The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 PRMD@nara.gov. Include the words "SAORM annual report" 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):

- Jean A. Etzel

- Chief Information Officer (Acting)

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

> Department of Homeland Security (DHS)
> Customs and Border Protection (CBP)
> Federal Emergency Management Agency (FEMA)
> Federal Law Enforcement Training Center (FLETC)
> US Immigration and Customs Enforcement (ICE)
> Transportation Security Administration (TSA)
> US Citizens and Immigrations Services (USCIS)
> US Coast Guard (USCG)
> US Secret Service (USSS)

2.   Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)

> ☐ Yes
> X No

The Department of Homeland Security (DHS) has implemented a policy of journaling emails for Components that subscribe to Email as a Service (Eaas), which automatically captures all emails in an accessible electronic format. The Components that subscribe to this service are:

> Department of Homeland Security (DHS)
> Customs and Border Protection (CBP)
> Federal Emergency Management Agency (FEMA)
> Federal Law Enforcement Training Center (FLETC)
> US Citizens and Immigrations Services (USCIS)
> US Coast Guard (USCG)

All others (ICE, TSA and USSS) have some form of backup but do not journal through EaaS.

This is viewed as a short-term solution for reaching the goal. DHS Headquarters is drafting a formal email policy for adoption and implementation on an enterprise-wide scale. Anticipated

submission for stakeholder and leadership review is Fiscal Year (FY) 2017, Quarter 3, with anticipated completion and implementation FY 2018, Quarter 1.

- Note – USCG's .mil email records will follow DISA's email solution under DoD.

3. **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

       ☐Yes
       X No

DHS has worked to develop an inventory of agency records, and will continue to align records schedules to the DHS file plan. Alongside the Records Leadership Council, the Department will continue to identify existing paper and non-electronic records, develop records schedules, and submit them through the approval process.

For the last four years, DHS has been standardizing records disposition schedules across Components by developing enterprise schedules. This involves standardizing the retention of common mission records by working with Component Records Officers, stakeholders, and legal programs to identify appropriate retention periods. A number of enterprise schedules are in queue for approval and subsequent submittal to NARA.

CBP and ICE have ongoing projects to complete their Component-wide inventories. These plans will have all Component record schedules identified and drafted by December 31, 2017.

4. **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

       X Yes
       ☐ No

DHS Records and Information Management will submit a Resource Allocation Plan (RAP) for FY 2019 funding for an electronic records management system (ERMS). In preparation for an ERMS, DHS began standardizing records disposition schedules across Components four years ago by developing enterprise schedules. This involves standardizing the retention of common mission records by working with Component Records Officers, stakeholders, and legal programs to identify appropriate retention periods.

As an interim solution and to begin standardizing data, we are currently implementing a SharePoint (SP) Records Center pilot. The primary purpose of the pilot is to utilize SP's record management capabilities, namely in-place records management and Record Center, to transition into an all ERMS.

Once a document has been declared a record in SP, it cannot be deleted unless the record has reached its final disposition. The significant document management functionalities in SP that are enhanced for Records Management (RM) and are applicable to this pilot include metadata, content types, permissions and disposition.

5.   **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

☐Yes
X No

DHS has a procurement in process for offsite storage of hard copy records enterprise-wide that includes digitization services. Further plans for evaluating and implementing the digitization of permanent records in hard copy format will begin as the options on the contract are implemented by each DHS Component. This will include records in offsite storage as well as records maintained at DHS office locations.

6.   **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

☐Yes
X No

DHS RIM will work with program leadership, the DHS Chief Information Officer, and the DHS Senior Agency Official to get RM requirements included in the next DHS Information Technology Strategic Plan.

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