



## *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):

- Michael Jerger
- Chief Operating Officer
- 955 L'Enfant Plaza North, SW – 4<sup>th</sup> Floor; Washington, DC 20024
- 202-653-4721

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

*Institute of Museum and Library Services (IMLS)*

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

*IMLS is conducting an inventory of electronic records, including all permanent records, and their location. IMLS has notified NARA that it will employ the Capstone email policy and has begun to implement automated archiving for some Capstone members.*

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

*IMLS expects to complete a review of all paper records, including permanent paper records, on premise for identification. IMLS will be evaluating which of these permanent records are to be digitized, given the scope and potential budget constraints.*

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

*In 2017, IMLS reorganized certain IMLS offices. This included our Information Technology group, Records Management, and Grants Policy and Management functions. IMLS is taking the necessary*

*steps to ensure that recordkeeping requirements and other records management will be accounted for and implemented during these reorganizations.*

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

X No, please see explanation

*During 2017, and as explained above, IMLS reorganized certain offices. These included the agency's Information Technology and Records Management, functions. The agency enhanced position descriptions to add greater clarity to the Records Program-related positions. At the beginning of 2018, IMLS took additional steps to strengthen its Records Management program by creating a Task Force, which includes members of the agency's leadership as well as Records Liaisons throughout the Agency, to assess and update IMLS's policies and procedures and records schedules and file plans.*

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

X No

*Senior officials receive some information on their records management responsibilities and are required to acknowledge the transfer of records upon leaving the agency. However, IMLS is currently examining how to expand upon the information provided to, and the responsibilities of, senior officials with respect to their recordkeeping when onboarding and in connection with the agency's close-out procedures.*

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](#))?**

X Yes

No

*The requirements for managing information as a strategic resource will be carried out through our Agency's new 5-year Strategic Plan to ensure the agency is moving forward and improving our Records Management Program and making the appropriate commitment to managing our information. IMLS developed an internal OCIO IT Strategic Plan in August 2017 which reflect records management responsibilities. The agency will revise this Plan to reflect requirements in greater detail.*

**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)**

*More strategies, resources, tools and examples of policies and processes for a Small-Agency would be helpful for IMLS to ensure a successful transition to fully electronic recordkeeping.*