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Federal Agency Records Management 2016 Annual Report

Senior Agency Official for Records Management Report
Federal Email Management Report
Records Management Self-Assessment

National Archives and Records Administration
REVISED October 2, 2017

FOREWORD

One of the National Archives and Records Administration's most important responsibilities is to report on the state of Federal records management. Effective records management programs in Federal agencies ensure the preservation of and access to permanently valuable records of the Federal Government.

The *Managing Government Records Directive* (M-12-18), jointly issued by the Office of Management and Budget (OMB) and the National Archives and Records Administration (NARA) on August 24, 2012, requires Federal agencies to appoint a Senior Agency Official for Records Management (SAORM). As part of their responsibilities, these officials provide strategic direction and resources to ensure the success of all aspects of their agency's records management program.

One of their most visible responsibilities is to report on progress in meeting the Directive's goals and actions, as well as other aspects of their records management program, to the Chief Records Officer for the U.S. Government. This year, we required Federal agencies to submit three reports: the annual SAORM Report, the annual Records Management Self-Assessment (RMSA), and a supplemental Federal Email Management Report.

We continue to demonstrate our ongoing commitment to open government by posting the SAORM and Federal Email Management reports on our website at <https://www.archives.gov/records-mgmt/resources/inspections.html>. In addition to making the reports available online, we reviewed these individual reports and the RMSA results looking for trends and progress. This 2016 Federal Records Management Report contains the results of our review.

Overall, the great majority of Federal agencies reported they have met, or will meet, the major goals and actions outlined in the Directive. They are working towards successfully managing email electronically and are following recordkeeping requirements prescribed by Federal statutes and regulations. These are critical milestones to improving records management throughout the Federal Government.

However, there is still work to be done. The SAORMs in each agency must continue to lead and drive the change that needs to happen if we are to realize the Directive's complete vision of a fully digital and open Government.

DAVID S. FERRIERO
Archivist of the United States

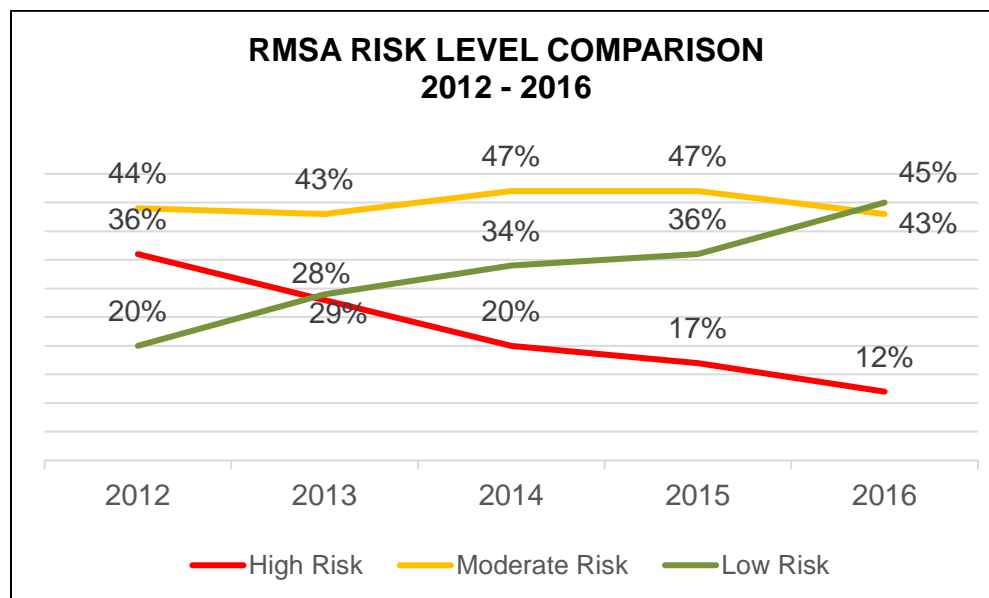
Executive Summary

This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA by Executive Branch agencies. A few Legislative and Judicial Branch agencies elected to participate in order to provide input and assess their own programs. Records Management is a continuous process and the state of the programs created by Federal agencies changes depending on governmental reorganization, technology improvements, changes in personnel, resources and other factors. By requiring annual reporting, NARA is able to capture information for a defined period and identify trends and common challenges. The data for this report covers CY 2016 information and activities with an additional special focus on email management.

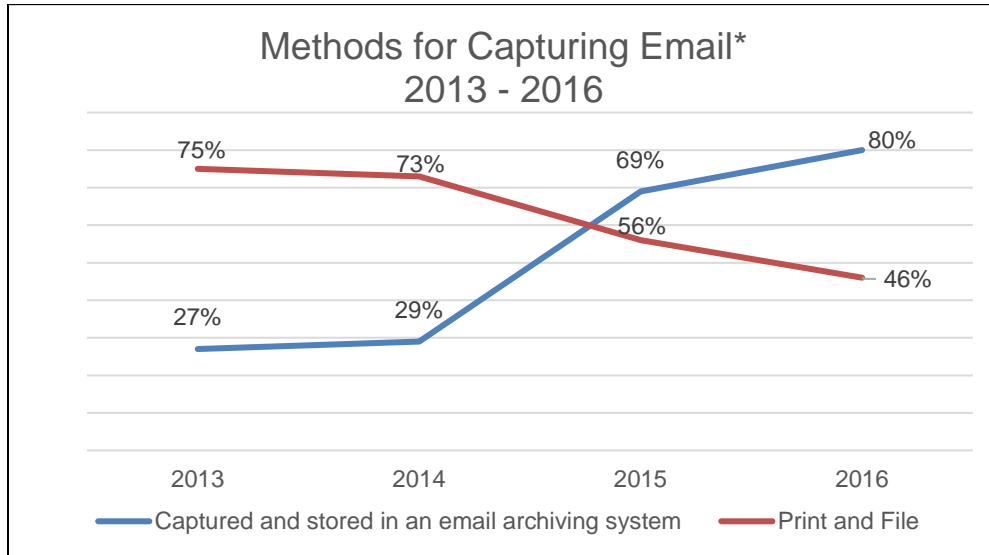
This year, NARA required three related but separate submissions: Senior Agency Official for Records Management (SAORM) Report, Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA).

The data received this year by Federal agencies shows progress towards improving records management and strengthening electronic records and email management throughout the Federal Government. Key points found include:

- Overall records management programs continue to improve through active involvement in information management processes and decisions; enhanced policies and directives, and increased awareness and outreach programs. This year 45% of agencies scored in the low risk category representing a 9-point increase from 2015. Gradual overall improvement in compliance with Federal records management statutes and regulations continues as seen in prior RMSAs.



- Seventy-nine (79) percent of agencies report meeting the *OMB/NARA Managing Government Record Directive* (M-12-18) target to manage all email in electronic format by December 31, 2016. The remaining 21% report progress.
- Ninety-eight (98) percent of agencies are optimistic about meeting the goal to manage all permanent electronic records in electronic format by December 31, 2019.
- Eighty-six (86) percent of agencies are in the low to moderate risk categories, which means they are managing email of effectively.
- Printing and filing as a method of capturing email continues to decline as indicated. The chart below illustrates the shift from print and file to email archiving from 2013-2016.



*Percentages will not add up to 100%. There were other choices in this question not represented in this graph. Respondents could pick more than one option if they were using more than one. (See Appendix IV)

This following report provides a detailed analysis and appendices of the data received this year. We also make a variety of overall recommendations for agencies to consider.

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INTRODUCTION

The National Archives and Records Administration (NARA) is responsible for overseeing and reporting to Congress on the state of Federal records management. NARA accomplishes this responsibility in part by requiring all Federal agencies to submit annual reports to the Office of the Chief Records Officer for the U.S. Government. This year we required three submissions:

- Senior Agency Official for Records Management (SAORM) Report – This submission included responses from high-level officials about the progress of their agency or agencies towards the targets and requirements in the *Managing Government Records Directive* (M-12-18), jointly issued by the Office of Management and Budget (OMB) and the National Archives and Records Administration (NARA) on August 24, 2012.¹ This report has been required since 2013.
- Federal Email Management Report – With this submission, agency records officers assessed their individual agency's email management using a maturity model template based on the criteria we published in April 2016.² This is a new report in 2016.
- Annual Records Management Self-Assessment (RMSA) – Agency records officers provided an evaluation of their individual agency's compliance with Federal records management statutes, regulations and program functions. This report has been required since 2010.

This annual reporting is mandatory for all Federal agencies in the Executive Branch. A few Legislative and Judicial Branches agencies voluntarily participate. Of the 110 agencies with designated SAORMs, we received 100 SAORM reports, representing a 91% response rate. We received a 100% response rate for the Federal Email Management Reports and the RMSA.

METHODOLOGY

All information is self-reported data by Federal agencies to NARA. NARA provides the methodology for creating and transmitting the responses.

- SAORM Reports – NARA provided a six-question template designed to elicit information from a senior management perspective to those agencies that have a SAORM. Individual SAORM reports are available online: <https://www.archives.gov/records-mgmt/agency/sao-reporting-2016>.
- Federal Email Management Report – Using an online survey tool, NARA distributed to Executive Branch Departments, their components, and Federal agencies a maturity model for successfully managing email. A few Judicial and Legislative Branch agencies voluntarily participated as well. Agencies chose the level that best describes the current

¹ <https://www.archives.gov/files/records-mgmt/m-12-18.pdf>.

² <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>.

state of email management and received a numerical maturity score. Individual email reports are available online: <https://www.archives.gov/records-mgmt/email-management/email-management-reports-2016>.

- **RMSA** – NARA used an online survey tool to gather responses to a set of scored and non-scored questions. The respondent list for the RMSA is the same as the Federal Email Management Report. The individual RMSA responses are not publicly available; however, individual numerical scores for each agency are included in Appendix V.

For more details on the scoring of the Federal Email Management Report and the RMSA, see Appendix I.

Each year, NARA validates selected answers to the RMSA to determine the accuracy of agency responses and to understand how agencies are interpreting the questions. This year, this process also included the Federal Email Management Report. The validation strategy is described in Appendix III.

Part I: Senior Agency Official for Records Management Reports

OVERVIEW

Successful records management programs require senior level support and visibility at the executive level to establish long-term goals and strategic initiatives to accomplish the goals of the OMB/NARA *Managing Government Records Directive* (M-12-18). The purpose of M-12-18, also known as the Directive, was to transform recordkeeping in the Federal Government from a reliance on paper records towards a modern and digital government. The Directive set forth a variety of targets for both NARA and agencies to accomplish between 2012 and 2019. Two important targets, managing all email in electronic format and retention scheduling for all unscheduled records were due by December 31, 2016. Therefore, the template for the 2016 SAORM annual report changed from progress towards these targets to achievement of them. The report continued to ask about progress towards managing permanent electronic records in electronic format by December 31, 2019. The other remaining two questions gathered information about digitization of permanent non-electronic records and implementation of records management requirements under the OMB Circular A-130, *Managing Information as a Strategic Resource*. (Revised, July 2016)³ The Federal Email Management Report and RMSA also asked questions related to these Directive targets.

SAORM REPORT TEMPLATE

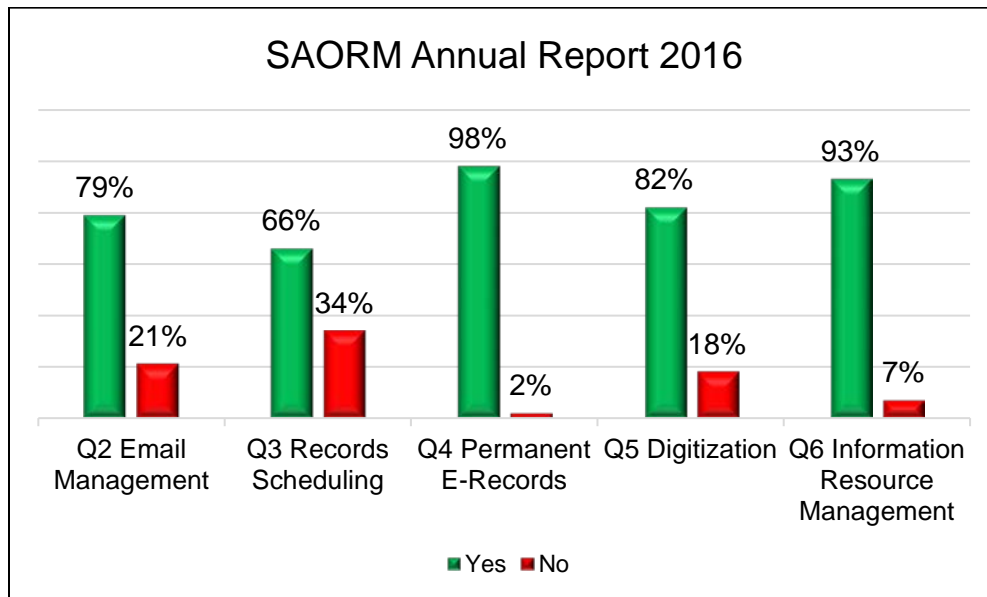
The 2016 SAORM Report template consisted of the following six questions. The topics covered by questions five and six were new in 2016. For access to each agency's SAORM Report submission, please see <https://www.archives.gov/records-mgmt/agency/sao-reporting>.

1. Identify the agency and components covered by the report.
2. Email Management: "Did your agency and components meet the M-12-18 target deadline to manage all email records in an electronic format by December 31, 2016?"
3. Records Retention Scheduling: "Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016?"
4. Permanent Electronic Records: "Is your agency and its components making progress towards meeting the M-12-18 target deadline to manage all permanent electronic records electronically?"
5. Digitization Efforts: "Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)?"
6. Information Resource Management: "Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resource management strategy in accordance with the revised OMB Circular A-130, *Managing Information as a Strategic Resource*? (OMB A-130 5.h, page 19)."

³ <https://obamawhitehouse.archives.gov/sites/default/files/omb/assets/OMB/circulars/a130/a130revised.pdf>.

DATA ANALYSIS

The figure below summarizes the responses from agencies to questions 2 through 6. The data indicate positive movement towards M-12-18 targets, digitization of non-electronic records, and the inclusion of records management in overall information resource management. There are some agencies reporting ‘No’ to both of the December 31, 2016 targets. These agencies did report progress, and indicate they are close to achieving the targets, or are working with NARA to get there.



Key Points

- Seventy-nine (79) percent of agencies reported they are now managing all email in an electronic format (i.e., they are no longer printing and filing emails).
- The majority of the twenty-one (21) percent who responded “no” indicated pending approval of their email management approach by NARA, or plan to submit their plan to NARA in 2017.
- Sixty-six (66) percent of agencies report they have records retention schedules covering all existing paper and non-electronic records.
- For the thirty-four (34) percent who report that they have not scheduled their records, the majority indicated that they were in progress, working with NARA, and will meet the goal by the end of 2017.
- Some smaller agencies reported that they did not have the resources required to meet the records scheduling requirement.
- Agencies are using M-12-18 as an opportunity to review records retention schedules and identify unscheduled records.

- Ninety-eight (98) percent of SAORMs stated they would meet the target to maintain permanent electronic records in electronic format by December 31, 2019. The details provided in the responses included:
 - Identification of electronic permanent records is still part of the process of meeting the goal.
 - More agencies are considering records management during the design of systems.
 - Most agencies have implemented electronic document management systems.
 - Electronic creation of records has diminished the need for printing.
 - There are concerns about long-term preservation and the cost of maintaining records before transferring them to NARA.
- Eighty-two (82) percent of agencies indicated that they are selectively scanning permanent records to facilitate reference or to reduce storage costs. Agencies not scanning said they do not have many permanent records still in hard copy or have decided that digitization was not cost effective.
- Ninety-three (93) percent of SAORMs indicated they were actively incorporating records management into information management strategic plans, design and development life cycles of new systems and including records management training for all staff.

PART I SUMMARY

Our analysis of the SAORM reporting data shows that M-12-18 is changing Federal records management from paper-intensive analog-based methods to a digital government as intended. As technology has and continues to improve, agencies are no longer printing and filing the majority of records. To determine if agencies are successfully managing these records still requires monitoring. The Federal Email Management Report maturity model and overall RMSA scores monitor this situation more closely than SAORM reports. However, the positive steps reported by the SAORMs indicate that records management is becoming a more strategic part of agencies overall information and asset management planning process.

SAORM REPORTS – NON-RESPONDING EXECUTIVE BRANCH AGENCIES

As previously noted, NARA received 100 out of 110 expected reports from agency SAORMs. The ten agencies that did not submit a report are listed below:

Ability One Commission
American Battle Monuments Commission (received after deadline)
Denali Commission
Department of the Treasury/Office of the Comptroller of the Currency
Federal Election Commission
Federal Labor Relations Authority
National Mediation Board
Presidio Trust
Udall Foundation
US Election Assistance Commission

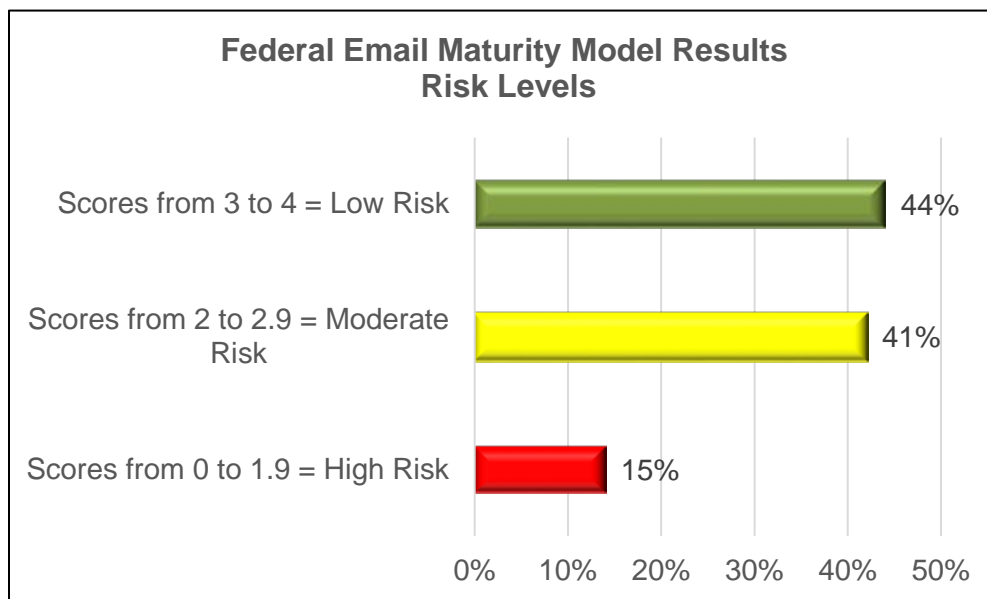
Part II: FEDERAL EMAIL MANAGEMENT REPORTS

In order to expand on the SAORM reporting data on email management and supplement general email practices data from RMSA, NARA required agencies to assess their email management policies and practices using a risk based maturity model. We designed a model based on the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*, published by NARA in April 2016.⁴ The criteria provide guidelines for the successful management of email records as demonstrated in agency policies, systems, access and disposition. The maturity model adds to the information from the SAORM report by showing how well agencies are managing email electronically and associating actual practices with a level of risk assigned to the maturity levels in the model. In addition, the data received through these reports provide insight into which agencies are at risk of non-compliance with the Directive’s 2016 email management target.

It is important to note that the maturity model was distributed to all Executive Branch agencies, including components agencies of Departments. This is a higher number of agencies than those responding to the SAORM reports; which accounts for differences in mathematical calculations between the two reports. It also provides more specific analysis of email management than the SAORM reports which only determined whether or not agencies are managing email in electronic format.

OVERVIEW

NARA used an online survey tool to gather information from 257 agencies through a maturity model specifically developed for this purpose. The maturity model provides five scenarios with progressively improving descriptions for each of the four domains -- policies, systems, access,



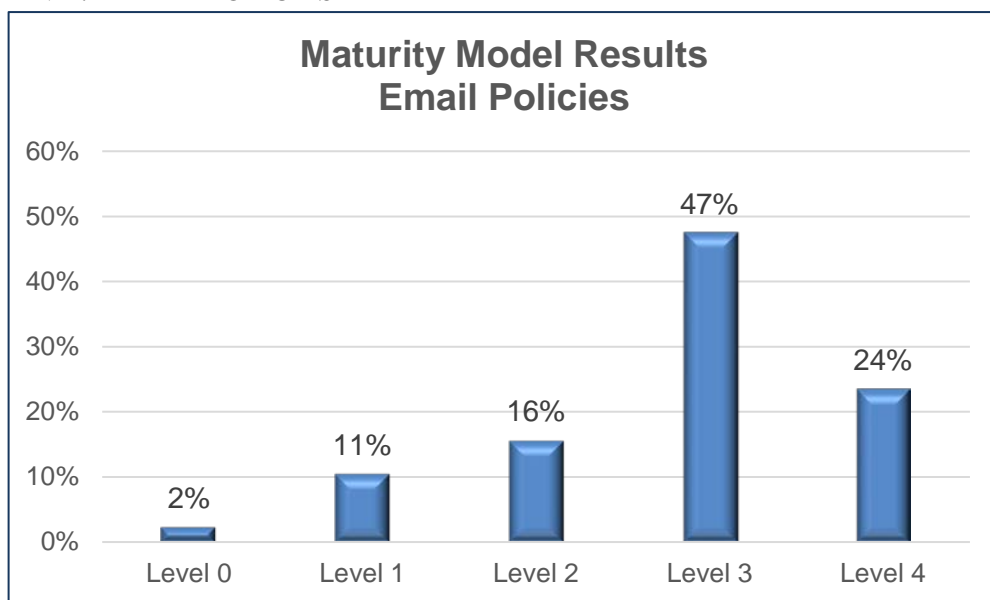
⁴ *Criteria for Managing Email Records in Compliance with M-12-18*, <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>.

and disposition. Agencies chose which scenario best describes their *current* state of email management. Comment boxes allowed for further information that the agency wished to provide. The results of the maturity model are on a scale of one to four, with four being the highest level of achievement. NARA assigned low, moderate, and high risk to successfully managing email based on the level of achievement. (For more complete information on scoring and risk levels, see Appendix I.)

DATA ANALYSIS

The figure above depicts the breakdown of the risk levels. The majority of agencies scored in the low and moderate risk categories indicating that email is being managed, but needs more attention. Twenty-one agencies (or 8%) rated themselves with a perfect score of 4.0.

DOMAIN 1: EMAIL POLICIES



For Domain 1, the success criteria state that agency-wide policies and training must inform account holders of their responsibilities for managing email records. Policies should be developed with all relevant stakeholders and should address the requirements of the Federal Records Act, regulation and guidance.

Most of the agencies reported a success Level 3, which means that:

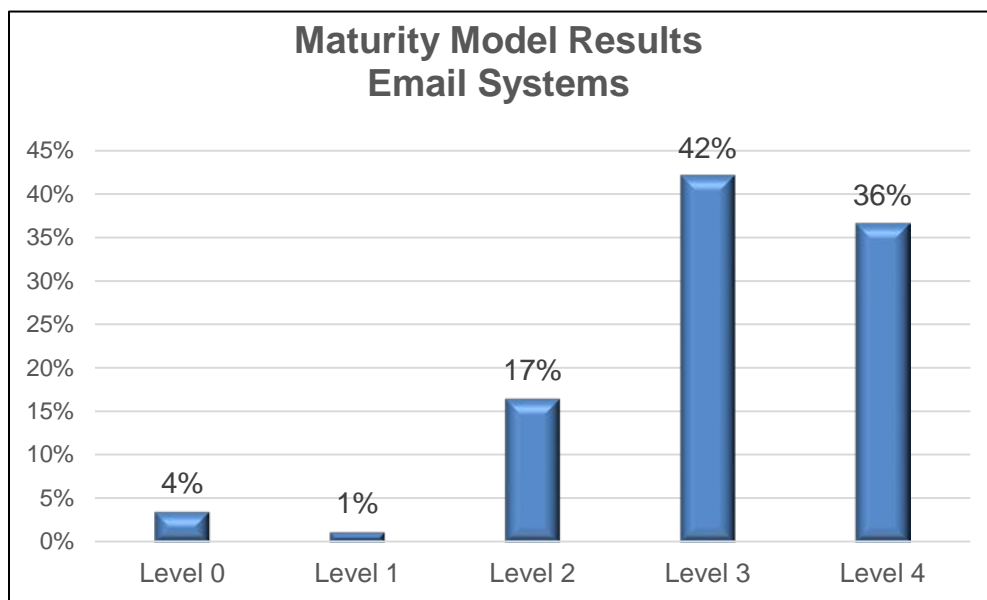
- Email policies have been developed and disseminated.
- Stakeholders including the CIO, Records Managers, and General Counsel are involved in making policy and other decisions regarding email.
- There are policies governing holds on email records or accounts.
- There are policies and procedures protecting against loss of email records.

To reach success Level 4 for email policies, agencies need to meet the following:

- Email policies are in place and practiced 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 the Inspector General perform periodic audits of email policies to ensure proper use and implementation.
- Annual mandatory RIM and Information Security training includes roles and responsibilities regarding email.

DOMAIN 2: EMAIL SYSTEMS

For Domain 2, the success criteria for email systems state that agencies must have systems in place that can produce, manage, and preserve email records in an acceptable electronic format until disposition can be executed. Additionally, systems must support the implementation of agency policies and provide access to email records throughout their lifecycle.



Most agencies reported a success Level 3, which means that:

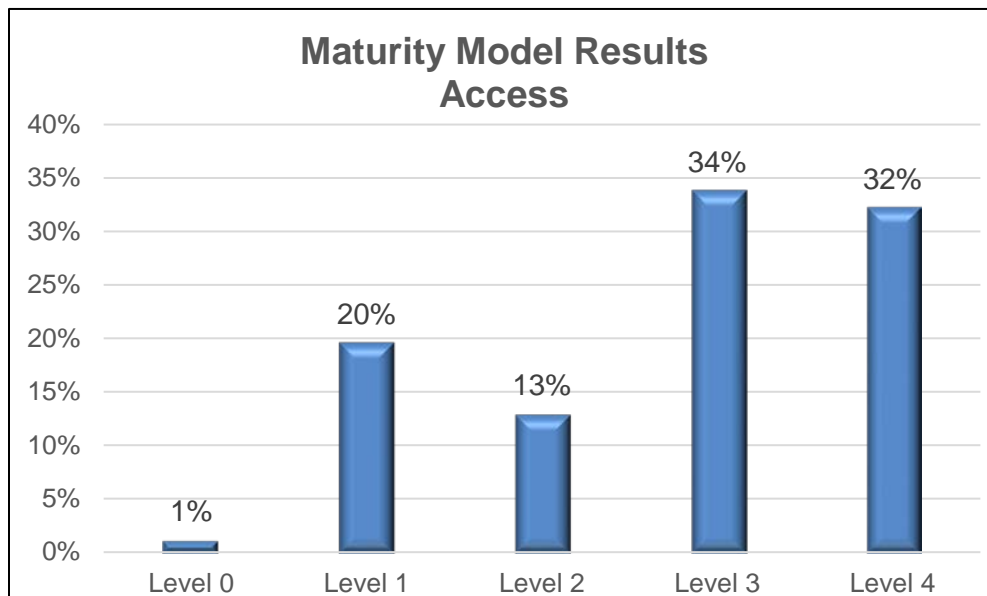
- Administration of email systems is specifically assigned.
- Temporary and permanent email categories are identified.
- Systems are under development to handle implementation of agency policies and lifecycle management.
- Electronic retention is the main method for the preservation of email.

Nearly as many agencies indicated a success Level 4, which means that:

- Email systems manage and preserve email in electronic format.
- Limited end user input is needed to apply proper retention, access and disposition policies.
- Permanent email is identified and managed.
- Email systems maintain the content, context, and structure of the records.
- Email records are associated with their creator.

DOMAIN 3: ACCESS TO EMAIL

For Domain 3, the success criteria for access states that email records must remain usable and retrievable throughout their lifecycle. Access supports an agency’s ability to carry out its business functions. Access should address internal agency needs and accommodate responses to requests for information.



Most agencies reported a success Level 3, which means that:

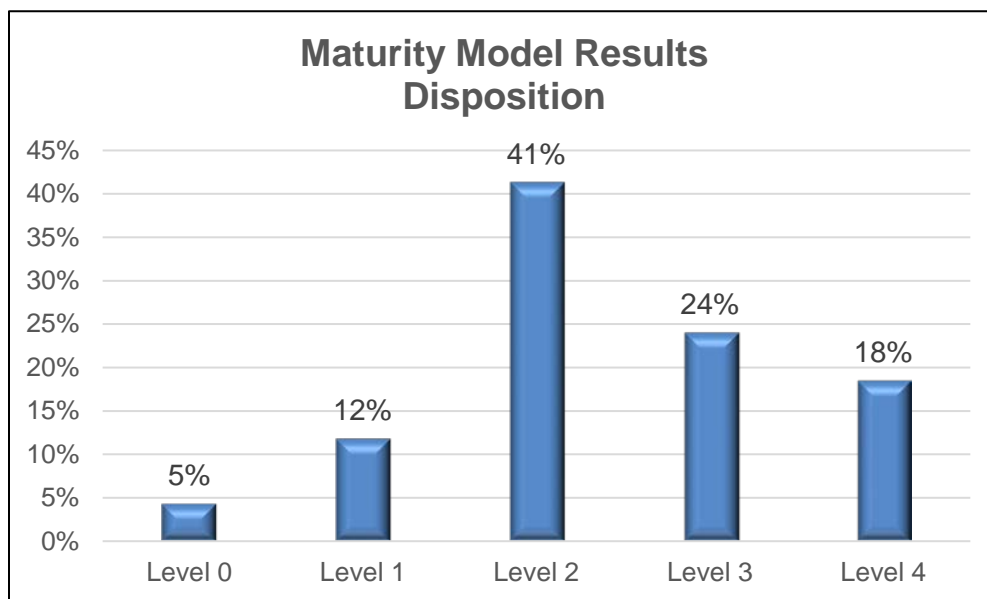
- Email is retrievable during the normal course of business.
- The email system has procedures for providing reference and responses for email requests.
- Security and privacy protocols are included in the system.
- Processes for the identification and classification of email records are standardized across the agency making access and retrieval reliable.
- Records are usually accessed and retrieved in a timely manner.

Nearly as many agencies indicated a success Level 4, which means that:

- 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.

DOMAIN 4: EMAIL DISPOSITION

For Domain 4, the success criteria for records retention scheduling and disposition of email state that 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. This area needs the most attention.



Most agencies reported a success Level 2, which means:

- Records retention schedules covering email are in draft but not approved.
- Disposition of email is handled with limited training for the end user.

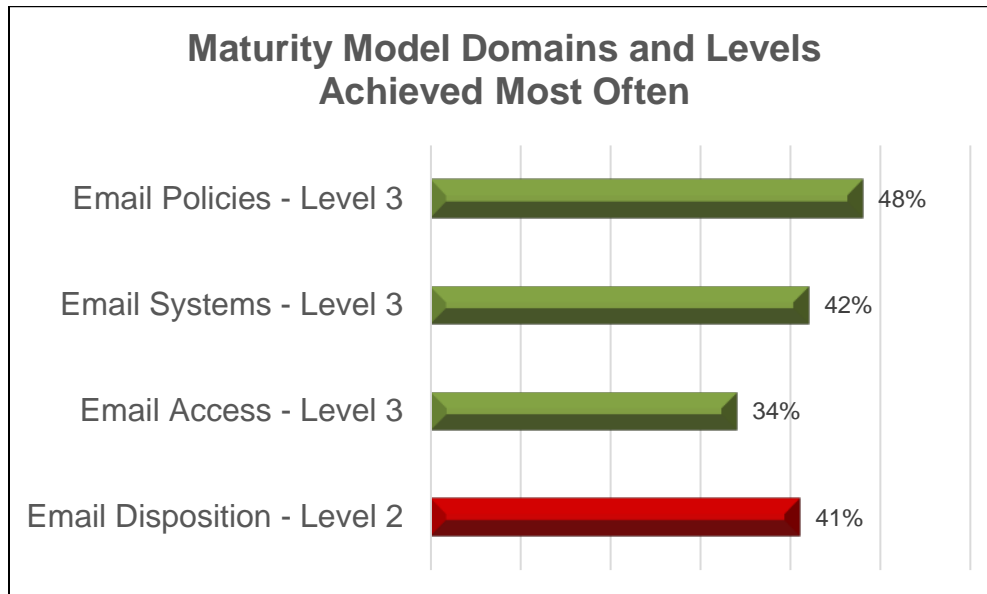
To reach success Level 4 for disposition agencies need to meet the following:

- NARA-approved records retention schedules covering emails.
- Records retention are built into email management systems.
- Permanent records are identified and captured by email management systems.
- Permanent records can be or have been successfully transferred to NARA.

Many agencies commented that they are working on the identification of Capstone officials and will be submitting the required requests for approval to NARA in 2017. However, some agencies indicated that they have done little or no records retention scheduling. This is concerning for several reasons. Configuring email systems without proper records scheduling may not effectively provide access to emails as needed for agency business needs, and permanent email records could be lost.

PART II SUMMARY

The maturity model based on the success criteria laid out a consistent way for agencies to view their email management and for NARA to compare programs regardless of agency size and complexity. Continued use of the model over time will measure whether the risk to email management decreases. In the meantime, the results from 2016 are a good indicator that agencies are no longer printing and filing to manage email, systems are in place to capture and preserve email records, access to stored email exists, and records retention scheduling is in progress but needs considerable more attention.



PART III: RECORDS MANAGEMENT SELF-ASSESSMENT

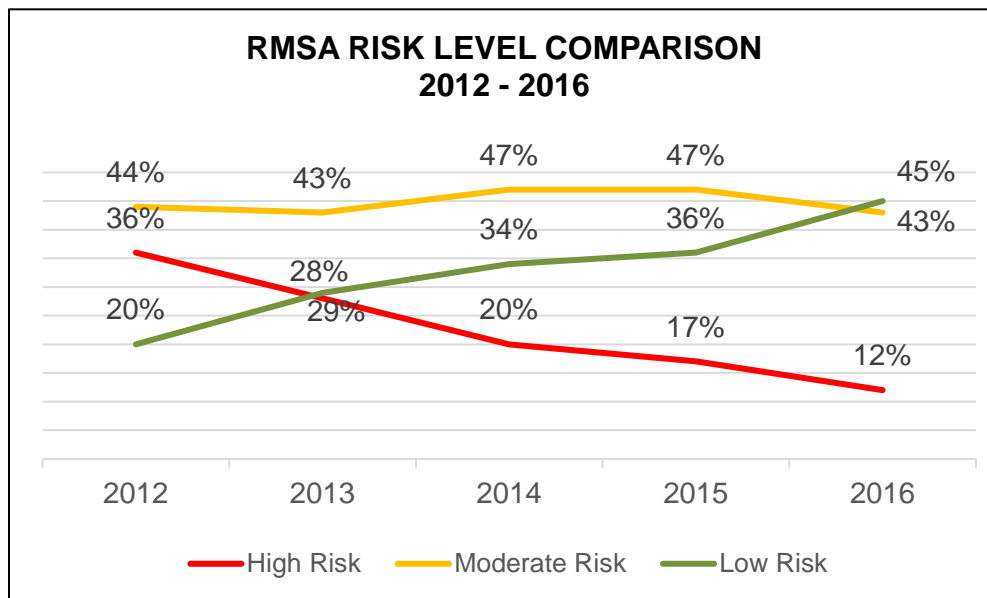
OVERVIEW

Records management statutes and regulations provide a framework for the proper management of records and information enabling accountability, transparency, and access. Compliance with this framework assures that agencies can document decisions and activities for their business and mission functions. Using a low, moderate, and high risk scale, the objective of the RMSA is to determine whether agencies are compliant with statutory and regulatory records management requirements. It also provides agencies with information they can use to measure their compliance and to target their resources to areas needing improvement. NARA conducts the RMSA, as well as inspections, assessments, and records management program reviews in its capacity as the oversight entity for Federal records management.

Agencies should use the results of the RMSA to analyze their records management programs and target areas for improvement. This year, 81% of agencies indicated that they use their RMSA scores to measure and improve their records management program.

DATA ANALYSIS

Through the RMSA, agencies have become increasingly familiar with how to comply with Federal records management regulations and have made improvements to their programs accordingly. Risk levels have gradually improved since 2012. This year 45% of agencies scored in the low risk category, 43% in the moderate risk, and 12% in the high risk. This is up considerably from 2015, when the risk category breakdown was 36% low risk, 47% moderate risk, and 17% high risk. It also marks the first time the percentage of agencies in the low risk category is higher than the moderate risk. Comparing 2015 and 2016 individual scores shows that 148 agencies (57%) scores went up, while 72 (28%) went down.



We recognize that self-reported data is not conclusive in determining whether agency staff and contractors are properly managing records in every case and every circumstance. Low risk does not indicate no risk. Scoring in the low risk category does not mean that an agency is free of records management challenges or that they will never experience lapses or failures when managing their records.

The following is an analysis of trends for each RMSA section. For comparison of risk levels per section, see Appendix II. For information on the validation process, see Appendix III. For statistics per question, see Appendix IV. For individual agency scores, see Appendix V.

SECTION ONE: RECORDS MANAGEMENT PROGRAM - ACTIVITIES

This section focuses on major records management program activities including organizational structure, policy, and training.

Trends

Agencies continue to have records officers and networks of staff assigned records management responsibilities. Agencies are regularly updating records management directives and conducting records management training.

Key Points

- Assigning a person with responsibility for program administration meets regulations, but there is a high rate of turnover.
- The majority of agencies (76%) have a records management training program, including training for new employees.

Program Administration – Regulations require agencies to have a person responsible for coordinating and overseeing the implementation of the records management program (36 CFR 1220.34(a), and practically all (99%) those responding to the RMSA comply with this regulation. However, less than half (46%) of those assigned this responsibility have held that position for 5 or more years, and 18% for less than a year.

Records Management Training – The majority of agencies (85%) indicate that they have internal records management training based on agency policies and directives for employees assigned records management responsibilities (36 CFR 1220.34(f)). Agencies interpret this as applying to their records management staff, records liaisons and support staff, who have records management assigned as a collateral duty. The same number report that all senior and appointed officials are required to receive training on the importance of appropriately managing records under their immediate control. Most agencies (76%) also report having mandatory internal, staff-wide records management training, based on agency policies and directives, covering records in all formats. The same number say this training is included as part of the on-boarding process for new employees. According to the validation process and inspections, agencies should do more tailoring to agency-specific policies and other information.

SECTION TWO: RECORDS MANAGEMENT PROGRAM - OVERSIGHT AND COMPLIANCE

This section examines how agencies monitor and assess the activities of their records management programs. Agencies are required to establish effective controls over the creation, maintenance, and disposition of records in all formats (44 U.S.C. Chapter 31 and 36 CFR 1220.30(c)(1)). In addition, OMB Circular A-123 requires agencies to develop and implement appropriate, cost-effective management controls for their programs and operations.⁵ Recent changes to OMB Circular A-130 also require agencies to include records management as part of managing information as a strategic resource.⁶ Conducting evaluations ensures successful implementation of records management policies, procedures, records retention schedules, and other aspects of the program. The RMSA occasionally asks questions related to other requirements impacted by records management.

Trends

Compared to previous years, agencies have improved oversight and compliance with increased use of internal controls and performance measures. The majority of agencies report conducting evaluations of records management program implementation.

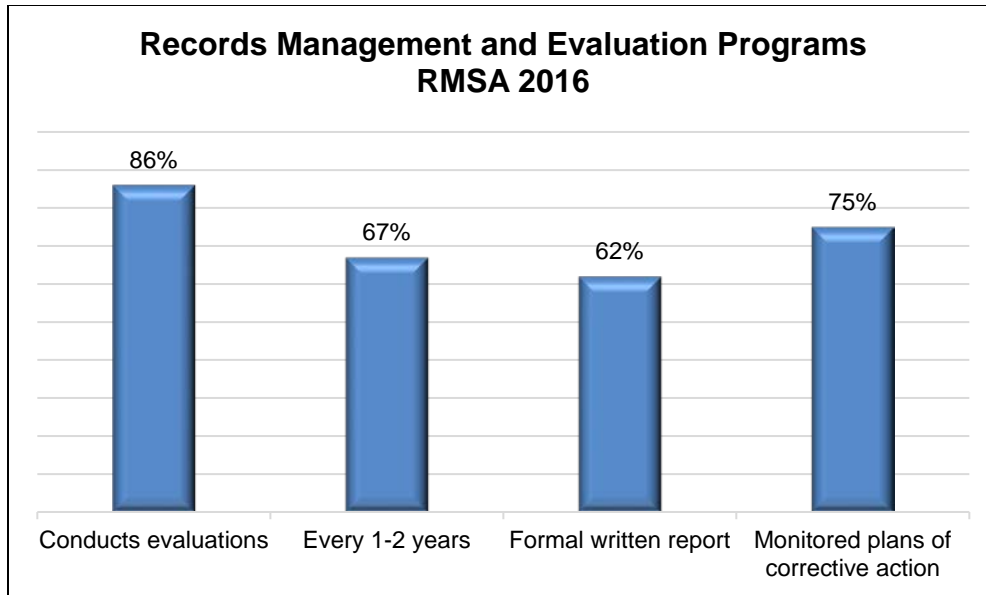
Key Points

- There is some level of evaluation of records management program implementation.
- Agencies have vital records programs, but do not update them regularly.
- Agency FOIA Officers report the ability to locate records when needed.

Evaluation Programs – 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 progress reporting for implementing recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit. (36 CFR 1220.18.) As shown in the chart below, those that said they evaluate their records management program (86%) also indicated that a major component is evaluated every 1 to 2 years; formal written reports are prepared; and plans of corrective action are created and monitored.

⁵ https://www.whitehouse.gov/omb/circulars_a123_rev.

⁶ <https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A130/a130revised.pdf>.



However, during onsite inspections and through the RMSA validation process, we have consistently found that this area needs more attention. The lack of regular, formal records management inspections as required by Federal regulations (36 CFR 1220.34(j)) has been noted in the majority of inspections NARA conducted in 2011-2017.⁷ Agencies are more likely to have informal processes that are not documented and do not have consistent follow-up activities.

Vital (Essential) Records – The protection of records and information in the event of accidents and disasters is an important part of any records management program. The identification of records needed to operate and recover from such events are vital or essential records. NARA’s requirements for agencies related to vital (essential) records are described in 36 CFR Part 1223.

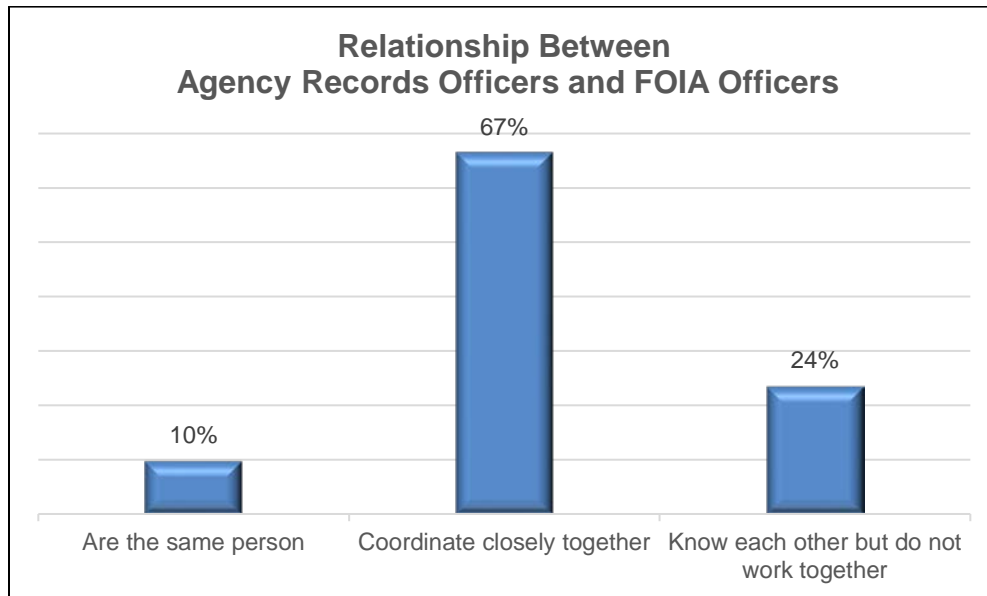
The majority of agencies:

- Have identified these records for all programs and administrative areas (84%), but only 60% regularly review and update this inventory;
- Identify and analyze internal and external risks to records and information to some extent, and have protection or mitigation policies in place (83% to 84%); and
- Include vital records as part of Continuity of Operations Plans (COOP).

Freedom of Information Act (FOIA) Programs – NARA’s Office of Government Information Services (OGIS) is charged with reviewing FOIA policies, procedures and compliance of Federal agencies. FOIA gives the public the right to request access to records from Federal agencies within the executive branch, independent regulatory agencies, and some components within the Executive Office of the President. The ability to find and provide records is essential to a

⁷ NARA inspection reports can be located at: <https://www.archives.gov/records-mgmt/resources/rm-inspections>.

successful FOIA program. FOIA and RM programs are usually separate within agencies; however, there should be a working relationship between the two. Agency Records Officers should use the ability of the FOIA program to locate information as one measure of effective records management implementation. In the RMSA, we found that FOIA and Records Officers work together and FOIA Officers felt they could find records responsive to FOIA requests as needed.



SECTION THREE: RECORDS MANAGEMENT PROGRAM – RECORDS DISPOSITION

This section focuses on the management of records throughout their lifecycle including access, records scheduling, records storage, the transfer of permanent records, and exit briefings for senior officials. Agencies with an effective records disposition program maintain current records schedules, ensure proper storage, and execute final disposition when records are eligible. NARA’s regulations at 36 CFR Part 1224 set policies and establish standards, procedures, and techniques for the disposition of all Federal records in accordance with 44 U.S.C. Chapters 21, 29, 31 and 33.

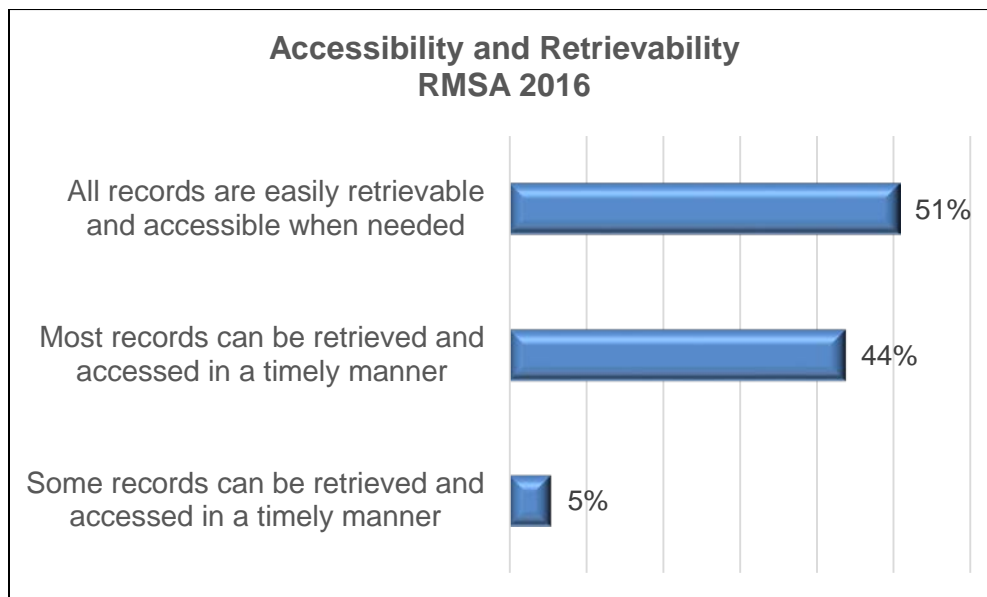
Trends

Agencies report they are able to locate records when needed. Disposition programs include records retention scheduling, transfers of permanent records to NARA, and exit briefings for senior officials to ensure that records management policies are followed and agency records are safeguarded from unauthorized removal.

Key Points

- The majority of agencies report they can easily retrieve and access records when needed.
- The rate of submission of records retention schedules is the same as previous years.
- The number of agencies reporting transferring records to NARA was down slightly, and transfers of permanent non-electronic records to NARA are greater than permanent electronic records.
- The number of agencies conducting and documenting exit briefings for departing senior officials decreased from 79 percent in 2015 to 73 percent in 2016.

Records Access and Retrieval – A new question for 2016 asked agencies to assess their ability to access and retrieve records and information. Half of agencies said that all records and information were easily retrievable and accessible when needed for agency business. The remaining agencies said most records were retrievable and accessible in a timely manner. A few said some records were retrievable and accessible in a timely manner. A few agencies said records were not retrievable and accessible or they did not know if either one was possible. This is an area of concern that bears watching over the next several years.

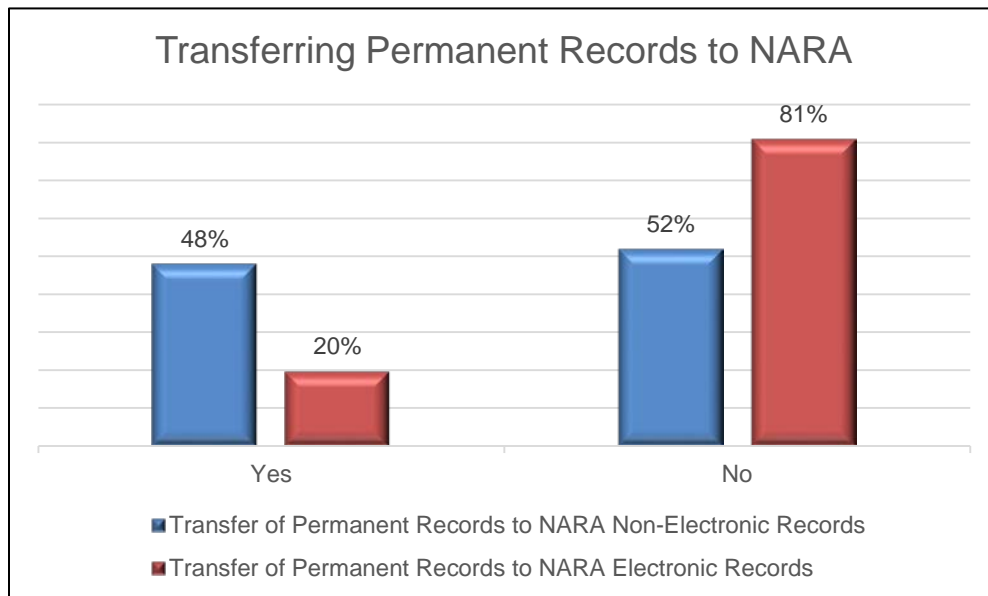


Records Schedules – Records scheduling is an area of concern in the SAORM and Federal Email Management Reports as highlighted by 37% of agencies not having submitted a records schedule to NARA in the past two years. For the RMSA this year, there was an expectation that the number of agencies submitting schedules would increase to meet the M-12-18 requirement to schedule records by December 31, 2016. However, the numbers remained almost the same as in 2015.

<i>When was the last time your agency submitted a records schedule to NARA? (Not scored)</i>			
2016 responses		2015 responses	
FY 2014-2016	63%	FY 2013-2015	63%
FY 2011-2013	14%	FY 2010-2012	13%
FY 2008-2010	9%	FY 2007-2009	8%
FY 2007 or earlier	3%	FY 2006 or earlier	11%
Do not know	3%	Do not know	5%

Permanent Records Transfers to NARA – There was little or no change in the number of agencies transferring permanent records in any format to NARA in 2016. There were fewer agencies transferring electronic records than non-electronic or paper records. Thirty-five (35) percent of agencies indicated that they did not have electronic records eligible for transfer. (See Appendix IV for complete statistics to this set of questions.) Other points of interest include:

- The rate of transfers of permanent non-electronic records (e.g., paper or other textual records) to NARA is more than twice that of permanent electronic records.
- Most agencies (85%) are tracking when records are eligible to transfer to NARA regardless of format, but only half of the agencies (53%) have a method for estimating the volume of permanent records electronic records maintained by the agency.
- Tracking methods include reliance on Federal Records Center notification and maintaining inventories and tracking databases, with some manual tracking.



Exit Briefings for Senior Officials – NARA’s regulations require that agencies conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of the records, including email under their immediate control (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a &b)).

- The majority of agencies (83%) indicated that they comply with these regulations.
 - Of these, 12% said they conducted briefings but did not document them.
 - The remaining 15% either do not conduct such briefings or did not know if such briefings were held.
- In addition, 84% said the Records Officer and/or SAORM are involved in exit briefings or other exit clearance processes for departing senior officials.
- Furthermore, 79% said that the exit or separation process for departing senior officials included records management staff or other designated officials who reviewed and approved the removal of personal files and copies of records.

SECTION FOUR: RECORDS MANAGEMENT PROGRAM – ELECTRONIC RECORDS

The ability to create and maintain information electronically increases the speed of access and often the accuracy of information; however, it creates challenges for preservation and access over time. As the reliance on and importance of electronic records grows, so does the need to understand how Federal agencies are managing them. The RMSA adds or removes non-scored questions to address changes in electronic records management issues.

Trends

Records management staff are increasingly part of the information management processes in their agencies. Email management is a high priority with print and filing decreasing. Based on the responses from agencies, the next challenge is managing electronic communication such as text messaging, chat, and other social media. A majority of agencies are implementing the Capstone approach for email.

Key Points

- There was incremental improvement in the incorporation and integration of records management controls in systems, and records management staff involvement with procedures for retiring systems.
- Policies and procedures exist for handling email, including those for the transfer of permanent email to NARA.
- Print and file has decreased as an option for capturing and preserving email in favor of storage in an electronic system.

- Only 30% of agencies have approved records schedules covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record.
- Over half (59%) of agencies have submitted Capstone schedules or verification forms (NA-1005) to NARA.

Electronic Information Systems Design and Migration – Comparisons with previous RMSAs show:

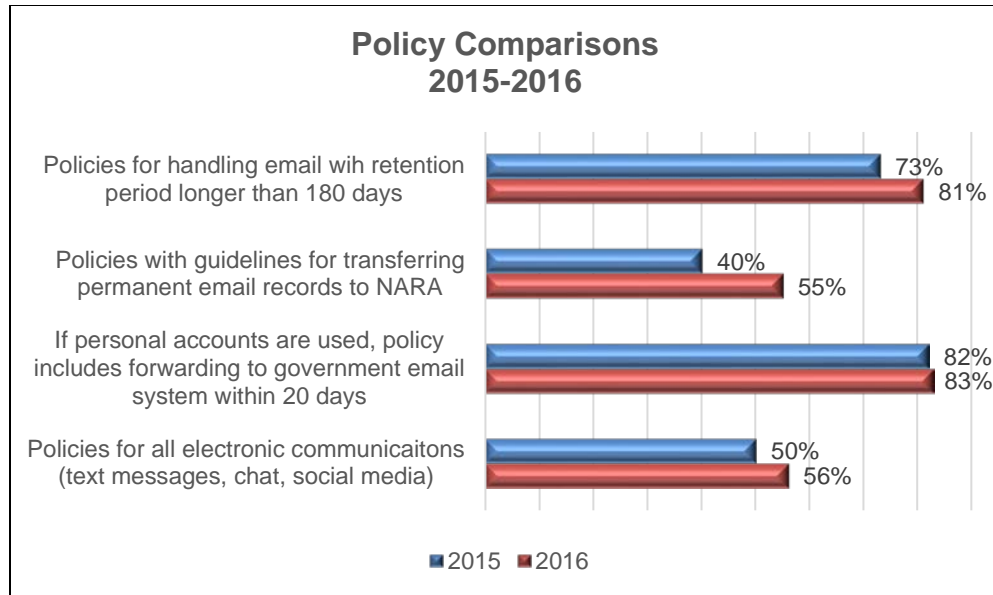
- An increase from 76% to 81% of agencies reporting incorporation of controls to ensure the reliability, integrity, authenticity, and usability of electronic records; the ability to migrate records when necessary; or ensuring the incorporation of records management functionality into the design, development, and implementation of electronic information systems (EIS) (36 CFR 1236).
- A slight decrease from 64% to 61% of agencies having documented and approved procedures to enable the migration of records and associated metadata.
- A slight increase from 69% to 71% of agencies having records management staff involved in developing procedures to ensure that records are properly migrated from retired systems (36 CFR 1235.20(b)(6)).

How records management staff participate varies but includes the following:

- Review and acceptance of proposals for new systems
- As stakeholder in requirements gathering
- As stakeholder in design phase
- As stakeholder in development phase including testing the system
- Provide sign off authority for the implementation of new systems
- Monitor system for adherence to standards, policies, and procedures
- Provide information only

RMSA Questions on Email Management – In previous RMSAs and as a follow up to the Federal Email Management Report, the 2016 RMSA asks several questions on email policies. This year, the RMSA collected data on the use of personal email accounts and overall disposition of email records including the transfer of permanent email to NARA. The RMSA also concentrated on access to email and other forms of electronic communications.

- The majority of agencies (75%) do not allow the use of personal email accounts to conduct official business.
- While there is some improvement in electronic communication policy, more attention is required.



Managing electronic communication beyond email will require agencies to update retention schedules, policies, and practices. Currently, only 30% of agencies have approved records schedules covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record.

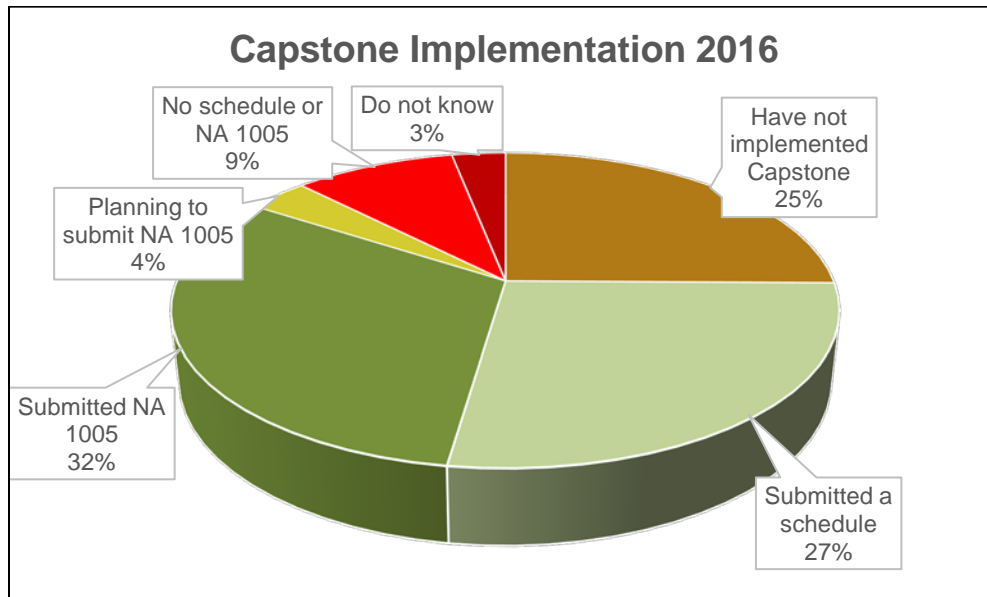
On the positive side:

- Ninety-four (94) percent of agencies can access email from departed employees in a usable manner.
- Ninety-one (91) percent are able to control unauthorized access, modification, or destruction of emails.

Capstone – Under 36 CFR 1236, Federal agencies have long been required to manage email as Federal records. With the issuance of M-12-18, agencies must now manage all email records in an accessible electronic format. The Capstone approach is one way of managing the overwhelming volume of email that Federal agencies produce. This method allows for the scheduling of email based on the role and/or position of the email account owner (NARA Bulletin 2013-02).⁸ The Capstone approach allows capturing permanent records from the accounts of officials at or near the top of an agency or an organizational subcomponent. The agency can then schedule the remaining email accounts as temporary and preserve them for a set period of time based on the agency’s business needs. To help agencies implement Capstone NARA created a General Records Schedule (GRS 6.1) for managing email under the Capstone

⁸ Guidance on a New Approach to Managing Email Records, <http://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html>.

approach that requires the submission to NARA of a verification form (NA-1005).⁹ This year the RMSA asked whether agencies have implemented Capstone by either submitting an agency-specific schedule or NA-1005. In 2015, the majority of agencies (79%) stated they would implement Capstone. This year, 59% of agencies have reported that they will adopt the Capstone approach. The results, as illustrated by the following graph, are encouraging.



SECTION FIVE: OTHER REQUIREMENTS IN THE DIRECTIVE (M-12-18)

The *Managing Government Records Directive* covers more than the SAORM and Federal Email Management Reports, so in this section, the RMSA asked agencies about the other aspects of M-12-18:

- Requirement 2.1 requires agencies to designate and reaffirm annually an SAORM. Almost all agencies (99%) report compliance. Of those agencies, 81% (205) responded that their Agency Records Officer (ARO) meets with the SAORM at least four or more times a year to discuss agency records management goals. This is almost a 10-percentage point increase from 2015 and a very promising increase of 15% since we first asked the question in 2014. This suggests that the SAORMs are more engaged in records management within agencies. However, on the downside, a quarter of SAORMs are not meeting regularly with their AROs.

⁹ General Records Schedules, www.archives.gov/records-mgmt/grs.html.

- Requirement 2.5 requires that the SAORM and ARO ensure submission of records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016. In the SAORM reports 66% of agencies said they met this goal. As a follow up question, the RMSA found that 44% of agencies submitted records retention schedules and received NARA approval by the deadline; 17% were pending NARA approval; the remaining 38% either have not scheduled all of their records or were still conducting inventories and other research with the intention of creating records retention schedules. The number of agencies with a method that continuously identifies new and unscheduled records increased dramatically to 87% from 79% last year.
- Section A4 of M-12-18 requires NARA to gather information regarding Federal agency use of cloud services. This year, 83% of agencies indicated they were using cloud services. This represents a continual increase from 76% last year and 68% that reported using cloud services in 2014. Of the agencies using the cloud, the majority of them use it for storing email and administrative records. While 69% of those using cloud services said their cloud initiatives incorporated recordkeeping requirements, 16% indicated that recordkeeping requirements were not included. Most concerning is that 16% responded that they did not know if recordkeeping requirements were being included.
- M-12-18 required the Office of Personnel Management (OPM) to establish a formal Federal General Schedule (GS) job series for records management to elevate records management roles, responsibilities, and skill sets for agency records officers and other records professionals. OPM accomplished this goal with the new Records and Information Management Series, 0308. Forty-seven percent of agencies said they intend to use the new series. The reasons for not using the job series varied. Some of these reasons include that records management was a collateral duty, or the agency did not use the GS job series as a whole.

PART III SUMMARY

Agencies of all sizes and missions are working to manage rapid technological changes to support mission and business needs, ever-increasing volumes of information, and high public expectations related to access of government information. It is imperative that NARA and the Federal records management community continue to work together. In order to do so, it is essential to identify areas of concern and discover solutions. The RMSA is just one compliance-centered metric. However, individual and collective results of the RMSA continue to raise the profile of records management and contribute to improved preservation and access to government information. Using this self-assessment, inspections, and other oversight activities, NARA will continue to monitor the modernization and improvement of Federal records management.

CONCLUSION AND RECOMMENDATIONS

Based on the combined data gathered from the SAORM Report, Federal Email Management Report, and 2016 RMSA, NARA recommends that:

- SAORMs must provide leadership for records management programs and ensure these programs are properly resourced and aligned with the agency's strategic information management plans.
- Agencies must continue to improve email management, particularly in the area of records retention scheduling and final disposition.
- SAORMs should meet regularly with their Agency Records Officer to establish performance goals for the records management program and to assess progress against the goals by reviewing performance measures.
- Agencies should conduct routine evaluations, assessments, and audits of the implementation of their records management program, and document their findings and results in a written report.
- Agencies must schedule all records in accordance with 36 CFR 1225.
- Agencies must provide targeted records management training to political appointees, senior agency officials, and senior executives upon their arrival and departure, and within three to six months prior to a presidential administration change. This may include conducting entry and exit interviews with your agency's records management staff, IT liaisons, and general counsel to ensure that records are preserved and protected." (NARA Bulletin 2017-01, 3F)
- Agencies must ensure departing senior agency officials receive briefings on records management responsibilities and, if applicable, require them to obtain approval before removing personal files or copies of records.
- Agency Records Officers should initiate and establish collaborative relationships with program managers, information technology staff, Inspectors General and with NARA experts to develop procedures for the transfer of permanently valuable electronic records to the National Archives.
- To ensure compliance, agencies must have policies and procedures in place, and training for staff on the retention of records created through electronic communications including text messages, chat, or other messaging platforms or applications, such as social media.
- Agencies must incorporate records management and archival functions into the design, development, and implementation of information systems in accordance with revised OMB Circular A-130, *Managing Information as a Strategic Resource*, and other guidance.

The need for records management is increasingly necessary for accountability and to allow agencies to create and retrieve information required to accomplish mission goals. NARA continues to recognize its role in the oversight of records management programs and is committed to working with Federal agencies to improve their programs.

Appendix I: Scoring and Risk Factors

Senior Agency Official for Records Management Report

The SAORM Report is an unscored report submitted by each agency SAORM. Individual reports are posted on NARA's website at <https://www.archives.gov/records-mgmt/agency/sao-reporting>.

Federal Email Management Maturity Model

A maturity model score is an average of points received divided by the number of questions. The email maturity model has four domains each with a total possible score of four.

- Domain 1: Email Policies
- Domain 2: Email Systems
- Domain 3: Access to Email
- Domain 4: Email Disposition

The total number of points possible is 16. The maximum maturity model score is four. Based on the maturity model score, NARA determined a level of risk for not managing email effectively.

- High Risk = score of 0 to 1.9
- Moderate Risk = score of 2 to 2.9
- Low Risk = score of 3 to 4.

Records Management Self-Assessment (RMSA)

The RMSA has four sections with scored questions. The other two sections do not have scored questions. There are 100 possible points distributed across the sections as follows:

Maximum Point Values (per section):

- Section 1. Records Management Program - Activities (29 points)
- Section 2. Records Management Program - Oversight and Compliance (31 points)
- Section 3. Records Management Program - Records Disposition (17 points)
- Section 4. Records Management Program - Electronic Records (23 points)
- Section 5. OMB/NARA Managing Government Records Directive
- Section 6: Demographics

An agency's overall score determines its risk category. The risk categories are:

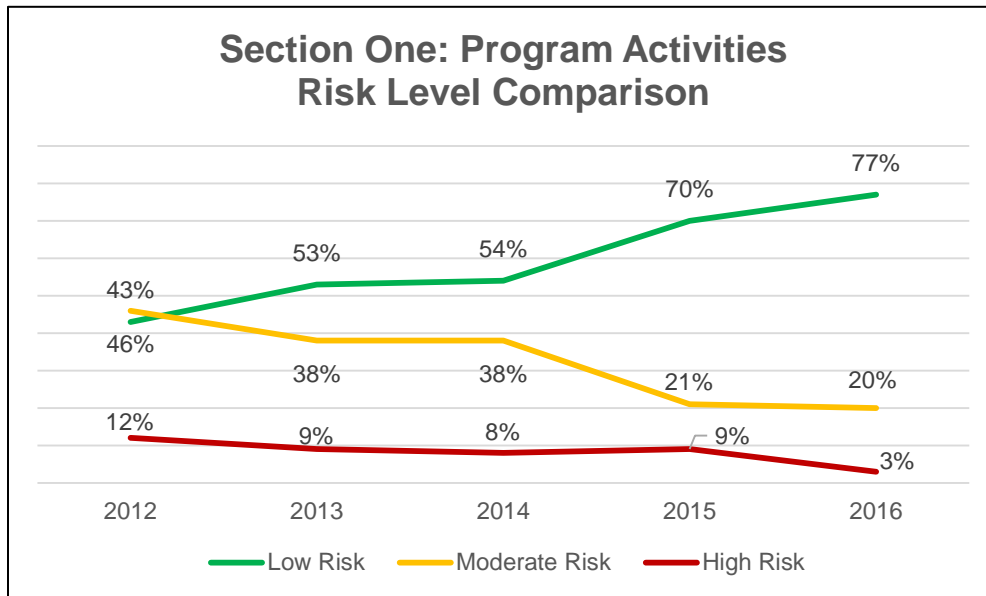
- Low Risk = scores 90 - 100
- Moderate Risk = scores 60 - 89
- High Risk = scores 0 - 59

Appendix II: RMSA Section Statistics and Risk Level Comparisons

The Records Management Self-Assessment questionnaire has six sections.

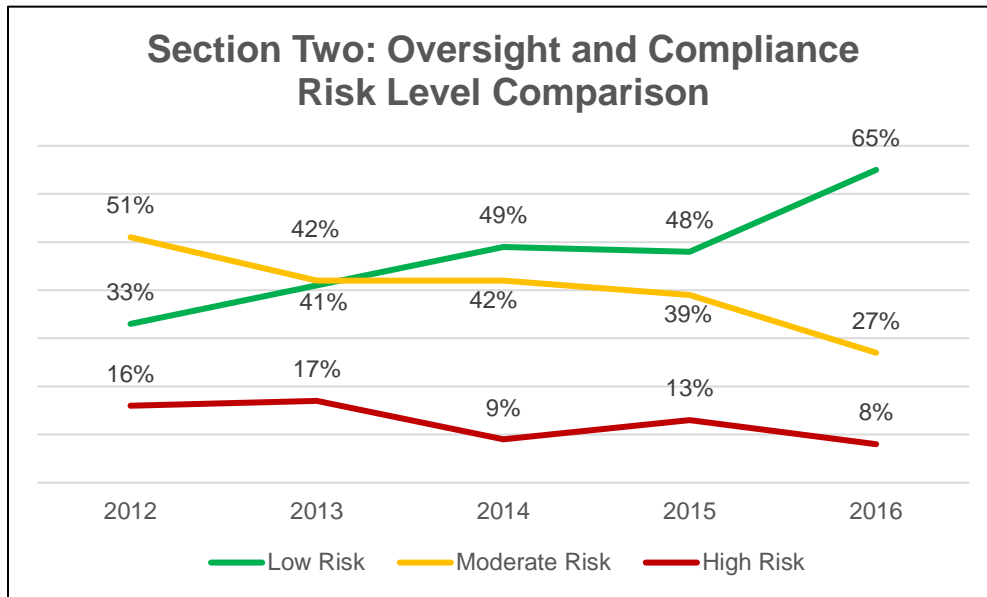
SECTION ONE: RECORDS MANAGEMENT PROGRAM – ACTIVITIES

This section focuses on major records management program areas including organizational structure, policy, and training. This section contains seven scored questions out of 11 for a total of 21 possible points. Agencies have usually scored well in this section with 77% of agencies scoring in the low risk category, 20% in the moderate risk category, and 3% in the high risk category.



SECTION TWO: RECORDS MANAGEMENT PROGRAM – OVERSIGHT AND COMPLIANCE

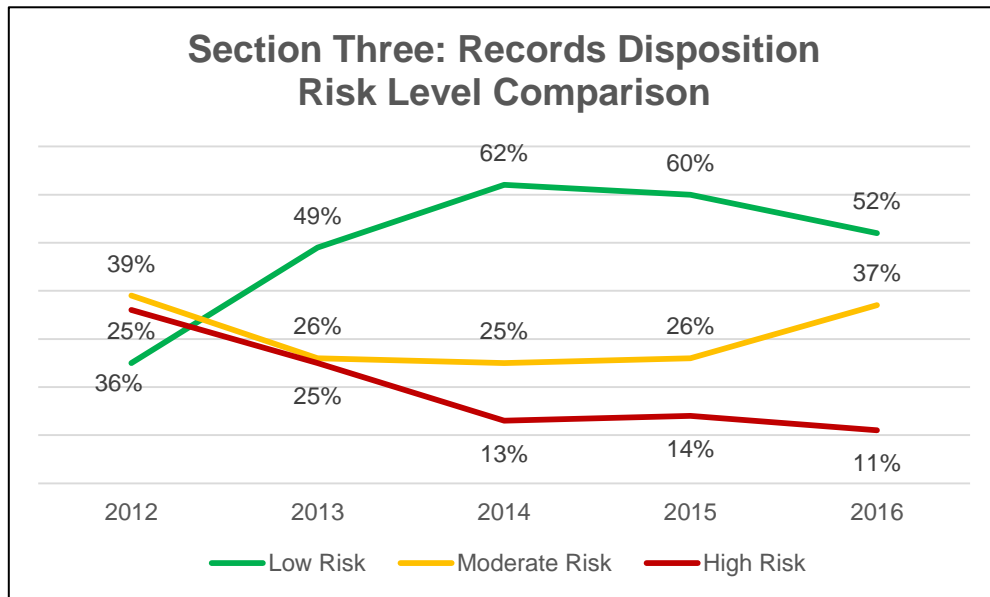
This section examines how agencies monitor and assess the activities of their records management programs. This section contains 10 scored questions out of 26 questions for a total of 30 possible points. There has been considerable improvement in this section. This year 65% of agencies are in the low risk category, an increase of over 20 points from 48% in 2015.



SECTION THREE: RECORDS MANAGEMENT PROGRAM – RECORDS DISPOSITION

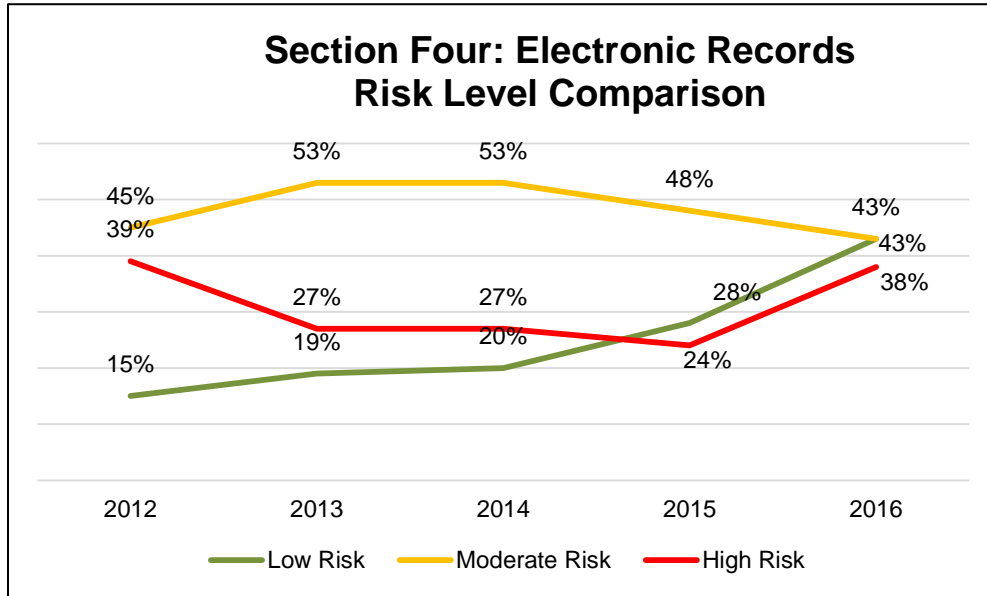
This section focuses on lifecycle management of records including records scheduling, records storage, the transfer of permanent records, and exit briefings for senior officials. This section contains seven scored questions out of 18 questions for a total of 20 possible points.

The scores in this section changed in a negative direction with a decrease in low risk - 52% this year and 60% in 2015. There was also a slight decrease in the high risk category - 11% this year and 13% in 2015. Both of these changes led to a rise in moderate risk - 37% this year and 26% in 2015. For individual scored questions, the difference between answer options is slight, but the accumulated change made a difference in the overall risk levels for this section. We also combined two previously scored questions on evaluating records management programs and added a scored question on access that may have contributed to the change in results.



SECTION FOUR: RECORDS MANAGEMENT PROGRAM – ELECTRONIC RECORDS

This section contains 10 scored questions out of 30 questions for a total of 29 possible points. Questions focus on the integration of records management controls into new and existing systems; preservation of electronic records in usable formats; training in electronic records management; and the preservation of email records. There was considerable improvement in 2016, with 43% of agencies now scoring in low and moderate risk categories and only 15% in the high risk category. This is potentially another indication that NARA’s emphasis on electronic recordkeeping has made a difference since the Directive was promulgated in 2012.



SECTION FIVE: OMB/NARA MANAGING GOVERNMENT RECORDS DIRECTIVE (M-12-18)

NARA's ongoing initiatives related to M-12-18 and the modernization of Federal records management guidance continue to elevate the importance of records management issues within agencies. The purpose of M-12-18 is to help ensure government openness and accountability through more complete documentation of Federal Government business; to improve identification, safeguarding, and eventual transfer to NARA of permanent records; and to increase efficiency in agencies' business processes relating to records management.

M-12-18 provides a framework of requirements and initiatives to modernize records management policies and practices. The RMSA fits into this framework as one of the methods NARA uses to track trends, measure records management program compliance, and assess risks to government information. NARA continues to lead a variety of initiatives, some specifically generated by M-12-18, to improve records management including:

- *Criteria for Managing Email in Compliance with M-12-18*¹⁰
- Agency Records Management Training Requirements¹¹
- Revised General Records Schedules (GRS)
- Federal Records and Information Management maturity model¹²
- Guidance for transferring permanent records in electronic format to NARA¹³
- Training and guidance on implementing the Capstone approach to managing email;¹⁴
- A formal records management job series by the Office of Personnel Management (OPM);¹⁵
- Defining roles and responsibilities and advocating for Senior Agency Official for Records Management (SAORM) involvement and oversight of agency records management programs;
- Automated Electronic Records Management Plan;¹⁶
- Improvements to NARA's records scheduling and appraisal processes; and
- Policy and guidance products for managing records created through the use of social media.

¹⁰ <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>.

¹¹ <https://www.archives.gov/records-mgmt/memos/ac14-2017>.

¹² Federal RIM Program Maturity Model, <http://www.archives.gov/records-mgmt/prmd.html>.

¹³ Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records. <http://www.archives.gov/records-mgmt/policy/transfer-guidance.html>.

¹⁴ Email Management: <http://www.archives.gov/records-mgmt/email-mgmt.html#capstoneimplementation>.

¹⁵ <https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/standards/0300/g0308.pdf>.

¹⁶ Automated Electronic Records Management Report/Plan in response to Goal A3.1 of M-12-18, <http://www.archives.gov/records-mgmt/prmd/automated-erm.html>.

SECTION SIX: DEMOGRAPHIC QUESTIONS

Each year we ask a variety of demographic questions that help describe similarities and differences between agencies.

- Responding agencies are diverse in size, ranging from very large Departments and component agencies to very small micro agencies.

Number of Full-Time Employees (FTEs)	Number of Agencies
Answer Options	Responses
500,000 or more FTEs	3
100,000 – 499,999 FTEs	8
10,000 – 99,999 FTEs	52
1,000 – 9,999 FTEs	77
100 – 999 FTEs	76
1 – 99 FTEs	40
Not Available	2
Total responding: 258	

The respondents consulted a variety of other staff in completing the RMSA including:

- ✓ Senior Agency Officials
 - ✓ Chief Information Officers
 - ✓ FOIA Officer
 - ✓ Office of General Counsel
 - ✓ Program managers
 - ✓ Information technology staff
 - ✓ Records liaison officers
 - ✓ Administrative staff
 - ✓ Department Records Officers (by component agency Records Officers)
- Eighty-seven (87) percent of respondents were the Agency Records Officer.
 - Eighty-one (81) percent of agencies indicated that their agency’s senior management reviewed their responses to the RMSA.
 - Eighty-one (81) percent indicated that they use the RMSA results to measure the effectiveness of their programs.

Appendix III: Validation Strategy

Each year we validate a random sample of agencies’ responses to selected questions through a combination of methods, including telephone interviews and a review of documents received from the selected agencies. For 2016 validation, we followed up with 35 questions on topics such as the designation of an agency records officer, strategic goals and objectives, training, records management evaluations/audits, record schedules, the transfer of permanent records, and email policies. For email management we also discussed how an agency chose the levels in the email maturity model. The validation pool included large and small agencies, Department components, and Federal agencies.

Interviews provide NARA and agencies an opportunity to share information that a survey tool does not capture. While overall we feel agencies are forthright in their response, each year we find that some agencies answer ‘yes’ even if they have not fully achieved compliance, but did not feel ‘no’ was truly applicable either. To account for this, we have been adding ‘to some extent’ or ‘in progress’ to the answer options as we find questions that need them. In most cases, we found that the agencies involved in the validation process provided answers that accurately reflect their program.

The validation pool included a random sample of respondents answering ‘yes’, ‘too some extent’, or ‘in progress’. There are a few questions that we can verify responses from all respondents using internal NARA resources. The following shows which questions were used this year, the topics covered, and the validation method used.

Question Number	Topic	Validation Method	Target Respondents
4, 5	RM Directives	Request copy of RM directive	Random sample of responses
7, 8, 9, 10	RM Training	Request copy of training materials	Random sample of responses
14, 15, 16, 17	RM Program Inspection/Audit/Reviews	Request copy of inspection/audit/review procedures, documentation, communications, and/or report	Random sample of responses
18, 19	RM Program Performance Goals and Measures	Request copy of RM Program performance goals/measures	Random sample of responses
20	Policies on Managing Permanent Records	Request copy of approved policies and procedures	Random sample of responses
31	FOIA SOPs	Request copy of SOPs for the entire FOIA process	Random sample of responses
32	FOIA Program Performance Measures	Request copy of FOIA Program performance measures	Random sample of responses
40	Records Schedules Submitted to NARA	Verify response with internal NARA resources	ALL Respondents
46	Transfer of Permanent Non-Electronic Records	Verify response with internal NARA resources	All Yes and No-My agency does not have any permanent non-electronic records

FEDERAL AGENCY RECORDS MANAGEMENT – Appendix III

Question Number	Topic	Validation Method	Target Respondents
47, 48	Transfer of Permanent Electronic Records	Verify response with internal NARA resources	All Yes and No-My agency does not have any permanent electronic records
52, 53, 54	Senior Official Exit Briefings	Request copy of exit briefing form	Random sample of responses
57, 58	Records Migration Procedures	Request copy of approved procedures	Random sample of responses
63	Email Record Policies for Retention 180+ Days	Request copy of approved policies and procedures	Random sample of responses
65, 66	Policies for More than One Agency Email Acct	Request copy of approved policies	Random sample of responses
67, 68	Policies for Use of Personal Email Accts	Request copy of approved policies	Random sample of responses
74, 75	Capstone Retention Schedule	Verify response with internal NARA resources	All Yes and N/A-already submitted NA-1005
80	Policies to Manage Electronic Messages	Request copy of policies and procedures	Random sample of responses
81	Records Schedules Covering Electronic Messages	Verify response with internal NARA resources	Random sample of responses
86	Designation of SAORM	Verify response using 2016 SAORM Reports	ALL Respondents
88	M-12-18 Requirement 2.5 Deadline	Verify response with internal NARA resources	All Yes - Retention schedules are pending NARA approval

Also included in the interviews were questions regarding how agencies chose the email management maturity model levels and a discussion on plans to reach the next level.

FEDERAL AGENCY RECORDS MANAGEMENT – APPENDIX IV:
2016 RMSA QUESTIONNAIRE WITH STATISTICAL RESULTS

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)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	99%	256
No (0 points)	0%	1
Do not know (0 points)	0%	1
Total responding to this question		258
2. If Yes: Please provide the person's name, position title, and office. (Not scored)		
3. If Yes: How long has this person been responsible for coordinating and overseeing the implementation of the records management program? (Not scored)		
Answer Options	Percentage	Count
5 or more years	46%	117
3 to 4 years	22%	55
1 to 2 years	15%	38
Less than a year	18%	45
Total responding to this question		255
4. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	94%	243
No, pending final approval (2 points)	1%	3
No, under development (1 point)	3%	8
No (0 points)	1%	3
Do not know (0 points)	0%	1
Total responding to this question		258

FEDERAL AGENCY RECORDS MANAGEMENT – APPENDIX IV:
2016 RMSA QUESTIONNAIRE WITH STATISTICAL RESULTS

5. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance? (3 points)		
Answer Options	Percentage	Count
FY 2016 - present (3 points)	60%	155
FY 2014 - 2015 (2 points)	24%	62
FY 2012 - 2013 (1 point)	5%	14
FY 2011 or earlier (0 points)	7%	18
Do not know (0 points)	1%	2
Not applicable, agency does not have a records management directive (0 points)	3%	7
Total responding to this question		258
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))		
6. 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)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	86%	221
No (0 points)	7%	18
Do not know (0 points)	0%	0
Not applicable, agency has less than 100 employees (3 points)	7%	18
Not applicable, Departmental Records Officer - this is done at the component level (3 points)	0%	1
Total responding to this question		258

FEDERAL AGENCY RECORDS MANAGEMENT – APPENDIX IV:
2016 RMSA QUESTIONNAIRE WITH STATISTICAL RESULTS

The next series of questions relate to records management training.		
<p>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 <u>must</u>:</p>		
<ul style="list-style-type: none"> ● be regular (occurring more than just once); 		
<ul style="list-style-type: none"> ● be repeatable and formal (all instructors must provide the same message, not in an ad hoc way); and 		
<ul style="list-style-type: none"> ● communicate the agency’s vision of records management. 		
<p>7. 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)) (3 points)</p>		
<p>*Includes NARA’s records management training workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.</p>		
Answer Options	Percentage	Count
Yes (3 points)	85%	219
No (0 points)	3%	9
No, pending final approval (2 points)	0%	1
No, under development (1 point)	6%	15
Do not know (0 points)	0%	1
Not applicable, please explain (3 points)	5%	13
Total responding to this question		258
<p>8. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, covering records in all formats, including electronic communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which helps agency employees and contractors fulfill their recordkeeping responsibilities?*** (36 CFR 1220.34(f)) (3 points)</p>		
<p>*Includes NARA’s records management training workshops that were customized specifically for your agency or use of the Federal Records Officer Network (FRON) RM 101 course.</p>		
<p>***Components of departmental agencies may answer “Yes” if this is handled by the department. Department Records Officers may answer “Yes” if this is handled at the component level.</p>		

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Answer Options	Percentage	Count
Yes (3 points)	76%	197
No (0 points)	7%	19
No, pending final approval (2 points)	4%	10
No, under development (1 point)	12%	31
Do not know (0 points)	0%	1
Total responding to this question		258
<p>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)</p>		
<p>9. 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)) (3 points)</p>		
Answer Options	Percentage	Count
Yes (3 points)	85%	220
No (0 points)	13%	34
Do not know (0 points)	2%	4
Total responding to this question		258
<p>10. Is records management training included in the new hire in-processing for new employees in your agency? (Not scored)</p>		
Answer Options	Percentage	Count
Yes	76%	196
No	9%	24
No, pending final approval	3%	8
No, under development	10%	26
Do not know	2%	4
Total responding to this question		258
<p>11. Please add any additional comments about your agency for Section I: Activities. (Optional)</p>		

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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” (GAO-14-704G), U.S. Government Accountability Office, September 2014, http://www.gao.gov/products/GAO-14-704G.)
Internal controls are:
<ul style="list-style-type: none"> ● Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance;
<ul style="list-style-type: none"> ● Processes consisting of ongoing tasks and activities—a means to an end, not an end in itself;
<ul style="list-style-type: none"> ● 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;
<ul style="list-style-type: none"> ● Able to provide reasonable assurance, but not absolute assurance, to an entity’s senior management;
<ul style="list-style-type: none"> ● 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 Enterprise Risk Management and Internal Control,” July 15, 2016, https://www.whitehouse.gov/sites/default/files/omb/memoranda/2016/m-16-17.pdf.)

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<p>12. <i>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 agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e)) (3 points)</i></p>		
<p>** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA’s Federal Records Centers) or other organizations should not be considered when responding to this question.</p>		
<p>* Examples of records management internal controls include but are not limited to:</p>		
<ul style="list-style-type: none"> ● Regular briefings and other meetings with records creators 		
<ul style="list-style-type: none"> ● Approval process for handling transfer notices from Federal Records Centers 		
<ul style="list-style-type: none"> ● Monitoring and testing of file plans 		
<ul style="list-style-type: none"> ● Regular review of records inventories 		
<ul style="list-style-type: none"> ● Internal tracking database of permanent record authorities and dates 		
Answer Options	Percentage	Count
Yes (3 points)	83%	214
No (0 points)	6%	16
No, pending final approval (2 points)	1%	3
No, under development (1 point)	9%	23
Do not know (0 points)	1%	2
Total responding to this question		258
<p>13. <i>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)) (3 points)</i></p>		
<p>** These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA’s Federal Records Centers) or other organizations should not be considered when responding to this question.</p>		
<p>* Examples of records management internal controls include but are not limited to:</p>		
<ul style="list-style-type: none"> ● Regular review of records inventories 		
<ul style="list-style-type: none"> ● Approval process for disposal notices from off-site storage 		
<ul style="list-style-type: none"> ● Require certificates of destruction 		
<ul style="list-style-type: none"> ● Monitoring shredding services 		
<ul style="list-style-type: none"> ● Performance testing for email 		
<ul style="list-style-type: none"> ● Monitoring and testing of file plans 		

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<ul style="list-style-type: none"> Pre-authorization from records management program before records are destroyed 		
<ul style="list-style-type: none"> Ad hoc monitoring of trash and recycle bins 		
<ul style="list-style-type: none"> Notification from facilities staff when large trash bins or removal of boxes are requested 		
<ul style="list-style-type: none"> Annual records clean out activities sponsored and monitored by records management staff 		
Answer Options	Percentage	Count
Yes (3 points)	86%	223
No (0 points)	5%	14
No, pending final approval (2 points)	1%	2
No, under development (1 point)	7%	18
Do not know (0 points)	0%	1
Total responding to this question		258
<p>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)</p>		
<p>14. 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? (3 points)</p>		
<p>** 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.</p>		
Answer Options	Percentage	Count
Yes (3 points)	86%	222
No, please explain (0 points)	12%	32
Do not know (0 points)	1%	3
Total responding to this question		257

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15. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures? (3 points)		
Answer Options	Percentage	Count
Every 1 - 2 years (3 points)	67%	171
Every 3 - 4 years (2 points)	17%	43
Every 5 years (1 point)	4%	9
More than every 5 years (0 points)	4%	11
Do not know (0 points)	1%	2
Not applicable, agency does not evaluate its records management program (0 points)	8%	21
Total responding to this question		257
16. Was a formal written report prepared as part of the most recent inspection/audit/review? (Not scored)		
Answer Options	Percentage	Count
Yes	62%	159
No	27%	68
Do not know	4%	9
Not applicable, agency does not evaluate its records management program	8%	20
Total responding to this question		256
17. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation? (Not scored)		
Answer Options	Percentage	Count
Yes	75%	194
No	13%	34
Do not know	2%	6
Not applicable, agency does not evaluate its records management program	9%	24
Total responding to this question		258

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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.		
18. Has your agency established performance goals for its records management program? (3 points)		
*Examples of performance goals include but are not limited to:		
<ul style="list-style-type: none"> ● Identifying and scheduling all paper and non-electronic records by the end of FY 2017 ● Developing computer-based records management training modules by the end of FY 2017 ● Planning and piloting an electronic records management solution for email by the end of FY 2017 ● Updating records management policies by the end of the year ● Conducting records management evaluations of at least one program area each quarter 		
Answer Options	Percentage	Count
Yes (3 points)	77%	198
No (0 points)	4%	11
Currently under development (2 points)	19%	48
Do not know (0 points)	0%	1
Total responding to this question		258
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. (“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 and Results Modernization Act of 2010,” Section 4, Performance reporting amendments, https://www.whitehouse.gov/omb/performance/gprm-act.)		

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19. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? (3 points)		
*Examples of performance measures include but are not limited to:		
<ul style="list-style-type: none"> ● Percentage of agency employees that receive records management training in a year ● A reduction in the volume of inactive records stored in office space ● Percentage of eligible permanent records transferred to NARA in a year ● Percentage of records scheduled ● 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 		
Answer Options	Percentage	Count
Yes (3 points)	76%	196
No (0 points)	7%	17
Currently under development (2 points)	17%	45
Do not know (0 points)	0%	0
Total responding to this question		258
20. Does your agency's records management program have documented and approved 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)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	78%	202
No (0 points)	6%	15
No, pending final approval (2 points)	3%	7
No, under development (1 point)	12%	32
Do not know (0 points)	1%	2
Total responding to this question		258

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Vital records* (also known as Essential 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)		
*pending updates to regulations, the RMSA still uses this terminology		
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))		
21. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) (3 points)		
*Departmental agency components may answer “Yes” if this is handled at the department level.		
Answer Options	Percentage	Count
Yes (3 points)	84%	217
No (0 points)	13%	33
Do not know (0 points)	3%	7
Total responding to this question		257
22. How often does your agency review and update its vital records inventory? (36 CFR 1223.14) (3 points)		
Answer Options	Percentage	Count
Annually (3 points)	60%	156
Every 2 - 3 years (2 points)	16%	41
Every 4 - 6 years (1 point)	7%	18
Never (0 points)	5%	14
Do not know (0 points)	11%	29
Total responding to this question		258
23. Is your vital records plan part of the Continuity of Operations (COOP) plan? (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	88%	226
No (0 points)	7%	17
Do not know (0 points)	6%	15
Total responding to this question		258

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24. Does your agency identify and analyze internal and external risks to records and information? (Not scored)		
Answer Options	Percentage	Count
Yes	74%	192
No	3%	9
To some extent	19%	50
Do not know	3%	7
Total responding to this question		258
25. If Yes or To some extent: Does your agency have policies in place to protect records and information from internal and external risks? (Not scored)		
Answer Options	Percentage	Count
Yes	84%	203
No	2%	4
No, pending final approval	1%	3
No, under development	12%	30
Do not know	1%	2
Total responding to this question		242
Agencies are required to have a Freedom of Information Act (FOIA) program (5 U.S.C. 552).		
Since 1967, the Freedom of Information Act (FOIA) has provided the public the right to request access to records from Federal agencies within the executive branch, independent regulatory agencies, and some components within the Executive Office of the President. It is often described as the law that keeps citizens in the know about their government. Federal agencies generally are required to disclose any information requested under the FOIA unless it falls under one of nine exemptions which protect interests such as personal privacy, national security, and law enforcement.		
The ability to find records is essential for a successful FOIA program. The following questions related to your agency's FOIA program may need consultation with your agency's FOIA Officer.		
26. The Agency Records Officer and the FOIA Officer: (Not scored)		
Answer Options	Percentage	Count
Are the same person	10%	25
Coordinate closely together	67%	169
Know each other but do not work together	24%	60
Total responding to this question		254

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27. If the Agency Records Officer is not the FOIA Officer, please provide the FOIA Officer's name, position title, and contact information. (Not scored)		
28. The FOIA Officer can find records needed to respond to a FOIA request. (Not scored)		
<i>Select on the sliding scale a number between 1 and 5, with 1 being with difficulty and 5 being easily.</i>		
Answer Options	Percentage	Count
Between 1 and 1.9	3%	6
Between 2 and 2.9	6%	12
Between 3 and 3.9	14%	29
Between 4 and 4.9	51%	109
Equal to 5	27%	58
Total responding to this question		214
29. Does your agency use software or other technology to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests? (Not scored)		
Answer Options	Percentage	Count
Yes	72%	183
No	6%	14
To some extent	18%	45
Do not know	4%	11
Total responding to this question		253
30. If Yes: Please list the software or other technology used by your agency to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests. (Not scored)		
31. Do FOIA programs throughout your agency have standard operating procedures for the <i>entire</i> FOIA process including intake/triage, fees, expedited processing, search, review, estimated dates of completion and response? (Not scored)		
Answer Options	Percentage	Count
Yes	77%	193
No	3%	8
To some extent	12%	30
Under development	4%	9
Do not know	5%	12
Total responding to this question		252

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32. Have FOIA programs throughout your agency identified performance measures for FOIA activities? (Not scored)		
*Examples of performance measures for FOIA programs include but are not limited to:		
• Number of pages processed		
• Reduction in response times		
• Reduction in backlog		
• Increase in proactive disclosures		
Answer Options	Percentage	Count
Yes	69%	175
No	7%	17
To some extent	13%	34
Under development	4%	9
Do not know	7%	19
Total responding to this question		254
33. If No: Why not? (Not scored)		
Answer Options	Percentage	Count
Do not know how to determine what performance measures are needed	6%	1
My agency has performance measures but not specific to FOIA.	12%	2
Do not understand the question	0%	0
Other, please explain	82%	14
Total responding to this question		17
34. Do FOIA programs throughout your agency alert requesters to the dispute resolution services offered by the Office of Government Information Services (OGIS)*? (Not scored)		
*The Office of Government Information Services (OGIS) is a Freedom of Information Act (FOIA) resource for both the public and the government. Congress mandated OGIS with reviewing agency compliance with FOIA, identifying policies and procedures for improving FOIA compliance, and providing mediation services to resolve FOIA disputes between Federal agencies and requestors.		
Answer Options	Percentage	Count
Yes	85%	215
No	4%	11
Do not know	11%	28
Total responding to this question		254

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The FOIA Improvement Act of 2016 amends Section 3102 of the Federal Records Act, 44 U.S.C., to include a requirement that agencies establish "procedures for identifying records of general interest or use to the public that are appropriate for public disclosure, and for posting such records in a publicly accessible electronic format."		
35. Are you familiar with the changes to this law? (Not scored)		
Answer Options	Percentage	Count
Yes	83%	210
To some extent	11%	27
No	7%	17
Total responding to this question		254
36. If Yes: Has your agency started to identify records that are of general interest or use to the public that are appropriate for public disclosure? (P.L. 114-185) (Not scored)		
Answer Options	Percentage	Count
Yes	80%	167
No	4%	8
To some extent	14%	29
Do not know	2%	5
Total responding to this question		209
37. Please add any additional comments about your agency for Section II: Oversight and Compliance. (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 Parts 1222, 1224, 1225 and 1226)		
The next series of questions relate to your agency's efforts to schedule its records.		

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38. Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10 and 36 CFR 1225.12) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	74%	191
No (0 points)	3%	7
To some extent (2 points)	22%	58
Do not know (0 points)	1%	2
Total responding to this question		258
39. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c)) (3 points)		
Answer Options	Percentage	Count
Yes, all records are easily retrievable and accessible when needed (3 points)	50%	130
Most records can be retrieved and accessed in a timely manner (2 points)	43%	112
Some records can be retrieved and accessed in a timely manner (1 point)	5%	14
No (0 points)	0%	1
Do not know (0 points)	0%	1
Total responding to this question		258
40. When was the last time your agency submitted a records schedule to NARA? (Not scored)		
Answer Options	Percentage	Count
FY 2014 - 2016	64%	166
FY 2011 - 2013	14%	36
FY 2008 - 2010	9%	22
FY 2007 or earlier	10%	26
Do not know, please explain	3%	8
Total responding to this question		258

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41. Does your agency have permanent records that are 30 years old or older that are located in agency office space, agency-operated records centers and/or commercial records centers? (36 CFR 1235.12(b) and M-12-18)) (Not scored)		
Answer Options	Percentage	Count
Yes	42%	109
No	50%	130
Do not know	7%	19
Total responding to this question		258
42. If Yes: When do you plan on transferring these records to NARA? (Not scored)		
Answer Options	Percentage	Count
FY 2017	41%	45
FY 2018	29%	32
FY 2019	16%	17
FY 2020	15%	16
After FY 2020	18%	20
Do not know, please explain	28%	30
Total responding to this question		160
43. Are you aware of the requirement to formally request permission from NARA to retain permanent records beyond that specified in your agency's NARA-approved records schedules as outlined in 36 CFR 1235.14 and 1235.16? (Not scored)		
Answer Options	Percentage	Count
Yes	94%	240
No	6%	16
Total responding to this question		256
44. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedules items) to agency staff within six months of approval? (36 CFR 1226.12(a)) (2 points)		
Answer Options	Percentage	Count
Yes (2 points)	84%	216
No (0 points)	15%	39
Do not know (0 points)	1%	3
Total responding to this question		258

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45. If Yes: What method(s) does your agency use? (Choose all that apply) (Not scored)		
Answer Options	Percentage	Count
Post to internal website or other shared information location	74%	160
Memorandum or email notification	81%	174
Update training materials	48%	103
Update records management policies and/or handbooks	49%	106
Other, please explain	13%	28
Total responding to this question		216
46. Did your agency transfer permanent non-electronic records to NARA during FY 2016? (36 CFR 1235.12) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	48%	124
No (0 points)	22%	57
No - No records were eligible for transfer during FY 2016 (3 points)	21%	55
No - New agency, records are not yet old enough to transfer (3 points)	2%	5
No - My agency does not have any permanent non-electronic records (3 points)	3%	7
Do not know (0 points)	1%	2
Other, please explain (0 points)	3%	8
Total responding to this question		258

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The next series of questions relate to your agency’s permanent electronic records.		
47. Did your agency transfer permanent electronic records to NARA during FY 2016? (36 CFR 1235.12) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	20%	51
No (0 points)	32%	83
No - No electronic records/systems were eligible for transfer during FY 2016 (3 points)	35%	90
No - New agency, electronic records/systems are not old enough to transfer (3 points)	5%	12
No - My agency does not have any permanent electronic records (3 points)	2%	5
Do not know (0 points)	0%	0
Other, please explain (0 points)	7%	17
Total responding to this question		258
48. If Yes: Were the permanent electronic records transferred during FY 2016 using the Electronic Records Archives (ERA)? (Not scored)		
Answer Options	Percentage	Count
Yes	90%	46
No	6%	3
Do not know	4%	2
Total responding to this question		51
49. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency? (Not scored)		
Answer Options	Percentage	Count
Yes	53%	138
No	35%	91
Do not know	9%	22
Not applicable, my agency does not have any permanent electronic records	3%	7
Total responding to this question		258

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50. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA? (Not scored)		
Answer Options	Percentage	Count
Yes	84%	216
No	11%	28
Do not know	3%	7
Not applicable, please explain	3%	7
Total responding to this question		258
51. If Yes: What method(s) does your agency use to track its permanent records? (Choose all that apply) (Not scored)		
Answer Options	Percentage	Count
Rely on Federal Records Center notifications	72%	155
Maintain an inventory	63%	135
Database or other automated tracking	47%	100
Manual tracking	60%	128
Other, please explain	12%	25
Total responding to this question		215
The next series of questions relate to your agency's handling of records for separating senior officials.		
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)		

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52. Does your agency conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1222.24 (a)(6) and 36 CFR 1230.10(a & b)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	73%	188
Yes, but not documented (2 points)	12%	31
No (0 points)	10%	27
Do not know (0 points)	3%	7
Not applicable, please explain (3 points)	2%	5
Total responding to this question		258
53. If Yes: Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials? (Not scored)		
Answer Options	Percentage	Count
Yes	84%	184
No	15%	32
Do not know	1%	2
Total responding to this question		218
54. Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	79%	204
No, please explain (0 points)	16%	41
Do not know (0 points)	5%	13
Total responding to this question		258
55. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)		

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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)		
The following types of records management controls are needed to ensure that Federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. 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)		
(a) Reliability: Controls to ensure a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.		
(b) Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.		
(c) Integrity: Controls, such as audit trails, to ensure records are complete and unaltered.		
(d) Usability: Mechanisms to ensure records can be located, retrieved, presented, and interpreted.		
(e) Content: Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.		
(f) Context: Mechanisms to implement cross-references to related records that show the organizational, functional, and operational circumstances about the record, which will vary depending upon the business, legal, and regulatory requirements of the business activity.		
(g) Structure: Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements.		
<i>56. 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) (3 points)</i>		
Answer Options	Percentage	Count
Yes (3 points)	81%	208
No (0 points)	14%	36
Do not know (0 points)	4%	9
Not applicable, please explain (3 points)	2%	4
<i>Total responding to this question</i>		257

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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: <i>Electronic Records Management, Module 2.</i>)		
Metadata consists of preserved contextual information describing the history, tracking, and/or management of an electronic document. (36 CFR 1236.2)		
57. Does your agency have documented and approved 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)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	61%	157
No (0 points)	33%	84
Do not know (0 points)	6%	16
Total responding to this question		257
58. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems?(36 CFR 1235.20(b)(6)) (Not scored)		
Answer Options	Percentage	Count
Yes	71%	183
No	21%	54
Do not know	2%	5
Not applicable, please explain	5%	14
Total responding to this question		256
59. 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)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	77%	199
No, please explain (0 points)	19%	49
Do not know (0 points)	4%	9
Total responding to this question		257

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60. 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) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	68%	174
No, please explain (0 points)	25%	65
Do not know (0 points)	4%	9
Not applicable, please explain (3 points)	4%	9
Total responding to this question		257
61. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems? (Not scored)		
Answer Options	Percentage	Count
Yes	47%	120
To some extent	38%	98
No, please explain	12%	30
Do not know	1%	3
Not applicable, please explain	2%	6
Total responding to this question		257
62. If Yes or To some extent: Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply) (Not scored)		
Answer Options	Percentage	Count
Participate in review and acceptance of proposals for new systems	59%	129
Participate as stakeholder in requirements gathering	70%	151
Participate as stakeholder in design phase	53%	114
Participate as stakeholder in development phase including testing the system	50%	108
Provide sign off authority for the implementation of new systems	30%	66
Monitor system for adherence to standards, policies, and procedures	47%	101
Provide information only	27%	59
Do not know	1%	2
Other, please explain	12%	27
Total responding to this question		217

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The next series of questions relate to email.		
<p>An 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)</p>		
<p>63. Does your agency have documented and approved policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22) (3 points)</p>		
Answer Options	Percentage	Count
Yes (3 points)	81%	207
No, please explain (0 points)	18%	46
Do not know (0 points)	1%	3
Total responding to this question		256
<p>64. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records – Tables of File Formats Section 9 - Email? (36 CFR 1236.22(e)) (3 points)</p>		
Answer Options	Percentage	Count
Yes (3 points)	55%	141
No (0 points)	42%	106
Do not know (0 points)	3%	8
Total responding to this question		255
<p>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)</p>		

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65. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03) (Not scored)		
* Examples of business needs may include but are not limited to:		
<ul style="list-style-type: none"> • Using separate accounts for public and internal correspondence 		
<ul style="list-style-type: none"> • Creating accounts for a specific agency initiative which may have multiple users 		
<ul style="list-style-type: none"> • Using separate accounts for classified information and unclassified information 		
Answer Options	Percentage	Count
Yes	61%	156
No	38%	97
Do not know	1%	3
Total responding to this question		256
66. Does your agency have documented and approved 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) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	78%	196
No (0 points)	22%	56
Do not know (0 points)	0%	0
Total responding to this question		252
67. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b)) (Not scored)		
Answer Options	Percentage	Count
Yes	24%	61
No	75%	191
Do not know	2%	4
Total responding to this question		256

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68. Does your agency have documented and approved policies that address the use of personal email accounts, whether or not allowed, that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	81%	205
No (0 points)	16%	40
Do not know (0 points)	3%	7
Total responding to this question		252
69. 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)) (3 points)		
Answer Options	Percentage	Count
Yes (3 points)	95%	243
No (0 points)	2%	4
Do not know (0 points)	3%	8
Total responding to this question		255
70. What method(s) does your agency employ to capture and manage email records? (Choose all that apply) (Not scored)		
Answer Options	Percentage	Count
Captured and stored in an email archiving system	80%	203
Captured and stored in an electronic records management system	29%	74
Captured and stored as .PST	56%	144
Print and file	46%	117
Not captured and email is managed by the end-user in the native system	17%	43
Other, please be specific	15%	39
Total responding to this question		255

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71. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18) (2 points)		
Answer Options	Percentage	Count
Yes (2 points)	57%	146
No (0 points)	39%	101
Do not know (0 points)	4%	9
Total responding to this question		256
72. If Yes: Who evaluates, monitors, or audits staff compliance with the agency's email preservation policies? (Choose all that apply) (Not scored)		
Answer Options	Percentage	Count
Inspector General	17%	25
Chief Information Officer	55%	80
Agency Records Officer	56%	81
Other, please explain	47%	68
Do not know	1%	1
Total responding to this question		255
73. How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (Not scored)		
Answer Options	Percentage	Count
Every 6 months	15%	39
Every year	25%	65
Every 2 years	4%	10
Less frequently than every 2 years	11%	27
Do not know	5%	14
Not applicable, agency does not audit staff compliance	39%	101
Total responding to this question		256

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74. Has your agency implemented a plan to use the “Capstone” approach for managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records? (Not scored)		
Answer Options	Percentage	Count
Yes	73%	187
No, please explain	25%	65
Do not know	2%	4
Total responding to this question		256
75. If Yes: Have you submitted a retention schedule for identifying “Capstone” accounts for approval by NARA? (Not scored)		
Answer Options	Percentage	Count
Yes	37%	70
No, please explain	13%	24
Do not know	1%	1
Not applicable, already submitted NA-1005 to use GRS 6.1: Email Managed Under a Capstone Approach	44%	82
Not applicable, planning to use GRS 6.1 but have not yet submitted NA-1005	5%	10
Total responding to this question		187
76. Is your agency able to access email from departed employees in a usable and retrievable manner? (Not scored)		
Answer Options	Percentage	Count
Yes	94%	240
No	4%	10
Do not know	2%	5
Total responding to this question		255
77. Is your agency able to prevent unauthorized access, modification, or destruction of emails? (Not scored)		
Answer Options	Percentage	Count
Yes	91%	232
No	5%	14
Do not know	4%	10
Total responding to this question		256

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78. Can your agency transfer permanent email records to the National Archives of the United States in accordance with agency records schedules or General Records Schedules and NARA regulations and guidance? (Not scored)		
Answer Options	Percentage	Count
Yes	82%	210
No	10%	26
Do not know	8%	20
Total responding to this question		256
79. Is your agency able to decrypt permanent email records before they are accessioned by NARA? (Not scored)		
Answer Options	Percentage	Count
Yes	71%	182
No	11%	27
Do not know	18%	47
Total responding to this question		256
<p>The Federal Records Act was amended in November 2014 and added a new definition for electronic messages in 44 U.S.C. 2911. The law states: “The term ‘electronic messages’ means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals.”</p>		
<p>Electronic messages include text messaging, chat/instant messaging, messaging functionality in social media tools or applications, voice messaging, and similar forms of electronic messaging systems.</p>		
<p>Electronic messages created or received in the course of agency business are Federal records. Like all Federal records, these electronic messages must be scheduled for disposition.</p>		
<p>Please see NARA Bulletin 2015-02: Guidance on Managing Electronic Messages for more guidance on this topic.</p>		
80. Does your agency have documented and approved policies and procedures in place to manage electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications? (Not scored)		
Answer Options	Percentage	Count
Yes	56%	143
No	25%	64
Do not know	3%	7
Other, please explain	16%	42
Total responding to this question		113

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81. Does your agency have an approved records schedule covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record? (Not scored)		
Answer Options	Percentage	Count
Yes	30%	78
No	68%	174
Do not know	2%	5
Total responding to this question		257
The next series of questions relate to metadata.		
<p>Simply put, metadata are elements of information that answer the questions ‘who, what, where, when, and why’ regarding electronic records. Metadata elements provide administrative, descriptive, and technical information that describe the structure and content of electronic records. Metadata elements also provide contextual information that explains how electronic records were created, used, and managed.</p>		
<p>In FY 2015 NARA introduced a bulletin that defines the minimum set of metadata elements that must accompany transfers of permanent electronic records to the National Archives of the United States. Per 36 CFR 1235.48, Federal agencies are required to transfer documentation adequate for NARA to identify, service, and interpret permanent electronic records for as long as they are needed. (NARA 2015-04 Metadata Guidance for the Transfer of Permanent Electronic Records)</p>		
82. Which of the following best describes the steps your agency has taken to comply with metadata bulletin NARA 2015-04 Metadata Guidance for the Transfer of Permanent Electronic Records to maintain metadata for permanent electronic records? (Not scored)		
Answer Options	Percentage	Count
We have implemented measures to comply with NARA Bulletin 2015-04	30%	77
We have reviewed NARA Bulletin 2015-04 and are planning to implement measures to comply with NARA Bulletin 2015-04	44%	112
We have reviewed NARA 2015-04 but have not taken steps to implement it	16%	42
We have not reviewed NARA 2015-04	3%	7
Do not know	2%	6
None of the above, please explain	5%	13
Total responding to this question		257

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83. Which of the following best describes the level at which your organization is responsible for defining records management metadata schema* for use across systems that maintain permanent electronic records? (Not scored)		
*A schema is a logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax and the optionality (obligation level) of values (ISO 23081.1 s3 Terms and Definitions)		
Answer Options	Percentage	Count
My agency has adopted an external standard (e.g., International Organization for Standardization (ISO), industry, or military standard)	12%	31
Defining records management metadata schema is done at the department level and used enterprise wide (i.e. all entities within the department use the same one)	13%	33
Defining records management metadata schema is done at the individual component agency/bureau/office level (i.e. each uses its own unique one)	23%	60
As an independent agency, records management metadata schema is defined and mandated for use across the agency by the Office of the Chief Information Officer	9%	23
My agency/component/bureau/office does not have or use a metadata schema	19%	49
Do not know	13%	32
None of the above, please explain	11%	28
Total responding to this question		256

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84. Which of the following best describes your agency's use of controlled vocabularies, thesauri, or term lists that ensure consistent data entry of metadata? (Not scored)		
Answer Options	Percentage	Count
My agency/component developed its own based on internal practices	25%	64
My agency/component has adopted an external standard (e.g., ISO, industry, military standard)	10%	25
Controlled vocabularies, thesauri, or term lists are defined by the department and mandated for use by all agencies/bureaus/offices	6%	16
As an independent agency, controlled vocabularies, thesauri, or term lists are defined and mandated for use across the agency by the Office of the Chief Information Officer	6%	15
My agency/component does not use controlled vocabularies, thesauri, or term lists	32%	81
Do not know	16%	41
None of the above, please explain	5%	14
Total responding to this question		256
85. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)		
Section V: Records Management Program - NARA/OMB Managing Government Records Directive (M-12-18) Reporting Requirements		
The joint NARA/OMB <i>Managing Government Records Directive</i> (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. (NARA/OMB <i>Managing Government Records Directive</i> (M-12-18), http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf .)		
Goal 1: Require Electronic Recordkeeping to Ensure Transparency, Efficiency, and Accountability		
To promote openness and accountability and reduce costs in the long term, the Federal Government should commit immediately to the transition to a digital government.		
Goal 1.1: By 2019, Federal agencies will manage all permanent electronic records in an electronic format		

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<p>By December 31, 2019, all permanent electronic records in Federal agencies will be managed electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format. By December 31, 2013, each agency will develop and begin to implement plans to achieve this transition. Agencies should also consider the benefits of digitizing permanent records created in hard-copy format or other analog formats (e.g., microfiche, microfilm, analog video, analog audio).</p>		
<p><i>Goal 1.2: By 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format</i></p>		
<p>By December 31, 2016, Federal agencies must manage all email records in an electronic format. Email records must be retained in an appropriate electronic system that supports records management and litigation requirements (which may include preservation-in-place models), including the capability to identify, retrieve, and retain the records for as long as they are needed. Beginning one year after issuance of this Directive, each agency must report annually to OMB and NARA the status of its progress toward this goal.</p>		
<p><i>Goal 2: Demonstrate Compliance with Federal Records Management Statutes and Regulations</i></p>		
<p>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:</p>		
<p><i>Requirement 2.1: Agencies Must Designate a Senior Agency Official (SAO) for Records Management</i></p>		
<p>86. Does your agency have an SAO for Records Management? (If you are a component of a department, you may answer “Yes,” even if this is not being done at the component level.) (Not scored)</p>		
Answer Options	Percentage	Count
Yes	99%	253
No	1%	2
Do not know	0%	1
Total responding to this question		256

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87. If Yes: Does your Agency Records Officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals? (Not scored)		
Answer Options	Percentage	Count
Yes	81%	205
No	16%	41
Do not know	3%	7
Total responding to this question		253
Requirement 2.5: SAO for Records Management Shall Ensure that Records are Scheduled		
88. Did your agency meet the deadline to submit records schedules for all unscheduled paper and other non-electronic records by December 31, 2016? (Not scored)		
Answer Options	Percentage	Count
Yes - All retention schedules have been submitted and approved by NARA	44%	114
Yes - Retention schedules have been submitted and are pending NARA approval	17%	44
No - Retention schedules are in draft form and have not yet been submitted to NARA	14%	37
No	11%	28
Do not know	2%	6
Other, please explain	11%	29
Total responding to this question		258
89. Does your agency have a method of continually identifying new and unscheduled records? (Not scored)		
Answer Options	Percentage	Count
Yes	87%	223
No	12%	30
Do not know	1%	3
Total responding to this question		256

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90. If Yes: Which method(s) does your agency use? (Choose all that apply) (Not scored)		
Answer Options	Percentage	Count
Regular surveys	25%	55
Regular inventories	53%	119
Records management evaluations, site assessments, or audits of program offices	54%	120
Work with program managers to identify new programs and related records	73%	162
Work with Privacy Officer and review SORNs (Systems of Records Notices)	53%	118
Work with FOIA Officer	41%	91
Records Liaison Officers notify Agency Records Officer of new record series	69%	154
Require use and annual update of file plans	49%	110
Participate in design and retirement of information systems and note changes in records	45%	101
Outreach and awareness	55%	122
Other, please explain	9%	21
Total responding to this question		223
91. Has your agency identified any <u>additional</u> unscheduled records that have not already been reported to NARA? (Not scored)		
Answer Options	Percentage	Count
Yes	11%	27
No	85%	219
Do not know	4%	11
Total responding to this question		257

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92. If Yes: Please send to rmsselfassessment@nara.gov by March 17, 2017, 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 December 13, 2016, along with an advanced copy of the questionnaire. Please email rmsselfassessment@nara.gov if you did not receive it or need another one.) (Not scored)		
<i>Total responding to this question</i>		11
Section A4: Embed records management requirements into cloud architectures and other Federal IT systems and commercially-available products		
93. Does your agency use cloud services? (Not scored)		
Answer Options	Percentage	Count
Yes	83%	213
No	14%	37
Do not know	3%	8
<i>Total responding to this question</i>		258
94. If Yes: For what purpose(s) is your agency using cloud services? (Choose all that apply) (Not scored)		
Answer Options	Percentage	Count
Email	73%	156
Administrative functions such as payroll, purchasing, and financial management	46%	97
Mission/program-related functions	54%	116
Other, please explain	20%	42
Do not know	2%	5
<i>Total responding to this question</i>		213
95. If Yes: Are recordkeeping requirements included? (Not scored)		
Answer Options	Percentage	Count
Yes	69%	146
No	16%	33
Do not know	16%	33
<i>Total responding to this question</i>		212

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Section B3: Establish a formal records management occupational series		
96. Will your agency use the new Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015? (Not scored)		
Answer Options	Percentage	Count
Yes	47%	121
No	22%	57
Do not know	23%	60
Not applicable, my agency does not use the General Schedule (GS) job classifications	8%	20
Total responding to this question		258
97. If No: Why will your agency NOT be using the new job series? (Not scored)		
Total responding to this question		258
Section B4: Improve the effectiveness of Federal records management programs through analytical tools and enhanced NARA oversight		
98. Does your agency use your RMSA scores to measure the effectiveness of the records management program? (Not scored)		
Answer Options	Percentage	Count
Yes	81%	205
No	14%	36
Do not know	5%	12
Comments (Optional): Please include in your comments how you use the RMSA		
Total responding to this question		253
End Records Management Program - NARA/OMB Managing Government Records Directive (M-12-18) Reporting Requirements Section		
The remaining questions are for demographic purposes.		

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Section VI: Agency Demographics		
99. How many full-time equivalents (FTE) are in your agency/organization? (Choose one)		
Answer Options	Percentage	Count
500,000 or more FTEs	1%	3
100,000 – 499,999 FTEs	3%	8
10,000 – 99,999 FTEs	20%	52
1,000 – 9,999 FTEs	30%	77
100 – 999 FTEs	29%	76
1 – 99 FTEs	16%	40
Not Available	1%	2
Total responding to this question		258
100. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)		
Answer Options	Percentage	Count
Senior Agency Official	56%	144
Office of the General Counsel	31%	79
Program Managers	39%	100
FOIA Officer	78%	201
Information Technology staff	79%	203
Records Liaison Officers or similar	47%	121
Administrative staff	36%	94
Other, please be specific:	25%	65
None	4%	11
Total responding to this question		258
101. How much time did it take you to gather the information to complete this self-assessment?		
Answer Options	Percentage	Count
Under 3 hours	22%	56
More than 3 hours but less than 6 hours	29%	75
More than 6 hours but less than 10 hours	18%	45
Over 10 hours	32%	81
Total responding to this question		257

FEDERAL AGENCY RECORDS MANAGEMENT – APPENDIX IV:
2016 RMSA QUESTIONNAIRE WITH STATISTICAL RESULTS

102. Did your agency’s senior management review and concur with your responses to the 2016 Records Management Self-Assessment?		
Answer Options	Percentage	Count
Yes	81%	209
No	17%	44
Do not know	2%	5
Total responding to this question		258
103. Please provide your contact information.		
104. Are you the Agency Records Officer?		
Answer Options	Percentage	Count
Yes	87%	225
No	13%	33
Total responding to this question		258
105. If No: Please provide the Agency Records Officer’s contact information.		
106. Do you have any suggestions for improving the Records Management Self-Assessment next year?		
<p>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.</p>		
<p>Thank you for completing the 2016 Records Management Self-Assessment! If you have any questions about the self-assessment, please send a message to rmsselfassessment@nara.gov.</p>		

Appendix V: Individual Agency Results

The following table shows whether an agency SAORM reported meeting the M-12-18 target to maintain all email in electronic format by December 31, 2016 and individual scores from the email maturity model and RMSA.

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
Ability One Commission	Not Received	1.25	31
Administrative Office of the US Courts	Judicial - not required to respond	Judicial - not required to respond	78
Advisory Council on Historic Preservation	No	2.25	83
American Battle Monuments Commission	Received after deadline	Not Applicable	Not Applicable
Armed Forces Retirement Home	Not Applicable - No SAORM	3.25	71
Barry Goldwater Scholarship Foundation	Not Applicable - No SAORM	3.25	68
Board of Governors of the Federal Reserve System and the Federal Open Market Committee	Yes	2.75	93
Broadcasting Board of Governors/International Broadcasting Bureau	No	1.75	46
Central Intelligence Agency	Yes	3.25	93
Chemical Safety and Hazard Investigation Board	Not Applicable - No SAORM	3	91
Commodity Futures Trading Commission	No	2	78
Congressional Budget Office	Not Applicable - Legislative Branch	4	86
Consumer Financial Protection Bureau	Yes	3.75	100
Corporation for National and Community Service	Yes	3.75	53
Court Services and Offender Supervision Agency	Yes	3.75	96
Court Services and Offender Supervision Agency Pretrial Services Agency for the District of Columbia	Yes	1.25	75
Defense Nuclear Facilities Safety Board	Yes	2.25	61
Denali Commission	Not Received	Not Applicable	Not Applicable
Department of Agriculture			
Agricultural Marketing Service	See Department	2.75	96
Agriculture Research Service	See Department	2.5	84
Animal and Plant Health Inspection Service	See Department	2.5	91
Department Level/Headquarters	Yes	2.75	100
Economic Research Service	See Department	2.5	87
Farm Service Agency	See Department	2.5	100
Food and Nutrition Service	See Department	3	99
Food Safety and Inspection Service	See Department	2.75	87
Foreign Agricultural Service	See Department	2.5	100

Appendix V: Individual Agency Results

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
Grain Inspection Packers and Stockyards Administration	See Department	1.50	91
National Agricultural Statistics Service	See Department	2.75	97
National Institute of Food and Agriculture	See Department	4	90
Natural Resources Conservation Service	See Department	2.75	100
Office of the Chief Information Officer	See Department	2.75	100
Risk Management Agency	See Department	2.75	100
Rural Development	See Department	2.75	98
US Forest Service	See Department	3	87
Department of Commerce			
Bureau of Economic Analysis	See Department	2.5	100
Bureau of Industry and Security	See Department	3.25	83
Department Level/Headquarters	Yes	3.25	83
Economic Development Administration	See Department	2.25	94
Economics and Statistics Administration	See Department	2	77
International Trade Administration	See Department	3.25	80
Minority Business Development Agency	See Department	3.25	90
National Institute of Standards and Technology	See Department	3.25	94
National Oceanic and Atmospheric Administration	See Department	2.5	84
National Technical Information Service	See Department	3.75	75
National Telecommunications and Information Administration	See Department	2.25	76
Office of the Inspector General/Departmental Management	See Department	2	81
Office of the Secretary	See Department	3.25	78
US Census Bureau	See Department	2.75	67
US Patent and Trademark Office	Yes	3.75	97
Department of Defense			
Army and Air Force Exchange Service	Yes	4	64
Defense Commissary Agency	See Department	3	82
Defense Contract Audit Agency	See Department	1.75	83
Defense Contract Management Agency	See Department	1.75	57
Defense Finance and Accounting Service	See Department	3	93
Defense Information Systems Agency	See Department	3	85
Defense Intelligence Agency	No	2	55
Defense Logistics Agency	See Department	3	88
Defense Security Services	See Department	1.25	67

Appendix V: Individual Agency Results

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
Defense Technical Information Center	See Department	2	87
Defense Threat Reduction Agency	See Department	3.25	100
Department Level/Headquarters	Yes	See individual DOD responses	See individual DOD responses
Department of the Air Force	Yes	1.75	93
Department of the Army	Yes	2.5	95
Department of the Navy	Yes	3.25	97
Department of the Navy/ US Marine Corps	Yes	2	78
DOD Independent Agencies	Yes	See individual DOD responses	See individual DOD responses
Joint Chiefs of Staff	Yes	2.5	61
Missile Defense Agency	See Department	4	93
National Defense University	See Department	1.5	45
National Geospatial-Intelligence Agency	Yes	1.5	74
National Guard Bureau	See Department	2.5	81
Office of Inspector General	See Department	2.75	77
Office of the Secretary of Defense	Yes	3	90
US Africa Command	See Department	2.25	40
US Central Command	See Department	2.5	73
US European Command	See Department	2	65
US Northern Command	See Department	2.25	84
US Pacific Command	See Department	0.5	54
US Southern Command	See Department	3	83
US Special Operations Command	See Department	1.75	80
US Strategic Command	See Department	1.75	93
US Transportation Command	See Department	3.75	95
Department of Education			
	Yes	3.5	93
Department of Energy			
Bonneville Power Administration	Yes	3	94
Department Level/Headquarters	Yes	2	76
Energy Information Administration	See Department	2.5	80
National Nuclear Security Administration	See Department	2.25	53
Southeastern Power Administration	Yes	2.5	78
Southwestern Power Administration	Yes	4	93
Western Area Power Administration	Yes	2.25	27
Department of Health and Human Services			

Appendix V: Individual Agency Results

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
Administration for Children and Families	See Department	2.75	82
Administration for Community Living	See Department	3	93
Agency for Healthcare, Research and Quality	See Department	4	100
Centers for Disease Control and Prevention	See Department	3.75	94
Centers for Medicare & Medicaid Services	See Department	2.75	69
Department Level/Headquarters	Yes	3	91
Food and Drug Administration	See Department	2.5	72
Health Resources and Services Administration	See Department	4	100
Indian Health Service	See Department	2	76
National Institutes of Health	See Department	2.5	88
Office of the Secretary	See Department	3	81
Substance Abuse and Mental Health Services	See Department	2.25	59
Department of Homeland Security			
Customs and Border Protection	See Department	1.5	53
Department Level/Headquarters	No	1.75	77
Federal Emergency Management Agency	See Department	1.75	71
Federal Law Enforcement Training Center	See Department	3.25	96
Transportation Security Administration	See Department	1.25	70
US Citizenship and Immigration Services	See Department	2.5	97
US Coast Guard	See Department	0.25	33
US Immigration and Customs Enforcement	See Department	0.75	73
US Secret Service	See Department	2.5	96
Department of Housing and Urban Development			
Department Level/Headquarters	Yes	1.75	47
Office of Inspector General	See Department	3.25	63
Department of Justice			
Bureau of Alcohol Tobacco Firearms and Explosives	See Department	3.25	98
Department Level/Headquarters	Yes	3	97
Drug Enforcement Administration	See Department	3	85
Executive Office for Immigration Review	See Department	2.5	92
Executive Office for United States Attorneys	See Department	4	89
Federal Bureau of Investigation	See Department	4	100
Federal Bureau of Prisons	See Department	3.75	83
Office of Justice Programs	See Department	1.5	93
United States Marshals Service	See Department	1.5	83

Appendix V: Individual Agency Results

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
Department of Labor			
Adjudicatory Boards	See Department	3.5	98
Bureau of International Labor Affairs	See Department	2.75	90
Bureau of Labor Statistics	See Department	2.5	91
Department Level/Headquarters	Yes	2.75	99
Employee Benefits Security Administration	See Department	3.75	99
Employment and Training Administration	See Department	2.75	100
Mine Safety and Health Administration	See Department	2.75	99
Occupational Safety and Health Administration	See Department	2.75	94
Office of Administrative Law Judges	See Department	2.75	95
Office of Congressional & Intergovernmental Affairs, USDOL	See Department	2.75	90
Office of Disability Employment Policy	See Department	2.75	99
Office of Federal Contract Compliance Programs	See Department	2.75	91
Office of Inspector General	See Department	3	99
Office of Labor-Management Standards	See Department	2.75	93
Office of Public Affairs	See Department	2.75	97
Office of the Assistant Secretary for Administration and Management	See Department	3	96
Office of the Assistant Secretary for Policy	See Department	2.75	91
Office of the Chief Financial Officer	See Department	2.75	88
Office of the Executive Secretariat	See Department	2.5	99
Office of the Solicitor	See Department	2.75	99
Office of Workers' Compensation Programs	See Department	2.75	99
Ombudsman Office	See Department	2.75	85
Veterans' Employment and Training Service	See Department	2.75	94
Wage and Hour Division	See Department	2.75	91
Women's Bureau	See Department	3.25	93
Department of State			
	No	2.75	83
Department of the Interior			
Bureau of Indian Affairs	See Department	4	97
Bureau of Land Management	See Department	3.5	94
Bureau of Ocean Energy Management	See Department	3.5	72
Bureau of Reclamation	See Department	3.5	93
Bureau of Safety and Environmental Enforcement	See Department	3.25	73
Department Level/Headquarters	Yes	See individual	See individual

Appendix V: Individual Agency Results

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
		DOI Responses	DOI Responses
National Park Service	See Department	3.5	94
Office of Surface Mining Reclamation and Enforcement	See Department	3.25	88
Office of the Secretary	See Department	3.5	91
Office of the Special Trustee for American Indians, Office of Trust Records for the Bureau of Indian Affairs (BIA)	See Department	4	97
US Fish and Wildlife Service	See Department	3.5	91
US Geological Survey	See Department	3.5	76
Department of the Treasury			
Alcohol and Tobacco Tax and Trade Bureau	Yes	3.5	98
Bureau of Engraving and Printing	See Department	1.5	29
Bureau of the Fiscal Service	See Department	3.5	65
Department Level/Headquarters	Yes	2.5	78
Financial Crimes Enforcement Network	See Department	2.25	80
Internal Revenue Service	See Department	3.25	96
Office of the Comptroller of the Currency	Not Received	4	98
United States Mint	See Department	2.75	77
Department of Transportation			
Department Level/Headquarters	Yes	3.5	97
Federal Aviation Administration	See Department	2.75	78
Federal Highway Administration	See Department	3.5	96
Federal Motor Carrier Safety Administration	See Department	3.5	91
Federal Railroad Administration	See Department	4	94
Federal Transit Administration	See Department	3.5	87
Maritime Administration	See Department	3.5	70
National Highway Traffic Safety Administration	See Department	3.5	89
Office of Inspector General	See Department	3.5	84
Office of the Secretary	See Department	2.75	79
Pipeline and Hazardous Materials Safety Administration	See Department	3.5	97
Saint Lawrence Seaway Development Corporation	See Department	3.5	96
Surface Transportation Board	See Department	1.25	74
Department of Veterans Affairs			
Board of Veterans' Appeals	See Department	3.25	71

Appendix V: Individual Agency Results

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
Department Level/Headquarters	No	2.25	70
National Cemetery Administration	See Department	2.25	69
Veterans Benefits Administration	See Department	2.25	91
Veterans Health Administration	See Department	2.25	92
Equal Employment Opportunity Commission			
Equal Employment Opportunity Commission	Not Applicable - No SAORM	2	87
Executive Office of the President			
Council on Environmental Quality	Yes	3.75	99
Office of Management and Budget	Yes	3.5	78
Office of Science and Technology Policy	Yes	3.75	90
Office of the Director of National Drug Control Policy	Yes	3.75	79
Office of the United States Trade Representative	Yes	3.75	99
Export-Import Bank of the United States			
Export-Import Bank of the United States	Yes	3.75	93
Farm Credit Administration			
Farm Credit Administration	No	2.25	80
Federal Communications Commission			
Federal Communications Commission	Yes	2.5	83
Federal Election Commission			
Federal Election Commission	Not Received	2.25	36
Federal Energy Regulatory Commission			
Federal Energy Regulatory Commission	No	2	87
Federal Housing Finance Agency			
Federal Housing Finance Agency	Yes	3.75	84
Federal Labor Relations Authority			
Federal Labor Relations Authority	Not Received	1.75	54
Federal Maritime Commission			
Federal Maritime Commission	Yes	4	82
Federal Mediation and Conciliation Service			
Federal Mediation and Conciliation Service	No	1.5	93
Federal Mine Safety and Health Review Commission			
Federal Mine Safety and Health Review Commission	Yes	3.75	84
Federal Retirement Thrift Investment Board			
Federal Retirement Thrift Investment Board	No	0.25	54
Federal Trade Commission			
Federal Trade Commission	Yes	2.75	99
General Services Administration			
General Services Administration	Yes	3	60
Institute of Museum and Library Services			
Institute of Museum and Library Services	Yes	3	78
Inter-American Foundation			
Inter-American Foundation	Yes	Not Applicable	Not Applicable
International Boundary and Water Commission (US/Mexico)			
International Boundary and Water Commission (US/Mexico)	Not Applicable - No SAORM	2.5	77
Japan-US Friendship Commission			
Japan-US Friendship Commission	Not Applicable - No SAORM	0.5	9
Library of Congress			
Library of Congress	Legislative - not required to respond	3.75	89
Marine Mammal Commission			
Marine Mammal Commission	No	1.5	39
Merit Systems Protection Board			
Merit Systems Protection Board	Yes	1.75	51
Millennium Challenge Corporation			
Millennium Challenge Corporation	Yes	2.25	67
National Aeronautics and Space Administration			
National Aeronautics and Space Administration	Yes	3	92

Appendix V: Individual Agency Results

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
National Archives and Records Administration	Yes	4	98
National Capital Planning Commission	Not Applicable - No SAORM	2.25	64
National Credit Union Administration	Yes	1.5	47
National Endowment for the Arts	Not Applicable - No SAORM	3.75	92
National Endowment for the Humanities	Yes	2.75	51
National Indian Gaming Commission	Yes	2	46
National Labor Relations Board	No	2.5	85
National Mediation Board	Not Received	4	89
National Reconnaissance Office	No	2.25	84
National Science Foundation	Yes	3	78
National Security Agency	Yes	2.75	96
National Transportation Safety Board	Yes	2	77
Nuclear Waste Technical Review Board	Not Applicable - No SAORM	0.75	57
Occupational Safety and Health Review Commission	Yes	3	90
Office of Navajo and Hopi Indian Relocation	Yes	2.25	81
Office of Personnel Management	No	2.25	81
Office of the Director of National Intelligence	Yes	2.5	89
Office of the Special Inspector General for Afghanistan Reconstruction	Yes	3.25	94
Overseas Private Investment Corporation	Yes	2	91
Peace Corps	No	1.5	71
Pension Benefit Guaranty Corporation	Yes	2.75	71
Postal Regulatory Commission	Yes	3.25	91
Presidio Trust	Not Received	0.75	13
Privacy and Civil Liberties Oversight Board	Yes	4	83
Railroad Retirement Board	Yes	3.25	49
Selective Service System	Yes	3	87
Social Security Administration	Yes	4	100
Tennessee Valley Authority	Yes	3	71
Udall Foundation	Not Received	1.5	78
United States Commission on Civil Rights	Not Applicable - No SAORM	4	89
United States Institute of Peace	No	1.5	15
United States Sentencing Commission	Yes	2.5	95
US Access Board	Yes	3.75	100
US African Development Foundation	Yes	3.75	93
US Agency for International Development	Yes	2.25	94
US Commission of Fine Arts	No	1.75	20

Appendix V: Individual Agency Results

Agency Name	SAORM 1.2 Target Met	Email Maturity Model Score	RMSA Score
US Consumer Product Safety Commission	No	1.75	42
US Election Assistance Commission	Not Received	3	38
US Environmental Protection Agency	Yes	3.25	92
US Government Accountability Office	Yes	4	100
US Government Publishing Office	Legislative - not required to respond	2.5	100
US International Trade Commission	Yes	3.5	97
US Nuclear Regulatory Commission	Yes	2.5	94
US Office of Government Ethics	Yes	3.25	78
US Office of Special Counsel	No	2.25	74
US Securities and Exchange Commission	Yes	4	100
US Small Business Administration	Yes	2.25	82
US Tax Court	Judicial - not required to respond	0.25	40
US Trade and Development Agency	No	2	62



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