

ASA Routing and Transmittal Sheet

TO: Include agency/room number	Action	Initial/Date 01/27/16
1 BICE Director – Megan Sikora	Review	<i>MJS</i> 1/27/16
2 OSPG Director – Lisa Alsop	Review	<i>LJA</i> 1/27/16
3 OCIO/CoS – Tonya Judkins (Acting)	Review	<i>TJ</i> 1/28/16
4 DAS/CIO - Beth Anne Killoran (Acting)	Approve	<i>BK</i> 1-28-16
5 ASAIO SA – Christine Major	Review	
6 ASA – Colleen Barros	Approve	<i>CBarros</i> 1/29/16
7 BICE - DIB Secretary Darius Taylor	File	
8 OCIO IO – Joe Castillo	File	
Subject: Fiscal Year 2015 Senior Agency Official (SAO) Report		Due Date: 01/27/16
<p>Summary:</p> <p>The enclosed package is a request for approval of the HHS FY2015 SAO Report.</p> <p>M-12-18 states that SAOs for Records Management are to provide an annual report to the National Archives and Records Administration (NARA). This report demonstrates how the organization is achieving the goals of the Directive and other important initiatives as identified by NARA.</p> <p>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.</p> <p>The report contains combined responses from HHS and the OpDivs. NARA requests the file to be sent electronically by January 29, 2016.</p>		
<p>POC: Darius Taylor</p> <p>Date: 01/27/16</p>		<p>Bldg/Room: Rm.336E, Cubicle 30</p> <p>Phone: 202-690-5521</p> <p>Verify Spell Checked? <input checked="" type="checkbox"/></p> <p>(ASA IO use only)</p> <p>Tracking #: <i>15-ASAIO-0077</i></p> <p>Do NOT separate Tracking # from document.</p>



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to the National Archives and Records Administration (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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: Colleen Barros

Position title: Acting Assistant Secretary for Administration

Address: Hubert Humphrey Building, Room 309F
200 Independence Ave, SW
Washington, DC 20201

Office telephone number: 202-690-7431

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

Please list them below:

The Acting Assistant Secretary for Administration (ASA), Ms. Colleen Barros, serves as the HHS Records Management Senior Agency Official. The Operating Divisions (OpDivs) listed below report up to Ms. Barros on high-level Record Management matters.

HHS is comprised of the following components: The Office of the Secretary (OS), Administration for Children and Family (ACF), Administration for Community Living (ACL), Food and Drug Administration (FDA), Centers for Medicare and Medicaid Services (CMS), Health Resources and Services Administration (HRSA), Agency for Healthcare Research and Quality (AHRQ), Indian Health Services (IHS), Substance Abuse and Mental Health Services Administration (SAMHSA), National Institute of Health (NIH), and the Center for Disease Control and Prevention (CDC).

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*

- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*

The Department issued an Enterprise Records Management Policy in November 2015 and will issue an email policy in 2016. The email policy will include the Capstone Approach to record keeping.

All Department of Health and Human Services (HHS) OpDivs currently manage email records in an accessible electronic format. To further enhance electronic email capability and functionality, the Office of the Chief Information Officer began implementing My Work Place, which is a program that incorporates Office 365 Exchange Services for email management. Office 365 provides more functionality, which will enhance management of email. Five OpDivs have already been migrated, and a sixth is scheduled for migration by the Spring of 2016. HHS is currently planning future migrations with the remaining five OpDivs; however, these OpDivs already manage electronic records in an accessible electronic format.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

The department plans to expand the use of the new Capstone approach so that it applies to all employees. Currently, the Capstone approach only applies to employees with permanent records.

Several Record Officers met with the Office of the Secretary Information Technology Infrastructure and Operations (ITIO) staff and other applicable stakeholders in January to gain an understanding of the Records Management functionality within Office 365. A Records Management Workgroup will be established to determine how to best incorporate some of the already available functionality.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

The Department included instructions in the 2015 Records Management Training advising all employees not to use personal computers to conduct agency business unless they have extenuating circumstances. The new email policy that is currently in draft also includes a section on this topic. Both, the training and the email policy instruct employees that they must forward a

copy of the electronic message to their official agency email account. Additionally, the Chief Information Officer (CIO), Deputy CIO, Information Technology Director, Department Records Officer, and several others have had preliminary discussions regarding the implementation of a separate policy or directive that will govern the use and capture of texts, chats, and instant messaging.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

The department implemented a Capstone Approach for managing electronic records of all political appointees and senior executives, as well as other staff employees that were identified as having roles, positions, or programs that predominately create or maintain permanent records related to mission-critical functions, policy decisions, or have historical significance.

Chats and Instant Messaging created on the Office of the Secretary ITIO Infrastructure are captured and preserved. HHS OCIO is researching best practices for capturing Instant Messages, Text, Chat and Voicemail on hand-held devices. All OpDivs not on the ITIO Information Technology Infrastructure (CDC, FDA, HRSA, IHS, and NIH) have been notified in writing that their IT infrastructure at a minimum must meet the basic requirements established by the Office of the Secretary ITIO.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

All OpDivs, except IHS, reported that they will meet the requirement to schedule all existing paper and other non-electronic records by the required date. During a recent move, IHS conducted a records inventory and discovered some unscheduled records.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

All OpDivs have conducted inventories of their Program and Administrative Files. The OpDivs have created Record Schedules based on the inventories and will submit record schedules to NARA by the required due date. The IHS Record Officer conducted a records inventory, but indicated that IHS does not expect to have all records scheduled by the December 2016 due date.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

The Department Records Officer is actively communicating with several vendors to set up demonstrations and/or informational briefings to gain an understanding of how these vendors' electronic record keeping tools will provide additional automated functionality to manage all permanent electronic records by the December 31, 2019, deadline.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

A department-wide working group will be convened to develop the target architecture for a more robust electronic records management plan. The technical workgroup will be tasked to develop a plan for achieving the goals and objectives necessary to address acquisition, records management budget, business processes, policy, guidance and implementation. The plan will identify HHS milestones which will support those deadline identified in the Office of Management and Budget (OMB)/NARA directive.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

The Department Records Officer is actively communicating with several vendors to set up demonstrations and/or informational briefings to gain an understanding of how these vendors electronic content management (ECM) systems will provide automated functionality to capture, manage, and transfer all records (Word, PowerPoint, Adobe, etc.) electronically to NARA. The greatest challenge is to get all of the OpDivs on the same ECM contract. Some of the OpDivs or offices within OpDivs have existing ECM systems/contracts.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes No

- 8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The department implemented a Capstone Approach for managing electronic records of all political appointees and senior executives, as well as other staff employees that were identified as having a roles, positions, or programs that predominately create or maintain permanent records related to mission-critical functions, policy decisions, or have historical significance. For records other than email, the records on the employee's computer devices/laptops are copied and stored until they are ready to be transferred to NARA.

Additionally, the HHS Records Management Policy was updated in 2015 and contains departure procedures for all employees, as well as a new chain of custody document.

- 8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

Departing employees will be provided a document outlining their departure requirements. All OpDiv Record Officers, Whitehouse Liaisons, and/or General Council will provide out-briefs for departing senior officials outlining their records management responsibilities. The Record Officers will ensure that all required records are captured and preserved according to the Record Schedules. Chain of Custody forms will be verified to ensure that departing employees have transferred records to incoming personnel or administrative staff.

HHS Senior Agency Official (SAO) for Records Management – Annual Report

Governing Directive

M-12-18 Managing Records Directive Memorandum for the Heads of Executive Departments and Agencies from OMB and the National Archives and Records Administration (NARA)

Purpose/Description

The SAO is a senior official at the Assistant Secretary level or its equivalent who has direct responsibility for ensuring that the department or agency efficiently and appropriately complies with all applicable records management statutes, regulations, and NARA policy, and the requirements of this Directive.

Letter of Delegation

(Attached) Designation Memo dated December 28, 2012

SAO Annual Report

M-12-18 states that SAOs for Records Management are to provide an annual report to NARA. This report demonstrates how the 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.

HHS 2015 SAO Annual Report Process

The Office of IT Strategy, Policy and Governance (OSPG) received the request from NARA to complete the report by January 29, 2016. A data call was sent out to the Operation Divisions (OpDivs) to solicit feedback and responses to the questions within the template. A hosted discussion was held with the OpDivs on January 6, 2016 to answer any questions the OpDivs may have when responding the data call.

The collected responses are in the attached HHS 2015 SAO Report. HHS must electronically send the SAO report to NARA on January 29, 2016.

Request

OCIO is requesting written or electronic approval from the SAO of the HHS 2015 SAO report for electronic submission to NARA.



THE SECRETARY OF HEALTH AND HUMAN SERVICES

WASHINGTON, D.C. 20201

TO: Assistant Secretary for Administration

FROM: The Secretary

SUBJECT: Designation under Office of Management and Budget Memorandum M-12-18, as amended, and Delegation of Authority regarding managing government records

I hereby designate the Assistant Secretary for Administration as the Senior Agency Official (SAO) for the Department of Health and Human Services, as required by Office of Management and Budget (OMB) Memorandum M-12-18, "Managing Government Records Directive," issued August 24, 2012.

In addition, I hereby delegate to the SAO, with the authority to redelegate, all authorities and responsibilities for the Department-wide management and administration of HHS's records management, except for the designation of the SAO.

These authorities shall be exercised under the Department's policy on regulations and the existing delegation of authority to approve and issue regulations. Additionally, I hereby affirm and ratify any actions taken by the SAO, or his or her subordinates, involving the exercise of these authorities prior to the effective date of this delegation.

The designation and delegation are effective upon date of signature.

Kathleen Sebelius

DEC 28 2012

Date



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
WASHINGTON, D.C. 20408



August 24, 2012

M-12-18

**MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND
AGENCIES AND INDEPENDENT AGENCIES**

FROM: Jeffrey D. Zients 
Acting Director
Office of Management and Budget

David S. Ferriero 
Archivist of the United States
National Archives and Records Administration

SUBJECT: Managing Government Records Directive

On November 28, 2011, President Obama signed the Presidential Memorandum – Managing Government Records. This memorandum marked the beginning of an Executive Branch-wide effort to reform records management policies and practices and to develop a 21st-century framework for the management of Government records. The expected benefits of this effort include:

- improved performance and promotion of openness and accountability by better documenting agency actions and decisions;
- further identification and transfer to the National Archives and Records Administration (NARA) of the permanently valuable historical records through which future generations will understand and learn from our actions and decisions; and
- assistance to executive departments and agencies (referred to collectively as agencies) in minimizing costs and operating more efficiently.

Records are the foundation of open government, supporting the principles of transparency, participation, and collaboration. Well-managed records can be used to assess the impact of programs, to improve business processes, and to share knowledge across the Government. Records protect the rights and interests of people, and hold officials accountable for their actions. Permanent records document our nation's history.

This Directive creates a robust records management framework that complies with statutes and regulations to achieve the benefits outlined in the Presidential Memorandum. This Directive was informed by agency reports submitted pursuant to Sec. 2 (b) of the Presidential Memorandum and feedback from consultations with agencies, interagency groups, and public stakeholders.

This Directive requires that to the fullest extent possible, agencies eliminate paper and use electronic recordkeeping. It is applicable to all executive agencies and to all records, without regard to security classification or any other restriction.

This Directive also identifies specific actions that will be taken by NARA, the Office of Management and Budget (OMB), and the Office of Personnel Management (OPM) to support agency records management programs. In addition, NARA will undertake a review to update relevant portions of the Code of Federal Regulations to take into account the provisions of this Directive.

Attachment

Part I.

Federal agencies shall work toward two central goals.

Goal 1: Require Electronic Recordkeeping to Ensure Transparency, Efficiency, and Accountability

To promote openness and accountability and reduce costs in the long term, the Federal Government should commit immediately to the transition to a digital government. Agencies must meet the following targets:

1.1 *By 2019, Federal agencies will manage all permanent electronic records in an electronic format*

By December 31, 2019, all permanent electronic records in Federal agencies will be managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format. By December 31, 2013, each agency will develop and begin to implement plans to achieve this transition. Agencies should also consider the benefits of digitizing permanent records created in hard-copy format or other analog formats (e.g., microfiche, microfilm, analog video, analog audio).

1.2 *By 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format*

By December 31, 2016, Federal agencies must manage all email records in an electronic format. Email records must be retained in an appropriate electronic system that supports records management and litigation requirements (which may include preservation-in-place models), including the capability to identify, retrieve, and retain the records for as long as they are needed. Beginning one year after issuance of this Directive, each agency must report annually to OMB and NARA the status of its progress toward this goal.

Goal 2: Demonstrate Compliance with Federal Records Management Statutes and Regulations

The Federal Government should commit to manage more effectively all records consistent with Federal statutes and regulations and professional standards. Agencies must meet the following requirements:

2.1 *Agencies Must Designate a Senior Agency Official (SAO)*

The Presidential Memorandum previously required all agencies to designate a Senior Agency Official (SAO) to oversee a review of their records management program. This Directive also requires agencies to designate an SAO, but with broader agency-wide responsibilities with respect to records management. By November 15, 2012, each agency will name its SAO, and by November 15th of each subsequent year, all agencies will reaffirm or name any new SAO. The SAO is responsible for coordinating with the

Agency Records Officer and appropriate agency officials to ensure the agency's compliance with records management statutes and regulations.

The SAO is a senior official at the Assistant Secretary level or its equivalent who has direct responsibility for ensuring that the department or agency efficiently and appropriately complies with all applicable records management statutes, regulations, and NARA policy, and the requirements of this Directive. The SAO must be located within the organization so as to make adjustments to agency practices, personnel, and funding as may be necessary to ensure compliance and support the business needs of the department or agency.

2.2 SAO Shall Ensure that Permanent Records are Identified for Transfer and Reported to NARA

By December 31, 2013, the SAO shall ensure permanent records that have been in existence for more than 30 years are identified for transfer and reported to NARA.

2.3 Agency Records Officers Must Obtain NARA Certificate of Federal Records Management Training

By December 31, 2014, the designated Agency Records Officer for each agency must hold the NARA certificate of Federal Records Management Training. New incumbents must possess the certificate within one year of assuming the position of Agency Records Officer. Agency Records Officers are generally responsible for overseeing the day to day agency recordkeeping requirements outlined in 36 CFR 1222.22, Subpart B.

2.4 Agencies Must Establish Records Management Training

By December 31, 2014, all Federal agencies must establish a method to inform all employees of their records management responsibilities in law and policy, and develop suitable records management training for appropriate staff.

2.5 SAO Shall Ensure that Records are Scheduled

By December 31, 2016, the SAO shall work with the Agency Records Officer to ensure records schedules have been submitted to NARA for all existing paper and other non-electronic records. To facilitate this goal, the Agency Records Officer will work with NARA to identify all unscheduled records, by December 31, 2013. This should include all records stored at NARA and at agencies' records storage facilities that have not yet been properly scheduled.

Part II.

NARA and other agencies (OMB and OPM) will take the following actions to assist agencies in meeting the two central goals of this Directive.

Section A: Require Electronic Recordkeeping to Ensure Transparency, Efficiency, and Accountability

A1 *Revise NARA transfer guidance for permanent electronic records*

By December 31, 2013, NARA will complete, and make available, revised guidance, including metadata requirements, for transferring permanent electronic records, to include additional sustainable formats commonly used to meet agency business needs. NARA will update this guidance regularly as required to stay current with technology changes.

A2 *Create new email guidance*

By December 31, 2013, NARA will issue new guidance that describes methods for managing, disposing, and transferring email.

A3 *Investigate and stimulate applied research in automated technologies to reduce the burden of records management responsibilities*

A3.1 NARA, the Federal Chief Information Officers Council and the Federal Records Council will work with private industry and other stakeholders to produce economically viable automated records management solutions. By December 31, 2013, NARA will produce a comprehensive plan in collaboration with its stakeholders to describe suitable approaches for the automated management of email, social media, and other types of digital record content, including advanced search techniques. The plan will detail expected outcomes and outline potential associated risks.

A3.2 By December 31, 2014, the Federal Chief Information Officers Council, and the Federal Records Council, working with NARA, will obtain external involvement for the development of open source records management solutions.

A4 *Embed records management requirements into cloud architectures and other Federal IT systems and commercially-available products*

A4.1 By December 31, 2013, NARA will incorporate into existing reporting requirements an annual agency update on new cloud initiatives, including a description of how each new initiative meets Federal Records Act obligations and the goals outlined in this Directive. For the initial report the agency will identify any existing use of cloud services or storage, and the date of implementation.

A4.2 By the next revision of OMB Circular A-130, OMB will update A-130 to explicitly require that agencies must incorporate records management requirements when moving to cloud-based services or storage solutions.

A5 *Evaluate the feasibility for secure “data at rest” storage and management services for Federal agency-owned electronic records*

By December 31, 2013, NARA will determine the feasibility of establishing a secure cloud-based service to store and manage unclassified electronic records on behalf of agencies. This basic, shared service will adhere to NARA records management regulations and provide standards and tools to preserve records and make them accessible within their originating agency until NARA performs disposition.

Section B: Create a Robust Records Management Framework that Demonstrates Compliance with Federal Statutes and Regulations and Promotes Partnerships

B1 *The Archivist of the United States will convene the first of periodic meetings of all Senior Agency Officials*

By December 31, 2012, the Archivist of the United States will convene the first of periodic meetings of all SAOs to discuss progress in implementation of this Directive; agency Federal records management responsibilities; and partnerships for improving records management in the Federal Government. Additionally, NARA will complete a review of all of its records management reporting requirements by December 31, 2012, and produce a report template for a single annual report that each SAO will send to the Chief Records Officer for the U.S. Government commencing on October 1, 2013.

B2 *Create a Community of Interest to solve records management challenges*

By December 31, 2013, NARA, in cooperation with the Federal Chief Information Officers Council, the Federal Records Council, and other Government-wide councils that express interest, will establish a Community of Interest (COI) to bring together leaders from the information technology, legal counsel, and records management communities to solve specific records management challenges. The COI will develop and propose guidance, share information, create training, and identify tools that support electronic records management.

B3 *Establish a formal records management occupational series*

By December 31, 2013, OPM will establish a formal records management occupational series to elevate records management roles, responsibilities, and skill sets for agency records officers and other records professionals.

B4 *Continue to improve the effectiveness of Federal records management programs through analytical tools and enhanced NARA oversight*

By December 31, 2013, NARA will identify a government-wide analytical tool to evaluate the effectiveness of records management programs. While continuing to conduct assessments, inspections, and studies of agency records management programs, NARA expects that a tool or similar analytical approach will help NARA and the agencies to measure program compliance more effectively, assess risks, and aid in agency decision-making. The use of a new analytical tool in these ongoing activities will identify issues that undermine effective agency records management programs as well as highlight the best practices that will inform agency-specific or government-wide opportunities for improvement.

Section C: Improve NARA Processes to Serve Agency Needs

C1 *Improve the Current Request for Records Disposition Authority Process*

By December 31, 2015, NARA will improve the current Request for Records Disposition Authority process. Consistent with current Federal records management statutes, or with changes to existing statutes (if required), NARA will also develop criteria that agencies can apply to the scheduling, appraisal, and overall management of temporary records that can be effectively monitored with appropriate NARA oversight.

C2 *Overhaul the General Records Schedules*

By December 31, 2017, to reduce the need for unique records schedules submitted for approval to the Archivist, NARA, in consultation with appropriate oversight agencies, will make substantive changes to the General Records Schedules (GRS). These significant changes will include, combining the records series into more appropriate aggregations for easier disposition action by agencies, and expanding the number of permanent records series in the GRS to reduce the scheduling and appraisal burden on agencies.