required, keep (b)(6) as the new passcode. Do not create a new passcode.
 4. The greeting will begin again. When it does press 1 which will allow access new messages.
- C. Listen to the messages. Press 1 to hear the message again, 2 to save, or 3 to delete.
Note: *We frequently receive calls concerning the CCSP program. It is not necessary to return these calls. Instead, forward the information to Tamika McCree and Glenn Ruffin.iommmk*

STEP 2. To respond to messages:

- A. If not also on SSI Intake duty, confer with person managing Intake to confirm that caller did not also send an e-mail for which a response has been given.
- B. If the matter has not been resolved, contact the caller and take whatever action is necessary to resolve matter. Be sure to get caller's e-mail address.
- C. E-mail caller detailing resolution of the matter.

STEP 3. To track messages:

- A. Place e-mail correspondence on non-routine questions in the [day file](#) in the appropriate year and month subfolders.
- B. Add phone call details to the phone log located at M:\Phone Log.

STEP 4. To delete messages:

- A. Delete phone messages from voicemail after logging response by pressing 3.

¹¹ Until the term "First Appeal Authority" is available in eReview, add a second Final Reviewer and add a note in the Notes section.



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3.4 Answering Questions – SSI Inbox

Analysts performing intake duty must check the Inbox continuously throughout the day.

STEP 1. Standard Procedure

- A. Evaluate the question to determine if you can answer it independently or if you need additional information from an SSI Program member who has applicable expertise. Consider:
 1. Is the question answered in the [SSI FAQs](#)?
 2. Is the question answered in this SSI Program Consolidated SOP?
 3. Is the question answered in the [TSA MD 2810.1, SSI Program](#)?
 4. Is the question answered in an [SSI Policies and Procedures Handbook](#)?
 5. Is the question answered in the [SSI Reviewer's Guide](#), [Advanced Application Guide](#), or an [Identification Guide](#)?
- B. If you can answer the question using one of the above, send a reply including the link to supporting documentation on iShare.
- C. If the answer needs to be referred to an SSI Program member, forward the e-mail to the appropriate person(s) and ensure they know what action is needed from them.
 1. If they answer the requester directly¹², request that they copy (CC) SSI@dhs.gov on their e-mail so the e-mail can be preserved.
 2. **Note:** You are encouraged to collect the proper information from SSI Program members with relevant expertise and compose the answer to the requester yourself so you may learn and so the tasks don't get lost in e-mail.
- D. Preserve a record of the question received and answer delivered. Maintain the questions in the Inbox until a record of the answer is provided to the Inbox.
- E. Save the responsive e-mail to the Day File as follows:
 1. Save the entire e-mail string with the question received in the [Day File](#).
 2. Within the Day File, save the e-mail within the folder for the correct year and month.
 3. If an e-mail with the same title already exists in the folder, save the e-mail under a different name by adding the date at the end through the **Save As** function.
- F. When appropriate, save the answer to the SSI FAQs.
 1. If an answer cannot be answered through reference to an existing record (SSI Policy and Procedure Handbook, SSI ID Guides, SSI Advanced Application Guide or SSI Reviewer's Guide, etc.), it should be added to the FAQs. Also add any answers you have found yourself to have given on a regular basis.
 2. Folder for future [FAQs](#) is located in the current month subfolder. If there is not a folder, one should be created.

¹² The reply e-mail will be sourced from your personal e-mail account. The current system does not allow direct response from the SSI Inbox.



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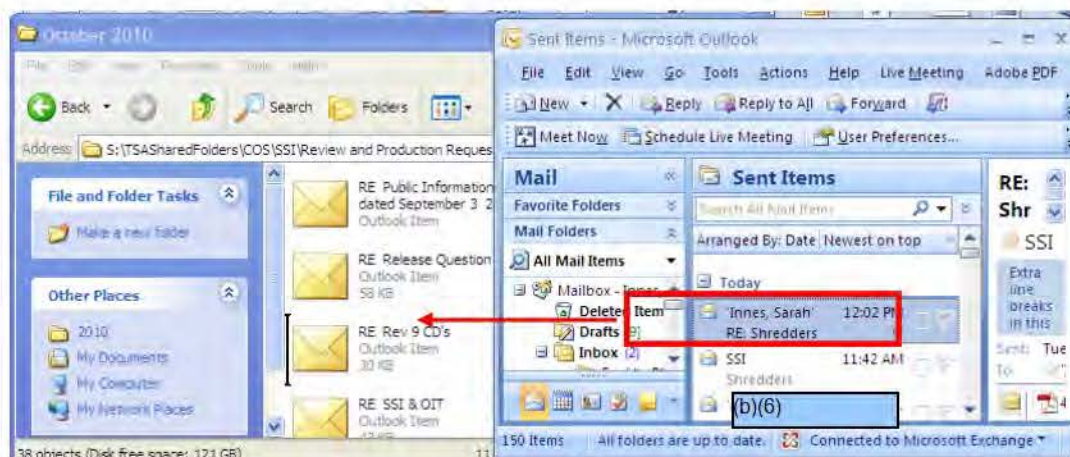
3. Updates to the live FAQs on iShare are made semi-annually to reflect the new guidance.

STEP 2. User's Guide

- A. Access SSI@dhs.gov throughout the day to monitor questions arriving.
- B. Evaluate questions to determine whether you can answer the question, based on previously-issued guidance and supporting documentation. In this User's Guide, the following question has been received in the SSI Inbox:

My office is purchasing a new shredder, which we will use to destroy SSI content, among other materials. What makes/models of shredders have been approved for the destruction of SSI?

- C. Consult guidance issued by the SSI Program to determine whether an answer has already been issued. In the case of our example, the Program has issued guidance in several forms, of varying formality.
- D. Answers should be fully responsive to all questions posed by the requester, and should include iShare links to all supporting documentation that is available.
- E. To save your answer to the Day File, simply open the day file in one window with your "Sent Mail" opened in another. Drag the relevant e-mail into the appropriate folder within the Day File.



- F. If another e-mail with the same title already exists within the Day File, do not save over it. Instead, rename your e-mail by adding the date at the end through the "Save As" function on the Office Button.
- G. When you have sent your response, saved your correspondence and are satisfied that the question has been answered, delete the initial e-mail from the SSI Inbox.



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3.5 IdeaFactory

The SSI Program Intake Lead (federal employee) is responsible for conducting IdeaFactory assessments as they come into the Inbox. The IdeaFactory is a database designed to allow a community of employees to share ideas and innovative solutions. All of the e-mail messages in the IdeaFactory must be reviewed for SSI content and must be marked accordingly.

STEP 1. Access the IdeaFactory notification Outlook folder as follows:

- A. Open the SSI mailbox in Outlook.
- B. Open the Inbox.
- C. Open the IdeaFactory folder.

STEP 2. Open the oldest e-mail message received. Below is a sample record:

UserID Reporting SSI: NETWORK\Joe.Smite
Date/Time SSI reported: 11/30/2010 10:56:19 AM
Comment written by: NETWORK\Richard.Landen
Date Comment written: 11/24/2010 1:28:45 PM
Idea Title in which comment appears: Advanced Imaging Technology (AIT)
Record ID of the comment: 0
Record ID of the idea: (b)(6)
The comment being reported is listed under the following idea::

[Advanced Imaging Technology \(AIT\)](#)

Notes concerning the reported Comment:
It talks about our process

[You may UNMARK this idea/comment as SSI by clicking here.](#)
[You may MARK this idea/comment as SSI by clicking here.](#)
[You may DEACTIVATE this idea/comment by clicking here.](#)
[You may ACTIVATE this idea/comment by clicking here.](#)

STEP 3. Click on the highlighted ideas; in this scenario: [Advanced Imaging Technology \(AIT\)](#).

STEP 4. When the IdeaFactory Web Page opens, read the IdeaFactory agreement and agree to the Terms of Use.

STEP 5. The IdeaFactory message window will appear. Sometimes many ideas will be listed. Find the specific idea by looking at the e-mail message you have previously selected in the IdeaFactory folder (Ref. to Step 2) by matching the name of the writer and the date and time the idea was written.

STEP 6. Assess the content as follows:

- A. Use the regulation (49 CFR Chapter XII Part 1520) to determine if the message contains any SSI material.
- B. Close the window and return to the e-mail message containing the idea (Ref. to Step 2).



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- C. If the idea does not have any SSI material - > Click on the You may unmark this idea/comment as SSI.
- D. If the idea has SSI material - > click on the You may mark this idea/comment as SSI.
- E. Close the IdeaFactory message window.

STEP 7. Delete the e-mail message in the IdeaFactory folder.

STEP 8. If, while reading the IdeaFactory submission, you believe the content may be too sensitive for posting for everyone in TSA to read, first discuss the matter with a team lead, Deputy Chief or Chief for their concurrence, and then contact the IdeaFactory at IdeaFactory.tsa@dhs.gov stating *"During our SSI Assessment of the content posted at <insert link here>, the SSI Program believes the program office may prefer this content to not be available to the entire IdeaFactory audience. The SSI Program recommends that IdeaFactory contact the program office for a determination as to whether this content should be available on IdeaFactory."*

Note: If after you have read all of the ideas listed (Ref. to Step 5) you are unable to match any one of them to the initial e-mail you selected (Ref. to Step 2), mark the idea as SSI.

3.6 Incident Recognition and Notification

The SSI Program contract analyst performing intake duty (Intake Analyst) is responsible for checking the Inbox frequently throughout the day to look for reports of SSI incidents. Properly addressing incidents is a time-sensitive priority.

The Intake Analyst must immediately notify the Incident Analysts that an Incident Report has been received in the Inbox. Two Incident Analysts (Wayne and Paul) have been identified in the Program Office, each of whom has responsibility for appropriately assessing incidents.

Both the Intake Analyst and the Incident Analysts are responsible for checking the Inbox for any outstanding incidents within 15 minutes before they each depart every day. If no Incident Analyst is going to be available any given day, they must coordinate to ensure another analyst checks the Inbox at COB (5:00 pm) to ensure there are no outstanding incidents.



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4.0 Conducting SSI Reviews and Assessments in eReview

The following instructions provide the SSI Program Standard Operating Procedures (SOP) to implement the use of TSA's Redaction Toolbar, starting with general steps on reviewing a product and ending with specific focus on the QA steps of an "R" document and the approval steps if "VR" documents are requested. This SOP *integrates* SSI Program-specific review processes with TSA's standardized process for applying electronic redactions as detailed in *TSA Redaction Job Aid Utilizing Adobe Acrobat X Pro* dated November 14, 2011. Adobe Acrobat X Pro allows you to permanently remove (redact) visible text and images from PDF documents. In place of the removed items, redaction marks appear as colored boxes or the area can remain blank. Occasionally custom text or redaction codes to appear over the redaction marks.

4.1 Delegation of Authority

The TSA SSI Program Chief, with the concurrence of TSA Office of Chief Counsel, has delegated to certain officials within the TSA SSI Program the authority, under TSA Management Directive (MD) 2810.1, *SSI Program*, to "conduct SSI Reviews of records to determine whether any information within those records is SSI¹³" and "[identify] SSI in records by performing an SSI Review before an Authorized Redactor may complete a redaction of SSI."¹⁴ This authority is delegable under TSA MD 3100.4, *Delegations of Authority*, and the delegation necessary because the volume of SSI Reviews completed by the SSI Program precludes the SSI Program Chief's review of each record. Pursuant to this delegation, those certain officials within the TSA SSI Program are authorized to conduct SSI Reviews on behalf of TSA. The SSI Program Chief maintains written records of those officials to whom this authority is delegated. This authority may not be further delegated to other personnel; all such delegations require the TSA SSI Program Chief's written delegation.

4.2 Preparing for Review and Redaction

Ensure Intake Analyst has assigned first, second, and final reviews, and close-out steps to Program Analysts. Only federal employees may perform assessments, final review, and/or quality assurance tasks.

Evaluate the intended use of the record(s) submitted. Knowing the purpose of the review may change the handling we apply to the file. If the information is going to be posted on the Internet, assign the item as a full SSI review, regardless of the request. See [Section 3.2.1 Prioritizing Intake](#) for more information.

4.3 Conducting a Review

4.3.1 Identifying SSI

Add SSI notations in the list below. Include pages(s), instances, SSI description, citation and SSI notes.

- **Page(s)** Location(s) of the SSI
- **Instances** The number of times the SSI appears in the page range given
- **SSI Description** A description of the SSI (example: calibration specifics, multiple FAM names)
- **Citation** The applicable citation from the 49 CFR, Part 1520 SSI regulation

¹³ TSA Management Directive 2810.1, *SSI Program*, at (5)(F)(1).

¹⁴ *Ibid* at (5)(F)(3).



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- **SSI notes** Comments that you have about this instance of SSI
- **Concur** For use by final reviewer only.

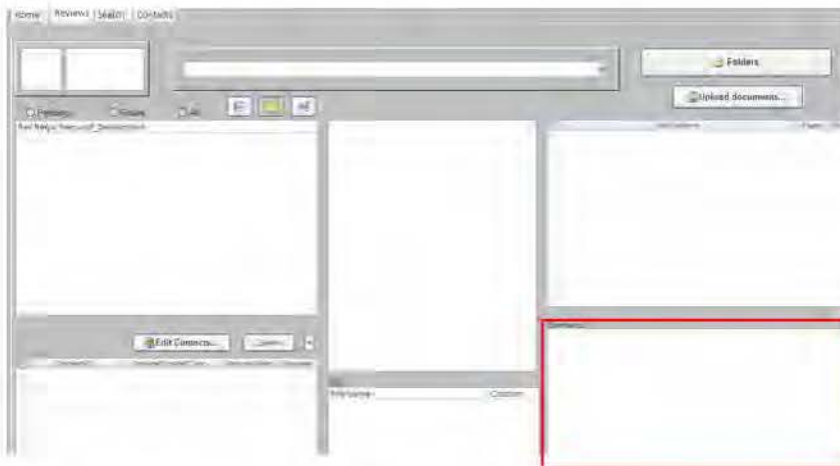
SSI records can be added by row as you would when using a standard spreadsheet format.



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4.3.2 First and Second Reviewer Responsibilities

- A. Give priority to high-priority reviews marked! High-priority reviews must be marked by the requestor in coordination with a SME prior to SSI Program beginning its first-level review. See [Section 3.2.1, Prioritizing Intake](#) for more information on the types of reviews that require high-priority attention. **Note:** *In some instances, the review may be conducted concurrently with some or all of the reviewers.*
- B. *Reference the comments section of the Reviews page in eReview to see if there is any information provided to guide the review.*



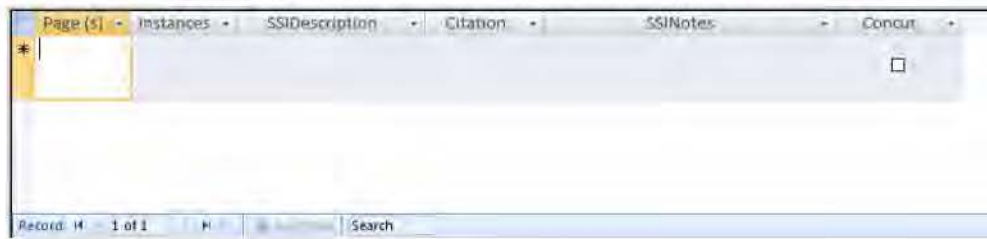
- C. Identify and research related previous reviews, if any, to ensure redaction consistency. Link associated reviews, if any are discovered. Insert explanation in the comments section.
- D. For litigation-related reviews, always search for previous related reviews. If any analyst believes a review is related to litigation but has not been noted as such, the analyst should review the associated review request and supporting documentation, and discuss their concern with the SSI Program Deputy Chief. Additionally, if a previous related review is discovered, bring it to the SSI Program Deputy Chief for an evaluation of assigned reviewers.
- E. Reference [ID Guides](#) and [SSI ID Guide Decision Logs](#) to ensure redaction consistency.
- F. Search open source, as appropriate.
- G. To review the document, first click on the document link. This will display the Document Analysis Screen shown below.





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- H. Conduct an initial assessment of the document. If files have not yet been OCR'd, OCR the document now. See [Appendix 2, How to Perform an OCR](#) for directions on performing an OCR.
- I. Use the Text Box Tool¹⁵ to apply comments, if any.
- J. Add citations and any relevant notes in the **Document Analysis** screen.



- K. The time you spend to review a document is automatically recorded for you. The time starts when you initially click on the document link in the main review screen. The time ends when you click the **Set** button in the *Document Analysis* screen. Before exiting, each reviewer must either change the number in the box identified in the **Last Page** box or click on the check mark next to the box.
- L. As each level of review is complete, notify next assigned reviewer via the PHX email function.
- M. If the second reviewer agrees with the markings of the first reviewer, no action is required. However, if the second reviewer finds more to redact, disagrees with proposed redaction(s), and/or disagrees with the cites, he or she will mark accordingly by creating redaction boxes around additional information to be redacted, using the line tool to strike through areas identified by the first reviewer the second believes should not be redacted adding a comment box.
- N. If either the first or second reviewer is confident that document(s) submitted for a full review contains no SSI, they may change conclude an assessment of the document(s) without submitting it to a full three stage review, with the exception of the items requiring a full review (e.g., items being posted to the Internet, litigation-related information). This may be accomplished by changing the **Request Scope** in eReview from a Full Review to an Assessment. A reviewer may remove any subsequent or final reviewers, and the Intake Analyst will close out the assessment in accordance with the [Section 3.2.5 Delivery and Close-Out of SSI and FOIA Reviews](#).
- O. All reviewers must update the appropriate SSI ID Guide Decision Log with those decisions that either are not clearly addressed in published guidance or alter previous decisions. A folder containing all decision logs is maintained on the M: Drive, at [M:\ID Guide Supplement – Review Decisions](#). An update to a decision log shall contain the existing ID topic or a new topic for which a precedential decision has been made, the review request number associated with the decision, a brief description of the decision, and whether the decision represents an update or a change.

4.3.3 Additional Second Reviewer Responsibilities

- A. At the receipt of the review, 2nd reviewers must determine whether SME consultation will be required prior to finalizing the review and must initiate contact with the appropriate program

¹⁵ Found by going to **Comment**, then **Drawing Markups** within Adobe Acrobat Pro X.



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SMEs, if contact has not already been initiated, prior to sending the review to the Final Reviewer.

- B. If a SME is consulted, save correspondence with the SME and the SME's final concurrence or opinion to the "Internal" folder associated with the review.
- C. For litigation-related reviews, when a SME consult is required, whenever possible use the same SME for all reviews related to the same case. OCC may be asked to assist in the identification of a SME for litigation-related reviews.
- D. Reference the analysis detail associated with this review from this screen by using the buttons at the bottom of the screen.

- E. In the example below, there are two analysis detail records with the first being displayed. To see the next record, click on the next button. You will always know how many analysis detail records are associated with a given review by looking at the total number shown here.

- F. SSI records can be added by row like you would when using a typical spreadsheet.

4.3.4 Final (Third) Reviewer Responsibilities

- A. Final review must be performed by a Senior Analyst granted release authority by the SSI Program Chief (only certain Federal employees have release authority). As the final decision-



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making authority, the final (3rd) reviewer resolves discrepancies in markings between the 1st and 2nd reviews. In finalizing the review, the final reviewer may schedule a round-table with the relevant reviewers to discuss recommended redactions and/or releases; or seek additional consultation with Subject Matter Experts (SMEs) or with the SSI Program Chief.

- B. Final reviewers can concur to all SSI records shown in the list by checking the Concur All checkbox. Un-check this box to not concur with all. Final reviewers can also concur to each SSI record individually.
- C. If you are a 2nd reviewer or release authority, you can see the analysis detail associated with this review from this screen by using the buttons at the bottom of the screen.

In the example below, there are two analysis detail records with the first being displayed. To see the next record, click on the next button. You will always know how many analysis detail records are associated with a given review by looking at the total number shown here.

- D. Final reviewers can concur to all SSI records shown in the list by checking the Concur All checkbox. Un-check this box to not concur with all. Final reviewers can also concur to each SSI record individually.
- E. For your convenience, SSI records can be added by row like you would when using a typical spreadsheet.

- F. In addition to the reviewer responsibilities outlined in Step 4, final reviewers:



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- 1) Ensure that the citations(s) used to justify the redactions are appropriate.
- 2) Communicate to previous reviewers what the final outcome of the review was (e.g. whether there was SSI or was not SSI; if there is SSI, why it is SSI under what cite).
- 3) Document precedential decisions, either decision on information not previously reviewed or altered decisions which diverge from published guidance.



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4.4 Closing a Review

This section should be used in conjunction with [Section 3.2.5 Delivery and Close-Out of SSI and FOIA Reviews](#).

4.4.1 Finalize

STEP 1. If no SSI is found, the Intake Analyst will notify the Requestor as appropriate, and return original material to the Requestor, if necessary.

STEP 2. If SSI is found, prepare the working version of the document for close-out by removing all non-final markings. Non-final markings include those markings for redaction which were overruled by subsequent reviewers, including those lines present on the document indicating that the marking should be removed. Any Text Boxes containing deliberative or background information, not intended to be provided to the requester, should be removed. For FOIA reviews, citations in Text Boxes should not be removed.

STEP 3. If SSI is found and a visually-redacted "VR" copy is requested, after removing all non-final markings, simply select **Save As** and add "_VR" to the file name and save the file to the final folder. A _VR should always be created for a FOIA review when SSI is found, and a redacted copy need not be created.

STEP 4. When creating a "_VR" that will ultimately be transmitted through email, also create an accompanying password-protected "_VR." To apply a password, select **Secure** from the top toolbar. Select **Encrypt with Password**. Select **Yes** from the pop-up window asking if you are sure you want to change the security settings on the document. Use the drop-down in the Password Security – Settings pop-up box to ensure compatibility with **Acrobat 3.0 and later**. Check the box labeled "Require a Password to Open the Document." Enter the TSA Standard SSI password, or a unique OIT-compliant password, in the field labeled "Document Open Password." Select **OK**. A pop-up window will appear, entitled "Confirm Document Open Password." Re-enter your password in the empty field and click **OK**. A window will appear, informing you that you must re-save the document in order to apply the password. Select **OK**, and then select the **Office Button**, click **Save As**, and save the document with the same name followed by "_VR_pwd".

STEP 5. If SSI is found and a redacted "R" copy is requested, **apply redactions** using Appendix 4: *Redacting Information using Adobe Acrobat X Pro*. Save the changes to the appropriate archive folder by performing the following steps:

- A. Change **Save As** type to **Adobe PDF Files, Optimized (*.pdf)**. Click the **Save** button.
- B. Click yes on the pop-up window asking if you want to replace the existing file.
- C. Click yes on the pop-up window asking if you want to save and continue.
- D. Open eReview and select the **Request** tab
- E. Click on the appropriate request
- F. Click the **Folders** button
- G. Click on the Inventory/Final link
- H. Move the _R version into this folder

STEP 6. Sanitize the document using Appendix 5: *Sanitizing the Document*. Save the sanitized document over the R document in the final folder.

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STEP 7. After the redacted versions of the files have been completed, another analyst (federal employee) within the office must conduct a quality assurance check of the files. See [Section 4.3.2, Quality Assurance Check for Proper Redaction](#) for more information.

4.4.2 Quality Assurance Check for Proper Redaction

A quality assurance (QA) check must be performed by a federal SSI Program employee OTHER THAN the individual who performed the redaction. The following checks will help ensure that the document was technically redacted properly. **In addition, QA should perform a visual inspection of the entire document to ensure that the appropriate content was redacted.**

Step 1. Open both the redacted “_R” document and the “_VR” document and perform a visual inspection of the entire document to ensure that the approved redactions match.

Step 2. In the “_R” document –

- A. Text Check. Search for a word, number, or phrase known to be underneath a redaction box. A search may be performed by clicking CTRL and F, or by selecting “Search & Remove Text” on the **Tools/Protection** menu (Figure 1). If the document contains no text, you should see one of the two messages below.

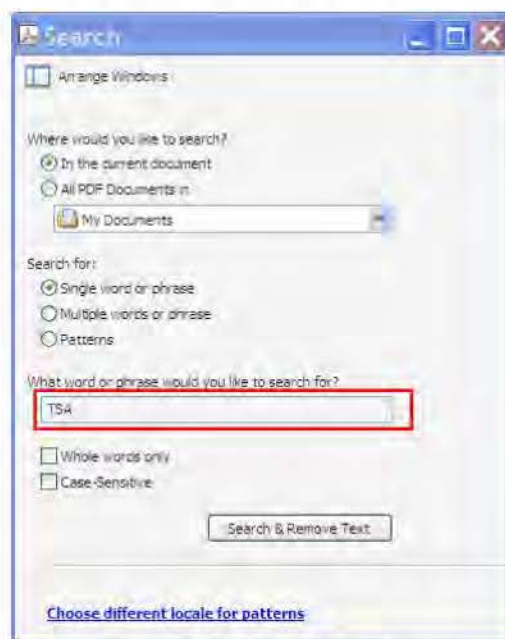


Figure 1: Search Dialog Box

1. “Acrobat has finished searching the document. No matches were found.”
2. “This page contains only an image of a scanned page. There are no text characters. Would you like to run character analysis to try to make the text on this page accessible?” Select the “Cancel” button (Figure 2).

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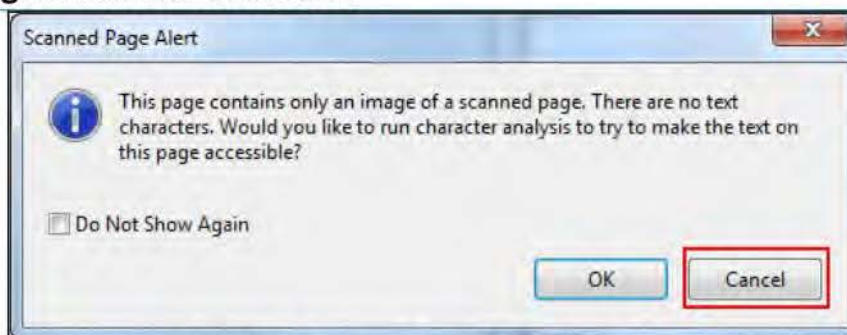


Figure 2: Scanned Page Alert Dialog Box

- B. Check for metadata by clicking **Remove Hidden Information** on the Tools/Protection menu. If metadata is found, click **Remove** (Figure 3). Note: If the document is properly sanitized, there will be no metadata in the document. If metadata is found, click the REMOVE button and save the document.

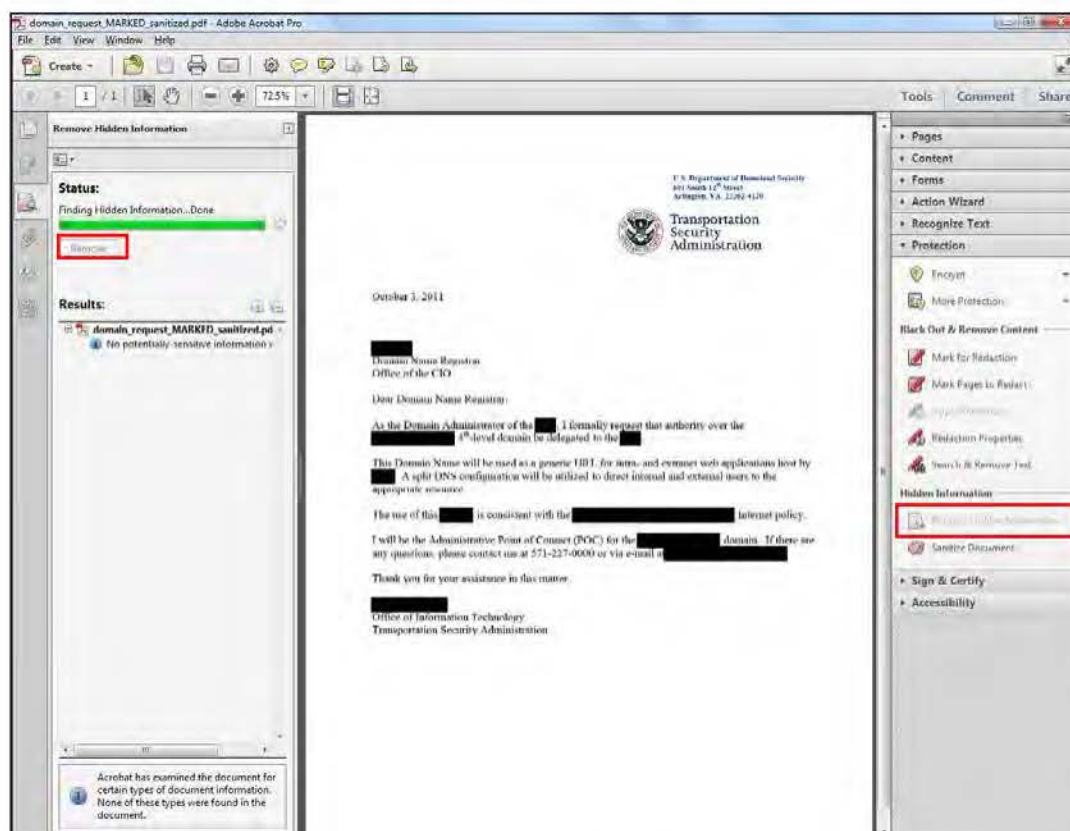


Figure 3: Remove Hidden Information

- C. As a final step, select **File** from the menu, and select **Properties** from the menu list. Check each tab of the Document Properties dialog box to ensure no sensitive data is present (Figure 4).

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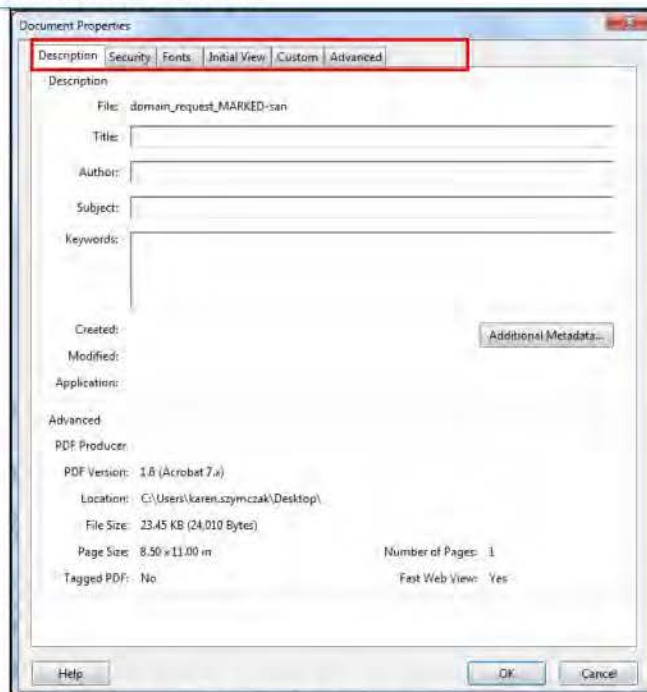


Figure 4: Document Properties Dialog Box

- D. NOTE: If sensitive data is found in the search results, the document has not been properly redacted and should be returned to the individual responsible for the redaction.

Step 3. SAVE the “R” document.

4.4.3 Create a Findings Memo

Final reviewers and analysts performing assessments of files must create a findings memorandum once they have completed the review. Follow the [Guide to SSI Templates](#) for instructions on creating this memo.¹⁶

¹⁶ The instructions found in this guide will be integrated into this handbook during its next iteration.



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5.0 SSI Incident Report and Response – SSI Program Checklist

Properly addressing incidents through the below steps is a time-sensitive priority. For more information on internal responsibilities and notification requirements, see section [3.6 Incident Recognition and Notification](#) of this SOP.

P&P Handbook	X	Responsible Party	Action Required
10.2.1	<input type="checkbox"/>	Intake Analyst	Notify Incident Analyst that an Incident Report has been received in the Inbox. The Incident Report may have been sent to the Inbox by an SSI Coordinator or other source.
	<input type="checkbox"/>	Incident Analyst	Send link to automated reporting tool, when appropriate, to incident reporter.
	<input type="checkbox"/>	Incident Analyst	Contact reporting POC for additional information, if required
	<input type="checkbox"/>	Incident Analyst	Verify whether content is (or is likely) SSI
	<input type="checkbox"/>	Incident Analyst	Determine if SSI incident is major or minor; minor incidents need not be further reported unless it involves SSI available on iShare or shared drives beyond those that need to know or is otherwise determined by Intake Analyst to be of particular sensitivity
	<input type="checkbox"/>	Incident Analyst	For reportable incidents, immediately notify SSI Program Chief and Deputy Chief verbally to determine if external notifications should be made prior to completing an incident report
	<input type="checkbox"/>	Incident Analyst	For non-reportable (minor) incidents, respond to reporting POC that the incident local SSI Coordinator has the authority to address the issue and, if necessary, advise on potential mitigation actions. Note: <i>Non-reportable incidents need only be filed in M:\Breaches folder or reported in spreadsheet</i>
10.2.2	<input type="checkbox"/>	Incident Analyst	Assess and recommend next steps for mitigation
10.2.1	<input type="checkbox"/>	Incident Analyst	Determine appropriate notifications ¹⁷
	<input type="checkbox"/>	Incident Analyst	Review electronic Incident Report (See Attachment 1; also available on the SSI Program iShare Team Site) or automated report (when available) for completeness
	<input type="checkbox"/>	Incident Analyst	Submit initial SSI Incident report to Analysis & Review Team Lead, Admin & Ops Team Lead, and SSI Program Chief & Deputy Chief

¹⁷ See SSI Incident Response Flow Chart of the SSI Policies & Procedures Handbook.



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	<input type="checkbox"/>	Chief or Deputy Chief	Review report for completeness and return to Intake Analyst
	<input type="checkbox"/>	Incident Analyst	Once the incident report is approved by the Program Chief or Deputy Chief, send an email with a copy of the report pasted into the body of the email to those identified per the "notifications made" portion of the report and copy the SSI Inbox, SSI Program Chief, Deputy Chief, Analysis & Review Team Lead, and Admin & Ops Team Lead
	<input type="checkbox"/>	Incident Analyst	File all supporting email traffic and electronic incident report in appropriately named and dated folder at M:\Breaches\Potential Breach Incidents
	<input type="checkbox"/>	Incident Analyst	Update incident tracker at M:\Breaches
	<input type="checkbox"/>	Chief or Deputy Chief	Make OSSA-internal notifications by forwarding the notifications email to OSSA and FAMS leadership in high-visibility items
10.2.3	<input type="checkbox"/>	SSI Program Chief	Determine if Damage Assessment team must be established for a Major SSI loss or breach
	<input type="checkbox"/>	Incident Analyst	Store any damage assessment, associated risk assessment, and risk mitigation plans created by Damage Assessment team with incident reporting
10.2.4	<input type="checkbox"/>	Incident Analyst	Close incident when SSI Program can take no further action
10.2.5	<input type="checkbox"/>	SSI Program Chief	When applicable, advise program on possibilities for long-term risk mitigation plans
10.2.5	<input type="checkbox"/>	Incident Analyst	One month after the incident, follow-up with responsible parties to determine the resolution of the incident. Log the updated information into the Incident Tracking spreadsheet.

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Appendix 1: Turning off JavaScript

The following step is essential for sanitization of documents of unknown origin that might contain malware or other executable content. After opening Adobe Acrobat X and before opening a document, turn off JavaScript by following the steps below.

Step 1. Click the **Edit** menu, then **Preferences** to open the Preferences dialog box (Figure 2).

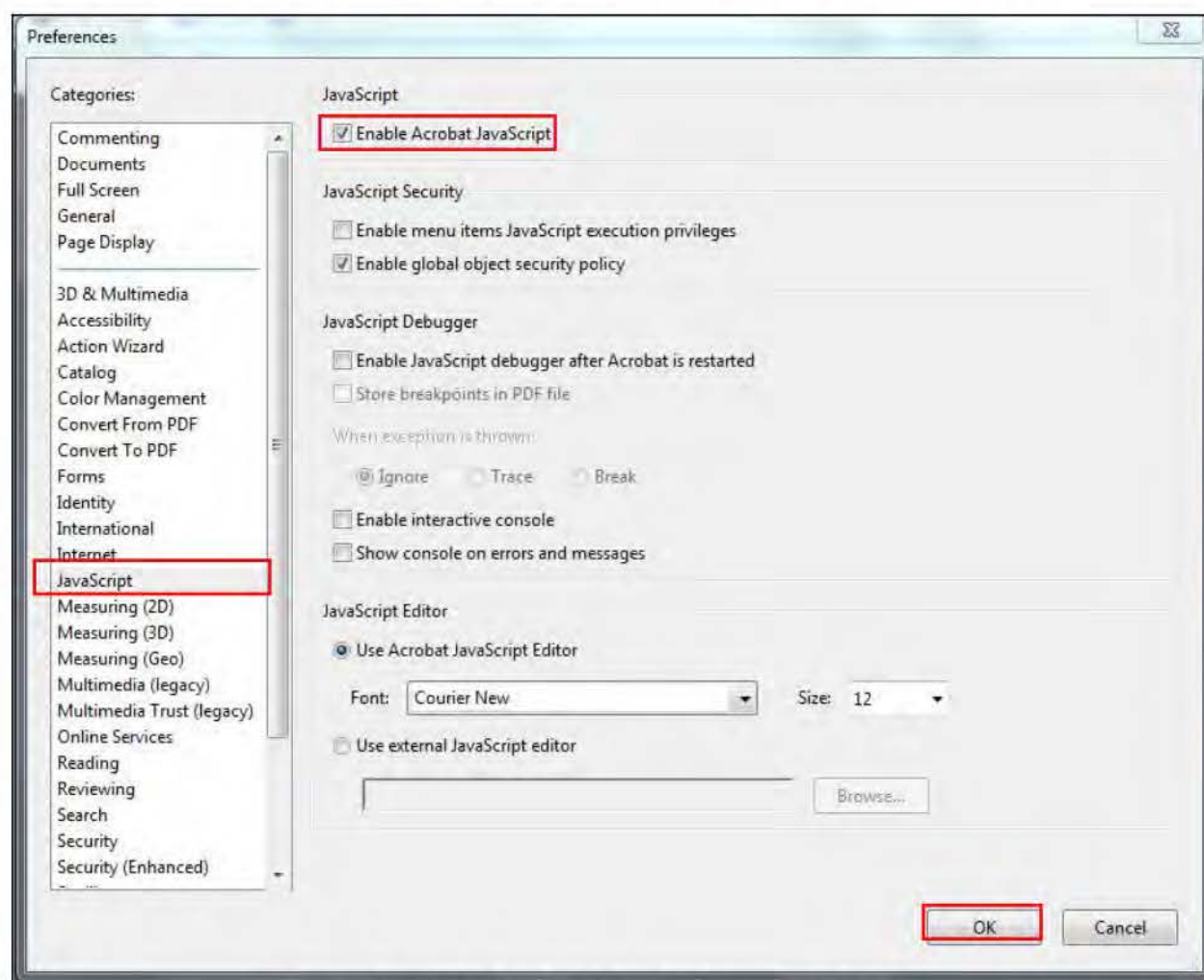


Figure 5: Adobe Acrobat X Pro Preferences Dialog Box

Step 2. Under the Categories section, click **JavaScript**.

Step 3. Click on the checkmark in front of **Enable Acrobat JavaScript** to remove it.

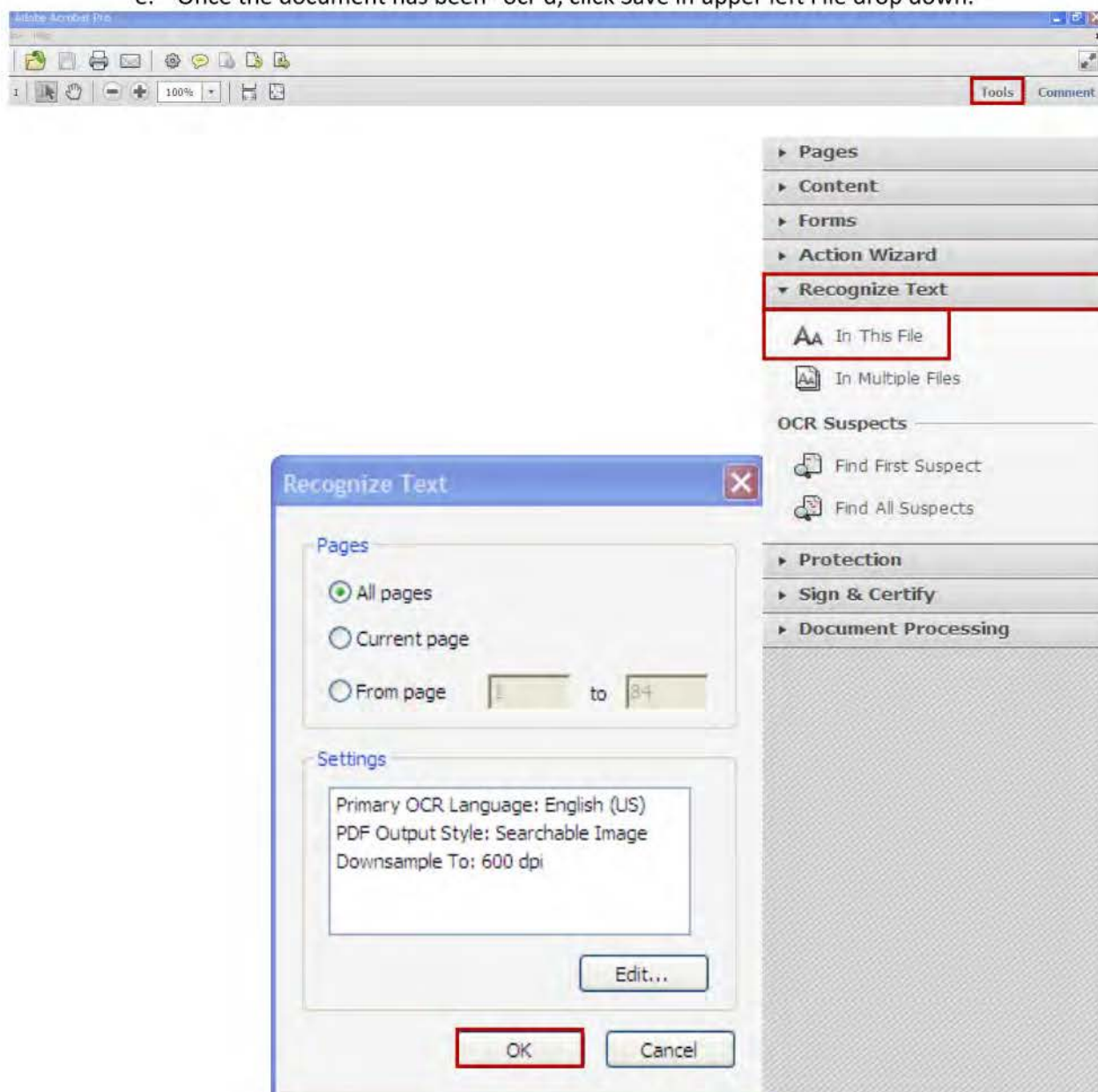
Step 4. Click **OK**.

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Appendix 2: How to Perform an OCR

Go to Adobe Acrobat Pro to open document.

- Click on "Tools" and then "Recognize Text"
- Click on "In This File" to allow the recognition device to run.
- Edit settings as necessary
- Click "OK"
- Once the document has been "ocr'd, click Save in upper left File drop down.





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Appendix 3: Setting Adobe Custom Redaction Code for FOIA Reviews

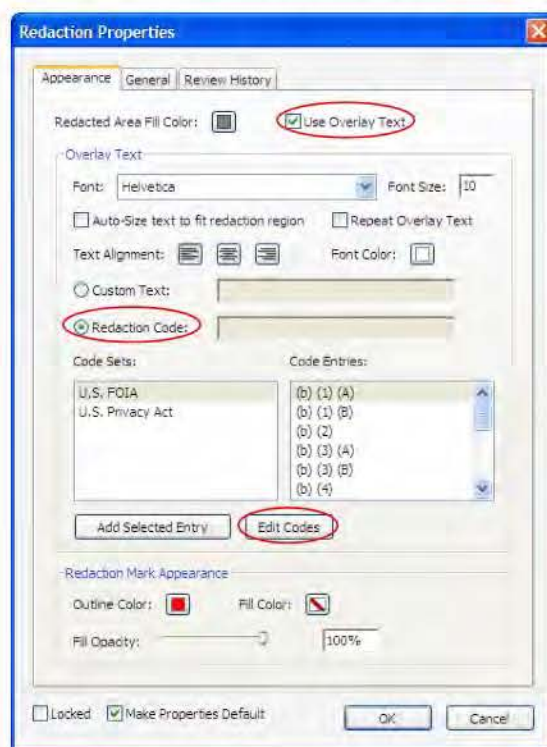
Step 1: Create Redaction Box and Open Properties Menu

Within any PDF document, create a redaction box and then with mouse cursor on the box right click the mouse to open an option menu. Select **Properties** to open the Properties menu.

To change the properties of a redaction mark, hover over the redaction mark you wish to change, Right-click and choose **Properties**



1. Within the properties menu Select the **Use Overlay Text** → Select **Redaction Codes** → Select **Edit Codes**. This will open the Redaction Code Editor. Leave the defaults as Helvetica font size 10.



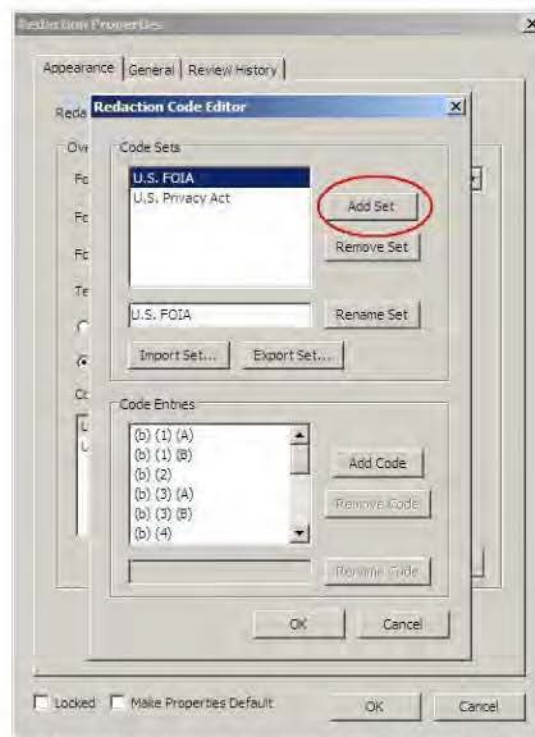


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Step 2: Create Redaction Code Set

You will probably see two code sets available to you in the Redaction Code Editor. Rather than add a code to the U.S. FOIA set we are going to create a new set. Start by selecting **Add Set**.

Selecting **Add Set** will create a new code set with a default title that is probably **Redaction Set 3** on your computer.



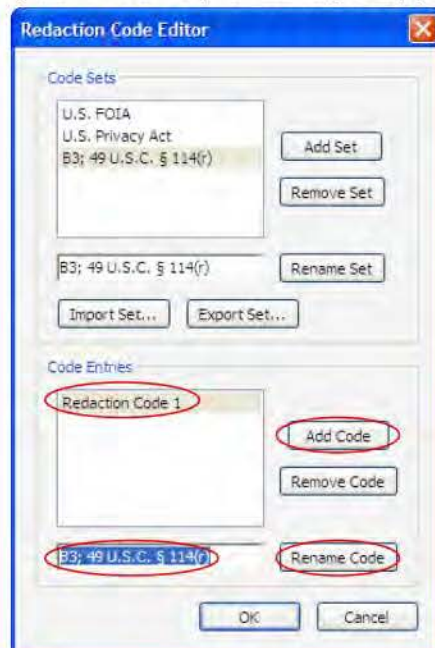
In the **Code Sets** box, select **Redaction Set 3** and then in the box below, adjacent to the **Rename Set** button insert **B3; 49 U.S.C. § 114(r)** and then click the **Rename Set** button. Rather than dig around for a way to put in the § symbol, just copy/past from this instruction set.





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With a new code set created, select **Add Code** and go through the same process of renaming the new code. Select **Redaction Code 1**, then insert **B3; 49 U.S.C. § 114(r)** and then click the **Rename Code** button.

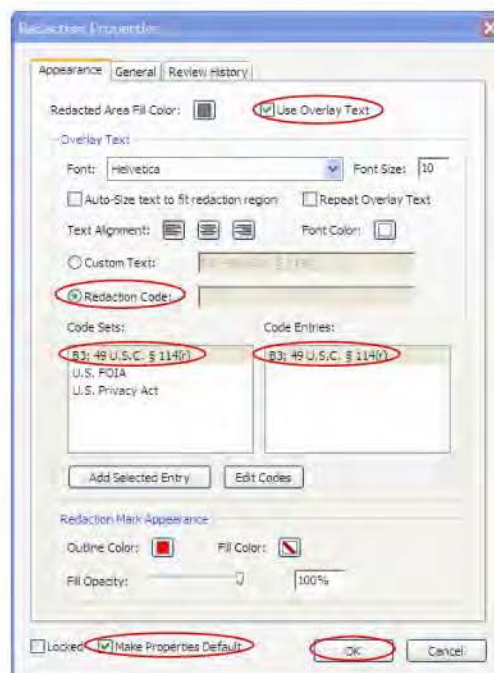


Select OK to close the window and return to the Properties Menu.

Step 3: Using the Stamp Feature.

Now that the code has been created you will need to activate the code when performing redactions on FOIAs.

With the Properties Box there will be five options to select to activate the code.
Select **Use Overlay Text** near the top right →
Select **Redaction Code** → Select **B3; 49 U.S.C. § 114(r)** Code Set → Select the **B3; 49 U.S.C. § 114(r)** Code Entry → Select **Make Properties Default**. Then select **OK**.



At this point your Adobe program will automatically insert the citation. When you complete the FOIA and begin redaction on a non-FOIA review simply open the Properties Menu and de-select the "Make Properties Default".



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Appendix 4: Redacting Information using Adobe Acrobat X Pro

Follow the steps below to redact information from your PDF file.

Step 1. Open your PDF document in Adobe Acrobat X Pro.

Step 2. Click **Tools** on the top right menu bar (Figure 2). This will open a menu.

Step 3. Click **Protection** on the menu to expand that option (Figure 2).

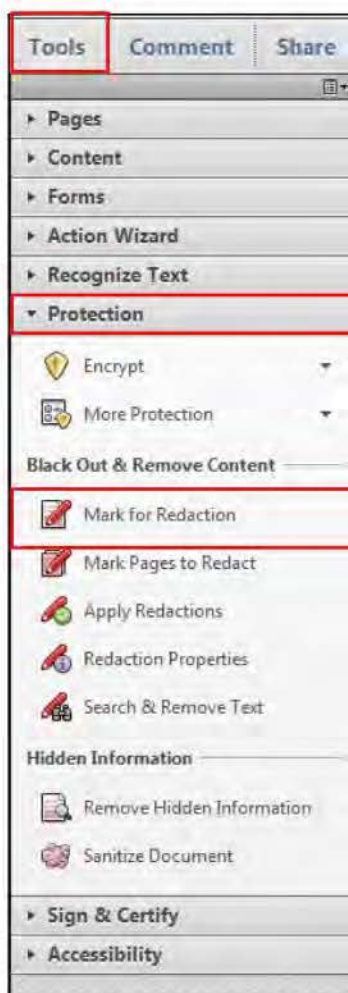


Figure 6: Protection Menu

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Step 4. Click **Mark for Redaction**. This will display a dialog box (Figure 3) stating that redaction requires two steps: Mark for Redaction and Apply Redactions. Click **OK**.

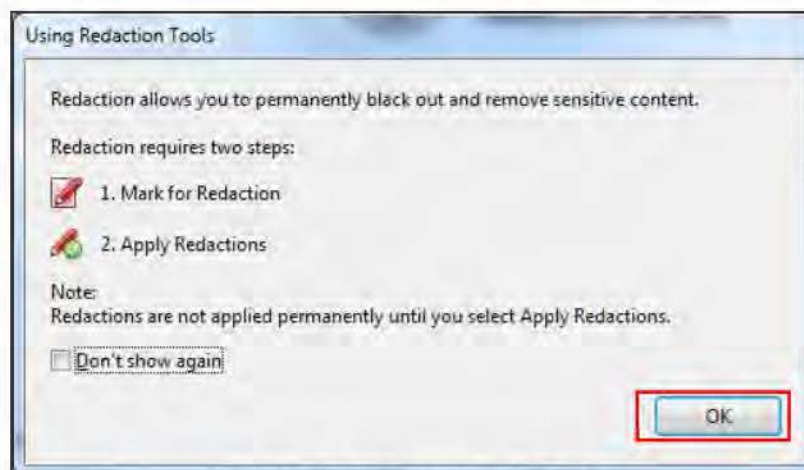


Figure 7: Redaction Dialog Box

- Step 5.** The cursor is now a redaction cursor. **Place the cursor at the beginning of the area you want to redact. Click and hold the left mouse button down and drag the cursor over the information to redact.** This will create a red outline around the information you are redacting. When you move the cursor over an outlined area, it will turn black to indicate how the area will look in the final copy (Figure 4).
- Step 6.** Markings for redaction should use the darkest grey (not black) available within the default colors provided in Acrobat. To change the color of your redaction, right click on a redaction box and select **Properties**. The **Appearance** tab allows you to change the color of redaction boxes. Also, ensure that the box entitled **Use Overlay Text** is not checked. When you have adjusted your appearances appropriately, right click on the redaction box again, and select **Make Current Properties Default** to ensure consistent markings throughout a review.
- Step 7.** For FOIA reviews only, use the SSI custom redaction code. For instructions on creating and using the redaction code, see "Setting Adobe Custom Redaction Code for FOIA Reviews." (Attachment 1)
- Step 8.** If the Redaction tool does not permit a precise marking of the content for redaction, enlarge the box to adequately cover all the content to be marked for redaction.



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Figure 8: Redaction Outline Marks

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For Closeout Only

Step 9. After you have marked all of the areas for redaction, click **Apply Redactions** on the Tools Protection menu (Figure 5). In the dialog box, click **OK**. *Note:* Once the document is saved, this operation cannot be undone.

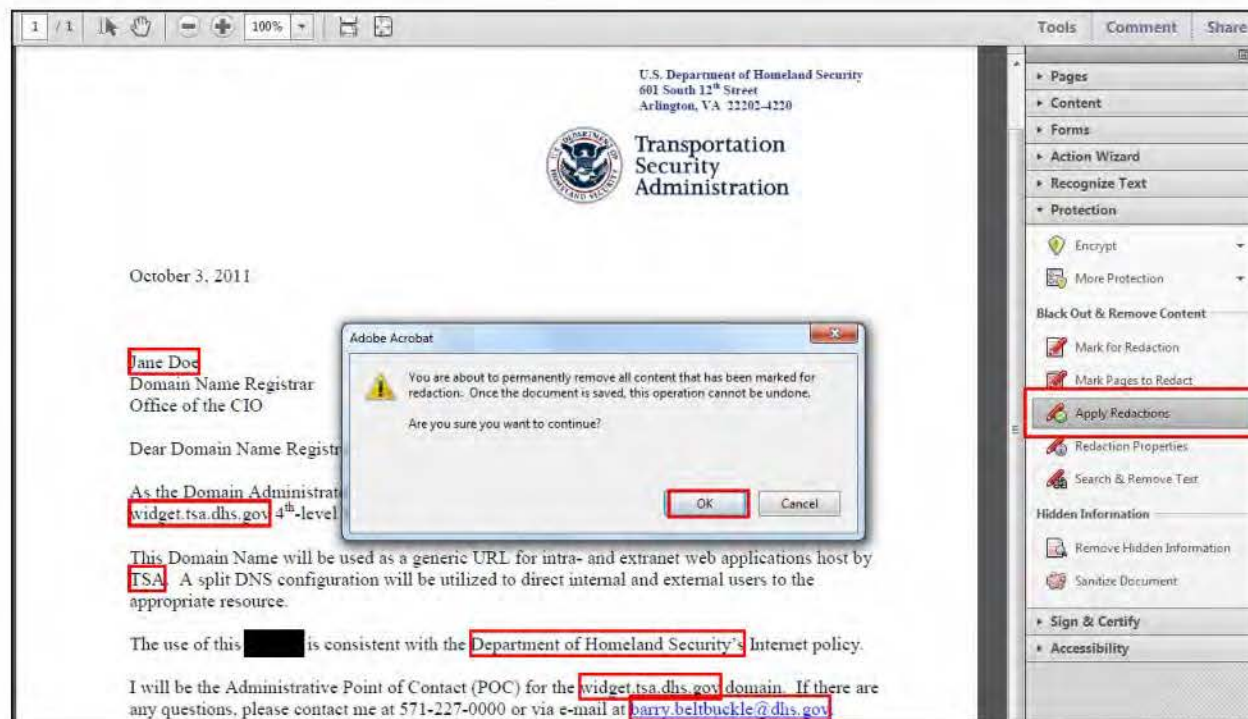


Figure 9: Apply Redaction Dialog Box

Step 10. After applying redactions, you will see a dialog box (Figure 10). Click **No**. For SSI Program purposes, all redacted files must also be sanitized. Continue the sanitization process detailed in Appendix 5: *Sanitizing the Document*.

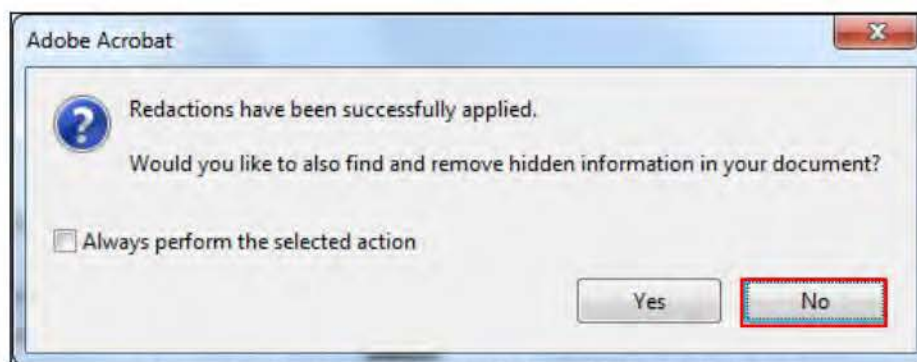


Figure 10: Redactions Successfully Applied Dialog Box

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Appendix 5: Sanitizing the Document

After marking and applying all of the redactions for the document, the file must be sanitized. Follow the steps below to sanitize each file.

Step 1. Click **Sanitize Document** on the Tools/Protection menu. A dialog box appears (Figure 8).



Figure 11: Sanitize Document Dialog Box

Step 2. Click **OK**.

Step 3. The Save dialog box will appear (Figure 9). Name the file, then click **Save**.

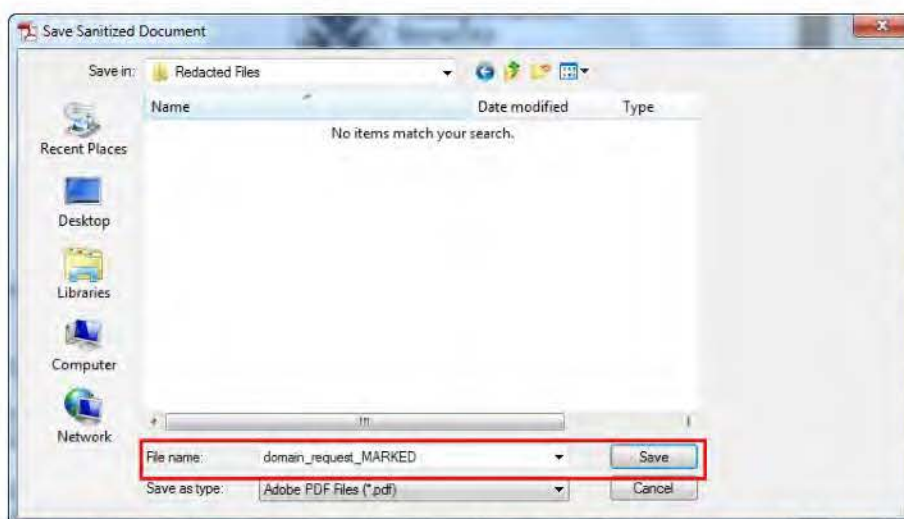


Figure 12: Save Sanitized Document Dialog Box