



IMLS Open Government Plan June 2, 2014

Open Data: Since the release of the IMLS Open Government Plan in 2010, the agency has taken several concrete steps toward improving open data within the agency. IMLS has increased the number of publicly available datasets including previously unreleased administrative datasets relating to the agency's core mission. IMLS has also retroactively re-released existing data in more open, usable formats based on citizen feedback. In compliance with the recent open data memorandum, IMLS conducted an agency wide enterprise inventory of data holdings and constructed an agency data catalog to ensure datasets are easily available through our website and through data.gov

To view IMLS data sets see http://www.imls.gov/research/data_collection.aspx.

Open data accomplishments since the release of agency Open Government Plan:

- Increased the total number of publicly available datasets (from 34 datasets to 40 datasets)
- Rereleased existing datasets in more open, usable formats
- Released administrative datasets that relate to the agency's core mission specifically data about discretionary grants
- Created and regularly maintained a schema compliant agency data catalog and conducted an agency wide enterprise inventory of datasets
- Participated in campaigns such as the National Day of Civic Hacking to encourage and promote the use of publicly released data
- Updated grant policies to continue to ensure that data from federally funded research is made publicly available

Proposed next steps for future Open Government Plan:

- Ensure that the existing enterprise inventory and agency data catalog are up to date and actively maintained
- Release additional administrative data from the Grants to States program
- Explore other opportunities for promoting and facilitating the use of agency data such as contests, challenges, and hackathons

Proactive Disclosures: Promoting greater transparency and accountability of IMLS operations is one of the agency's primary objectives. See Strategic Plan 2012-2016, "Creating a Nation of Learners." http://www.imls.gov/about/strategic_plan.aspx.

In furtherance of the Strategic Plan, the Director has convened a Knowledge and Transparency Workgroup whose primary objective includes the development of "transparency policies that promote information sharing that can be readily implemented and convenient for interested parties." This group is making agency reports and grant-related data more easily available to the public.

In addition, IMLS FOIA representatives, the Chief Operating Officer, the Chief Information Officer/Records Officer, the Director of the Office of Planning, Research, and Evaluation, agency Open Government staff, and IMLS program managers routinely meet to ensure that the agency is identifying records for proactive disclosure.

The following are examples of the agency's recent proactive disclosures:

- The agency launched a new Open Data page summarizing the agency's commitment to open data and information sharing: <http://www.imls.gov/data>. This page includes a link to IMLS's data catalog, which describes, in both human and machine-readable forms, all of the agency's datasets that can be made publicly available. <http://www.imls.gov/data.json>.
- IMLS posted a new data file, the Museum Universe Data File, which is geo-referenced to improve usability, and contains a list of known museums in the United States. http://www.imls.gov/research/museum_universe_data_file.aspx. In addition, data sets from the IMLS statistical program are updated annually in the DATA.GOV portal: <http://catalog.data.gov/organization/imls-gov>. IMLS posted a new dataset of administrative records containing information regarding all discretionary grant recipients who were awarded funds by the agency from fiscal year 1996 through fiscal year 2013. http://www.imls.gov/research/administrative_discretionary_grant_data.aspx.
- The agency expanded the amount of information disclosed regarding a major grant program, releasing Sparks! Ignition Grants for Libraries and Museums White Papers – available for 2011 awards through online search tool: <http://www.imls.gov/recipients/grantsearch.aspx>.
- The agency also continued to explore opportunities to increase public disclosure of information regarding the IMLS Grants to States Program. Last year, IMLS drew information from a password-protected database of funded projects and made them available to the general public, and added a new section to its website on the Measuring Success initiative. See http://www.imls.gov/research/measuring_success.aspx. This year, IMLS has undertaken efforts to further increase public access to information regarding the Grants to States Program. The agency is currently developing new State-level profiles containing data on the use of Grants to States funds by each state. See http://www.imls.gov/programs/state_profiles.aspx.

Privacy: As a “micro agency,” IMLS complies with all applicable privacy reporting requirements, including the preparation of annual Federal Information Security Management Act (FISMA) Reports.

Whistleblower Protection: The Director of IMLS is required by 5 U.S.C. Section 2302(c) to ensure, in consultation with the U.S. Office of Special Counsel (OSC), that employees are informed of their rights and remedies under the prohibited personnel practices and whistleblower retaliation protection provisions of Title 5. IMLS currently participates in OSC's Whistleblower Protection Act certification program. The agency has been certified since May 2009.

Websites: We have created a link to our digital strategy page at <http://www.imls.gov/digitalstrategy> and <http://www.imls.gov/developer>. Using web metrics we examine traffic patterns on a monthly basis. We push out information about commonly sought-after information through our constituent networks. We analyze our key stakeholder audiences and regularly push information to them and encourage feedback.

Transparency Initiatives

Grants.gov	IMLS participates in Grants.gov with an annual Interagency Agreement with the Department of Health & Human Services. All IMLS discretionary programs are required to submit applications through Grants.gov
Data.gov	See proactive disclosure section below
CFDA.gov	IMLS maintains an accurate list of grant programs on CFDA.gov
SAM.gov	IMLS requires all potential and current grantees and contractors to maintain an accurate and updated SAM.gov registration through the lifecycle of their award
FSRS.gov	Where applicable, IMLS requires prime contract and grant awardees to report against sub-contracts and sub-grants. IMLS only monitors FSRS to ensure timely and accurate reporting.
UsaSpending.gov	The Institute reports Federal Assistance (Grants) and Contractual data on a monthly basis, via the Data Submission and Validation Tool (DSVT), to USAspending.gov. The Federal Assistance data consists of all mandatory and discretionary grants, as well as cooperative agreements. The Contractual data consists of all federally awarded contracts greater than \$3,000 and is retrieved from the Federal Procurement Data System (FPDS).

Records Management: IMLS is committed to maintaining appropriate records, including electronic records, of the agency's operations, in compliance with the President's November 2011 Memorandum on Managing Government Records and the 2012 Managing Government Records Directive. The Records Officer is coordinating the agency's efforts to: 1) develop records schedules and proposed dispositions to NARA for all unscheduled records; 2) revise records schedules for outdated record series; 3) ensure the agency's policies are current; 4) enhance the agency's records management system; 5) revamp the agency's storage space; and 6) provide ongoing training to staff on the importance of record maintenance to ensure their correct disposition. As IMLS does not maintain any classified records, the agency has no need for an information declassification program.

Freedom of Information Act Requests: IMLS recognizes that the Freedom of Information Act (FOIA) is a fundamental element of Open Government. By applying a presumption of openness and maintaining effective FOIA operations, IMLS seeks to expand the availability of information about the agency's programs and operations to the public. The agency has updated its FOIA regulations to reflect that the agency applies a presumption of disclosure and openness with regard to all decisions involving FOIA. See 45 C.F.R. Part 1184: <http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=757e8a53b7c989fac6994089a8786b7b&ty=HTML&h=L&r=PART&n=45y3.1.6.8.29> The agency does not have a backlog of pending FOIA requests. Information about agency's FOIA program is available on IMLS's FOIA page and within the Chief FOIA Officer's Report, both of which are available at http://www.ims.gov/about/freedom_of_information_act_foia.aspx. In addition, in accordance with the FOIA, Privacy Act, and the Institute's current regulations, the agency's FOIA Officers are continuing to review other records, submitted by agency program managers and staff, to determine the appropriateness of proactive release.

Congressional Inquiries The Office of Communications and Government Affairs is responsible for coordinating with program areas to ensure responses to congressional inquiries that accurately

represent the agency views. The Office also coordinates with the Office of General Counsel on relevant legislative matters.

The Office consults with the Office of Management and Budget during the development of the agency's proposed budget and legislative program. More information can be found at www.ims.gov/about/legislation.shtm.

Participation

Peer review: Participation and citizen engagement are at the core of IMLS operations. IMLS award decisions are informed by the merit-based reviews of over 600 subject matter experts each year. The IMLS staff recruits for reviewers through active participation in industry meetings and close monitoring of publications, journal articles, and increasingly blogs and other social media and its website. See <http://www.ims.gov/reviewers/default.aspx>

Participation Opportunities for Grant Applicants IMLS also seeks to engage the broadest possible range of eligible applicants. In addition to the web resources listed in the transparency section, IMLS engages participation of potential grantees through moderated conference calls and webinars. Information is provided on the website at <http://www.ims.gov/resources/webinars.aspx>

Using New Media to Engage Broader Participation

The IMLS Blog <http://blog.ims.gov/>, Twitter feed https://twitter.com/US_IMLS, and Facebook page <https://www.facebook.com/USIMLS> provide information about grant opportunities and share lessons learned from federal investments.

Collaboration

Partnerships IMLS collaborates with Federal and non-Federal partners in a number of initiatives and partnerships, including:

- **Building Digital Communities:** IMLS, together with the University of Washington and the International City/County Management Association, has consulted with hundreds of community members and experts to develop action steps and a Framework for Digital Communities. The Framework encourages engagement across all sectors of the community so that "all people, businesses, and institutions have access to digital content and technologies that enable them to create and support healthy, prosperous, and cohesive 21st century communities."
http://www.ims.gov/about/building_digital_communities.aspx.
- **Serving New Americans:** In partnership with U.S. Citizenship and Immigration Services, IMLS works to promote libraries' role as a source of accurate and valuable information about immigration and citizenship to new Americans. This collaborative effort seeks to make this information available and accessible to those who may face significant barriers in obtaining it.
http://www.ims.gov/about/serving_new_americans.aspx

- **E-Health** In order to assure that librarians have the information and connections with local experts needed to connect their patrons to information about the Health Insurance Marketplace, IMLS and the Centers for Medicaid and Medicare will work cooperatively to make sure that libraries are aware of and able to connect patrons with information resources and community partners. <http://www.ims.gov/about/ehealth.aspx>
- **Head Start, Child Care, and Public Libraries** This partnership between IMLS and the HHS Administration for Children and Families' Office of Head Start and Office of Child Care encourages collaboration between early childhood programs and public libraries to help meet the educational needs of young children and their families. http://www.ims.gov/about/head_start_child_care_and_public_libraries.aspx
- **Let's Move! Museums & Garden** This national initiative provides opportunities for museum and garden visitors to learn about healthy food choices and promote physical activity through interactive exhibits and programs. <http://www.ims.gov/about/letsmove.aspx>
- **Public Libraries and the Workforce** The U.S. Department of Labor Employment and Training Administration (ETA) and IMLS are working together to highlight effective practices and encourage additional collaboration between the workforce investment system and public libraries. <http://www.ims.gov/about/workforce.aspx>

The public can learn more about these and other IMLS collaborations with Federal and non-Federal partners at <http://www.ims.gov/initiatives.aspx>

Flagship Initiative

The primary business of IMLS is grant-making. Every grantee must provide reports documenting performance and financial accountability. Presently the reports are available by request only. We plan to create new functionality for our web site that will address all three principles of open government. We plan to make all reports accessible on our public website in searchable, sharable formats and engage the public in "communities of practice" to inform future grant making strategies. The project will include workflow for sustainability.

Transparency: Provide better public access to our assets (data/reports/webcasts/technical assistance, etc)

Participation: Host communities of practice to engage constituents in the agency's high priority focus areas.

Collaboration: Making it possible for others to use IMLS assets to inform their own communities/practices/policies.