



## *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](mailto: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 Nancy. E. Weiss
- Position title General Counsel
- Address 955 L'Enfant Plaza SW, Suite 4000, WDC 20024

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:* IMLS is a micro-agency; entire agency covered.

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

- Yes
- No

*Please explain your response:*

IMLS is continuing to take the necessary steps to implement our Capstone strategy using Office 365 and our cloud provider, including instituting permanent email archiving for all Capstone members on a fiscal year basis.

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

*Please explain your response (include specific goals and example metrics):*

IMLS is continuing to make progress in this area. IMLS has implemented a records management plan and continues to take the necessary steps to ensure Office 365 and our cloud provider can meet NARA objectives and requirements.

The IMLS strategy addresses the various and different categories of records. Beginning in FY2019, the agency no longer generated permanent paper records—all permanent records are electronic and managed electronically. Moreover, the volume of previously existing 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 12/2022 deadline.

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

- Yes  
 No

*Please explain your response (include specific goals and example metrics):*

Beginning in FY2019, IMLS implemented the agency wide practice and corresponding file plans mandating that all agency records be created and managed electronically.

**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

*Please explain your response (include specific goals and example metrics):*

The IMLS strategy addresses the various and different categories of records. Beginning in FY2019, the agency no longer generated permanent paper records—all permanent records are electronic and managed electronically. Moreover, the volume of previously existing 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 12/2022 deadline.

**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

*Please explain your response (include specific goals and example metrics):* N/A

**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

*Please explain your response (include specific details of procedures):*

All departing IMLS Senior Officials undergo offboarding records management processing which is detailed and documented.

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

Yes

No

*Please explain your response (include details of specific challenges, if applicable):*

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

Yes

No

*Please provide details on what support is needed:*