



Senior Agency Official for Records Management 2019 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.

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. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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, 2019.
- 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 rmsselfassessment@nara.gov. Include the words "SAORM 2019 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 (NEA)

- 2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

The National Endowment for the Arts is prioritizing the establishment of a plan that includes managing all permanent records in an electronic format to the fullest extent possible. The approval of and the implementation of the Capstone approach for email records management has solidified the first step of this plan.

- 3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

- Yes
 No

The National Endowment for the Arts is continually evaluating our existing practices and is in the process of developing a comprehensive plan moving forward that includes the management of all permanent records and their appropriate metadata.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes
 No

The National Endowment for the Arts team addressing electronic records for the agency are developing approaches toward managing all records electronically. The NEA has a contract in place that is being used to organize and transfer paper records to electronic records for their electronic management.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes
 No

The National Endowment for the Arts set targets and implemented numerous initiatives over the past several years to transition business processes to an electronic environment. These have included:

- Migration to a Grants Management System where all grant documentation is now collected and stored in an electronic format.
- Migration to a full-service Financial Management System through a shared service provider where all documents supporting transactions are housed electronically.
- Use of Office 365 (Outlook) email to manage and maintain all Capstone employee email electronically.
- Digitizing a small population of remaining permanent records for future transfer to NARA.
- Requiring mandatory annual records management training for all staff.
- Development of goals in staff performance plans related to automation of processes and furthering agency records management activities.

These actions have significantly improved the agency's posture to meet M-19-21 requirements, and we continue to assess agency activities to further improve our records management program.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

- Yes
 No

Not applicable.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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

Briefings are provided and documented for Senior Officials upon entry and exit at the National Endowment for the Arts. Additionally, all agency staff are required to complete a mandatory Records Management training annually to ensure continued records compliance. As a matter of agency practice, official records for officials leaving the agency are obtained, reviewed, organized and securely stored.

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

Yes

No

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

Yes

No

The National Endowment for the Arts continues to have conference calls, meetings and email communications with NARA staff regarding the transition to fully electronic record keeping for our agency. NARA's advice, assistance and the detailed content shared on their website have been very helpful in considering our records management approaches moving forward.