

Senior Agency Official for Records Management 2016 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*, 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.

Senior Agency Official for Records Management:

- Christine Major
- Acting Assistant Secretary for Administration
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1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?

Administration for Children and Families
Administration for Community Living
Agency for Health Care Research and Quality
Centers for Disease Control and Prevention
Centers for Medicare and Medicaid Services
Food and Drug Administration
Health Resources and Services Administration
National Institutes of Health
Office of the Secretary and Staff Divisions
Indian Health Service
Substance Abuse and Mental Health Services Administration

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
 No

All components of the Department of Health and Human Services are managing email records in an electronic format. Employees are currently managing emails manually; however the Departmental Records Officer along with the Department's Information Technology Office are currently working together to develop automated electronic scripts to filter emails into respective retention categories, which will reduce the amount of manual processes required to manage email.

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

No

The Department's 11 Operating Divisions (OpDivs) have scheduled all existing paper and non-electronic records in our facilities. However, the Substance Abuse and Mental Health Services Administration is currently working with the Federal Records Center (FRC) to establish the disposition authority for 34 boxes of unscheduled records that were shipped to the FRC back in 1975 and 1981.

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)

Yes

No

All OpDivs have made progress towards managing all permanent electronic records electronically by December 2019. The OpDiv Records Officers have inventoried electronic records to determine which records are permanent. Several OpDivs have conducted briefings with key stakeholders and have identified stakeholders for pilot projects geared to capture and manage permanent electronic records. One OpDiv has acquired a record keeping system to manage its electronic records.

The Departmental Records Officer has initiated discussions with key stakeholders from the Department's Information Technology Office to gather data and to discuss the potential of utilizing technology that already exists to manage permanent records electronically. Those discussions lead us to believe that we will be able to leverage existing SharePoint technology to manage all electronic records, as well as transfer permanent records to the National Archives. Now that the 2016 deadline to manage all temporary records in an electronic system has been met, we expect to concentrate more effort on meeting the 2019 deadline of managing all permanent electronic records electronically.

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

No

The Department has taken a holistic approach to evaluating possible solutions for digitization of permanent hard copy records. The Departmental Records Officer has received briefings from multiple vendors regarding their capability to assist the department with meeting these requirements as well as presenting the Department with a scope of work required.

In addition to the holistic actions taken by the Departmental Records Officer, the OpDiv Records Officers are working with their stakeholder organizations. Some have begun acquiring the services of vendors to complete the transformation of hard copy records into digitized formats. The OpDiv Record Officers will continue to schedule new records as media neutral with the goal of official record copies being maintained in an electronic record keeping system.

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

No

The Senior Agency Official for Records Management and the Departmental Records Officer has taken the following steps that pertain to the guidance in the OMB Circular A-130:

- 1) The Department has appointed a Senior Agency Official for Records Management, who ensures that the records management program is instituted throughout the entire agency by appointing a Departmental Records Officer as well as Component Record Officers within the 11 OpDivs to document the agency's official business.
- 2) The Department has met the 2016 requirement to manage all emails in an electronic format. The Department is actively pursuing solutions from vendors, as well as its own IT department to meet the 2019 mandate to manage all permanent electronic records electronically.
- 3) The Department manages records throughout the lifecycle of the records, schedules records to ensure proper maintenance and disposal according to general record schedules and agency record schedules approved by the Archivist of the United States.
- 4) The Department conducts records management orientation training and annual training for all employees and contractors to ensure all employees are aware of their records management responsibilities.