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 <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

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
  - **Michael Jerger**
- Position title
  - **Chief Operating Officer**
- Address
  - **955 L'Enfant Plaza North, Suite 4000, SW Washington DC 200024**

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.**

   Please provide list: 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)**

   ☐ X Yes
   ☐ No

   Please explain your response: Yes, IMLS is making progress with our strategy for implementing recordkeeping functionality and Capstone using Office 365. IMLS conducted inventories of all permanent electronic records and their location in 2018. Electronic email archiving is performed for all Capstone members on a fiscal year basis.

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
   ☐ X No

   Please explain your response: In 2018 we made progress in this area, however IMLS has not yet implemented a plan as we are still exploring avenues to meet these requirements, and garnering the necessary resources (staff, software, and expertise) for compliance. We are currently identifying any additional services beyond Office 365 needed to meet IMLS and NARA objectives.

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.

    ☐ X Yes
    ☐ No

Please explain your response (include specific goals and example metrics): The volume of permanent paper records at IMLS is very small (5 cubic feet). The IMLS strategy is to transfer all legacy permanent paper records to NARA prior to the 12/31/22 deadline. Beginning in FY2019, the agency no longer generates permanent paper records—all permanent records are electronic and managed electronically.

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

    ☐ Yes
    ☐ X No

Please explain your response: IMLS is not yet using GSA Schedule 36, however we appreciate the availability of this vehicle and we may use it as we continue automating business processes.

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.

☐ X Yes
☐ Changes were unnecessary (click here for your agency's 2017 report)
☐ No, changes are being considered but have not been made
☐ No

Please explain your response: At IMLS the Senior Officials are also the Capstone officials. In 2018 we held two briefings/training sessions for senior officialsto review their responsibilities. In 2018 there was no turnover in Senior Officials.

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)**

    ☐ X Yes
    ☐ No

Please explain your response: IMLS has ensured that the Records Management program has the resources it needs to be successful. In 2018 the Agency created a records management taskforce dedicated to the program and obtained additional expert consultant support.

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)**

    ☐ X Yes
    ☐ No

Please explain your response: Through NARA webinars and in-person trainings and the services of an external consultant in 2018, all staff members at IMLS are aware of their respective responsibilities and roles.

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?**

    ☐ X Yes
    ☐ No

Please explain your response: In 2018 steps were directed and taken to review our Records Management Program. The IMLS Records Taskforce, comprised of all major stakeholders within the Agency, reviewed and revised the Records and Information directives, policies, procedures, and retention schedules. This was our primary focus in 2018 and will be completed in 2019. Additionally, the taskforce conducted individual

reviews with all offices which included a physical inspection of their records holding areas and a review of related file plans and electronic folder structures.

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

      □ X Yes
      □ No

Please explain your response: Currently IMLS has procured part-time external assistance and is making progress with our RM Program maturity; however we will continue to reach out to NARA in 2019 for any additional assistance we feel is required to transition to a fully operational electronic records management system.