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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 rmselfassessment@nara.gov. Include the words "SAORM 2019 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.**
   Office of the Secretary, and its 16 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 for Civil Rights
   12. Office of the General Counsel
   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
   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 managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

X Yes

☐ No

To the fullest extent possible, HHS is managing permanent electronic records electronically for eventual transfer and accessioning to NARA. The Operating Division Records Management Officers are working with information technology support teams, electronic mail teams, system and business owners to ensure electronically borne permanent records are captured and stored for accessioning versus using printing and scanning processes.

3. **Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

   X Yes

   ☐ N o

   Operating Division Records Management Officers are working with information technology support teams, electronic mail teams, and system and business owners to implement National Archives and Records Administration (NARA) Universal Electronic Records Management (ERM) requirements.

4. **Has your agency made progress towards managing all <u>temporary</u> records in electronic format? (M-19-21, 1.3)**

   X Yes

   ☐ N o

   To the extent possible, the HHS records management community is working with information technology and electronic mail support teams on implementing appropriate records retention schedules for temporary records.

5. **Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)**

   X Yes

   ☐ N o

   Records management responsibilities are included in HHS employee annual performance management assessment plans. In addition, many of the HHS Operating Divisions are expanding performance goals, objectives, and measures into strategic plans.

6. **If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)**

X Yes
☐ N o
This is a decentralized process at HHS and the Operating Divisions manage and operate records centers independently. The Department has not received guidance on the exception process.

7. **Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

   *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.

   X Yes
   ☐ N o
   The Operating Division Records Management Officers schedule records management senior official briefings prior to departure and coordinate records storage locations with information technology points of contact.

8. **Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

   ☐ Yes
   X No

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

   ☐ Y es
   X No