



Senior Agency Official for Records Management 2018 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting

- This template covers progress through December 31, 2018.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmselfassessment@nara.gov. Include the words "SAORM annual report - [Agency Name]" in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Dr. John Zangardi
- Chief Information Officer

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Department of Homeland Security (DHS)
Customs and Border Protection (CBP)
Federal Emergency Management Agency (FEMA)
Federal Law Enforcement Training Center (FLETC)
US Immigration and Customs Enforcement (ICE)
Transportation Security Administration (TSA)
US Citizens and Immigrations Services (USCIS)
US Coast Guard (USCG)
US Secret Service (USSS)

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

- Yes
 No

The FY19/20 priorities for OCIO in DHS is to update the Department's IT platforms. The O365 implementation will support DHS in meeting the mandate to maintain records in electronic format.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

There is no formal plan - see response to Question 3

- 4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

- Yes
 No

DHS implemented a BPA for offsite storage of hard copy records enterprise-wide that includes digitization services. Further plans for evaluating and implementing the digitization of permanent records in hard copy format will begin as the options on the contract are implemented by each DHS Component. This will include records in offsite storage as well as records maintained at DHS office locations.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

See response to Question 4

6. Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

- Yes
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Please explain your response:

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes
 No

The RIM strategic plan coordinates with DHS CIO and CIO/IS2O strategies. Using that guideline, DHS RIM sets the strategic direction for the agency records programs. Recent budget cuts have affected the resources in the number of contract personnel, but the program itself has the strategic direction and support needed to be successful.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes
 No

All employees at all levels are required to take annual RM training which includes their records responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements which meet NARA Bulletin 2017-01: Agency Records Management Training Requirements.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes
 No

The RIM program has identified the need to implement an audit/evaluation program but must prioritize RIM goals with OCIO goals, which at this time are to upgrade the DHS IT platform and work towards meeting the m-12-18 mandate.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes
 No

The challenge DHS faces is not something that NARA can directly assist with. In a time of budget cuts, NARA has issued unfunded mandates for management of electronic records.