

1. Choose which of these levels best describes the state of your email policies? .

#	Answer	Bar	Response	%
1	No email policies; relevant stakeholders have not been identified; senior level email is not managed in any way; and there are no policies related to loss of email records.		0	0%
2	Email policies are being drafted; there is general awareness of the roles and responsibilities; and awareness of the threat of loss of email records.		0	0%
3	Email policies address general use of email only; relevant stakeholders, including the CIO, Records Managers, and General Counsel, have been identified; roles and responsibilities for email management have been defined; and there is an awareness of the threat of loss of email records.		0	0%
4	Email policies have been developed and disseminated; stakeholders including the CIO, Records Managers, and General Counsel are involved in making policy and other decisions regarding email; there are policies governing holds on email records or accounts; and there are policies and procedures protecting against loss of email records.		1	100%
5	Email policies are in place and implemented throughout the agency; all staff (including senior staff) have been trained on their roles and responsibilities for managing email; policies include use of personal or non-official email accounts; records management staff and/or Inspector General perform periodic audits of email policies to ensure proper use and implementation; and annual mandatory RIM and Information Security training includes roles and responsibilities regarding email.		0	0%
Total			1	

2. Comments on Q1 (Optional)

ext Response

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

#	Answer	Bar	Response	%
1	Email is managed in disparate systems; email is managed by the end user; and no retention applied.		0	0%
2	Systems retain temporary email records up to 180 days only; and print and file is main method of preservation for email.		0	0%
3	Some centralized administration of email systems; limited identification of permanent email; and email is manually managed by the end user based on retention schedules.		0	0%
4	Administration of email systems is specifically assigned; temporary and permanent email categories identified; system under development to handle implementation of agency policies and lifecycle management; and electronic retention is the main method for the preservation of email.		0	0%
5	Email systems manage and preserve email in electronic format; limited end user input needed to apply proper retention, access, and disposition policies; permanent email identified and managed; email systems maintain the content, context, and structure of the records; and email records are associated with their creator.		1	100%
Total			1	

4. Comments on Q2 (Optional)

ext Response

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

#	Answer	Bar	Response	%
1	There is no attempt to determine whether or not email can be accessed beyond immediate business needs; there is no management of email of departed employees; producing email for requests is difficult, costly, and not always feasible; agency has multiple email systems that do not relate to each other and are not searchable across multiple accounts or systems; little or no safeguards in place for unauthorized access, unintentional modification, or destruction; no defined processes for maintaining records making access and retrieval difficult; processes are performed in an ad hoc manner; and no formal definition or classification of email records.		0	0%
2	Email records are retrievable through system back-ups or other means; there is minimal management of email of departed employees; producing email for requests is achievable but time consuming and costly; limited training or other awareness of security of email; and processes for maintaining email records are starting to be standardized agency-wide.		0	0%
3	Email records are included in a draft retention schedule pending approval; email of departing employees is maintained until someone can review; formal processes exist in order for records to be accessed and retrieved in a timely manner; standardized RIM lifecycle processes have been developed across the agency making access and retrieval of email records more reliable; and standardized processes for access and retrieval are beginning to be promulgated across the agency.		0	0%
4	Email is retrievable during normal course of business; the email system has procedures for providing reference and responses for email requests; security and privacy protocols are included in the system; processes for the identification and classification of email records are standardized across the agency, making access and retrieval reliable; and records are usually accessed and retrieved in a timely manner.		0	0%
5	Email is fully retrievable for requests; email review, preservation, and disposition is embedded into the processes for departing employees; records management controls are built into the email system to prevent unauthorized access, modification, or destruction; processes for the identification and classification of email records are documented and integrated with agency business and mission at the strategic level.		1	100%
Total			1	

6. Comments on Q (Optional)

ext Response

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

#	Answer	Bar	Response	%
1	There is no retention schedule specifically covering email; disposition of email is not being done; and permanent email records have not been identified.		0	0%
2	Beginning to work with NARA to create retention schedule specifically covering email; disposition of email is handled haphazardly by the end user; and there is some identification of permanent and temporary email records		0	0%
3	Retention schedule covering email in draft but not approved; and disposition of email is handled with limited training for the end user.		0	0%
4	Retention schedule covering email is approved by NARA; end users are trained to oversee the disposition of email records; and permanent records are identified and maintained until transfer to NARA.		0	0%
5	Retention schedule covering email has been approved by NARA; retention schedules are built into email management systems; permanent records are identified and captured by email management systems; and permanent records can be or have been successfully transferred to NARA.		1	100%
Total			1	

8. Comments on Q4 (Optional)

ext Response

9. Please enter your contact information below.

Last Name:	Job title:	Agency:	Component Agency/Office/Bureau:	Email Address:	First Name:
Swan	Records Officer	Commerce	NTIS	LSWAN@NTIS.GOV	Linda

10. otal

Value	otal
15	1

11. Maturity

Value	otal
3.75	1

12. otal

Statistic	Value
Mean Score	15.00
Score Standard Deviation	0.00
Weighted Mean of Items	3.75
Weighted Standard Deviation of Items	0.50
Items	4.00