



*Senior Agency Official for Records Management
2017 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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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. 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: Ann Eilers
- Position title: Deputy Chairman for Management and Budget
- Address: 400 7th Street SW, Washington, DC, 20506
- Office telephone number: 202-682-5534

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

National Endowment for the Arts

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:

The National Endowment for the Arts has a new team addressing the management of permanent electronic records for the agency. The team is in the process of evaluating our existing practices to fine tune, where needed, and to develop a comprehensive approach moving forward.

3. 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 explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

The National Endowment for the Arts has a contract in place to work with NEA staff to organize program files, inventory records, and transfer any paper records to electronic records. NEA is evaluating current operations to include best approach to digitize permanent records created in various analog formats.

4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

- Yes
 No

Please explain your response:

The National Endowment for the Arts is a small agency, very little reorganization has historically taken place. Our record keeping requirements are assessed with organizational changes.

5. **Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful?** (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)

Yes

No

Please explain your response

I have recently joined the National Endowment for the Arts and am revisiting the records management program to assess current operations and modify these where it is appropriate.

6. **Have you, as the SAORM, ensured that 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

No

Please explain your response:

Briefings were provided to Senior Officials upon entry and exit. With new staff overseeing the program we are revisiting the process to ensure consistent operations. Recently a refresher briefing was provided to officials. As a matter of practice official records for officials leaving the agency were obtained, reviewed, organized and securely stored.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

Yes

No

Please explain your response:

Our information technology operations and policy align with our records management directives. We continue to evaluate record keeping requirements and will be updating these as needed.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

The National Endowment has had conference calls and email communications with NARA staff. We have appreciated the robust informational content on their website and the staff willingness to help us with our questions.