



*Senior Agency Official for Records Management
2017 Annual Report*

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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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 progress through December 31, 2017.
- 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 - [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):

- Dr. John Zangardi
- Chief Information Officer

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. Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)

- Yes
 No

DHS Records and Information Management submitted a Resource Allocation Plan (RAP) for FY 2019 funding for an electronic records management system (ERMS). Though we did not receive full funding, we were allocated \$500k.

The outcomes expected from the pilot are:

- Determine alignment to DHS's requirements and how business practices need to be modified
- Gain acceptance by users the eventual rollout of a full implementation
- Gather lessons learned to help prepare for an enterprise-wide implementation
- Validate DHS has the necessary technical resources (staff, training support, infrastructure) for a larger rollout
- Establish a financial baseline for long-term viability
- Determine if the current records management policies, processes, and workflows require updates to be successful in an ERMS
- Determine if the current file plan can be easily configured in an ERMS

By conducting an ERMS pilot, DHS can expect the following benefits:

- Early adopters can see the benefits of an ERMS and can begin communicating the potential to other records management personnel and general users

- A successful pilot will provide usable metrics to identify the impact of using an ERMS
- DHS will be able to identify “lessons learned” that will be incorporated into a HQ-first, followed by a department-wide, implementation plan. These may include:
 - Technical risks that need to be mitigated
 - Required policy and procedural changes
 - Information for production planning such as realistic cost estimates
 - Evaluating the effectiveness of training
 - 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.

3. 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
 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.

4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

- Yes
 No

DHS does not have a formal plan that includes RM but the program is notified of pending office eliminations or re-organizations by other CxO offices that may coordinate these events.

5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)

- Yes
 No

The RIM strategic plan coordinates with DHS CIO and CIO/IS2O strategies. Using that guideline, DHS RIM sets the strategic direction for the agency records programs. Recent budget cuts have affected the resources in the number of contract personnel, but the program itself has the strategic direction and support needed to be successful.

6. Have you, as the SAORM, ensured that all incoming and outgoing senior officials* receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.

*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.

- Yes
 No

DHS RIM is included as part of the executive level in and out-processing procedures. RM requirements are briefed by DHS RM personnel as part of the new employee orientation that all new employees receive while on-boarding to DHS. Additionally, all employees at all levels are required to take annual RM training which includes their records responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements.

7. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?

- Yes
 No

RM is included in the planning and implementation for the Department-wide conversion from WIN10 platform to Office 365 (O365).

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

In a time of budget cuts, NARA has issued unfunded mandates for management of electronic records with no consequences if these mandates are not met.

Finally, NARA will need to refine and expand existing regulations to allow agencies to submit a digitized version of a Federal record as the permanent record, and permit us to dispose of the seminal paper or analog copy.