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# **Federal Agency Records Management** 2017 Annual Report

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*Senior Agency Official for Records Management Report*  
*Federal Email Management Report*  
*Records Management Self-Assessment*

National Archives and Records Administration  
August 2018

## FOREWORD

One of the National Archives and Records Administration's most important responsibilities is to report on the state of Federal records management. Effective records management programs in Federal agencies ensure the preservation of and access to permanently valuable records of the Federal Government.

Every Department and Federal agency covered by the Federal Records Act must appoint a Senior Agency Official for Records Management (SAORM). As part of their responsibilities, these officials provide strategic direction and resources to ensure the success of all aspects of their agency's records management program.

One of their most visible responsibilities is to report on goals and actions to strategically improve recordkeeping practices to the Chief Records Officer for the U.S. Government. This year, we required Federal agencies to submit three reports: the annual SAORM Report, the Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA).

We continue to demonstrate our ongoing commitment to open government by posting the SAORM and Federal Email Management reports on our website at <https://www.archives.gov/records-mgmt/resources/inspections.html>. In addition to making the reports available online, we reviewed these individual reports and the RMSA results looking for trends and progress. This 2017 Federal Records Management Report contains the results of our review.

Overall, the great majority of Federal agencies reported they are working towards transitioning from maintaining the costly separate policies, practices, and physical infrastructures in traditional (analog) formats to managing records electronically. As a result, they have improved their ability to follow recordkeeping requirements prescribed by Federal statutes and regulations. These are critical steps to improve records management throughout the Federal Government. This transition of Federal agencies' business processes and recordkeeping to a fully electronic environment is supported by both our [Strategic Plan 2018-2022](#) and the [Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations](#).

The SAORMs in each agency must continue to lead and drive change if we are to realize the vision of a fully digital and open Government.

DAVID S. FERRIERO  
Archivist of the United States

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## Executive Summary

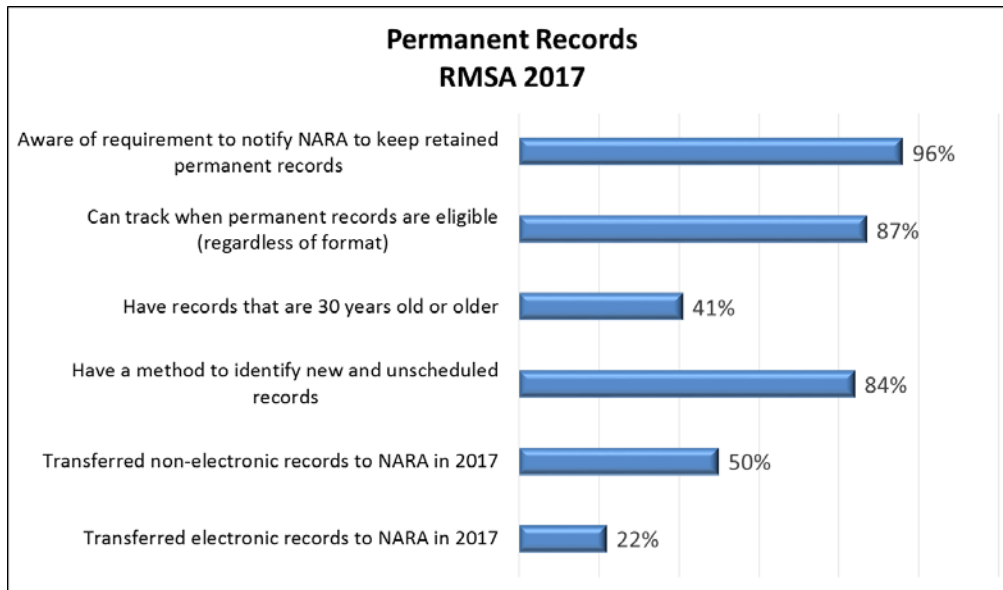
This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA by Executive Branch agencies. A few Legislative and Judicial Branch agencies also participate to assess their own programs. Records Management is a continuous process, and the state of the programs created by Federal agencies changes depending on governmental reorganization, technology improvements, and changes in personnel, resources and other factors. By requiring annual reporting, NARA can capture information for a defined period and identify trends and common challenges. The data for this report covers CY 2017 information and activities with an additional special focus on email management.

This year, NARA required three related but separate submissions: Senior Agency Official for Records Management (SAORM) Report, Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA).

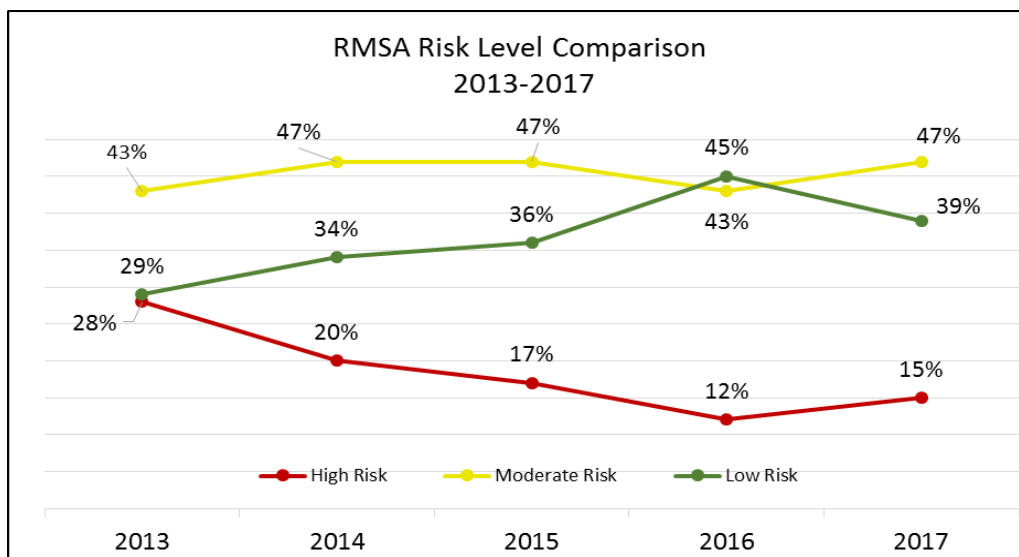
The data received this year shows progress towards improving records management and strengthening electronic records and email management throughout the Federal Government.

### Key points found include:

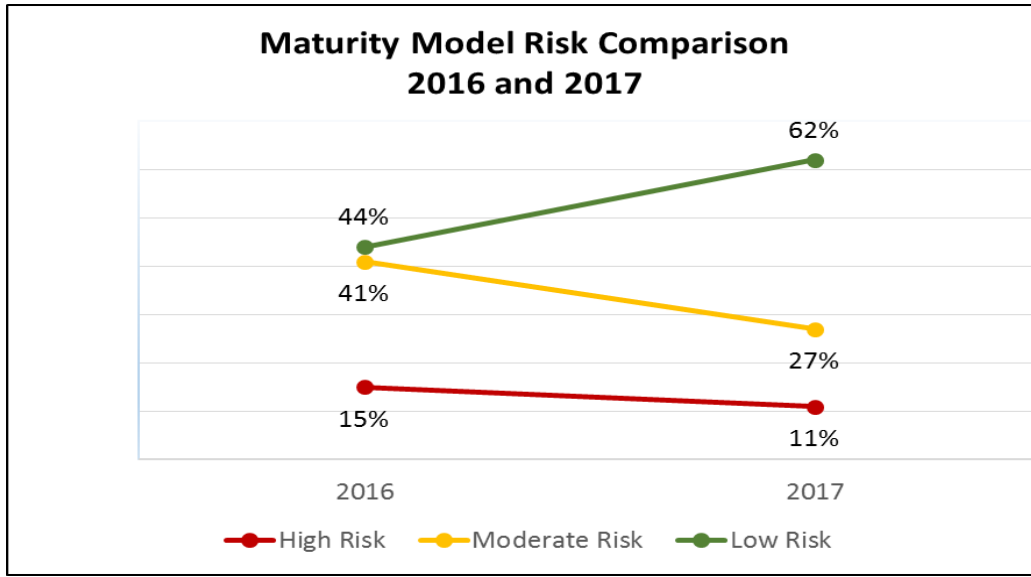
- Ninety-eight percent of agencies show confidence in meeting the OMB/NARA *Managing Government Records Directive* (M-12-18) target to manage all permanent electronic records in electronic format by December 31, 2019, and say these records are already created and maintained electronically.
- Agencies report their SAORM and Agency Records Managers are more likely to brief senior agency officials on the importance of and responsibilities for records management *when appointed* than *when leaving* Federal service. They also indicate these briefings are not always documented.
- Even though 96% of agencies said they are aware of the requirement to formally request permission from NARA to retain permanent records beyond their eligibility to transfer them to NARA, there was little or no change in the number of agencies transferring permanent records in any format. Compared to the last two years, the figure remains around 50%. More concerted efforts are needed to ensure permanent records are transferred when eligible.



- RMSA risk levels have gradually improved since 2012; however, this year there was a 5 percentage point decrease from low risk and a corresponding increase in moderate and high risk. While it is difficult to pinpoint exactly why, part three of this report explores a variety of comparative factors.



- A comparison between the 2016 and 2017 Federal Email Maturity Models indicated agencies are more confident in the maturity of their email management.



This 2017 annual report provides a detailed analysis and appendices of the data. We also make a variety of overall recommendations for agencies and NARA to consider.

- SAORMs must provide leadership for records management programs and ensure these programs are properly resourced and aligned with the agency’s strategic information management plans.
- SAORMs should promote an overall information governance framework requiring collaborative relationships between records management staff and information technology staff to better recognize records management as an integral part of their information governance strategy.<sup>1</sup>
- Agencies must continue to improve email management, particularly in the area of records retention scheduling and final disposition.
- Agencies must ensure *new and departing* senior agency officials receive documentable briefings on records management responsibilities and, if applicable, require them to obtain approval before removing personal files or copies of records.
- NARA may need to take a closer look at agencies with extreme changes in scores through our oversight activities (inspections, assessments, or system audits) to evaluate the accuracy and perhaps the causes.

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<sup>1</sup> Information Governance is the overarching and coordinating strategy and tactics for all organizational information. It establishes the authorities, supports, processes, capabilities, structures, and infrastructure to enable information to be a useful asset and reduced liability to an organization, based on that organization’s specific business requirements and risk tolerance.

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## INTRODUCTION

The National Archives and Records Administration (NARA) is responsible for overseeing and reporting to Congress on the state of Federal records management. NARA accomplishes this responsibility in part by requiring all Federal agencies to submit annual reports to the Office of the Chief Records Officer for the U.S. Government. This year we required three submissions:

- Senior Agency Official for Records Management (SAORM) Report – This submission included responses from high-level officials about the progress of their agency or agencies towards the targets and requirements in the *Managing Government Records Directive* (M-12-18), jointly issued by the Office of Management and Budget (OMB) and the National Archives and Records Administration (NARA) on August 24, 2012.<sup>2</sup> This report has been required since 2013.
- Federal Email Management Report (FEMR) – With this submission, agency records officers assessed their individual agency’s email management using a maturity model template based on the criteria we published in April 2016.<sup>3</sup> This is the second year using this model.
- Records Management Self-Assessment (RMSA) – Agency records officers provided an evaluation of their individual agency’s compliance with Federal records management statutes, regulations and program functions. This report has been required since 2010.

This annual reporting is mandatory for all Federal agencies in the Executive Branch. A few Legislative and Judicial Branches agencies also participate in one or more of these reports. Of the 118 agencies with designated SAORMs, we received 116 SAORM reports, representing a 98% response rate. We received 255 of for the FEMR representing a 98% response rate, and 259 for the RMSA, for a response rate of 99%. There were three agencies that submitted only one or two of the three reports, and two agencies that did not submit any of the reports. (See Appendix VI, page 14.) NARA did reach out to these agencies to determine the reasons for the non-response. Three of the five had personnel changes during the reporting period and the two that did not submit reports at all ignored all of our attempts to contact them. We will follow up with these agencies before the next reporting cycle.

## METHODOLOGY

All information is self-reported data by Federal agencies to NARA. NARA provides agencies instructions on how to submit their responses.

- SAORM Reports – NARA provided an eight-question template designed to elicit information from a senior management perspective to those agencies with a SAORM (See Appendix I). Individual SAORM reports are available online: <https://www.archives.gov/records-mgmt/resources/saorm-reports>.

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<sup>2</sup> <https://www.archives.gov/files/records-mgmt/m-12-18.pdf>.

<sup>3</sup> <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>.

- FEMR – The maturity model for successfully managing email was distributed using an online survey tool. Agencies chose the level best describing the current state of email management and received a numerical maturity score. Individual email reports are available online: <https://www.archives.gov/records-mgmt/resources/email-mgmt-reports>.
- RMSA – NARA used an online survey tool to gather responses to a set of scored and non-scored questions. The respondent list for the RMSA is the same as the FEMR. The individual RMSA responses are not publicly available; however, individual numerical scores for each agency are included in Appendix VI.

For more details on the scoring of the FEMR and the RMSA, see Appendix II.

Each year, NARA validates selected answers to the RMSA to determine the accuracy of agency responses and to understand how agencies are interpreting the questions. The validation strategy is described in Appendix IV.



## Part I: Senior Agency Official for Records Management Reports

### OVERVIEW

Successful records management programs require senior level support and visibility at the executive level to establish long-term goals and strategic initiatives. In 2012, the Office of Management and Budget (OMB) and NARA jointly issued the OMB/NARA *Managing Government Records Directive* (M-12-18). The purpose of M-12-18, also known as the Directive, is to transform recordkeeping in the Federal Government from a reliance on paper records towards a modern and digital government. The Directive set forth a variety of targets for both NARA and agencies to accomplish between 2012 and 2019. The last of the major milestones is the management of permanent electronic records in electronic format by December 31, 2019. As we reach this last milestone, NARA is working with OMB and others to continue working towards successful modernization of Federal recordkeeping practices.

The vision to modernize Federal agencies' business processes and recordkeeping to a fully electronic environment started by M-12-18 will continue. [NARA's Strategic Plan 2018-2022](#) includes ending acceptance of paper records into the Archives by December 31, 2022. This move from maintaining costly separate policies, practices, and physical infrastructures in traditional (analog) formats to managing records electronically is incorporated in the [OMB Reform Plan and Reorganization Recommendations](#), item 26, under Management Improvements and Efficiency Opportunities. In the plan, released in June 2018, OMB states this transition would improve efficiency, effectiveness, and responsiveness, expand online services, and enhance management of Government records, data, and information.

The Directive requires each SAORM to provide an annual report to NARA demonstrating achievement or progress towards the goals of the Directive and other important initiatives as identified by NARA. As the original requirements established in 2012 come to a close, the SAORM template for 2017 focused on progress towards the management of permanent electronic records in electronic format, digitization plans related to achieving the transformation from paper to digital records, and strategic planning by the SAORM to incorporate records management into information resource management and other related responsibilities described in OMB Circular A-130, *Managing Information as a Strategic Resource* (Revised, July 2016).<sup>4</sup> This year's report also specifically targeted what activities the SAORM has taken to establish their roles and responsibilities as described by *NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management*.<sup>5</sup>

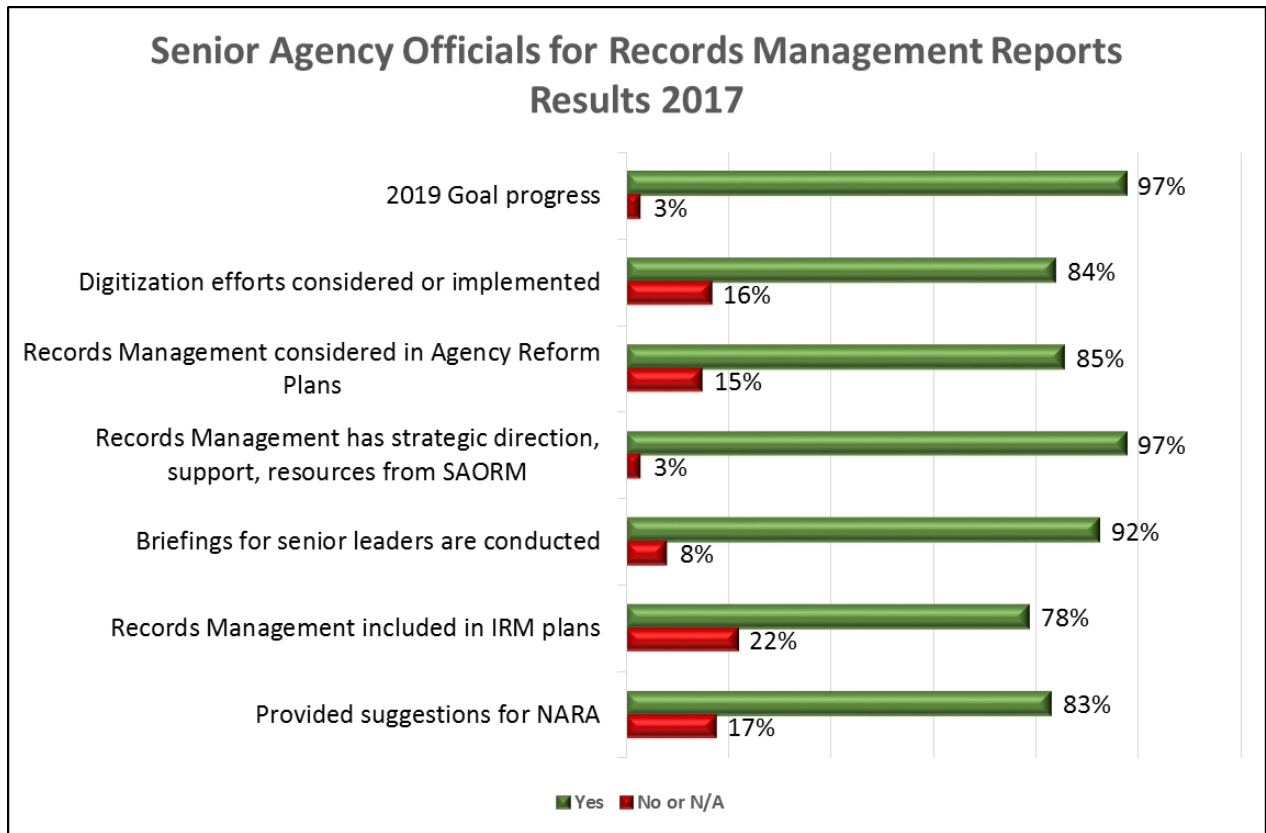
### DATA ANALYSIS

The data indicates positive movement towards the December 31, 2019 goal, digitization of non-electronic records; and efforts by the SAORM in strategic planning, senior level awareness of records management responsibilities, and inclusion of records management in overall information resource management. Agencies also provide NARA with suggestions for assistance to ensure successful transitioning to electronic recordkeeping.

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<sup>4</sup> <https://obamawhitehouse.archives.gov/sites/default/files/omb/assets/OMB/circulars/a130/a130revised.pdf>.

<sup>5</sup> <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>.



### Permanent Electronic Records

NARA has been monitoring the M-12-18 target for Federal agencies to manage all permanent electronic records in electronic format by December 31, 2019. Nearly all agencies (97%) reported this year they have either met or will meet this important target. To better understand what agencies are implementing, we asked the SAORMs to provide details. The following is a list of what was mentioned most often:

- Records are already created and maintained electronically
- Use of cloud storage or services
- Enterprise-wide approaches for managing electronic systems focusing mainly on email first (particularly by Departments and large agencies)
- Issuance of guidance and policies to agency staff
- Progress in identifying and inventorying permanent electronic records
- Records scheduling or updating efforts
- Reformatting (digitizing and scanning) efforts for paper or other non-electronic records
- Implementing and/or exploring digital repositories and technology solutions
- A few mentioned budgetary and staffing as challenges

### **Digitization Efforts**

Eighty-three percent indicated they were either undertaking digitization efforts, or had evaluated whether or not digitization efforts were needed or cost effective. There was a mixed response to the objective question making this statistic somewhat unreliable. Agencies that have considered not to digitize did not interpret this question the same way. Some answered “No” because they had decided after evaluation not to digitize, while others answered “Yes” they had considered digitization and decided against it. We asked the SAORMs to provide some information about these efforts. The following is a list of what was mentioned most often:

- Digitization is not needed as records are already in electronic format
- Digitization was considered but determined that it was not cost effective, necessary, or practical
- Some agencies indicated scanning or digitizing efforts are being made
- Some agencies indicated they are exploring various options and still evaluating whether digitizing hard copy records is cost effective or necessary for business use
- When asked on the RMSA whether or not agencies had an actual digitization strategy, only 42% said “Yes” (See Part III: RMSA)

### **Agency Reform Plans**

Eighty-five percent answered their reform plans considered records management. A negative response to this question is a little misleading as some agencies answered “No” because they did not have any reforms or re-organizations. Other agencies answered “Yes” records management would be considered in any future reforms or re-organizations, but they did not have any plans this year. For those SAORMs providing details, the following is a list of what was mentioned most often:

- Disposition of records has been frozen while reorganizing
- Records scheduling was mentioned as part of reform plans
- Agencies with reform plans are conducting assessments of records and talking to stakeholders
- Some agencies mentioned while records management staff were aware of reforms and possible reorganizations, they are not involved, and records management was not necessarily being integrated into the plans

### **Strategic Planning and Direction**

Ninety-seven percent indicated that the SAORM was providing strategic direction and resources for the records management program. To better understand what methods or strategies were being implemented, we asked SAORMs to provide details. The following is a list of what was mentioned most often:

- SAORMs conduct awareness briefings to other senior agency officials and management
- Records management receives budget support
- Records management training is supported
- The records management program is strategically placed within the agency

- SAORMs provide objectives, goals, and other performance measures for the records management program

### **Briefings for Senior Leadership**

Ninety-two percent indicated they conducted some level of briefings to senior agency officials and executive leadership on their roles and responsibilities. There was an indication that there were more briefings to incoming senior officials than exit briefings. SAORMs said there were varying ways in which briefings were being incorporated into agency business practices. The following is a list of what was mentioned most often:

- Incoming and exit briefings are required by policy
- General awareness briefings are being conducted periodically
- Some agencies set specific time frames in which briefings must occur
- Briefings are included in new employee orientation to all staff (including senior leadership)
- Agencies have developed checklists for incoming and exit briefings that include records management topics

### **Information Resources Management**

OMB requires agencies to develop and maintain an Information Resources Management (IRM) Plan under 44 USC 3506(b). In addition, 36 CFR 1236.10 requires integration of records management into electronic information systems, as does OMB Circular A-130. It is essential Federal agencies recognize records management as part of information management, and not as a totally separate concept or function. Lack of inclusion will endanger the integrity of records and information by not ensuring recordkeeping requirements are incorporated into information management systems. While a majority of the responding agencies (78%) indicated that records management was included in their IRM plans, the overall number is still too low.

### **NARA's Strategic Plan**

NARA and most Federal agencies currently maintain separate policies, practices, and physical infrastructures for managing records in traditional (analog) or electronic formats. This structure is costly and complex, which increases the risk that permanently valuable records in either format may not be appropriately retained. The transition to a digital government begun under M-12-18 will continue to be reinforced by [NARA's Strategic Plan 2018-2022](#) and, as of June 2018, the [OMB Reform Plan and Reorganization Recommendations](#). Specifically, Strategic Plan Goal 3.2 states, "By December 31, 2022, NARA will, to the fullest extent possible, no longer accept transfers of permanent or temporary records in analog formats and will accept only records in electronic format with appropriate metadata."

Realizing this goal directly impacts Federal agencies storing temporary records in the Federal Records Centers and the transfer of permanent records to the National Archives, we asked for input from the SAORMs on what policies, guidance or other support they will need from NARA. The following is a compilation reflecting what agencies suggested they need most:

- Updated and/or new policies and guidance for electronic records management

- Approval of already submitted retention schedules
- A network to better handle intake of large volumes of permanent electronic records by NARA including classified records
- More practical approaches and examples of lessons learned

Agencies also indicated that they appreciate the assistance and work already provided by NARA staff.

### PART I SUMMARY

Our analysis of the SAORM reporting data shows M-12-18 is changing Federal records management from paper-intensive analog-based methods to a digital government as intended. The majority of agencies have implemented earlier prescribed Directive targets and anticipate successfully meeting the last target to manage all permanent electronic records electronically. There is some effort to reformat paper permanent records to maintain these in electronic formats as well. While there are positive steps being taken to integrate records management into information management and to ensure records management is a strategic part of agencies' overall information and asset management planning process, there is more work needed in this area to fully transform to digital recordkeeping.

## Part II: FEDERAL EMAIL MANAGEMENT REPORTS

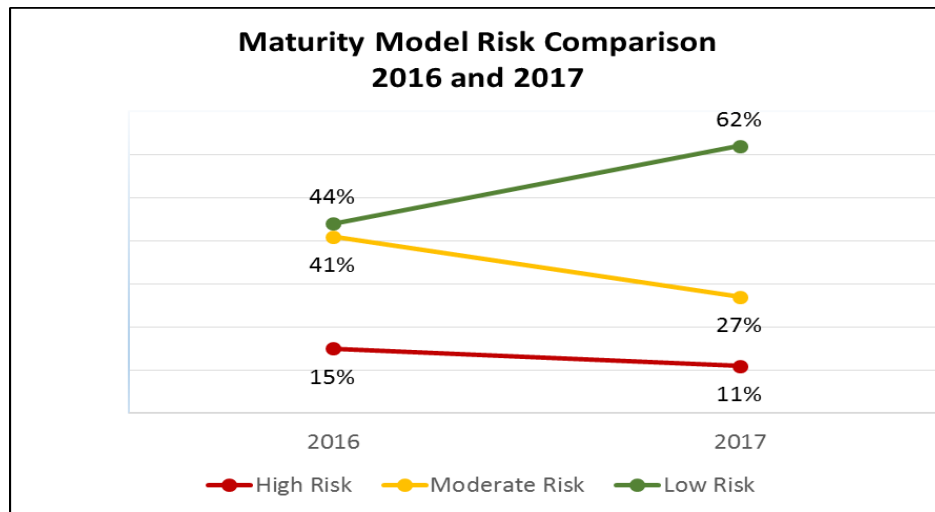
NARA required agencies to assess their email management policies and practices. The risk-based maturity model, introduced in 2016, is based on the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*.<sup>6</sup> The criteria provides guidelines for the successful management of email records as demonstrated in agency policies, systems, access, and disposition.

### OVERVIEW

The maturity model provides five scenarios with progressively improving descriptions for each of the four domains -- policies, systems, access, and disposition. Agencies chose which scenario best describes their *current* state of email management. Comment boxes allowed for further information the agency wished to provide. The results of the maturity model are on a scale of zero to four, with four being the highest level. NARA assigned low, moderate, and high risk ratings based on the level of achievement. (For more information on scoring and risk levels, see Appendix II.) The overall scores for the majority of agencies (62%) were either a Level 3 or Level 4, indicating they are at low risk for not managing email in accordance with the success criteria. However, there is still room for improvement within each of the maturity model domains.

### DATA ANALYSIS

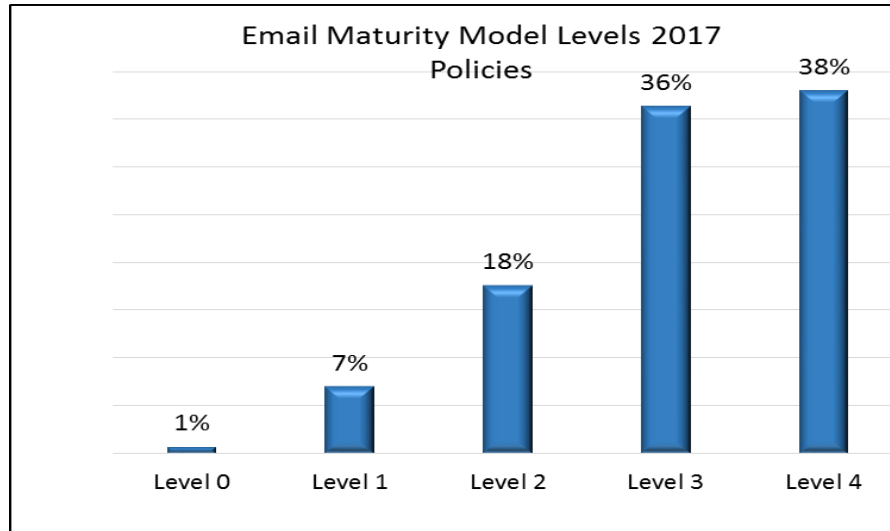
There was considerable improvement in how agencies measured the maturity of their email management from 2016 to 2017 as shown by the figure below. For 2017, the majority of agencies scored in the low risk area with a significant 20-point increase from 44% to 62%. Forty-seven agencies (or 18%) rated themselves with a perfect score of 4.0 compared to 21 agencies (or 8%) in 2016. Overall 144 agencies (or 56%) rated their email management maturity levels higher in 2017 than in 2016.



<sup>6</sup> *Criteria for Managing Email Records in Compliance with M-12-18*, <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>.

## DOMAIN 1: POLICIES

The success criteria states agency-wide policies and training must inform account holders of their responsibilities for managing email records. Policies should be developed with all relevant stakeholders and should address the requirements of the Federal Records Act, regulations and guidance.



Most of the agencies reported a success Level 3 or 4, which means that:

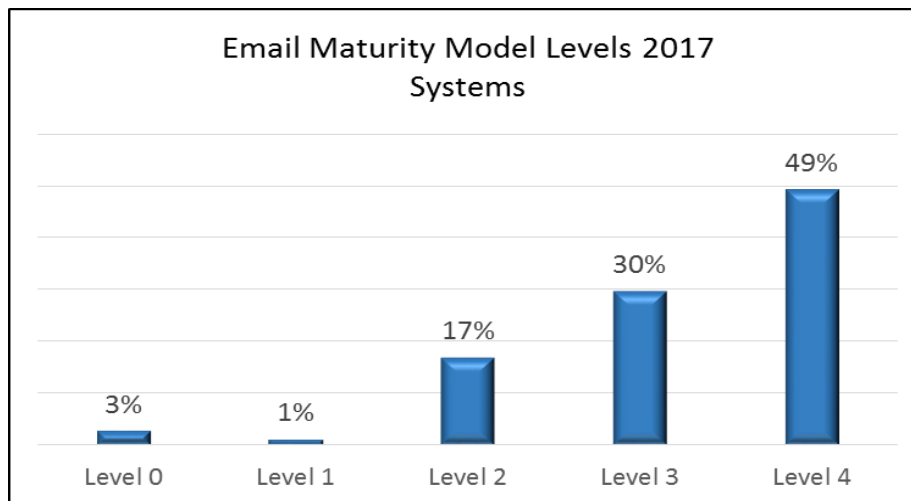
- Email policies have either been developed or disseminated or are in place and implemented throughout the agency, including use of personal or non-official accounts.
- Stakeholders including the Chief Information Officer, Records Managers, and General Counsel are involved in making policy and other decisions regarding email.
- There are policies governing holds on email records or accounts.
- Policies include use of personal or non-official email accounts.
- There are policies and procedures protecting against loss of email records.

To reach success Level 4 for email policies, agencies need to meet the above plus the following:

- All staff (including senior staff) have been trained on their roles and responsibilities for managing email.
- Records management staff and/or the Inspector General perform periodic audits of email policies to ensure proper use and implementation.
- Annual mandatory Records and Information Management (RIM) and Information Security training includes roles and responsibilities regarding email.

## DOMAIN 2: EMAIL SYSTEMS

The success criteria for email systems states agencies must have systems in place that can produce, manage, and preserve email records in an acceptable electronic format until disposition can be executed. Additionally, systems must support the implementation of agency policies and provide access to email records throughout their lifecycle.



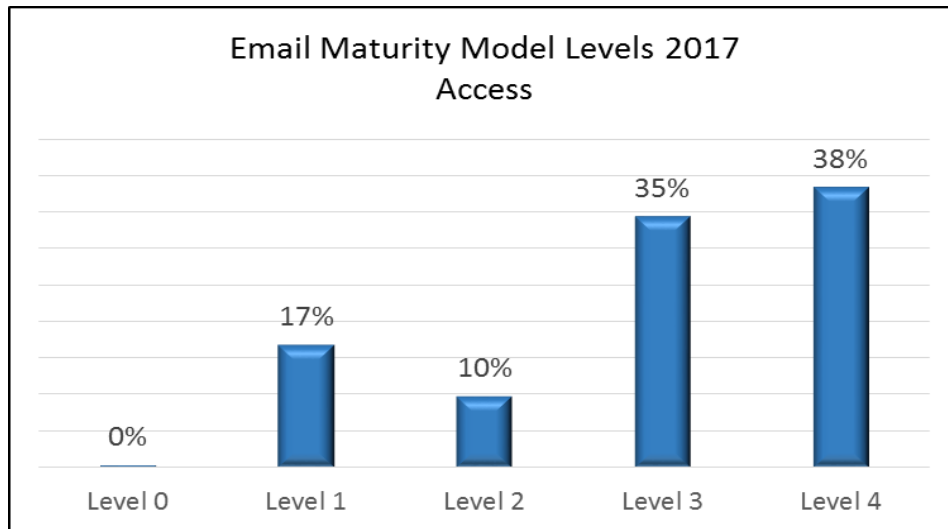
Most agencies reported a success Level 4, which means that:

- Administration of email systems is specifically assigned.
- Temporary and permanent email categories are identified.
- Systems are under development to handle implementation of agency policies and lifecycle management.
- Electronic retention is the main method for the preservation of email.
- Email systems manage and preserve email in electronic format.
- Limited end user input is needed to apply proper retention, access and disposition policies.
- Permanent email is identified and managed.
- Email systems maintain the content, context, and structure of the records.
- Email records are associated with their creator.



### DOMAIN 3: ACCESS

The success criteria for access states email records must remain usable and retrievable throughout their lifecycle. Access supports an agency's ability to carry out its business functions. Access should address internal agency needs and accommodate responses to requests for information.

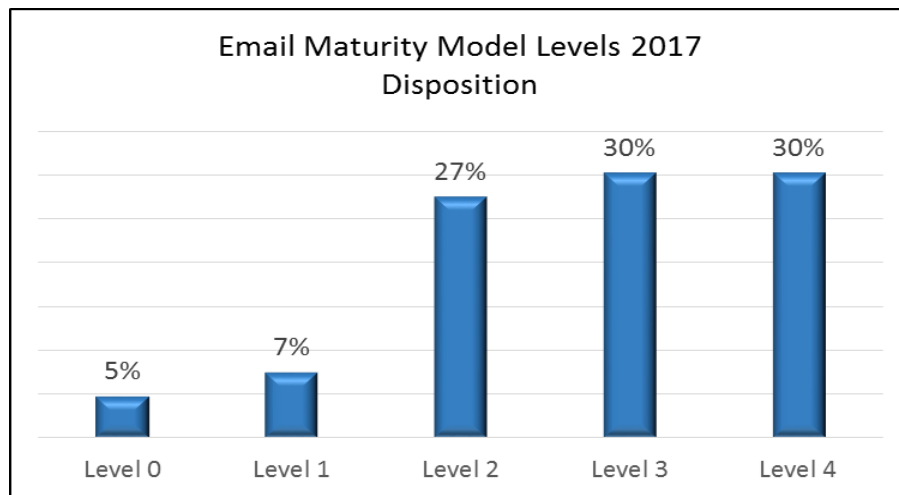


Most agencies reported a success Level 3 or 4, which means that:

- Email is retrievable during the normal course of business.
- The email system has procedures for providing reference and responses for email requests.
- Security and privacy protocols are included in the system.
- Processes for the identification and classification of email records are standardized across the agency making access and retrieval reliable.
- Records are usually accessed and retrieved in a timely manner.
- Email review, preservation, and disposition is embedded into the processes for departing employees.
- Records management controls are built into the email system to prevent unauthorized access, modification or destruction.
- Processes for the identification and classification of email records are documented and integrated with agency business and mission at the strategic level.

## DOMAIN 4: DISPOSITION

The success criteria for records retention scheduling and disposition of email states the agency must have a NARA-approved schedule in place to be able to carry out the disposition of permanent and temporary email records – using either agency-specific schedules or General Records Schedule (GRS) 6.1: Email Managed under a Capstone Approach. This area was the most improved from 2016.



The reported levels of success were almost evenly distributed between Levels 2, 3 and 4.

Success at Level 2 means:

- Retention schedule covering email is in draft form but not yet approved.
- Disposition of email is handled with limited training for the end user.

Improving to Level 3 means:

- Retention schedule covering email has been approved by NARA.
- End users are trained to oversee the disposition of email records.
- Permanent records are identified and maintained until transfer to NARA.

To reach Level 4, agencies need to meet the following:

- Records retention are built into email management systems.
- Permanent records are identified and captured by email management systems.
- Permanent records can be or have been successfully transferred to NARA.

A few agencies are indicating little or no records retention scheduling. This is concerning as configuring email systems without proper records scheduling may not effectively provide access to emails as needed for agency business needs, and permanent email records could be lost.

## PART II SUMMARY

The maturity model based on the success criteria laid out a consistent way for agencies to view their email management and for NARA to compare programs regardless of agency size and complexity. Continued use of the model over time will measure whether the risk to email management decreases. In the meantime, the results from 2017 are a good indicator agencies are moving away from printing and filing to manage email, systems are in place to capture and preserve email records, access to stored email exists, and records retention scheduling for email has improved from 2016.

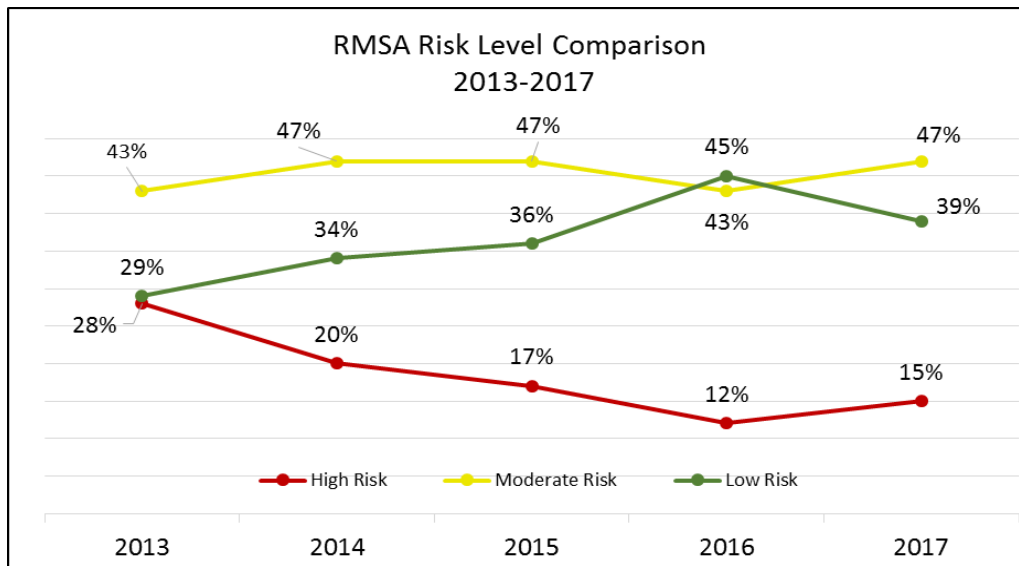
### PART III: RECORDS MANAGEMENT SELF-ASSESSMENT

#### OVERVIEW

Records management statutes and regulations provide a framework for the proper management of records and information enabling accountability, transparency, and access. Compliance with this framework ensures agencies can document decisions and activities for their business and mission functions. Using a low, moderate, and high risk scale, the objective of the RMSA is to determine whether agencies are compliant with statutory and regulatory records management requirements. It also provides agencies with information they can use to measure their compliance and to target their resources to areas needing improvement.

#### DATA ANALYSIS

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. Risk levels have gradually improved since 2013; however, this year, there was a decrease in low risk and a corresponding increase in moderate and high risk. This year, 39% of agencies scored in the low risk category, 47% in the moderate risk, and 15% in the high risk. This is down from 2016 when the risk category breakdown was 45% low risk, 43% moderate risk, and 12% high risk, bringing 2017 levels down closer to 2015 risk levels, when the risk category breakdown was 36% low risk, 47% moderate risk, and 17% high risk.



Some flux is expected due to changes in Federal agency programs, staffing levels, and other resources. Dramatic changes, however, are suspect and require further investigation. A review of actual point changes indicates 114 agencies scored better in 2017 while 117 scored lower. Changes in scores tended to shift mostly between one and five points up or down. For agencies on the cusp of any of the risk levels, this is enough to change from one to the other.

The scored questions remain the same each year with slight tweaks to wording and answer options. In 2015, we started making changes to the answer options for some scored questions to include “Under development,” “To some extent,” and “Pending approval,” instead of just “Yes,” “No,” and “Do not know.” This change provides a more complete picture of records management programs by allowing agencies to receive ‘credit’ for activities in progress. While this did help raise the scores for those who previously answered “No” because an activity was not fully in place, it did lower the scores of those who had previously answered “Yes” even though the activity was not fully in place. The number of questions with this change increased in 2016 and again in 2017. While it did not have much impact in 2015 or 2016, this may have contributed to changes in the overall risk levels in 2017.

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 an agency is free of records management challenges or they will never experience lapses or failures when managing their records. We also find on closer review of records management programs through inspections and assessments that RMSA scores only provide a baseline for regulatory compliance and do not always correspond to quality in actual practice.

The following is an analysis of trends for each RMSA section. For comparison of risk levels per section, see Appendix III. For information on the validation process, see Appendix IV. For statistics per question, see Appendix V. For individual agency scores, see Appendix VI.

### **SECTION ONE: RECORDS MANAGEMENT PROGRAM - ACTIVITIES**

This section focuses on major records management program activities including organizational structure, policy, and training.

#### **Trends**

This section remains the most consistent and where agencies score the best. Agencies have designated records management staff, have support from the SAORM, are updating directives, and are training staff on their records management responsibilities.

#### **Key Points**

- Assigning a person with responsibility for program administration meets regulations, but the turnover rate remains high.
- Most agencies have appointed an SAORM; however, not all meet regularly with their Agency Records Officers.
- Most agency records management programs are staffed by agency personnel with some use of contractors.
- Records management directives and training programs are in place.

## **Program Administration**

In general, records management programs are administered on a day-to-day basis by Department and/or Agency Records Officers and a network of other employees who are assigned records management responsibilities. These activities are then given leadership and support from the SAORM.

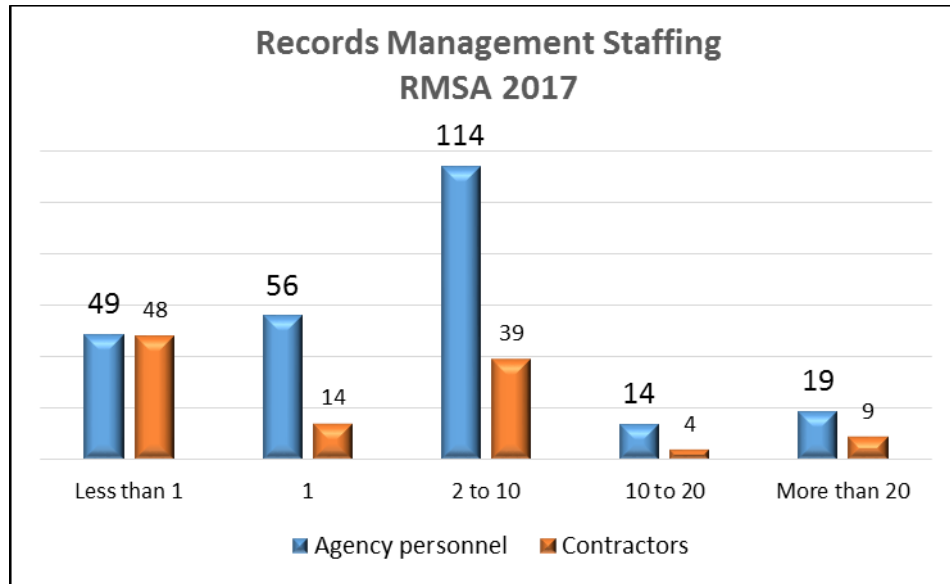
Regulations require agencies to have a person responsible for coordinating and overseeing the implementation of the records management program (36 CFR 1220.34(a)) and a network of designated employees within each program and administrative area (36 CFR 1220.34(d)). Practically all (98%) of those responding to the RMSA comply with this regulation. However, less than half (43%) of those assigned this responsibility have held the position for 5 or more years, and 24% have held the position for 1 to 2 years. The person in this position is usually designated as the Department or Agency Records Officer. The majority of agencies (84%) also indicated that they did have the additional supporting network.

SAORM appointments have been required for Executive Branch agencies since 2011 under the *Presidential Memorandum on Managing Government Records* and the related M-12-18. In 2017, NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management* clarified the roles and responsibilities of the SAORM to include setting the vision and strategic direction for the agency records management program and advocacy.

Almost all agencies (96%) reported having an SAORM. A few Departments have appointed SAORMs to their larger components, agencies, bureaus and offices, but most do not. In addition, only 82% of agencies reported that the SAORM met at least four or more times a year with the Agency Records Officer to discuss the agency's records management program's goals. NARA sees the role of the SAORM as critical in supporting the Records Officers and ensuring each agency has a records management program that is properly resourced and able to manage its records, and would like to see improvement in the level of communication and support in this area.

## **Staffing**

This year, we asked a series of questions to identify whether records management staff were agency employees or contractors, and provide some insight into the number of Full-Time Equivalent positions (FTE). The results indicated that the majority of agencies use agency personnel only and have at least one and up to ten FTE.



One objective of M-12-18 in regards to staffing was accomplished in 2015 with the establishment by OPM of a specific job series for records managers (Records and Information Management Series 0308 job series).<sup>7</sup> Use of this series is not yet widespread with 45% answering “Yes,” 46% answering “No,” and the rest responding they did not use the General Schedule job classifications.

**Records Management Directives**

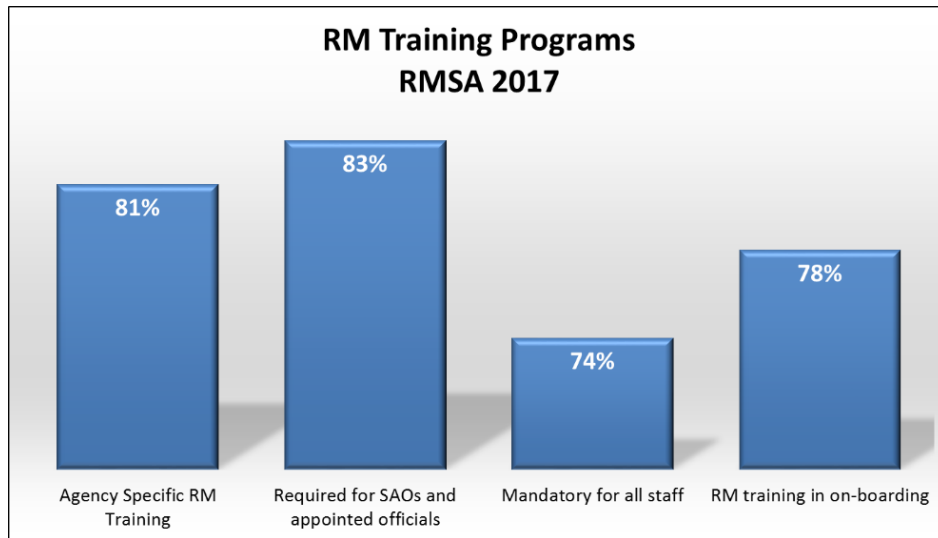
There was no significant change in the number of agencies with documented and approved records management directives in compliance with 36 CFR 1220.34(c). However, there was an increase in those reporting developing or revising directives. Having updated records management policy and guidance is helpful to agency staff. Therefore, NARA is encouraged to see that 67% of agencies report having updated or are updating their directives in FY 2017.

**Records Management Training**

The majority of agencies (81%) indicate they have internal records management training based on agency policies and directives for employees assigned records management responsibilities (36 CFR 1220.34(f)). Agencies interpret this as applying to their records management staff, records liaisons, and support staff who have records management assigned as a collateral duty. A similar number (83%) report that all senior and appointed officials are required to receive training on the importance of appropriately managing records under their immediate control. Most agencies (74%) also report having mandatory internal, staff-wide records management training, based on agency policies and directives, covering records in all formats. Also, 83% indicate that training is required for all senior and appointed officials, including newly appointed or promoted. A smaller number (78%) say this training is included as part of the on-boarding

<sup>7</sup> <https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/standards/0300/g0308.pdf>.

process for all new employees. According to the validation process and inspections, agencies should do more tailoring to agency-specific policies and other information.



## 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.<sup>8</sup> OMB Circular A-130 also requires agencies to include records management as part of managing information as a strategic resource.<sup>9</sup> Conducting evaluations ensures successful implementation of records management policies, procedures, records retention schedules, and other aspects of the program.

### Trends

There was a slight decline in the use of internal controls and performance measures to ensure eligible permanent records are transferred to NARA and temporary records are not destroyed before the end of their retention period. The majority of agencies report conducting evaluations of records management program implementation, and that records are accessible for responding to Freedom of Information Act (FOIA) requests.

<sup>8</sup> [https://www.whitehouse.gov/omb/circulars\\_a123\\_rev](https://www.whitehouse.gov/omb/circulars_a123_rev).

<sup>9</sup> <https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A130/a130revised.pdf>.



## Key Points

- Use of internal controls and performance measures needs improvement.
- There is some level of evaluation of records management program implementation.
- Agencies have vital records programs, but do not update them regularly.

## Internal Controls and Performance Measures

Internal control is defined as a process used by management to help an entity achieve its objectives. The U.S. Government Accountability Office (GAO) states that internal control helps an entity run its operations efficiently and effectively, report reliable information about its operations, and comply with applicable laws and regulations.<sup>10</sup> Having effective internal controls for records management helps ensure NARA-approved retention schedules cover all records and agency staff are able to understand and consistently implement them. Establishing performance measures is a key element of internal controls.

Regulations require that, in addition to established policies and records schedules, agencies must develop and implement internal controls to ensure permanent records are transferred and that retention schedules for temporary records are properly applied (36 CFR 1222.26). For the past several years, 83% to 85% of agencies reported having internal controls for permanent records and 86% for temporary records. However, for 2017, these numbers dropped to 78% for permanent records and 83% for temporary. The existence of performance measures is 70% to 75%. One of the key ways for agencies to improve the efficiency, cost effectiveness, and overall functioning of their records management programs would be to more adequately develop and implement internal controls and performance measures.

## Evaluation Programs

An evaluation is an inspection, audit, or review of one or more records management programs for effectiveness and 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 progress reporting for implementing recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit (36 CFR 1220.18). Those agencies indicating they evaluate their records management program (88%) also indicated that these were either conducted routinely or on an ad hoc basis; formal written reports are prepared by some agencies; and plans of corrective action are being created and monitored. However, during the RMSA validation process, we have consistently found this is an area that needs more attention. The lack of regular, formal records management inspections as required by 36 CFR 1220.34(j) has been noted in the majority of inspections NARA conducted in 2011-2017.<sup>11</sup> Agencies are more likely to have informal processes that are not documented and do not have consistent follow-up activities.

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<sup>10</sup> GAO-14-70G, Standards for Internal Controls in the Federal Government.

<sup>11</sup> NARA inspection reports can be located at: <https://www.archives.gov/records-mgmt/resources/rm-inspections>.

### **Legal requirements for hard copy (or analog) records**

As mentioned earlier, NARA's *Strategic Plan 2018-2022* is committed to a digital government and will require agencies, where feasible, to maintain records electronically by 2022. However, there are still instances where it is required by law or regulation to conduct business using paper or analog records. There are some transactions between Federal agencies and with non-Federal agencies that require a wet signature, or agencies may be required to offer hard copy as an available option. When asked, 46% of agencies indicated they were subject to such laws and regulations. A few examples we received included:

- Affidavits and Declarations pursuant to 28 U.S.C. 1746
- Agency is required to collect fingerprints using paper FBI fingerprint form FD 258 for Farm Labor Contractor certification (29 CFR 500.45(d))
- Agreements with foreign nations
- Compliance with the Disability Act
- Detailed Hazardous Materials Incident Reports under 49 CFR 171.16
- Detainees and pro se filers have the option to file in paper
- Mutilated currency requires the retention of customer submission of paper records as affidavits of submissions, verification controls, currency submitted for review and proof of redemption to customers
- US Life Science Regulations under 21 CFR Part 11 include requirements to generate accurate and complete copies of records in both human readable and electronic form
- When unique stamps and signatures are required (such as by Seafood Inspectors)

### **Vital (Essential) Records**

The protection of records and information in the event of accidents and disasters is an important part of any records management program. The identification of records needed to operate and recover from such events are vital or essential records. NARA's requirements for agencies related to vital (essential) records are described in 36 CFR 1223.

The majority of agencies:

- Have identified these records for all programs and administrative areas (85%), but only 59% regularly review and update this inventory;
- Identify and analyze internal and external risks to records and information to some extent, and have protection or mitigation policies in place (83% to 84%); and
- Include vital records as part of Continuity of Operations Plans (COOP).

### **Freedom of Information Act (FOIA) Programs**

NARA's Office of Government Information Services (OGIS) is charged with reviewing FOIA policies, procedures and compliance of Federal agencies. FOIA gives the public the right to request access to records from Federal agencies within the Executive Branch, independent regulatory agencies, and some components within the Executive Office of the President. The ability to find and provide records is essential to a successful FOIA program. FOIA and RM programs are usually separate within agencies; however, there should be a working relationship

between the two. Agency Records Officers should use the ability of the FOIA program to locate information as one measure of effective records management implementation. This year, we found that FOIA and Records Officers work together, FOIA Officers felt they could find records responsive to FOIA requests as needed, and use email most often to respond to FOIA requests.

### **SECTION THREE: RECORDS MANAGEMENT PROGRAM – RECORDS DISPOSITION**

This section focuses on the management of records throughout their lifecycle including access, records scheduling, records storage, the transfer of permanent records, and exit briefings for senior officials. Agencies with an effective records disposition program maintain current records schedules, ensure proper storage, and execute final disposition when records are eligible. NARA's regulations at 36 CFR 1224 set policies and establish standards, procedures, and techniques for the disposition of all Federal records in accordance with 44 U.S.C. Chapters 21, 29, 31, and 33.

#### **Trends**

Agencies report they are able to locate records when needed. Disposition programs include records retention scheduling, transfers of permanent records to NARA, and briefings for senior officials to ensure that records management policies are followed and agency records are safeguarded from unauthorized removal.

#### **Key Points**

- The majority of agencies report they can retrieve and access records when needed.
- More concerted efforts are needed to ensure permanent records are transferred when eligible.
- Agencies are conducting briefings for newly appointed, promoted or departing senior officials, but not all of these briefings are documented.
- Agencies are generally not using commercial storage facilities, nor do they have agency operated records centers.

#### **Records Access and Retrieval**

There was little or no change from last year in how agencies assessed their ability to easily retrieve and access records when needed for business purposes. Slightly less than half of agencies said that all records and information were easily retrievable and accessible when needed for agency business. The remaining agencies said most records were retrievable and accessible in a timely manner. This is an area of concern that bears watching over the next several years.

#### **Records Scheduling Efforts**

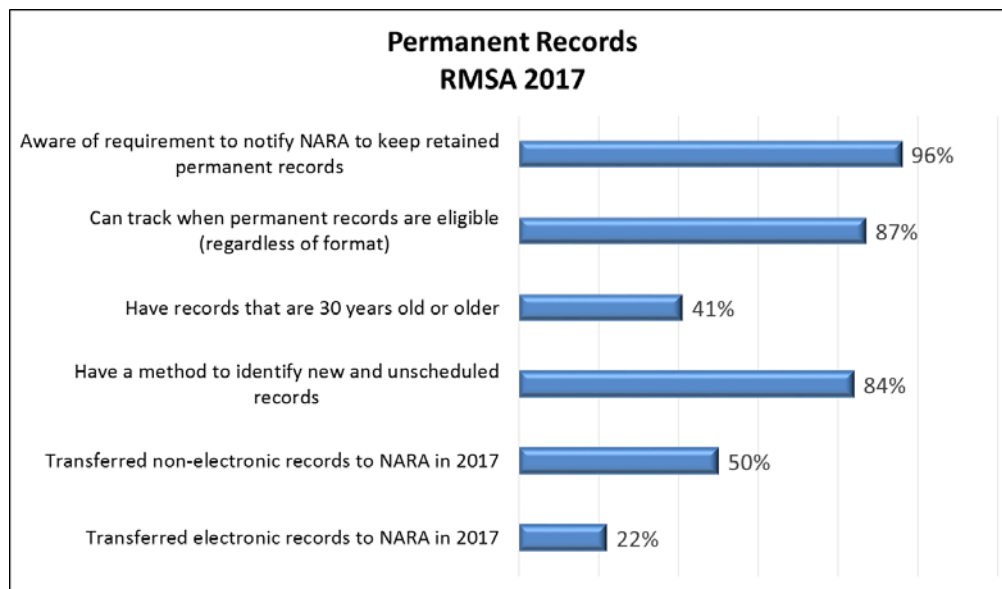
Having a NARA-approved retention schedule is critical to a successful records management program. Without proper records scheduling efforts, agencies are at risk of maintaining records too long, having unauthorized destructions of records, and incurring increased costs of hard copy and electronic storage. The majority of agencies (73%) report records are being properly and fully scheduled, with another 24% indicating this is done to some extent. The other key to

retention scheduling is updating staff when new schedules are created or existing schedules revised.

- The majority of agencies (84%) disseminate every approved disposition authority (including newly approved records schedules and General Records Schedule items) within six months of approval in accordance with 36 CFR 1226.12(a).
- The most common methods for distributing this information is posting to internal websites or other shared information sites, by memorandum or email notification, and by updating training materials.
- The same number of agencies report having a method to continually identify new and unscheduled records. The most common of these are outreach and awareness efforts, regular inventories, evaluations, and working with program managers.

### Permanent Records Transfers to NARA

Even though 96% of agencies said they are aware of the requirement to formally request permission from NARA to retain permanent records beyond their eligibility to transfer them to NARA, there was little or no change in the number of agencies transferring permanent records in any format. Compared to the last two years, the figure remains around 50%. It is important to note that 87% of agencies indicate they have methods to track when permanent records are due for transfer including reliance on the Federal Records Center Program and maintaining inventories and databases.

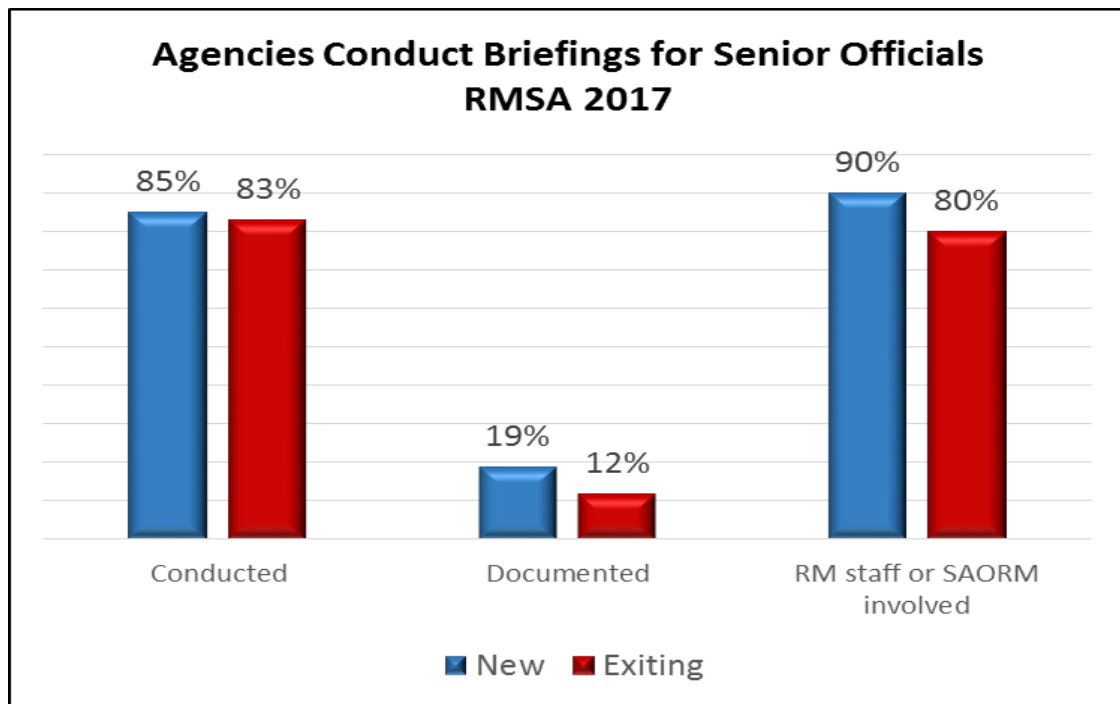


This is a core activity that is clearly not being done. Even when accounting for new agencies and agencies that indicate they did not have any records eligible for transfer in 2017, this is an area of serious concern. More concerted efforts are needed to ensure permanent records are transferred when eligible, such as:

- Federal agencies should evaluate their ability to transfer permanent records
- NARA should routinely include the transfer of permanent records as a topic in all records management program inspections
- The Federal Records Management Council should consider studying this topic
- NARA and Federal agencies should work together to discover the root causes of this problem.

### Briefings for Senior Officials

NARA’s regulations require that agencies conduct and document for accountability purposes briefings for newly appointed, promoted and exiting senior officials on the appropriate disposition of the records, including email, under their immediate control (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a) & (b)). Agencies indicate briefings are being conducted for new and existing employees (85% and 83% respectively), but very few (less than 20%) are documented. Last year only 79% of agencies indicated SAORM or RM staff involvement in these briefings. However, this was up this year considerably for incoming briefings and about the same for exit briefings.



### Records Storage

Every other year, the RMSA includes questions related to where agencies store their inactive records. This year, questions on this topic included whether agencies use commercial storage, operate agency records centers, or use staging or holdings areas. For the results of these questions, see Appendix V.

## **SECTION FOUR: RECORDS MANAGEMENT PROGRAM – ELECTRONIC RECORDS**

The ability to create and maintain information electronically increases the speed of access and often the accuracy of information; however, it creates challenges for preservation and access over time. As the reliance on and 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 year, we included answer options “To some extent” and “Under development,” which provided a broader view of how well agencies are managing electronic information. Electronic records management has expanded to include web content and cloud storage services.

### **Trends**

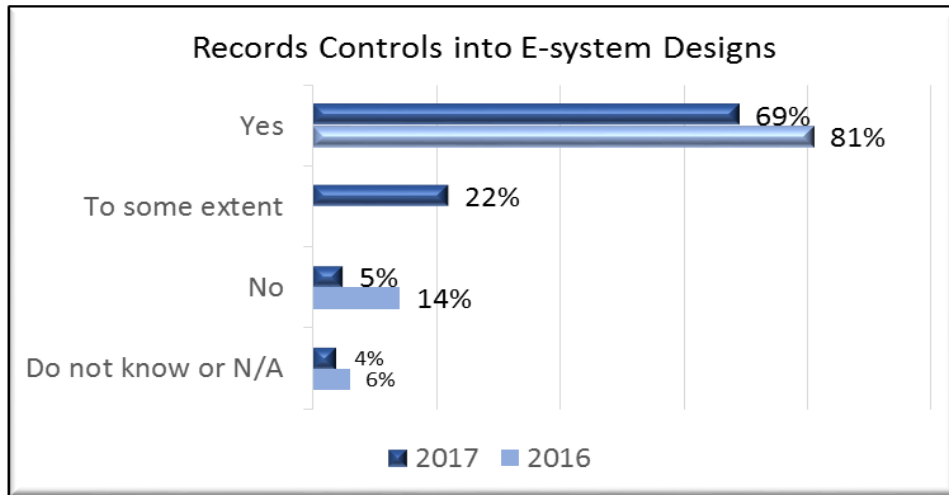
Incorporation of records management controls into electronic information systems and the inclusion of records management staff into the process continues to slowly improve. Email management is improving as well. Also, having migration strategies for electronic records remains a challenge; however, more records management staff are involved in developing procedures.

### **Key Points**

- Agencies are incorporating records management controls into the design, development, and implementation of electronic information systems.
- The decline in documented and approved procedures to enable the migration of records and associated metadata continued.
- Records management staff are not fully involved in various aspects of electronic information systems design, development and implementation.

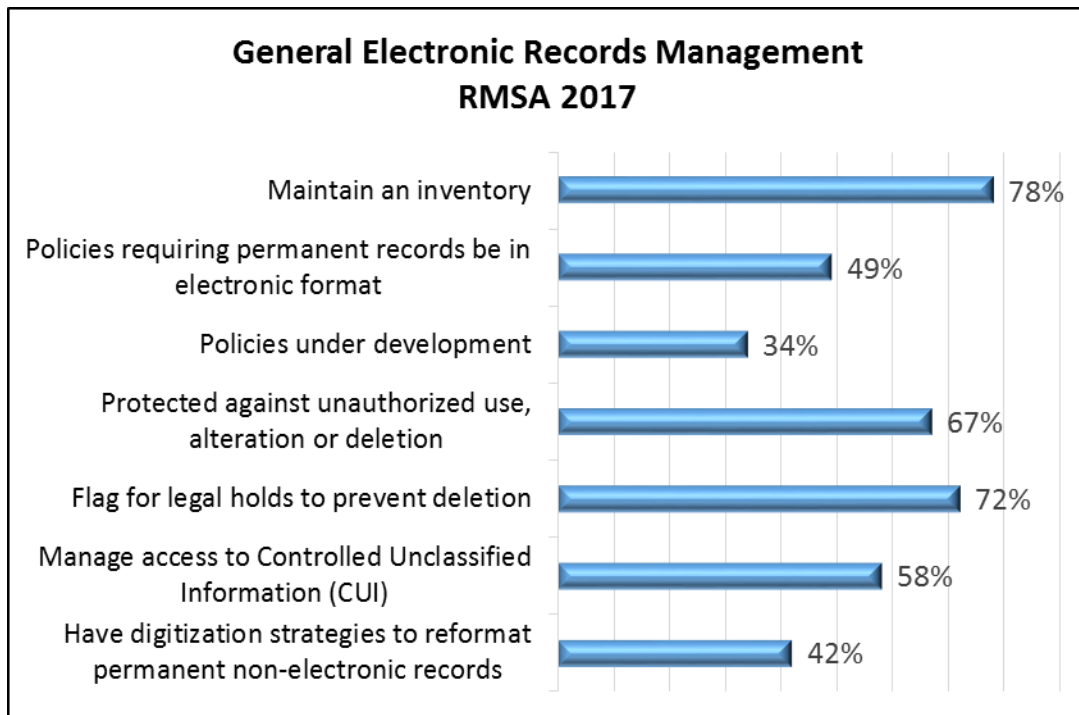
**Electronic Information Systems Design and Migration** – Comparisons with previous RMSAs show:

- There was some improvement in the number of agencies reporting incorporation of controls to ensure the reliability, integrity, authenticity, and usability of electronic records; the ability to migrate records when necessary; and ensuring the incorporation of records management functionality into the design, development, and implementation of electronic information systems (EIS) (36 CFR 1236). Adding the “To some extent” as an answer option cut by more than half the agencies responding “No” from 14% in 2016 to 5% in 2017.



- The decline continued from 64% in 2015 to 61% in 2016 to 56% in 2017 of agencies having documented and approved procedures to enable the migration of records and associated metadata.
- Including the “To some extent” as an answer option allowed for more agencies to better report involvement of records management staff in developing procedures to ensure that records are properly migrated from retired systems (36 CFR 1235.20(b)(6)). The combination of “Yes” and “To some extent” options provides a positive response of 82% having at least some involvement. How records management staff participate varies, but includes the following:
  - Review and acceptance of proposals for new systems
  - As stakeholder in requirements gathering
  - As stakeholder in design phase
  - As stakeholder in development phase including testing the system
  - Provide sign off authority for the implementation of new systems
  - Monitor system for adherence to standards, policies, and procedures
  - Provide information only
- A little more than half of agencies (56%) have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats in compliance with 36 CFR 1236.20(b)(6), while another 16% of agencies are developing them.
- Agencies also report that records management staff are fully (60%) involved in developing procedures for migrating records from retired systems or to some extent (22%).

**General Electronic Records Management** - This year, we asked several new questions about managing electronic records.



Further evaluation and assessment of these areas is needed to discover more information about how agencies are handling these challenges.

### RM Staff and E-Systems

Involvement by RM staff in the design, development and implementation of new electronic systems is important to ensure recordkeeping requirements are fully incorporated. This is an area we have been monitoring since 2011. Agencies have consistently reported RM staff involvement between 64% and 67% since 2011. However, this year, we split the answer options between “Yes” and “To some extent,” which gives a clearer indication of involvement. Only 49% of agencies answered “Yes,” with 39% choosing “To some extent.” Nine percent (9%) answered “No,” with a few others answering “Do not know,” or “Not applicable,” because no new systems are currently expected. Adding the “Yes” and “To some extent,” helped some agencies and did bring the overall number up to 88%, which is somewhat encouraging; however, agencies should make greater efforts to fully include RM staff in this area.

### Digitization Strategies

Digitization strategies are important for a successful transition away from paper. Even though 83% of the SAORMs said the agency was either digitizing hard copy records or had evaluated the feasibility of reformatting hard copy records, only 42% of agencies indicated they actually had a digitization strategy, followed by another 26% choosing the “To some extent” answer option. This may seem like a contradiction between the SAORM reports and the RMSA, but it is



not. The SAORMs were only asked if they developed plans or had evaluated digitization as an option. The responses in the SAORM were mixed, because they were inconsistent. Some agencies answered “No” on the SAORM report, and others “Yes” for the same reasons:

- Digitization is not needed as records are already in electronic format
- Digitization was considered but determined that it was not cost effective, necessary, or practical

The RMSA asks specifically if agencies had a digitization strategy to reformat permanent hard copy or other analog formats.

### **Web Content**

For the first time, we asked if agencies treat web content as records and how these are being managed. These results will serve as a baseline to monitor future activity in this area:

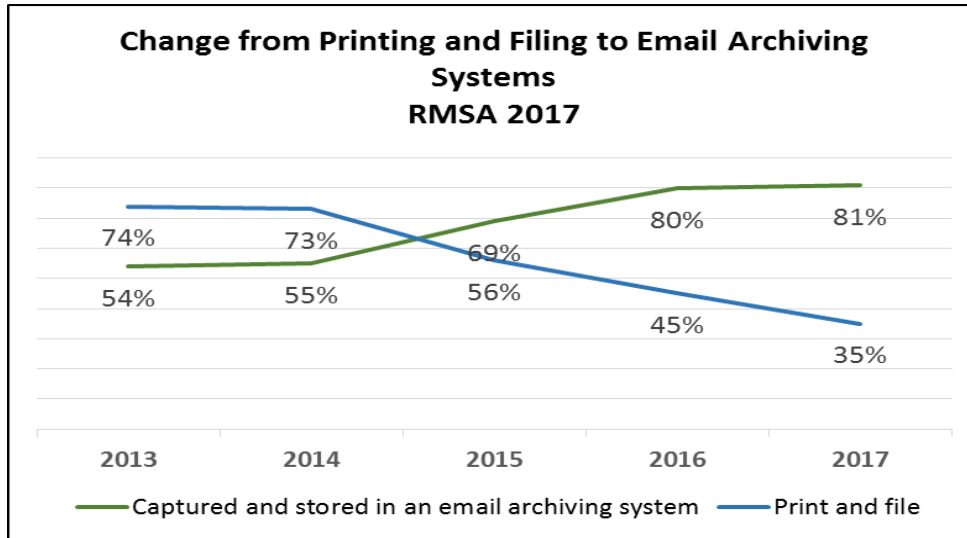
- More than half of agencies (55%) manage web content as records.
- There is some (69%) records retention scheduling of web content.
- Migration of web content occurs when websites are updated (69%).
- Program offices responsible for the official record copy are identified (64%).
- Less than half of agencies (45%) manage convenience copies as duplicates and apply disposition as needed.
- Very few agencies (28%) transfer permanent web records to NARA.

### **Cloud Use**

As more agencies shift towards cloud services as part of their information management strategies, NARA is interested in whether records management is being fully implemented in this area. The number of agencies using cloud rose slightly from 83% to 86%. The main purposes for cloud services are email; some mission/program related functions; and administrative functions such as payroll, purchasing, and financial management. There was an increase from 69% to 73% of agencies reporting that recordkeeping requirements are included in cloud storage.

**Email Management**

There has been a gradual shift away from printing and filing email to capturing and storing in an email archiving system since the RMSA first started tracking email management in 2013.



\*The intent of the above graphic is not a one-to-one percentage comparison but to graphically depict the drop from print and filing to email archiving systems. Percentage comparisons DO NOT add up to 100%. Agencies had other options to choose from such as storing in an electronic records management system that is not an email archiving system, use of personal storage tables (.PST files) or manually by the end user. Agencies could also pick more than one of these answers to cover multiple methods and transitions that are in use.

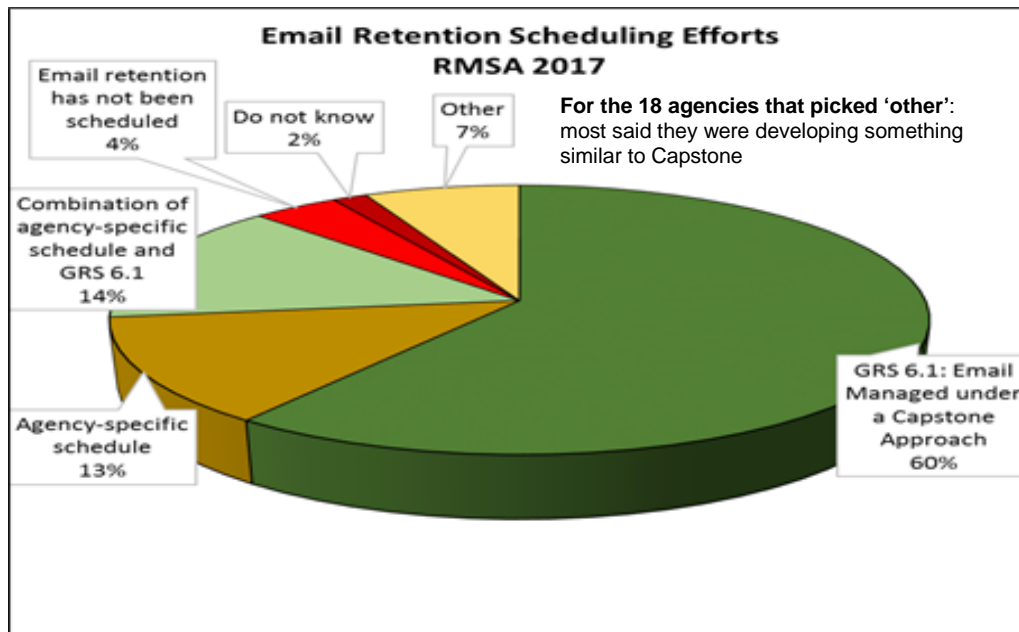
- Other points on email management:
  - Ninety-six (96) percent of agencies can access email from departed employees in a usable manner either fully or to some extent.
  - Ninety-five (95) percent of agencies are able to prevent unauthorized access, modification, or destruction of emails.
  - Eighty-six (86) percent of agencies can transfer permanent email records.

**Email Retention Scheduling**

Federal agencies are required to manage their email records in accordance with the Federal Records Act and 36 CFR Chapter XII Subchapter B. As of December 31, 2019, Executive Branch agencies are required to manage both permanent and temporary email records in an accessible electronic format. Supporting this effort, NARA Bulletin 2013-02 established the “Capstone Approach” as an alternative means of managing email, while the transmittal of GRS 6.1 provides disposition authority for the approach. Resources for additional information on email management and the Capstone approach can be found at:

<https://www.archives.gov/records-mgmt/email-mgmt>.

Agencies can schedule retention of email using GRS 6.1: Email managed under the Capstone Approach, an agency-specific schedule, or a combination of both. The majority of agencies indicate that they have or will submit the forms necessary under GRS 6.1. This corresponds with the improvement of FEMR maturity model scores for Domain 4: Disposition. Managing electronic communication beyond email will require agencies to update retention schedules, policies, and practices. Currently, 56% of agencies have approved records schedules 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. This is a considerable increase from the 30% reported in 2016. Still, this is just over half, indicating more emphasis is needed on these types of records.



### PART III SUMMARY

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 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. Using this self-assessment, inspections, and other oversight activities, NARA will continue to monitor the modernization and improvement of Federal records management.

## OVERALL CONCLUSION AND RECOMMENDATIONS

Proper records management is increasingly necessary for accountability and to allow agencies to create and retrieve information required to accomplish mission goals. NARA continues to recognize its role in the oversight of records management programs and is committed to working with Federal agencies to improve their programs.

NARA makes the following recommendations for Senior Agency Officials for Records Management:

- SAORMs must provide leadership for records management programs and ensure these programs are properly resourced and aligned with the agency's strategic information resource management plans.
- SAORMs should meet more regularly with their Agency Records Officer to establish performance goals for the records management program and to assess progress against the goals by reviewing performance measures.
- SAORMs should promote an information governance framework that requires collaborative relationships between records management staff and information technology staff to better recognize records management as part of information resource management as a whole.<sup>12</sup>

NARA makes the following recommendations for Agency Records Officers and others responsible for agency records management programs:

- Agencies must continue to improve email management, particularly in the area of records retention scheduling and final disposition.
- Agencies must conduct routine evaluations, assessments, and audits of the implementation of their records management programs, and document their findings and recommendations in a written report.
- Agencies must schedule all records in accordance with 36 CFR 1225.
- Agencies must provide targeted records management training to political appointees, senior agency officials, and senior executives upon their arrival and departure, and within three to six months prior to a presidential administration change. (See NARA Bulletin 2017-01)
- Agencies must ensure *new and departing* senior agency officials receive briefings on records management responsibilities and, if applicable, require them to obtain approval before removing personal files or copies of records.
- Agency Records Officers should initiate and establish collaborative relationships with program managers, information technology staff, Inspectors General and with NARA experts to develop procedures for the transfer of permanently valuable electronic records to the National Archives.

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<sup>12</sup> Information Governance is the overarching and coordinating strategy and tactics for all organizational information. It establishes the authorities, supports, processes, capabilities, structures, and infrastructure to enable information to be a useful asset and reduces liability to an organization, based on that organization's specific business requirements and risk tolerance.

- To ensure compliance, agencies must have policies and procedures in place, and training for staff, on the retention of records created through electronic communications including text messages, chat, and other messaging platforms or applications, such as social media.
- Agencies must incorporate records management and archival functions into the design, development, and implementation of information systems in accordance with revised OMB Circular A-130, *Managing Information as a Strategic Resource*, and other guidance.
- Federal agencies should evaluate their ability to transfer permanent records.
- Greater efforts need to be made to transfer eligible permanent records to NARA, regardless of format, between 2019 and 2022.
- By December 31, 2022, agencies must be able to transfer eligible permanent records in electronic format with acceptable associated metadata.
- Efforts towards digitization and reformatting of non-electronic records to electronic format must continue, keeping in mind that after 2022, NARA will no longer accept temporary records for storage by the Federal Records Center Program.

## APPENDIX I: SAORM 2017 REPORT TEMPLATE

The SAORM 2017 Report template focused on the strategic planning and resources needed for an agency records management program to achieve the Directive's final objectives. The template consisted of the following eight questions. For access to each agency's submission, please see <https://www.archives.gov/records-mgmt/agency/sao-reporting>.

1. Identify the agency and components covered by the report.
2. Permanent Electronic Records: Is your agency and its components making progress towards meeting the M-12-18 target deadline to manage all permanent electronic records electronically?
3. Digitization Efforts: Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)?
4. Agency Reform Plans: OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?
5. Strategic Planning and Direction: Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02-html>)
6. Briefings for Senior Leadership: Have you, as the SAORM, ensured that all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?
7. Information Resource Management: Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, \*Managing Information as a Strategic Resource\*](#))
8. NARA Strategic Plan: What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan, Goal 2.4)<sup>13</sup>

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<sup>13</sup> <https://www.archives.gov/about/plans-reports/strategic-plan/strategic-plan-2018-2022>.

## Appendix II: Scoring and Risk Factors

### Senior Agency Official for Records Management Report

The SAORM Report is an unscored report submitted by each agency SAORM. Individual reports are posted on NARA's website at <https://www.archives.gov/records-mgmt/agency/sao-reporting>.

### Federal Email Management Maturity Model

A maturity model score is an average of points received divided by the number of questions. The email maturity model has four domains, each with a total possible score of four.

- Domain 1: Email Policies
- Domain 2: Email Systems
- Domain 3: Access to Email
- Domain 4: Email Disposition

The total number of points possible is 16. The maximum maturity model score is four. Based on the maturity model score, NARA determined a level of risk for not managing email effectively.

- High Risk = score of 0 to 1.9
- Moderate Risk = score of 2 to 2.9
- Low Risk = score of 3 to 4.

### Records Management Self-Assessment (RMSA)

The RMSA has four sections with scored questions. The other two sections do not have scored questions. There are 100 possible points distributed across the sections as follows:

Maximum Point Values (per section):

- Section One: Records Management Program - Activities (21 points)
- Section Two: Records Management Program - Oversight and Compliance (30 points)
- Section Three: Records Management Program - Records Disposition (20 points)
- Section Four: Records Management Program - Electronic Records (29 points)
- Section Five: Demographics

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

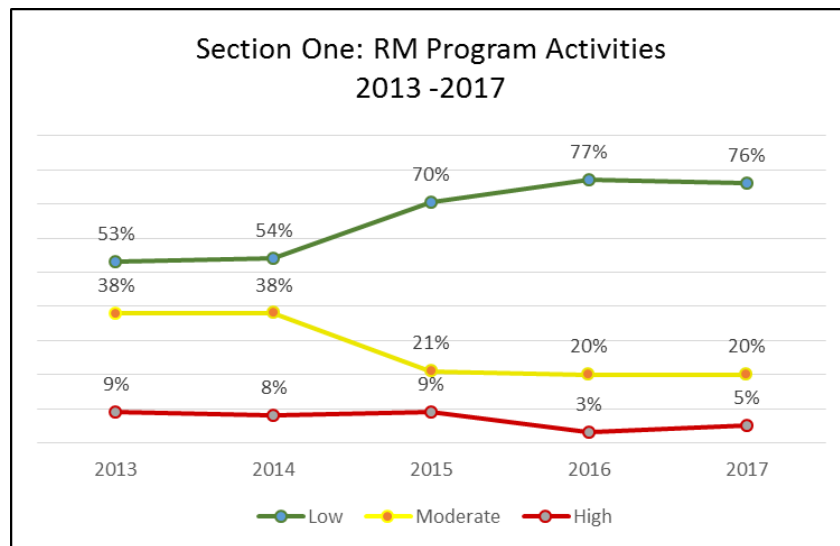
- Low Risk = scores 90 - 100
- Moderate Risk = scores 60 - 89
- High Risk = scores 0 - 59

### Appendix III: RMSA Section Statistics and Risk Level Comparisons

The Records Management Self-Assessment questionnaire has five sections.

#### SECTION ONE: RECORDS MANAGEMENT PROGRAM – ACTIVITIES

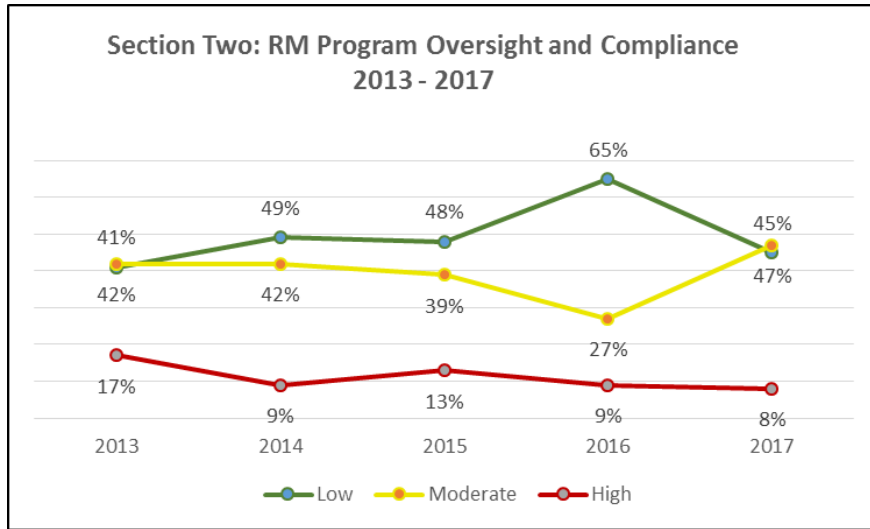
This section focuses on major records management program areas including program administration, organizational structure, policy, and training. This section contains 7 scored questions out of 14 for a total of 21 possible points. Agencies have usually scored well in this section with 76% of agencies scoring in the low risk category, 20% in the moderate risk category, and 5% in the high risk category.



#### SECTION TWO: RECORDS MANAGEMENT PROGRAM – OVERSIGHT AND COMPLIANCE

This section examines how agencies monitor and assess the activities of their records management programs. This section contains 10 scored questions out of 23 questions for a total of 30 possible points. There has been considerable improvement in this section. This year, 45% of agencies are in the low risk category, 47% in the moderate risk category, and 8% in the high risk category.

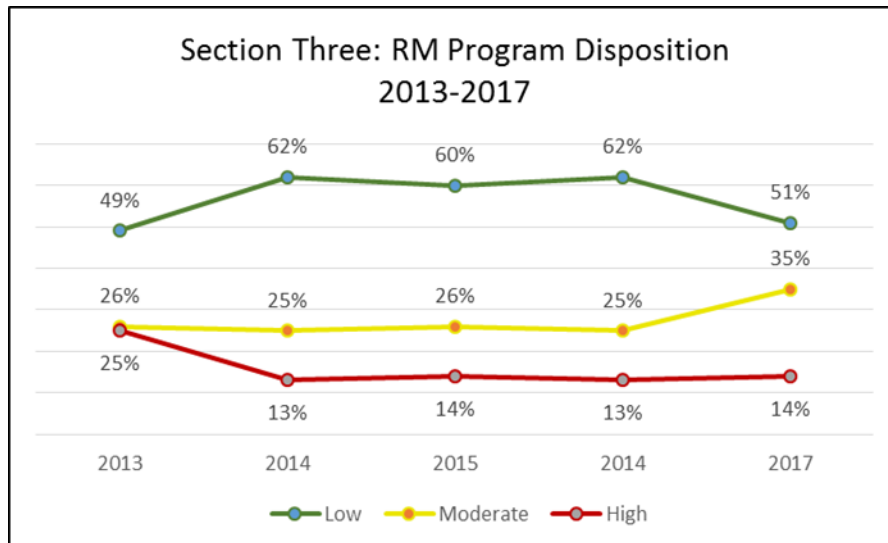




**SECTION THREE: RECORDS MANAGEMENT PROGRAM – RECORDS DISPOSITION**

This section focuses on lifecycle management of records including records scheduling, records storage, the transfer of permanent records, and exit briefings for senior officials. This section contains 7 scored questions out of 26 questions for a total of 20 possible points.

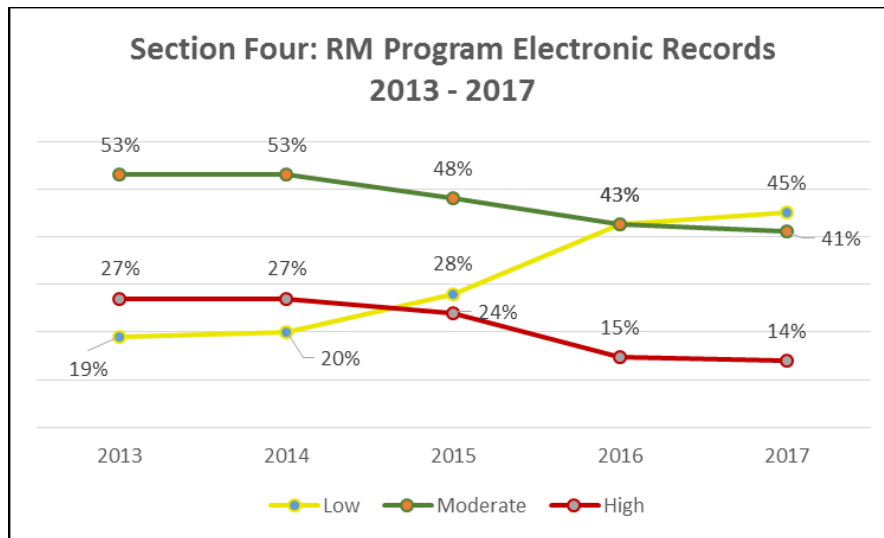
The scores in this section continued to change in a negative direction with a decrease in low risk to 51%, moderate risk up to 35% and high risk at 14%. For individual scored questions, the difference between answer options is slight, but the accumulated change made a difference in the overall risk levels for this section.



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SECTION FOUR: RECORDS MANAGEMENT PROGRAM – ELECTRONIC RECORDS

This section contains 10 scored questions out of 38 questions for a total of 29 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. There was no measurable change with 45% of agencies now scoring in low, 41% moderate risk and only 14% in the high risk category.



SECTION FIVE: DEMOGRAPHIC QUESTIONS

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

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

Number of Full-Time Employees (FTEs)	Number of Agencies
<b>Answer Options</b>	<b>Responses</b>
500,000 or more FTEs	2
100,000 – 499,999 FTEs	8
10,000 – 99,999 FTEs	51
1,000 – 9,999 FTEs	71
100 – 999 FTEs	78
1 – 99 FTEs	42
Not Available	6
<b>Total responding: 258</b>	

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

- ✓ Senior Agency Officials
  - ✓ Chief Information Officers
  - ✓ FOIA Officer
  - ✓ Office of General Counsel
  - ✓ Program managers
  - ✓ Information technology staff
  - ✓ Records liaison officers
  - ✓ Administrative staff
  - ✓ Department Records Officers (by component Agency Records Officers)
- Eighty-five (85) percent of respondents were the Agency Records Officer.
  - Eighty-two (82) percent of agencies indicated that their agency's senior management reviewed their responses to the RMSA.

### APPENDIX IV: RMSA VALIDATION STRATEGY

Each year, we validate a random sample of agencies’ responses to selected questions through a combination of methods, including a review of documents received from the selected agencies. For 2017 validation, we followed up with 36 questions on topics such as the designation of an agency records officer, managing permanent records, transfers of permanent records to NARA, training program and briefings for senior officials. The validation pool included large and small agencies, Department components, and independent agencies.

While overall we feel agencies are forthright in their responses, each year we find that some agencies answer “Yes” even if they have not fully achieved compliance, but did not feel “No” was truly applicable either. To account for this, we have been adding “To some extent” or “In progress” to the answer options as we find questions that need them. In most cases, we found that the agencies involved in the validation process provided answers that accurately reflect their program.

The validation pool included a random sample of respondents answering “Yes,” “Under development” or “Pending final approval.” There are a few questions that we can verify responses from all respondents using internal NARA resources. The following shows which questions were used this year, the topics covered, and the validation method used.

Q#	Topic	Validation Method and Target Respondents
4	Designation of SAORM	Verify response using 2017 SAORM reports/NARA staff spreadsheet – all ‘No’ responses
11, 12	RM Directives	Request copy of RM directive from random sample of ‘Yes’ and ‘No, pending final approval’ responses
13, 14, 15, 16	RM Training	Request copy of training materials from a random sample of ‘Yes’ responses
20, 21, 22, 23	RM Program Inspection/Audit/Reviews	Request copy of inspection/audit/review procedures, documentation, communications, and/or report from a random sample of ‘Yes’ responses
24, 25	RM Program Performance Goals and Measures	Request copy of RM Program performance goals/measures from a random sample of ‘Yes’ responses
26	Policies on Managing Permanent Records	Request copy of approved policies and procedures from a random sample of ‘Yes’ and ‘No, pending final approval’ responses
51	Transfer of Permanent Non-Electronic Records	Verify response with internal NARA resources from a random sample of ‘Yes’ responses
52	Transfer of Permanent Electronic Records	Verify response with internal NARA resources from a random sample of ‘Yes’ responses
55, 56	On-boarding for Senior Officials	Request copy of training/briefing materials from a random sample of ‘Yes’ responses

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Q#	Topic	Validation Method and Target Respondents
57, 58, 59	Exit Briefings for Senior Officials	Request copy of exit briefing form or other documentation from 'Yes' and 'Yes, but not documented' responses
68, 69	Submitting Transfer Request Based on Annual Move	Verify with internal NARA resources a random sample of 'Yes' responses
72, 73	Records Migration Procedures	Request copy of approved procedures from a random sample of 'Yes' and 'No, pending final approval' responses
78	Managing Permanent Electronic Records in Electronic Format	Request copy of approved policies from a random sample of 'Yes' and 'No, under development' responses
90	RM in agency IRM Plan	Request copy of IRM plan or similar from a random sample of 'Yes' responses
91	Email Record Policies for Retention 180+ Days	Request copy of approved policies and procedures from a random sample of 'Yes' responses
92	Policies on Transferring Permanent Email	Request copy of approved policies and procedures from a random sample of 'Yes' responses
93, 94	Policies for More than One Agency Email Acct	Request copy of approved policies from a random sample of 'Yes' responses
95, 96	Policies for Use of Personal Email Accts	Request copy of approved policies from a random sample of 'Yes' responses
101	Method for Scheduling Email	Verify response with internal NARA resources from random sample of 'GRS 6.1' responses
106	Records Schedules Covering Electronic Messages	Verify response with internal NARA resources from a random sample of 'Yes' responses
107	Policies to Manage Electronic Messages	Request copy of policies and procedures from a random sample of 'Yes' and 'No, pending final approval' responses

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VALIDATION RESULTS

Based on the chart above, the results of our process are:

RMSA questions chosen for RMSA 2017 Validation	Answer matched	Answer did not match	Documentation match unclear
Q4_Agency has an SAORM	78%	22%	
Q11_Submitted an RM Directive	92%	8%	
Q12_Date of RM Directive Matched	77%	8%	15%
Q13_Submitted training materials for RM staff	77%	23%	
Q14_Submitted training materials for all staff & includes electronic communications	92%	8%	
Q15_Submitted training materials for senior and appointed officials	77%	23%	
Q16_Submitted training materials for in-processing new staff	85%	8%	8%
Q20_Submitted evaluation program documentation	77%	23%	
Q21_Evaluation documentation matched how often conducted	78%	14%	8%
Q22_Submitted an evaluation report	62%	38%	
Q23_Evaluations include corrective action plans	69%	31%	
Q24_Submitted performance goals for RM program	77%	23%	
Q25_Submitted performance measures for RM program	62%	38%	
Q26_Submitted policies and/or procedures for permanent records	77%	23%	
Q51_Transferred permanent electronic records to NARA in FY 2017	57%	43%	
Q52_Transferred permanent non-electronic records to NARA in FY 2017	77%	23%	
Q55_Submitted on-boarding training/briefing materials for senior officials	85%	15%	
Q56_On-boarding documents showed RO involvement	46%	8%	46%
Q57_Submitted exit briefing materials for senior officials	85%	15%	
Q58_Exit documents showed Agency Records Officer and/or SAORM involvement	62%	8%	30%
Q59_Exit documents showed that someone reviews removal of personal papers	62%		38%
Q68 and Q69_Submitted transfer requests from Annual Move list	55%	45%	
Q72_Submitted electronic records migration procedures	54%	46%	
Q73_Migration procedures showed RM involvement in developing procedures	46%		54%
Q78_Submitted permanent electronic records policies	69%	31%	
Q90_Submitted an IRM plan	77%	23%	

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RMSA questions chosen for RMSA 2017 Validation	Answer matched	Answer did not match	Documentation match unclear
Q91_Submitted email policies and procedures for 180+ day email retention	85%	15%	
Q92_Submitted email policies and procedures for transfer of permanent records to NARA	77%	23%	
Q93_Submitted email policies and procedures covering use of multiple email accounts	70%	30%	
Q94_Email policies state email from personal accounts must be preserved	77%	23%	
Q95_Submitted email policies cover use of personal email	54%	46%	
Q96_Submitted policies that address the use of personal email accounts, whether or not allowed, 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)	54%	46%	
Q101_Agency using GRS 6.1 for email retention	100%	0%	
Q106_Records schedule for electronic messages (other than email)	44%	56%	
Q107_Submitted policies and procedures covering electronic messages other than email	85%	15%	

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**APPENDIX V: RMSA 2017 QUESTIONNAIRE WITH STATISTICAL RESULTS**

*Please note: Due to use of whole numbers some totals may add up to more or less than 100%*

**Section One: Records Management Program Activities**

*This next series of questions relate to administration of the records management program*

**Q1 – 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))**

Answer Options	Percent of total responses	Count
Yes	98%	254
No	2%	5
Do not know	0%	0
<b>Total responses to this question</b>		<b>259</b>

**Q2. If Yes: Please provide the person’s name, position, title, and office**

**Q3 – How long has this person been responsible for coordinating and overseeing the implementation of the records management program?**

Answer Options	Percent of total responses	Count
5 or more years	43%	108
3 to 4 years	19%	48
1 to 2 years	24%	60
Less than a year	15%	38
<b>Total responses to this question</b>		<b>254</b>

**Q4 – Does your agency have a Senior Agency Official for Records Management (SAORM)? (If you are a component of a department, you may Answer Options “Yes,” even if this is not being done at the component level.)**

Answer Options	Percent of total responses	Count
Yes	96%	248
No	3%	9
Do not know	0%	1
<b>Total responses to this question</b>		<b>258</b>

**Q5 – Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program’s goals?**

Answer Options	Percent of total responses	Count
Yes	82%	203
No	17%	41
Do not know	1%	3
<b>Total responses to this question</b>		<b>247</b>



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Q6 – Does your agency use the Records and Information Management Series, 0308, job series released by the Office of Personnel Management in 2015?		
Answer Options	Percent of total responses	Count
Yes	45%	116
No	46%	118
Do not know	3%	7
Not applicable, my agency does not use the General Schedule (GS) job classification	7%	17
<b>Total responses to this question</b>		<b>258</b>
Q7 – Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs), though their titles may vary. (36 CFR 1220.34(d))		
Answer Options	Percent of total responses	Count
Yes	84%	216
No	7%	17
Do not know	0%	0
Not applicable, agency has less than 100 employees	9%	23
Not applicable, Departmental Records Officer – this is done at the component level	0%	1
<b>Total responses to this question</b>		<b>257</b>
Q8 – Of the following, please select the one that best describes your records management staff. This includes only those specifically assigned to the records management program.		
Answer Options	Percent of total responses	Count
All records management staff are agency personnel	69%	178
All records management staff are contractors	0%	1
Records management staff includes both agency personnel and contractors	31%	80
<b>Total responses to this question</b>		<b>259</b>
<p><i>In general, an FTE is equivalent to one full-time employee who is assigned full-time to records management (2,080 hours per year. An employee who works part-time or assigned records management as one of several unrelated responsibilities should be counted as a fraction of an FTE, representing the estimated number of hours worked on records management per year as a percentage of 2,080 hours.</i></p>		

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<p>Q9 - How many FTE agency personnel (non-contractors) are specifically assigned records management responsibilities? (These are individuals directly responsible for records management program implementation, not contacts within mission areas with minimal records management duties.)*</p> <p>*For Department Records Officers, please include only the staff at the Department level, not agency components, as component agency records officers will be answering for their agencies.</p>		
Answer Options	Percent of total responses	Count
Less than 1	19%	49
One	22%	56
2 to 10	44%	114
10 to 20	5%	14
More than 20	7%	19
Do not know	2%	4
Not available	0%	1
Not applicable, all records management staff are contractors	0.4%	1
Total responses to this question		258
<p>Q10 - If your agency uses contractors, how many contractor FTE are specifically assigned records management responsibilities? (These are individuals directly responsible for records management program implementation, not general contacts within mission areas with minimal records management duties.)*</p> <p>*For Department Records Officers, please include only the staff at the Department level, not agency components, as component agency records officers will be answering for their agencies.</p>		
Answer Options	Percent of total responses	Count
Less than 1	19%	48
One	5%	14
2 to 10	15%	39
10 to 20	2%	4
More than 20	4%	9
Do not know	1%	3
Not available	2%	4
Not applicable, all records management staff are agency personnel	53%	134
Total responses to this question		255

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<i>The next series of questions relate to records management directives.</i>		
Q11 – Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34©)		
Answer Options	Percent of total responses	Count
Yes	90%	233
No, pending final approval	3%	7
No, under development	5%	14
No	0%	0
Do not know	2%	4
Total responses to this question		258
Q12 – When was your agency’s directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?		
Answer Options	Percent of total responses	Count
FY 2017 – present	67%	172
FY 2015 – 2016	16%	41
FY 2013 – 2014	5%	14
FY 2012 or earlier	7%	17
Do not know	2%	6
Not applicable, agency does not have a records management directive	3%	8
Total responses to this question		258
<i>The next series of questions relate to records management training.</i>		
<p><i>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>:</i></p> <ul style="list-style-type: none"> <li>• <i>be regular (occurring more than just once);</i></li> <li>• <i>be repeatable and formal (all instructors must provide the same message, not in an ad hoc way); and</i></li> <li>• <i>communicate the agency’s vision of records management.</i></li> </ul>		
Q13 - 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))		
*Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency-customized version of the Federal Records Officer Network (FRON) RM 101 course.		
Answer Options	Percent of total responses	Count
Yes	81%	209
No	6%	15
No, pending final approval	1%	3
No, under development	7%	19
Do not know		0
Not applicable, please explain	5%	12
Total responses to this question		258

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<p>Q14 - Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, covering records in all formats, including electronic communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which helps agency employees and contractors fulfill their recordkeeping responsibilities? ** (36 CFR 1220.34(f))</p>		
<p>*Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency-customized version of the Federal Records Officer Network (FRON) RM 101 course.</p>		
<p>**Components of departmental agencies may answer "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.</p>		
Answer Options	Percent of total responses	Count
Yes	74%	192
No	9%	22
No, pending final approval	3%	8
No, under development	14%	36
Do not know	0%	0
Total responses to this question		258
<p><i>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. (General Records Schedule (GRS) 6.1, item 010)</i></p>		
<p>Q15 - Does your agency require 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))</p>		
Answer Options	Percent of total responses	Count
Yes	83%	213
No	16%	41
Do not know	2%	4
Total responses to this question		258
<p>Q16 - Is records management training included in the in-processing for new employees in your agency?</p>		
Answer Options	Percent of total responses	Count
Yes	78%	201
No	9%	23
No, pending final approval	3%	7
No, under development	10%	25
Do not know	1%	2
Total responses to this question		258
<p>Q17 - Please add any additional comments about your agency for Section I: Activities. (Optional)</p>		

**Section Two: 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](#)" (GAO-14-704G), U.S. Government Accountability Office, September 2014.)*

*Internal controls are:*

- *Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance;*
- *Processes consisting of ongoing tasks and activities—a means to an end, not an end in itself;*
- *Carried out by people—not merely about policy and procedure manuals, systems, and forms, but about people and the actions they take at every level of an organization to effect internal control;*
- *Able to provide reasonable assurance, but not absolute assurance, to an entity's senior management;*
- *Adaptable to the organization's entire structure—flexible in application for the entire entity or for a particular regional office, division, operating unit, or business process.*

*Control activities occur throughout the organization, at all levels and in all functions. They include a range of activities as diverse as approvals, authorizations, verifications, reconciliations, reviews/audits of operating performance, security of assets (limited access to inventories or equipment), and segregation of duties (separate personnel with authority to authorize a transaction, process the transaction, and review the transaction). Monitoring the effectiveness of internal controls should occur in the normal course of business.*

*Periodic assessments should be integrated as part of management's continuous monitoring of internal control, which should be ingrained in the agency's operations. ("[2013 Internal Control - Integrated Framework](#)," Committee of Sponsoring Organizations (COSO) Executive Summary, May 14, 2013; and [OMB Circular A-123, "Management's Responsibility for Enterprise Risk Management and Internal Control,"](#) July 15, 2016.)*

Q18 - 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))

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

\* Examples of records management internal controls include but are not limited to:

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<ul style="list-style-type: none"> <li>-Regular briefings and other meetings with records creators</li> <li>-Monitoring and testing of file plans</li> <li>-Regular review of records inventories</li> <li>-Internal tracking database of permanent record authorities and dates</li> </ul>		
Answer Options	Percent of total responses	Count
Yes	78%	199
No	7%	18
No, pending final approval	1%	2
No, under development	14%	37
Do not know	0%	0
Total responses to this question		256
<p>Q19 - In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))</p> <p>** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.</p> <p>* Examples of records management internal controls include but are not limited to:</p> <ul style="list-style-type: none"> <li>-Regular review of records inventories</li> <li>-Approval process for disposal notices from off-site storage</li> <li>-Require certificates of destruction</li> <li>-Monitoring shredding services</li> <li>-Performance testing for email</li> <li>-Monitoring and testing of file plans</li> <li>-Pre-authorization from records management program before records are destroyed</li> <li>-Ad hoc monitoring of trash and recycle bins</li> <li>-Notification from facilities staff when large trash bins or removal of boxes are requested</li> <li>-Annual records clean-out activities sponsored and monitored by records management staff</li> </ul>		
Answer Options	Percent of total responses	Count
Yes	83%	215
No	6%	15
No, pending final approval	0%	1
No, under development	10%	27
Do not know	0%	0
Total responses to this question		258
<p><i>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)</i></p>		
<p>Q20 - 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?</p> <p>** 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</p>		

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management training, or the management of your agency's electronic records), must be the primary focus of the inspection/audit/review.		
Answer Options	Percent of total responses	Count
Yes, evaluations are conducted by the Records Management Program	57%	148
Yes, evaluations are conducted by the Office of Inspector General	2%	5
Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General	8%	21
Yes, evaluations are conducted by: ( <u>fill in the blank</u> )	21%	54
No, please explain	10%	27
Do not know	1%	3
Total responses to this question		258
Q21 - How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?		
Answer Options	Percent of total responses	Count
Annually	45%	116
Bi-annually	12%	31
Once every 3 years	13%	34
Ad hoc	22%	57
Do not know	1%	2
Not applicable, agency does not evaluate its records management program	7%	18
Total responses to this question		258
Q22 - Was a formal written report prepared as part of the most recent inspection/audit/review?		
Answer Options	Percent of total responses	Count
Yes	60%	153
No	30%	76
Do not know	2%	5
Not applicable, agency does not evaluate its records management program	9%	22
Total responses to this question		256

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Q23 - Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?		
Answer Options	Percent of total responses	Count
Yes	71%	183
No	18%	46
Do not know	2%	5
Not applicable, agency does not evaluate its records management program	9%	22
Total responses to this question		256
<p><i>An essential control for any records management program is the establishment of performance goals and associated performance targets and performance measures.</i></p> <p><i>Performance goals are the target levels of performance. Performance goals should be specific, measurable, attainable, results-oriented, and time-bound.</i></p>		
Q24 - Has your agency established performance goals for its records management program?		
*Examples of performance goals include but are not limited to:		
<ul style="list-style-type: none"> <li>-Identifying and scheduling all paper and non-electronic records by the end of FY 2017</li> <li>-Developing computer-based records management training modules by the end of FY 2017</li> <li>-Planning and piloting an electronic records management solution for email by the end of FY 2018</li> <li>-Updating records management policies by the end of the year</li> <li>-Conducting records management evaluations of at least one program area each quarter</li> </ul>		
Answer Options	Percent of total responses	Count
Yes	74%	191
No	8%	21
Pending final approval	0%	1
Currently under development	17%	44
Do not know	0%	1
Total responses to this question		258
<p><i>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. ("Performance Measurement Challenges and Strategies," June 18, 2003, white paper associated with the Office of Management and Budget's Program Assessment Rating Tool (PART); and "Government Performance and Results Modernization Act of 2010," Section 4, Performance Reporting Amendments.)</i></p>		
Q25 - Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?		
*Examples of performance measures include but are not limited to:		
<ul style="list-style-type: none"> <li>-Percentage of agency employees that receive records management training in a year</li> <li>-A reduction in the volume of inactive records stored in office space</li> <li>-Percentage of eligible permanent records transferred to NARA in a year</li> <li>-Percentage of records scheduled</li> </ul>		



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-Percentage of offices evaluated/inspected for records management compliance -Percentage of email management auto-classification rates -Development of new records management training modules -Audits of internal systems -Annual updates of file plans -Performance testing for email applications to ensure records are captured -Percentage of records successfully retrieved by Agency FOIA Officer in response to FOIA requests		
Answer Options	Percentage	Count
Yes	70%	181
No	11%	28
Pending final approval	0%	1
Currently under development	18%	47
Do not know	0%	1
Total responses to this question		258
Q26 - Does your agency's records management program have documented and approved 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))		
Answer Options	Percent of total responses	Count
Yes	75%	191
No	7%	17
No, pending final approval	2%	5
No, under development	16%	41
Do not know	1%	2
Total responses to this question		256
Q27 - Is your agency subject to laws or regulations that require you to conduct business using paper or analog records?		
*Components of departmental agencies may Answer Options "Yes" if this is handled by the department. Department Records Officers may Answer Options "Yes" if this is handled at the component level.		
Answer Options	Percent of total responses	Count
Yes	46%	118
No	46%	118
Do not know	9%	22
Total responses to this question		258
Q28 - Which of the following possible examples of requirements for paper or analog records apply to your agency's needs? (Choose all that apply)		
Answer Options	Percent of total responses	Count
Wet signatures are required for transactions with non-Federal entities (including the public)	49%	61
Wet signatures are required for transactions between Federal agencies	38%	48
Transactions are required to be conducted using paper / hard copy	42%	53

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Agency is required to offer paper / hard copy as an available option for transactions	42%	53
Other, please be specific:	29%	36
Do not know	2%	3
<b>Total responses to this question</b>		<b>125</b>
<p><i>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)</i></p> <p><i>*pending updates to regulations, the Records Management Self-Assessment still uses this terminology</i></p> <p><i>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))</i></p>		
<p><b>Q29 - Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)</b></p>		
<p><b>*Components of departmental agencies may Answer Options "Yes" if this is handled by the department.</b></p>		
<b>Answer Options</b>	<b>Percent of total responses</b>	<b>Count</b>
Yes	85%	219
No	12%	31
Do not know	3%	8
<b>Total responses to this question</b>		<b>258</b>
<p><b>Q30 - How often does your agency review and update its vital records inventory? (36 CFR 1223.14)</b></p>		
<b>Answer Options</b>	<b>Percent of total responses</b>	<b>Count</b>
Annually	59%	153
Bi-annually	8%	21
Once every 3 years	8%	21
Ad hoc	14%	37
Never	4%	11
Do not know	6%	15
<b>Total responses to this question</b>		<b>258</b>

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Q31 - Is your vital records plan part of the Continuity of Operations (COOP) plan?		
Answer Options	Percent of total responses	Count
Yes	90%	231
No	7%	18
Do not know	3%	7
Total responses to this question		256
Q32 - Does your agency have policies in place to protect records and information from internal and external risks?		
Answer Options	Percent of total responses	Count
Yes	86%	222
No	5%	12
No, pending final approval	2%	4
No, under development	7%	17
Do not know	1%	2
Total responses to this question		257
<i>Agencies are required to have a Freedom of Information Act (FOIA) program (5 U.S.C. 552). The ability to find records is essential for a successful FOIA program. The following questions related to your agency's FOIA program may require consultation with your agency's FOIA Officer.</i>		
Q33 - The Agency Records Officer and the FOIA Officer:		
Answer Options	Percent of total responses	Count
Are the same person	11%	27
Coordinate closely together	56%	141
Work together sometimes	31%	78
Never work together	3%	8
Total responses to this question		254
Q34 - Are the Agency Records Officer and the FOIA Officer in the same office/division within your agency?		
Answer Options	Percent of total responses	Count
Yes	40%	101
No	54%	138
Do not know	0%	0
Agency Records Officer and the FOIA Officer are the same person	6%	15
Total responses to this question		254

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Q35 - Records needed to respond to a FOIA request are readily accessible and located by staff responsible for FOIA:		
Answer Options	Percent of total responses	Count
Always	31%	78
Most of the time	47%	119
Some of the time	18%	44
Never	2%	6
Do not know	2%	4
Total responses to this question		251
Q36 - Staff responsible for FOIA can search for records without contacting others (i.e. program offices):		
Answer Options	Percent of total responses	Count
Always	11%	27
Most of the time	21%	53
Some of the time	55%	140
Never	13%	33
Do not know	0%	1
Total responses to this question		254
Q37 - At what point in the FOIA process does your agency inform requesters of the Office of Government Information Services' (OGIS) dispute resolution services? (Choose all that apply)		
Answer Options	Percent of total responses	Count
When there is an adverse determination	65%	167
When notifying the requester that the agency needs more than 10 additional days to process a request	45%	114
When responding to the requester's appeal	45%	114
Never	2%	5
Other, please explain	31%	79
Total responses to this question		255
Q38 - What mode does your agency most often use to release records under FOIA?		
Answer Options	Percent of total responses	Count
Email	58%	149
Online Portal	8%	21
U.S. mail	22%	55
Other, please explain	12%	30
Total responses to this question		255

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Q39 - In 2015, NARA and the Federal Records Management Council introduced the Federal RIM Program Maturity Model. Are you familiar with this or other maturity models?		
Answer Options	Percent of total responses	Count
Yes	78%	196
No	22%	56
Total responses to this question		252
Q40 - Are you using the Federal RIM Program Maturity Model or other maturity models to measure the maturity of the records management program?		
Answer Options	Percent of total responses	Count
Yes	47%	93
No	53%	103
Total responses to this question		196
Q41 - Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?		
Answer Options	Percent of total responses	Count
Yes	47%	93
No	53%	103
Total responses to this question		196
Q42 - Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)		
<b>Section Three: Records Management Program - Records Disposition</b>		
<p><i>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 Parts 1222, 1224, 1225 and 1226)</i></p>		
<p><i>The next series of questions relate to your agency's efforts to schedule its records.</i></p>		
Q43 - Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10 and 36 CFR 1225.12)		
Answer Options	Percent of total responses	Count
Yes	73%	189
No	2%	5
To some extent	24%	63
Do not know	0%	1
Total responses to this question		258

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Q44 - Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))		
Answer Options	Percent of total responses	Count
Yes, all records are easily retrievable and accessible when needed	47%	122
Most records can be retrieved and accessed in a timely manner	46%	119
Some records can be retrieved and accessed in a timely manner	6%	16
No	0%	1
Do not know	0%	0
Total responses to this question		258
Q45 - 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))		
Answer Options	Percent of total responses	Count
Yes	84%	216
No	14%	35
Do not know	3%	7
Total responses to this question		258
Q46 - What method(s) does your agency use? (Choose all that apply)		
Answer Options	Percent of total responses	Count
Post to internal website or other shared information location	79%	171
Memorandum or email notification	82%	177
Update training materials	49%	106
Update records management policies and/or handbooks	52%	112
Other, please explain	16%	34
Total responses to this question		216
Q47 - Does your agency have a method of continually identifying new and unscheduled records?		
Answer Options	Percent of total responses	Count
Yes	84%	217
No	14%	36
Do not know	2%	5
Total responses to this question		258

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Q48 - Which method(s) does your agency use? (Choose all that apply)		
Answer Options	Percent of total responses	Count
Regular surveys	20%	44
Regular inventories	52%	112
Records management evaluations, site assessments, or audits of program offices	52%	112
Work with program managers to identify new programs and related records	82%	178
Work with Privacy Officer and review SORNs (Systems of Records Notices)	52%	113
Work with FOIA Officer	38%	82
Records Liaison Officers notify Agency Records Officer of new record series	66%	144
Require use and annual update of file plans	53%	116
Participate in design and retirement of information systems and note changes in records	44%	95
Outreach and awareness	63%	136
Other, please explain	10%	21
Total responses to this question		217

*The next series of questions relate to permanent records.*

Q49 - Does your agency have permanent records that are 30 years old or older that are located in agency office space, agency-operated records centers, and/or commercial records centers? (36 CFR 1235.12(b) and M-12-18))

Answer Options	Percent of total responses	Count
Yes	41%	106
No	51%	132
Do not know	7%	19
Total responses to this question		257

Q50 - Are you aware of the requirement to formally request permission from NARA to retain permanent records beyond that time specified in your agency's NARA-approved records schedules as outlined in 36 CFR 1235.14 and 1235.16?

Answer Options	Percent of total responses	Count
Yes	96%	247
No	4%	9
Total responses to this question		256

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Q51 - Did your agency transfer permanent non-electronic records to NARA during FY 2017? (36 CFR 1235.12)		
Answer Options	Percent of total responses	Count
Yes	50%	129
No	25%	65
No - No records were eligible for transfer during FY 2017	16%	41
No - New agency, records are not yet old enough to transfer	2%	6
No - My agency does not have any permanent non-electronic records	2%	6
Do not know	1%	3
Other, please explain	3%	8
Total responses to this question		258
Q52 - Did your agency transfer permanent electronic records to NARA during FY 2017? (36 CFR 1235.12)		
Answer Options	Percent of total responses	Count
Yes	22%	58
No	34%	89
No-No electronic records/systems were eligible for transfer during FY 2017	32%	83
No - New agency, records are not yet old enough to transfer	3%	9
No - My agency does not have any permanent non-electronic records	3%	7
Do not know	1%	2
Other, please explain	4%	10
Total responses to this question		258
53. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA? (Not scored)		
Answer Options	Percent of total responses	Count
Yes	87%	224
No	8%	20
Do not know	2%	4
Not applicable, please explain	4%	10
Total responses to this question		258



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<i>The next series of questions relate to your agency's handling of records for senior officials.</i>		
<i>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.</i>		
<b>Q54 - What method(s) does your agency use to track its permanent records? (Choose all that apply)</b>		
<b>Answer Options</b>	<b>Percent of total responses</b>	<b>Count</b>
Rely on Federal Records Center notifications	68%	158
Maintain an inventory	58%	135
Database or other automated tracking	45%	104
Manual tracking	54%	126
Other, please explain	9%	20
<b>Total responses to this question</b>		<b>223</b>
<b>Q55 - Does your agency conduct, and document for accountability purposes, training and/or other briefings as part of the on-boarding process for senior officials on their records management roles and responsibilities, including the appropriate disposition of records and the use of personal and unofficial email accounts? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a &amp; b))</b>		
<b>Answer Options</b>	<b>Percent of total responses</b>	<b>Count</b>
Yes	66%	170
Yes, but not documented	19%	48
No	12%	30
Do not know	1%	2
Not applicable, please explain	3%	7
<b>Total responses to this question</b>		<b>257</b>
<b>Q56 - Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in on-boarding briefings or other processes for newly appointed senior officials? (Not scored)</b>		
<b>Answer Options</b>	<b>Percent of total responses</b>	<b>Count</b>
Yes	79.6%	172
No	18.5%	40
Do not know	1.9%	4
<b>Total responses to this question</b>		<b>216</b>

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Q57 - Does your agency conduct, and document for accountability purposes, exit briefings for departing senior officials on the appropriate disposition of records, including email, under their immediate control? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))		
Answer Options	Percent of total responses	Count
Yes	71%	183
Yes, but not documented	12%	32
No	13%	34
Do not know	2%	5
Not applicable, please explain	2%	4
Total responses to this question		258
Q58 - Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?		
Answer Options	Percent of total responses	Count
Yes	90%	194
No	10%	21
Do not know		0
Total responses to this question		215
Q59 - Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))		
Answer Options	Percent of total responses	Count
Yes	92%	197
No, please explain	7.5%	16
Do not know	0.5%	1
Total responses to this question		214
<p><i>The next series of questions relate to where your agency stores its inactive temporary and/or permanent records, regardless of format.</i></p> <p><i>Commercial records storage facilities are private sector commercial facilities that offer records storage, retrieval, and disposition services.</i></p> <p><i>An agency records center is a records storage facility, operated by a Federal agency and capable of storing more than 25,000 cubic feet of records.</i></p> <p><i>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.</i></p>		

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Q60 - Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?		
Answer Options	Percent of total responses	Count
Yes	25%	65
No	74%	191
Do not know	1%	2
Total responses to this question		258
Q61 - Does the facility comply with the standards prescribed by 36 CFR 1234?		
Answer Options	Percent of total responses	Count
Yes	92%	60
No	5%	3
Do not know	3%	2
Total responses to this question		65
Q62 - 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.)		
Answer Options	Percent of total responses	Count
Yes	32%	82
No	68%	173
Do not know	0%	1
Total responses to this question		256
Q63 - Does the records center comply with the standards prescribed by 36 CFR 1234?		
Answer Options	Percent of total responses	Count
Yes	84%	69
No	9%	7
Do not know	7%	6
Total responses to this question		82
Q64 - Does your agency store inactive temporary and/or permanent records in an agency records staging or holding area?		
Answer Options	Percent of total responses	Count
Yes	58%	149
No	40%	101
Do not know	2%	5
Total responses to this question		255

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Q65 - Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234.10, 36 CFR 1234.12, and 36 CFR 1234.14?*		
*It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.		
Answer Options	Percent of total responses	Count
Yes	50%	74
No	28%	41
Do not know	22%	33
Total responses to this question		148
Q66 - Please estimate the volume of inactive temporary records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)		
Answer Options	Percent of total responses	Count
0 - 1,000	63%	108
1,000 - 5,000	10%	18
5,000 - 15,000	10%	18
15,000 - 25,000	3%	5
25,000 - 50,000	3%	5
50,000 - 100,000	2%	4
100,000 - 250,000	2%	3
250,000 or greater	6.4%	11
Total responses to this question		172
Q67 - Please estimate the volume of inactive permanent records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)		
Answer Options	Percent of total responses	Count
0 - 1,000	83%	144
1,000 - 5,000	6%	11
5,000 - 15,000	3%	5
15,000 - 25,000	2%	3
25,000 - 50,000	1%	2
50,000 - 100,000	1%	2
100,000 - 250,000	2%	3
250,000 or greater	2%	3
Total responses to this question		173

<i>NARA annually provides agencies storing records in a Federal Records Center with transfer requests populated in the Electronic Records Archives (ERA) for permanent records eligible for transfer to the National Archives. (This is known as the Annual Move.) Agencies are then responsible to submit those transfer requests based on these lists in order to complete the cycle.</i>		
Q68 - Did your agency receive a list of permanent records eligible for transfer in FY 2017?		
Answer Options	Percent of total responses	Count
Yes	55%	141
No	33%	85
Do not know	5%	12
Not applicable, my agency does not store records in the Federal Records Centers	8%	20
Total responses to this question		258
Q69 - Did your agency submit transfer requests in FY 2017 based on the Annual Move list of eligible permanent records to be accessioned by the National Archives?		
Answer Options	Percent of total responses	Count
Yes	79%	112
No, please explain	21%	30
Do not know	0%	0
Total responses to this question		142
Q70 - Please add any additional comments about your agency for Section III: Records Disposition. (Optional)		
<b>Section Four: Records Management Program - Electronic Records</b>		
<p><i>Electronic information system means an information system that contains and provides access to computerized Federal records and other information. (36 CFR 1236.2)</i></p> <p><i>The following types of records management controls are needed to ensure that Federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. 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)</i></p> <p><i>(a) Reliability: Controls to ensure a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.</i></p> <p><i>(b) Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.</i></p> <p><i>(c) Integrity: Controls, such as audit trails, to ensure records are complete and unaltered.</i></p>		

- (d) *Usability: Mechanisms to ensure records can be located, retrieved, presented, and interpreted.*
- (e) *Content: Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.*
- (f) *Context: Mechanisms to implement cross-references to related records that show the organizational, functional, and operational circumstances about the record, which will vary depending upon the business, legal, and regulatory requirements of the business activity.*
- (g) *Structure: Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements.*

Q71 - 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)

Answer Options	Percent of total responses	Count
Yes	69%	178
To some extent	22%	57
No	5%	14
Do not know	2%	4
Not applicable, please explain	2%	4
Total responses to this question		257

*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.*

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

Q72 - 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))

Answer Options	Percent of total responses	Count
Yes	56%	145
No	25%	64
No, pending final approval	2%	5
No, under development	14%	37
Do not know	3%	7
Total responses to this question		258

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Q73 - Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems? (36 CFR 1235.20(b)(6))		
Answer Options	Percent of total responses	Count
Yes	60%	155
To some extent	22%	58
No	14%	35
Do not know	1%	3
Not applicable, please explain	3%	7
Total responses to this question		258
Q74 - 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))		
Answer Options	Percent of total responses	Count
Yes	78%	200
No, please explain	18%	47
Do not know	4%	10
Total responses to this question		257
Q75 - 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)		
*Components of departmental agencies may Answer Options "Yes" if this is handled by the department.		
Answer Options	Percent of total responses	Count
Yes	74%	191
No, please explain	23%	59
Do not know	2%	5
Not applicable, please explain	2%	4
Total responses to this question		259
Q76 - Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?		
Answer Options	Percent of total responses	Count
Yes	49%	126
No, please explain	9%	23
To some extent	39%	101
Do not know	1%	2
Not applicable, please explain	3%	7
Total responses to this question		259
Q77 - 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)		

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Answer Options	Percent of total responses	Count
Participate in review and acceptance of proposals for new systems	54%	123
Participate as stakeholder in requirements gathering	68%	154
Participate as stakeholder in design phase	51%	115
Participate as stakeholder in development phase including testing the system	46%	104
Provide sign off authority for the implementation of new systems	27%	62
Monitor system for adherence to standards, policies, and procedures	42%	95
Provide information only	33%	75
Do not know	0%	1
Other, please explain	10%	23
Total responses to this question		227
<b>Q78 - Does your agency have documented and approved policies requiring permanent electronic records be managed in an electronic format for eventual transfer to NARA?</b>		
Answer Options	Percent of total responses	Count
Yes	49%	125
No	16%	41
No, under development	34%	88
Do not know	1%	3
Total responses to this question		257
<b>Q79 - Does your agency have protections against unauthorized use, alteration, alienation or deletion of all electronic records?</b>		
Answer Options	Percent of total responses	Count
Yes	67%	171
No	4%	11
To some extent	27%	69
Do not know	2%	6
Total responses to this question		257



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Q80 - Does your agency have the capability to place legal holds on all electronic records until disposition is authorized?		
Answer Options	Percent of total responses	Count
Yes	72%	186
No	5%	12
To some extent	19%	48
Do not know	4%	11
Total responses to this question		257
<p><i>Executive Order 13526 prescribes a uniform system for classifying, safeguarding, and declassifying national security information. Under 32 CFR 2001.50, the Office of Information Security and Oversight provides further definition and guidance. (<a href="https://www.archives.gov/isoo/about">https://www.archives.gov/isoo/about</a>)</i></p> <p><i>Established by Executive Order 13556, the Controlled Unclassified Information (CUI) program standardizes in 32 CFR 2002 the way the executive branch handles unclassified information that requires safeguarding or dissemination controls pursuant to and consistent with law, regulations, and Government-wide policies. (<a href="https://www.archives.gov/cuiza/about">https://www.archives.gov/cuiza/about</a>)</i></p>		
Q81 - Does your agency comply with the requirements under Executive Orders 13526 and 13556 for managing classified and controlled unclassified information in systems that contain electronic records?		
Answer Options	Percent of total responses	Count
Yes	58%	149
No	4%	10
To some extent	25%	65
Do not know	5%	12
Not applicable, not an executive branch agency	9%	22
Total responses to this question		258
Q82 - Does your agency have the ability to search across all systems to find electronic records needed for agency business, FOIA and other information requests?		
Answer Options	Percent of total responses	Count
Yes	61%	156
No	8%	21
To some extent	29%	75
Do not know	2%	5
Total responses to this question		257

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Q83 - Does your agency have a digitization strategy to reformat permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, and analog audio)?		
Answer Options	Percent of total responses	Count
Yes	42%	107
No	26%	67
To some extent	26%	67
Do not know	5%	14
Total responses to this question		255
<p><i>Web content is the textual, visual, or aural content that is encountered as part of the user experience on websites. It may include text, images, sounds, videos, animations, and more.</i></p> <p><i>A Web Content Record is defined as information that meets the definition of Federal record and is provided via an agency's website.</i></p>		
Q84 - Does your agency manage your web content as records?		
Answer Options	Percent of total responses	Count
Yes	55%	141
No	38%	99
Do not know	7%	18
Total responses to this question		258
Q85 - How does your agency capture web content managed as records? (Choose all that apply)		
Answer Options	Percent of total responses	Count
Content is printed and filed	15%	21
Content is captured manually through periodic web snapshots	55%	77
Content is automatically harvested using specific tools	45%	64
Do not know	4%	6
Other, please explain	29%	41
Total responses to this question		141
Q86 - Web content management includes: (Choose all that apply)		
Answer Options	Percent of total responses	Count
Identification of record copy whether online or off-line	53%	72
Identifying the program office responsible for official record copy	64%	87
Records retention scheduling of web content	69%	95
Preservation of record copy in accordance with retention schedule	68%	93
Migration of content when website is updated	69%	94
Maintaining access throughout the life-cycle even if removed from the website	51%	70

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Managing convenience copies as duplicates and applying disposition as needed	45%	61
Transfer of permanent web records to the National Archives	28%	38
Other, please explain	6%	8
Total responses to this question		137
Q87 - Does your agency use cloud services?		
Answer Options	Percent of total responses	Count
Yes	86%	220
No	12%	31
Do not know	2%	6
Total responses to this question		257
Q88 - For what purpose(s) is your agency using cloud services? (Choose all that apply)		
Answer Options	Percent of total responses	Count
Email	75%	165
Administrative functions such as payroll, purchasing, and financial management	51%	112
Mission/program-related functions	64%	140
Other, please explain	17%	37
Do not know	0%	1
Total responses to this question		220
Q89 - Are recordkeeping requirements included?		
Answer Options	Percent of total responses	Count
Yes	73%	161
No	11%	25
Do not know	15%	34
Total responses to this question		220
Q90 - Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)		
Answer Options	Percent of total responses	Count
Yes	61%	159
No	26%	66
Do not know	13%	34
Total responses to this question		258
<i>The next series of questions relate to email.</i>		

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<p><i>An 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)</i></p>		
<p><b>Q91 - Does your agency have documented and approved policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)</b></p>		
Answer Options	Percent of total responses	Count
Yes	61%	158
No, please explain	26%	66
Do not know	13%	34
Total responses to this question		258
<p><b>Q92 - 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: Revised Format Guidance for the Transfer of Permanent Electronic Records “ Appendix A: Tables of File Formats, Section 9 - Email, <a href="https://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html">https://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html</a>? (36 CFR 1236.22(e))</b></p>		
Answer Options	Percent of total responses	Count
Yes	52%	133
No	46%	116
Do not know	2%	5
Total responses to this question		254
<p><i>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)</i></p>		
<p><b>Q93 - Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03)</b></p>		
<p>* Examples of business needs may include but are not limited to:</p>		
<p>Using separate accounts for public and internal correspondence</p>		
<p>Creating accounts for a specific agency initiative which may have multiple users</p>		
<p>Using separate accounts for classified information and unclassified information</p>		
Answer Options	Percent of total responses	Count
Yes	64%	164
No	34%	88
Do not know	2%	4
Total responses to this question		256
<p><b>Q94 - 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></p>		
Answer Options	Percent of total responses	Count
Yes	77%	196
No	11%	28
No, pending final approval	3%	8

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No, under development	8%	21
Do not know	1%	3
Total responses to this question		256
Q95 - Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))		
Answer Options	Percent of total responses	Count
Yes	20%	52
No	79%	201
Do not know	1%	3
Total responses to this question		256
Q96 - Does your agency have documented and approved policies that address the use of personal email accounts, whether or not allowed, 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)		
Answer Options	Percent of total responses	Count
Yes	80%	205
No	9%	24
No, pending final approval	4%	10
No, under development	6%	16
Do not know	0%	1
Total responses to this question		256
Q97 - 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))		
Answer Options	Percent of total responses	Count
Yes	94%	239
No	1%	3
Do not know	5%	13
Total responses to this question		255

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Q98 - What method(s) does your agency employ to capture and manage email records? (Choose all that apply)		
Answer Options	Percent of total responses	Count
Captured and stored in an email archiving system	81%	207
Captured and stored in an electronic records management system	33%	85
Captured and stored as personal storage table (.PST) files	47%	120
Print and file	35%	88
Not captured and email is managed by the end-user in the native system	10%	25
Other, please be specific	14%	35
Total responses to this question		254
Q99 - Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)		
Answer Options	Percent of total responses	Count
Yes	62%	159
No	34%	86
Do not know	4%	11
Total responses to this question		256
Q100 - How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?		
Answer Options	Percent of total responses	Count
Annually	49%	78
Bi-annually	13%	20
Once every 3 years	4%	7
Ad hoc	33%	53
Do not know	1%	1
Total responses to this question		159

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Q101 - Which of the following has your agency chosen for retention scheduling of email?		
Answer Options	Percent of total responses	Count
GRS 6.1: Email Managed under a Capstone Approach	60%	154
Agency-specific schedule	13%	33
Combination of agency-specific schedule and GRS 6.1	14%	37
Email retention has not been scheduled	4%	10
Do not know	2%	4
Other, please explain	7%	18
Total responses to this question		256
Q102 - Is your agency able to access email from departed employees in a usable format?		
Answer Options	Percent of total responses	Count
Yes	87%	223
No	1%	2
To some extent	9%	23
Do not know	3%	7
Total responses to this question		255
Q103 - Is your agency able to prevent unauthorized access, modification, or destruction of emails?		
Answer Options	Percent of total responses	Count
Yes	82%	211
No	1%	3
To some extent	13%	33
Do not know	4%	9
Total responses to this question		256
Q104 - Can your agency transfer permanent email records to the National Archives in accordance with agency records schedules or General Records Schedules and NARA regulations and guidance?		
Answer Options	Percent of total responses	Count
Yes	80%	204
No	7%	18
To some extent	6%	16
Do not know	7%	18
Total responses to this question		256

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Q105 - Is your agency able to decrypt permanent email records before they are accessioned by NARA?		
Answer Options	Percent of total responses	Count
Yes	74%	189
No	14%	35
Do not know	13%	32
Total responses to this question		256
Q106 - 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?		
Answer Options	Percent of total responses	Count
Yes	37%	93
No	31%	78
No, pending final approval	3%	8
No, under development	27%	69
Do not know	2%	6
Total responses to this question		254
Q107 - Does your agency have 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?		
Answer Options	Percent of total responses	Count
Yes	50%	128
No	21%	54
No, pending final approval	2%	6
No, under development	20%	52
Do not know	2%	4
Other, please explain	4%	11
Total responses to this question		255
Q108 - Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)		
<b>Section Five: Agency Demographics</b>		
Q109 - Does the records management program have a dedicated budget?		
Answer Options	Percent of total responses	Count
Yes	42%	109
No	53%	137
Do not know	5%	12
Total responses to this question		258



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Q110a - Personnel Compensation and Benefits (Federal employees only) for records management		
Answer Options	Percent of total responses	Count
Entered an amount	29%	76
Do not know	32%	83
Prefer not to answer	34%	88
Not applicable, all records management staff are contractors	2%	5
Did not answer	3%	7
<b>Total responses to this question</b>		<b>259</b>
Q110a - Dollar amount ranges		
Range	Percent of total responses	Count
0	12%	9
1 to 9,999	4%	3
10,000 to 109,999	22%	17
110,000 to 224,999	16%	12
225,000 to 599,999	26%	20
600,000 to 999,999	9%	7
1 mil to 6 mil	11%	8
<b>Total responses to this question</b>		<b>76</b>
Q110b - Records Storage Contracts and Inter-Agency Agreements (paper and analog formats)		
Answer Options	Percent of total responses	Count
Entered an amount	54%	135
Do not know	17%	44
Prefer not to answer	28%	71
Did not answer	2%	5
<b>Total responses to this question</b>		<b>255</b>
Q110b - Dollar amount ranges		
Range	Percent of total responses	Count
0	16%	22
1 to 999	3%	4
1,000 to 4,999	11%	15
5,000 to 9,999	7%	9
10,000 to 49,999	18%	24
50,000 to 99,999	11%	15
100,000 to 299,999	10%	14
300,000 to 999,999	8%	11
1 mil to 9 mil	15%	20
10 mil to 30 mil	1%	1
<b>Total responses to this question</b>		<b>135</b>

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Q110c - Records Management IT Systems and Electronic Records Storage		
Answer Options	Percent of total responses	Count
Entered an amount	31%	80
Do not know	33%	85
Prefer not to answer	32%	81
Did not answer	4%	10
Total responses to this question		256
Q110c - Dollar amount ranges		
Range	Percent of total responses	Count
0	48%	38
1 to 999	3%	2
1,000 to 9,999	5%	4
10,000 to 99,999	10%	8
100,000 to 199,999	10%	8
200,000 to 499,999	13%	10
500,000 to 999,999	6%	5
1 mil to 4 mil	6%	5
Total responses to this question		80
Q110d - Travel and Transportation for RM purposes		
Answer Options	Percent of total responses	Count
Entered an amount	41%	107
Do not know	24%	62
Prefer not to answer	29%	76
Did not answer	5%	14
Total responses to this question		259
Q110d - Dollar amount ranges		
Range	Percent of total responses	Count
0	65%	70
1 to 999	6%	6
1,000 to 4,999	11%	12
5,000 to 9,999	6%	6
10,000 to 69,999	10%	11
70,000 to 200,000	2%	2
Total responses to this question		107
Q110e - Records Management Training		
Answer Options	Percent of total responses	Count
Entered an amount	41%	106
Do not know	26%	68

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Prefer not to answer	29%	76
Did not answer	3%	9
Total responses to this question		259
Q110e - Dollar amount ranges		
Range	Percent of total responses	Count
0	51%	54
1 to 999	12%	13
1,000 to 1,999	11%	12
2,000 to 4,999	11%	12
5,000 to 9,999	5%	5
10,000 to 19,999	5%	5
20,000 to 99,999	3%	3
100,00 to 750,000	2%	2
Total responses to this question		106
Q110f - Other		
Answer Options	Percent of total responses	Count
Entered a category	8%	22
Entered an amount	7%	19
Do not know	14%	35
Prefer not to answer	21%	55
Not applicable	29%	74
Did not answer	21%	54
Total responses to this question		259
Q110f - Other		
Category listed		Dollar amount provided
Contractor support		3,000
Shredding services		2,250
Contractor support for specific, time-limited projects		284,428
Contractors		1,121,716
Department training for all employees		no amount given
MDT Delivery for sending records to the Washington National Records Center		3,500
Approximate materials/standard records boxes purchased across the agency		1,785
Records destruction		2,062
Records management services contract		310,000
Records storage cost is for FY 2017		no amount given
Records supplies, i.e., records boxes and shred bags		500
Rent and Utilities		120,000
RM contractor support		2,100,000

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RM marketing material		1,500
Scanning project		700,000
Secure document destruction services		10,000
Travel, transportation and training funds are provided as requested and need is demonstrated		no amount given
Versatile Retention Records Scheduling Software		8,000
Q111 - How many full-time equivalents (FTE) are in your agency/organization?		
Answer Options	Percent of total responses	Count
500,000 or more FTEs	0.78%	2
100,000 - 499,999 FTEs	3.10%	8
10,000 - 99,999 FTEs	19.77%	51
1,000 - 9,999 FTEs	27.52%	71
100 - 999 FTEs	30.23%	78
1 - 99 FTEs	16.28%	42
Not Available	2.33%	6
Total responses to this question		258
Q112 - What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)		
Answer Options	Percent of total responses	Count
Senior Agency Official	60%	155
Office of the General Counsel	33%	86
Program Managers	43%	111
FOIA Officer	79%	204
Information Technology staff	75%	194
Records Liaison Officers or similar	44%	113
Administrative Staff	33%	85
Other, please explain	23%	60
None	2%	4
Total responses to this question		257
Q113 - How much time did it take you to gather the information to complete this self-assessment?		
Answer Options	Percent of total responses	Count
Under 3 hours	21%	54
More than 3 hours but less than 6 hours	33%	84
More than 6 hours but less than 10 hours	15%	39
Over 10 hours	31%	81
Total responses to this question		258
Q114 - Did your agency's senior management review and concur with your responses to the 2017 Records Management Self-Assessment?		
Answer Options	Percent of total responses	Count

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Yes	82%	211
No	16%	40
Do not know	2%	6
Total responses to this question		257
Q115 - Please provide your contact information		
Q116 - Are you the Agency Records Officer		
Answer Options	Percent of total responses	Count
Yes	85%	219
No	15%	39
Total responses to this question		258
Q117 - If No: Please provide the Agency Records Officer's contact information		
Q118 - Do you have any suggestions for improving the Records Management Self-Assessment next year?		

**APPENDIX VI: INDIVIDUAL AGENCY SCORES**

<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
AbilityOne Commission	43	2.25
Administrative Office of the US Courts	79	Not required
Advisory Council on Historic Preservation	78	2.25
American Battle Monuments Commission	39	0.75
Armed Forces Retirement Home	57	3.25
Barry Goldwater Scholarship and Excellence in Education Foundation	71	2.50
Board of Governors of the Federal Reserve System and the Federal Open Market Committee	95	3.00
Broadcasting Board of Governors/International Broadcasting Bureau	51	2.25
Central Intelligence Agency	92	3.25
Chemical Safety and Hazard Investigation Board	37	1.75
Commodity Futures Trading Commission	81	2.50
Congressional Budget Office	85	4.00
Consumer Financial Protection Bureau	98	4.00
Corporation for National and Community Service	70	3.75
Court Services and Offender Supervision Agency	99	3.00
Pretrial Services Agency for the District of Columbia	86	3.75
Defense Nuclear Facilities Safety Board	51	2.75
Denali Commission	15	0.50

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Agency Name	RMSA Total Score	FEMR Maturity Model Score
<b>Department of Agriculture</b>		
Agricultural Marketing Service	95	3.00
Agricultural Research Service	94	3.00
Animal and Plant Health Inspection Service	88	3.00
Department Level/Headquarters	100	3.00
Economic Research Service	94	3.00
Farm Service Agency	100	3.00
Food and Nutrition Service	93	3.00
Food Safety and Inspection Service	85	3.00
Foreign Agricultural Service	100	3.00
Grain Inspection, Packers and Stockyards Administration	94	3.00
National Agricultural Statistics Service	99	3.00
National Institute of Food and Agriculture	100	4.00
Natural Resources Conservation Service	96	3.00
Office of the Chief Information Officer	Did not submit	Did not submit
Risk Management Agency	100	3.00
Rural Development	87	3.25
US Forest Service	91	3.00
<b>Department of Commerce</b>		
Bureau of Economic Analysis	94	3.25
Bureau of Industry and Security	53	3.50
Department Level/Headquarters	88	3.00

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
Economic Development Administration	78	3.25
Economics and Statistics Administration	51	1.50
International Trade Administration	89	2.75
Minority Business Development Agency	82	2.75
National Institute of Standards and Technology	91	3.00
National Oceanic and Atmospheric Administration	87	2.50
National Technical Information Service	53	3.75
National Telecommunications and Information Administration	75	2.75
Office of Inspector General	95	1.75
Office of the Secretary	68	3.00
US Census Bureau	84	2.50
US Patent and Trademark Office	96	4.00
<b>Department of Defense</b>		
Army and Air Force Exchange Service	65	4.00
Defense Commissary Agency	77	3.00
Defense Contract Audit Agency	78	Did not submit
Defense Contract Management Agency	58	2.50
Defense Finance and Accounting Service	89	2.00
Defense Information Systems Agency	57	1.25
Defense Intelligence Agency	45	2.00
Defense Logistics Agency	94	3.25
Defense Security Service	49	1.25



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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
Defense Technical Information Center	79	2.75
Defense Threat Reduction Agency	95	2.50
Department of the Air Force	89	2.00
Department of the Army	96	3.25
Department of the Navy	100	4.00
Department of the Navy/US Marine Corps	78	2.00
Joint Chiefs of Staff	60	2.00
Missile Defense Agency	99	4.00
National Defense University	40	1.50
National Geospatial-Intelligence Agency	65	2.00
National Guard Bureau	49	1.75
National Reconnaissance Office	90	2.25
National Security Agency	97	2.25
Office of Inspector General	88	3.25
Office of the Secretary of Defense	91	2.75
US Africa Command	73	2.25
US Central Command	73	2.25
US European Command	49	1.25
US Northern Command	85	1.75
US Pacific Command	52	1.25
US Southern Command	81	3.50
US Special Operations Command	66	3.00
US Strategic Command	93	1.75

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
US Transportation Command	69	1.00
<b>Department of Education</b>	94	3.25
<b>Department of Energy</b>		
Bonneville Power Administration	93	3.25
Department Level/Headquarters	80	3.50
Energy Information Administration	67	2.25
National Nuclear Security Administration	79	4.00
Southeastern Power Administration	85	3.00
Southwestern Power Administration	88	4.00
Western Area Power Administration	46	2.00
<b>Department of Health and Human Services</b>		
Administration for Children and Families	81	2.75
Administration for Community Living	90	3.50
Agency for Healthcare Research and Quality	99	4.00
Centers for Disease Control and Prevention	94	3.75
Centers for Medicare & Medicaid Services	77	3.00
Department Level/Headquarters	99	3.00
Food and Drug Administration	81	2.75
Health Resources and Services Administration	94	4.00
Indian Health Service	83	2.25
National Institutes of Health	88	3.00
Office of the Secretary	87	3.00

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
Substance Abuse and Mental Health Services Administration	76	2.75
<b>Department of Homeland Security</b>		
Department Level/Headquarters	65	2.25
Federal Emergency Management Agency	81	2.50
Federal Law Enforcement Training Centers	95	3.50
Transportation Security Administration	75	2.25
US Citizenship and Immigration Services	100	2.25
US Coast Guard	42	0.50
US Customs and Border Protection	41	2.25
US Immigration and Customs Enforcement	71	2.25
US Secret Service	97	3.00
<b>Department of Housing and Urban Development</b>		
Department Level/Headquarters	54	2.75
Office of Inspector General	73	3.25
<b>Department of Justice</b>		
Bureau of Alcohol, Tobacco, Firearms and Explosives	96	3.50
Department Level/Headquarters	95	3.25
Drug Enforcement Administration	94	3.00
Executive Office for Immigration Review	96	2.75
Executive Office for United States Attorneys	84	3.00
Federal Bureau of Investigation	100	4.00
Federal Bureau of Prisons	86	3.00

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
Office of Justice Programs	89	3.25
US Marshals Service	71	1.25
<b>Department of Labor</b>		
Adjudicatory Boards	85	2.75
Bureau of International Labor Affairs	92	3.50
Bureau of Labor Statistics	93	2.75
Department Level/Headquarters	92	3.75
Employee Benefits Security Administration	81	3.50
Employment and Training Administration	97	3.50
Mine Safety and Health Administration	94	3.25
Occupational Safety and Health Administration	90	3.75
Office of Administrative Law Judges	84	3.75
Office of Congressional and Intergovernmental Affairs	83	4.00
Office of Disability Employment Policy	85	4.00
Office of Federal Contract Compliance Programs	85	3.25
Office of Inspector General	94	4.00
Office of Labor-Management Standards	91	3.50
Office of Public Affairs	97	3.25
Office of the Assistant Secretary for Administration and Management	94	3.75
Office of the Assistant Secretary for Policy	72	3.00
Office of the Chief Financial Officer	79	3.75
Office of the Executive Secretariat	82	3.75

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
Office of the Solicitor	91	4.00
Office of Workers' Compensation Programs	97	3.00
Ombudsman Office	75	3.50
Veterans' Employment and Training Service	81	4.00
Wage and Hour Division	89	3.25
Women's Bureau	80	3.75
<b>Department of State</b>	86	4.00
<b>Department of the Interior</b>		
Bureau of Indian Affairs	83	4.00
Bureau of Land Management	94	4.00
Bureau of Ocean Energy Management	73	4.00
Bureau of Reclamation	92	4.00
Bureau of Safety and Environmental Enforcement	73	4.00
National Park Service	95	4.00
Office of Surface Mining Reclamation and Enforcement	80	4.00
Office of the Secretary	87	4.00
Office of the Special Trustee for American Indians	83	4.00
US Fish and Wildlife Service	88	4.00
US Geological Survey	74	3.00
<b>Department of the Treasury</b>		
Alcohol and Tobacco Tax and Trade Bureau	93	3.75
Bureau of Engraving and Printing	73	2.50

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
Bureau of the Fiscal Service	75	3.50
Department Level/Headquarters	87	3.00
Financial Crimes Enforcement Network	70	2.75
Internal Revenue Service	96	4.00
Office of the Comptroller of the Currency	84	3.75
United States Mint	81	3.25
<b>Department of Transportation</b>		
Department Level/Headquarters	97	4.00
Federal Aviation Administration	95	3.50
Federal Highway Administration	96	3.50
Federal Motor Carrier Safety Administration	90	4.00
Federal Railroad Administration	100	4.00
Federal Transit Administration	91	3.50
Maritime Administration	72	3.50
National Highway Traffic Safety Administration	98	3.50
Office of Inspector General	89	3.50
Office of the Secretary	95	3.00
Pipeline and Hazardous Materials Safety Administration	99	4.00
Saint Lawrence Seaway Development Corporation	100	3.75
<b>Department of Veterans Affairs</b>		
Board of Veterans' Appeals	73	3.25
Department Level/Headquarters	92	3.50

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
National Cemetery Administration	64	1.00
Veterans Benefits Administration	99	2.50
Veterans Health Administration	97	3.50
Equal Employment Opportunity Commission	76	3.25
<b>Executive Office of the President</b>		
Council on Environmental Quality	90	4.00
Office of Management and Budget	79	4.00
Office of Science and Technology Policy	96	4.00
Office of the Director of National Drug Control Policy	99	4.00
Office of the United States Trade Representative	87	4.00
Export-Import Bank of the United States	99	3.75
Farm Credit Administration	82	2.00
Federal Communications Commission	91	2.50
Federal Election Commission	49	2.75
Federal Energy Regulatory Commission	98	3.75
Federal Housing Finance Agency	84	3.75
Federal Labor Relations Authority	51	2.00
Federal Maritime Commission	82	3.25
Federal Mediation and Conciliation Service	54	1.75
Federal Mine Safety and Health Review Commission	81	3.75
Federal Retirement Thrift Investment Board	65	2.50
Federal Trade Commission	79	2.75
General Services Administration	78	4.00

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
Gulf Coast Ecosystem Restoration Council	58	0.50
Institute of Museum and Library Services	30	1.25
Inter-American Foundation	89	2.75
International Boundary and Water Commission (US/Mexico)	70	2.25
Japan-US Friendship Commission	13	2.25
Library of Congress	92	3.75
Marine Mammal Commission	50	1.50
Merit Systems Protection Board	44	2.25
Millennium Challenge Corporation	89	2.50
National Aeronautics and Space Administration	96	3.00
National Archives and Records Administration	98	4.00
National Capital Planning Commission	70	2.75
National Credit Union Administration	67	2.75
National Endowment for the Arts	79	3.00
National Endowment for the Humanities	Did not submit	Did not submit
National Indian Gaming Commission	68	2.75
National Labor Relations Board	93	3.25
National Mediation Board	69	2.75
National Science Foundation	85	3.50
National Transportation Safety Board	70	2.00
Nuclear Waste Technical Review Board	28	1.75
Occupational Safety and Health Review Commission	92	3.00
Office of Navajo and Hopi Indian Relocation	79	2.75



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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
Office of Personnel Management	65	1.75
Office of the Director of National Intelligence	76	3.00
Office of the Special Inspector General for Afghanistan Reconstruction	94	2.75
Overseas Private Investment Corporation	94	3.50
Peace Corps	86	3.50
Pension Benefit Guaranty Corporation	86	3.75
Postal Regulatory Commission	89	3.25
Presidio Trust	18	2.25
Railroad Retirement Board	76	3.50
Selective Service System	89	3.25
Social Security Administration	99	4.00
Surface Transportation Board	91	2.00
Tennessee Valley Authority	78	3.00
Udall Foundation	18	1.25
United States Commission on Civil Rights	86	4.00
United States Institute of Peace	29	1.75
United States Sentencing Commission	90	2.75
US Access Board	95	4.00
US African Development Foundation	88	4.00
US Agency for International Development	94	2.50
US Commission of Fine Arts	29	1.00
US Consumer Product Safety Commission	43	0.75

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<b>Agency Name</b>	<b>RMSA Total Score</b>	<b>FEMR Maturity Model Score</b>
US Court of Appeals for Veterans Claims	0	N/A
US Election Assistance Commission	Did not submit	Did not submit
US Environmental Protection Agency	93	3.25
US Government Accountability Office	100	4.00
US Government Publishing Office	100	3.25
US International Trade Commission	98	3.50
US Nuclear Regulatory Commission	96	3.00
US Office of Government Ethics	95	4.00
US Office of Special Counsel	75	2.25
US Securities and Exchange Commission	99	4.00
US Small Business Administration	81	2.25
US Tax Court	51	Not required
US Trade and Development Agency	69	2.25

NON-RESPONDING EXECUTIVE BRANCH AGENCIES

- Presidio Trust (SAORM Report)
- Department of Agriculture/Office of the Chief Information Officer (RMSA and FEMR)
- Department of Defense/Defense Contract Audit Agency (FEMR)
- National Endowment for the Humanities (FEMR and RMSA)
- US Election Assistance Commission (SAORM Report, FEMR and RMSA)



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