NATIONAL ARCHIVES

OFFICE of the CHIEF RECORDS OFFICER

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):

- Name of SAORM: John Bardis
- Position title: Assistant Secretary for Administration
- Address: 200 Independence Avenue, SW, Suite 309-F, Washington, DC 20201
- Office telephone number: (202) 690-7431
- [redacted]

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

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 for 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 & 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)**

X Yes
☐No

HHS conducts quarterly meetings with component office Records Managers to discuss status and progress and engage our NARA Appraisal Archivist as required.

NIH is in the process of procuring an Enterprise Content Management system to aid in the management of all permanent electronic records in an electronic format by the deadline.

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)**

X Yes
☐ No

HHS provided NARA guidance regarding acceptable formats for the transfer of permanent electronic records to all HHS components and several Staff Divisions are moving forward with obtaining cost estimates from vendors for digitization services and products in adherence to NARA standards.

NIH has initiated digitization work on permanent analog records to meet Goal 1.1.

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
X No

HHS has not identified reorganizations or office eliminations.

NIH is preparing for office consolidations. To support these efforts, the NIH Records Management Program has created guidance materials including: educational videos, file plan, and guidance to inform record custodians when records should be destroyed, scanned, accessioned, or transferred offsite.

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)

X Yes
☐No

In 2017 the Office of the Chief Information Officer (OCIO) hired a GS-15 Manager to manage the HHS Departmental records program and allocate resources.

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.

X Yes
☐No

The tracking of records management briefings is re-delegated to the Office of the Secretary (OS) Records Officer. The OS Records Officer and the HHS Department Records Management Officer receive all correspondence on incoming and outgoing senior officials to ensure records management policies are followed.

NIH performs records management briefings for all incoming and outgoing political appointees. Guidance on managing records, including personal use of email and other recordkeeping requirements is included in our Information Management New Hire training, which is required of all incoming staff.

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)?**

X Yes
☐ No

The Records Management program is part of the HHS Chief Information Officer's strategic plan.

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)

HHS anticipates increasing our quarterly meetings to bi-monthly meetings and will include our NARA Appraisal Archivist in all of the meetings.