

# DOL - Office of Disability Employment Policy - report received 3/15/2017

## Federal Email Management Reporting for 2016

NARA is requiring Federal agencies to report on their email management in accordance with the jointly issued OMB/NARA *Managing Government Records Directive (M-12-18)*, which states:

*Federal agencies will manage both permanent and temporary email records in an accessible electronic format by December 31, 2016.*

The reporting period began on January 9, 2017, and reports are due back to NARA no later than March 17, 2017.

In April 2016, NARA released the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*, which synthesizes email records management requirements from the Federal Records Act, Code of Federal Regulations, and existing NARA guidance. In this document, NARA defines successful email management as having policies and systems in place to ensure that email records can be used, accessed, and have the appropriate disposition applied. The success criteria also describes the policy, system, access, and disposition requirements needed to properly manage all temporary and permanent email in electronic format. Also, NARA has been working with Federal agencies, Congress, and other parties to update existing statutory, regulatory, and NARA guidance requirements for managing email.

In the interest of transparency in Government and to promote collaboration and communication among agencies, NARA will post a PDF version of your responses on the NARA website unless otherwise prohibited.

NARA reserves the right to follow up with agencies to obtain additional information and/or documentation that supports their answers to the questions.

The following questions are designed to indicate how well your agency's email management meets the four areas of compliance enumerated in the *Criteria for Managing Email Records*: policies, systems, access, and disposition.

Please read carefully and choose the description that best describes your agency's ability to manage email.

0. Which of these levels best describes the state of your email policies?

/ 0.

Which of these levels best describes the state of your email policies?

- None of the levels best describes the state of your email policies.
- A level that best describes the state of your email policies.
- A level that best describes the state of your email policies.
- A level that best describes the state of your email policies.

SI ` P b Q QZSLP Ch\ XQBSZCF [ QJQ FT FR S' T c PVOUWFS ` Pj\_QP QVXTO XFCcSZ T c PQR STDP\_QZPSZCPVOUWQX  
cC QZ T c P\_CU XFO PQR STBQVOZ XFOZSWWCh\ JYFS ` P\_QZPSZCPVOUWQFS ` PVOVQ hZQKPVZQ QVY c PScST XJPOXX  
C PQR STBQVOZ Xf

g R STBVOUWQFSZCF PWSWQFS ` FR VQR Q JQ P\_Zhc\_Ch]P\_QScQ WYFSUBK StPST WU ` T c P XQ TOZK] StP\_S] Q  
aQQ PZST Q FO P\_QZBQWFS ` PZKVO XB T] QXFOZRS S Sc T c PQR STBVOUWQF VU ` QP XQFO PVOZQ SUZP Q s  
C WMSUR STBWWCh\ JYFOVZ XFR S Sc QR Q J P] StP ` I OZK XVOVYOZ Q QZSUVQZOR PVOZD T VSh ` JXFO PQR STU  
VOUWQF P Q XhZCPVOZQ P XQFS ` FR VQR Q JS] T YFS ` FS \ hSUR S ` SJ OZ P R h FS ` P h OZ RS] T P Q V] Z] d  
JZT T c P VU ` QXFO WFS ` PZKVO XB T] QXFOcSZ T c PQR STB

Points = 3

10. Comments on Q1 (Optional)

4 dX]QR XqP cQ WQKFR hX]P\_S] QP dX]QR XFT PWSWQF\_S] PWS PVO hVQFR S Sc Q] FS ` PVOZQZ QPQR STBQVOZ XFT FS PWSWQ] SaWQ  
QWVZO T VQR SJ P] J] P KVOK] T PWS P QZBQW] Q F P ` ` ] T S W] P dX]QR XFR hX] P h VQZ] P\_QFR VQR Q JS] T P PScQ W P  
VOUWQFS ` PVOZ T QSWWQXP PQR STBQVOZ X P\_Zhc\_Ch] P\_QZBQW] W

/ 2.

Which of these levels best describes the state of your email systems?

- g R STB]FR S Sc Q FT P TVSZ] QP dX]QR X] PQR STB]FR S Sc Q P d P\_QQ ` P XQZFS ` P QZQ Q ] T P SWUQ f
- 4 dX]QR XFC] ST P QR VOZ] PQR STBQVOZ X P V] P Q] X P S d XFO W YFS ` P VZ ] FS ` P Q P] FR ST FR Q\_ O P b  
VZQZ] S] T P QR STB
- 4 CR QVQ ] ZSUYQ FS ` R T T] Z] T P QR STB dX]QR X] PQR ] Q FT Q ] T V] S] T P VQR S Q ] PQR STB FS ` PQR STB X  
R S h SW] FR S Sc Q P d P\_QQ ` P XQZ] S XQ FO P Q Q ] T P W V\_Q h W X
- r ` R T T] Z] T P QR STB dX]QR X P P VQ W V] S W] S X T ` Q ] P QR VOZ] FS ` P VQR S Q ] P QR STB S] Q QZQ  
T Q ] T Q ] P dX]QR P ` QP Q Q W R Q ] P Q S ` W P R VQR Q JS] T P PScQ W P VOUWQFS ` P Q W V W  
R S Sc QR Q ] YFS ` P Q W V Z Q ] T P P X P\_QR ST FR Q\_ O P Q P\_QV Z Q Z] S] T P QR STB
- g R STB dX]QR XFR S Sc QFS ` PVOZQZ QPQR STB P Q W V Z Q T VQR SJ P R ] Q P ` P XQZ] V h] P Q Q Q P Q P S W d  
VZOZ] Q ] T P i P S W W Q X FS ` P TVOK] T P VOUWQ P VQR S Q ] P QR STB Q ] T Q FS ` FR S Sc Q P QR STB dX]QR X  
R ST ] ST P\_QVQ ] Q ] i P VQ ] Q Z] i FS ` P X] V h Z Q P P\_QZQVOZ XFS ` PQR STBQVOZ XFS ZFS X X W] S] Q P T ] P\_QZ  
VQZ] QZ

Points = 3

12. Comments on Q2 (Optional)

rWWQXXqPgRSTUPZQWOZ`XPRhX]PZQRST\PhXSaUQPS`\PZQ]ZTQ[SaUQP]\_ZOhc\_Oh]P]\_QTZ]P]UtbQWdWUQfPrWWQ  
ScQ]W]XPSaT]U]P]WSZZdPOh]PT]XPahXT\QXXPbh]W]TO]XfPrWWQXXPX\_OhU`PS``Z]P]RPT]QZ]SUPScQ]Wd  
]Q`XPSWWORRO`S]QPZQXVO\XQXP]OPZQ]thQX]XPbOZPT]bOZRS]TO]f

/ 3.

Which of these levels best describes the usability and retrievability of email throughout their lifecycle?

- [ \_ QZP] FR S] ] QR V] P Q QZ R T Q P \_ Q\_QZOR Q PQR STB S P Q S W W Q X Q P Q Q ` FR R Q T] Q P h X T Q X P Q Q X Y  
] \_ QZP] FR S Sc QR Q ] P QR STB P Q S Z Q PQR VQR Q Q X V Z O h V T c PQR STB Q Z Q h Q X] P X P T W V] P V Q ] W d FS `  
] Q FS S d X P Q S X T W P Sc Q W P S X P h ] P VQR STB dX]QR X P\_S] P Q Q P Q S] Q P Q S W P Q\_QZS ` FS Z P Q  
X Q S Z V Sa W P S W Q X P h ] P W P S W W Ch\ J X P Q d X] QR X P ] P QR Q P S c h S Z X P P S W Q P Z P h Sh] \_ QZ] Q P S W W Q X  
h T ] Q ] T P S U R O T V] S] T P i P Q Q ] V] T P Y P Q Q T Q PVOVQ X X P QR ST ] ST T c P QVOZ XFR S' T c P S W W Q X FS `  
Z Q Z Q S U P T W V] P V Z O X X Q P S Z P Q Z O R Q FT FS FS ` P\_O V R S \ QZFS ` R Q Z R S U P Q T ] T P Q Z P S X X T V] T P Q

QR STBQVOZ XF

- g R STBQVOZ XFSZCZQZQ SalOP\_Zhc\_PkdXjQR PaSW-shVXPOZQ\_QZFR QS XYP\_QZCPXFR T TR SUR S\ ScQR Q J Pcb QR STBOP QVSZQ FOR VldQQXPVZO hVIT cFOR STBQZQ hQXjXFXPSW\_TQ SalOPahjFR QPVO XhR T cFS\` PVOXjldY UR TQ PJST T cFORQ\_QZSe SZQ QXXFOFXQWjZdFORFR STFS\` PZVOQXXQXPOZFR ST JST T cFOR STBQVOZ XFSZQ XjSZT cPjCPaCPjS\` SZ TYQ FScQ Vlse T Qf
- g R STBQVOZ XFSZCFT Vld` Q FT PSP ZShjCQ J TO PkW\_Q hWPVQ` T cFSWZQ SUPER STBOP QVSZT cFOR VldQQXPK R ST JST Q Pn\ jTBKOR QD QPVS FQ Tc YFOR SUBZVOQXXQXPOZKjFT FOZ QZROZQVOZ XjCPaQFSWQXXQ FS\` ZQZQ Q FT PSPFR QldFR S\` QZFXS\` SZ TYQ Pnkn RUDMIVOPVZVOQXXQP\_SjCPaQQ P Q QVOQ FSVZXXP\_QFScQ Vld R S^T cFSWQXXFS\` FQZQZ SUBFOR STBQVOZ XFR OZFCQSaWFS\` FXS\` SZ TYQ PZVOQXXQXPOZFSWQXXFS\` ZQZQ SUBZCPaCt\ T cPjCPaQVZOR hldSjQ FSVZXXP\_QFScQ Vldf
- g R STBQZQZQ SalOP hZT cR QR SUBVhZCQPaHXT QXXP\_QFR STBdXjQR P\_SXPVZQ hZKROZVZQ T T c ZldQ VQFS\` FQXVO XQXPOZFR STBQ hQXjXFXQWjZdFS\` PZjSVMVZQVOZ XFSZCFT Vld` Q FT Pj\_CPdXjQR Y VZVOQXXQXPOZ\_QFT Q jTWSjTO FS\` PMSXXTWSjTO FORFR STBQVOZ XFSZCPjS\` SZ TYQ FSVZXXP\_QFScQ Vld R S^T cFSWQXXFS\` FQZQZ SUBQSaWFS\` FQVOZ XFSZCPHhSWMFSWQXXQ FS\` FQZQZ Q FT PSPFR QldFR S\` QZ
- g R STBQPhldFQZQ SalOPROZQ hQXjXFR STBQ Tc iVZQXQjSjTO iFS\` P TKVOXjTO PXPFR aQ` Q FT jCP\_Q VZVOQXXQXPOZ QVSZT cFOR VldQQXPVZOZ XFR S\ ScQR Q J PVO JZUXFSZCPahTjPT jCP\_QFR STBdXjQR PjCPVZQ Q j h\ Shj\_OZYQ FSVWQXXFR O TWSjTO iRZP QXzhVjTO YVZVOQXXQXPOZ\_QFT Q jTWSjTO FS\` PMSXXTWSjTO FORFR STU ZVOZ XFSZCP OVMR Q jQ FS\` FT jCzSjQ Re Tj\_FScQ VldFahXT QXXFS\` FR TXTO FjPj\_CPjZSjCtVWQ QD

Points = 3

13. Comments on Q3 (Optional)

Disposition: 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.

/ 4.

Which of these levels best describes the state of your disposition of email?

- [ \_QZCPXFR QZQ J TO PkW\_Q hWPVQVMSWIPVQ QZT cFOR STB TKVOXjTO FORFR STBPK QjPaQT cP Q QFS\` VQR S\ Q jFOR STBQVOZ XP\_SjCP QPaQQ FT Q jTQ f
- 5 QcT\ T cPjCPe QZ Re Tj\_PNr mr PjCPVCSjCZQ J TO PkW\_Q hWPVQVMSWIPVQ QZT cFOR STB TKVOXjTO FORFR STBPK \_S\` W P\_SV\_SYSZ ldpdP\_QQ` PnXQZFS\` P\_QZCPXFR QFT Q jTWSjTO FORFR S\ Q jFS\` PjQR VOZSjFR STU ZVOZ X
- mQJ J TO PkW\_Q hWPVQ QZT cFOR STB P ZShjFahjR QjFSWZQ Q YFS\` P TKVOXjTO FORFR STBPK\_S\` W Re Tj\_PFR TQ jZST T cROZP\_QQ` PnXQZ
- mQJ J TO PkW\_Q hWPVQ QZT cFOR STB PFSWZQ Q PcdPnr mr YQ\` PnXQZFSZQZST Q PjCPj\_QZCCP\_QP TKVOXjTO Pcb QR STBQVOZ XFS\` PVOZ S\ Q jFQVOZ XFSZCFT Q jTQ FS\` FR ST JST Q Pn\ jTjZS XldZPjCPnr mr f
- mQJ J TO PkW\_Q hWPVQ QZT cFOR STB\_SXPaQQ FSWZQ Q PcdPnr mr YZQ J TO PkW\_Q hWPVQZCPahTjPT jCPFR STU R S\ ScQR Q jPkdXjQR XYPVQR S\ Q jFQVOZ XFSZCFT Q jTQ FS\` PMSVhZQ PcdFR STB S\ ScQR Q jPkdXjQR XFS\` VQR S\ Q jFQVOZ XFS\` PaQZP\_SjCPaQQ PnVWQXhWjPZS XldZQ PjCPnr mr f

Points = 2

14. Comments on Q4 (Optional)

/ 5. Please enter your contact information below.

u TzjFNSR Qq	Reginald R.
TSXjFNSR Qq	McCann
UCaP jUQq	Management and Program Analyst
r cQ VUq	Office of Disability Employment Policy
j OR VO Q jP cQ Will bVQ5hZShq	Program Management Division
gR STP `` ZXXq	mccann.reginald@dol.gov

## SCORING

NARA will be using the maturity model score in our analysis of the success Federal agencies have had in developing email management programs and what work needs to continue to improve email management across the government.

- For each question, answer options are scored zero to four points.
- Total number of scored questions in this report is four.
- Total number of points is 16.
- Maximum maturity model score (also known as the weighted mean) is four.
- The maturity model score is derived by dividing your total number of points based on the level description chosen by the number of scored questions.

Your Total Points = 11

Your Maturity Model Score = 2.75

Score of 0 to 1.9 = High Risk - of not managing email effectively

Score of 2 to 2.9 = Moderate Risk - of not managing email effectively

Score of 3 to 4 = Low Risk - of not managing email effectively