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. On January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic records keeping and preservation under both these requirements, as well as other important records management initiatives.

The reporting period begins on January 10, 2022, and reports are due back to NARA no later than March 11, 2022.

NARA plans to post your 2021 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, 2021, 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 2021 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 SW, 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 a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.
   Please provide list: National Endowment for the Humanities

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

   ☐ Yes
   ☐ No
   ☐ Do not know

   X - Yes

   Please explain your response: Due to the mandate to work remotely, the NEH process to begin sending back-logged paper-based records to NARA was interrupted and cannot be resumed until staff are allowed back in the building. Another Covid related note: the SAORM sent out specific instructions reminding employees to continue to follow records management best practices when working from home.

3. **Does your agency have an established information governance framework that integrates records management, data management, and other agency information lines of business? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff, Security, Privacy Officers, and FOIA)**

   ☐ Yes
   ☐ No

☐ Do not know

X - Yes

Please provide details: The SOARM is the CIO, who oversees both the ARO and the IT department. He is a member of the senior agency staff.

.

4. **Will your agency meet the goal to manage and preserve all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

☐ Yes
☐ No
☐ Do not know

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 are managed via automated methods using GRS 6.1 (Capstone).

5. **Will your agency meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

☐ Yes
☐ No
☐ Do not know

X - Yes

Please explain your response: A combination of our Electronic Grants Management System (EGMS) as well as our fully implemented Capstone captures the majority of our temporary records. We continue working toward similar procedures for all of our temporary records.

6. **Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?**

☐ Yes

☐ No

☐ Do not know

X - No

Please explain your response: At this time, depending on Covid, we still believe we can be fully compliant with M-19-21 by the end of 2022.

7. **Is your agency utilizing the General Services Administration's Special Item Number for Electronic Records Management (518210 ERM) 6 to procure solutions to assist in transitioning to an Electronic Environment?**

☐ Yes

☐ No

☐ Do not know

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. **Has your agency developed plans to meet the requirements of M-19-21, 1.3 to store temporary records in commercial storage facilities by December 31, 2022?***

☐ Yes

☐ No

☐ Do not know

*M-19-21, 1.3 includes closing of agency-operated storage facilities and no new transfers of paper records to the Federal Records Centers.

X - Yes

Please explain your response: Yes, we are working to ensure that any temporary paper records are either destroyed (if appropriate) or stored in commercial facilities.

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

☐ Yes

☐ No

☐ Do not know

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. **NARA is always working on ways we can make your role as the SAORM easier, improve how we interact with you and how you interact with each other. Do you have any suggestions?**

☐ Yes
☐ No
☐ Do not know

X - No

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