

## NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) 2013 RECORDS MANAGEMENT SELF-ASSESSMENT

**Welcome to the 2013 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. This year we have added a "not applicable" answer option to some questions. 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.

As part of this year's self-assessment we will collect and verify your agency's responses to two requirements found in the NARA/OMB *Managing Government Records Directive* (M-12-18).<sup>1</sup> Part I, Section 2, Requirement 2.2 **requires** agencies to identify for transfer their permanent records that have been in existence for more than 30 years and to report the information to NARA by December 31, 2013. Part I, Section 2, Requirement 2.5 **requires** agencies' Records Officers to identify all unscheduled records by December 31, 2013. This includes all records stored at NARA and at agencies' records storage facilities that have not yet been properly scheduled.

Your responses to these requirements must be submitted using the Excel spreadsheets provided by NARA to your agency. (See AC 23.2013: NARA/OMB M-12-18, Goals Due On or Before December 31, 2013.<sup>2</sup>) **All spreadsheets must be sent to [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov) by 11:59 pm, December 31, 2013.**

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

<sup>2</sup> AC 23.2013: NARA/OMB M-12-18 Goals Due On or Before December 31, 2013, <http://www.archives.gov/records-mgmt/memos/ac23-2013.html>.

Due to the recent government shutdown, the beginning of the reporting period was delayed. In consultation with the Office of Management and Budget (OMB), we have decided to extend the deadlines. **All spreadsheets must be sent to [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov) by 11:59 pm, January 31, 2014.**

Unless otherwise indicated, the following questions refer to the Federal fiscal year (FY) which begins October 1 and ends September 30 of the following calendar year. The fiscal year is designated by the calendar year in which it ends. For example, FY 2013 began on October 1, 2012, and ended on September 30, 2013.

**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.

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

## Records Management Program - Activities

**CORE QUESTION:** 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.

Additional Comments (Optional)

**CORE QUESTION:** 3. Does your agency have a records management directive(s)? (36 CFR 1220.34(c))

- Yes
- No
- Do not know

4. 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 2013 - present

FY 2010 - 2012

FY 2007 - 2009

FY 2006 or earlier

Do not know

Additional Comments (Optional)

**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))**

**CORE QUESTION:** 5. 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))

Yes

No

Do not know

Not applicable, please explain

**For the following questions, 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.**

**CORE QUESTION:** 6. 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 \_\_\_\_\_

7. If Yes: Please provide the number of employees assigned records management responsibilities that your agency trained during FY 2013.

\*\*Do not include the number of employees who attended NARA's records management training workshops unless such training was customized specifically for your agency.

Additional Comments (Optional)

**CORE QUESTION:** 8. 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

9. If Yes: Please provide the number of your agency's employees and contractors who were trained during FY 2013.

**\*\*Do not include the number of employees who attended NARA's records management training workshops unless such training was customized specifically for your agency.**

Additional Comments (Optional)

**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)**

**CORE QUESTION:** 10. 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))

- Yes
- No, please explain
- Do not know

Additional Comments (Optional)

## **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 control is:**

- Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance;
- A process 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 control 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.)

**CORE QUESTION:** 11. 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 records in all media that are created by your agency are transferred to NARA according to your agency’s approved records schedules? (36 CFR 1222.26(e))

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

12. If Yes: Please describe the control activities your agency performs to ensure that all eligible permanent records in all media are transferred to NARA according to your agency's records schedules.

\*\*Control activities described must be in addition to your agency's records schedules and directives.

**CORE QUESTION:** 13. 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))

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

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

14. If Yes: Please describe the control activities your agency performs to ensure that Federal records are not destroyed before the end of their retention period.

\*\*These control activities must be in addition to your agency's records schedules and directives.

Additional Comments (Optional)

**An evaluation is an inspection, audit, or review of one or more Federal agency records management programs for effectiveness and for compliance with applicable laws and regulations. It includes recommendations for correcting or improving records management practices, policies, and procedures, and follow-up activities, including reporting on and implementing the 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.**

**CORE QUESTION:** 15. 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, the management of your agency's electronic records) must be the primary focus/target of the inspection/audit/review.

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

**CORE QUESTION:** 16. If Yes: How often is your records management program, or a major component of the 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

17. If Yes: Was a written report prepared after the most recent inspection/audit/review was completed?

- Yes
- No
- Do not know

Additional Comments (Optional)

**An essential control for any RM 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:**

- **scheduling all agency records by the end of FY 2014,**
- **developing computer-based records management training modules by the end of FY 2014, or**
- **planning and piloting a DOD 5015.2 certified records management application by the end of FY 2015.**

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

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

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

20. 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](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>.)**

**CORE QUESTION:** 21. 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

22. If yes: What are your records management program’s performance measures. Please state how they are linked to your agency's records management program's performance goals.

23. 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.

Additional Comments (Optional)

24. 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

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))**

**CORE QUESTION:** 25. 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 \_\_\_\_\_

**CORE QUESTION:** 26. 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

Additional Comments (Optional)

**CORE QUESTION:** 27. Is your vital records plan part of the Continuity of Operations (COOP) plan?

- Yes
- No
- Do not know

Additional Comments (Optional)

## Records Management Program - Records Disposition

**Permanent records are those for which the disposition is permanent on SF 115, Request for Records Disposition Authority, approved by NARA on or after May 14, 1973. (36 CFR 1220.18)**

**New Question:** 28. Does your agency have permanent non-electronic records?

- Yes
- No
- Do not know

**CORE QUESTION:** 29. Did your agency transfer permanent non-electronic records to NARA during FY 2013? (36 CFR 1235.12)

- Yes
- No
- Do not know

**New Question:** 30. If No: My agency did not transfer permanent non-electronic records to NARA during FY 2013 because:

- Records are under a legal hold or freeze
- No records were eligible for transfer during 2013
- New agency, records are not yet old enough to transfer
- NARA deferred or refused transfer of the records
- Other, please explain

**New Question:** 31. Has your agency transferred, or does it plan to transfer, permanent non-electronic records to NARA in FY 2014?

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

Additional Comments (Optional)

**New Question:** 32. Does your agency have permanent electronic records/systems?

- Yes
- No
- Do not know

**CORE QUESTION:** 33. Did your agency transfer permanent electronic records to NARA during FY 2013? (36 CFR 1235.12)

- Yes
- No
- Do not know

Additional Comments (Optional)

**New Question:** 34. If No: My agency did not transfer permanent electronic records to NARA during FY 2013 because:

- Electronic records/systems are under a legal hold or freeze
- No electronic records/systems were eligible for transfer during FY 2013
- New agency, electronic records/systems are not old enough to transfer
- NARA deferred or refused transfer of electronic records/systems
- Other, please explain

**New Question:** 35. Has your agency transferred, or does it plan to transfer, permanent electronic records to NARA during FY 2014?

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

Additional Comments (Optional)

**New Question:** 36. 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

**New Question:** 37. If Yes: Please describe how your agency tracks when its permanent records – electronic and non-electronic – are due to be transferred to NARA.

Additional Comments (Optional)

**New Question:** 38. Where does your agency store its inactive Federal records? (Choose all that apply)

\*\* Indicate if each type of storage facility your agency uses complies – or does not comply – with the standards for records storage facilities found in 36 CFR 1234.

Facility Type	Compliant	Not compliant	Do not know
Agency storage facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Federal Records Center (FRC)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commercial storage provider	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency office space	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other, please describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments (Optional)

**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)**

**CORE QUESTION:** 39. Are records management program staff required to conduct 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

**CORE QUESTION:** 40. If Yes: Are the exit briefings documented for purposes of accountability?

- Yes
- No
- Do not know

**CORE QUESTION:** 41. 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

Additional Comments (Optional)

## 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)**

**CORE QUESTION:** 42. Has your agency incorporated/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

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)**

**CORE QUESTION:** 43. 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

Additional Comments (Optional)

**New Question:** 44. 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

Additional Comments (Optional)

**CORE QUESTION:** 45. 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

Additional Comments (Optional)

**CORE QUESTION:** 46. 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

47. 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.

Additional Comments (Optional)

**CORE QUESTION:** 48. 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

Additional Comments (Optional)

**For the next question, 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.**

49. 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

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)**

**CORE QUESTION:** 50. 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)**

**New Question:** 51. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02)

- Yes
- No
- Do not know

Comments (Optional)

**New Question:** 52. 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

Comments (Optional)

**New Question:** 53. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))

- Yes
- No
- Do not know

**New Question:** 54. 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

**New Question:** 55. 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

**New Question:** 56. 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

**CORE QUESTION:** 57. Does your agency audit staff compliance with the agency's email preservation policies?

- Yes
- No
- Do not know

**CORE QUESTION:** 58. 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

Additional Comments (Optional)

**For the next question, 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.**

**CORE QUESTION:** 59. 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

**CORE QUESTION:** 60. If Yes: Is this training mandatory for all staff, including contractor staff and senior officials?

- Yes
- No
- Do not know

Additional Comments (Optional)

## **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.<sup>3</sup>

**Part I, Section 2, Requirement 2.2 of NARA/OMB M-12-18 requires agencies to identify for transfer their permanent records that have been in existence for more than 30 years and to report the information to NARA.**

**New Question:** 61. Has your agency identified for transfer its permanent records that have been in existence for more than 30 years?

- Yes  
 No, please explain  
 Do not know

Additional Comments (Optional)

**New Question (Verification).** 61a. If Yes: Send the spreadsheet with information about your agency's permanent records that have been in existence for more than 30 years to [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). See AC 23.2013: NARA/OMB M-12-18 Goals Due On or Before December 31, 2013<sup>4</sup>.

Additional Comments (Optional)

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<sup>3</sup> NARA/OMB Managing Government Records Directive (M-12-18), <http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>.

<sup>4</sup> AC 23.2013: NARA/OMB M-12-18 Goals Due On or Before December 31, 2013, <http://www.archives.gov/records-mgmt/memos/ac23-2013.html>.

**Part I, Section 2, Requirement 2.5 of NARA/OMB M-12-18 requires agencies' Records Officers to identify all unscheduled records by December 31, 2013. This includes all records stored at NARA and at agencies' records storage facilities that have not yet been properly scheduled.**

**New Question:** 62. Has your agency identified all of its unscheduled records, including those that are stored at NARA and/or at your agency's records storage facilities?

- Yes
- No, please explain
- Do not know

Additional Comments (Optional)

**New Question (Verification).** 62a. If Yes: Send the spreadsheet with information about your agency's unscheduled records to [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov). See AC 23.2013: NARA/OMB M-12-18 Goals Due On or Before December 31, 2013.<sup>5</sup>

Additional Comments (Optional)

63. How many FTEs 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

64. 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

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<sup>5</sup> AC 23.2013: NARA/OMB M-12-18 Goals Due On or Before December 31, 2013, <http://www.archives.gov/records-mgmt/memos/ac23-2013.html>.

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- Information Technology staff
- Records Liaison Officers or similar
- Administrative staff
- Other (please be specific):
- None

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

- Under 3 hours
- More than 3 hours but less than 6 hours
- More than 6 hours but less than 10 hours
- Over 10 hours

**New Question:** 66. Did your agency's senior management review and concur with your responses to the 2013 Records Management Self-Assessment?

- Yes
- No
- Do not know

Additional Comments (Optional)

**Please provide your contact information.**

Name:

Agency, Bureau, or Office:

Job Title:

Address:

Address 2:

City/Town:

State:

ZIP/Postal Code:

## Records Management Self Assessment - 2013

Email Address:

Phone Number:

What is your job title?

Are you the Records Officer?

Yes

No

If No: Please provide the name of your agency's Records Officer.

Records Officer's Email Address:

Records Officer's Phone Number:

Final Comments, Suggestions, and/or Recommendations (Optional)

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

Thank you for completing the 2013 Records Management Self-Assessment! If you have any questions about the self-assessment, please send a message to [rmsselfassessment@nara.gov](mailto:rmsselfassessment@nara.gov).