



Senior Agency Official for Records Management 2023 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 8, 2024, and reports are due back to NARA no later than March 8, 2024.

NARA plans to post your 2023 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 2023 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: 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 Health Security (OHS) -New
Office of Inspector General (OIG)
Office of General Counsel (OGC)

Office of Legislative Affairs (OLA)
Office of the Immigration Detention Ombudsman (OIDO)
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. Will your agency 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
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

The full implementation for the Department may not be completed before the June 30, 2024 deadline. DHS is working on a consolidated plan to address noted challenges. It is likely that some mitigation will extend beyond the designated deadline. Some components have not fully digitized all paper information or automated all aspects of managing its electronic information. These components are at various phases in their progress and granted extensions by NARA and expect to be fully compliant by FY26.

3. Will your agency 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
 Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

4. 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 by June 30, 2024? (Choose all that apply)

- Yes

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- No
 - Not applicable, my agency does not have agency-operated records storage facilities
 - Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

5. Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 and transfer inactive records to a NARA Federal Records Center (FRC) or commercial storage facilities by June 30, 2024? (Choose all that apply)

- Yes, we will transfer to the FRC
- Yes, we will transfer to commercial storage facilities
- No
- Not applicable, all records are in electronic format

If 'No,' why not? (Please include if you will be submitting an exception request and/or details of specific challenges in meeting the goal.)

6. Does your agency have a Data Management Strategy that includes records management principles? (<https://www.archives.gov/files/records-mgmt/resources/cdo-rm-assessment-report.pdf>)

- Yes
- No

Please explain your response.

Records Management principles are expressly mapped out as an operational objective in our DHS Information Technology Strategic Plan for FY 2024-2028.

7. In your role as SAORM, do you meet with your Agency Records Officer(s) to discuss the agency records management program's goals?

- Yes
- No
- Not applicable, my agency does not currently have a designated Agency Records Officer

Please explain your response. (If 'Yes,' please include how often, a description of topics, and outcomes of these meetings. If 'No,' please explain why not.)

The Department Records Officer continues to conduct routine assessments of records programs to ensure compliance with statutes, policies, and regulations. Detailed briefings are provided to the SAORM and include updates on policy changes, training initiatives, special projects, and mandates across all components. Through this collaborated effort, the SAORM and Department Records Officer were able to successfully execute a mandate for all senior officials and political appointees to complete an attestation form regarding their responsibility in capturing and retaining all electronic (text, chat) messages when offboarding, relinquishing, or replacing any mobile device. To date, this initiative has resulted in just over 90% participation of all affected employees. In addition to this endeavor, the annual DHS enterprise-wide Records Management training module was updated to include the attestation requirement for all Department employees. These efforts will undoubtedly increase all staff's understanding of records management responsibilities to safeguard and preserve records in their care, custody, and control.

8. Has your agency incorporated NARA's digitization standards into your Information Resource Management (IRM) Strategic Plan? (44 U.S.C. 3506(b)(2) and OMB Circular A-130)

- Yes
 No
 Not applicable, my agency is not currently digitizing records

Please explain your response. (If 'Yes,' what steps have been taken? If 'No,' why not?)

The DHS Information Technology Strategic Plan for FY 2024-2028 has been published and outlines how we will continue to build modern, effective, and secure software across the Department. One of the goals over the next five years is to strengthen our data management and ensure adherence to records retention requirements. Our IT and Data teams, along with the Departmental Records Officer will partner to seamlessly integrate records management, retention, and disposition mandates into every phase of the DHS information life cycle.

9. Does your agency have a social media strategy that includes capturing and maintaining records in accordance with records management statutes and regulations?

- Yes
 No

Please explain your response.

All original social media content generated by DHS is subject to NARA records retention schedules for retention, storage, and publication. This applies enterprise-wide and this requirement is included in the Social Media Account Agreement that each employee designated as an Account Manager must acknowledge and certify. Additionally, DHS

has a current Social Media directive in place and its content and instructions include requirements for records retention and disposition.

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

- Yes
 No

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