



Senior Agency Official for Records Management 2018 Annual Report

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.

The reporting period begins on March 11, 2019 with reports due back to NARA no later than April 19, 2019.

NARA plans to post your 2018 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, 2018.
- 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 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

- 1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

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

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

- 3. Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its [Criteria for Successfully Managing Permanent Electronic Records](#) (March 2018)?**

- Yes
 No

The National Endowment for the Arts has a plan in place that we are implementing that aligns with the following steps as defined in the Criteria for Successfully Managing Permanent Electronic Records: institute policy evaluate program and processes, prioritize and allocate resources, train records management staff, review records schedules, consult stakeholders, maintain systems, prepare for transfer, and execute transfer.

- 4. As included in the Administration's [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#) (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:

Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

- Yes
 No

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 the best approach to digitize permanent records created in various analog formats.

5. Is your agency utilizing [General Service Administration's Schedule 36](#) to procure solutions to assist in transitioning to an Electronic Environment?

- Yes
 No

NEA Leadership and Records Management Staff attended workshop on September 13, 2018, and learned about GSA's Schedule 36 solutions. The NEA will continue to explore utilizing GSA's Schedule 36 towards achieving Federal Electronics Records Modernization Initiatives (FERMI).

6. Have you, as the SAORM, established or improved your agency procedures that ensure 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
 Changes were unnecessary (click [here](#) for your agency's 2017 report)
 No, changes are being considered but have not been made
 No

Briefings are provided to Senior Officials upon entry and exit. Incoming and outgoing briefings are mandatory and documented. In addition to these briefings, NEA developed mandatory annual Records Management training for all staff to ensure compliance. As a matter of practice, official records for officials leaving the agency are obtained, reviewed, organized and securely stored.

- 7. Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See [NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management](#))**

Yes
 No

Improved Information Technology capabilities have been achieved through the implementation of Capstone for email management. Staff awareness has been increased by implementing mandatory annual Records Management training for all staff. A contract is in place for specialized services for organizing program files, inventorying records, and transferring paper records to electronic records.

- 8. Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See [NARA Bulletin 2017-01: Agency Records Management Training Requirements](#))**

Yes
 No

Web-based course "Records Management Fundamentals" was deployed to all staff (employees and contractors). This online course, developed in collaboration with NARA, was designed to help staff know their responsibilities for managing Federal records, including the laws, policies, and procedures that govern Federal Records Management.

- 9. Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?**

Yes
 No

These duties are included in Records Management staff member work plans. These work plans are being evaluated by leadership and existing practices are continuing to develop as required.

- 10. Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

Yes

No

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.