



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: Michael Jerger

Position title: Chief Operating Officer

Address: 1800 M Street, NW 9th floor, Washington, DC 20036

Office telephone number: 202-653-4721

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

Please list them below:

Institute of Museum and Library Services

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

X Yes

No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
 - *use of any automated systems for capturing email,*
 - *providing access / retrievability of your email,*
 - *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
 - *possible implementation of the Capstone approach for applicable agency email.*
- IMLS completed a needs assessment for cloud services in 2015. Our move to the cloud is planned for the end of March 2016. The highest priority for this move to the cloud is email and the management of those records.
 - We are currently working on plans to request approval for use of the Capstone approach for email.
 - The implementation of the IMLS Records Management Policy has allowed the RM office to guide staff in the proper identification of records and put steps in place to ensure records are disposed of properly, inventoried, and/or transferred to NARA for storage. During 2015 IMLS has reduced its onsite storage of records and began efforts to scan paper records.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- In 2016 IMLS will move to cloud services that will include email.
- Development of email policy
- Designate an effective date paper records no longer being the official record.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

X Yes No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

Employees were provided guidance that federal records should remain within the IMLS infrastructure and those that have not should be copied or forwarded to the IMLS infrastructure immediately. Also, the Records Management Policy will be reviewed in FY16 to ensure it incorporates any changes since last review.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

The IMLS Records Management Policy stipulates the procedures/process for the agency head and executives to follow to ensure they are storing all of their records. Once IMLS moves to the cloud we hope to automate this process.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

X Yes No

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

The agency will conduct an office by office file plan review to ensure that the appropriate GRS is identified for records or a record schedule exists that covers those records.

5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

After the office to office file plan review, IMLS will submit records schedules for approval if records exist that do not fit within the GRS or currently approved records schedules.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

X Yes

No

6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

Our current goal is to implement as much RM within the service provider's cloud and obtain additional features (software, processes, and/or services) to augment RM in the cloud. Once the cloud RM has been defined following the assessment, IMLS will begin its assessment of the remaining RM needs to ensure IMLS will meet the December 31, 2019 goal.

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

See above explanation.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

Our move to the cloud will be concurrent with our physical move to a new location. In preparation for the move, offices are assessing their current and future storage needs. These needs will be developed with the involvement of the RM office to ensure offices are not storing and maintaining unneeded paper records. For the move as well, the agency will be making a determination as to the official cutoff date for creating paper records.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

X Yes

No

- 8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The IMLS regularly prepares a Director's Briefing book and new administration transition plan. The two packages/documents provides persons onboarding IMLS and exiting IMLS the direction and information needed to ensure a smooth transition and to be certain records are placed in locations that are accessible. The RM policy also provides direction on how records should be handled and who to contact when questions arise.

- 8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

Our current goal is to implement as much RM within the service provider's cloud and obtain additional features (software, processes, and/or services) to augment RM in the cloud. Once the cloud RM has been defined following the assessment, IMLS will begin its assessment of the remaining RM needs to ensure senior officials' records will be managed properly.