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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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: Blair Duncan, Acting
- Position title: Acting Assistant Secretary for Administration
- Address: 200 Independence Avenue, S.W., Room 309F, 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 provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

   Office of the Secretary (OS), and its 16 Staff Divisions:
   1. Immediate Office of the Secretary (IOS)
   2. Assistant Secretary for Administration (ASA)
   3. Assistant Secretary for Financial Resources (ASFR)
   4. Assistant Secretary for Health (ASH)
   5. Assistant Secretary for Legislation (ASL)
   6. Assistant Secretary for Policy and Evaluation (ASPE)
   7. Assistant Secretary for Preparedness and Response (ASPR)
   8. Assistant Secretary for Public Affairs (ASPA)
   9. Center for Faith-Based and Neighborhood Partnerships (CFBNP)
   10. Departmental Appeals Board (DAB)
   11. Office of Civil Rights (OCR)
   12. Office of the General Counsel (OGC)
   13. Office of Global Affairs (OGA)
   14. Office of Inspector General (OIG)
   15. Office of Medicare Hearings and Appeals (OMHA)
   16. Office of the National Coordinator for Health Information Technology (ONC)

   And 11 Operating Divisions:
   1. Administration for Children and Families (ACF)
   2. Administration for Community Living (ACL)
   3. Agency for Healthcare Research and Quality (AHRQ)
   4. Agency for Toxic Substances and Disease Registry (ATSDR)
   5. Centers for Disease Control and Prevention (CDC)
   6. Centers for Medicare and Medicaid Services (CMS)
   7. Food and Drug Administration (FDA)
   8. Health Resources and Services Administration (HRSA)
   9. Indian Health Service (IHS)
   10. National Institutes of Health (NIH)
   11. Substance Abuse and Mental Health Services Administration (SAMHSA)

2. **Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**

   X Yes

☐ No

☐ Do not know

Please explain your response (include details of specific challenges, if applicable):
Due to the COVID-19 Pandemic, there have been challenges for records management staff to access offices and proceed with digitizing paper records to achieve compliance with OMB and NARA Joint Directive, M-19-21; complete records management disposition activities; as well as complete paper records transfers to NARA.

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

X Yes

☐ No

☐ Do not know

Please provide details on what support is needed:

4. **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

☐ No

☐ Do not know

Please explain your response (include specific goals and example metrics):
Operating Division Records Management Officers are working with information technology support teams, electronic mail teams, and system and business owners to implement NARA Universal Electronic Records Management (ERM) requirements.

5. **Has your agency made progress towards managing all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

X Yes

☐ No

☐ Do not know

Please explain your response (include specific goals and example metrics):
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. Currently, there is a tenant-wide Microsoft 365 (M365) retention policy that holds all user data for a 7-year period, based on last modified time (for email, this is same as creation time). HHS is working on gathering the relevant data to create retention policies to match the 3-year and 15-year Capstone employee designations.

6. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

   ☐ Yes

   X No

   ☐ Do not know

   Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.
   HHS is in the initial stages of exploring various electronic recordkeeping options including Microsoft 365 functionalities. Resources and budgetary needs will be deliberated when an appropriate recordkeeping system is designated to manage electronic records.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

   X Yes

   ☐ No

   ☐ Do not know

   Please explain your response (include specific goals and example metrics):
   This is a decentralized process at HHS. The Operating Divisions manage and operate records centers independently.

8. **Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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

☐ No

☐ Do not know

Please explain your response (include specific details of policies and procedures):
HHS has three records management policies in place: Policy for Records Management, Policy for Implementing Electronic Mail (Email) Records Management, and Policy for Litigation Holds. These policies establish the principles, responsibilities, and requirements for managing HHS records including the capturing, removal, deletion, and altering of records. These policies apply to all HHS employees, including newly appointed and outgoing senior officials, and non-government entities supporting HHS. In addition, the Operating Division Records Management Officers schedule records management briefings for senior official prior to departure and coordinate records storage locations with information technology points of contact.

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

☐ Yes

X No

☐ Do not know

Please explain your response (include details of specific challenges, if applicable):

10. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

☐ Yes

X No

☐ Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):