



## *Senior Agency Official for Records Management 2019 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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). Include the words "SAORM 2019 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):

- Name of SAORM Elizabeth Cappello
- Position title Acting Chief Information Officer of DHS

**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.**

*Please provide list:*

Covered in this report are all Department of Homeland Security (DHS) Components and Offices, including:

Countering Weapons of Mass Destruction (CWMD)  
Customs and Border Protection (CBP)  
Cybersecurity and Infrastructure Security Agency (CISA) **CHANGE**  
formerly National Protection and Programs Directorate (NPPD)  
Federal Emergency Management Agency (FEMA)  
Federal Law Enforcement Training Centers (FLETC)  
Office of the Executive Security (ESEC)  
Immigration and Customs Enforcement (ICE)  
Intelligence and Analysis (I&A)  
Management Directorate (MGMT)  
Office of Civil Rights and Civil Liberties (CRCL)  
Office of Inspector General (OIG)  
Office of General Counsel (OGC)  
Office of Legislative Affairs (OLA)  
Office of Public Affairs (OPA)  
Office of Partnership and Engagement (OPE)  
Office of Operations Coordination (OPS)  
Office of Strategy, Policy, and Plans (PLCY)  
Privacy Office (PRIV)  
Science and Technology Directorate (S&T)  
Transportation Security Administration (TSA)  
U.S. Citizenship and Immigration Services (USCIS)  
U.S. Coast Guard (USCG)  
U.S. Secret Service (USSS)

**2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes  
 No

*Please explain your response:*

No. Currently, DHS does not manage all permanent electronic records in electronic format, but DHS is actively developing the infrastructure necessary to do so. DHS Headquarters and Components will leverage the Microsoft Office 365 suite, and other electronic records management tools to meet this mandate.

**3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

- Yes  
 No

*Please explain your response (include specific goals and example metrics):*

Yes. DHS stopped the practice of print to file in Fiscal Year (FY) 2018. Nine Components (40%) report active or completed projects to manage permanent records in an electronic format with the goal of being fully compliant by September 30, 2022.

**4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)**

- Yes  
 No

*Please explain your response (include specific goals and example metrics):*

Yes. DHS made progress toward meeting this requirement. Sixteen Components (67%) reported on the DHS FY 2019 Records Management Maturity Model (RM3i) assessment that records, including temporary records, are stored in electronic format.

**5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

- Yes  
 No

*Please explain your response (include specific goals and example metrics):*

Yes. As SAORM, I ensured that OCIO Performance Goals for FY 20 include an objective to increase hiring on the Records Management team to meet records requirements and mandates. To inform this hiring, the Acting DHS Agency Records Official (ARO) developed a Records and Information Management (RIM) Strategic Plan for FY 2020 – 2024 with performance goals, initiatives and objectives to achieve Federal Records Act compliance.

**6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

Yes

No

*Please explain your response (include specific goals and example metrics):*

No. The DHS Records and Information Management program shall identify whether there are any records centers that cannot be closed before 2022. DHS will submit requests for exceptions if needed by FY 2021.

**7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials\* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

\*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

No

*Please explain your response (include specific details of procedures):*

Yes. DHS has a process in place to brief outgoing senior officials on records handling procedures. Additionally, the DHS Document Departure Committee (DDC) reviews outgoing personnel data requests, including electronic records and email, to ensure no records are inappropriately released.

**8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

Yes

No

*Please explain your response (include details of specific challenges, if applicable):*

Yes. Key challenges include:

- **Unfunded mandates:** Competing mission priorities impact funding.
- **Inherited legacy systems:** Updating large volume of data from a legacy format to electronic.
- **Enterprise Implementation:** Implementation of O365 Suite (E3) is still in early stages and its impact is still unknown.
- **Culture Change Management:** Promoting a strategic direction to modernize records management across DHS.
- **Training:** DHS needs to create and facilitate records officer training to encourage innovation and modernization of records management.
- **Personnel:** DHS records officers attention may be pulled in several different directions due to many individuals holding this position as a dual duty.

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

Yes

No

*Please provide details on what support is needed:*

Yes. The Department of Homeland Security requests NARA provide a template/best practices/report of successful implementation to define what markers/metrics define fulfilling the needs of OMB and NARA Directive M-19-21: *Transition to Electronic Records*.

Any specific instruction/best practices to address voluminous legacy hard records and the conversion of the same to electronic format would be most appreciated.