



## *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 [rmselfassessment@nara.gov](mailto:rmselfassessment@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: Paolo del Vecchio
- Position title: Executive Officer
- Address: 5600 Fishers Lane, #12E41

- 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: Substance Abuse and Mental Health and Services Administration (SAMHSA).

- 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

*Please explain your response:*

In 2018, SAMHSA acquired a recordkeeping system, FREEDOM, and began configuring the software as a service (SaaS) for implementation. As configuration of the SaaS, strategies are being developed to implement electronic recordkeeping practices for both temporary and permanent records. SAMHSA began analyzing the date ranges, retentions, volume and format of all records as a means to determine which records would be digitized and which would be electronically transferred into FREEDOM. Contract support was acquired in 2018 to support SAMHSA in digitization and electronic record transfers (e.g. from Share Point sites, shared and personal drives) into FREEDOM. Efforts are continue to be made to deliver permanent paper records to the FRC for temporary storage at which point the appropriate record schedule will be followed for transfer to the National Administration Records and Archives Administration (NARA).

The SAMHSA Records Officer continued to participate in the IT Contract Clearance Process which allows for evaluation of electronic systems to some extent.

- 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

*Please explain your response:*

The SAMHSA Records Officer will work with the HHS Records Officer to address the HHS Plan of Corrective Action (PoCA) accepted by NARA in December 2018 as a result of their June 2018 HHS-wide inspection of the Department's Records Management (RM) program. Specifically, the ARO will work with the HHS Records Officer and other OpDiv Records Officers to create a 2019-2024 RM Strategic Plan by December 2019. The 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 2018, SAMHSA acquired FREEDOM, HHS's Program Support Center's (PSC) Electronic Records Management (ERM) solution. SAMHSA began configuring FREEDOM specifically for implementation within the agency. Additionally, contract support was acquired and began digitizing remaining paper records. Development of processes and procedures for migrating electronic records from shared drives, personal drives, and share point sites started during this time as well.

A few milestones are listed below:

- By December 31, 2019, SAMHSA will have migrated records previously maintained in the SAMHSA Records Repository
- By December 31, 2019, SAMHSA will have configured FREEDOM to the point where two Offices/Centers will be able to pilot aspects of the system.
- No later than January 2020, SAMHSA will develop electronic recordkeeping guidance.

Additionally, the HHS Records Management (RM) Plan of Corrective Action (December 2018) identified a milestone that indicates the Department will create a 2019 – 2024 RM

Strategic Plan by December 2019. 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:*

SAMHSA is utilizing the HHS Program Support Center’s (PSC) Electronic Records Management (ERM) solution, FREEDOM, which is 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:*

SAMHSA continues to conduct a New Employee Orientation that provides a briefing on recordkeeping requirements. Briefings were also conducted with senior officials on records management activities including on their responsibilities in these areas. In 2019, SAMHSA plans to work with the department to identify areas of improvement for briefings and to update briefing materials.

- 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

*Please explain your response:*

In September 2018, the previously designated SAORM for SAMHSA departed. To the best extent possible, since my appointment as the SAORM for SAMHSA in January 2019, I have made efforts to ensure the program has the proper support, strategic direction and resources to be successful. Since my designation I have regular briefings with the SAMHSA Records Officer to discuss issues and risks to the program and escalate issues to Senior Executives and Leadership as necessary.

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 HHS 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:*

All SAMHSA employees are required to take the HHS Records Management Training regardless of position or role. All new employees and contract staff attend the new employee orientation and receive a briefing on recordkeeping requirements including Capstone designations. SAMHSA has not developed additional training to target Records Liaisons, Senior Officials or other staff.

- 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:*

At this time, Records Management staff have not implemented formal evaluations or auditing process to ensure records management directives, policies, procedures and retention schedules are being properly implemented. I have, however, since my appointment in January 2019, supported the staff in informal evaluations as SAMHSA transitions to full electronic record keeping such as dispositioning practices by way of file plan updates and file inventories.

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

- Yes  
 No

*Please explain your response:*

SAMHSA will continue to work with NARA archivists, Federal Records Centers and other NARA staff to support our transition to electronic recordkeeping as necessary.