



Senior Agency Official for Records Management 2022 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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* ([M-19-21](#)), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* ([M-23-07](#)) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that 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 recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 31, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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. Include the words “SAORM 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

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

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting 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. In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?

- Yes
 No
 Not applicable, no adaptations were needed
 Do not know

Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)

Not applicable, DHS has not implemented permanent adaptations to business processes related to the management and preservation of electronic records. All employees continue to perform records management responsibilities. DHS reinforces records management roles and responsibilities through communication with all records liaisons, as well as quarterly and on demand training.

3. Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)

- Yes
 No
 Do not know

Please explain your response with specific actions taken, challenges and results.

Yes, DHS has taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024.

4. Has your agency taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)

- Yes
 No
 Do not know

Please explain your response with specific actions taken, challenges and results.

See question 3 - Yes, DHS has taken action to meet the goal to manage and preserve all temporary records in an electronic format by June 30, 2024.

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?

- Yes
 No
 Not applicable, all records are in electronic format
 Do not know

Please explain your response with specific actions taken, challenges and results.

Yes, DHS evaluated records storage needs and will meet the M-19-21 and M-23-07 requirements.

6. Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)

Note: The incorporation of records management into information governance is part of the framework covered by [OMB Federal Data Strategy - A Framework for Consistency \(M-19-18\)](#) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in [OMB Circular A-130, Managing Information as a Strategic Resource](#).

- Yes
 No
 Do not know

Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

In FY 2021, DHS established a Data Governance Council (DGC). The Department Records Officer regularly attends DGC meetings to connect records and data management in the critical sharing of information. This effort also fosters a positive spirit of cooperation and adds visibility to Records and Information Management endeavors.

7. Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?

Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: [Email Management](#) and [CFR 1236: Electronic Records Management](#))

Yes

No

Do not know

Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.

DHS has undertaken significant and immediate action to ensure the preservation of all mobile device records. Much of the work that has taken place is the result of an Electronic Message Preservation Working Group (EMPWG) convened at the direction of the Secretary by the Offices of the Chief Information Officer (OCIO) and the General Counsel (OGC).

The Secretary charged the EMPWG with ensuring that DHS continues to comply with all applicable laws, regulations, and guidance to fully meet the expectations of Congress and other oversight entities, other key stakeholders, and the American public. To meet this mandate, OCIO and OGC took immediate action to institute technical controls to preserve either the actual mobile devices (and accompanying access information) or complete fully accessible backups of all device content for all members of the Senior Executive Service or equivalent and political appointees, whenever such an employee departs or would have their device replaced or wiped for any reason.

With these immediate measures in place, the EMPWG conducted a 30-day review of existing policies and processes related to electronic messages resulting in the development of over a dozen recommendations approved by the Secretary. To date, implementation of these recommendations has already driven several major changes for DHS and its Components, including:

- incorporating electronic records retention in all mobile device management workflows, including those governing the provision of new mobile devices, during hardware or software updates, or return of mobile devices when employees in senior decision-making capacities leave the Department;

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- disabling iMessage for the immediate future and until such time as iMessage incorporates automated archival capabilities;
 - working with Components to leverage other solutions to enable mobile device records retention;
 - requiring archiving of all SMS/MMS/RCS messages in a centrally accessible location for records officers and liaisons;
 - commencing revision of existing policies and guidance to account for electronic messaging; and
 - ensuring that all DHS employees certify compliance with mobile device records retention requirements.

8. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?

Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

- Yes
 No
 Do not know

Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

We continue to evaluate products and capabilities to reduce burden and improve efficiency in records retention.

9. Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?

- Yes
 No
 Do not know

Please explain your response including what specific measures you have incorporated into the SAORM role.

The Department Records Officer conducts regular program evaluations to ensure compliance with statutes and regulations and provides routine briefings to the SAORM. These updates include policy, training initiatives, communications across all components, compliance with mandates, special projects, and endeavors to improve and enhance the program.

10. Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?

- Yes
 No
 Do not know

Please explain your response and include any comments on existing, pending, and future topics.

Yes. DHS requires policy guidance related to the capture and retention of Microsoft Teams messages and data, which DHS employees use daily to share and store critical information. Additionally, though some guidance exists for social media records, the Department requires more detailed instruction to ensure proper and adequate capturing of these records.

11. Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?

- Yes
 No
 Do not know

Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.