



## *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: Jeffrey Thomas
- Position title: Senior Advisor to the Chairman for Planning and Operations
- Address: 400 7<sup>th</sup> Street SW, Washington DC, 20506
- Office telephone number: 202-606-8231

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

National Endowment for the Humanities

**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

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.

**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

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.

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

This question is not applicable to NEH, as OMB gave NEH a waiver from the requirements of M-17-22.

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

In my position as Senior Advisor the Chairman for Planning and Operations, I meet regularly with the NEH Chairman and his senior staff to brief them on NEH's compliance with various federal directives, including those related to records management. This regular communication ensures that I, as SAORM, am able to secure the commitment of the agency's senior leaders to provide me with the resources I need to ensure that NEH has a robust and fully compliant records management system.

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

In my capacity as SAORM, I work with the director of NEH's Office of Human Resources (OHR) to ensure that incoming and outgoing senior officials receive briefings on their records management responsibilities. Such briefings are an integral component of OHR's entry and exit protocols for newly hired as well as departing senior officials.

**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

As the SAORM, I meet regularly with the agency's CIO, as well as the director of the agency's Office of Information Resources Management, 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.

**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)**

No suggestions.