**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)**

**FY 2012 RECORDS MANAGEMENT SELF-ASSESSMENT**

**Welcome to the FY 2012 Records Management Self-Assessment!**

**Before you begin, please note the following information.**

As part of this year’s self-assessment, we will ask you to provide agency-specific documentation for validation purposes. We understand that some of these materials may contain sensitive information about individuals or internal agency processes. If this is the case, we will accept edited versions as appropriate. However, any edited documents must contain sufficient information for us to assess their contents.

Documents must be in PDF, MS Word, or Excel formats only**.** Please do *not* send web links to the 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 following questions also apply regardless of whether your agency’s work processes are conducted manually or electronically.

Please note that your responses to questions in this assessment could be subject to public release **pursuant to FOIA**. However, we will not release responses to the following questions that contain detailed descriptions of agency activities and other requested internal documentation: 6a, 8a,10, 11a, 12a, 15a, 16a, 17a, 22, 22a, 23, 23a, 26, 29a, 31, 32, 34a, and optional questions.

If you have any questions about this self-assessment, please contact Stephanie Fawcett at (781) 663-0124 or send an email to rmselfassessment@nara.gov.

**Records Management Program - Activities**

**CORE QUESTION.** 1.Has your agency assigned records management responsibility to a person with appropriate authority within the agency to coordinate and oversee implementation of the agency’s comprehensive records and information management program? **(36 CFR 1220.34(a))**

Yes

No

2.If Yes: Please the person’s name, their position title, and office.

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

Yes

No

**CORE QUESTION.** 4**.** If Yes:Whenwas your agency’s directive(s) last updated?

FY 2011 - present

FY 2009 - 2010

FY 2006 – 2008

FY 2005 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.**

**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 1220.34d)**

Yes

No

No, micro agency\*

*\*Micro agencies are agencies that have less than 100 employees*

**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 classroom or distance-based, 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 an internal training curriculum, based on agency policies and directives, for employees assigned records management responsibilities?These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. **(36 CFR 1220.34(f))**

Yes

No

No, micro agency\*

*\*Micro agencies are agencies that have less than 100 employees*

6a. If Yes: Please send a copy of your training curriculum for employees assigned records management responsibilities to rmselfassessment@nara.gov.

7. If Yes:Please state the number of employees assigned records management responsibilities trained during FY 2011.

**NOTE:** Do not include the number of employees who attended NARA’s records management training workshops, whether the workshops were part of NARA’s standard or customized training curriculum for your agency, in your answer.

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))**

Yes

No

No, micro agency\*

*\*Micro agencies are agencies that have less than 100 employees*

8a**.** If Yes: Please send a copy of your records management training curriculum for all staff and contractors to rmselfassessment@nara.gov.

9. If Yes:Please state the number of your agency’s employees and contractors trained during FY 2011?

**NOTE:** Do not include the number of employees who attended NARA’s records management training workshops, whether the workshops were part of NARA’s standard or customized training curriculum for your agency, in your answer.

Employees\_\_\_\_\_\_\_\_\_

Contractors\_\_\_\_\_\_\_\_\_\_\_

**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 officials 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 that the following objectives are being achieved: 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), General Accountability Office standards document, November 1999, available via http://www.gao.gov/products/AIMD-00-21.3.1**

**In other words, internal controls are ongoing tasks and activities (training, oversight, reviewing, analyzing, reporting, and measuring) that your agency’s records management program performs that help it assess whether the program is effective.**

**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

11a. If Yes: Describe in detail the internal controls your agency’s records management program has implemented to ensure that all eligible permanent records in all media are transferred to NARA according to your agency’s records schedules. Include in your description how these controls are tested for effectiveness as well as how frequently they are tested.

**CORE QUESTION.** 12. 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))**

**NOTE:** 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

12a. If Yes: Describe in detail the internal controls your agency’s records management program has implemented to ensure that Federal records are not destroyed before the end of their retention period. Include in your description how these controls are tested for effectiveness as well as how frequently they are tested.

**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.** 13. Does your agency conduct evaluations/inspections/audits of its records management program, or an element of the program (e.g, records scheduling, records management training) to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? **(36 CFR 1220.34(j))**

Yes

No

No, micro agency\*

*\*Micro agencies are agencies that have less than 100 employees*

**CORE QUESTION.** 14. If Yes:When was the most recent evaluation/inspection/audit conducted?

Less than 1 year ago

1 – 3 years ago

3 – 5 years ago

More than 5 years ago

Do not know

15. Was a written report prepared after the evaluation/inspection/audit was completed?

Yes

No

Do not know

15a.If Yes: Please send a copy of any such evaluation/inspection/audit (whether conducted by your OIG, independent contractor, or program staff) report to rmselfassessment@nara.gov.

If the evaluation/inspection/audit was completed prior to FY 2011, please include a list of evaluation/inspection/audit recommendations that remain open and their expected completion date.

**NOTE:** The report must include the dates of the evaluation/inspection/audit. Edited reports will be accepted if they contain sufficient information for NARA to assess their contents.

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

**Performance goals are the end-state outcomes your agency’s records management program wants to achieve for a fiscal year. They are the target levels of performance expressed as a measurable objective, against which actual achievement can be compared.**

**(“Performance Measurement Challenges and Strategies”, June 18, 2003, white paper associated with the Office of Management and Budget’s Program Assessment Rating Tool (PART), available via http://www.whitehouse.gov/sites/default/files/omb/part/challenges\_strategies.pdf)**

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

Yes

No

Currently under development

16a. Please send a copy of performance goals for your agency’s records management program to rmselfassessment@nara.gov.

**Performance measures are the indicators or metrics against which program performance can be gauged.**

**(“Performance Measurement Challenges and Strategies”, June 18, 2003, white paper associated with the Office of Management and Budget’s Program Assessment Rating Tool (PART), available via http://www.whitehouse.gov/sites/default/files/omb/part/challenges\_strategies.pdf)**

**CORE QUESTION.** 17.Has your agency’s records management program identified 3 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

17a.If Yes:Please send a copy of your agency’s records management performance measures to rmselfassessment@nara.gov.

18.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

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

Yes

No

Do not know

**CORE QUESTION.** 20. How often does your agency review and update its vital records inventory? **(36 CFR 1223.14)**

Annually

Every 1 - 3 years

Every 4 - 6 years

Never

Do not know

**CORE QUESTION.** 21. Is your vital records plan part of your agency’s Continuity of Operations (COOP) plan?

Yes

No

Do not know

Additional comments. (Optional)

**Records Management Program - Records Disposition**

**A NARA-approved records schedule is one that has been signed by the Archivist of the United States.**

**CORE QUESTION.** 22. As required by your agency’s NARA-approved schedule, does your agency transfer eligiblepermanent non-electronic records to the National Archives via a signed SF-258\* or approved for transfer in ERA\*\*? **(36 CFR 1235.12)**

\**Standard Form 258: Agreement to Transfer Records to the National Archives of the United States*

*\*\*Electronic Records Archives*

Yes

No, please explain \_\_\_\_\_\_\_\_\_\_

Do not know

22a.If Yes:Please send a PDF copy of your agency’s most recent signed SF-258, or the Transfer Request (TR) number if the records were transferred in ERA, to rmselfassessment@nara.gov.

**CORE QUESTION.** 23.As required by your agency’s NARA-approved schedule, does your agency transfer its eligiblepermanent electronic records to the National Archives via a signed SF-258\* or approved for transfer in ERA\*\*? **(36 CFR 1235.12)**

\**Standard Form 258: Agreement to Transfer Records to the National Archives of the United States*

*\*\*Electronic Records Archives*

Yes

No, please explain \_\_\_\_\_\_\_ \_\_\_\_

Do not know

23a**.** If Yes: Please provide a PDF copy of your agency’s most recent signed SF-258, or the Transfer Request (TR) number if they were transferred in ERA to rmselfassessment@nara.gov.

**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.** 24. 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

**CORE QUESTION.** 25. If Yes: Are the exit briefings documented for purposes of accountability?

Yes

No

Do not know

**CORE QUESTION.** 26.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

Do not know

Additional comments. (Optional)

**Records Management Program - Electronic Records**

**An electronic information system is an automated system that contains and provides access to Federal records and other information—it captures (creates) information, but does not manage information through the lifecycle. (NARA records management training class: *Electronic Records Management*, Module 1)**

**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.** 27.Has your agency incorporated/integrated 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

**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.)**

**CORE QUESTION.** 28. Does your agency have procedures for migrating 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

**CORE QUESTION.** 29. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is/is not covered by an approved NARA disposition authority? **(36 CFR 1236.26 (a))**

Yes

No

Do not know

29a**.** If Yes: Please send a copy of your agency’s most recent inventory of electronic information systems with the applicable disposition information to rmselfassessment@nara.gov.

**NOTE:** The copy you submit must include the date the inventory was last updated.

**CORE QUESTION.** 30. 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

Do not know

31. If Yes: Describe in detail how your agency ensures that records management functionality is incorporated into the design, development, and implementation of electronic information systems.

**CORE QUESTION.** 32. Does your agency’s records management program staff participate in the design, development, and implementation of new electronic information systems? **(36 CFR 1236.12)**

Yes

No, please explain \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Do not know

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

**NOTE:** This training must be internal to your agency. NARA's records management training workshops, whether the workshops were part of NARA's standard curriculum or customized by NARA for your agency, should not be considered internal training.

Yes

No

No, micro agency\*

Do not know

*\*Micro agencies are agencies that have less than 100 employees*

**Electronic mail system means 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.** 34.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(c), and** **GRS 23, (7))**

Yes

No

Do not know

34a.If Yes: Please send a copy of your agency’s policies and procedures for handling email records that have a retention period longer than 180 days to rmselfassessment@nara.gov.

**CORE QUESTION.** 35.Does your agency audit staff compliance with the agency’s email preservation policies?

Yes

No

Do not know

**CORE QUESTION.** 36.If Yes: How often does your agency audit staff compliance to the agency’s email preservation policies?

Every 6 months

Every year

Every 2 years

Less frequently than every 2 years

Do not know

**CORE QUESTION.** 37.Has your agency developed internal, staff-wide training based on agency policies and directives, on the retention and management of email records?

**NOTE:** This training must be internal to your agency. Reliance on NARA's records management training workshops, whether the workshops were part of NARA's standard curriculum or customized by NARA for your agency, should not be considered internal training. **(36 CFR 1220.34(f))**

Yes

No

No, micro agency

Do not know

*\*Micro agencies are agencies that have less than 100 employees*

**CORE QUESTION.** 38. If Yes: Is this training mandatory for all staff, including contractor staff and senior officials?

Yes

No

Do not know

Additional comments. (Optional)

**Optional Questions.**

What are the major challenges you face managing and implementing your agency's records management program?

Have you undertaken any changes or initiatives to improve records management in your agency, that are not covered by the questions and your responses to the self-assessment.

Do you have any suggestions for how we can improve future Records Management Self-Assessments.

39. 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

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

Office of the General Counsel

Program Managers

Information Technology staff

Records Liaison Officers or similar

Administrative staff

Other (please be specific):

None

41. 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

**Please provide your contact information.**

Name:

Agency, Bureau, or Office:

Address:

Address 2:

City/Town:

State:

ZIP/Postal Code:

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 Officers’ Email Address

Records Officer’s Phone Number

NARA reserves the right to request additional information or a follow-up meeting to verify your responses. All documentation requested as part of this self-assessment should be sent to rmselfassessment@nara.gov.

Thank you for completing the FY 2011 Records Management Self-Assessment! If you have any questions about the self-assessment, please contact Stephanie Fawcett at rmselfassessment@nara.gov, or call (781) 663-0124.