NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)
2014 RECORDS MANAGEMENT SELF-ASSESSMENT

Welcome to the 2014 Records Management Self-Assessment!

Before you begin, please note the following information:

Except where indicated, the questions in this survey are intended to cover all records regardless of format, as defined in 44 U.S.C. 3301.

The questions apply regardless of whether your agency's work processes are conducted manually or electronically.

Your answers to the self-assessment questions must be specific to records management activities in your agency. We have added a "not applicable" answer option to some questions. In general, only use this option if a question references an activity or action that is not conducted in your agency because of its size or if you are a Departmental Records Officer and are not responsible for the activity or action. If you select this option, you will be required to explain why the action or activity is not conducted in your agency.

Unless otherwise indicated, the following questions refer to the Federal fiscal year (FY) which begins October 1 and ends September 30. The fiscal year is designated by the calendar year in which it ends. For example, FY 2014 began on October 1, 2013, and ended on September 30, 2014.

NOTE: NARA reserves the right to follow-up with agencies to obtain additional information and/or documentation that supports their answers to the questions in this self-assessment.

Please note that your responses to questions in this assessment may be subject to public release pursuant to FOIA. However, we will not release responses to questions that contain detailed descriptions of agency activities.

As in previous years we will be conducting a validation process. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

If you have any questions about this self-assessment or need additional information to answer a question(s) or to provide requested documentation, please send an email message to:
rmselfassessment@nara.gov.

Section I: Records Management Program - Activities

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

☐ Yes
☐ No
☐ Do not know

2. If Yes: Please provide the person's name, position title, and office.

3. If Yes: Is this the person's primary duty?

☐ Yes
☐ No
☐ Do not know

4. If No: What percentage of their time is dedicated to coordinating and overseeing the implementation of the records management program?

☐ More than 75%
☐ 50 – 75%
☐ 25 – 49%
☐ Less than 25%
☐ Do not know

5. What is the person's Office of Personnel Management (OPM) designated job series?

☐ 0170 - History, Social Science, Psychologist
☐ 0306 - Government Information Specialist, Management, Administrative and
   Clerical Services
☐ 0343 - Management and Program Analysis, Management, Administrative and
   Clerical Services
☐ 0399 - Administration and Office Support Student Trainee, Management, Administrative and
   Clerical Services
☐ 1410 - Librarian, Library and Archives
☐ 1420 - Archivist, Library and Archives
☐ 1421 - Archives Technician, Library and Archives
☐ 2210 - Information Technology Management, Information Technology
☐ Other, please provide job series code and title

6. Additional Comments (Optional)

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

☐ Yes
☐ No
☐ Do not know

8. Additional Comments (Optional)

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

☐ FY 2014 - present
☐ FY 2011 – 2013
☐ FY 2007 - 2010
☐ FY 2006 or earlier
☐ Do not know

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

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

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

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

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

11. If Yes: 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 if it was customized specifically for your agency.

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

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

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

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a)

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

☐ Yes
☐ No
☐ Do not know

14. Additional Comments (Optional)

15. What methods does your agency use to help improve, monitor, and assess records management in regional and/or field offices? (Choose all that apply)

☐ Training
☐ Inspections
☐ Evaluations
☐ Webinars
☐ Teleconferences
☐ Regional records management liaisons
☐ Do not know
☐ Other, please explain
☐ Not applicable, please explain

Section II: Records Management Program – Oversight and Compliance

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

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

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

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

16. <u>In addition to</u> 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))

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

17. If Yes: Please select the control <u>activities</u> your agency performs to ensure that all eligible permanent records in all media are transferred to NARA. (Choose all that apply)

☐ Regular briefings and other meetings with records creators
☐ Approval process for transfer notices from Federal Records Centers
☐ Monitoring and testing of file plans
☐ Regular review of records inventories
☐ Internal tracking database of permanent record authorities and dates
☐ Other, please explain

18. <u>In addition</u> 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))

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

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

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

☐ Regular review of records inventories
☐ Approval process for disposal notices from off-site storage
☐ Require certificates of destruction
☐ Monitoring shredding services
☐ Performance testing for email
☐ Monitoring and testing of file plans
☐ Pre-authorization from records management program before records are destroyed
☐ Ad hoc monitoring of trash and recycle bins
☐ Notification from facilities staff when large trash bins or removal of boxes are requested
☐ Annual records clean out activities sponsored and monitored by records management staff
☐ Other, please explain

20. Additional Comments (Optional)

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

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

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

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

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

- [ ] Yes
- [ ] No
- [ ] Do not know
- [ ] Not applicable, please explain

22. If Yes: How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?

- [ ] Every 1 - 2 years
- [ ] Every 3 - 4 years
- [ ] Every 5 years
- [ ] More than every 5 years
- [ ] Do not know

23. If Yes: Was a written report prepared as part of the most recent inspection/audit/review?

- [ ] Yes
- [ ] No
- [ ] Do not know

24. Additional Comments (Optional)

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

Performance goals are the target levels of performance. Performance goals should be specific, measurable, attainable, results-oriented, and time-bound. Some examples of performance goals are:
- **identifying and scheduling all paper and non-electronic records by the end of FY 2016,**
- **developing computer-based records management training modules by the end of FY 2016, or**
- **planning and piloting an electronic management solution for email by the end of FY 2016.**

25. Has your agency established performance goals for its records management program?

☐ Yes
☐ No
☐ Currently under development
☐ Do not know
☐ Not applicable, please explain

26. If Yes: What are your agency's records management program's performance goals?

27. If Currently under development: Please describe the progress your agency has made towards identifying performance goals for its records management program. Include the time frame for completion in your remarks.

Performance measures are the indicators or metrics against which a program's performance can be gauged. Performance measures should provide a basis for comparing actual results with established performance goals. The following are examples of performance measures:
- **the percentage of agency employees that receive records management training in a year,**
- **a reduction in the volume of inactive records stored in office space, or**
- **the percentage of eligible permanent records transferred to NARA in a year.**

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

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

☐ Yes
☐ No
☐ Currently under development
☐ Do not know
☐ Not applicable, please explain

29. If Yes: Which of these input measures do you collect to monitor your records management program's performance? (Choose all that apply)

☐ Percentage of records scheduled
☐ Percentage of staff trained in records management
☐ 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
☐ Do not know
☐ Other, please explain

30: Please state how they are linked to your agency's records management program's performance goals.

31. If Currently under development: Please describe the progress your agency has made towards identifying performance measures for its records management program. Include the time frame for completion in your remarks.

32. Additional Comments (Optional)

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

☐ Yes
☐ No
☐ Do not know

34. Additional Comments (Optional)

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

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

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

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

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

☐ Annually
☐ Every 2 - 3 years
☐ Every 4 - 6 years
☐ Never
☐ Do not know

37. Additional Comments (Optional)

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

☐ Yes
☐ No
☐ Do not know

39. Additional Comments (Optional)

Section III: Records Management Program - Records Disposition

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

40. When was the last time your agency submitted a records schedule to the National Archives?

☐ FY 2013 - 2014
☐ FY 2011 - 2012
☐ FY 2008 – 2010
☐ FY 2006 – 2007
☐ FY 2001 – 2005
☐ FY 2000 or earlier
☐ Do not know, please explain

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

☐ Yes
☐ No
☐ Do not know

42. Does your agency currently have any records schedules pending approval by the National Archives?

☐ Yes
☐ No
☐ Do not know

43. Additional Comments (Optional)

44. Does your agency have permanent non-electronic records?

☐ Yes
☐ No
☐ Do not know

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

☐ Yes
☐ No
☐ Do not know

46. If No: My agency did not transfer permanent non-electronic records to NARA during FY 2014 because:

☐ Records are under a legal hold or freeze
☐ No records were eligible for transfer during 2014
☐ New agency, records are not yet old enough to transfer
☐ NARA deferred or refused transfer of the records
☐ Other, please explain

47. Does your agency have records where the disposition is frozen?

☐ Yes
☐ No
☐ Do not know

48. If Yes: Why does your agency have records where the disposition is frozen? (Choose all that apply)

☐ Court Order
☐ Audit
☐ Administrative needs
☐ Other, please explain
☐ Do not know

49. Does your agency have policies and procedures for applying, reviewing, and lifting freezes on the disposition of records?

☐ Yes
☐ No
☐ Do not know

50. If Yes: Did your records management staff review, in collaboration with your General Counsel's Office, your existing freezes in the last year?

☐ Yes
☐ No
☐ Do not know

51. Additional Comments (Optional)

52. Does your agency have permanent electronic records/systems?

☐ Yes
☐ No
☐ Do not know

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

☐ Yes
☐ No
☐ Do not know

54. Additional Comments (Optional)

55. If No: My agency did not transfer permanent electronic records to NARA during FY 2014 because:

☐ Electronic records/systems are under a legal hold or freeze
☐ No electronic records/systems were eligible for transfer during FY 2014
☐ New agency, electronic records/systems are not old enough to transfer
☐ NARA deferred or refused transfer of electronic records/systems
☐ Other, please explain

56. Does your agency track when its permanent records – electronic and non-electronic – are due to be transferred to NARA?

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

57. If Yes: Please describe how your agency tracks when its permanent records – electronic and non-electronic – are due to be transferred to NARA.

58. Additional Comments (Optional)

59. Has your agency created or is your agency going to create policies and procedures to implement the guidelines released in NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records?

☐ Yes
☐ No
☐ Do not know

Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a)

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

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

61. If Yes: Who is involved in the exit briefings? (Choose all that apply)

☐ Agency Records Officer
☐ Senior Agency Official for Records Management
☐ Chief Information Officer
☐ Other, please explain

62. If Yes: Are the exit briefings documented for purposes of accountability?

☐ Yes
☐ No
☐ Do not know

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

☐ Yes
☐ No, please explain
☐ Do not know

64. Additional Comments (Optional)

Section IV: Records Management Program - Electronic Records

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

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

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

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

66. Additional Comments (Optional)

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

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

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

☐Yes
☐No
☐Do not know

68. Additional Comments (Optional)

69. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems?

☐Yes
☐No
☐Do not know
☐Not applicable, please explain

70. Additional Comments (Optional)

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

☐Yes
☐No, please explain
☐Do not know

72. Additional Comments (Optional)

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

☐ Yes
☐ No, please explain
☐ Do not know
☐ Not applicable, please explain

74. If Yes: Please describe in detail how your agency ensures that records management functionality, including the capture, retrieval, and retention of records, is incorporated into the design, development, and implementation of its electronic information systems.

75. Additional Comments (Optional)

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

☐ Yes
☐ No, please explain
☐ Do not know
☐ Not applicable, please explain

77. Additional Comments (Optional)

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

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

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

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

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

79. Additional Comments (Optional)

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

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

☐ Yes
☐ No, please explain
☐ Do not know

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

81. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02)

☐ Yes
☐ No
☐ Do not know

82. Additional Comments (Optional)

83. If Yes: Does your agency have policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22(b))

☐ Yes
☐ No
☐ Do not know

84. Additional Comments (Optional)

85. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))

☐ Yes
☐ No
☐ Do not know

86. If Yes: Does your agency have policies that address the use of personal email accounts and that state that email records created and received using these accounts must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22(b))

☐ Yes
☐ No
☐ Do not know

87. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))

☐ Yes
☐ No
☐ Do not know

88. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

☐ Print and file
☐ Captured and stored as .PST
☐ Captured and stored in an electronic records management system
☐ Captured and stored in an email archiving system
☐ Not captured and email is managed by the end-user in the native system
☐ Other, please be specific

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

☐ Yes
☐ No
☐ Do not know

90. If Yes: How often does your agency audit staff compliance with the agency's email preservation policies?

☐ Every 6 months
☐ Every year
☐ Every 2 years
☐ Less frequently than every 2 years
☐ Do not know

91. Additional Comments (Optional)

92. Does your agency plan to adopt the "Capstone" approach to managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

93. Additional Comments (Optional)

Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or awareness of agency employees. Training can be either in a classroom setting or distance-based (e.g., web-based training), but it must:
- **be regular (occurring more than just once),**
- **be repeatable and formal (all instructors must provide the same message, not in an ad hoc way), and**
- **communicate the agency's vision of records management.**

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

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

☐ Yes
☐ No
☐ Do not know
☐ Not applicable, please explain

95. If Yes: Is this training mandatory for all staff, including contractor staff and senior officials?

☐ Yes
☐ No
☐ Do not know

96. Additional Comments (Optional)

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

The joint NARA/OMB *Managing Government Records Directive* (M-12-18) of August 24, 2012, includes specific action items towards ensuring government openness and accountability through more complete documentation of Federal business; improved identification, safeguarding, and eventual transfer to NARA of permanent records; and increased efficiency for agencies in their business processes.[1]

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

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

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

97. Does your agency have an SAO? (If you are a component of a Department, you may answer yes, even if this is not being done at the component level.)

☐ Yes
☐ No
☐ Do not know

98. If Yes: Does your agency records officer meet regularly (four or more times a year) with the SAO to discuss the agency records management program goals? (Not scored)

☐ Yes
☐ No
☐ Do not know

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

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

99. Has your agency records officer received the NARA Certificate of Federal Records Management Training per Requirement 2.3 of M-12-18?

*Requirement 2.3 Exemption Process: If you meet one of the following criteria before December 31, 2014, you do not need to attend classes or take exams: combination of Institute of Certified Records Managers (ICRM) certification AND three years' experience as the designated agency records officer, or seven years' experience as the designated agency records officer.

☐ Yes, took the Knowledge Area (KA) classes and passed the test
☐ Yes, received exception and passed the test
☐ No, received exemption*
☐ No, have not received any Requirement 2.3 training
☐ In progress

Requirement 2.4: *Agencies Must Establish Records Management Training*

100. What methods does your agency use to inform all employees of their records management responsibilities? (Choose all that apply)

☐ In person instructor-led training
☐ Agency website
☐ Webinars (live)
☐ Webinars (recorded /self-paced)
☐ Agency notices or other communications
☐ Other, please explain

101. What methods does your agency use to measure the effectiveness of your agency's staff-wide records management training? (Choose all that apply)

☐ Testing
☐ Evaluations
☐ In person staff follow up
☐ Other, please explain

Requirement 2.5: *SAO Shall Ensure that Records are Scheduled*

102. Did your agency identify all unscheduled records by December 31, 2013?

☐ Yes
☐ No, please explain
☐ Do not know

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

☐ Yes
☐ No
☐ Do not know

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

☐ Sent
☐ Not sent

105. Is your agency actively working with NARA appraisal staff to schedule all unscheduled records by December 31, 2016?

☐ Yes
☐ No, please explain
☐ Do not know

106. Does your agency have a method of continually identifying new and unscheduled records?

☐ Yes
☐ No
☐ Do not know

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

107. Does your agency use cloud services?

☐ Yes
☐ No
☐ Do not know

108. If Yes: For what purpose(s) is your agency using cloud services? (Choose all that apply)

☐ Email
☐ Administrative functions such as payroll, purchasing, and financial management
☐ Mission/program-related functions
☐ Other, please explain
☐ Do not know

109. If Yes: Are recordkeeping requirements included?

☐ Yes
☐ No
☐ Do not know

**End Records Management Program - NARA/OMB *Managing Government Records Directive* (M-12-18) Reporting Requirements Section
The remaining questions are for demographic purposes.**

Section VI: Agency Demographics

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

☐ 500,000 or more FTEs
☐ 100,000 – 499,999 FTEs
☐ 10,000 – 99,999 FTEs
☐ 1,000 – 9,999 FTEs
☐ 100 – 999 FTEs
☐ 1 – 99 FTEs
☐ Not Available

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

☐ Senior Agency Official
☐ Office of the General Counsel
☐ Program Managers
☐ Information Technology staff
☐ Records Liaison Officers or similar
☐ Administrative staff
☐ Other (please be specific):
☐ None

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

☐ Less than 3 hours
☐ More than 3 hours but less than 6 hours
☐ More than 6 hours but less than 10 hours
☐ More than 10 hours

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

☐ Yes
☐ No
☐ Do not know

114. Additional Comments (Optional)

115. Please provide your contact information.

Name:

Agency, Bureau, or Office:

Job Title:

Email Address:

Phone Number:

116. Are you the Agency Records Officer?

☐ Yes
☐ No

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

Records Officer's Email Address:

Records Officer's Phone Number:

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

Please note that your responses to questions in this assessment may be subject to public release pursuant to FOIA. However, we will not release responses to questions that contain detailed descriptions of agency activities.

NARA reserves the right to request additional documentation or a follow-up meeting to verify your responses. If you wish to provide supporting documentation for your answers or other information to NARA, please send it to: rmselfassessment@nara.gov.

Thank you for completing the 2014 Records Management Self-Assessment! If you have any questions about the self-assessment, please send a message to rmselfassessment@nara.gov.