



## ***Senior Agency Official for Records Management FY 2015 Annual Report***

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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*, including implementing proper email management and 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

### **Instructions for Reporting**

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to [prmd@nara.gov](mailto:prmd@nara.gov). Include the words “SAO annual report” and your agency’s 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 SAO: Jeffrey Thomas

Position title: Assistant Chairman for Planning and Operations

Address: 400 7<sup>th</sup> Street, SW, Washington, DC 20506

Office telephone number: 202-606-8231

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

*Please list them below:*

- National Endowment for the Humanities

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes       No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*

During FY 2015, NEH staff has been working to develop plans to meet the goal to manage email records electronically. To begin this process, the Acting Agency Records Officer and Chief Information Officer, in conjunction with NEH's records management committee, have identified NEH email accounts and account holder name lists.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

Currently, the Acting Agency Records Officer is identifying appropriate roles and retention recommendations according to the Capstone Schedule (GRS 6.1). We plan to complete this work by May 2016. We hope to be able to transmit our proposed list of roles and accounts, according to GRS 6.1, to NARA in May 2016. Once these lists have been completed and submitted for approval, we will use them to develop a formal, agency-wide email policy. During 2016, we will also investigate options to implement email retention schedules according to the identified roles at NEH. We currently plan to manage emails electronically using a cloud service vendor, which will provide ample access and retrievability of NEH email. We will consider the feasibility of a third-party archiving service for email; however, at this time we plan to manage emails similarly to our current arrangements.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes       No

*Please provide a brief description of the actions taken, such as establishing policies and providing training.*

In June 2015, NEH's SAO, CIO, and Acting Records Officer, met with the NEH Chairman and Deputy Chairman to brief them on the new requirements regarding electronic messages. We have also circulated these expectations to NEH staff via email. In November 2015, the Acting Records Officer and records management committee hosted a meeting for all NEH staff, which included an overview of the 2014 changes to the *Federal Records Act* and electronic messaging requirements.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

NEH's approach to email management was a print-and-file approach until 2014. However, following the recommendation of the records management committee and CIO to adopt a Capstone approach to manage email electronically, NEH is currently working to develop internal policies and procedures to implement a Capstone approach to email. NEH does not currently take a records management approach to other electronic communications, such as texts, chats, or instant messaging.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes       No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

In consultation with our Federal Records Center representative, the Acting Records Officer and Director of Administrative Services identified one transfer (104 boxes) of unscheduled records. We are working with the FRC to identify, schedule, and determine an appropriate disposition.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

At present, we do not expect to identify additional paper records that are unscheduled. However, NEH's Acting Records Officer is coordinating a records inventory of retired and active program files within NEH offices, which will determine any additional unscheduled paper and other non-electronic records aside from those mentioned in 5a (above).

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes       No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

NEH has instituted an institutional repository, which will manage all electronic records for the long term. We will use this to preserve permanent electronic records at NEH prior to transfer to the National Archives.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

NEH is currently conducting an inventory of electronic records, which will identify both permanent and temporary electronic records. Once identified, we do plan to be able to meet the December 2019 goal of managing all permanent electronic records in electronic format.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

*Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.*

NEH has implemented an institutional repository project (a vendor agreement with DSpaceDirect), which we plan to use to manage electronic records with long term value to NEH. We are also currently working toward a plan to manage email electronically under a Capstone approach. We have arranged to capture and archive NEH's website under the Government Publishing Office's Federal Depository Library Program Archive project, which suffices to capture and preserve NEH's website, as well as most of our social media presence at present (including Facebook and Twitter accounts). Over the last ten years, we have also moved the management of our grant and application files into an electronic system, which provides for the electronic review, processing, and administration of most of our grantmaking process.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes       No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

NEH expects to see administrative changes following the change in Presidential administration. However, as an independent agency we do not anticipate unforeseen records management demands beyond our present capacity and planning efforts outlined above. From a records management perspective, we plan to manage records of departing senior officials according to our current procedure, which involves review by the Agency Records Officer and Office of the General Counsel. NEH has, in fact, recently managed a change in top administration with the arrival of a new, Presidentially-appointed agency head in 2014. This gave us recent experience in managing upper administration changes, and NEH is prepared to manage records demands caused by future changes precipitated by the change in Presidential administration. Moreover, while agency-wide understanding of the records management requirement is still in formation, senior staff recognizes records management as a priority for the agency.