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: Brett Bobley
- Position title: CIO
- Address: 400 7th St SE, Washington DC, 20506

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 list: National Endowment for the Humanities

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

   X - Yes

   Please explain your response: Due to the mandate to work remotely, the NEH process to begin sending paper-based records to NARA was interrupted and cannot be resumed until staff are allowed back in the building. This may cause significant delay or expense to digitize records for electronic transfers. Additionally, the SAORM sent out specific instructions reminding employees to continue to follow records management best practices when creating official agency records using Microsoft Teams and personal devices.

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

   Please provide details: The SOARM works closely with the ARO, IT, and senior management to institute policies and procedures. SAORM is engaged in the electronic records management program and is taking positive steps to provide the necessary information, policies and procedures to inform other senior managers and stakeholders as appropriate.

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

   Please explain your response: NEH's Electronic information systems are able to create, capture, and maintain records. Permanent electronic records are identified and aligned with approved records schedules. These records have additional measures in place to ensure permanent storage until ready to transfer to NARA. Most agency permanent records managed via automated methods using GRS 6.1 (Capstone). Email is managed according to a

records-in-place approach and accessible to end users in the live system, but system controls are centralized and guarantee integrity of email records and metadata. Our electronic systems do electronic auditing and are capable of generating reports on how often records are updated/accessed.

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

   Please explain your response: NEH's most important record-generating systems (grants and email) have well-documented procedures in place for accessing/maintaining records. A combination of our Electronic Grants Management System (EGMS) as well as our fully implemented Capstone captures most of our temporary records. We continue working toward similar procedures for all of our temporary records. We have fully documented records policy for our key electronic grants system & are in process of documenting the other two.

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

   X - Yes

   Please explain your response: NEH is a very small agency with only three major IT systems. That said, when migrating data to an upgraded platform, careful migration plans are always used to ensure data integrity. Our agency operates through in-house resources via collaboration with CIO and IT. IT staff have excellent security & backup procedures in place for all systems and, we pool our resources to ensure that records management is incorporated into IT systems development.

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 - No

   Please explain your response: NEH does not plan to use commercial storage facilities as all records will be transferred to NARA or maintained in an electronic format.

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* 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

Please explain your response: Newly appointed senior officials receive a copy of NARA's "Documenting Your Public Service" guide and "Records Management Guidance for Political Appointees." Additionally, separate folders for each political appointee are created to manage their records in Microsoft Teams. Outgoing senior officials complete an RM checklist which details instructions for official records when out-processing.

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

X - Yes

Please explain your: Due to the uncertainty of staff returning to our physical workspace, we cannot access our analog records. This may prevent us from meeting the established NARA deadline.

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

X - No

Please explain your response: I am satisfied with my level of engagement with NARA.