



Senior Agency Official for Records Management 2021 Annual Report

The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how their agencies handle important records management initiatives. NARA uses the annual SAORM agency reports to determine the federal government's overall transition progress in managing records from paper to digital formats. The goal is to identify best practices and model solutions within federal agencies.

The Office of Management and Budget and the National Archives issued a *Transition to Electronic Records* (M-19-21) memorandum in June of 2019. The document conveys that all federal records will be created, retained, and managed in electronic formats by December 31, 2022. A year earlier, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, which requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements and other essential records management initiatives.

The reporting period begins on January 10, 2022, and reports are due to NARA by March 11, 2022.

Upon receipt, NARA plans to post your 2021 SAORM report on their website. Please ensure that your agency's report is a publicly releasable version. This action reinforces transparency in government and promotes collaboration and communications between agencies. Agencies who fail to submit a report to NARA will also be listed in a summary report posted to their website for noncompliance.

Instructions for Reporting:

- This template covers records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2021, and other aspects of agency records management programs.
- Please be brief and precise in your answers. Answer responses are limited to 500 words per question.
- Please complete the questions/items below and send the report to rmsselfassessment@nara.gov. Include the words "SAORM 2021 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.

The following information is required:

- Name of SAORM: Mr. Eric Hysen
- Position title: DHS, Chief Information Officer (CIO)
- Address:

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM, and what will be reported separately?

Please provide a list and indicate any that are new or have been changed due to reorganization or other circumstances.

Countering Weapons of Mass Destruction (CWMD)
Customs and Border Protection (CBP)
Cybersecurity and Infrastructure Security Agency (CISA)
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)

No offices will report separately.

2. Has the COVID-19 pandemic impacted policies or practices related to records management at your agency?

- Yes
 No
 Do not know

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

DHS records policies and practices were not impacted this fiscal year due to measures put in place to ensure employees are familiar with their records management responsibilities. Those measures included establishing records liaisons in each office and providing quarterly records training to liaisons to reinforce the importance of good recordkeeping practices.

3. Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)

- Yes
 No
 Do not know

Please provide details. If 'Yes,' provide details on how your RM program is integrated into this framework. If 'No' or 'Do not know,' please explain your response.

In FY21, DHS established a Data Governance Council, which connects records management, data management, and other agency information lines of businesses.

4. Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

Yes, partially. All permanent records in an electronic format are being managed. However, some Components are still working toward applying appropriate metadata to facilitate transfers to NARA. DHS Headquarters and Components are currently leveraging the Microsoft Office 365 Suite and other electronic records management tools to meet this mandate.

5. Will your agency meet the goal to manage and preserve all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

Please explain your response (include specific goals, example metrics, and/or challenges):

Yes, partially. Temporary records in an electronic format are being managed. DHS Headquarters and Components are leveraging the Microsoft Office 365 Suite and other electronic records management tools to meet this mandate.

6. Does your agency have plans to submit a request to NARA for an exception to the M-19-21 requirements before December 31, 2022?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include an estimate of when you plan to submit an exception and any relevant details. If 'No' or 'Do not know,' please explain your response.

The exception waiver is slated for submission to NARA no later than March 31, 2022.

7. Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management ([518210 ERM](#)) 6 to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No
 Do not know

Please explain your response. If 'Yes,' please include specific examples and how this will support records management processes. If 'No' or 'Do not know,' please explain.

DHS implemented a Blanket Purchase Order for off-site storage of records., The BPA was adopted enterprise-wide as of FY2021. All offices utilize the services to include scanning and digitizing paper records.

8. Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?*

- Yes
 No
 Do not know

**M-19-21, 1.3 includes closing agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.*

Please explain your response. If 'Yes,' provide details about the use of commercial storage and other changes related to storage. If 'No' or 'Do not know,' please explain.

DHS has an enterprise-wide Blanket Purchase Agreement with Iron Mountain, which will act as the storage facility for all classified and unclassified temporary records. Due to COVID-19, Components have not begun permanently withdrawing eligible records from NARA Federal Records Centers to Iron Mountain. Still, they plan to do so ahead of the December 31, 2022 deadline if Federal Records Centers (FRC) are fully operational.

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

- Yes
 No
 Do not know

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

Yes. Key challenges include:

- **Unfunded mandates:** Competing mission priorities continue to impact funding.
- **Inherited legacy systems:** Updating large volumes of data from a legacy format to electronica.
- **Culture Change Management:** Promoting a strategic direction to modernize records management across DHS.

10. NARA is always working on ways to make your role as the SAORM easier, improve how we interact with you, and interact with each other. Do you have any suggestions?

- Yes
 No
 Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):