National Archives
Office of the Chief Records Officer

Records Management Self-Assessment 2014

An Assessment of Records Management Programs in the Federal Government

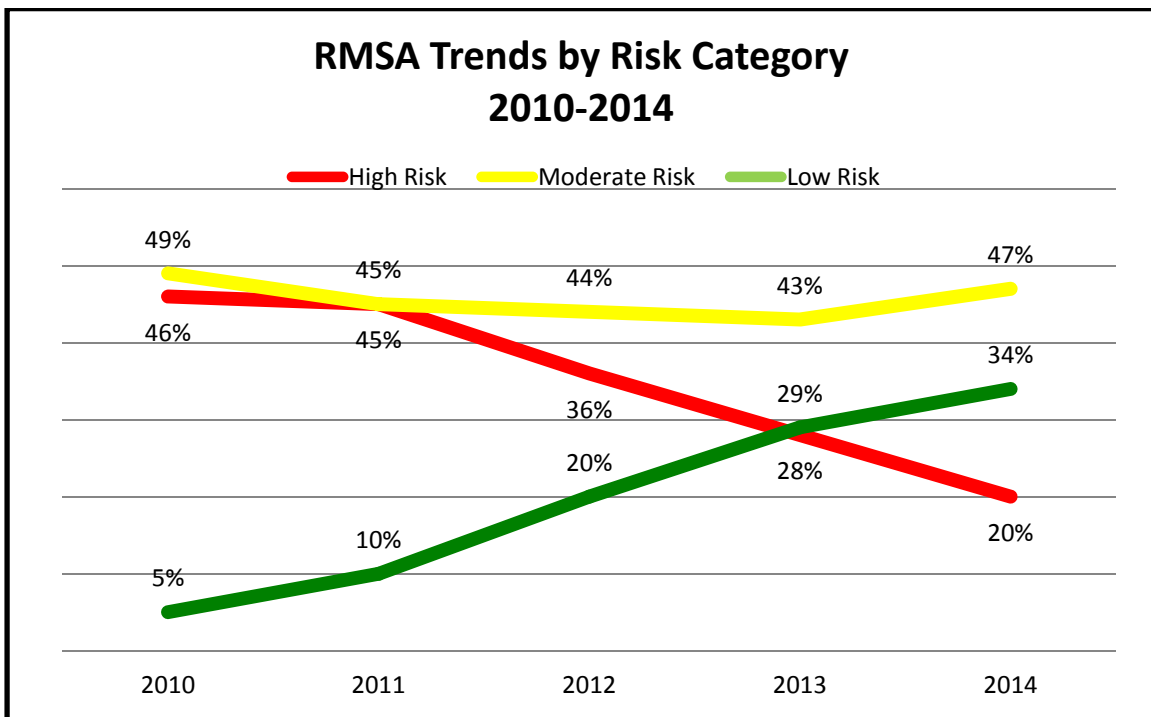National Archives and Records Administration
November 6, 2015

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EXECUTIVE SUMMARY

The National Archives and Records Administration (NARA) annual mandatory Records Management Self-Assessment (RMSA) was issued to Federal agencies on October 15, 2014, with a response deadline of December 15, 2014. The goal of the self-assessment is to determine whether agencies are compliant with statutory and regulatory records management requirements. The self-assessment is intended to provide agencies with information they can use to measure their compliance and to target their resources to areas that need improvement. NARA conducts the RMSA, as well as inspections and evaluations, in our capacity as the oversight entity for Federal records management.

Ninety-eight percent of agencies who were sent the RMSA completed this year's assessment. We received responses from all Cabinet-level department records officers, most departmental components, and most independent agencies. Over the years, we have seen improvement in scores and related risk categories with the exception of those areas dealing with electronic records management.

This year, 34% of agencies scored in the low risk category, 47% in the moderate risk, and 20% in the high risk. Last year (2013), the risk category breakdown was 29% low risk, 43% moderate risk, and 28% high risk. In other words, the current assessment shows a 5% increase in agencies in the low risk category and 8% decrease in agencies in the high risk category. Overall, 81% of all respondents this year fell within the low risk or moderate risk categories. Looking back as far as 2010, when only 5% of agencies scored in the low risk category and 46% in the high risk category, the improvement is notable.

RMSA Trends by Risk Category 2010-2014

— High Risk — Moderate Risk — Low Risk

	2010	2011	2012	2013	2014
Moderate Risk	49%	45%	44%	43%	47%
High Risk	46%	45%	36%	28%	20%
Low Risk	5%	10%	20%	29%	34%

The RMSA and NARA's Oversight of Federal Records Management Programs

The RMSA is an integral part of NARA's oversight program. This program performs inspections and reviews of individual agencies' records management programs and more general Federal records management studies. The RMSA measures general compliance with records management regulations based on a set of scored questions. There are additional non-scored questions that help us identify emerging trends and risks to records management programs. These questions also provide agencies with an opportunity to present additional information about their programs.

We recognize this self-reported data is not conclusive in determining whether agency staff and contractors are properly managing records in every case and every circumstance. High RMSA scores do not indicate that an agency is free of records management challenges or that they will never experience lapses or failures when managing their records.

We are expanding our oversight program and activities over the next few years in recognition of the continued importance of monitoring and assisting agencies. This expanded program will explore ways to analyze emerging capabilities of electronic systems to capture and maintain records. We will enhance the inspection program with greater emphasis on electronic records management. In addition, we will make changes to how we construct and score questions, validate responses, and report results.

Federal Records Management Initiatives

The RMSA is one method NARA uses to track trends, initiatives, and regulatory changes that impact records management activities in the Federal Government. The enactment of Public Law 113-187, the Presidential and Federal Records Act Amendments of 2014 ("the Amendments") is one of the most significant changes in records management legislation in a generation.[1] This new law modernizes records management by focusing more directly on electronic records and complements efforts by NARA and the Office of Management and Budget (OMB) to implement the *Managing Government Records Directive* (M-12-18).[2]

Primarily, the Amendments strengthen the Federal Records Act (44 U.S.C., Chapters 29, 31, and 33) by expanding the definition of Federal records to include electronic records more clearly. They also confirmed Federal electronic records will be transferred to the National Archives in electronic form. The amendments also clarified the responsibilities of Federal officials when using non-government owned email systems and granted the Archivist of the United States final determination as to what constitutes a Federal record.[3]

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[1] Public Law 113-187,http://www.gpo.gov/fdsys/pkg/PLAW-113publ187/pdf/PLAW-113publ187.pdf.
[2] OMB/NARA Managing Government Records Directive (M-12-18), https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf.
[3] National Archives Welcomes Presidential and Federal Records Act Amendments of 2014, http://www.archives.gov/press/press-releases/2015/nr15-23.html.

Although it is too soon for these changes to be reflected in this year's RMSA report, we will monitor developments in subsequent reports. In addition to information gathered from the RMSA, NARA receives detailed information on email and permanent electronic records through the Senior Agency Official for Records Management (SAO) Annual Reports. The results of these reports are published by NARA in a separate report. The first of these, analyzing the 2013 SAO reports, was published in December 2014.[4]

Meanwhile, efforts initiated by M-12-18 to modernize records management and transition to digital recordkeeping continue. By December 2014, the Directive required all Agency Records Officers to obtain NARA's Certificate of Federal Records Management Training and all agencies to establish records management training. Agencies are also working to manage all email in electronic format by December 31, 2016, and all permanent electronic records by December 31, 2019. The progress agencies are making toward meeting these goals is reflected in Section 5 of this report.

To date, M-12-18 has generated the following products and activities:[5]

- Capstone approach to managing email[6]
- A formal records management job series by the Office of Personnel Management (OPM)[7]
- Senior Agency Official for Records Management (SAO) involvement and oversight of agency records management programs
- Guidance for transferring permanent records in electronic format to NARA[8]
- Automated Electronic Records Management Plan[9]
- Federal records management maturity model[10]
- Revised General Records Schedules (to be completed December 31, 2017)
- Improvements to NARA's records scheduling and appraisal processes
- Policy and guidance products for managing social media

Key Points

Many of the trends and recommendations identified this year are consistent with those identified in previous years. Eighty percent of agencies fell within the moderate or high risk categories in

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[4] Release of 2013 SAO Annual Report, Records Express Blog, December 16, 2014. http://records-express.blogs.archives.gov/2014/12/16/release-of-2013-sao-annual-report/.

[5] See *Records Express Blog*, http://blogs.archives.gov/records-express/, for more detailed information on M-12-18 initiatives.

[6] Bulletin 2013-02: Guidance on a New Approach to Managing Email Records. http://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html.

[7] https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/standards/0300/gs0308.pdf

[8] Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records. http://www.archives.gov/records-mgmt/policy/transfer-guidance.html.

[9] Automated Electronic Records Management Report/Plan in response to Goal A3.1 of M-12-18. http://www.archives.gov/records-mgmt/prmd/automated-erm.html.

[10] Federal RIM Program Maturity Model, http://www.archives.gov/records-mgmt/prmd.html.

the electronic records section, unchanged from previous years, making it the RMSA section with the highest percentage of respondents in elevated risk categories. A few key points from the 2014 reporting period are:

- A majority of agencies are planning to implement the Capstone approach for managing email.
- Agencies have policies and procedures in place for email, but monitoring for compliance is lacking.
- Agency records management staff need more professional development in the field of electronic records management.
- Records management considerations are not being consistently incorporated as agencies are transitioning to cloud-based environments.
- A majority of agencies report having methods to identify new and unscheduled records.
- Half of all agency records officers perform their records management duties on a part-time basis.

Recommendations

The involvement of senior-level agency officials is essential to make improvements to records management programs and to meet the requirements of M-12-18. The following recommendations are directed at the Senior Agency Officials for Records Management (SAO):

- Ensure all parts of the agency understand the role of effective records and information management in meeting mission needs.
- Ensure compliance with records management regulations and policies throughout the organization.
- Ensure the agency dedicates the resources necessary to meet M-12-18 goals and ensure that the Agency Records Officer and associated staff members have the support needed to carry out their responsibilities.

Based on our analysis of the RMSA data, we make the following recommendations for agency records management programs:

- Agencies should continue to pursue technological solutions to electronic recordkeeping.
- Agencies are encouraged to engage with NARA and other Federal oversight entities to meet the goals of M-12-18.
- Agencies planning to adopt the Capstone approach for email management should work with NARA to ensure successful implementation.
- Agencies should support the professional development of appropriate staff in electronic records management practices and procedures.
- Agencies must develop and implement recordkeeping requirements for all records being managed in cloud-based environments.

- Agencies must develop methods for ensuring compliance with their policies and procedure for email.

Conclusion

NARA recognizes the ongoing challenges involved in modernizing and improving records management throughout the Federal Government. Agencies of all sizes and missions are working to manage fast moving technological changes, ever increasing volumes of information, and high public expectations related to access of government information. It is imperative that NARA and the Federal records management community continue to work together. In order to do so, it is essential to identify areas of concern and discover solutions. Individual and collective results of the RMSA, although just one compliance-centered metric, continue to raise the profile of records management and contribute to improved preservation and access to government information.

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FY 2014 RECORDS MANAGEMENT SELF-ASSESSMENT

INTRODUCTION

Background

The Records Management Self-Assessment (RMSA), conducted annually since 2009, is an annual requirement for Federal agencies subject to the Federal Records Act (44 United States Code (U.S.C.) Chapter 31).[11] The National Archives and Records Administration (NARA) designed the RMSA as an analytical tool for agencies to assess their programs against Federal records management statues, regulations, and other requirements. NARA also uses data from the assessment to measure agency compliance with Federal records management statutes and regulations as well as to compare Federal records management programs to one another. Over the years, NARA has used RMSA data to identify common risks and challenges to records management (RM) programs and to target our policy, guidance, assistance, oversight, and other efforts accordingly.

Authority

44 U.S.C. 2904 and 2906 authorize NARA to inspect the records management practices and programs of Federal agencies. NARA evaluates agencies for compliance with the requirements stated in 44 U.S.C. Chapters 31 and 33 and the regulations issued in the Code of Federal Regulations (CFR), specifically Subchapter B – Records Management of 36 CFR Chapter XII, and reports its findings to the appropriate oversight and appropriations committees of Congress and to the Director of the Office of Management and Budget (OMB).

Methodology

This year's methodology is consistent with previous RMSAs. Agencies responded to a questionnaire containing scored and non-scored questions on RM practices. The scored, "core," questions remain largely the same every year in order to track essential elements of a compliant records management program throughout the Federal Government.

We received 259 responses this year, representing a 98% response rate. The annual list of respondents to the RMSA is generally stable; however, due to re-organizations, consolidations, and the creation of new agencies, there are some changes from year to year. Responses to the questionnaire are gathered electronically using a web-based survey tool, which creates a unique link for 264 agencies. The questionnaire (see Appendix II) is also distributed in Word and PDF formats in order to allow respondents to gather information prior to responding via the survey tool.

Validation process

NARA validates selected answers to the RMSA to determine the accuracy of agency responses and to understand how agencies are interpreting the questions. As in previous years, we validated

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[11] Some agencies not subject to the Federal Records Act participate voluntarily.

a random sample of agencies' responses to selected questions. We did this through a combination of methods, including telephone interviews and a review of documents received from the selected agencies. Validation topics included RM directives, training, RM evaluations/audits, record schedules, records freezes, tracking the transfer of permanent records, email, appointment of SAOs, and obtaining the NARA Certificate of Federal RM Training. The validation pool included large and small agencies, departments and components, and independent agencies.

Scoring

The RMSA has four main sections: Records Management Program - Activities; Records Management Program - Oversight and Compliance; Records Management Program - Records Disposition; and Records Management Program - Electronic Records.

There are 100 possible points distributed across the sections as follows:

Maximum Point Values (per section)

      1. Activities (20 points)

      2. Oversight and Compliance (31 points)

      3. Records Disposition (17 points)

      4. Electronic Records (32 points)

An agency's overall score determines its risk category. Agencies should use the results of the RMSA to analyze their records management programs and target areas for improvement.

The risk categories are:

      Low Risk: Scores 90 - 100

      Moderate Risk: Scores 60 - 89

      High Risk: Scores 0 - 59

GENERAL RESULTS

This year 34% of agencies scored in the low risk category, 47% in the moderate risk, and 20% in the high risk. Last year (2013), the risk category breakdown was 29% low risk, 43% moderate risk, and 28% high risk. In other words, the current assessment shows a 5% increase in agencies in the low risk category and 8% decrease in agencies in the high risk category. Overall, 81% of all respondents this year fell within the low risk or moderate risk categories. Looking back as far as 2010, when only 5% of agencies scored in the low risk category and 46% in the high risk category, the improvement is notable.
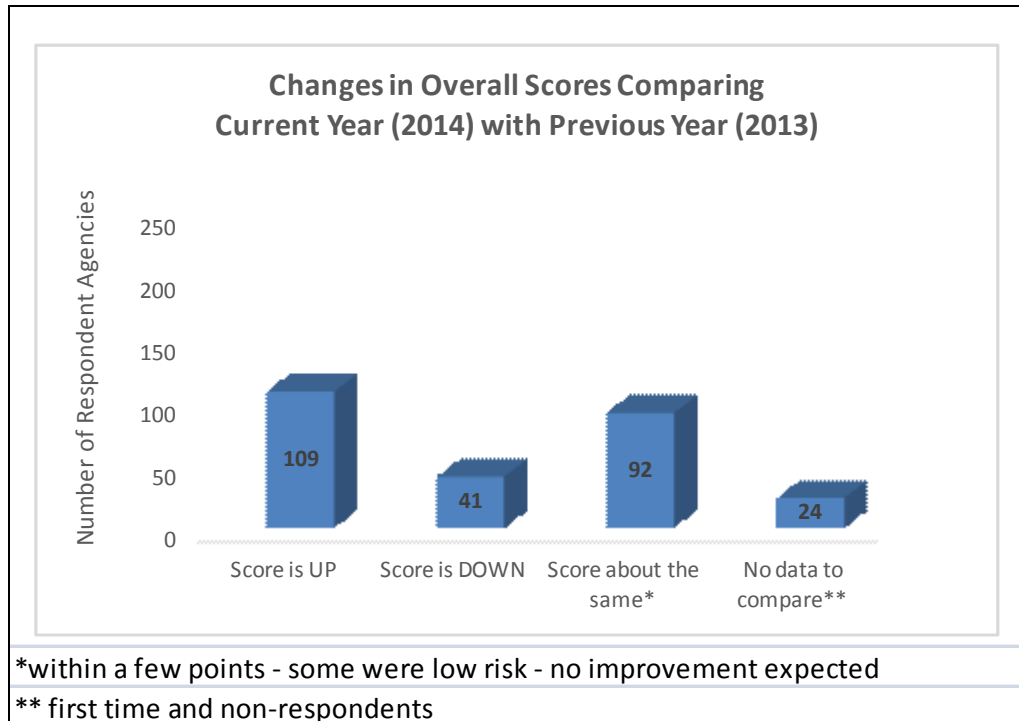
The steady improvement in agencies' scores may be attributed to a number of factors. Through the RMSA, agencies have become increasingly familiar with how to comply with Federal records management regulations, and have made improvements to their programs accordingly. Also, NARA's ongoing initiatives related to the OMB/NARA Managing Government Records Directive (M-12-18) and the modernization of Federal records management guidance continue to elevate the importance of records management issues within agencies.[12]

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[12] OMB/NARA Managing Government Records Directive (M-12-18), https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf.

M-12-18 provides a framework of requirements and initiatives to modernize records management policies and practices. The RMSA fits into this framework as one of the methods NARA uses to track trends, measure records management program compliance, and assess risks to government information. There is a variety of initiatives, some specifically generated by M-12-18, that NARA has developed to improve records management including:

- Creating the Capstone approach to managing email[13]
- Releasing a formal records management job series by the Office of Personnel Management (OPM)[14]
- Facilitating Senior Agency Official for Records Management (SAO) involvement and oversight of agency records management programs
- Providing updated guidance for transferring permanent records in electronic format to NARA[15]
- Developing an Automated Electronic Records Management Plan[16]
- Developing a Federal records management maturity model[17]
- Revising the General Records Schedules (to be completed December 31, 2017)
- Improving NARA's records scheduling and appraisal processes
- Developing policy and guidance products for managing social media
- Increasing oversight activities including records management program inspections and reviews
- Offering informative briefings at Bimonthly Records and Information Discussion Group (BRIDG) meetings with opportunities for agencies to meet with appraisal staff
- Utilizing webinars at a time when in-person training is harder for agencies to afford in lean budget times
- Working closely with the Federal Records Council, Council of Chief Information Officers, and the Federal Records Officer Network (FRON)

Despite overall positive trends, electronic records management continues to be an area of concern. Eighty percent of agencies this year fell within the elevated risk categories for the management of electronic records, a percentage that has only improved modestly since the RMSA began in 2009. This reflects ongoing agency challenges with managing vast amounts of email, integrating records management functionality into electronic systems and other factors related to the changing technological and regulatory environments.

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[13] Bulletin 2013-02: Guidance on a New Approach to Managing Email Records. http://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html.

[14] https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/standards/0300/gs0308.pdf

[15] Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records. http://www.archives.gov/records-mgmt/policy/transfer-guidance.html.

[16] Automated Electronic Records Management Report/Plan in response to Goal A3.1 of M-12-18. http://www.archives.gov/records-mgmt/prmd/automated-erm.html.

[17] Federal RIM Program Maturity Model, http://www.archives.gov/records-mgmt/prmd.html.

SECTION ONE: RECORDS MANAGEMENT PROGRAM - ACTIVITIES

This section focuses on major records management program areas including organizational structure, policy directives, and training. Seven out of fifteen questions are scored with a total of 20 possible points. Overall, agencies tend to score well in this section with 54% of agencies having a total score of 19 or better and 43% with a total score of 20.

Trends

In this section, 54% of agencies scored in the low risk category, 38% in the moderate risk, and 8% in the high risk category. These results are largely unchanged from last year. In general, agencies continue to report that they have record officers in place, that they are ensuring their records management directives are updated regularly, and that they have in place networks of staff assigned records management responsibilities.
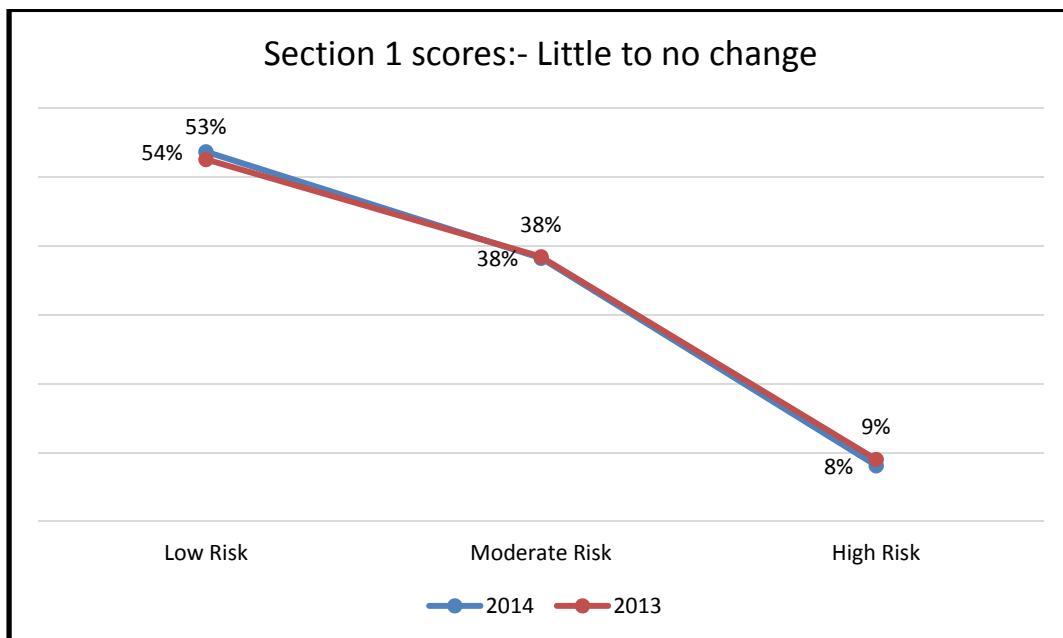
Records Officers

The Records Officer is a key position for any records management program. NARA added specific questions to the RMSA this year to gather data about the nature and function of the records officer across the Federal Government.

NARA is interested in whether or not the positions were exclusively dedicated to records management functions. We found that half of all records officers (129) reported that they coordinate and oversee the implementation of the records management program on a part-time basis. Of these, 73% reported that they spend less than half of their time overseeing their agency's records program. In many cases, it is possible that records officers might not be afforded the time needed to perform adequately their increasingly complex jobs, particularly in cases where large agencies are utilizing part-time records officers.

To modernize and standardize records management across the Government, the Office of Personnel Management (OPM) established a formal records management occupational series in March 2015, 0308 - the Records and Information Management Series.[18] In anticipation of the new job series we asked which OPM job series agencies' records officers currently fall under. The most frequently cited job series were:

- 0343 - Management and Program Analysis, Management, Administrative and Clerical Services (43%)
- 0301 - Miscellaneous Administration and Program (11%)
- 2210 - Information Technology Management (10%)
- 0306 - Government Information Specialist, Management, Administrative and Clerical Services (4%).

Records Management Training

This year, there was an increase in the number of agencies who reported having records management training activities. Two hundred and twelve agencies reported they provide training to those staff assigned records management responsibilities, an increase of 16% from last year. Nearly the same number of agencies (207) reported they offer records management training to all staff, a 6% increase over last year.

We also asked which methods agencies used to help improve, monitor, and assess records management in regional and/or field offices. Overwhelmingly (83%), agencies reported that they use training. Other popular methods used are teleconferences, regional records management liaisons, and evaluations. Less cited methods include inspections and webinars. It should be noted that some agencies do not have regional and/or field offices and so could not answer this question.

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[18] OPM. *Final Position Classification Flysheet and Qualification Standard for Records and Information Management Series, 0308.* https://www.chcoc.gov/content/final-position-classification-flysheet-and-qualification-standard-records-and-information.

Key Points

- Fully half of all records officers indicated that they perform RM duties on only a part-time basis.
- A high percentage of agencies reported the use of training as a method to improve their programs.

SECTION TWO: RECORDS MANAGEMENT PROGRAM - OVERSIGHT AND COMPLIANCE

This section examines how agencies monitor and assess the activities of their records management programs. Agencies are required to establish effective controls over the creation, maintenance, and disposition of records in all formats (44 U.S.C. Chapter 31 and 36 CFR 1220.30(c) (1)). In addition, OMB Circular A-123 requires agencies to develop and implement appropriate, cost-effective management controls for their programs and operations.[19]

The questions in this section focus on whether agencies have established internal controls, set performance goals, and created measures to track performance goals. These questions also gather information on how agencies conduct internal assessments, evaluations, and audits to ensure that records management programs are in compliance with internal policies and Federal records management statutes and regulations. Thirteen of the twenty-three questions in this section are scored for a total of 31 possible points.

Trends

The number of agencies scoring in the low risk category in this section increased 8% and the number of agencies scoring in the moderate risk category remained about the same as last year. In contrast, the number of agencies scoring in the high-risk category decreased by 8%. In keeping with previous years, an increasing number of agencies reported that they have established internal controls and performance goals. Likewise, agencies continue to report that they regularly conduct evaluations and audits to monitor the implementation of records management policies and procedures.

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[19] https://www.whitehouse.gov/omb/circulars_a123_rev.

Section 2 scores: - Modest improvement

49%

41%

42%

17%

9%

Low Risk   Moderate Risk   High Risk

━●━ 2014   ━●━ 2013
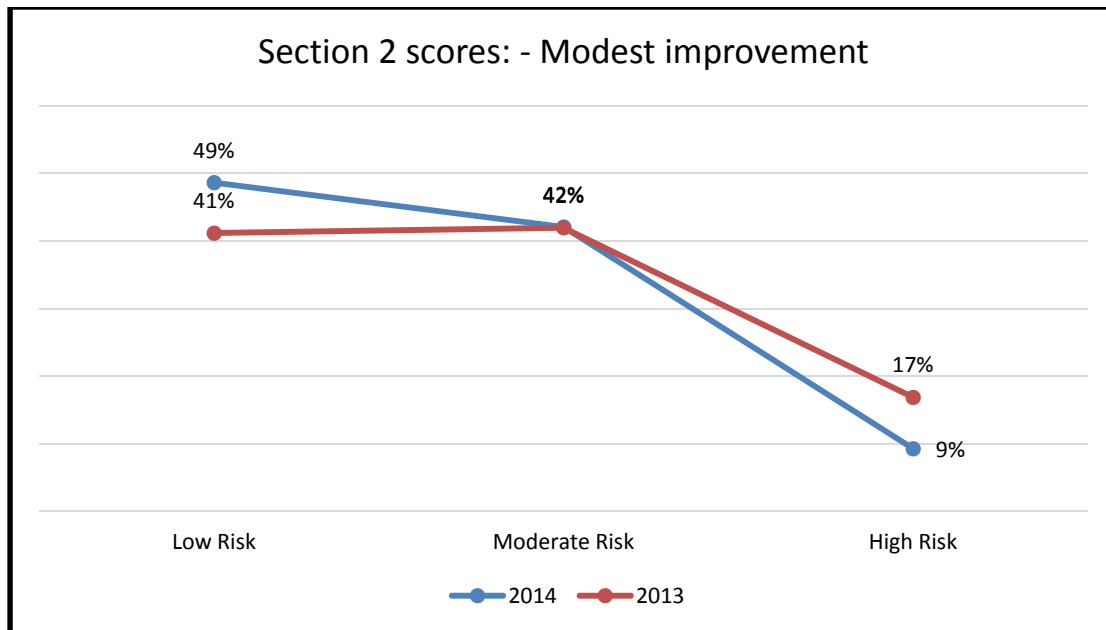
Internal controls[20]

The RMSA has included questions addressing internal controls, with particular focus on the transfer of permanent records over the last four years. Since first asking the question, 28% more agencies reported that they have implemented internal controls to ensure that all eligible permanent records in all media are transferred to NARA in accordance with 36 CFR 1222.26(e). These agencies have internal controls such as: approval processes for transfer notices from Federal Records Centers; regular briefings and other meetings with records creators; and regular review of records inventories.

The questionnaire also asked if agencies have developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period. This year 83% of agencies responded that they had these internal controls in place. Agencies indicated that these controls included the application of an approval process for disposal notices from off-site storage; regular reviews of records inventories; pre-authorization from records management program before records are destroyed; and a requirement to file certificates of destruction.

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[20]Internal controls are a series of ongoing actions and activities that are integral to monitoring the implementation of records management policies and procedures. These processes are designed to provide reasonable assurance regarding the achievement of objectives in the following areas: effectiveness and efficiency of operations; reliability of reporting; and compliance with applicable laws and regulations. If properly administered, internal controls for records management can help an organization's management achieve performance objectives and operate a more compliant program. *2013 Internal Control - Integrated Framework*, Committee of Sponsoring Organizations (COSO) Executive Summary, May 14, 2013, http://www.coso.org/documents/Internal%20Control-Integrated%20Framework.pdf; and OMB Circular A-123, *Management's Responsibility for Internal Control*, December 21, 2004.)

Evaluations, inspections, and audits

In order to ensure compliance, agencies should conduct routine evaluations, inspections, or audits to assess how records management policies and procedures are being implemented. This year, 81% of agencies reported conducting audits, which represents a 10% increase over 2012. Also, 78% of the agencies who indicated that they carry out these activities stated that they have done so within the last two years, which is up from 67% since 2012.

Despite the increasing frequency of these activities, agencies continue to struggle with creating suitable output mechanisms to document the outcome of evaluative activities. Only 60% of agencies that conduct routine evaluations, inspections, or audits create written reports. Information gathered during validation interviews with agencies reinforced the finding that many agencies lack effective methods for communicating the results of evaluations, inspections, and audits to senior management and other stakeholders.

Performance goals and measures[21]

The current self-assessment shows the number of agencies indicating they have established performance goals has increased from 53% last year to 69%. As part of this activity, 71% of agencies answered that they had developed three or more performance measures. Agencies are tracking the percentage of records scheduled, the percentage of staff trained in records management, the percentage of offices evaluated and/or inspected for records management compliance, the percentage of annual updates of file plans, as well as other performance measures.

Key Points

- The number of agencies developing internal controls, performance goals, and performance measures has increased steadily.
- The frequency with which agencies report conducting routine RM evaluations, inspections, and audits is steadily increasing.
- Reporting of results of RM evaluations, inspections, and audits is inconsistent or absent.
- Agencies continue to ask for more guidance on how to create and administer records management internal controls, performance goals, and performance measures.

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[21] The RMSA defined performance goals as the end-state outcomes that a records management program strives to achieve in a given period of time (fiscal year, etc.). Performance measures serve as the indicators or metrics against which a program's performance can be evaluated. Performance measures should help an agency assess its progress towards achieving its performance goals. We asked agencies if they have established performance goals and have three or more performance measures for their records management programs.

SECTION THREE: RECORDS MANAGEMENT PROGRAM – RECORDS DISPOSITION

This section focuses on lifecycle management of records including records scheduling, the transfer of permanent records, records freezes, and exit briefings for senior officials. Agencies with an effective records disposition program manage their records by maintaining current records schedules, ensuring proper storage, and providing for prompt final disposition. 36 CFR 1224 sets policies and establishes standards, procedures, and techniques for the disposition of all Federal records in accordance with 44 U.S.C. Chapters 21, 29, 31 and 33.

This year, 6 of the 18 questions were scored in this section for a total of 17 possible points. There are two more possible points than last year for this section because we reintroduced records scheduling questions.[22]

Trends

This year the number of agencies scoring in the low risk category in this section increased 13%, the high-risk category decreased by 12%, and the moderate risk remained little changed. The positive trend can be attributed both to the reintroduction of records scheduling questions and to more agencies this year providing exit briefings for senior officials on the appropriate disposition of records under their immediate control.

Section 3 scores: Showing improvement

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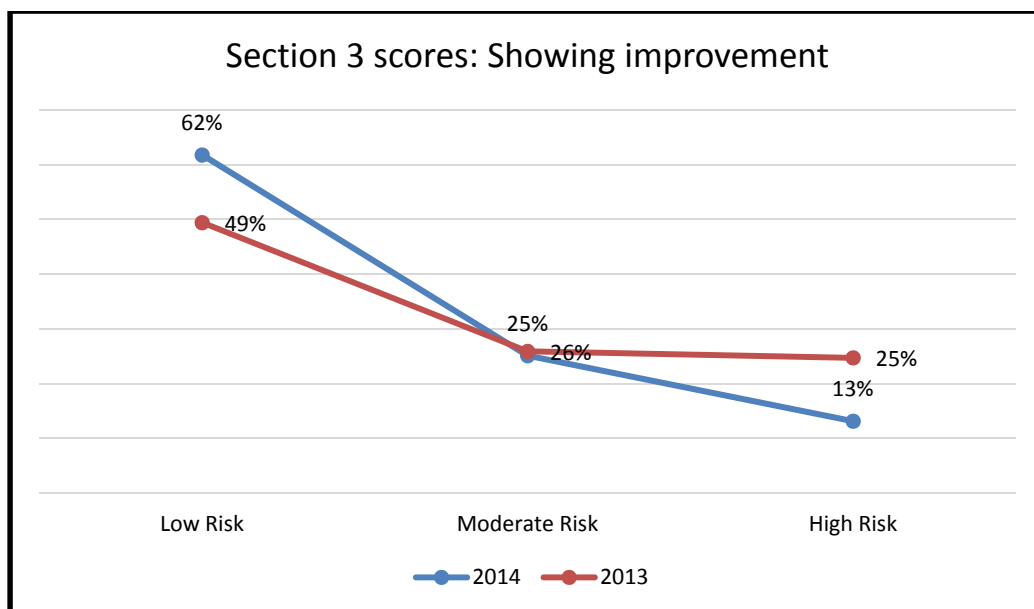
[22] We continued to provide opportunities for agencies with special circumstances surrounding the transfer of permanent records to NARA to earn points where in RMSAs previous to 2013 they may have been penalized. These special circumstances include permanent records that cannot be transferred due to legal holds and agencies that are not old enough to have permanent records eligible for transfer.

Records schedules

When agencies were asked about scheduling records, 56% responded that they submitted a schedule to NARA in FY 2013-2014 and 11% responded that they did so in FY 2011-2012. This indicates that a significant majority of agencies are actively identifying and scheduling records or updating current schedules. Thirty-three percent reported they last submitted a schedule in 2010 or earlier, or they did not know when a schedule was last submitted. This may indicate a need for agencies to review their current NARA-approved schedules and to identify any new records and systems. It is encouraging to note that over 86% of agencies are actively disseminating all approved disposition authorities to agency staff within six months of approval.

Forty-five percent of agencies reported having records schedules pending approval by NARA. NARA is aware that the appraisal process can be lengthy. To speed up the approval process and reduce the scheduling backlog, NARA has taken a number of steps including improving the internal review process and streamlining the approval process for record schedules that cover clearly temporary records. NARA continues to revisit this issue and strive for a more efficient and effective process.

During our validation of these questions, we determined that responses were fairly accurate. Approximately 80% of agencies who indicated when their agency last submitted a records schedule answered accurately. Approximately 90% of agencies who responded that they had records schedules pending with NARA actually had schedules pending.

Permanent non-electronic records

In results similar to last year, only 50% of agencies reported having transferred permanent non-electronic records to NARA during the last fiscal year. Agencies gave a variety of reasons for why they did not transfer records to NARA. Nearly 20% indicated they had no records eligible for transfer. To a much lesser degree, agencies also cited the following issues: records being under a legal hold or freeze; no records old enough to transfer; no permanent non-electronic records; NARA deferred or refused transfer of the records; records are still needed for business purposes; digitization; and records transfer period being re-evaluated.

Permanent electronic records

As in previous years, the number of agencies that indicated they transferred electronic records lags behind the number of agencies that report transferring non-electronic records. Seventy-six percent of agencies reported having permanent electronic records and systems, yet only 25% of agencies reported having transferred them. By far the most frequently cited reason for not transferring electronic records was that no electronic records/systems were eligible for transfer. Other reasons cited were records and systems were under a legal hold or freeze, and they were not old enough to transfer.

In January 2014, NARA released NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records. This guidance specifies the acceptable file formats for transferring permanent electronic records to NARA. When agencies were asked this year if they had already created or were going to create policies and procedures to implement these guidelines, over 86% of agencies responded in the affirmative.

Tracking the transfer of permanent records to NARA

Most agencies are tracking when their permanent records, both electronic and non-electronic, are due to be transferred to NARA. Over 76% of agencies (up 6% from last year) reported using some method to track this information. Of concern are the 18% of agencies that are not tracking this information, which means there is a possibility that some permanent records are not being transferred when they are eligible, and there is potential risk that permanent records could inadvertently be destroyed.

In RMSA responses and during the validation process, agencies described a number of these methods including using Excel spreadsheets, Access databases, and electronic records management applications; monitoring records schedules, file plans, and records inventories; and relying on notices from the Electronic Records Archives (ERA) and Federal Records Centers (FRC).

Records freezes

Sixty-seven percent of agencies reported having records where the disposition is frozen. Most freezes (77%) were due to court orders.[23] We anticipate this percentage will decrease next year with the lifting of the Tobacco Industry Litigation (TIL) freeze on December 4, 2014, which had been in place for 15 years.[24]

Nearly 70% of agencies reported having policies and procedures for applying, reviewing, and lifting freezes on the disposition of records; this is just a few percentage points more than those reporting that they currently had records frozen. During validation, some agencies stated they had never had records frozen, and therefore, had no procedures for implementing them. Other agencies indicated having a process in place but not formal, written policies and procedures.

Seventy-seven percent of agencies reported reviewing within the past year existing freezes in collaboration with their respective General Counsel's Offices. This was reiterated during the validation process when agencies discussed working closely with their General Counsel's Offices to identify and track records freezes.

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[23] In addition to court ordered records freezes, agencies also cited audits; administrative needs; litigation holds; as well as FOIA requests among others as the reason why records disposition was frozen.

[24] http://blogs.archives.gov/records-express/2014/12/04/tobacco-litigation-freeze-lifted/.

Exit briefings for senior officials

Seventy-seven percent of agencies reported providing exit briefings for senior officials on the appropriate disposition of the records, including email, under their immediate control. The same percentage also required senior officials to obtain approval from records management program staff or other designated official(s) before removing personal papers and copies of records. Seventy percent of agencies reported documenting the exit briefings for purposes of accountability.

Of those agencies who reported providing exit briefings, 75% indicated that the Agency Records Officer (ARO) was involved, 22% indicated the Senior Agency Official (SAO) for Records Management, and 17% indicated the Chief Information Officer. Additional staff and offices listed in varying degrees included Administrative Staff; Human Resources; Information Technology Staff; FOIA Officers; Offices of General Counsel; and other records management staff such as Records Liaisons and Records Custodians.

Although agencies are undertaking exit briefings, almost a quarter of all agencies do not provide exit briefings for senior officials or require them to obtain approval before removing personal papers and copies of records. This area adds unnecessary risk to agency records management programs and agencies should consult NARA's bulletin on unauthorized removal of Federal records for guidance on this issue.[25]

Key Points

- Agencies need to ensure all records are scheduled and that records schedules continue to meet the business needs of the agency.
- Agencies continue to track when their permanent records are due to be transferred to NARA.
- Agencies have policies and procedures for applying, reviewing, and lifting freezes.
- Agencies need to provide exit briefings for senior officials and require them to obtain approval before removing personal papers and copies of records.

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[25] Bulletin 2013-03: Guidance for agency employees on the management of Federal records, including email accounts, and the protection of Federal records from unauthorized removal. http://www.archives.gov/records-mgmt/bulletins/2013/2013-03.html.

SECTION FOUR: RECORDS MANAGEMENT PROGRAM – ELECTRONIC RECORDS

The majority of records today are created and maintained digitally. Properly managing these records is now one of the most important elements of a records management program. While the ability to create and maintain information electronically increases the speed of access and often the accuracy of information, it also creates challenges for preservation and access over time. For this reason, there are Federal regulations that apply in particular to the management of electronic records, including email. These regulations are found in 36 CFR 1236.

Eleven of the twenty questions in this section are scored for a total of 32 possible points. The questions focus on the integration of records management controls into new and existing systems; preservation of electronic records in usable formats; training in electronic records management; and the preservation of email records.

Trends

The RMSA results this year show that Federal agencies have not made any significant progress in improving their handling of electronic records. As was true in previous years, more agencies face elevated risk in their management of electronic records than in any other part of their records program that the RMSA measures. This year, 80% of agencies fell within the moderate or high-risk categories in this section. This percentage was unchanged from the year before. The following section of the report will discuss specific areas where we did see improvement.
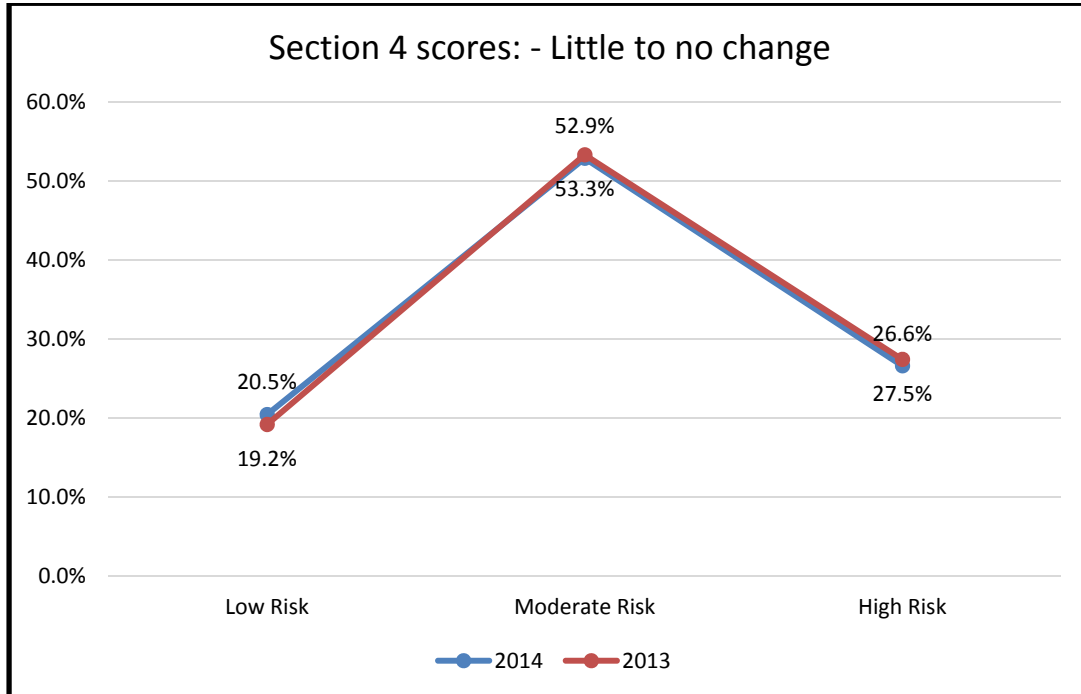
Areas of improvement

There are a few areas in which agencies report increased activity. Notably, 10 percent more agencies indicate they are establishing internal controls to ensure the reliability, integrity, authenticity, and usability of electronic records, and seven percent more report they ensure records management functionality is built into new electronic systems. Increasing numbers of agencies report that they have established procedures for migrating records to new formats or storage media, continuing a trend first identified in last year's RMSA. Eight percent more agencies answered "yes" to this question than in 2013. Moreover, approximately 50 more agencies report this year records staff are involved in the migration of records.

Areas of stability

In many areas of the electronic records section of the RMSA, there was little evidence of significant change in compliance compared to last year. Evidence of this stability can be seen in the percentage of positive answers to questions dealing with particular aspects of email management, with RM staff participation in the development of new electronic systems, and with agencies maintaining inventories of their electronic systems.

- Nearly eighty percent of agencies claim to have policies and procedures pertaining to the management of email with retention periods of 180 days or longer, a slight decrease.
- Approximately a third of agencies report auditing the management of email, a percentage that has remained more or less unchanged since the question was first asked in 2010.
- Seventy seven percent of agencies report that they maintain an inventory of electronic systems with scheduling information, which is up three percent from last year.

Email

Email plays a central role in how agencies conduct business, and its management is currently of the highest concern. The trends in email management have not changed appreciably from last year. Most significantly, 79% of agencies responded that they have policies and procedures in place to handle email records that have a retention period longer than 180 days (36 CFR 1236.22). However, whether email management policies are actually being carried out in most agencies cannot be accurately determined, as only about a third of agencies report auditing the management of email at their organization, a percentage that has largely gone unchanged since 2010.

There are some encouraging signs in regards to the management of email in the Federal Government. Training staff in email management seems to be an increasing priority with agencies. Almost 74% of agencies now report offering training on email management. This represents an almost six percent increase from last year. Also, 70% of agencies indicate that it is their intent to implement a Capstone-type solution to email management.

For the third year in a row, we asked some questions about agencies' policies and procedures as they relate to multiple email accounts and as they relate to conducting agency business on personal email accounts. Last year, about 25% of agencies allowed staff to maintain more than

one official email account. This is up 10% this year to 35%. Of this group, 78% have policies and procedures in place mandating how these duplicate accounts are to be managed. (This is up five percent from the previous year.)

A smaller subset of agencies (8%), down slightly from last year, allows staff to conduct official business on personal email accounts. Of this subset, 75% have policies requiring that official email sent and received on personal accounts must be captured in an agency recordkeeping system. These responses represent a 17% increase from last year and we expect to see increased activity in this area in response to the changes mandated by the Presidential and Federal Records Act Amendments of 2014 ("the Amendments"). [26]

The Amendments require, amongst other changes, employees who use a non-official electronic messaging account to comply with a new set of procedures to ensure the capture of Federal records. Employees who use non-official electronic messaging accounts must "cop[y] an official electronic messaging account of the officer or employee in the original creation or transmission of the record," or forward "a complete copy of the record to an official electronic messaging account of the officer or employee not later than 20 days after the original creation or transmission of the record."[27]

Key Points

- Lack of understanding of electronic records management is evident by the number of respondents answering 'do not know' or skipping all questions related to electronic records.

- The majority of agencies are planning to implement the Capstone approach for managing their email.

- Agencies are providing more training on email management.

- Electronic records management issues remain the area with the highest percentage of risk for agencies.

- Agencies have policies and procedures in place for email, but monitoring for compliance is lacking.

- There is an increase in agencies integrating records management controls into new and existing systems.

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[26] http://www.gpo.gov/fdsys/pkg/PLAW-113publ187/pdf/PLAW-113publ187.pdf.
[27] Ibid.

SECTION FIVE: NARA/OMB MANAGING GOVERNMENT RECORDS DIRECTIVE (M-12-18) REPORTING REQUIREMENTS

On August 24, 2012, NARA and OMB jointly released the *Managing Government Records Directive* (M-12-18). The purpose of the Directive is to help ensure government openness and accountability through more complete documentation of Federal Government business; to improve identification, safeguarding, and eventual transfer to NARA of permanent records; and to increase efficiency in agencies' business processes relating to records management.[28]

This year we increased the number of questions in this section from 2 to 13 as several agency deliverables were due December 31, 2014. Like last year, these questions were asked for data gathering purposes and were not scored.

Requirement 2.1: Agencies Must Designate a Senior Agency Official (SAO)

Requirement 2.1 requires agencies to designate and reaffirm annually an SAO for Records Management. Almost 98% of agencies report doing so. Of those agencies, over 66% (168) responded that their Agency Records Officer (ARO) meets with the SAO four or more times a year to discuss agency records management goals. This suggests that the SAOs may be engaging in records management within the agencies. More attention needs to be paid to the one third of agencies that have SAOs that may not be meeting regularly with their records officer.

Requirement 2.3: Agency Records Officers Must Obtain the NARA Certificate of Federal Records Management Training

Requirement 2.3 required Agency Records Officers to obtain the NARA Certificate of Federal Records Management Training by December 31, 2014. AROs could take the Knowledge Area (KA) classes and pass the test or go through either an exception or exemption process.[29] A large percentage of AROs (75%) received their certificate through one of these methods.[30] Somewhat worrisome is that 64 AROs (25%) had not yet obtained the certificate. However, after validating this question, it was determined that most of those (about 15%) had done so since completing the RMSA.

Requirement 2.4: Agencies Must Establish Records Management Training

Requirement 2.4 required that, by December 31, 2014, all Federal agencies establish a method of informing all employees of their records management responsibilities and develop suitable records management training for appropriate staff. Responses this year indicate that agencies are using various methods in combination to inform staff of their records management responsibilities. Between 65% and 70% of agencies are using in-person, instructor-led training, the agency website, and agency notices. Other methods used to a lesser degree include live and

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[28] NARA/OMB Managing Government Records Directive (M-12-18), http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf.
[29] NARA Bulletin 2014-03, http://www.archives.gov/records-mgmt/bulletins/2014/2014-03.html.
[30] The largest percentage of AROs (56%) report earning the certificate by attending KA classes and passing the test. Twenty-two Agency Records Officers (9%) received an exception, and 26 (10%) received an exemption.

recorded or self-paced webinars; briefings, pamphlets, and meetings; email guidance; newcomer orientations; and online learning management systems.

Agencies measure the effectiveness of these methods of communication in a variety of ways. Almost 65% of agencies follow up with staff in person. Forty-seven percent use evaluations and 31% use testing. Additional methods agencies cited include compliance inspections and performance standard audits; implementation monitoring; performance metrics; knowledge checks; and staff assistance visits.

Requirement 2.5: SAO Shall Ensure that Records are Scheduled

Requirement 2.5 requires the SAO and ARO ensure that records schedules have been submitted to NARA for all existing paper and other non-electronic records by December 31, 2016. This year, 54 agencies (21%) reported identifying additional unscheduled records. This indicates an ongoing vigilance in identifying unscheduled records. It is also encouraging that 78% of agencies reported having a method of continually identifying new and unscheduled records.

Almost 74% of agencies indicated that they are actively working with NARA appraisal staff to schedule all unscheduled records by December 31, 2016. The majority of agencies that reported that they are not working with their assigned appraisal archivist claimed to have no unscheduled records.

Section A4: Embed records management requirements into cloud architectures and other Federal IT systems and commercially-available products

The Directive required NARA to gather information regarding Federal agency use of cloud services. This year, 68% of agencies indicated they were using cloud services. Of the agencies using the cloud, the majority of them used it for storing email and administrative records. However, it is evident that recordkeeping requirements are not necessarily being incorporated to manage records stored in the cloud. Only 58% of those using cloud services said that their cloud initiatives had recordkeeping requirements.

DEMOGRAPHIC QUESTIONS

Each year we ask a variety of demographic questions to help improve the RMSA and to give agencies a chance to identify challenges or initiatives that are not specifically covered by the questionnaire.

Responding agencies are diverse in size ranging from very large departments and component agencies to very small micro agencies.

Number of Full Time Employees (FTEs)	Number of Agencies
500,000 or more FTEs	3
100,000 – 499,999 FTEs	9
10,000 – 99,999 FTEs	43
1,000 – 9,999 FTEs	84
100 – 999 FTEs	78
1 – 99 FTEs	39
Not Available	3
	259

Agencies report that it took on average approximately 10 hours to gather all of the information needed to complete the RMSA. Although this may represent some level of burden, we believe the time responding to the RMSA is well spent. Thoroughness is required if the information and results are to have value to agencies for future planning and value to NARA for guiding improvements to services to agencies and improvements to oversight initiatives.

The respondents consulted a variety of other staff in completing the RMSA including:

- Senior Agency Officials
- Chief Information Officers
- Chief Privacy Officers
- Office of General Counsel
- Program managers
- Information technology staff
- Records liaison officers
- Administrative staff
- Department Records Officers (by component agency Records Officers)

Generally, the Agency Records Officer completes the RMSA, but occasionally this responsibility is delegated to someone else. This year 84% of respondents were the Agency Records Officer.

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APPENDIX I

RECOMMENDATIONS FOR EXECUTIVE ACTION

The following recommendations, many of which carry over from previous self-assessments, are intended to provide agencies with ways to improve their records management programs as well as to support the goals and targets established in OMB/NARA Managing Government Records Directive (M-12-18).[31]

The role of the Senior Agency Official for Records Management is critical
- SAOs must take responsibility to ensure that all parts of their agency understand the importance of effective records and information management in meeting mission needs.
- SAOs must also ensure compliance with records management regulations and policies throughout the organization.
- SAOs must ensure that their agency deploys the resources required to meet the broader M-12-18 goals and ensure that their Agency Records Officer and general records and information staff members have the support needed to carry out their responsibilities.

Records management activities
- Agencies must develop agency-specific records management training for employees at all levels of the organization.
- Agencies should have and update periodically a records management directive supported by policies and procedures.

Oversight activities
- Agencies should establish performance goals for their records management programs that are specific, measurable, achievable, relevant, and time-bound.
- Agencies should establish performance measures for their records management programs that enable them to track their progress towards achieving their performance goals.
- Agencies should conduct risk assessments of their records management programs to identify what types of internal controls are necessary and regularly monitor and test the controls to ensure their efficacy and currency.
- Agencies should conduct periodic evaluations, assessments, and audits of the implementation of their records management program.

Records disposition
- All agency records must be scheduled in accordance with 36 CFR 1225.
- Agency Records Officers should initiate and establish collaborative relationships with program management, information technology staff, and with NARA experts to facilitate the transfer of permanently valuable electronic records to the National Archives.

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[31] OMB/NARA Managing Government Records Directive (M-12-18), https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf.

Electronic records
- Agencies should continue to pursue technological solutions to electronic recordkeeping and engage in efforts by NARA and other oversight entities to meet the relevant goals in M-12-18.
- According to OMB Circular A-130, "Management of Federal Information Resources," and other guidance, agencies must incorporate records management and archival functions into the design, development, and implementation of information systems.
- Agencies must recognize that electronic recordkeeping is a joint responsibility of records management and information technology staff.
- Agencies must require staff with records management responsibilities to attend basic electronic records training on an annual basis.
- Agencies must ensure that official email messages are preserved in appropriate recordkeeping systems.
- Agencies must maintain records in usable formats throughout their lifecycle to comply with 36 CFR 1236.
- Agencies planning to adopt the Capstone approach for email management should work with NARA to ensure successful implementation.
- Agencies should support the professional development of appropriate staff in electronic records management practices and procedures.
- Agencies must develop and implement recordkeeping requirements for managing records in cloud-based environments.
- Agencies should develop methods for ensuring compliance with their policies and procedure for email.

2014 Records Management Self-Assessment Questionnaire with
Response Statistics

(This version of the questionnaire is provided with charts indicating percentages and responses counts per answer options based on the number of respondents.)

Section I: Records Management Program - Activities

1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a)) (3 points)

Answer Options	Response Percent	Response Count
Yes	99%	256
No	<1%	1
Do not know	<1%	1
Number of respondents answering this question		**258**

2. If Yes: Please provide the person's name, position title, and office. (Not scored)

3. If Yes: Is this the person's primary duty? (Not scored)

Answer Options	Response Percent	Response Count
Yes	50%	127
No	50%	128
Do not know	<1%	1
Number of respondents answering this question and answered YES to question 1		**256**

4. If No: What percentage of their time is dedicated to coordinating and overseeing the implementation of the records management program? (Not scored)

Answer Options	Response Percent	Response Count
More than 75%	3%	4
50 – 75%	22%	29
25 – 49%	31%	40
Less than 25%	42%	54
Do not know	2%	2
Number of respondents answering this question and answered NO to question 3		**129**

5. What is the person's Office of Personnel Management (OPM) designated job series? (Not scored)

Answer Options	Response Percent	Response Count
0170 - History, Social Science, Psychologist	<1%	0
0306 - Government Information Specialist, Management, Administrative and Clerical Services	4%	11
0343 - Management and Program Analysis, Management, Administrative and Clerical Services	39%	100
0399 - Administration and Office Support Student Trainee, Management, Administrative and Clerical Services	<1%	1
1410 - Librarian, Library and Archives	<1%	0
1420 - Archivist, Library and Archives	<1%	1
1421 - Archives Technician, Library and Archives	<1%	0
2210 - Information Technology Management, Information Technology	10%	25
Other, please provide job series code and title*	46%	118
Number of respondents answering this question		**256**

*Of the 118 who answered "other" there were 81 that used something in the 300 series, of these 61 used 301 – Miscellaneous Administrative Program Series, the rest were a wide variety.

6. Additional Comments (Optional)

7. Does your agency have a records management directive(s)? (36 CFR 1220.34(c)) (3 points)

Answer Options	Response Percent	Response Count
Yes	96%	248
No	3%	9
Do not know	1%	2
Number of respondents answering this question		**259**

8. Additional Comments (Optional)

9. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance? (3 points)

Answer Options	Response Percent	Response Count
FY 2014 - present	59%	153
FY 2011 – 2013	23%	59
FY 2007 - 2010	9%	22
FY 2006 or earlier	4%	11
Do not know	2%	3
Number of respondents answering this question		**248**

A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d))

10. Does your agency have a network of designated employees within each program and administrative area who are <u>assigned</u> records management responsibilities? These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. (36 CFR 1220.34(d)) (3 points)

Answer Options	Response Percent	Response Count
Yes	84%	217
No	11%	28
Do not know	<1%	1
Not applicable, please explain	5%	13

Number of respondents answering this question	**259**

Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or awareness of agency employees. Training can be either in a classroom setting or distance-based (e.g., web-based training), but it *must:*

- be regular (occurring more than just once);
- be repeatable and formal (all instructors must provide the same message, not in an ad hoc way); and
- communicate the agency's vision of records management.

11. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f)) (2 points)

*Includes NARA's records management training if it was customized specifically for your agency.

Answer Options	Response Percent	Response Count
Yes	82%	212
No	12%	31
Do not know	1%	3
Not applicable, please explain	5%	12
Number of respondents answering this question		**258**

12. Has your agency developed internal, staff-wide formal training*, based on agency policies and directives, which helps agency employees and contractors fulfill their recordkeeping responsibilities? (36 CFR 1220.34(f)) (3 points)

*Includes NARA's records management training if it was customized specifically for your agency.

Answer Options	Response Percent	Response Count
Yes	80%	207
No	15%	39
Do not know	1%	3
Not applicable, please explain	4%	10
Number of respondents answering this question		**259**

13. Does your agency <u>require</u> that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f)) (3 points)

Answer Options	Response Percent	Response Count
Yes	39%	192
No	23%	59
Do not know	3%	8
Number of respondents answering this question		**259**

14. Additional Comments (Optional)

15. What methods does your agency use to help improve, monitor, and assess records management in regional and/or field offices? (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Training	71%	185
Inspections	34%	87
Evaluations	39%	109
Webinars	28%	73
Teleconferences	47%	121
Regional records management liaisons	58%	150
Do not know	2%	5
Other, please explain	22%	57
Not applicable, please explain	15%	38
Number of respondents answering this question		**259**

Section II: Records Management Program – Oversight and Compliance

Agency records management programs must provide for effective controls over the creation, maintenance, and use of records in the conduct of current business. (36 CFR 1220.30(c)(1))

Internal controls are integral components of an organization's management that provide reasonable assurance of the effectiveness and efficiency of operations; reliability of financial reporting; and compliance with applicable laws and regulations. ("Standards for Internal Control in the Federal Government" (AIMD-00-21.3.1), U.S. Government Accountability Office, November 1999, http://www.gao.gov/products/AIMD-00-21.3.1.)

Internal controls are:

- Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance;

- Processes consisting of ongoing tasks and activities—a means to an end, not an end in itself;

- Carried out by people—not merely about policy and procedure manuals, systems, and forms, but about people and the actions they take at every level of an organization to effect internal control;

- Able to provide reasonable assurance, but not absolute assurance, to an entity's senior management;

- Adaptable to the organization's entire structure—flexible in application for the entire entity or for a particular regional office, division, operating unit, or business process.

Control activities occur throughout the organization, at all levels and in all functions. They include a range of activities as diverse as approvals, authorizations, verifications, reconciliations, reviews/audits of operating performance, security of assets (limited access to inventories or equipment), and segregation of duties (separate personnel with authority to authorize a transaction, process the transaction, and review the transaction). Monitoring the effectiveness of internal controls should occur in the normal course of business. Periodic assessments should be integrated as part of management's continuous monitoring of internal control, which should be ingrained in the agency's operations. ("2013 Internal Control - Integrated Framework," Committee of Sponsoring Organizations (COSO) Executive Summary, May 14, 2013, http://www.coso.org/documents/Internal%20Control-Integrated%20Framework.pdf; and OMB Circular A-123, "Management's Responsibility for Internal Control," December 21, 2004.)

16. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e)) (3 points)

Answer Options	Response Percent	Response Count
Yes		211
No		37
Do not know		4
Not applicable, please explain		7
Number of respondents answering this question		**259**

17. If Yes: Please select the control activities your agency performs to ensure that all eligible permanent records in all media are transferred to NARA. (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Regular briefings and other meetings with records creators	61%	128
Approval process for transfer notices from Federal Records Centers	72%	151
Monitoring and testing of file plans	33%	69
Regular review of records inventories	70%	148
Internal tracking database of permanent record authorities and dates	44%	93
Other, please explain	27%	57
Number of respondents answering this question and YES to question 16		**211**

18. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e)) (3 points)

** These controls must be internal to your agency. Reliance on information from external agencies (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

Answer Options	Response Percent	Response Count
Yes	83%	214
No	14%	36
Do not know	1%	3
Not applicable, please explain	2%	6
Number of respondents answering this question		**259**

19. If Yes: Please select the control activities your agency performs to ensure that Federal records are not destroyed before the end of their retention period. (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Regular review of records inventories	68%	145
Approval process for disposal notices from off-site storage	75%	161
Require certificates of destruction	46%	98
Monitoring shredding services	39%	83
Performance testing for email	14%	31
Monitoring and testing of file plans	32%	68
Pre-authorization from records management program before records are destroyed	66%	142
Ad hoc monitoring of trash and recycle bins	27%	57
Notification from facilities staff when large trash bins or removal of boxes are requested	19%	41
Annual records clean out activities sponsored and monitored by records management staff	43%	92
Other, please explain	17%	37
Number of respondents answering this question and answering YES to question 18		**214**

20. Additional Comments (Optional)

An evaluation is an inspection, audit, or review of one or more records management programs for effectiveness and for compliance with applicable laws and regulations. An evaluation contains recommendations for correcting or improving records management practices, policies, and procedures as well as follow-up activities, including reporting on and implementing recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit. (36 CFR 1220.18)

A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d))

Records management program staff includes employees and/or contract staff with full-time records management responsibilities.

21. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? (3 points)

** For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records) must be the primary focus of the inspection/audit/review.

Answer Options	Response Percent	Response Count
Yes	81%	209
No	17%	43
Do not know	1%	4
Not applicable, please explain	1%	3
Number of respondents answering this question		**259**

22. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures? (3 points)

Answer Options	Response Percent	Response Count
Every 1 - 2 years	78%	164
Every 3 - 4 years	15%	31
Every 5 years	5%	10
More than every 5 years	<1%	1
Do not know	1%	2
Not applicable, agency does not evaluate its records management program	<1%	1
Number of respondents answering this question and YES to question 21		**209**

23. Was a written report prepared as part of the most recent inspection/audit/review? (2 points)

Answer Options	Response Percent	Response Count
Yes	72%	150
No	25%	53
Do not know	2%	5
Not applicable, agency does not evaluate its records management program	<1%	1
Number of respondents answering this question and YES to question 21		**209**

24. Additional Comments (Optional)

An essential control for any records management program is the establishment of performance goals and associated performance targets and performance measures.

Performance goals are the target levels of performance. Performance goals should be specific, measurable, attainable, results-oriented, and time-bound. Some examples of performance goals are:

- identifying and scheduling all paper and non-electronic records by the end of FY 2016,
- developing computer-based records management training modules by the end of FY 2016, or
- planning and piloting an electronic management solution for email by the end of FY 2016.

25. Has your agency established performance goals for its records management program? (3 points)

Answer Options	Response Percent	Response Count
Yes	69%	178
No	8%	21
Currently under development (3 points)	21%	54
Do not know	1%	3
Not applicable, please explain	1%	3
Number of respondents answering this question		**259**

26. If Yes: What are your agency's records management program's performance goals? (Not scored)

27. If Currently under development: Please describe the progress your agency has made towards identifying performance goals for its records management program. Include the time frame for completion in your remarks. (Not scored)

Performance measures are the indicators or metrics against which a program's performance can be gauged. Performance measures should provide a basis for comparing actual results with established performance goals. The following are examples of performance measures:

- the percentage of agency employees that receive records management training in a year,
- a reduction in the volume of inactive records stored in office space, or
- the percentage of eligible permanent records transferred to NARA in a year.

("Performance Measurement Challenges and Strategies," June 18, 2003, white paper associated with the Office of Management and Budget's Program Assessment Rating Tool (PART), http://www.whitehouse.gov/sites/default/files/omb/part/challenges_strategies.pdf; and "Government Performance Results Act of 1993," Section 4, Annual Performance Plans and Reports, http://www.whitehouse.gov/omb/mgmt-gpra/gplaw2m#hs.)

28. Has your agency's records management program identified three or more performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? (3 points)

Answer Options	Response Percent	Response Count
Yes	71%	185
No	10%	27
Currently under development	16%	41
Do not know	<1%	1
Not applicable, please explain	2%	5
Number of respondents answering this question		**259**

29. If Yes: Which of these input measures do you collect to monitor your records management program's performance? (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Percentage of records scheduled	57%	106
Percentage of staff trained in records management	85%	158
Percentage of offices evaluated/inspected for records management compliance	56%	104
Percentage of email management auto-classification rates	9%	16
Development of new records management training modules	67%	124
Audits of internal systems	37%	69
Annual updates of file plans	57%	105
Performance testing for email applications to ensure records are captured	18%	34
Do not know	1%	1
Other, please explain	20%	53
Number of respondents answering this question and YES to question 28		**185**

30: Please state how they are linked to your agency's records management program's performance goals. (Not scored)

31. If Currently under development: Please describe the progress your agency has made towards identifying performance measures for its records management program. Include the time frame for completion in your remarks. (Not scored)

32. Additional Comments (Optional)

33. Does your agency's records management program have policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e)) (2 points)

Answer Options	Response Percent	Response Count
Yes	86%	223
No	13%	34
Do not know	1%	2
Number of respondents answering this question		**259**

34. Additional Comments (Optional)

Vital records are records needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). (36 CFR 1223.2)

A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d))

35. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) (3 points)

Answer Options	Response Percent	Response Count
Yes	81%	208
No	12%	32
Do not know	4%	11
Not applicable, please explain	3%	7
Number of respondents answering this question		**258**

36. How often does your agency review and update its vital records inventory? (36 CFR 1223.14) (3 points)

Answer Options	Response Percent	Response Count
Annually	62%	159
Every 2 - 3 years	15%	38
Every 4 - 6 years	7%	17
Never	7%	19
Do not know	9%	23
Number of respondents answering this question		**256**

37. Additional Comments (Optional)

38. Is your vital records plan part of the Continuity of Operations (COOP) plan? (3 points)

Answer Options	Response Percent	Response Count
Yes	87%	224
No	8%	21
Do not know	5%	13
Number of respondents answering this question		**258**

39. Additional Comments (Optional)

Section III: Records Management Program - Records Disposition

Records disposition refers to actions taken with regard to Federal records that are no longer needed for current government business as determined by their appraisal pursuant to legislation, regulation, or administrative procedure. Disposition is a comprehensive term that includes both destruction and transfer of Federal records to the National Archives of the United States. (36 CFR Part 1226)

40. When was the last time your agency submitted a records schedule to the National Archives? (Not scored)

Answer Options	Response Percent	Response Count
FY 2013 - 2014	56%	144
FY 2011 - 2012	11%	29
FY 2008 – 2010	15%	40
FY 2006 – 2007	2%	6
FY 2001 – 2005	4%	11
FY 2000 or earlier	5%	14
Do not know, please explain	6%	15
Number of respondents answering this question		**259**

41. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedule items) to agency staff within six months of approval? (2 points)

Answer Options	Response Percent	Response Count
Yes	86%	224
No	9%	23
Do not know	5%	12
Number of respondents answering this question		**259**

42. Does your agency currently have any records schedules pending approval by the National Archives? (Not scored)

Answer Options	Response Percent	Response Count
Yes	45%	116
No	53%	136
Do not know	2%	5
Number of respondents answering this question		**257**

43. Additional Comments (Optional)

44. Does your agency have permanent non-electronic records? (Not scored)

Answer Options	Response Percent	Response Count
Yes	91%	236
No	6%	16
Do not know	3%	7
Number of respondents answering this question		**259**

45-46. Did your agency transfer permanent non-electronic records to NARA during FY 2014? (36 CFR 1235.12) (3 points)

Answer Options	Response Percent	Response Count
Yes	50%	130
No	15%	38
No - Records are under a legal hold or freeze	3%	7
No - No records were eligible for transfer during 2014	19%	50
No - New agency, records are not yet old enough to transfer	2%	4
No - NARA deferred or refused transfer of the records	1%	3
Do not know	1%	2
Other, please explain	10%	25

Number of respondents answering this question	**259**

47. Does your agency have records where the disposition is frozen? (Not scored)

Answer Options	Response Percent	Response Count
Yes	67%	173
No	29%	75
Do not know	4%	10
Number of respondents answering this question		**258**

48. If Yes: Why does your agency have records where the disposition is frozen? (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Court Order	77%	133
Audit	9%	16
Administrative needs	25%	43
Other, please explain	38%	66
Do not know	1%	1
Number of respondents answering this question and answering YES to question 47		**173**

49. Does your agency have policies and procedures for applying, reviewing, and lifting freezes on the disposition of records? (Not scored)

Answer Options	Response Percent	Response Count
Yes	69%	180
No	24%	61
Do not know	7%	18
Number of respondents answering this question		**259**

50. If Yes: Did your records management staff review, in collaboration with your General Counsel's Office, your existing freezes in the last year? (Not scored)

Answer Options	Response Percent	Response Count
Yes	77%	139
No	21%	37
Do not know	2%	4
Number of respondents answering this question and answering YES to Question 49		**180**

51. Additional Comments (Optional)

52. Does your agency have permanent electronic records/systems? (Not scored)

Answer Options	Response Percent	Response Count
Yes	76%	198
No	20%	53
Do not know	3%	8
Number of respondents answering this question		**259**

53-54. Did your agency transfer permanent electronic records to NARA during FY 2014? (36 CFR 1235.12) (3 points)

Answer Options	Response Percent	Response Count
Yes	26%	66
No	26%	66
No - Electronic records/systems are under a legal hold or freeze	3%	8
No - No electronic records/systems were eligible for transfer during FY 2014	32%	83
No - New agency, electronic records/systems are not old enough to transfer	4%	11
No - NARA deferred or refused transfer of electronic records/systems	0%	0
Do not know	2%	4
Other, please explain	8%	20
Number of respondents answering this question		**258**

55. Additional Comments (Optional)

56. Does your agency track when its permanent records – electronic and non-electronic – are due to be transferred to NARA? (Not scored)

Answer Options	Response Percent	Response Count
Yes	76%	198
No	17%	45
Do not know	1%	2
Not applicable, please explain	5%	14
Number of respondents answering this question		**259**

57. If Yes: Please describe how your agency tracks when its permanent records – electronic and non-electronic – are due to be transferred to NARA. (Not scored)

58. Additional Comments (Optional)

59. Has your agency created or is your agency going to create policies and procedures to implement the guidelines released in NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records? (Not scored)

Answer Options	Response Percent	Response Count
Yes	86%	222
No	7%	17
Do not know	7%	18
Number of respondents answering this question		**257**

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. (GRS 23, 5a)

60. Does your agency provide exit briefings for senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1230.10(a & b)) (3 points)

Answer Options	Response Percent	Response Count
Yes	77%	198
No	16%	42
Do not know	2%	5
Not applicable, please explain	5%	12
Number of respondents answering this question		**257**

61. If Yes: Who is involved in the exit briefings? (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Agency Records Officer	75%	148
Senior Agency Official for Records Management	22%	44
Chief Information Officer	17%	34
Other, please explain	55%	108
Number of respondents answering this question and answered YES to question 60		**198**

62. Are the exit briefings documented for purposes of accountability? (3 points)

Answer Options	Response Percent	Response Count
Yes	87%	173
No	8%	16
Do not know	4%	8
Not applicable, agency does not provide exit briefings for senior officials	1%	1
Number of respondents answering this question and answered YES to question 60		**198**

63. Upon separation, are senior officials required to obtain approval from records management program staff or other designated official(s) before removing personal papers and copies of records? (3 points)

Answer Options	Response Percent	Response Count
Yes	76%	197
No, please explain	21%	54
Do not know	3%	8
Number of respondents answering this question		**259**

64. Additional Comments (Optional)

Section IV: Records Management Program - Electronic Records

Electronic information system means an information system that contains and provides access to computerized Federal records and other information. (36 CFR 1236.2)

Agencies must incorporate controls into the electronic information system or integrate them into a recordkeeping system that is external to the information system itself. (36 CFR 1236.10)

65. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10) (3 points)

Answer Options	Response Percent	Response Count
Yes	76%	196
No	16%	41
Do not know	6%	15
Not applicable, please explain	3%	7
Number of respondents answering this question		**259**

66. Additional Comments (Optional)

Migration is a set of organized tasks designed to achieve periodic transfer of digital materials from one hardware/software configuration to another, or from one generation of computer technology to a subsequent generation. (NARA records management training class: *Electronic Records Management*, Module 2.)

Metadata consists of preserved contextual information describing the history, tracking, and/or management of an electronic document. (36 CFR 1236.2)

67. Does your agency have procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6)) (3 points)

Answer Options	Response Percent	Response Count
Yes	74%	192
No	20%	52
Do not know	6%	15
Number of respondents answering this question		**259**

68. Additional Comments (Optional)

69. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems? (Not scored)

Answer Options	Response Percent	Response Count
Yes	70%	181
No	19%	49
Do not know	3%	7
Not applicable, please explain	8%	22
Number of respondents answering this question		**259**

70. Additional Comments (Optional)

71. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a)) (2 points)

Answer Options	Response Percent	Response Count
Yes	77%	198
No, please explain	16%	40
Do not know	7%	19
Number of respondents answering this question		**257**

72. Additional Comments (Optional)

73. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12) (3 points)

Answer Options	Response Percent	Response Count
Yes	67%	173
No, please explain	21%	55
Do not know	6%	16
Not applicable, please explain	5%	14
Number of respondents answering this question		**258**

74. If Yes: Please describe in detail how your agency ensures that records management functionality, including the capture, retrieval, and retention of records, is incorporated into the design, development, and implementation of its electronic information systems. (Not scored)

75. Additional Comments (Optional)

76. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems? (3 points)

Answer Options	Response Percent	Response Count
Yes	67%	172
No, please explain	24%	61
Do not know	3%	7
Not applicable, please explain	7%	17
Number of respondents answering this question		**257**

77. Additional Comments (Optional)

Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or awareness of agency employees. Training can be either in a classroom setting or distance-based (e.g., web-based training), but it must:

- be regular (occurring more than just once),
- be repeatable and formal (all instructors must provide the same message, not in an ad hoc way), and
- communicate the agency's vision of records management.

78. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created and maintained in electronic formats? (36 CFR 1220.34(f)) (3 points)

*Includes NARA's records management training workshops that were customized specifically for your agency.

Answer Options	Response Percent	Response Count
Yes	76%	198
No	20%	51
Do not know	1%	2
Not applicable, please explain	3%	8
Number of respondents answering this question		**259**

79. Additional Comments (Optional)

Electronic mail system is a computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted on an email system. (36 CFR 1236.2)

80. Does your agency have policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22) (3 points)

Answer Options	Response Percent	Response Count
Yes	79%	204
No, please explain	18%	46
Do not know	3%	9
Number of respondents answering this question		**259**

Regardless of how many Federal email accounts individuals use to conduct official business, agencies must ensure that all accounts are managed, accessible and identifiable according to Federal recordkeeping requirements. (36 CFR 1236.22)

81. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02) (Not scored)

Answer Options	Response Percent	Response Count
Yes	35%	91
No	62%	161
Do not know	2%	6
Number of respondents answering this question		**258**

82. Additional Comments (Optional)

83. If Yes: Does your agency have policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22(b)) (Not scored)

Answer Options	Response Percent	Response Count
Yes	79%	71
No	18%	16
Do not know	4%	4
Number of respondents answering this question		**91**

84. Additional Comments (Optional)

85. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b)) (Not scored)

Answer Options	Response Percent	Response Count
Yes	8%	20
No	90%	232
Do not know	2%	5
Number of respondents answering this question		**257**

86. If Yes: Does your agency have policies that address the use of personal email accounts and that state that email records created and received using these accounts must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22(b)) (Not scored)

Answer Options	Response Percent	Response Count
Yes	75%	15
No	25%	5
Do not know	0%	0
Number of respondents answering this question		**20**

87. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3)) (Not scored)

Answer Options	Response Percent	Response Count
Yes	92%	234
No	4%	10
Do not know	4%	10
Number of respondents answering this question		**254**

88. What method(s) does your agency employ to capture and manage email records? (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Print and file	73%	188
Captured and stored as .PST	56%	146
Captured and stored in an electronic records management system	29%	75
Captured and stored in an email archiving system	55%	142
Not captured and email is managed by the end-user in the native system	25%	64
Other, please be specific	15%	39
Number of respondents answering this question		**259**

89. Does your agency audit staff compliance with the agency's email preservation policies? (3 points)

Answer Options	Response Percent	Response Count
Yes	35%	91
No	56%	144
Do not know	9%	24
Number of respondents answering this question		**259**

90. How often does your agency audit staff compliance with the agency's email preservation policies? (3 points)

Answer Options	Response Percent	Response Count
Every 6 months	35%	32
Every year	42%	38
Every 2 years	10%	9
Less frequently than every 2 years	8%	7
Do not know	3%	3
Blank	<1%	2
Number of respondents answering YES to Q89		**91**

91. Additional Comments (Optional)

92. Does your agency plan to adopt the "Capstone" approach to managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records? (Not scored)

Answer Options	Response Percent	Response Count
Yes	70%	180
No	7%	19
Do not know	20%	52
Not applicable, please explain	2%	6
Number of respondents answering this question		**257**

93. Additional Comments (Optional)

Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or awareness of agency employees. Training can be either in a classroom setting or distance-based (e.g., web-based training), but it must:

- tbe regular (occurring more than just once),
- be repeatable and formal (all instructors must provide the same message, not in an ad hoc way), and
- communicate the agency's vision of records management.

94. Has your agency developed internal, staff-wide training*, based on agency policies and directives, on the retention and management of email records? (36 CFR 1220.34(f)) (3 points)

*Includes NARA's records management training workshops that were customized specifically for your agency.

Answer Options	Response Percent	Response Count
Yes	74%	190
No	21%	53
Do not know	2%	4
Not applicable, please explain	4%	11
Number of respondents answering this question		**258**

95. Is this training mandatory for all staff, including contractor staff and senior officials? (3 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	84%	159
No	16%	31
Do not know	0%	0
Number of respondents answering this question		**190**

96. Additional Comments (Optional)

Section V: Records Management Program - NARA/OMB *Managing Government Records Directive* (M-12-18) Reporting Requirements

The joint NARA/OMB Managing Government Records Directive (M-12-18) of August 24, 2012, includes specific action items towards ensuring government openness and accountability through more complete documentation of Federal business; improved identification, safeguarding, and eventual transfer to NARA of permanent records; and increased efficiency for agencies in their business processes. (NARA/OMB Managing Government Records Directive (M-12-18), http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf.)

Goal 2: Demonstrate Compliance with Federal Records Management Statutes and Regulations

The Federal Government should commit to manage more effectively all records consistent with Federal statutes and regulations and professional standards. Agencies must meet the following requirements:

Requirement 2.1: Agencies Must Designate a Senior Agency Official (SAO)

97. Does your agency have an SAO? (If you are a component of a Department, you may answer yes, even if this is not being done at the component level.) (Not scored)		
Answer Options	**Response Percent**	**Response Count**
Yes	98%	253
No	2%	4
Do not know	1%	2
Number of respondents answering this question		**259**

98. If Yes: Does your agency records officer meet regularly (four or more times a year) with the SAO to discuss the agency records management program goals? (Not scored)		
Answer Options	**Response Percent**	**Response Count**
Yes	66%	168
No	28%	72
Do not know	5%	13
Number of respondents answering this question and answered Yes to question 97		**253**

Requirement 2.3: Agency Records Officers Must Obtain the NARA Certificate of Federal Records Management Training

99. Has your agency records officer received the NARA Certificate of Federal Records Management Training per Requirement 2.3 of M-12-18? (Not scored)		
*Requirement 2.3 Exemption Process: If you meet one of the following criteria before December 31, 2014, you do not need to attend classes or take exams: combination of Institute of Certified Records Managers (ICRM) certification AND three years' experience as the designated agency records officer, or seven years' experience as the designated agency records officer.		
Answer Options	**Response Percent**	**Response Count**
Yes, took the Knowledge Area (KA) classes and passed the test	56%	144
Yes, received exception and passed the test	9%	22
No, received exemption*	10%	26
No, have not received any Requirement 2.3 training	5%	13
In progress	20%	51
Number of respondents answering this question		**256**

Requirement 2.4: Agencies Must Establish Records Management Training

100. What methods does your agency use to inform all employees of their records management responsibilities? (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
In person instructor-led training	66%	172
Agency website	68%	177
Webinars (live)	28%	73
Webinars (recorded /self-paced)	20%	51
Agency notices or other communications	68%	175
Other, please explain	32%	83
Number of respondents answering this question		**259**

101. What methods does your agency use to measure the effectiveness of your agency's staff-wide records management training? (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Testing	30%	78
Evaluations	46%	119
In person staff follow up	63%	163
Other, please explain	24%	63
Number of respondents answering this question		**259**

Requirement 2.5: SAO Shall Ensure that Records are Scheduled

102. Did your agency identify all unscheduled records by December 31, 2013? (Not scored)

Answer Options	Response Percent	Response Count
Yes	75%	193
No, please explain	19%	50
Do not know	5%	14
Number of respondents answering this question		**257**

103. Has your agency identified any <u>additional</u> unscheduled records that have not already been reported to NARA? (Not scored)

Answer Options	Response Percent	Response Count
Yes	21%	54
No	74%	189
Do not know	5%	14
Number of respondents answering this question		**257**

104. If Yes: Please send to rmselfassessment@nara.gov an updated spreadsheet containing only the newly identified unscheduled records that have not already been reported to NARA. (The spreadsheet was sent to RMSA contacts on October 1st along with an advanced copy of the questionnaire. Please email rmselfassessment@nara.gov if you did not receive it or need another one.) (Not scored)

Answer Options	Response Percent	Response Count
Sent	77%	41
Not sent	23%	12
Blank	<1%	1
Number of respondents answering this question and YES to Q103		**53**

105. Is your agency actively working with NARA appraisal staff to schedule all unscheduled records by December 31, 2016? (Not scored)

Answer Options	Response Percent	Response Count
Yes	74%	189
No, please explain	23%	58
Do not know	4%	9
Number of respondents answering this question		**256**

106. Does your agency have a method of continually identifying new and unscheduled records? (Not scored)

Answer Options	Response Percent	Response Count
Yes	78%	202
No	18%	46
Do not know	4%	10
Number of respondents answering this question		**258**

Section A4: Embed records management requirements into cloud architectures and other Federal IT systems and commercially-available products

107. Does your agency use cloud services? (Not scored)

Answer Options	Response Percent	Response Count
Yes	68%	176
No	28%	71
Do not know	4%	11
Number of respondents answering this question		**258**

108. If Yes: For what purpose(s) is your agency using cloud services? (Choose all that apply) (Not scored)

Answer Options	Response Percent	Response Count
Email	67%	118
Administrative functions such as payroll, purchasing, and financial management	43%	76
Mission/program-related functions	44%	78
Other, please explain	18%	31
Do not know	1%	2
Number of respondents answering this question and answered YES to question 107		**176**

109. If Yes: Are recordkeeping requirements included? (Not scored)

Answer Options	Response Percent	Response Count
Yes	58%	102
No	16%	29
Do not know	26%	45
Number of respondents answering this question and answered YES to question 109		**176**

End Records Management Program - NARA/OMB *Managing Government Records Directive* **(M-12-18) Reporting Requirements Section**

The remaining questions are for demographic purposes.

Section VI: Agency Demographics

110. How many full-time equivalents (FTE) are in your agency/organization? (Choose one)

Answer Options	Response Percent	Response Count
500,000 or more FTEs	1%	3
100,000 – 499,999 FTEs	3%	9
10,000 – 99,999 FTEs	17%	43
1,000 – 9,999 FTEs	32%	84
100 – 999 FTEs	30%	78
1 – 99 FTEs	15%	39
Not Available	1%	3
Number of respondents answering this question		**259**

111. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

Answer Options	Response Percent	Response Count
Senior Agency Official	49%	127
Office of the General Counsel	29%	74
Program Managers	41%	105
Information Technology staff	70%	181
Records Liaison Officers or similar	48%	125
Administrative staff	36%	93
Other (please be specific):	18%	46
None	6%	15
Number of respondents answering this question		**259**

112. How much time did it take you to gather the information to complete this self-assessment?

Answer Options	Response Percent	Response Count
Less than 3 hours	19%	50
More than 3 hours but less than 6 hours	35%	90
More than 6 hours but less than 10 hours	19%	48
More than 10 hours	27%	71
Number of respondents answering this question		**259**

113. Did your agency's senior management review and concur with your responses to the 2014 Records Management Self-Assessment?

Answer Options	Response Percent	Response Count
Yes	79%	204
No	19%	48
Do not know	3%	7
Number of respondents answering this question		**259**

114. Additional Comments (Optional)

115. Please provide your contact information.

116. Are you the Agency Records Officer?

Answer Options	Response Percent	Response Count
Yes	84%	216
No	16%	42
Number of respondents answering this question		**258**

117. If No: Please provide the name of your Agency Records Officer.

Records Officer's Email Address:

Records Officer's Phone Number:

118. Do you have any suggestions on improving the Records Management Self-Assessment next year?

APPENDIX III

Total Scores by Risk Factor

Low Risk

	Total Score
Board of Governors of the Federal Reserve System and the Federal Open Market Committee	92
Central Intelligence Agency	92

Department of Agriculture

Agricultural Marketing Service	94
Animal and Plant Health Inspection Service	94
Department Level/Headquarters	93
Farm Service Agency	94
Food and Nutrition Service	90
Foreign Agricultural Service	94
National Agricultural Statistics Service	96
National Institute of Food and Agriculture	97
Risk Management Agency	90
Rural Development	98
US Forest Service	91

Department of Commerce

Bureau of Economic Analysis	91

Department of Defense

Defense Contract Audit Agency	90
Defense Security Service	98
Defense Threat Reduction Agency	96
Department of the Air Force	92
Department of the Navy	100
Missile Defense Agency	99
National Security Agency	100
US Central Command	100
US Northern Command	91
US Strategic Command	97

Department of Education
Department Level/Headquarters   93

Department of Energy
Bonneville Power Administration   92
Southwestern Power Administration   91

Department of Health and Human Services
Agency for Healthcare Research and Quality   99
Centers for Medicare & Medicaid Services   91
Health Resources and Services Administration   91

Department of Homeland Security
Federal Law Enforcement Training Centers   91
US Citizenship and Immigration Services   94
US Secret Service   100

Department of Justice
Bureau of Alcohol, Tobacco, Firearms and Explosives   90
Department Level/Headquarters   94
Executive Office for United States Attorneys   99
Federal Bureau of Investigation   100

Department of Labor
Bureau of Labor Statistics   94
Department Level/Headquarters   100
Employee Benefits Security Administration   92
Employment and Training Administration   98
Mine Safety and Health Administration   94
Occupational Safety and Health Administration   94
Office of Administrative Law Judges   91
Office of Inspector General   100
Office of Labor-Management Standards   94
Office of Public Affairs   93
Office of the Assistant Secretary for Administration and Management   97
Office of the Secretary   97
Office of the Solicitor   94
Office of Workers' Compensation Programs   94
Veterans' Employment and Training Service   97

	Total Score

Department of State   96

Department of the Interior
   Bureau of Indian Affairs   100
   Bureau of Land Management   100
   Bureau of Reclamation   100
   Bureau of Safety and Environmental Enforcement   91
   Department Level/Headquarters   100
   National Park Service   100
   Office of Surface Mining Reclamation and Enforcement   97
   Office of the Secretary   94
   Office of the Special Trustee for American Indians   100
   US Fish and Wildlife Service   97

Department of the Treasury
   Alcohol and Tobacco Tax and Trade Bureau   96
   Bureau of the Fiscal Service   97
   Internal Revenue Service   97
   United States Mint   99

Department of Transportation
   Federal Highway Administration   90
   Federal Motor Carrier Safety Administration   95
   Office of Inspector General   92
   Pipeline and Hazardous Materials Safety Administration 93
   Surface Transportation Board   91

Executive Office of the President
   Council on Environmental Quality   93

Federal Communications Commission   95

Federal Housing Finance Agency   94

Millennium Challenge Corporation   91

National Archives and Records Administration   91

National Mediation Board   91

Office of Personnel Management   100

Office of the Special Inspector General for Afghanistan Reconstruction   92

Overseas Private Investment Corporation   94

Recovery Accountability and Transparency Board   91

United States Sentencing Commission   91

US Environmental Protection Agency   91

	Total Score
US Government Accountability Office	100
US International Trade Commission	97
US Securities and Exchange Commission	100

Moderate Risk

Administrative Office of the US Courts	79
Advisory Council on Historic Preservation	69
Barry Goldwater Scholarship Foundation	79
Chemical Safety and Hazard Investigation Board	66
Commodity Futures Trading Commission	60
Congressional Budget Office	87
Consumer Financial Protection Bureau	87
Court Services and Offender Supervision Agency	85

Department of Agriculture

Agricultural Research Service	86
Department Staff Offices	73
Economic Research Service	86
Food Safety and Inspection Service	88
Grain Inspection, Packers and Stockyards Administration	88
Natural Resources Conservation Service	86

Department of Commerce

Bureau of Industry and Security	69
Department Level/Headquarters	69
Departmental Management	63
Economic Development Administration	63
International Trade Administration	60
National Institute of Standards and Technology	88
National Oceanic and Atmospheric Administration	82
National Technical Information Service	83
Office of the Secretary	64

	Total Score

Department of Defense

Defense Commissary Agency	88
Defense Finance and Accounting Service	85
Defense Logistics Agency	68
Department of the Army	80
Department of the Navy/US Marine Corps	86
Joint Chiefs of Staff	65
National Geospatial-Intelligence Agency	85
National Guard Bureau	63
National Reconnaissance Office	73
Office of Inspector General	70
Office of the Secretary of Defense	89
US Africa Command	85
US European Command	69
US Special Operations Command	74

Department of Energy

Federal Energy Regulatory Commission	73
Southeastern Power Administration	80

Department of Health and Human Services

Administration for Children and Families	72
Centers for Disease Control and Prevention	88
Department Level/Headquarters	80
Food and Drug Administration	71
Indian Health Service	76
National Institutes of Health	80
Office of the Secretary, Operations Staff	86

Department of Homeland Security

Department Level/Headquarters	68
Federal Emergency Management Agency	77
Transportation Security Administration	88
US Customs and Border Protection	69

Department of Housing and Urban Development

Department Level/Headquarters	74

Department of Justice

Drug Enforcement Administration	77
Executive Office for Immigration Review	85
Office of Justice Programs	74
US Marshals Service	88

Department of Labor

Adjudicatory Boards	89
Bureau of International Labor Affairs	66
Office of Congressional and Intergovernmental Affairs	86
Office of Disability Employment Policy	81
Office of Federal Contract Compliance Programs	84
Office of the Assistant Secretary for Policy	75
Office of the Chief Financial Officer	81
Ombudsman	72
Wage and Hour Division	88
Women's Bureau	83

Department of the Interior

US Geological Survey	81

Department of the Treasury

Bureau of Engraving and Printing	70
Department Level/Headquarters	84
Financial Crimes Enforcement Network	80
Office of the Comptroller of the Currency	69

Department of Transportation

Department Level/Headquarters	84
Federal Aviation Administration	64
Federal Railroad Administration	86
Federal Transit Administration	84
National Highway Traffic Safety Administration	82
Office of the Secretary	84
Research and Innovative Technology Administration	77
Saint Lawrence Seaway Development Corporation	87

Department of Veterans Affairs

Department Level/Headquarters	63
Veterans Benefits Administration	79
Veterans Health Administration	87

Equal Employment Opportunity Commission	85

Executive Office of the President

Office of Management and Budget	89
Office of Science and Technology Policy	89
Office of the Director of National Drug Control Policy	75
Office of the United States Trade Representative	73

	Total Score
Export-Import Bank of the United States	83
Federal Deposit Insurance Corporation	88
Federal Maritime Commission	61
Federal Mediation and Conciliation Service	70
Federal Trade Commission	89
General Services Administration	81
Institute of Museum and Library Services	83
International Boundary and Water Commission (US/Mexico)	73
Library of Congress	67
National Aeronautics and Space Administration	74
National Capital Planning Commission	67
National Endowment for the Arts	70
National Indian Gaming Commission	60
National Labor Relations Board	84
National Science Foundation	81
National Transportation Safety Board	87
Occupational Safety and Health Review Commission	63
Office of Navajo and Hopi Indian Relocation	67
Office of the Director of National Intelligence	87
Peace Corps	82
Pension Benefit Guaranty Corporation	76
Postal Regulatory Commission	78
Selective Service System	83
Social Security Administration	88
Tennessee Valley Authority	79
Udall Foundation	74
United States Commission on Civil Rights	83
US Access Board	84
US African Development Foundation	88
US Agency for International Development	70
US Nuclear Regulatory Commission	81
US Office of Government Ethics	81
US Small Business Administration	80
US Trade and Development Agency	71

Total Score

High Risk

AbilityOne Commission	58
Armed Forces Retirement Home	44
Broadcasting Board of Governors/International Broadcasting Bureau	41
Corporation for National and Community Service	33
Defense Nuclear Facilities Safety Board	57

Department of Commerce

National Telecommunications and Information Administration	52
US Census Bureau	58
US Patent and Trademark Office	34

Department of Defense

Army and Air Force Exchange Service	48
Defense Contract Management Agency	58
Defense Information Systems Agency	49
Defense Intelligence Agency	42
Defense Technical Information Center	57
National Defense University	38
US Pacific Command	53
US Southern Command	9
US Transportation Command	46

Department of Energy

Department Level/Headquarters	48
Energy Information Administration	52
National Nuclear Security Administration	58
Western Area Power Administration	53

Department of Health and Human Services

Administration for Community Living	46
Substance Abuse and Mental Health Services Administration	28

Department of Homeland Security

US Coast Guard	51
US Immigration and Customs Enforcement	54

Department of Housing and Urban Development

Office of Inspector General	58

	Total Score

Department of Justice
Federal Bureau of Prisons — 50

Department of Transportation
Maritime Administration — 36

Department of Veterans Affairs
Board of Veterans' Appeals — 42
National Cemetery Administration — 44

Agency	Total Score
Farm Credit Administration	59
Federal Election Commission	42
Federal Labor Relations Authority	44
Federal Mine Safety and Health Review Commission	58
Federal Retirement Thrift Investment Board	36
Government Printing Office	21
Japan-US Friendship Commission	9
Marine Mammal Commission	9
National Credit Union Administration	49
National Endowment for the Humanities	38
Nuclear Waste Technical Review Board	21
Pretrial Services Agency	58
Privacy and Civil Liberties Oversight Board	59
Railroad Retirement Board	30
United States Institute of Peace	18
US Commission of Fine Arts	11
US Consumer Product Safety Commission	29
US Election Assistance Commission	23
US Merit Systems Protection Board	40
US Office of Special Counsel	43
US Tax Court	36

APPENDIX III

NON-RESPONDENT LIST

American Institute in Taiwan

Department of Commerce
    Economics and Statistics Administration
    Minority Business Development Agency

Presidio Trust

US Court of Appeals for Veterans Claims

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