



Senior Agency Official for Records Management 2018 Annual Report

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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 rmsselfassessment@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):

- Name of SAORM: Scott W. Rowell
- Position title: Assistant Secretary for Administration
- Address: 200 Independence Avenue, SW, Suite 309-
- F Washington, DC 20201

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

Please provide list:

Office of the Secretary, and its 17 Staff Divisions:

1. Immediate Office of the Secretary
2. Assistant Secretary for Administration
3. Assistant Secretary for Financial Resources
4. Assistant Secretary for Health
5. Assistant Secretary for Legislation
6. Assistant Secretary for Policy and Evaluation
7. Assistant Secretary for Preparedness and Response
8. Assistant Secretary for Public Affairs
9. Center for Faith-Based and Neighborhood Partnerships
10. Departmental Appeals Board
11. Office of Intergovernmental and External Affairs
12. Office of Civil Rights
13. Office of Global Affairs
14. Office of Inspector General
15. Office of Medicare Hearings and Appeals
16. Office of the National Coordinator for Health Information Technology
17. Program Support Center

And 11 Operating Divisions:

1. Administration for Children and Families
2. Administration for Community Living
3. Agency for Healthcare Research and Quality
4. Agency for Toxic Substances and Disease Registry
5. Centers for Disease Control and Prevention
6. Centers for Medicare and Medicaid Services
7. Food and Drug Administration
8. Health Resources and Services Administration
9. Indian Health Service
10. National Institutes of Health

11. Substance Abuse and Mental Health Services Administration

- 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

In June 2018, the National Archives and Records Administration (NARA) conducted an HHS-wide inspection of the Department's Records Management (RM) program and delivered to HHS in October 2018 the final inspection report. The inspection report included a request for an HHS Plan of Corrective Action (PoCA) to address NARA's findings and recommendations. The HHS PoCA was delivered in November 2018 and accepted by NARA December 2018. One milestone of the PoCA indicates the Department will create a 2019 – 2024 RM Strategic Plan by December 2019. The strategic plan will include status and progress of M-12-18, Goal 1.1., migrating the management of permanent records from paper to electronic formats. To ensure accurate reporting on this December 31, 2019 goal in the strategic plan, the HHS Operating Divisions (OpDivs) are currently reviewing permanent records retention schedules and associated record formats (paper or electronic). Some OpDivs are currently digitizing paper permanent records and are temporarily storing the electronic permanent records onsite while other OpDivs are delivering permanent paper records to Federal Records Centers for temporary storage. In both instances, the electronic and paper files will be transferred permanently to NARA as indicated in the records schedules.

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

Yes

No

In June 2018, the National Archives and Records Administration (NARA) conducted an HHS-wide inspection of the Department's Records Management (RM) program and delivered to HHS in October 2018 the final inspection report. The inspection report included a request for an HHS Plan of Corrective Action (PoCA) to address NARA's findings and recommendations. The HHS PoCA was delivered in November 2018 and accepted by NARA December 2018. One milestone of the PoCA indicates the Department will create a 2019 – 2024 RM Strategic Plan by December 2019 and this plan will follow NARA's Criteria for Successfully Managing Permanent Electronic Records. Criteria includes effective policies and systems to provide access to records for recordkeeping purposes.

- 4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing**

strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

Yes

No

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

In December 2018, the Office of the Chief Information Officer (OCIO) transmitted to the National Archives and Records Administration (NARA) the HHS Records Management (RM) Plan of Corrective Action (PoCA). A PoCA milestone indicates the Department will create a 2019 – 2024 RM Strategic Plan by December 2019 and this plan will include status and progress scorecards of the HHS Operating Divisions on meeting these milestones:

- By December 31, 2022, NARA will accept permanent records only in electronic format with appropriate metadata.
- After December 31, 2022, NARA will no longer accept new transfers of analog records for storage at Federal Records Centers (FRC).
- Beginning January 1, 2023, all other legal transfers of permanent records must be in electronic format, whether the records were “born electronic” or not. After that date, agencies will be required to digitize permanent records in analog formats before transfer to NARA.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

Yes

No

Please explain your response:

Some HHS Operating Divisions are utilizing the HHS Program Support Center's (PSC) Digital Document Management (DDM) shared services for digitization and for the cloud based Electronic Records Management (ERM) solution, FREEDOM, and records management consulting services. These services are on Schedule 36.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure 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

Changes were unnecessary (click [here](#) for your agency's 2017 report)

No, changes are being considered but have not been made

No

Please explain your response:

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes

No

To ensure HHS completes its Strategic Planning efforts to comply with 2019 – 2023 electronic records management milestones, the Department's Records Management (RM) team will be expanding by 1 FTE to manage planning and resource requirements. In addition, the HHS RM team is an active participant on NARA's Federal Records Management Council (FRMC) and Federal Electronic Records Modernization Initiative (FERMI). HHS is also a founding member of the government-wide electronic records management community of practice. The HHS Records Officer community, devised of the Agency Records Officer and Operating Division Records Officers, meets regularly to ensure RM issues are escalated to the SAORM.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes

No

Please explain your response:

HHS has in place role-based training for employees; records officers, liaisons, custodians; contractors; and senior officials including appointees and career SES.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes

No

Please explain your response:

In June 2018, NARA completed its inspection of the HHS Records Management (RM) program and delivered the final inspection report to HHS in October. As indicated in the NARA inspection, five Operating Divisions (OpDivs) (NIH, FDA, IHS, CDC/ATSDR, and HRSA) conduct formal evaluations or assessments of its RM programs and other (OpDivs) conduct informal inspections. The Department is currently putting plans together to have formal inspections of all OpDiv RM programs, including some systems.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes

No

Please explain your response:

HHS anticipates it will continue to collaborate with NARA's archivists, document management specialists, Federal Records Centers, inspectors, trainers, and schedulers to ensure the transition from paper to electronic recordkeeping is successful.