

## *Senior Agency Official for Records Management 2016 Annual Report*



The [OMB/NARA Managing Government Records Directive \(M-12-18\)](#) requires Senior Agency Officials for Records Management (SAORM) 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 January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

### Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 [PRMD@nara.gov](mailto:PRMD@nara.gov). Include the words "SAORM annual report" 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: Jeff Thomas
- Position title: Assistant Chairman for Planning and Operations
- Address: 400 7th Street SW, Washington DC
- Office telephone number: 202-606-8231

**1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

*Please list below*

National Endowment for the Humanities

**2. Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

Yes

No

If No, please list and explain which part of your agency or components did not meet the deadline?

NEH systems currently manage all NEH email records electronically. NEH has circulated information to staff regarding the management of email electronically, and NEH has drafted formal policies to manage email records according to GRS 6.1. At the end of 2016, NEH was working to finalize and approve its Capstone permanent list with NARA and conducting internal review and approval of an email management policy.

**3. Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

Yes

No

If No, please list which part of your agency or components did not and why?

NEH is working to schedule all unscheduled materials. During an inventory of records conducted in 2016, NEH identified one transfer of unscheduled records (104 boxes) stored by the Federal Records Centers. These have been identified as materials transferred under a now-withdrawn GRS authority, and NEH is in the process of scheduling the records in this transfer.

**4. Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically? (M-12-18, Goal 1.1)**

Yes

No

If Yes, please describe this progress.

If No, please list which part of your agency or components did not and why?

In 2015, NEH made an initial inventory project of electronic records held by various NEH program offices. For management of electronic records with long-term value, NEH has instituted an institutional repository, which can preserve electronic records of interest for long-term business needs or historical value. We will use this to preserve permanent electronic records at NEH prior to transfer to the National Archives. NEH plans to use information from the inventory of electronic records to 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.

**5. Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

Yes

No

Please describe your specific plans or actions.

NEH has been working to select and digitize some permanent records kept in analog formats, particularly if they serve ongoing business needs, since the M-12-18 memo was issued. For example, permanent records that have been digitized include NEH press releases, photographs of special events, and speeches of former NEH Chairpersons. These have been digitized and are managed in NEH's digital repository system. Other NEH permanent records slated for digitization include moving image and audio materials in obsolete formats, which were created or maintained by NEH Public Affairs and Communications offices. NEH has implemented a digital repository that can manage digitized materials for long-term preservation.

**6. Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource? (OMB A-130 5.h, page 19)**

Yes

No

If Yes, please describe what steps have been taken.

As the SAORM, I meet regularly with the agency's CIO and the agency's Director of OIRM to ensure that our IRM strategy includes records management as a critical piece. All new IT systems are built with records management in mind to ensure the agency is meeting business needs and applicable law, regulations, and NARA requirements.