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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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: Eric Hysen
- Position title: Chief Information Officer of DHS
- Address: 7th and D Street S.W. Washington, D.C.

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 also indicate any that are new or have been changed due to reorganization or other circumstances.

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

   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)

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

   X☐ Yes
   ☐ No
   ☐ Do not know

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

Yes. Due to the COVID-19 pandemic, the Department of Homeland Security (DHS) has transitioned to an at-home/telework workforce. As such, DHS revisited and instituted new policies surrounding virtual collaboration technologies, such as Microsoft Office Teams. Since March 2020, there have been limited to no record retrieval, transfer, or destruction across DHS.

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

☐ Yes
X☐ No
☐ Do not know

Please provide details on what support is needed:

No. DHS and its information governance framework stakeholders are working to establish a Data Governance Council which would connect records management, data management and other agency information lines of business. To increase engagement, the DHS Records and Information Management (RIM) Program Office transitioned to the Office of the Chief Data Officer.

4. **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)**

X☐ Yes
☐ No
☐ Do not know

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

Yes, partially. All permanent records in an electronic format are being managed electronically, however, some DHS Components are still working toward applying appropriate metadata to facilitate transfers to NARA. DHS Headquarters and Components are still actively seeking the infrastructure and will leverage the Microsoft Office 365 suite, and other electronic records management tools to meet this mandate.

5. **Has your agency made progress towards managing all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

X☐ Yes
☐ No
☐ Do not know

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

Yes, partially. All temporary records in an electronic format are being managed electronically, however, some DHS Components are still working toward applying appropriate metadata to facilitate

transfer or destruction of records. DHS Headquarters and Components are still actively seeking the infrastructure and will leverage the Microsoft Office 365 suite, and other electronic records management tools to meet this mandate.

6. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

   ☐ Yes
   ☐ No
   X☐ Do not know

   Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

   Do not know. The DHS RIM Program Office, in coordination with IT and other stakeholders, is still evaluating the best course of action for electronic recordkeeping. Depending on the solution, DHS will assess how much to invest in support of the transition to electronic recordkeeping.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

   X☐ Yes
   ☐ No
   ☐ Do not know

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

   Yes. DHS has an agency-wide Blanket Purchase Agreement with Iron Mountain who will act as the storage facility for all classified and unclassified temporary records. Due to COVID-19, Components have not begun the process of permanent withdrawing eligible records from NARA Federal Records Centers to Iron Mountain but plan to do so ahead of the December 31, 2022 deadline.

8. **Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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.

   X☐ Yes
   ☐ No

☐ Do not know

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

Yes. DHS has a process in place to brief and capture records for both in-bound and outgoing senior officials. In FY20, DHS implemented Instruction 142-03-001 Electronic Mail Maintenance which provides additional instructions regarding senior official email retention. Additionally, the DHS Document Departure Committee (DDC) reviews outgoing personnel data requests, including electronic records and email, to ensure no records are inappropriately released.

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

   X☐ Yes
   ☐ No
   ☐ Do not know

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

   Yes. Key challenges continue to be:

   - **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.

10. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

    ☐ Yes
    X☐ No
    ☐ Do not know

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

    N/A