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Records Management Self-Assessment 2015

*An Assessment of Records Management Programs in the
Federal Government*

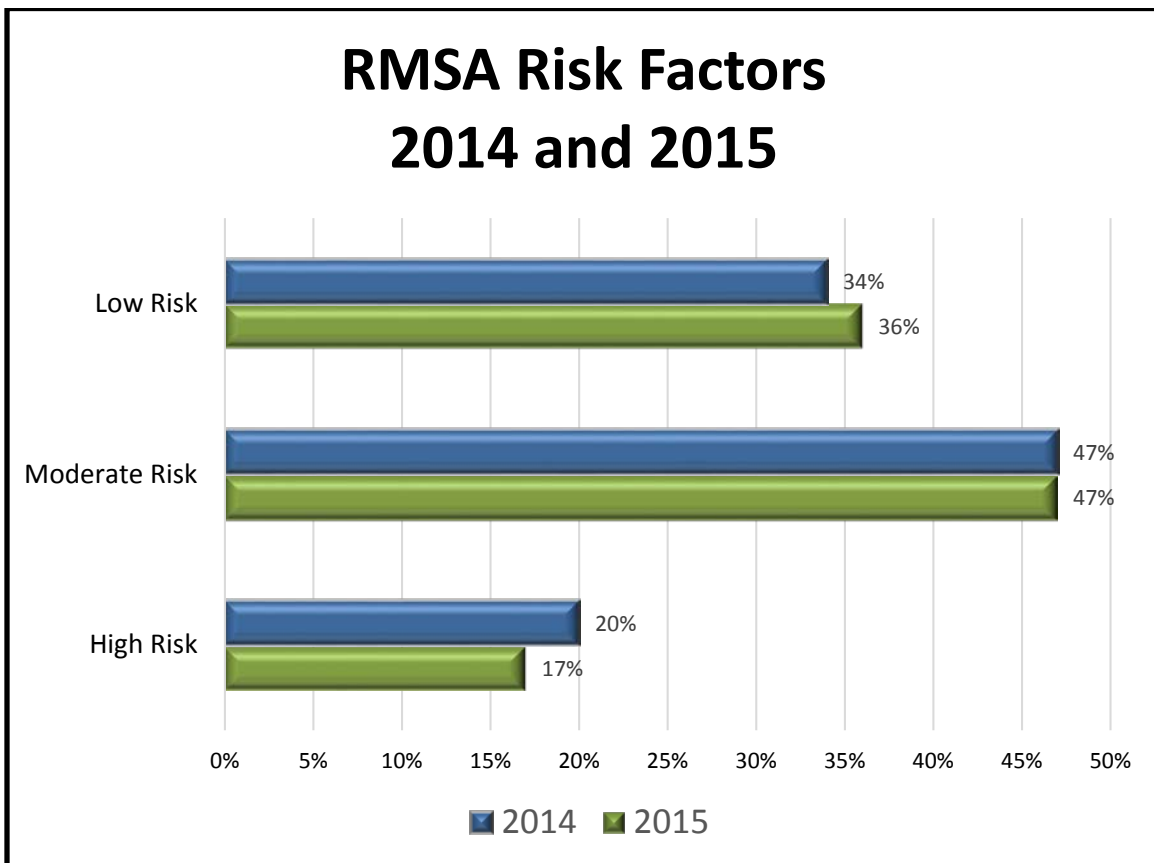
National Archives and Records Administration
July 12, 2016

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EXECUTIVE SUMMARY

The National Archives and Records Administration (NARA) annual mandatory Records Management Self-Assessment (RMSA) for Federal agencies began on November 16, 2015, with a response deadline of January 29, 2016. The goal of the self-assessment is to determine whether agencies are compliant with statutory and regulatory records management requirements. The self-assessment provides 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 records management program reviews, in our capacity as the oversight entity for Federal records management.

All 260 agencies receiving the RMSA link completed this year's assessment. The respondent list includes all Cabinet-level department records officers, departmental components, and independent agencies. A few non-Executive Branch agencies voluntarily take part in the assessment. There is a small measure of improvement between this year's scores and last year's scores that reflects the very gradual improvement over the past several years. This year 36% of agencies scored in the low risk category, 47% in the moderate risk, and 17% in the high risk. In 2014, for the 258 agencies responding, the risk category breakdown was 34% low risk, 47% moderate risk, and 20% high risk. Scores and risk factors for each agency are included as Appendix III.



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 Federal 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 identify emerging trends and risks to records management programs. These questions also provide agencies with an opportunity to present additional information about their programs. This year 76% of agencies indicated that they use their RMSA scores to measure the effectiveness of their records management program.

Key Points

Many of the trends and recommendations identified this year are consistent with those identified in previous years. Highlights from the 2015 reporting period include:

- The majority of agencies (80%) indicated that their agency leadership recognizes records and information management as a priority.
- The majority of agencies (83%) indicated that their records management staff have oversight over records created at the highest levels of their agency (i.e., those of the agency head and appropriate advisors and executive staff).
- Of the agencies that allow the use of personal email accounts, 89% have updated policies to comply with the requirement to forward any records from a personal email account to an official email account no later than 20 days after the original creation or transmission of the record.
- While agencies have policies and procedures for email preservation, fewer than 50% audit staff compliance.
- Most agencies either have updated (52%), or are working on updates (30%), to their records management (RM) directives and/or policies to reflect the 2014 amendments to the Federal Records Act (Public Law 113-87).
- Fewer than half of agencies report having records management staff who participate in the design, development, and implementation of new electronic information systems; of those who participate, only a quarter have approval authority.
- The percentage of agencies that report having documented and approved procedures to enable migration of electronic records and associated metadata to new storage media or formats has decreased from 74% to 64%. [This change may be due to asking for documented and approved procedures this year. In previous RMSAs, we found during validation interviews that agencies had informal procedures. Documented and approved procedures are necessary for consistent practices.]

Key Recommendations

This report continues to provide suggestions and priorities for those areas that, in many agencies, remain in need of attention. For a complete list, see Appendix I: Recommendations for Executive Action.

The involvement of senior-level agency officials is essential to make improvements to records management programs; therefore, the following are recommendations intended for the Senior Agency Officials for Records Management (SAORM):

- SAORMs must ensure agency records are appropriately scheduled, including email, and have documented and approved policies for managing and transferring email records, text messages, chat/instant messages, voice messages, and social media records.
- SAORMs must establish internal controls to assure compliance with records management regulations and policies, including routine audits with written reports, monitoring of plans of corrective actions, and records management program performance goals and measures.
- SAORMs must use their authority and influence to ensure that agency program officials and CIOs include agency records management staff in decisions relating to agency electronic records practices, information systems, and cloud hosting services. SAORMs must ensure that senior officials receive effective records management guidance in entrance and exit briefings.
- SAORMs should meet regularly with their Agency Records Officer to establish performance goals for the records management program, and to assess progress against goals by reviewing performance measures.

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

- Agencies should conduct regular 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 routine evaluations, assessments, and audits of the implementation of their records management program, and document their findings and results in a written report.
- Agencies must ensure that incoming and departing senior officials receive entrance and exit briefings on records management responsibilities, including agency procedures related to obtaining approval before removing personal papers or copies of records.
- Agency Records Officers should initiate and establish collaborative relationships with program management, information technology staff, and with NARA experts to develop approved procedures for the transfer of permanently valuable electronic records to the National Archives.

Conclusion

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 necessarily indicate that an agency is free of records management challenges or that they will never experience lapses or failures when managing their records. Therefore, agencies should remain active and diligent in their efforts to ensure good records management is a continuous process.

NARA recognizes the ongoing challenges in modernizing and improving records management throughout the Federal Government. Agencies of all sizes and missions are working to manage rapid 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 continue to raise the profile of records management and contribute to improved preservation and access to government information.

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FY 2015 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).¹ The National Archives and Records Administration (NARA) designed the RMSA as an analytical tool for agencies to assess their programs against Federal records management statutes, regulations, and other requirements. NARA also uses data from the assessment to measure agency compliance with Federal records management statutes and regulations. 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

Under the authority of 44 U.S.C. 2904 and 2906, NARA inspects 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. NARA reports its findings to the appropriate oversight and appropriations committees of Congress and to 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 260 responses this year, representing a 100% response rate. The annual list of respondents to the RMSA is generally stable; however, due to reorganizations, consolidations, and the creation of new agencies, there are some changes from year to year. The web-based survey tool used to gather responses to the questionnaire creates a unique link used to submit a response. NARA also distributes the questionnaire in Word and PDF formats to allow respondents to gather information prior to responding via the survey tool. Statistics for each question are included as Appendix II.

¹ Some agencies not subject to the Federal Records Act participate voluntarily.

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 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 the designation of an agency records officer, strategic goals and objectives, training, RM evaluations/audits, record schedules, the transfer of permanent records, and email policies. The validation pool included large and small agencies, departments and components, and independent agencies. In most cases, we found that the agencies involved in the validation process provided answers that accurately reflect their program.

Scoring and Risk Factors

The RMSA has four main sections. There are 100 possible points distributed across the sections as follows:

Maximum Point Values (per section):

Section 1. Records Management Program - Activities (29 points)

Section 2. Records Management Program - Oversight and Compliance (31 points)

Section 3. Records Management Program - Records Disposition (17 points)

Section 4. Records Management Program - Electronic Records (23 points)

This year questions related to records management training from the electronic records section (Section 4) moved to program activities (Section 1) to align with other RM training questions. This slightly changed the maximum number of points for those sections.

An agency's overall score determines its risk category. The risk categories are:

Low Risk: Scores 90 - 100

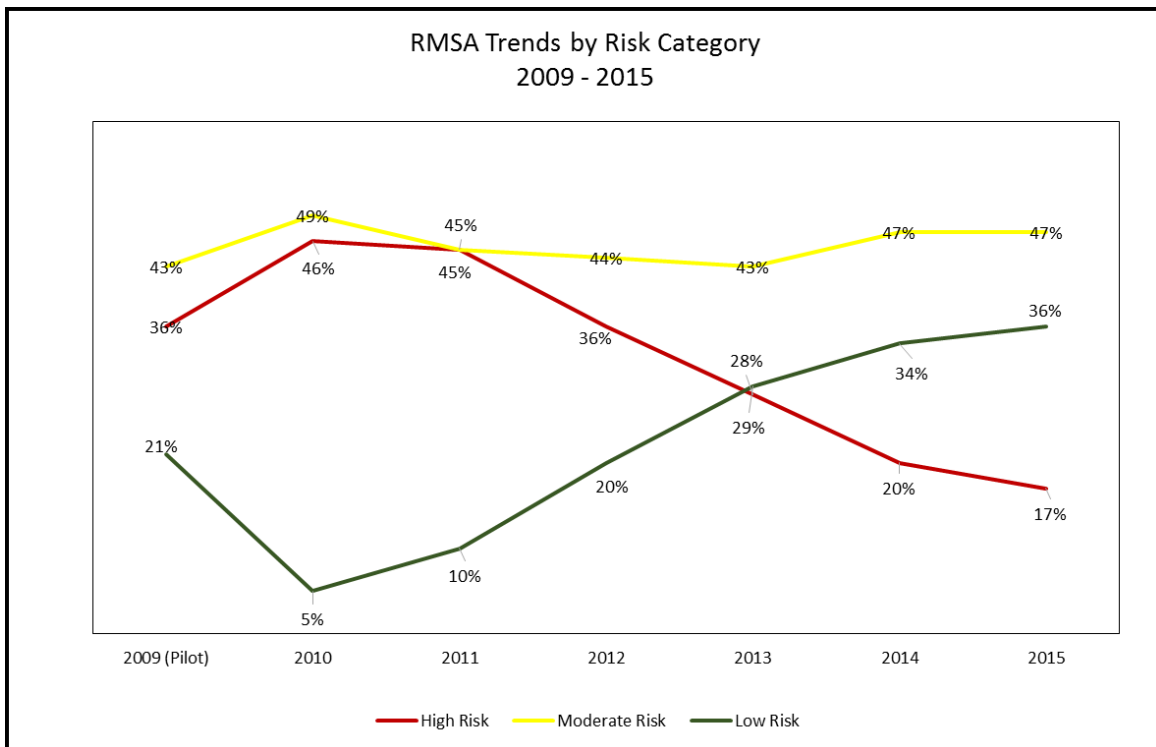
Moderate Risk: Scores 60 - 89

High Risk: Scores 0 - 59

Agencies should use the results of the RMSA to analyze their records management programs and target areas for improvement. This year 76% of agencies indicated that they use their RMSA scores to measure the effectiveness of their records management program.

GENERAL RESULTS

This year 36% of agencies scored in the low risk category, 47% in the moderate risk, and 17% in the high risk. In 2014, the risk category breakdown was 34% low risk, 47% moderate risk, and 20% high risk. This year's results show the continued gradual improvement in overall scores that we have seen since 2010. 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.



We recognize that self-reported data is not conclusive in determining whether agency staff and contractors are properly managing records in every case and every circumstance. Low risk does not indicate no risk. Scoring in the low risk category does not mean that an agency is free of records management challenges or that they will never experience lapses or failures when managing their records.

Although some areas still need attention, scores continue to improve in records management activities, oversight and compliance, and records disposition (sections one, two, and three of the RMSA). Some of the notable statistics from these sections include:

- Most agencies (96%) either have or are currently developing strategic goals and objectives for the RM programs.
- The majority of agencies (83%) indicate that the records management staff have oversight over records created at the highest levels of their agency (i.e., those of the agency head and appropriate advisors and executive staff).
- The majority of agencies (80%) indicated that the leadership and management of their agencies recognize records and information management as a priority.
- Over half of agencies (63%) have submitted records retention schedules to NARA within the last two years.
- Only 21% of agencies transferred permanent electronic records to NARA last year and only 51% transferred permanent non-electronic records. (The majority of those who did not transfer records indicated that they had no eligible records to transfer.)

The fourth section (Electronic Records) remains the weakest area. Some of the areas of concern include:

- Fewer than half of agencies report having RM staff who participate in the design, development, and implementation of new electronic information systems; of those who participate, only a quarter have approval authority.
- While agencies have policies and procedures for email preservation, fewer than 50% audit staff compliance.
- The incorporation and/or integration of internal controls to ensure reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems remained the same (76%) as in 2014.
- The percentage of agencies that report having documented and approved procedures to enable migration of electronic records and associated metadata to new storage media or formats has decreased from 74% to 64%. [This change may be due to asking for documented and approved procedures this year. In previous RMSAs, we found during validation interviews that agencies had informal procedures. Documented and approved procedures are necessary for consistent practices.]

SECTION ONE: RECORDS MANAGEMENT PROGRAM - ACTIVITIES

This section focuses on major records management program areas including organizational structure, policy, and training. To consolidate questions related to training, this year we moved several questions to this section from section four. This section now contains 10 scored questions out of 17 for a total of 29 possible points.

Trends

Overall agencies tend to score well in this section with 70% of agencies scoring in the low risk category, 21% in the moderate risk category, and 8% in the high risk category. In general, agencies continue to report that they have records officers and networks of staff assigned records management responsibilities, and that they update records management directives regularly.

Organizational structure

Almost all agencies report having a person who is responsible for coordinating and overseeing the implementation of the records management program in compliance with 36 CFR 1220.24(a). Usually this person is the Agency Records Officer or Department Records Officer for Department level agencies. In a few instances, this person is the Chief Records Officer, a Program Manager, or other similar title. As part of the records management program, the majority of agencies (87%) have a network of designated employees within each program and administrative area who are assigned specific records management responsibilities, often known as Records Liaison Officers (RLOs) in compliance with 36 CFR 1220.34(d). Agencies that do not are usually very small or micro agencies with few employees; therefore, a network is not practical or necessary.

Engaged management, particularly at the senior executive level, has always been critical to records management program success. In an important step, OMB/NARA Managing Government Records Directive (M-12-18) has formalized this need by requiring that agencies name a Senior Agency Official for Records Management (SOARM).² In this vein, we asked whether leadership and management were recognizing records and information management as a priority. The results are positive with 98% of agencies indicating yes, or to some extent.

Policy and program implementation

36 CFR 1220.34(c) requires that agencies have a records management directive. This directive should be agency specific, delineate roles and responsibilities, and be updated regularly. The results for this area are stable with 95% of agencies indicating that they have a directive. The majority of directives were updated in 2015 (56%) and others in 2013 or 2014 (28%) and another 12% not updated since 2010-2012.

² OMB/NARA Managing Government Records Directive (M-12-18), <https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>.

Establishing strategic goals and objectives is essential to improving implementation of records management programs and measuring progress. It is encouraging to see that 79% of agencies have established strategic goals and objectives with 17% doing so to some extent.

Training

Training is another essential element of a successful records management program. 36 CFR 1220.34 and M-12-18 require agencies to train their staff and provide an awareness of records management requirements, responsibilities and benefits. The RMSA has been tracking training programs for several years. The results in the past few years have been very stable. This year 87% of agencies provide training for RLOs, 85% have staff-wide formal training, and 75% provide specific training for handling of records created and maintained in electronic formats. However, only 67% have staff-wide formal training on the retention of records created through electronic communications including email, text messages, chat, or other messaging platforms or applications, such as social media or mobile devices.

Key Points

- Almost all agencies (96%) either have or are currently developing strategic goals and objectives for the RM programs.
- The majority of agencies (85%) provide training based on their agencies' policies.
- The majority of agencies (80%) indicated that the leadership and management of their agencies recognize records and information management as a priority.
- Only 67% have staff-wide formal training on the retention of records created through electronic communications including email, text messages, chat, or other messaging platforms such as social media or mobile devices.

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.³

The questions in this section focus on whether agencies have established internal controls, set performance goals, and created measures to track performance goals for their records management programs. These questions also gather information on how agencies conduct internal assessments, evaluations, and audits to ensure that records management programs comply with internal policies and Federal records management statutes and regulations. This year we removed several non-scored questions. This section now contains eleven scored questions out of twenty questions for a total of 31 possible points.

Trends

The number of agencies scoring in the low risk and the moderate risk categories for oversight and compliance remained about the same as last year at 48% and 39% respectively. In contrast, the number of agencies scoring in the high-risk category increased from 9% to 13%. Most 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; however, the frequency with which they do this has decreased. The majority of agencies (83%) indicated that records management staff have oversight over records created at the highest levels (i.e., agency heads and appropriate advisors, and executive support staff) to ensure compliance with 36 CFR 1220.

Internal controls

Internal controls are a series of ongoing actions and activities that are integral to monitoring the implementation of records management policies and procedures.⁴ The RMSA has included questions addressing internal controls, with particular focus on the transfer of permanent records over the last five years. There was little or no change from last year, with 82% reporting that they

³ https://www.whitehouse.gov/omb/circulars_a123_rev.

⁴ 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.)

have 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)). In addition, 86% indicated that they have implemented internal controls to ensure that temporary records are not destroyed before the end of their retention period (36 CFR 1222.26(e)).

In order to achieve a better understanding of specific records management internal controls, this year we provided a list of types of internal controls:

- Regular briefings and other meetings with records creators
- Approval process for transfer notices from Federal Records Centers
- Monitoring and testing of file plans
- Regular review of records inventories
- Internal tracking database of permanent record authorities and dates
- Approval process for disposal notices from off-site storage
- Require certificates of destruction
- Monitoring shredding services
- Performance testing for email
- Monitoring and testing of file plans
- Pre-authorization from records management program before records are destroyed
- Ad hoc monitoring of trash and recycle bins
- Notification from facilities staff when large trash bins or removal of boxes are requested
- Annual records clean out activities sponsored and monitored by records management staff

Evaluations, inspections, and audits

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.)

This year, 82% of agencies reported conducting audits, which is the same as last year but a 10% increase over 2012. However, only 67% of those who indicated that they carry out these activities stated that they have done so within the last two years. This is a return to the 2012 level, down from a peak of 78% in 2014. In addition, only 63% prepare a written report and 72% create monitored plans of corrective action.

Performance goals and measures⁵

This year agencies continued to indicate that they either established (74%) or are developing (15%) performance goals for their records management programs.

This year we asked about specific performance measures to determine completion of these goals:

Performance Measure	Percentage Using
Percentage of staff trained in records management	90%
Development of new records management training modules	68%
Percentage of offices evaluated/inspected for records management compliance	57%
Annual updates of file plans	56%
Percentage of records scheduled	55%
Audits of internal systems	40%
Performance testing for email applications to ensure records are captured	21%
Percentage of email management auto-classification rates	10%

Key Points

- The majority of agencies (83%) indicate that the records management staff have oversight over records created at the highest levels of their agency (i.e., those of the agency head and appropriate advisors and executive support staff).
- 82% of agencies reported conducting audits; however, the frequency with which they are doing so has slipped from annually to every 2 years.
- There was little or no change in the number of agencies establishing internal controls to ensure proper management and disposition of agency records.

⁵ 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, records storage, the transfer of permanent records, 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.

Every other year the RMSA includes non-scored questions to determine how effectively agencies are storing records in accordance with storage facility standards. For 2015, this changed the total number of questions for this section from 18 to 21; the section still contains six scored questions for a total of 17 possible points.

Trends

There was little or no change in the number of agencies scoring in each risk category with 60% low risk, 36% moderate risk, and 14% high risk. This indicates some level of stability, but also indicates that there is considerable room for improvement in disposition programs.

Records schedules

When asked about scheduling records, 63% responded that they had submitted a schedule to NARA in FY 2013-2015, with the remaining 37% not having submitted a schedule since 2012. M-12-18 requires agencies to schedule all non-electronic records by December 31, 2016. There is an expectation that the number of agencies submitting schedules in 2015-2016 will dramatically increase if these agencies expect to meet this goal.

Permanent non-electronic records

In results similar to last year, only 51% 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 said the agency itself was not old enough to have records eligible to transfer; their records were still needed for business purposes; or the records transfer period is 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 reported transferring non-electronic records; only 21% of agencies reported having transferred electronic records. By far the most frequently cited reason for not transferring electronic records was that no electronic records/systems were eligible for transfer. About half of the agencies reported that they have a method for estimating the volume in bytes of permanent electronic records maintained. However, conversely, about half

indicated they either did not have or did not know if there was a method for estimating volume in bytes.

Tracking the transfer of permanent records to NARA

Most agencies are tracking when their permanent records, both electronic and non-electronic, are due for transfer to NARA. Over 83% of agencies (up from 76% last year) reported using some method to track this information. This year we asked what methods agencies used to track permanent records. The majority indicated that they rely on the Federal Records Centers to notify them when records held in these facilities are eligible. Other methods included maintaining an inventory manually or with databases and other automated tracking tools.

Records storage

Most Federal agencies store records at Federal Records Centers operated by NARA. However, a few agencies (25%) use private sector commercial records storage facilities that offer records storage, retrieval and disposition services. Of those that use commercial facilities, 89% said that those facilities comply with facility standards prescribed by 36 CFR 1234.

Exit briefings for senior officials

Seventy-nine 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-one percent of agencies reported documenting the exit briefings for purposes of accountability.

Of those agencies who reported providing exit briefings, 79% indicated that the Agency Records Officer (ARO) was involved, 26% indicated the Senior Agency Official for Records Management (SAORM), and 16% 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. This is relatively unchanged from last year.

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. Agencies should consult NARA's bulletin on unauthorized removal of Federal records for guidance on this issue.⁶

⁶ 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>.

Key Points

- Over half of agencies (63%) have submitted records retention schedules to NARA within the last two years.
- Only 21% of agencies transferred permanent electronic records to NARA last year and only 51% transferred permanent non-electronic records. (The majority of those who did not transfer records indicated that they had no eligible records to transfer.)
- 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.

SECTION FOUR: RECORDS MANAGEMENT PROGRAM – ELECTRONIC RECORDS

Properly managing electronic 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, Federal regulations under 36 CFR 1236 apply to the management of electronic records, including email.

As the importance of electronic records grows so does the need to understand how Federal agencies are managing them. The RMSA adds or removes non-scored questions to address changes in electronic records management issues. This section now contains eight scored questions out of 25 questions for a total of 23 possible points. 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.

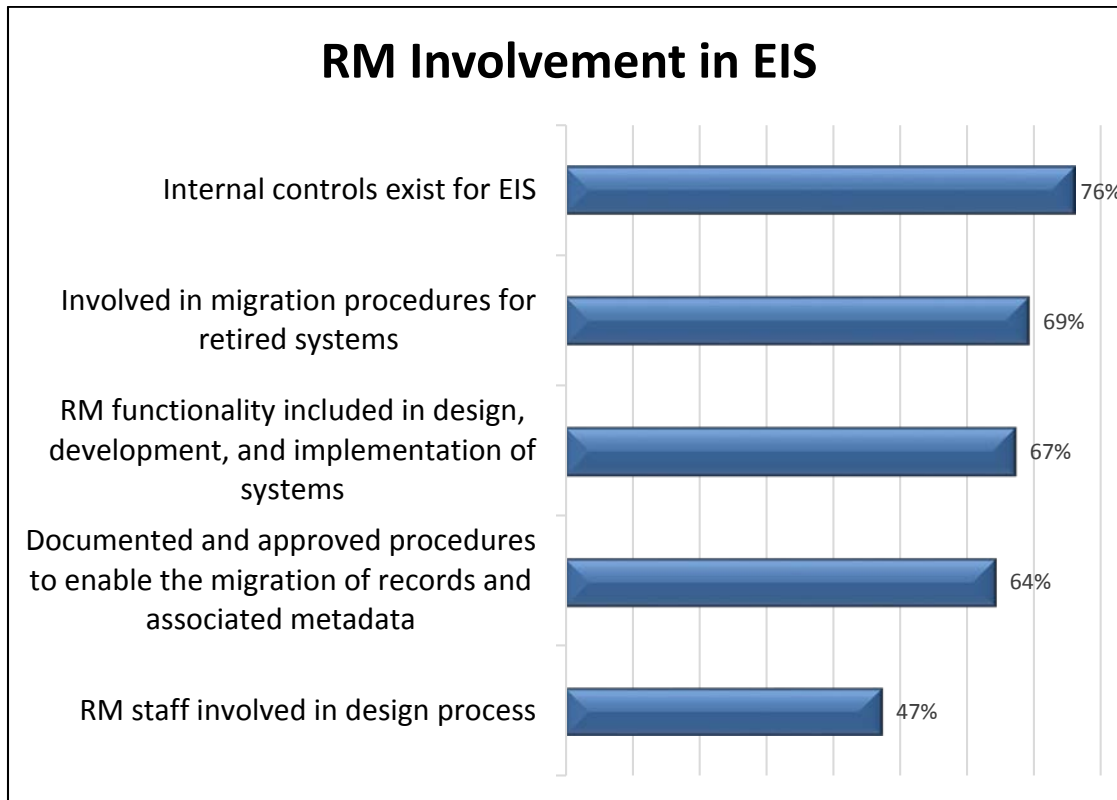
Trends

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. The following section of the report discusses changes in the law, email management, and other significant topics surrounding electronic records management.

Records Management Staff and Electronic Information System Design

There was very little change in the responses to questions regarding records management staff involvement or influence with ensuring the reliability, integrity, authenticity, and usability of electronic records; the ability to migrate records when necessary; or ensuring the incorporation of records management functionality into the design, development, and implementation of electronic information systems (EIS) (36 CFR 1236). Overall records management involvement is between 47% and 69%. Seventy-six percent of agencies, the same as previous years, report

using internal controls to ensure the reliability, authenticity, and usability of agency electronic records maintained in electronic information systems. However, through other oversight activities, we have found that many agencies do not have a clear understanding of what constitutes internal controls for records management.



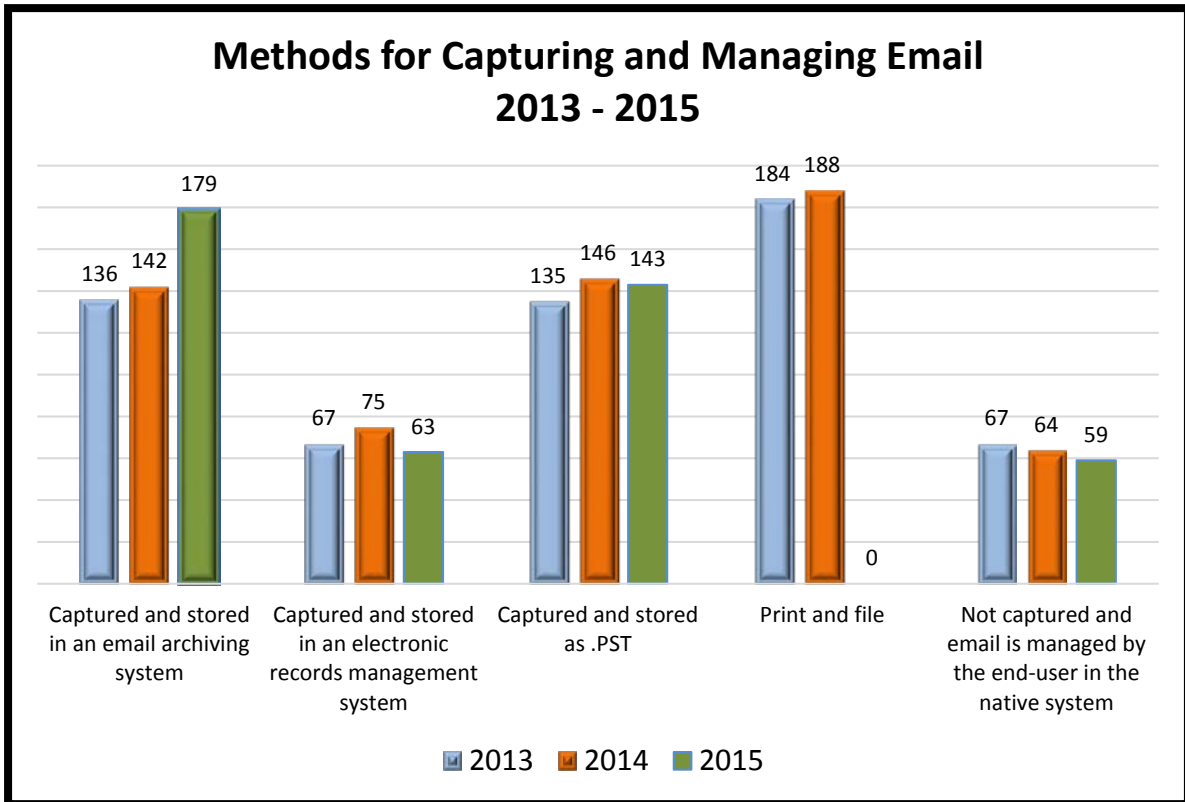
Email Management

Management of email remains one of the biggest challenges and concerns for Federal agencies and the public. The 2015 RMSA concentrated many of its questions regarding electronic records management on the handling of email, particularly around email policies and procedures. Significant findings in this area include:

- The majority of agencies (73%) have documented and approved policies and procedures to handle temporary email records with a retention period longer than 180 days (36 CFR 1236.22).
- Only 40% of agencies have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA outlined in NARA Bulletin 2014-04.⁷

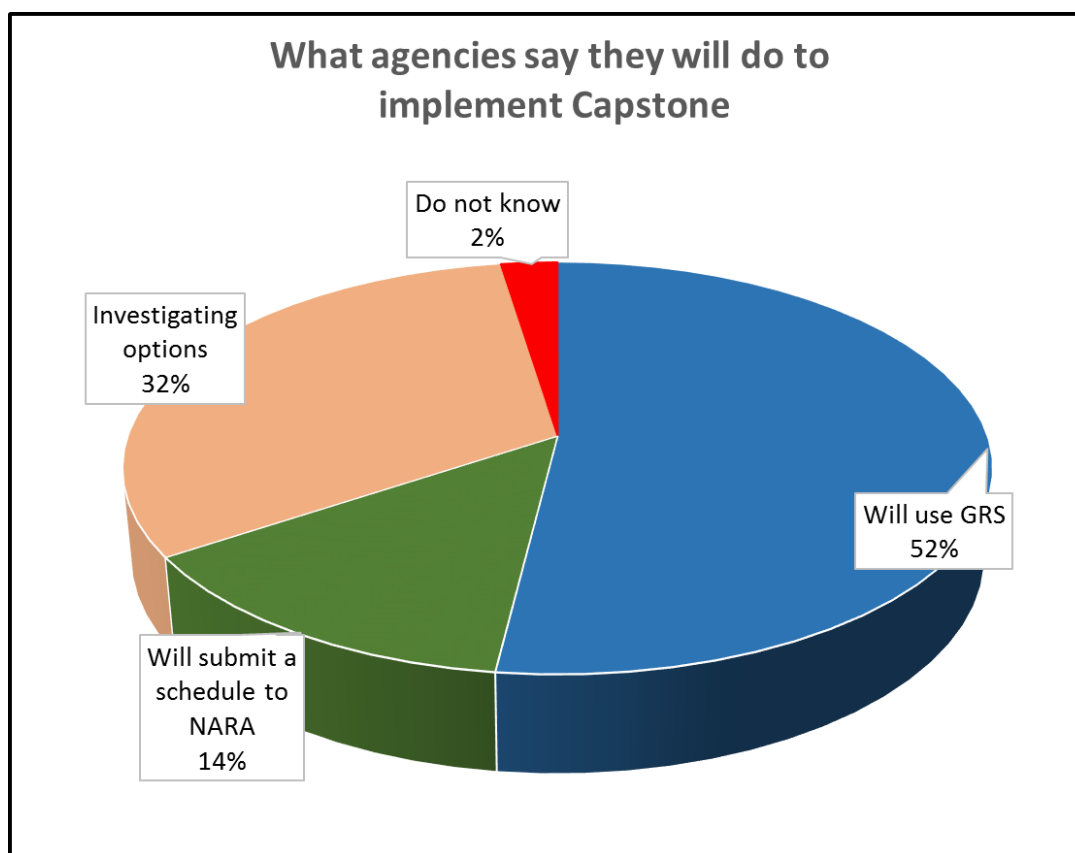
⁷ Revised Format Guidance for the Transfer of Permanent Electronic Records, February 4, 2014, <http://www.archives.gov/records-mgmt/bulletins/2014/2014-06.html>.

Since 2013, the RMSA has asked a question concerning methods agencies use to capture and manage email records. There have been some significant differences over time, particularly a reduction in the number of agencies printing and filing email and an increase in those using an email archiving system. Few agencies report they are not capturing email records or managing email by the end-user in native email systems.



Capstone

Under 36 CFR 1236, Federal agencies have long been required to manage email as Federal records. With the issuance of M-12-18, agencies must now manage all email records in an accessible electronic format by December 31, 2016. The Capstone approach is one way of managing the overwhelming volume of email that Federal agencies produce. This method allows for the scheduling of email based on the work and/or position of the email account owner (NARA Bulletin 2013-02).⁸ The Capstone approach allows capturing permanent records from the accounts of officials at or near the top of an agency or an organizational subcomponent. The agency can then schedule the remaining email accounts as temporary and preserve them for a set period of time based on the agency's needs. To help implement Capstone NARA has created a General Records Schedule (GRS 6.1)⁹ for managing email under the Capstone approach. This year the RMSA asked whether agencies intend to use Capstone and if they will submit an agency specific schedule or use GRS 6.1. The majority of agencies (79%) will implement Capstone. The results, as illustrated by the following graph, surrounding implementation are encouraging.



⁸ Guidance on a New Approach to Managing Email Records, <http://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html>.

⁹ General Records Schedules, www.archives.gov/records-mgmt/grs.html.

Public Law 113-187

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.¹⁰ This new law focuses more directly on electronic records and complements efforts by NARA and the Office of Management and Budget (OMB) to implement the goals of M-12-18.

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. The Amendments also clarify the responsibilities of Federal officials when using non-government owned email systems and grant the Archivist of the United States final determination as to what constitutes a Federal record. It was still too soon in 2015 to know the full impact of these changes. However, most agencies either have updated (52%) or are working on updates (30%) to their RM directives and/or policies to reflect the changes. Of particular interest, 89% of agencies that allow the use of personal email accounts have updated policies to comply with the law’s requirement to forward any records from a personal email account to an official email account within 20 days after the original creation or transmission of the record.

Policies and procedures for electronic records

The ability to communicate in various ways increases the variety of tools and applications that can create records. This year we asked if agencies had documented and approved policies and procedures in place to manage electronic messages including: text messages, chat/instant messages, voice messages, and messages created in social media tools or applications. Only half of the agencies answered “Yes”. The remaining half either answered “No” or indicated that these were in progress or under consideration. An additional concern is that only 29% of agencies indicated they had approved records schedules covering electronic messages that meet the definition of a Federal record.

Key Points

The fourth section (Electronic Records) remains the weakest area. In many areas of the electronic records section of the RMSA, there was little evidence of significant change in compliance compared to last year. Some of the areas of concern include:

- Fewer than half of agencies report having RM staff who participate in the design, development, and implementation of new electronic information systems; of those who participate, only a quarter have approval authority.
- While agencies have policies and procedures for email preservation, fewer than 50% audit staff compliance.
- The incorporation and/or integration of internal controls to ensure reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems remained the same (76%) as in 2014.

¹⁰ Public Law 113-187, <http://www.gpo.gov/fdsys/pkg/PLAW-113publ187/pdf/PLAW-113publ187.pdf>.

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- The percentage of agencies that report having documented and approved procedures to enable migration of electronic records and associated metadata to new storage media or formats has decreased from 74% to 64%. [This change may be due to asking for documented and approved procedures this year. In previous RMSAs, we found during validation interviews that agencies had informal procedures. Documented and approved procedures are necessary for consistent practices.]

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

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. The purpose of M-12-18 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.

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. NARA continues to lead a variety of initiatives, some specifically generated by M-12-18, to improve records management including:

- Success criteria for managing email electronically to help agencies meet Goal 1.2: Managing all email in electronic format by December 31, 2016, pending release;
- Training and guidance on implementing the Capstone approach to managing email;¹¹
- A formal records management job series by the Office of Personnel Management (OPM);¹²
- Encouraging and defining Senior Agency Official for Records Management (SAORM) involvement and oversight of agency records management programs;
- Guidance for transferring permanent records in electronic format to NARA;¹³
- Automated Electronic Records Management Plan;¹⁴
- Federal records management maturity model;¹⁵
- Revised General Records Schedules;
- Improvements to NARA's records scheduling and appraisal processes; and

¹¹Email Management: <http://www.archives.gov/records-mgmt/email-mgmt.html#capstoneimplementation>.

¹² <https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/standards/0300/g0308.pdf>.

¹³ Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records. <http://www.archives.gov/records-mgmt/policy/transfer-guidance.html>.

¹⁴ 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>.

¹⁵ Federal RIM Program Maturity Model, <http://www.archives.gov/records-mgmt/prmd.html>.

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- Policy and guidance products for managing social media.

While there were no goals or tasks in M-12-18 with due dates in 2015, measuring progress toward 2016 and 2019 goals was still relevant. The RMSA asked questions of agencies about the following aspects of M-12-18:

Requirement 2.1: Agencies must designate a Senior Agency Official for Records Management (SAORM)

Requirement 2.1 requires agencies to designate and reaffirm annually an SAORM. Almost 98% of agencies report compliance. Of those agencies, 77% (184) responded that their Agency Records Officer (ARO) meets with the SAORM at least four or more times a year to discuss agency records management goals. This is an increase of 10 percentage points from 2014, suggesting that the SAORMs may be more engaged in records management within agencies. However, a quarter of agencies stated that their records officer is not meeting regularly with their SAORM.

Requirement 2.5: SAORM shall ensure that records are scheduled

Requirement 2.5 requires that the SAORM and ARO ensure that records schedules are submitted to NARA for all existing paper and other non-electronic records by December 31, 2016. It is encouraging that 79% of agencies reported having a method of continually identifying new and unscheduled records. In 2013, the RMSA asked agencies to submit an inventory of unscheduled records. In subsequent years, we have asked agencies to submit an inventory of newly identified unscheduled records. This year we received 25 inventories spread out over 11 departments and 4 independent agencies. Almost 65% of agencies indicated that they are actively working with NARA appraisal staff to schedule all unscheduled records by December 31, 2016. This is down from 74% in 2014.

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

M-12-18 required NARA to gather information regarding Federal agency use of cloud services. This year, 76% of agencies indicated they were using cloud services. This is a significant increase from the 68% that reported using cloud services in 2014. Of the agencies using the cloud, the majority of them used it for storing email and administrative records. While 64% of those using cloud services said their cloud initiatives had recordkeeping requirements, 20% indicated that recordkeeping requirements were not included. Most alarming is that 15% responded that they did not know if recordkeeping requirements were being included.

Section B3: Establish a formal records management occupational series

M-12-18 required the Office of Personnel Management (OPM) to establish a formal Federal General Schedule (GS) job series for records management to elevate records management roles, responsibilities, and skill sets for agency records officers and other records professionals. OPM accomplished this goal with the new Records and Information Management Series, 0308. Forty-six percent of agencies said they intend to use the new series. The remaining 46% were either not

going to use the series or were unsure, and another 8% of agencies do not use the GS classifications.

DEMOGRAPHIC QUESTIONS

Each year we ask a variety of demographic questions that help describe similarities and differences between agencies.

Number of Full-Time Employees (FTEs)	Number of Agencies
Answer Options	Responses
500,000 or more FTEs	3
100,000 – 499,999 FTEs	12
10,000 – 99,999 FTEs	50
1,000 – 9,999 FTEs	73
100 – 999 FTEs	81
1 – 99 FTEs	37
Not Available	4
Total responding: 260	

- Responding agencies are diverse in size, ranging from very large departments and component agencies to very small micro agencies.
- 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 improving services to agencies and informing 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)

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- This year 84% of respondents were the Agency Records Officer.
 - This year 81% of agencies indicated that their agency's senior management reviewed their responses to the RMSA.

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 rapid technological changes to support mission and business needs, 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. The RMSA is just one compliance-centered metric. However, individual and collective results of the RMSA continue to raise the profile of records management and contribute to improved preservation and access to government information. This report continues to provide guidance for SAORM or executive review and helps prioritize those areas that, in many agencies, remain in need of attention (see Appendix I: Recommendations for Executive Action). Using this self-assessment, inspections, and other oversight activities, NARA will continue to monitor the modernization and improvement of Federal records management.

APPENDIX I

RECOMMENDATIONS FOR EXECUTIVE ACTION

The following recommendations, many of which carry over from previous self-assessments, 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).¹⁶

The role of the Senior Agency Official for Records Management is critical

- SAORMs must ensure agency records are appropriately scheduled, including email, and have documented and approved policies for managing and transferring email records, text messages, chat/instant messages, voice messages, and social media records.
- SAORMs must establish internal controls to assure compliance with records management regulations and policies, including routine audits with written reports, monitoring of plans of corrective actions, and records management program performance goals and measures.
- SAORMs must use their authority and influence to ensure that agency program officials and CIOs to include agency records management staff in decisions relating to agency electronic records practices, information systems, and cloud hosting services, and to ensure that senior officials receive effective records management guidance in exit briefings.
- SAORMs should meet regularly with their Agency Records Officer to establish performance goals for the records management program, and to assess progress against goals by reviewing performance measures.

Records management activities

- Agencies must develop agency-specific records management training for employees at all levels of the organization.

Oversight activities

- Agencies should conduct regular 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 routine evaluations, assessments, and audits of the implementation of their records management program, and document their findings and results in a written report.
- Agencies should develop risk mitigation plans to address high-risk findings resulting from risk assessments, and plans of corrective action to address findings resulting from evaluations, assessments, and audits conducted of their records management programs.
- Agencies should establish performance goals for their records management programs that are specific, measurable, achievable, relevant, and time-bound.

¹⁶ OMB/NARA Managing Government Records Directive (M-12-18), <https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>.

- Agencies should establish performance measures for their records management programs that enable them to track their progress towards achieving their performance goals.

Records disposition

- All agencies must schedule all records in accordance with 36 CFR 1225.
- Agencies must ensure that departing senior officials receive exit briefings on records management responsibilities or require them to obtain approval before removing personal papers or copies of records.¹⁷
- Agency Records Officers should initiate and establish collaborative relationships with program management, information technology staff, and with NARA experts to develop approved procedures for the transfer of permanently valuable electronic records to the National Archives.

Electronic records

- Agencies must develop and implement recordkeeping requirements for managing records in cloud-based environments.
- Agencies must develop methods for ensuring compliance with their policies and procedures for email.
- Agencies must have documented and approved policies and procedures to handle email records that have a retention period longer than 180 days.
- Agencies must have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA.
- Agencies that allow use of personal email accounts must have updated policies to comply with the law's requirement to forward any records from a personal email account to an official email account no later than 20 days after the original creation or transmission of the record.
- Agencies must have policies and procedures in place, and training for staff to ensure compliance, on the retention of records created through electronic communications including text messages, chat, or other messaging platforms or applications, such as social media or mobile devices.
- Agencies must incorporate records management and archival functions into the design, development, and implementation of information systems in accordance with OMB Circular A-130, "Management of Federal Information Resources," and other guidance.*
- Agencies must ensure preservation of official email messages in appropriate recordkeeping systems.*
- Agencies planning to adopt the Capstone approach for email management should work with NARA to ensure successful implementation by the December 31, 2016 deadline.*

¹⁷ While the number of agencies not including RM in exit briefings or do not conduct them at all, this recommendation remains an important one for agencies to keep in mind, particularly with the upcoming administration transition in 2017..

*While not specifically covered in this year's report, this recommendation, highlighted in prior RMSA reports is worth repeating. Previous RMSA reports are located at <http://www.archives.gov/records-mgmt/resources/self-assessment.html>.

APPENDIX II

2015 Records Management Self-Assessment Questionnaire with Response Statistics

(This version of the questionnaire includes charts indicating percentages and response counts per answer option based on the number of respondents. Some percentages may appear to add up to greater or less than 100% due to displaying percentages in whole numbers.)

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 Percentage	Response Count
Yes (3 points)	99%	258
No (0 points)	<1%	1
Do not know (0 points)	<1%	1
Total responding to this question		260
2. If Yes: Please provide the person's name, position title, and office. (Not scored)		
3. Does your agency have a records management directive(s)? (36 CFR 1220.34(c)) (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	95%	247
No (0 points)	5%	12
Do not know (0 points)	<1%	1
Total responding to this question		260

4. 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 Percentage	Response Count
FY 2015 - present (3 points)	56%	146
FY 2013 - 2014 (2 points)	28%	72
FY 2011 - 2012 (1 point)	4%	11
FY 2010 or earlier (0 points)	8%	20
Do not know (0 points)	1%	2
Not applicable, agency does not have a records management directive (0 points)	3%	9
Total responding to this question		260
5. Has your agency updated its records management directives and/or policies to reflect changes to the Federal Records Act (Public Law 113-187)? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	52%	135
No	7%	19
No, unaware of these changes	2%	6
Under development	30%	77
Do not know	1%	3
Other, please explain	7%	19
Total responding to this question		259
6. Has your agency's records management program established strategic goals and objectives? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	79%	203
No	4%	10
To some extent	17%	44
Do not know	<1%	1
Total responding to this question		258

7. Does the leadership and management of your agency recognize records and information management as a priority? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	80%	208
No	2%	4
To some extent	18%	46
Do not know	<1%	1
Total responding to this question		259
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))		
8. 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 Percentage	Response Count
Yes (3 points)	87%	225
No (0 points)	7%	18
Do not know (0 points)	<1%	1
Not applicable, please explain (3 points)	6%	16
Total responding to this question		260
The next series of questions relate to records management training.		
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 <u>must</u>:		
<ul style="list-style-type: none"> • 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. 		

9. 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 workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.		
Answer Options	Response Percentage	Response Count
Yes (2 points)	87%	227
No (0 points)	8%	22
Do not know (0 points)	1%	2
Not applicable, please explain (2 points)	3%	9
Total responding to this question		260
10. 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 workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.		
Answer Options	Response Percentage	Response Count
Yes (3 points)	85%	222
No (0 points)	11%	28
Do not know (0 points)	1%	2
Not applicable, please explain (3 points)	3%	8
Total responding to this question		260

11. 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 Percentage	Response Count
Yes (3 points)	75%	195
No (0 points)	18%	48
Do not know (0 points)	1%	3
Not applicable, please explain (3 points)	5%	14
Total responding to this question		260
12. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created through electronic communications including email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications? (36 CFR 1220.34(f)) (3 points)		
*Includes NARA's records management training workshops that were customized specifically for your agency.		
Answer Options	Response Percentage	Response Count
Yes (3 points)	67%	174
No (0 points)	25%	65
Do not know (0 points)	1%	3
Not applicable, please explain (3 points)	7%	17
Total responding to this question		259
<p>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)</p>		

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 Percentage	Response Count
Yes (3 points)	80%	209
No (0 points)	18%	48
Do not know (0 points)	1%	3
Total responding to this question		260
14. Is the records management training described in questions 9 through 13 mandatory? (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	67%	174
To Some Extent (2 points)	18%	48
No (0 points)	9%	24
Do not know (0 points)	1%	2
Not applicable, agency has not developed internal records management training (0 points)	5%	12
Total responding to this question		260
15. If Yes or To Some Extent: Which staff members are required to complete the records management training described in questions 9 through 13? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
Agency employees	91%	202
Contractors	73%	161
Senior officials	86%	192
Employees assigned records management responsibilities	91%	201
Do not know	0%	0
Total responding to this question		222

16. Is records management training included in the new hire in-processing for new employees in your agency? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	74%	193
No	21%	54
Do not know	2%	4
Not applicable, agency has not developed internal records management training	3%	9
Total responding to this question		260
17. Please add any additional comments about your agency for Section I: Program Activities. (Optional)		
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:		
<ul style="list-style-type: none"> ● Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance; 		
<ul style="list-style-type: none"> ● Processes consisting of ongoing tasks and activities—a means to an end, not an end in itself; 		

<ul style="list-style-type: none"> • 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; 		
<ul style="list-style-type: none"> • Able to provide reasonable assurance, but not absolute assurance, to an entity’s senior management; 		
<ul style="list-style-type: none"> • 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. 		
<p>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, https://www.whitehouse.gov/omb/circulars_a123_rev.)</p>		
<p>18. <u>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)</u></p>		
<p>** 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.</p>		
Answer Options	Response Percentage	Response Count
Yes (3 points)	82%	214
No (0 points)	13%	33
Do not know (0 points)	1%	2
Not applicable, please explain (3 points)	4%	11
Total responding to this question		260

19. If Yes: Please select the control <u>activities</u> 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 Percentage	Response Count
Regular briefings and other meetings with records creators	65%	140
Approval process for transfer notices from Federal Records Centers	79%	168
Monitoring and testing of file plans	42%	90
Regular review of records inventories	71%	153
Internal tracking database of permanent record authorities and dates	45%	97
Other, please explain	25%	53
Total responding to this question		214
20. <u>In addition to</u> 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 Percentage	Response Count
Yes (3 points)	86%	223
No (0 points)	10%	25
Do not know (0 points)	1%	3
Not applicable, please explain (3 points)	3%	9
Total responding to this question		260

21. If Yes: Please select the control <u>activities</u> 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 Percentage	Response Count
Regular review of records inventories	70%	157
Approval process for disposal notices from off-site storage	79%	176
Require certificates of destruction	49%	109
Monitoring shredding services	42%	94
Performance testing for email	20%	45
Monitoring and testing of file plans	38%	85
Pre-authorization from records management program before records are destroyed	67%	149
Ad hoc monitoring of trash and recycle bins	29%	65
Notification from facilities staff when large trash bins or removal of boxes are requested	28%	62
Annual records clean out activities sponsored and monitored by records management staff	46%	103
Other, please explain	25%	55
Total responding to this question		223
22. Does your records management staff have oversight over records created at the highest levels of your agency (i.e. those of Agency Heads and appropriate advisors, and executive support staff) in order to ensure they are created, maintained, captured, preserved, and, when applicable, properly transferred to NARA? (36 CFR 1220) (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	83%	217
No	11%	28
Other, please explain	6%	15
Total responding to this question		260

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)

23. 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 Percentage	Response Count
Yes (3 points)	82%	213
No (0 points)	14%	36
Do not know (0 points)	1%	3
Not applicable, please explain (3 points)	3%	7
Total responding to this question		259

24. 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 Percentage	Response Count
Every 1 - 2 years (3 points)	67%	174
Every 3 - 4 years (2 points)	18%	48
Every 5 years (1 point)	2%	4
More than every 5 years (0 points)	3%	7
Do not know (0 points)	2%	4
Not applicable, agency does not evaluate its records management program (0 points)	9%	23
Total responding to this question		260

25. Was a written report prepared as part of the most recent inspection/audit/review? (2 points)		
Answer Options	Response Percentage	Response Count
Yes (2 points)	63%	164
No (0 points)	25%	65
Do not know (0 points)	3%	9
Not applicable, agency does not evaluate its records management program (0 points)	8%	22
Total responding to this question		260
26. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	72%	185
No	15%	39
Do not know	4%	10
Not applicable, agency does not evaluate its records management program	9%	24
Total responding to this question		258
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:		
<ul style="list-style-type: none"> • 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. 		

27. Has your agency established performance goals for its records management program? (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	74%	193
No (0 points)	8%	20
Currently under development (3 points)	15%	38
Do not know (0 points)	<1%	1
Not applicable, please explain (3 points)	3%	8
Total responding to this question		260
28. If Yes: Please describe your agency's records management program's performance goals. (Not scored)		
29. 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)		
<p>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:</p>		
<ul style="list-style-type: none"> ● 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. 		
<p>("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.)</p>		

30. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	74%	192
No (0 points)	12%	31
Currently under development (3 points)	12%	31
Do not know (0 points)	<1%	1
Not applicable, please explain (3 points)	2%	4
Total responding to this question		259
31. 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 Percentage	Response Count
Percentage of records scheduled	55%	105
Percentage of staff trained in records management	90%	172
Percentage of offices evaluated/inspected for records management compliance	57%	110
Percentage of email management auto-classification rates	10%	19
Development of new records management training modules	68%	131
Audits of internal systems	40%	76
Annual updates of file plans	56%	108
Performance testing for email applications to ensure records are captured	21%	40
Do not know	0%	0
Other, please explain	26%	50
Total responding to this question		192

32. 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)		
33. Does your agency's records management program have <u>documented and approved</u> 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 Percentage	Response Count
Yes (2 points)	81%	211
No (0 points)	17%	45
Do not know (0 points)	1%	3
Total responding to this question		259
Vital records* (also known as Essential 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)		
*pending updates to regulations, the RMSA still uses this terminology		
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))		
34. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	81%	210
No (0 points)	12%	30
Do not know (0 points)	4%	10
Not applicable, please explain (3 points)	4%	10
Total responding to this question		260

35. How often does your agency review and update its vital records inventory? (36 CFR 1223.14) (3 points)		
Answer Options	Response Percentage	Response Count
Annually (3 points)	62%	161
Every 2 - 3 years (2 points)	16%	42
Every 4 - 6 years (1 point)	7%	19
Never (0 points)	7%	17
Do not know (0 points)	7%	19
Total responding to this question		258
36. Is your vital records plan part of the Continuity of Operations (COOP) plan? (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	87%	226
No (0 points)	7%	19
Do not know (0 points)	5%	14
Total responding to this question		259
37. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)		
Section III: Records Management Program - Records Disposition		
<p>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)</p>		
<p>The next series of questions relate to your agency's efforts to schedule its records.</p>		

38. When was the last time your agency submitted a records schedule to the National Archives? (Not scored)		
Answer Options	Response Percentage	Response Count
FY 2013 - 2015	63%	163
FY 2010 - 2012	13%	35
FY 2007 - 2009	8%	21
FY 2006 or earlier	11%	29
Do not know, please explain	5%	12
Total responding to this question		260
39. Has your agency ever submitted a records schedule for approval using the Electronic Records Archives (ERA)? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	62%	160
No	35%	90
Do not know	3%	9
Total responding to this question		259
40. 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? (36 CFR 1226.12(a)) (2 points)		
Answer Options	Response Percentage	Response Count
Yes (2 points)	85%	219
No (0 points)	13%	33
Do not know (0 points)	3%	7
Total responding to this question		259

41. Did your agency transfer permanent non-electronic records to NARA during FY 2015? (36 CFR 1235.12) (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	51%	133
No (0 points)	17%	43
No - No records were eligible for transfer during 2015 (3 points)	21%	55
No - New agency, records are not yet old enough to transfer (3 points)	2%	6
No - My agency does not have any permanent non-electronic records	2%	5
Do not know (0 points)	4%	10
Other, please explain (0 points)	3%	8
Total responding to this question		260
The next series of questions relate to your agency's permanent electronic records.		
42. Did your agency transfer permanent electronic records to NARA during FY 2015? (36 CFR 1235.12) (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	21%	55
No (0 points)	29%	74
No - No electronic records/systems were eligible for transfer during FY 2015 (3 points)	38%	98
No - New agency, electronic records/systems are not old enough to transfer (3 points)	3%	7
No - My agency does not have any permanent electronic records	<1%	1
Do not know (0 points)	5%	12
Other, please explain (0 points)	5%	12
Total responding to this question		259

43. If Yes: Were the permanent electronic records transferred during FY 2015 using the Electronic Records Archives (ERA)? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	85%	46
No	11%	6
Do not know	4%	2
Total responding to this question		54
44. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	46%	119
No	38%	98
Do not know	11%	29
Not applicable, my agency does not have any permanent electronic records	5%	13
Total responding to this question		259
45. When will these permanent electronic records be eligible for transfer to NARA? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
FY 2016	28%	73
FY 2017	25%	64
FY 2018	23%	59
FY 2019	26%	67
FY 2020	29%	75
After FY 2020	38%	98
Do not know, please explain	21%	55
Not applicable, my agency does not have any permanent electronic records	7%	18
Total responding to this question		260

46. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	83%	217
No	10%	27
Do not know	2%	6
Not applicable, please explain	4%	10
Total responding to this question		260
47. If Yes: What methods does your agency use to track its permanent records? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
Rely on Federal Records Center notifications	65%	141
Maintain an inventory	58%	126
Database or other automated tracking	40%	86
Manual tracking	55%	119
Other, please explain	21%	45
Total responding to this question		217
<p>The next series of questions relate to where your agency stores its inactive temporary and/or permanent records. (Regardless of format)</p>		
<p>Commercial records storage facilities are private sector commercial facilities that offer records storage, retrieval, and disposition services.</p>		
<p>Records staging or holding areas are areas designated within the agency's office space that are used for the temporary storage of records. The term does not include off-site storage such as commercial or agency records storage facilities. Records staging or holding areas may be established by an agency for maintaining records no longer needed in office space but whose volume or retention periods are insufficient to warrant transfer to a records center before final disposition.</p>		

48. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	25%	64
No	74%	192
Do not know	2%	4
Total responding to this question		260
49. If Yes: Does the facility comply with the standards prescribed by 36 CFR 1234? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	88%	56
No	6%	4
Do not know	5%	3
Did not answer		1
Total responding to this question		64
50. Does your agency store inactive temporary and/or permanent records in an agency records center? (Note: This does NOT include agency staging areas and temporary holding areas.) (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	34%	89
No	65%	169
Do not know	<1%	1
Total responding to this question		259
51. If Yes: Does the records center comply with the standards prescribed by 36 CFR 1234? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	82%	73
No	9%	8
Do not know	8%	7
Did not answer		1
Total responding to this question		89

52. Does your agency store inactive temporary and/or permanent records in an agency records staging or holding area? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	57%	147
No	41%	106
Do not know	2%	6
Total responding to this question		259
53. If Yes: Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234*? (Not scored)		
*It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.		
Answer Options	Response Percentage	Response Count
Yes	44%	64
No	38%	56
Do not know	18%	27
Total responding to this question		147
The next series of questions relate to your agency's handling of records for separating senior officials.		
<p>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)</p>		

54. 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 Percentage	Response Count
Yes (3 points)	79%	205
No (0 points)	15%	39
Do not know (0 points)	2%	4
Not applicable, please explain (3 points)	5%	12
Total responding to this question		260
55. If Yes: Who is involved in the exit briefings? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
Agency Records Officer	78%	159
Senior Agency Official for Records Management	26%	53
Chief Information Officer	15%	31
Other, please explain	58%	119
Did not answer		1
Total responding to this question		205
56. Are the exit briefings documented for purposes of accountability? (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	71%	183
No (0 points)	11%	29
Do not know (0 points)	4%	10
Not applicable, agency does not provide exit briefings for senior officials (0 points)	14%	37
Total responding to this question		259

57. 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 Percentage	Response Count
Yes (3 points)	79%	206
No, please explain (0 points)	18%	48
Do not know (0 points)	2%	6
Total responding to this question		260
58. Please add any additional comments about your agency for Section III: Records Disposition. (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)		
59. 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 Percentage	Response Count
Yes (3 points)	76%	198
No (0 points)	17%	45
Do not know (0 points)	3%	7
Not applicable, please explain (3 points)	4%	10
Total responding to this question		260

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)

60. Does your agency have documented and approved 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 Percentage	Response Count
Yes (3 points)	64%	166
No (0 points)	32%	82
Do not know (0 points)	4%	11
Total responding to this question		259

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

Answer Options	Response Percentage	Response Count
Yes	69%	179
No	22%	57
Do not know	2%	6
Not applicable, please explain	7%	18
Total responding to this question		260

62. 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 Percentage	Response Count
Yes (2 points)	77%	200
No, please explain (0 points)	19%	49
Do not know (0 points)	4%	10
Total responding to this question		259

63. 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 Percentage	Response Count
Yes (3 points)	67%	175
No, please explain (0 points)	23%	59
Do not know (0 points)	6%	16
Not applicable, please explain (3 points)	4%	10
Total responding to this question		260
64. 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 Percentage	Response Count
Yes (3 points)	47%	121
To Some Extent (2 points)	35%	92
No, please explain (0 points)	13%	35
Do not know (0 points)	2%	4
Not applicable, please explain (3 points)	3%	8
Total responding to this question		260

65. If Yes or To Some Extent: Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
Participate in review and acceptance of proposals for new systems	54%	116
Participate as stakeholder in requirements gathering	69%	148
Participate as stakeholder in design phase	50%	106
Participate as stakeholder in development phase including testing the system	45%	95
Provide sign off authority for the implementation of new systems	26%	55
Monitor system for adherence to standards, policies, and procedures	39%	83
Provide information only	30%	64
Do not know	1%	3
Other, please explain	13%	28
Did not answer		1
Total responding to this question		213
The next series of questions relate to email.		
<p>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)</p>		

66. Does your agency have <u>documented and approved</u> 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 Percentage	Response Count
Yes (3 points)	73%	188
No, please explain (0 points)	26%	67
Do not know (0 points)	2%	4
Total responding to this question		259
67. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records – Tables of File Formats Section 9 - Email? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	40%	105
No	55%	143
Do not know	5%	12
Total responding to this question		260
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)		
68. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02) (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	36%	93
No	61%	159
Do not know	3%	8
Total responding to this question		260

69. If Yes: Does your agency have documented and approved 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 Percentage	Response Count
Yes	83%	77
No	17%	16
Do not know	0%	0
Total responding to this question		93
70. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b)) (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	18%	47
No	79%	204
Do not know	3%	7
Total responding to this question		258
71. If Yes: Does your agency have documented and approved policies that address the use of personal email accounts that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187) (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	89%	42
No	11%	5
Do not know	0%	0
Total responding to this question		47

72. 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 Percentage	Response Count
Yes	93%	239
No	4%	10
Do not know	3%	9
Total responding to this question		258
73. What method(s) does your agency employ to capture and manage email records? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
Captured and stored in an email archiving system	69%	179
Captured and stored in an electronic records management system	24%	63
Captured and stored as .PST	55%	143
Print and file	56%	146
Not captured and email is managed by the end-user in the native system	23%	59
Other, please be specific	19%	49
Total responding to this question		259
74. Does your agency audit staff compliance with the agency's email preservation policies? (3 points)		
Answer Options	Response Percentage	Response Count
Yes (3 points)	39%	102
No (0 points)	52%	135
Do not know (0 points)	8%	22
Total responding to this question		259

75. If Yes: Who audits staff compliance with the agency's email preservation policies? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
Inspector General	17%	17
Chief Information Officer	50%	51
Agency Records Officer	44%	45
Other, please explain	38%	39
Do not know	1%	1
Did not answer		1
Total responding to this question		102
76. How often does your agency audit staff compliance with the agency's email preservation policies? (3 points)		
Answer Options	Response Percentage	Response Count
Every 6 months (3 points)	10%	26
Every year (3 points)	14%	36
Every 2 years (2 points)	5%	12
Less frequently than every 2 years (1 point)	9%	24
Do not know (0 points)	11%	29
Not applicable, agency does not audit staff compliance (0 points)	51%	130
Total responding to this question		257
77. 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 Percentage	Response Count
Yes	79%	204
No, please explain	11%	29
Do not know	10%	26
Total responding to this question		259

78. If Yes: Have you submitted a retention schedule for identifying “Capstone” accounts for approval by NARA? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	14%	28
No, please explain	32%	65
Do not know	2%	5
Not applicable, planning to use GRS 6.1: Email Managed Under a Capstone Approach	52%	106
Total responding to this question		204
<p>The Federal Records Act was amended in November 2014 and added a new definition for electronic messages at 44 U.S.C. 2911. The law states, “The term ‘electronic messages’ means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals.”</p> <p>Electronic messages include: text messaging, chat/instant messaging, messaging functionality in social media tools or applications, voice messaging, and similar forms of electronic messaging systems.</p> <p>Electronic messages created or received in the course of agency business are Federal records. Like all Federal records, these electronic messages must be scheduled for disposition.</p> <p>Please see NARA Bulletin 2015-02: Guidance on Managing Electronic Messages for more guidance on this topic.</p>		
79. Does your agency have <u>documented and approved</u> policies and procedures in place to manage electronic messages including: text messages, chat/instant messages, voice messages, and messages created in social media tools or applications? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	50%	129
No	28%	73
Do not know	3%	7
Other, please explain	19%	50
Total responding to this question		259

80. Does your agency have an approved records schedule covering electronic messages including: text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record? (Not scored)

Answer Options	Response Percentage	Response Count
Yes	29%	76
No	66%	171
Do not know	4%	11
Total responding to this question		258

The next series of questions relate to metadata.

Metadata are elements of information which answer the questions ‘who, what, where, when and why’ regarding electronic records. Metadata elements can describe different hierarchical levels related to transfers of permanent electronic records including an individual file, a group of related files (for example, a photographic assignment or case file), a transfer of records, a complete record series, or the records of an entire agency. Examples of metadata elements include:

- **Descriptive metadata, which describes a resource for purposes such as discovery and identification. It can include elements such as title, abstract, author, and keywords.**
- **Structural metadata, which indicates how compound objects are put together, for example, how pages are ordered to form chapters.**
- **Administrative metadata, which provides information to help manage a resource, such as when and how it was created, file type and other technical information, and who can access it.**
- **Rights management metadata, which deals with intellectual property rights.**
- **Preservation metadata, which contains information needed to archive and preserve a resource.**

Please refer to NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records for more guidance on this subject.

81. Does your agency create and maintain any of the following types of metadata for electronic records? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
Descriptive metadata	70%	180
Structural metadata	46%	119
Administrative metadata	63%	163
Rights management metadata	37%	95
Preservation metadata	34%	89
Not applicable, please explain	5%	14
Do not know	12%	30
Other, please explain	9%	23
Total responding to this question		258
82. Does your agency maintain metadata for permanent records in a records management or other application? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	55%	142
No	22%	58
Do not know	12%	32
Other, please explain	10%	26
Total responding to this question		258
83. Does your agency maintain metadata for permanent records sufficient to understand, maintain and provide access to the records? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	67%	174
No	15%	38
Do not know	12%	31
Other, please explain	6%	15
Total responding to this question		258
84. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)		

Section V: Records Management Program - NARA/OMB <i>Managing Government Records Directive (M-12-18)</i> Reporting Requirements		
<p>The joint NARA/OMB <i>Managing Government Records Directive (M-12-18)</i> 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 <i>Managing Government Records Directive (M-12-18)</i>, http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf.)</p>		
<p>Goal 2: <i>Demonstrate Compliance with Federal Records Management Statutes and Regulations</i></p>		
<p>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:</p>		
<p>Requirement 2.1: <i>Agencies Must Designate a Senior Agency Official (SAO) for Records Management</i></p>		
<p>85. Does your agency have an SAO for Records Management? (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)</p>		
Answer Options	Response Percentage	Response Count
Yes	98%	255
No	1%	2
Do not know	1%	3
Total responding to this question		260
<p>86. If Yes: Does your agency records officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals? (Not scored)</p>		
Answer Options	Response Percentage	Response Count
Yes	72%	184
No	26%	65
Do not know	2%	5
Total responding to this question		254

Requirement 2.5: SAO for Records Management Shall Ensure that Records are Scheduled		
87. Is your agency actively working with NARA appraisal staff to schedule all unscheduled paper and other non-electronic records by December 31, 2016? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	65%	168
No	10%	27
Do not know	2%	6
Not applicable, all paper and other non-electronic records have been scheduled	23%	59
Total responding to this question		260
88. Does your agency have a method of continually identifying new and unscheduled records? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	79%	206
No	17%	43
Do not know	4%	11
Total responding to this question		260
89. If Yes: What methods does your agency use to identify new and unscheduled records? (Not scored)		
90. Has your agency identified any <u>additional</u> unscheduled records that have not already been reported to NARA? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	12%	32
No	84%	217
Do not know	3%	9
Total responding to this question		258

91. If Yes: Please send to rselfassessment@nara.gov by January 15, 2016, 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 26th along with an advanced copy of the questionnaire. Please email rselfassessment@nara.gov if you did not receive it or need another one.) (Not scored)		
Sent a spreadsheet		21
Did not send a spreadsheet		10
Total responding to this question		31
Section A4: Embed records management requirements into cloud architectures and other Federal IT systems and commercially-available products		
92. Does your agency use cloud services? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	76%	197
No	20%	52
Do not know	4%	10
Total responding to this question		259
93. If Yes: For what purpose(s) is your agency using cloud services? (Choose all that apply) (Not scored)		
Answer Options	Response Percentage	Response Count
Email	68%	134
Administrative functions such as payroll, purchasing, and financial management	41%	81
Mission/program-related functions	59%	117
Other, please explain	24%	48
Do not know	1%	2
Total responding to this question		197
94. If Yes: Are recordkeeping requirements included? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	64%	126
No	20%	40
Do not know	15%	30
Did not answer		1
Total responding to this question		197

Section B3: <i>Establish a formal records management occupational series</i>		
95. Will your agency use the new Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	46%	119
No	20%	52
Do not know	26%	68
Not applicable, my agency does not use the General Schedule (GS) job classifications	8%	20
Total responding to this question		259
96. If No: Why will your agency NOT be using the new job series? (Not scored)		
Section B4: <i>Improve the effectiveness of Federal records management programs through analytical tools and enhanced NARA oversight</i>		
97. In 2015, NARA and the Federal Records Council introduced the Federal RIM Program Maturity Model (http://www.archives.gov/records-mgmt/prmd.html). Are you familiar with this or other maturity models? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	69%	175
No	31%	79
Total responding to this question		254
98. If Yes: Are you using the Federal RIM Program Maturity Model or other maturity models to measure the maturity of the records management program? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	42%	71
No	58%	98
Total responding to this question		169

99. Does your agency use your RMSA scores to measure the effectiveness of the records management program? (Not scored)		
Answer Options	Response Percentage	Response Count
Yes	76%	198
No	17%	45
Do not know	6%	16
Total responding to this question		259
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		
100. How many full-time equivalents (FTE) are in your agency/organization? (Choose one)		
Answer Options	Response Percentage	Response Count
500,000 or more FTEs	1%	3
100,000 – 499,999 FTEs	5%	12
10,000 – 99,999 FTEs	19%	50
1,000 – 9,999 FTEs	28%	73
100 – 999 FTEs	31%	81
1 – 99 FTEs	14%	37
Not Available	2%	4
Total responding to this question		260

101. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)		
Answer Options	Response Percentage	Response Count
Senior Agency Official	54%	140
Office of the General Counsel	27%	70
Program Managers	40%	104
Information Technology staff	70%	181
Records Liaison Officers or similar	51%	131
Administrative staff	36%	94
Other (please be specific):	24%	63
None	7%	19
Total responding to this question		259
102. How much time did it take you to gather the information to complete this self-assessment?		
Answer Options	Response Percentage	Response Count
Under 3 hours	23%	59
More than 3 hours but less than 6 hours	28%	73
More than 6 hours but less than 10 hours	17%	45
Over 10 hours	32%	83
Total responding to this question		260
103. Did your agency's senior management review and concur with your responses to the 2015 Records Management Self-Assessment?		
Answer Options	Response Percentage	Response Count
Yes	81%	207
No	17%	43
Do not know	2%	6
Total responding to this question		256
104. Please provide your contact information.		
Name:		
Agency, Bureau, or Office:		
Job Title:		
Email Address:		
Phone Number:		

105. Are you the Agency Records Officer?		
Answer Options	Response Percentage	Response Count
Yes	84%	218
No	16%	41
Total responding to this question		259
106. If No: Please provide the name of your Agency Records Officer.		
107. Records Officer's Email Address:		
108. Records Officer's Phone Number:		
109. Do you have any suggestions on improving the Records Management Self-Assessment next year?		
<p>NARA reserves the right to request additional documentation or a follow-up meeting to verify your responses. If you wish to provide supporting documentation for your answers or other information to NARA, please send it to rmsselfassessment@nara.gov.</p>		
<p>Thank you for completing the 2015 Records Management Self-Assessment! If you have any questions about the self-assessment, please send a message to rmsselfassessment@nara.gov.</p>		

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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	96
Central Intelligence Agency	95
Congressional Budget Office	90

Department of Agriculture

Agricultural Marketing Service	96
Agricultural Research Service	91
Animal and Plant Health Inspection Service	98
Department Level/Headquarters	98
Economic Research Service	90
Farm Service Agency	92
Food and Nutrition Service	97
Food Safety and Inspection Service	91
Foreign Agricultural Service	98
Grain Inspection, Packers and Stockyards Administration	91
National Agricultural Statistics Service	93
National Institute of Food and Agriculture	98
Natural Resources Conservation Service	92
Risk Management Agency	98
Rural Development Agency	97

Department of Commerce

Department Level/Headquarters	97
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Department of Defense

Defense Finance and Accounting Service	99
Defense Threat Reduction Agency	100
Department of the Air Force	92
Department of the Navy	100
Missile Defense Agency	94
National Geospatial-Intelligence Agency	92
National Security Agency/Central Security Service	99
Office of the Secretary of Defense	97
US Marine Corps	92
US Strategic Command	99

Department of Education	91
Department of Energy	
Bonneville Power Administration	92
Southwestern Power Administration	90
Department of Health and Human Services	
Administration for Community Living	92
Agency for Healthcare Research and Quality	100
Health Resources and Services Administration	99
Office of the Secretary, Operations Staff	91
Department of Homeland Security	
Federal Law Enforcement Training Center	91
US Citizenship and Immigration Services	94
US Secret Service	97
Department of Justice	
Bureau of Alcohol Tobacco Firearms and Explosives	93
Executive Office for Immigration Review	90
Executive Office for United States Attorneys	95
Federal Bureau of Investigation	97
US Marshals Service	90
Department of Labor	
Bureau of Labor Statistics	95
Department Level/Headquarters	99
Employee Benefits Security Administration	93
Employment and Training Administration	97
Mine Safety and Health Administration	95
Occupational Safety and Health Review Commission	90
Office of Federal Contract Compliance Programs	93
Office of Inspector General	99
Office of Public Affairs	93
Office of the Assistant Secretary for Administration and Management	99
Office of Workers' Compensation Programs	93
Women's Bureau	93

Department of State	95
Department of the Interior	
Bureau of Indian Affairs	93
Bureau of Land Management.....	96
Bureau of Ocean Energy Management	93
Bureau of Reclamation	97
Bureau of Safety and Environmental Enforcement	93
Department Level/Headquarters	100
National Park Service	100
Office of Surface Mining Reclamation and Enforcement	92
Office of the Secretary	99
Office of the Special Trustee for American Indians	93
US Fish and Wildlife Service	99
Department of the Treasury	
Internal Revenue Service	92
United States Mint	99
Department of Transportation	
Department Level/Headquarters	92
Federal Highway Administration.....	92
Federal Motor Carrier Safety Administration.....	91
National Highway Traffic Safety Administration.....	90
Office of Inspector General	94
Pipeline and Hazardous Materials Safety Administration	93
Surface Transportation Board.....	90
Department of Veterans Affairs	
Veterans Benefits Administration.....	98
Executive Office of the President	
Office of the Director of National Drug Control Policy	92
Export-Import Bank of the United States	94
Federal Energy Regulatory Commission	91
Federal Housing Finance Agency	93
Federal Mediation and Conciliation Service.....	95
Federal Trade Commission	93
National Mediation Board.....	94
Office of the Special Inspector General for Afghanistan Reconstruction	91
Social Security Administration	97
United States Sentencing Commission	90
US Access Board	98

US Environmental Protection Agency	98
US Government Accountability Office	99
US Securities and Exchange Commission	97

MODERATE RISK

Administrative Office of the US Courts	75
Advisory Council on Historic Preservation	62
Barry Goldwater Scholarship Foundation	89
Chemical Safety and Hazard Investigation Board	78
Commodity Futures Trading Commission	74
Consumer Financial Protection Bureau	84
Court Services and Offender Supervision Agency	
Court Services and Offender Supervision Agency	88
Pretrial Services Agency	79

Department of Agriculture

Office of the Chief Information Officer	84
US Forest Service	77

Department of Commerce

Bureau of Economic Analysis	88
Economic Development Administration	69
International Trade Administration	77
National Institute of Standards and Technology	88
National Oceanic and Atmospheric Administration	80
National Technical Information Service	73
US Census Bureau	61
US Patent and Trademark Office	68

Department of Defense

Defense Commissary Agency	83
Defense Contract Audit Agency	75
Defense Information Systems Agency	79
Defense Logistics Agency	74
Defense Security Service	86
Defense Technical Information Center	76
Department of the Army	83
National Guard Bureau	83
National Reconnaissance Office	87
Office of Inspector General	81
US Africa Command	71
US Central Command	84
US European Command	60

US Northern Command	80
US Southern Command	76
US Special Operations Command	88
Department of Energy	
Department Level/Headquarters	75
National Nuclear Security Administration.....	63
Southeastern Power Administration	79
Department of Health and Human Services	
Administration for Children and Families	76
Centers for Disease Control and Prevention.....	88
Department Level/Headquarters	84
Indian Health Service.....	63
National Institutes of Health	80
Centers for Medicare & Medicaid Services.....	79
Department of Homeland Security	
Department Level/Headquarters	67
Federal Emergency Management Agency	84
Transportation Security Administration	83
US Coast Guard	87
US Immigration and Customs Enforcement.....	74
Department of Housing and Urban Development	
Department Level/Headquarters	74
Department of Justice	
Department Level/Headquarters	88
Drug Enforcement Administration	73
Federal Bureau of Prisons.....	76
Office of Justice Programs.....	85
Department of Labor	
Adjudicatory Boards	89
Bureau of International Labor Affairs	66
Office of Administrative Law Judges	89
Office of Congressional and Intergovernmental Affairs	85
Office of Labor-Management Standards	88
Office of the Assistant Secretary for Policy	86
Office of the Chief Financial Officer.....	80
Office of the Ombudsman.....	88
Office of the Secretary	81

Veterans' Employment and Training Service	85
Wage and Hour Division	75
Department of the Interior	
US Geological Survey.....	75
Department of the Treasury	
Alcohol and Tobacco Tax and Trade Bureau	85
Bureau of Engraving and Printing	72
Bureau of the Fiscal Service	87
Department Level/Headquarters	72
Financial Crimes Enforcement Network	85
Office of the Comptroller of the Currency	78
Department of Transportation	
Federal Aviation Administration	67
Federal Railroad Administration.....	88
Federal Transit Administration.....	79
Maritime Administration	66
Office of the Secretary	85
Saint Lawrence Seaway Development Corporation	88
Department of Veterans Affairs	
Department Level/Headquarters	73
Veterans Health Administration	82
Executive Office of the President	
Council on Environmental Quality	89
Office of Management and Budget.....	74
Office of Science and Technology Policy	83
Office of the United States Trade Representative.....	89
Equal Employment Opportunity Commission.....	87
Farm Credit Administration.....	79
Federal Communications Commission.....	85
Federal Deposit Insurance Corporation	73
Federal Maritime Commission	68
General Services Administration	69
Institute of Museum and Library Services.....	67
International Boundary and Water Commission (US/Mexico)	72
Library of Congress	76
Millennium Challenge Corporation	85
National Aeronautics and Space Administration.....	77

National Archives and Records Administration	89
National Endowment for the Arts	76
National Labor Relations Board	74
National Science Foundation	72
National Transportation Safety Board	75
Occupational Safety and Health Review Commission	82
Office of Navajo and Hopi Indian Relocation	68
Office of Personnel Management	74
Office of the Director of National Intelligence.....	88
Overseas Private Investment Corporation	86
Peace Corps.....	65
Pension Benefit Guaranty Corporation	67
Postal Regulatory Commission.....	74
Privacy and Civil Liberties Oversight Board.....	62
Selective Service System	81
Tennessee Valley Authority.....	66
Udall Foundation	79
United States Commission on Civil Rights	75
US African Development Foundation	85
US Agency for International Development	86
US Government Publishing Office	89
US International Trade Commission	87
US Nuclear Regulatory Commission.....	87
US Office of Government Ethics.....	80
US Office of Special Counsel.....	89
US Small Business Administration.....	73
US Tax Court	68
US Trade and Development Agency	69

HIGH RISK

AbilityOne Commission	46
Armed Forces Retirement Home	23
Broadcasting Board of Governors/International Broadcasting Bureau	21
Corporation for National and Community Service.....	37
Defense Nuclear Facilities Safety Board	28

Department of Commerce

Bureau of Industry and Security	54
Economics and Statistics Administration	40
Minority Business Development Agency	6
National Telecommunications and Information Administration	55
Office of Inspector General	50

Department of Defense

Army and Air Force Exchange Service	57
Defense Contract Management Agency	48
Defense Intelligence Agency	59
Joint Chiefs of Staff	54
National Defense University.....	41
US Pacific Command.....	58
US Transportation Command	53

Department of Energy

Energy Information Administration.....	41
Western Area Power Administration	21

Department of Health and Human Services

Food and Drug Administration	51
Substance Abuse and Mental Health Services.....	16

Department of Homeland Security

US Customs and Border Protection	40
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Department of Housing and Urban Development

Office of Inspector General	46
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Department of Veterans Affairs

Board of Veterans' Appeals	41
National Cemetery Administration.....	37

Federal Election Commission	43
Federal Labor Relations Authority	42
Federal Mine Safety and Health Review Commission	50
Federal Retirement Thrift Investment Board	56
Japan-US Friendship Commission.....	56
Marine Mammal Commission	15
Merit Systems Protection Board	58
National Capital Planning Commission.....	53
National Credit Union Administration.....	44
National Endowment for the Humanities	39
National Indian Gaming Commission	47
Nuclear Waste Technical Review Board	15
Presidio Trust	13
Railroad Retirement Board	40
United States Institute of Peace	26
US Commission of Fine Arts.....	26

US Consumer Product Safety Commission23
US Election Assistance Commission.....21

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