

# NARA's Electronic Records Project

Summary Report  
FY 2005 – FY 2009



National Archives and  
Records Administration

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#### ***EXECUTIVE SUMMARY***

In December 2005, NARA issued Bulletin 2006-02, NARA Guidance for Implementing Section 207(e) of the E-Government Act of 2002, requiring all Federal agencies to identify and schedule their electronic records and to transfer to NARA electronic records that are permanently valuable. Bulletin 2006-02, along with subsequent related NARA bulletins and the E-Government Act provisions, outlined the goals and responsibilities for NARA and Federal agencies under the Electronic Records Project. NARA reviewed its policies and procedures for working with agencies to schedule and transfer electronic records, including raising the profile of this activity through specialized training and high-level advocacy with senior agency officials between FY 2005 and FY 2009.

NARA Bulletin 2006-02 formally established a Government-wide deadline of September 30, 2009, for agencies to submit records schedules to NARA for all their existing electronic records. As part of the Electronic Records Project, NARA requested status reports from agencies and tracked progress towards meeting this goal. In particular, NARA advised agencies to concentrate on scheduling electronic records supporting their core mission rather than records relating to administrative or housekeeping functions that are typically covered under NARA's General Records Schedules.

By the September 30, 2009, deadline, NARA had received electronic records scheduling reports from 160 of 240 Federal agencies for a 67 percent response rate. Of the 240 agencies, 42 percent were considered low risk, with records schedules submitted for 90 percent or more of their existing electronic records. Twenty-five percent of the agencies were categorized as moderate to high risk, having submitted records schedules to NARA for less than 90 percent of their electronic records. Between FY 2005 and FY 2009, NARA staff received and approved records schedules covering 2,404 series of electronic records.

To improve the agency response rate and compliance percentage, NARA will continue to advocate for the scheduling and transfer to NARA of electronic records. Going forward, NARA will explore new strategies and partnerships to promote the goals of the Electronic Records Project. Though the September 30, 2009 deadline has passed, NARA views this project as an ongoing activity and will continue to provide oversight, guidance, and training until all Federal agencies are compliant with the requirements in NARA Bulletins and the E-Government Act.

#### ***INTRODUCTION***

The National Archives and Records Administration (NARA) oversees the records management practices of Federal agencies to ensure that they manage all their records, including electronic records, in accordance with statutory and regulatory recordkeeping requirements. For many years NARA has actively worked to meet the challenges of electronic recordkeeping and the ever increasing use of technology in the Government. Among these challenges are the rapidly expanding volume of electronic records created and stored in agencies, rapid technological

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obsolescence of hardware and software, the significant challenges of long-term access and archival preservation of permanent electronic records, highly decentralized recordkeeping practices, and the challenges of maintaining and preserving the trustworthiness and authenticity of electronic records for as long as they are needed.

To address these and other records management challenges, in July 2003, NARA released its Strategic Directions for Federal Records Management report that initiated the re-design of Federal records management.<sup>1</sup> The report, which laid the foundation for NARA's Records Management Initiatives (RMI), proposed several strategies and a wide variety of tactics to make records easier to schedule and the implementation of records schedules more effective for Federal agencies. These new tactics, such as flexible scheduling, media neutral scheduling, and pre-accessioning of permanent electronic records, among others, significantly improve agency capabilities to identify, schedule, and transfer their records to NARA.

Congress, in recognizing the growing use of electronic information systems and use of the Internet by Federal agencies and the public to do business, passed the E-Government Act of 2002 (44 U.S.C. § 3501 note) to improve the methods by which Government information, including information on the Internet, is organized, preserved, and made accessible to the public. Section 207(e) of the Act specifically directs the Archivist of the United States to issue policies:

(A) requiring the adoption by agencies of policies and procedures to ensure that chapters 21, 25, 27, 29, and 31 of title 44, United States Code, are applied effectively and comprehensively to Government information on the Internet and to other electronic records; and

(B) imposing timetables for the implementation of the policies, procedures, and technologies by agencies.

With the passage of the E-Government Act of 2002 (E-Gov Act, or the Act), and the overall growth of electronic information in the Federal Government, NARA reviewed its policies and procedures for working with Federal agencies to appraise and approve agency records schedules. In addition to evaluating its own internal processes, NARA engaged with agencies to develop new ways to promote electronic records scheduling and to encourage agencies to schedule all of their electronic records and electronic systems. In addition to efforts in identifying and scheduling these records, NARA also worked with agencies to monitor the transfer of permanently valuable electronic records to the National Archives.

Agencies received formal guidance on implementing the provisions of the E-Gov Act when NARA issued Bulletin 2006-02, NARA Guidance for Implementing Section 207(e) of the E-Government Act of 2002, on December 15, 2005. The Bulletin reminded agencies that they must continue to manage their records, including electronic records, in accordance with 44 U.S.C. chapters 31 and 35, NARA regulations in 36 CFR Chapter XII, Subchapter B, and Office of Management and Budget (OMB) Circular A-130. The Bulletin specifically highlighted Federal agency responsibilities under these requirements to identify and schedule their electronic

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<sup>1</sup> NARA's Strategic Directions for Federal Records Management report and related documents are available at <http://www.archives.gov/records-mgmt/initiatives/rm-redesign-project.html>.



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records and electronic systems (hereafter “e-records”), and to transfer to NARA electronic records that are determined to be permanently valuable (i.e., have NARA-approved permanent dispositions).

NARA also formally established a Government-wide deadline of September 30, 2009, for agencies to submit records schedules covering all their existing e-records if they were not already compliant with the provisions of the Bulletin. As defined in the Bulletin, "existing electronic information systems" were those systems that were in steady-state operation or a mixed life-cycle stage as of December 17, 2005, and electronic records in legacy systems that were not scheduled before decommissioning of the system. To track agency progress in meeting these goals, and to provide assistance to agencies in this high-priority project, NARA established a nationwide Electronic Records Project (E-Records Project) in early FY 2006.

### **STRATEGIES**

For the E-Records Project, NARA developed a variety of strategies and tactics to assist agencies in scheduling their unscheduled electronic records and electronic information systems. These strategies included developing new training classes and workshops tailored to helping agencies schedule all of their e-records; high-level advocacy, publicity, and briefings to senior executives, agency staff, and targeted groups or stakeholders; and issuing policies and guidance to agencies to focus their efforts and to help report on government-wide compliance. Each of these strategies will be discussed in more detail.

NARA's National Records Management Program (NRMP) staff worked aggressively with agencies to identify electronic records and systems that must be scheduled so agencies could comply with the September 30, 2009, deadline. NRMP staff focused on identifying, describing,

*NARA actively engaged with agencies to advocate for the scheduling and transfer to NARA of e-records. Between FY 2005 and FY 2009, NARA conducted:*

- 38 senior-level Headquarters briefings
- 11 senior-level Field briefings
- 7 Federal Executive Board (FEB) briefings
- 5 free e-records scheduling workshops

and appraising e-records supporting the “core mission” of Federal agencies, as opposed to administrative or other housekeeping records covered under NARA's General Record Schedules (GRS). Core mission records are defined as records that are directly related to an agency's primary mission in the Federal Government, as defined by the agency in websites,

publications, strategic planning materials, Federal Enterprise Architecture reports, previously approved records schedules, and similar materials. By focusing on core mission records, NRMP staff focused their agency assistance on high-value mission and program areas, which often have a high degree of permanent (or potentially permanent) records, and where records may be at risk because they are not scheduled or managed appropriately.

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NARA designated as its highest priority the departments and agencies listed in the Chief Financial Officers (CFO) Act of 1990, and other agencies not mentioned in the CFO Act, such as the Central Intelligence Agency (CIA) and the Department of Homeland Security (DHS). NARA targeted these agencies because they are known to have a high volume of permanent electronic records, or because NARA was aware of risks to records based on reports of unauthorized destructions of records, high volumes of unscheduled records, or other records management concerns. NRMP staff then worked directly with agencies to ensure that electronic records in the core mission areas were properly identified and adequately maintained to meet agency business needs, protect the legal and financial rights of the Government and its citizens, to schedule them for disposition, and to assure that electronic records with permanent value are preserved and transferred to NARA.

To track government-wide progress in the scheduling and transfer of e-records, NARA formally requested as part of the E-Records Project that agencies report to NARA on their progress, and identify all scheduled and unscheduled e-records in their agency. From these data and the approved records schedules, NARA staff determined which permanent e-records were eligible for transfer to the National Archives.

To assist agencies in meeting their e-records goals, NARA developed specialized e-records scheduling training classes, provided free of charge, to share practical tools and tips to help agencies comply with the E-Gov Act. A total of five classes in the Washington, DC area were developed, and over 250 records managers and staff

*NARA targeted e-records supporting agency core mission areas to improve the Government's ability to:*

- *meet agency business needs*
- *protect rights and assure accountability*
- *preserve and make available permanently valuable e-records for future generations*

from many agencies attended. Classes were offered on *Inventorying Electronic Records*, *Scheduling Electronic Records*, *Scheduling Tips and Shortcuts for Electronic Records*, and *Implementing Electronic Records Schedules*. For each class, following the general session, an individualized consultation was offered to each agency present to review draft schedules, discuss their e-records plans in more depth, or to identify concerns and issues that needed to be addressed with their NARA appraisal archivist. Similar workshops were offered in NARA regions across the country to provide nationwide e-records training opportunities.

NARA also updated its formal training curriculum for two of its Knowledge Area (KA) training courses - *KA 3, Scheduling Records*, and *KA 4, Implementation of Schedules* - to include focused e-records training and guidance for agencies attending these regularly scheduled courses. Additionally, NARA developed a special section on scheduling e-records for its legal workshop titled *The Case for Records Management: Issues for Federal Agency Counsel*, which focused on the role of the General Counsel in working with records officers and program managers to ensure e-records were scheduled by the deadline. Nationwide, many NRMP staff provided shorter briefings on the E-Records Project to agency records officers and other agency staff on an ad hoc basis. NARA also provided e-records workshops and tailored training to specific agencies that



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organized large agency-wide projects to help them schedule e-records, such as the Federal Bureau of Investigation (FBI) and the Federal Aviation Administration (FAA).

Advocacy was, and continues to be, a significant part of NARA's E-Records Project. To reach senior managers and develop executive level leadership in agencies, NARA reported e-records progress at NARA's regular Bi-monthly Records and Information Discussion Group (BRIDG) meetings with agency records officers to encourage them to get high-level support and promote the scheduling and transfer requirements in the E-Gov Act. NARA staff further reported regularly on e-records progress and issues at the Federal Records Council in Washington, DC, and delivered presentations to senior-level regional executives at Federal Executive Board meetings across the nation. NARA also provided speakers and staff for national conferences and professional meetings in the Washington, DC area, such as the Digital Preservation Conference in Virginia, and in the regions at the Bureau of Land Management's Records Management-FOIA-Privacy Conference in Salt Lake City, Utah.

*NARA issued three Bulletins reminding agencies of their responsibilities to schedule e-records in accordance with the E-Government Act of 2002:*

- *NARA Bulletin 2006-02, NARA Guidance for Implementing Section 207(e) of the E-Government Act of 2002 (December 15, 2005)*
- *NARA Bulletin 2008-03, Scheduling Existing E-Records (March 6, 2008)*
- *NARA Bulletin 2010-02, Continuing Agency Responsibilities for Scheduling E-Records (February 5, 2010)*

In addition, NARA sent letters to Agency Heads, Chief Information Officers, and General Counsels to notify them of the E-Government Act requirements and to encourage them to support their agency records officer and program managers in scheduling agency e-records by the September 30 deadline.

To clarify the E-Records Project requirements, NARA issued three

Bulletins reminding Federal agencies of the requirements for scheduling existing electronic records in accordance with Section 207(e) of the E-Government Act of 2002. As an incentive for agencies to comply with the Act and NARA's requests for information about agency scheduling progress, NARA publicly recognized agencies that made outstanding progress in meeting their e-records goals, and published a list of selected non-responsive and non-compliant agencies in its annual Performance and Accountability Report (PAR). This summary information, which is reported in the following results section, highlights both the challenges and successes NARA has identified in working with agencies to identify and schedule their e-records to comply with the requirements of the Act.



To promote a lifecycle perspective with agencies on the management and disposition of e-records, NARA developed strategies to monitor and assist agencies with the identification and transfer to NARA of permanently valuable electronic records. Once agencies scheduled their e-records, NARA staff reviewed the approved records

*NARA sent letters to Agency Heads, Chief Information Officers, and General Counsels to notify them of the E-Government Act requirements and to encourage their support with their agency records officer and program managers to schedule agency e-records by the September 30, 2009, deadline.*

schedules and determined which e-records were eligible for transfer to NARA. Since 2005, the NARA unit responsible for receiving permanent e-records from agencies, the Electronic and Special Media Records Services Division (NWME), adopted a strategy to target a selection of permanent e-records (also called “authorities” on records schedules) eligible for transfer during that fiscal year. NWME monitors this work in a database containing all eligible authorities, known as the Comprehensive Accounting of Scheduled Permanent Electronic Records (CASPER) system. At the beginning of each fiscal year, NWME staff review the eligible authorities from CASPER to determine which agencies to target, and then specific authorities containing e-records are selected for transfer. This “targeted agency strategy” supports NARA’s mission and goals to ensure the transfer of eligible electronic records and electronic systems in a timely manner.

## **RESULTS**

NARA worked with Federal agencies to improve their compliance with electronic recordkeeping requirements generally, and to schedule electronic systems and electronic records series specifically. NARA has also collected data on the volume of transfers of permanent e-records to NARA. Over the past several years, NARA has reported results in its annual Performance and Accountability Report (PAR). These data are derived from the information requested by NARA in the various NARA Bulletins, and submitted by agencies. Though NARA staff review these submissions, primarily for workload planning, NARA staff do not validate or verify each agency list of scheduled and unscheduled e-records. The following summaries from the 2008 and 2009 PAR reports represent the most recent results reported to NARA by agencies:

- In FY 2008, NARA surpassed its target goal of scheduling 280 e-records series and systems by completing 495 approved records schedule items. NARA recognized the Patent and Trademark Office, the Department of Homeland Security, the Federal Bureau of Investigation, the Department of Agriculture, the Small Business Administration, the Environmental Protection Administration, and the Nuclear Regulatory Commission for making dramatic improvements in their scheduling activities. NARA cited the Department of Health and Human Services, the National Transportation Safety Board, the Defense Contract Management Agency, the National Institute of Standards and Technology, and the U.S. Marshals Service as agencies where NARA believed records were at risk because e-records had not been appropriately scheduled.





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- In FY 2009, NARA exceeded its target goal of scheduling 498 e-records series and systems by completing 794 approved records schedule items. NARA recognized the Department of State, the Department of Treasury, the Food and Drug Administration, and the Southwestern Power Administration for making dramatic progress in scheduling their e-records. NARA cited the Defense Intelligence Agency, the Defense Information System Agency, the Health Resources and Services Administration, the Department of Defense Joint Staff and Combatant Commands, and the U.S. Marshals Service as agencies where NARA believed records were at risk because e-records had not been appropriately scheduled.

Other data related to NARA's E-Records Project, and informing the findings of this report, include the results of the 2009 agency records management self-assessment. This activity, which required all Federal agencies to evaluate their records management programs and report to NARA, included several questions about e-records scheduling and transfer. Data was collected from 221 of 242 total agencies who were asked to report on the following areas. The aggregate results show that:

- 113 agencies (54% of the respondents) reported that more than 75% of their electronic information systems are scheduled
- 49 agencies (23% of the respondents) reported transferring permanent electronic records to NARA.

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It is important to note that for the records management self-assessment, agencies were required to report the number of e-records series or systems *approved*, whereas for the E-Records Project agencies were asked to report the number of e-records series or systems *submitted* to NARA but not necessarily approved. With regard to e-records transfers, NARA found that the percentage (23%) was lower than for e-records scheduled due to fewer e-records being eligible for transfer to NARA.

For the E-Records Project specifically, NARA required all Federal agencies<sup>2</sup> to submit records schedules to NARA by September 30, 2009, for all e-records existing as of December 17, 2005. This requirement was formally conveyed in NARA Bulletin 2006-02 (re-issued March 6, 2008 as NARA Bulletin 2008-03). In October 2008, April 2009, and August 2009, NARA requested that agencies provide a summary report documenting their progress towards completion of scheduling their existing e-records. NARA tracked information about 240 Federal agencies, and on September 30, 2009, NARA compiled the results as follows (see Figure 1):

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<sup>2</sup> *Federal agency*, as defined in 36 CFR 1220.18, means any executive agency or any establishment in the Legislative or Judicial branches of the Government (except the Supreme Court, Senate, the House of Representatives, and the Architect of the Capitol and any activities under his direction)).



- 84 agencies (35%) reported being in complete compliance
- 62 agencies (26%) reported being in partial compliance
- 14 agencies (6%) reported no e-records
- 80 agencies (33%) did not submit reports

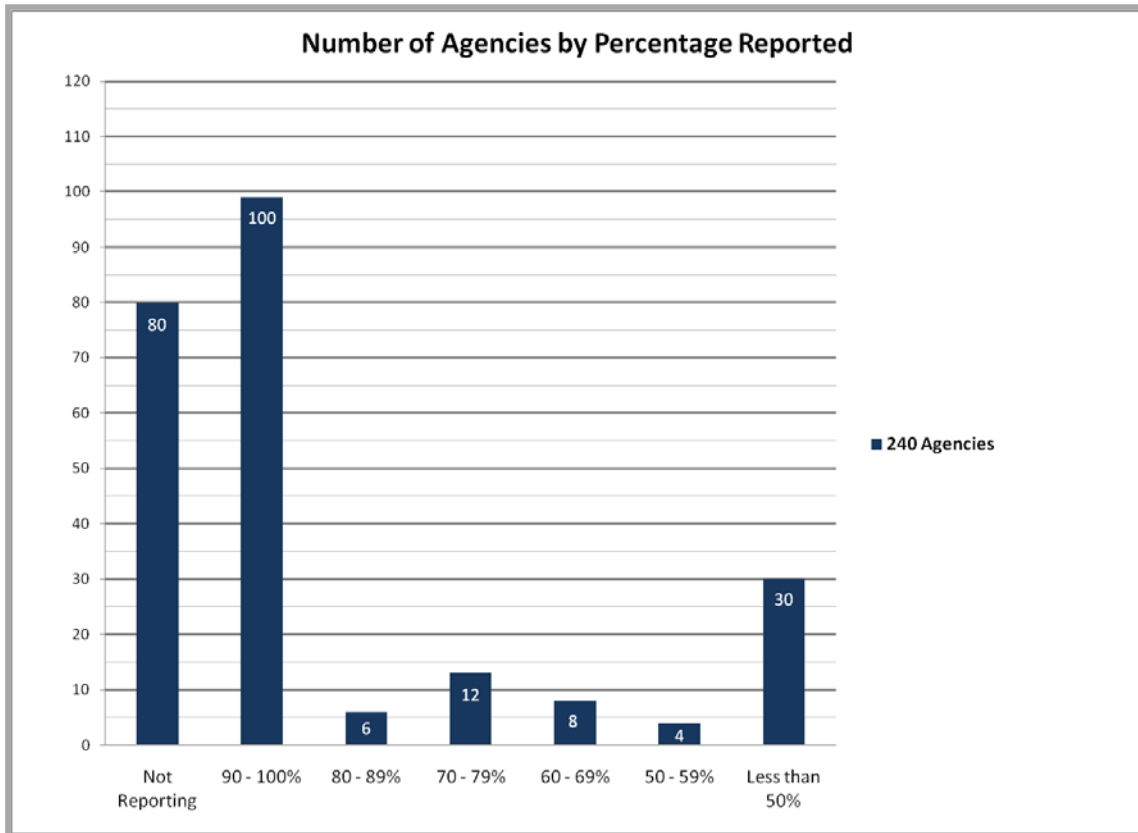


Figure 1. Number of Agencies by Percentage Reported

From the submissions received from agencies, NARA created categories where agencies are identified as low, moderate, or high risk depending on their progress in identifying and scheduling their existing e-records. NARA's guideline for placing agencies in one of these risk categories is as follows:

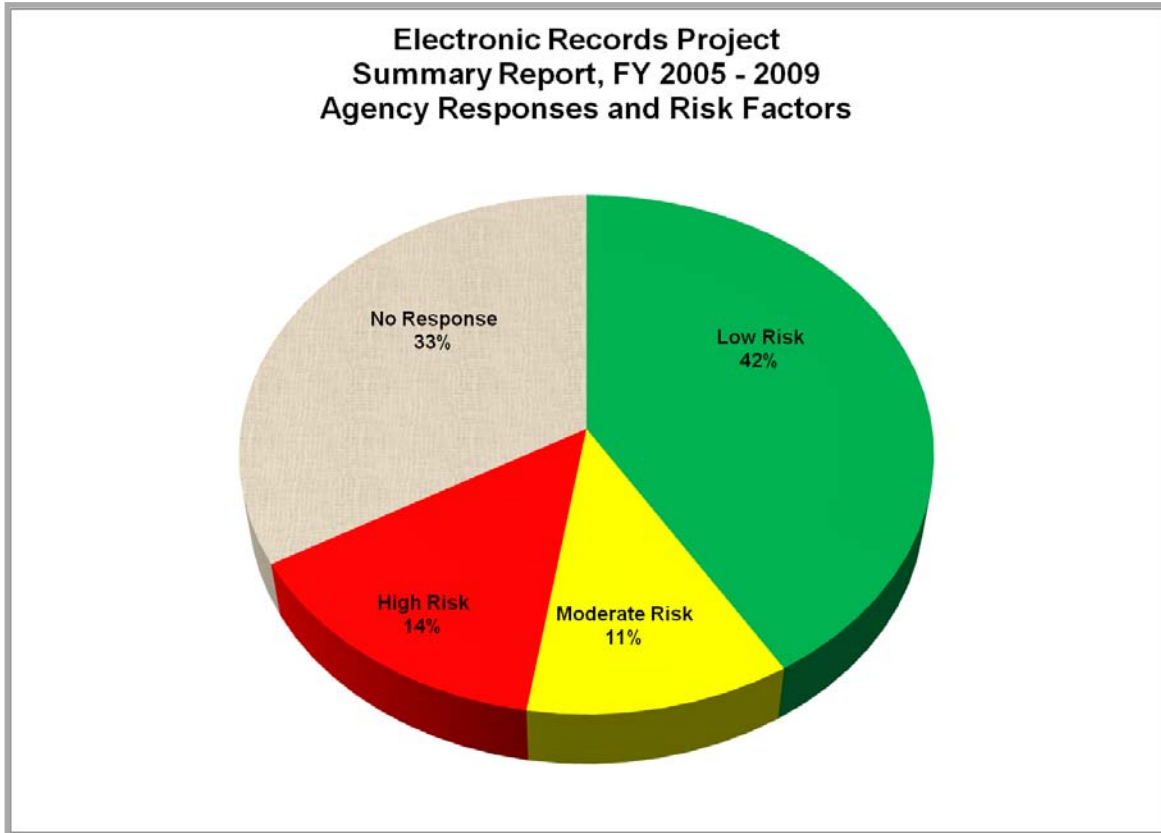
- Low risk – Records schedules submitted for 90 percent or more of existing e-records
- Moderate risk – Records schedules submitted for 60-89 percent of existing e-records
- High risk – Records schedules submitted for 59 percent or less of existing e-records.



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- The chart below illustrates the percentage of agencies in each of the risk categories and the percentage of agencies that did not respond to NARA's requests for information.

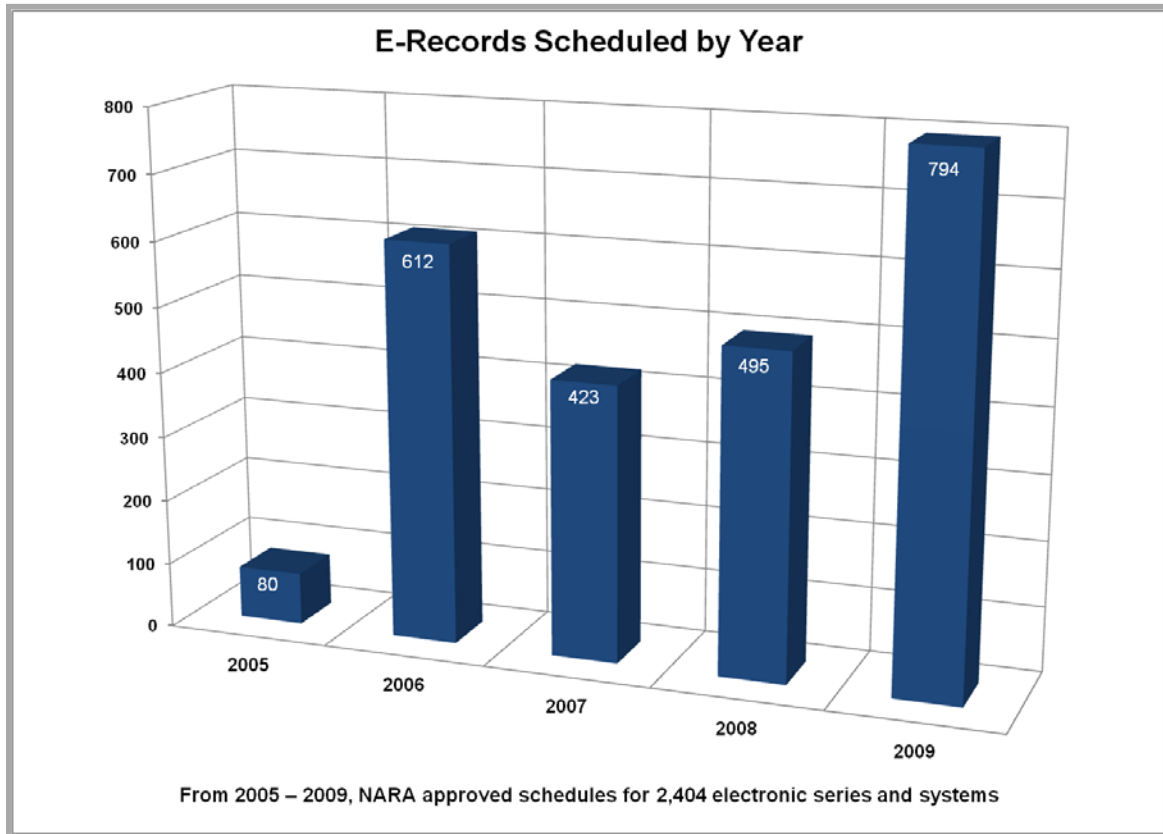


**Figure 2. Number of Agencies Categorized by Risk**

For more detailed information, Appendix 1 of this report contains an alphabetical listing of all reporting agencies according to records management risk category. Appendix 2 contains the same information sorted according to agency name. Appendix 3 is an alphabetical listing of all non-responding agencies that did not complete and submit an e-records scheduling report to NARA by the September 30, 2009 deadline. It should be noted that the data in this report represents a snapshot of agency status at the time the report was due. The E-Records Project is an ongoing activity that requires agencies either to update existing or develop new records schedules as needed, and then report this information to NARA.



For e-records scheduling from FY 2005 – FY 2009, NARA staff received and approved 2,404 series of e-records and electronic systems. The chart below shows how the volume of e-records has grown over the years in terms of records schedules submitted and approved by NARA.



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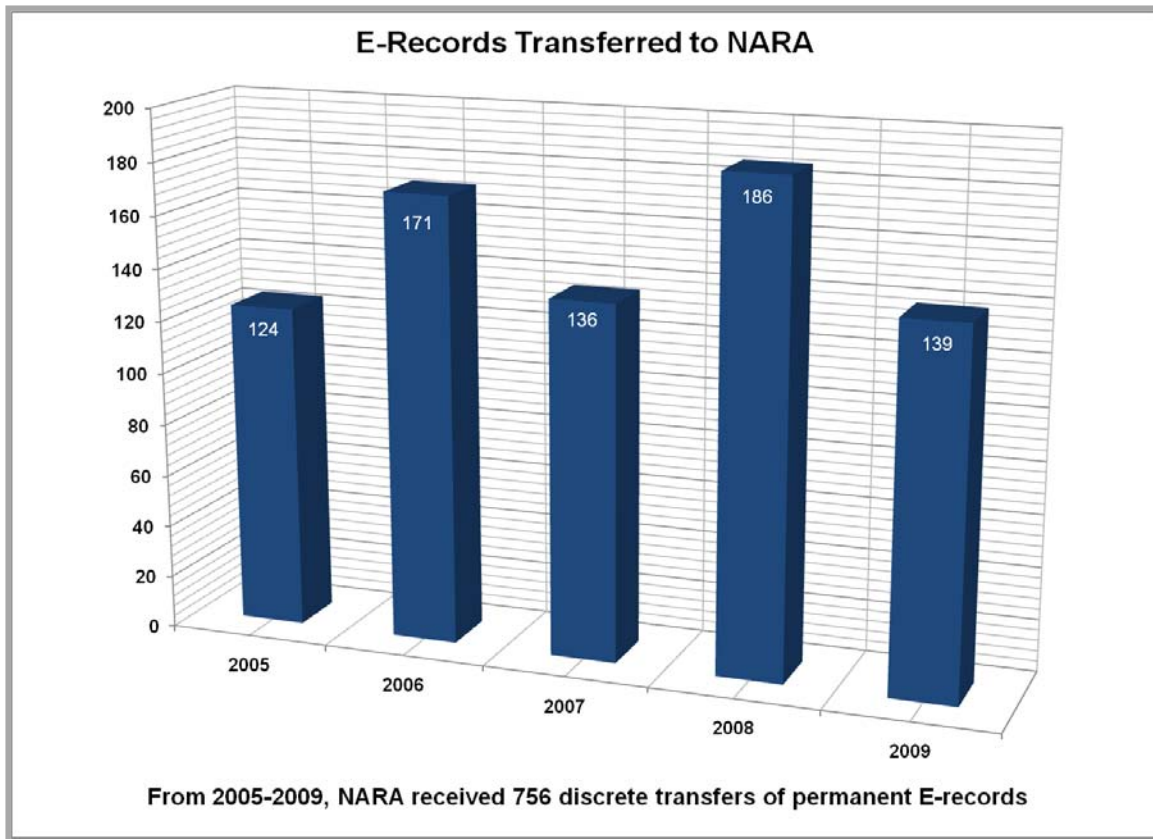
**Figure 3. Electronic Records Scheduled**

Over the same period, FY 2005 – FY 2009, NARA's Electronic and Special Media Records Services Division (NWME) tracked permanent e-records eligible for transfer to NARA. Working with agencies, NWME staff followed up with Federal agency contacts to ensure the timely transfer of these records in accordance with the approved records schedules. The results of this work, shown in Figure 4, are that from FY 2005 – FY 2009 NARA received a total of 756 discrete transfers of permanent electronic records.



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**Figure 4. Electronic Records Transferred to NARA**

Scheduling and transferring agency e-records continues to be a high priority for NARA. NRMP and NWME staff meet monthly with the Assistant Archivist for Records Services - Washington, DC, to discuss agency and NARA staff progress, and have worked diligently to compile data for workload and tracking purposes on the number of e-records scheduled and transferred. With the volume and complexity of e-records increasing each year, it continues to be a challenge for both NARA and Federal agencies to keep pace with the requirements to identify, schedule, and transfer to NARA all existing e-records.

### ***FINDINGS***

Looking at the results presented above, it is clear that while much has been accomplished, there still remains a great deal for NARA and agencies to work on with regard to scheduling and transferring e-records. There is a need for more advocacy and training – and better methods for accomplishing both. In addition, there are resource challenges if NARA and agencies are to keep up with the requirements of the E-Government Act. From NARA's perspective, there needs to be sufficient NRMP staff to appraise and process submitted records schedules in a timely fashion. Agencies, on the other hand, need to acquire and devote sufficient resources to records management to ensure that e-records are effectively identified, managed, and dispositioned.

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A closer look at the reported information and how it corresponds to the identified risk categories is depicted in Figure 2 and discussed in more detail below:

- *Non-respondents.* **33%** of 240 Federal agencies did not respond to NARA's requests for information (see Appendix 2 for the complete list). NARA is concerned with the high percentage of non-respondents and continues to work with agencies to improve this number, focusing primarily on advocacy and training. NARA recognizes that this is a resource-intensive activity for Federal agencies, and as such, NARA needs to make the reporting process simpler for agencies to complete, including developing tools such as templates or web-enabled forms to facilitate this task.
- *Low Risk Agencies.* **42%** of the agencies have submitted records schedules for 90% or more of their e-records. For agencies in this category, it is less likely that e-records will be inappropriately managed or at risk of accidental or unauthorized destruction. Agencies that have taken the proper steps to identify and schedule their records have a better understanding of the information they create and maintain, and therefore, are better positioned to capture and preserve it. NARA needs to continue working with agencies to improve this percentage and promote full compliance with the E-Gov Act requirements.
- *Moderate Risk Agencies:* **11%** of the agencies have submitted records schedules for 60% to 89% of their e-records. These agencies warrant continued monitoring and NARA assistance as needed to improve compliance.
- *High Risk Agencies:* **14%** of the agencies were categorized as high risk, having 59% or less of their e-records appropriately scheduled. NARA will continue to reach out to these agencies to learn more about their records scheduling activities and offer records management assistance as necessary. In certain cases, NARA will consider performing an on-site agency inspection to evaluate records management risks and other related areas of concern.
- *Electronic records transfers.* As a result of NWME's targeted agency strategy, NARA was able to increase the volume of eligible permanent electronic records transferred to NARA. Also, as a result of the E-Records Project, several NWME staff were invited to brief agency personnel concerning a wide-variety of electronic records transfer issues. NWME staff will continue advocacy efforts with agencies. In addition, NARA found that staff contacts with agencies concerning targeted transfers prompts agencies to review the transfer status of other records and transfer them as well if they are due.

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## ***RECOMMENDATIONS***

Looking forward, NARA continues to work with Federal agencies to identify and schedule all their e-records, and we will also support agencies as they transfer their permanent e-records to NARA. Although the September 30, 2009 deadline has passed, NARA will continue to provide oversight in this area until all agencies are compliant with the requirements of the E-Government



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Act. NARA Bulletin 2010-02 reinforces NARA's commitment to this goal, reminding agencies of their continuing responsibility to identify, schedule, and transfer their e-records. The Bulletin establishes semi-annual deadlines for all agencies to report their progress in scheduling their e-records, and it includes specific guidance in the appendix to assist agencies in doing this work.

For FY 2010 and beyond, NARA intends to explore new strategies, techniques, and partnerships to further the goals of the E-Records Project. Some of these activities include:

- conducting additional free workshops for agencies on how to develop effective e-records records schedules;
- formalizing e-records scheduling training in a regularly scheduled course as part of NARA's records management training curriculum;
- discussing new methods for reaching agency staff with training, including the use of Web 2.0 tools and distance learning;
- developing new methods for advocating for e-records scheduling and transfer activities, especially focusing on non-RM audiences in Federal agencies, such as CIOs, General Counsels, capital planning officials, and other senior staff;
- simplifying the reporting process outlined in NARA Bulletin 2010-02 to make it easier for agencies to develop and transmit their reports to NARA; and
- exploring new projects to review NARA's General Records Schedules (GRS) to determine whether larger aggregation records series (also known as 'big buckets') could be developed to cover more administrative e-records than are currently covered in the GRS. In doing so, agencies would have fewer e-records schedules to develop and submit to NARA, freeing up resources to work on other records management activities.



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*Report of Percentage of Electronic Records Scheduled  
and Records Management Program Risk Factor*

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*Low Risk, 100 Responses*

**Department of Agriculture**

Agricultural Marketing Service	100%
Agricultural Research Service	93%
Animal and Plant Health Inspection Service	100%
Departmental Administration	100%
Food and Nutrition Service, and Center for Nutrition Policy and Promotion	100%
Grain Inspection, Packers and Stockyards Administration	100%
Rural Development	100%

**Department of Commerce**

Bureau of Economic Analysis	100%
Bureau of Industry and Security	100%
Census Bureau	100%
International Trade Administration	100%
National Oceanic and Atmospheric Administration	100%
Office of the Secretary	100%

**Department of Defense**

Defense Commissary Agency	91%
Defense Finance and Accounting Service	100%
Joint Staff	100%
Missile Defense Agency	100%
National Geospatial-Intelligence Agency	90%
National Reconnaissance Office	100%
U.S. Africa Command	100%
U.S. Southern Command	100%



*Report of Percentage of Electronic Records Scheduled  
and Records Management Program Risk Factor*

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U.S. Transportation Command	100%
<b>Department of Education</b>	
Department of Education	100%
<b>Department of Energy</b>	
Bonneville Power Administration	100%
Department of Energy	100%
Southwestern Power Administration	100%
Western Area Power Administration	100%
<b>Department of Health and Human Services</b>	
Administration on Aging	100%
Agency for Healthcare Research and Quality	100%
Centers for Disease Control and Prevention	100%
Centers for Medicare and Medicaid Services	100%
Food and Drug Administration	100%
Health and Human Services, Office of the Inspector General	100%
Health and Human Services, Office of the Secretary	97%
Indian Health Service	91%
National Institutes of Health	100%
Substance Abuse and Mental Health Services Administration	100%
<b>Department of Homeland Security</b>	
Secret Service	94%
<b>Department of Justice</b>	
Bureau of Prisons	100%
Department of Justice	97%
National Drug Intelligence Center	100%
U.S. Attorneys and Executive Office for United States Attorneys	95%
<b>Department of Labor</b>	
Department of Labor	97%

*Report of Percentage of Electronic Records Scheduled  
and Records Management Program Risk Factor*

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Mine Safety and Health Administration	100%
<b>Department of State</b>	
Department of State	100%
<b>Department of the Interior</b>	
Bureau of Indian Affairs	100%
Bureau of Land Management	96%
National Park Service	100%
Office of Surface Mining Reclamation and Enforcement	100%
Office of the Special Trustee for American Indians	100%
U.S. Bureau of Reclamation	100%
U.S. Fish and Wildlife Service	92%
U.S. Geological Survey	100%
<b>Department of the Treasury</b>	
Alcohol and Tobacco Tax and Trade Bureau	100%
Bureau of Engraving and Printing	100%
Bureau of Public Debt	100%
Department of the Treasury	100%
Financial Crimes Enforcement Network	100%
Financial Management Service	100%
Internal Revenue Service	100%
Office of Comptroller of the Currency	100%
Office of Thrift Supervision	100%
U.S. Mint	100%
<b>Department of Transportation</b>	
Department of Transportation	100%
Federal Aviation Administration	93%
Federal Motor Carrier Safety Administration	95%
Federal Transit Administration	100%

*Report of Percentage of Electronic Records Scheduled  
and Records Management Program Risk Factor*

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Maritime Administration	100%
Office of the Inspector General	100%
Pipeline and Hazardous Materials Safety Administration	100%
Research and Innovative Technology Administration	100%
St. Lawrence Seaway Development Corporation	100%
Surface Transportation Board	100%

**Independent Entities**

Board of Governors of the Federal Reserve System	100%
Farm Credit Administration	100%
Federal Housing Finance Agency	100%
Federal Maritime Commission	100%
Federal Trade Commission	100%
Foreign Claims Settlement Commission of the United States	100%
Institute of Museum and Library Services	100%
Merit Systems Protection Board	100%
Millennium Challenge Corporation	100%
National Archives and Records Administration	94%
National Capital Planning Commission	100%
National Credit Union Administration	100%
National Endowment for the Arts	100%
National Indian Gaming Commission	100%
National Labor Relations Board	100%
National Mediation Board	100%
National Science Foundation	100%
Nuclear Regulatory Commission	100%
Nuclear Waste Technical Review Board	100%
Occupational Safety Health Review Commission	100%
Pension Benefit Guaranty Corporation	100%

*Report of Percentage of Electronic Records Scheduled  
and Records Management Program Risk Factor*

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Small Business Administration	93%
Social Security Administration	100%
Tennessee Valley Authority	100%
U.S. Office of Government Ethics	100%

**Judicial Branch**

Sentencing Commission	100%
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**Legislative Branch**

Government Accountability Office	100%
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*Moderate Risk, 26 Responses*

**Department of Agriculture**

Food Safety and Inspection Service	60%
U.S. Forest Service	77%

**Department of Commerce**

Economic Development Administration	67%
U.S. Patent and Trademark Office	78%

**Department of Defense**

Defense Contract Management Agency	62%
Defense Security Service	86%
Department of the Navy	86%

**Department of Energy**

Federal Energy Regulatory Commission	72%
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**Department of Homeland Security**

Customs and Border Protection	77%
Department of Homeland Security	89%
Immigration and Customs Enforcement	67%
United States Coast Guard	68%

**Department of Justice**

Bureau of Alcohol, Tobacco, Firearms, and Explosives	77%
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*Report of Percentage of Electronic Records Scheduled  
and Records Management Program Risk Factor*

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Drug Enforcement Agency	77%
Federal Bureau of Investigation	86%
<b>Department of the Interior</b>	
Minerals Management Service	75%
<b>Department of Transportation</b>	
Federal Highway Administration	70%
Federal Railroad Administration	84%
National Highway Transportation Safety Administration	60%
<b>Department of Veterans Affairs</b>	
Department of Veterans Affairs	62%
<b>Independent Entities</b>	
Central Intelligence Agency	87%
Commodity Futures Trading Commission	75%
Environmental Protection Agency	73%
International Trade Commission	75%
National Aeronautics and Space Administration	75%
U.S. Agency for International Development	76%

*High Risk, 34 Responses*

<b>Department of Agriculture</b>	
Farm Service Agency	<1%
<b>Department of Commerce</b>	
Minority Business Development Agency	0%
National Institute of Standards and Technology	0%
<b>Department of Defense</b>	
Army and Air Force Exchange Service	<1%
Business Transformation Agency	0%
Defense Information Systems Agency	0%
Defense Intelligence Agency	<1%

*Report of Percentage of Electronic Records Scheduled  
and Records Management Program Risk Factor*

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Defense Logistics Agency	46%
Department of the Air Force	34%
Department of the Army	50%
Office of Inspector General	25%
Office of the Secretary of Defense and WHS	49%
U.S. Central Command	38%
U.S. European Command	45%
U.S. Joint Forces Command	0%
U.S. Northern Command	0%
U.S. Pacific Command	29%
U.S. Special Operations Command	0%
U.S. Strategic Command	0%
<b>Department of Health and Human Services</b>	
Administration for Children and Families	56%
Health Resources and Services Administration	3%
<b>Department of Homeland Security</b>	
Federal Emergency Management Agency	42%
Transportation Security Administration	22%
<b>Department of State</b>	
International Boundary and Water Commission, United States and Mexico, United States Section	0%
<b>Independent Entities</b>	
Armed Forces Retirement Home	0%
Consumer Product Safety Commission	1%
Equal Employment Opportunity Commission	0%
Export-Import Bank of the United States	51%
Federal Communications Commission	35%
Federal Deposit Insurance Corporation	0%
Japan-U.S. Friendship Commission	0%

*Report of Percentage of Electronic Records Scheduled  
and Records Management Program Risk Factor*

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Office of the Director of National Intelligence	55%
Railroad Retirement Board	53%
U.S. Commission on Civil Rights	0%



*National Archives and Records Administration  
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*Report of Percentage of Electronic Records Scheduled by Agency Name*

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**Department of Agriculture**

Agricultural Marketing Service	100%
Agricultural Research Service	93%
Animal and Plant Health Inspection Service	100%
Cooperative State Research, Education, and Extension Service	No Report
Departmental Administration	100%
Farm Service Agency	<1%
Food and Nutrition Service, and Center for Nutrition Policy and Promotion	100%
Food Safety and Inspection Service	60%
Grain Inspection, Packers and Stockyards Administration	100%
National Agricultural Statistics Service	No Report
Natural Resources Conservation Service	No Report
Rural Development	100%
U.S. Forest Service	77%

**Department of Commerce**

Bureau of Economic Analysis	100%
Bureau of Industry and Security	100%
Census Bureau	100%
Economic Development Administration	67%
International Trade Administration	100%
Minority Business Development Agency	0%
National Institute of Standards and Technology	0%
National Oceanic and Atmospheric Administration	100%
National Technical Information Service	No Report
National Telecommunications and Information Administration	No Report



## *Report of Percentage of Electronic Records Scheduled by Agency Name*

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Office of the Secretary	100%
U.S. Patent and Trademark Office	78%

### **Department of Defense**

Army and Air Force Exchange Service	<1%
Business Transformation Agency	0%
Defense Commissary Agency	91%
Defense Contract Audit Agency	No Report
Defense Contract Management Agency	62%
Defense Criminal Investigative Service	No Report
Defense Finance and Accounting Service	100%
Defense Information Systems Agency	0%
Defense Intelligence Agency	<1%
Defense Logistics Agency	46%
Defense Security Service	86%
Defense Technical Information Center	No Report
Defense Threat Reduction Agency	No Report
Department of the Air Force	34%
Department of the Army	50%
Department of the Navy	86%
Joint Staff	100%
Missile Defense Agency	100%
National Geospatial-Intelligence Agency	90%
National Guard Bureau	No Report
National Reconnaissance Office	100%
National Security Agency - Central Security Service	No Report
Office of Inspector General	25%
Office of the Secretary of Defense and WHS	49%
U.S. Africa Command	100%
U.S. Army Corps of Engineers	No Report

## *Report of Percentage of Electronic Records Scheduled by Agency Name*

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U.S. Central Command	38%
U.S. European Command	45%
U.S. Joint Forces Command	0%
U.S. Marine Corps	No Report
U.S. Military Academy	No Report
U.S. Northern Command	0%
U.S. Pacific Command	29%
U.S. Southern Command	100%
U.S. Special Operations Command	0%
U.S. Strategic Command	0%
U.S. Transportation Command	100%

### **Department of Education**

Department of Education	100%
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### **Department of Energy**

Bonneville Power Administration	100%
Department of Energy	100%
Federal Energy Regulatory Commission	72%
Southeastern Power Administration	No Report
Southwestern Power Administration	100%
Western Area Power Administration	100%

### **Department of Health and Human Services**

Administration for Children and Families	56%
Administration on Aging	100%
Agency for Healthcare Research and Quality	100%
Centers for Disease Control and Prevention	100%
Centers for Medicare and Medicaid Services	100%
Food and Drug Administration	100%
Health and Human Services, Office of the Inspector General	100%
Health and Human Services, Office of the Secretary	97%

## *Report of Percentage of Electronic Records Scheduled by Agency Name*

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Health Resources and Services Administration	3%
Indian Health Service	91%
National Institutes of Health	100%
Substance Abuse and Mental Health Services Administration	100%

### **Department of Homeland Security**

Customs and Border Protection	77%
Department of Homeland Security	89%
Federal Emergency Management Agency	42%
Federal Law Enforcement Training Center	No Report
Immigration and Customs Enforcement	67%
Secret Service	94%
Transportation Security Administration	22%
U.S. Citizenship and Immigration Services	No Report
United States Coast Guard	68%

### **Department of Housing and Urban Development**

Department of Housing and Urban Development	No Report
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### **Department of Justice**

Bureau of Alcohol, Tobacco, Firearms, and Explosives	77%
Bureau of Prisons	100%
Department of Justice	97%
Drug Enforcement Agency	77%
Federal Bureau of Investigation	86%
Marshals Service	No Report
National Drug Intelligence Center	100%
U.S. Attorneys and Executive Office for United States Attorneys	95%
U.S. Parole Commission	No Report

### **Department of Labor**

Department of Labor	97%
Mine Safety and Health Administration	100%

*Report of Percentage of Electronic Records Scheduled by Agency Name*

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**Department of State**

Department of State	100%
International Boundary and Water Commission, United States and Mexico, United States Section	0%

**Department of the Interior**

Bureau of Indian Affairs	100%
Bureau of Land Management	96%
Government of American Samoa	No Report
Minerals Management Service	75%
National Park Service	100%
Office of Surface Mining Reclamation and Enforcement	100%
Office of the Special Trustee for American Indians	100%
U.S. Bureau of Reclamation	100%
U.S. Fish and Wildlife Service	92%
U.S. Geological Survey	100%

**Department of the Treasury**

Alcohol and Tobacco Tax and Trade Bureau	100%
Bureau of Engraving and Printing	100%
Bureau of Public Debt	100%
Department of the Treasury	100%
Financial Crimes Enforcement Network	100%
Financial Management Service	100%
Internal Revenue Service	100%
Office of Comptroller of the Currency	100%
Office of Thrift Supervision	100%
U.S. Mint	100%

**Department of Transportation**

Department of Transportation	100%
Federal Aviation Administration	93%

## *Report of Percentage of Electronic Records Scheduled by Agency Name*

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Federal Highway Administration	70%
Federal Motor Carrier Safety Administration	95%
Federal Railroad Administration	84%
Federal Transit Administration	100%
Maritime Administration	100%
National Highway Transportation Safety Administration	60%
Office of the Inspector General	100%
Pipeline and Hazardous Materials Safety Administration	100%
Research and Innovative Technology Administration	100%
St. Lawrence Seaway Development Corporation	100%
Surface Transportation Board	100%

### **Department of Veterans Affairs**

Department of Veterans Affairs	62%
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### **Executive Office of the President**

Council on Environmental Quality	No Report
Office of Management and Budget	No Report
Office of National Drug Control Policy	No Report
Office of Science and Technology Policy	No Report
Office of the United States Trade Representative	No Report

### **Independent Entities**

African Development Foundation	No Report
American Battle Monuments Commission	No Report
American Institute in Taiwan	No Report
Appalachian Regional Commission	No Report
Armed Forces Retirement Home	0%
Barry M. Goldwater Scholarship and Excellence in Education Foundation	No Report
Board of Governors of the Federal Reserve System	100%
Broadcasting Board of Governors	No Report
Central Intelligence Agency	87%

## *Report of Percentage of Electronic Records Scheduled by Agency Name*

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Commission of Fine Arts	No Report
Commodity Futures Trading Commission	75%
Congressional Budget Office	No Report
Consumer Product Safety Commission	1%
Corporation for National and Community Service	No Report
Defense Nuclear Facilities Safety Board	No Report
Delaware River Basin Commission	No Report
Environmental Protection Agency	73%
Equal Employment Opportunity Commission	0%
Export-Import Bank of the United States	51%
Farm Credit Administration	100%
Federal Communications Commission	35%
Federal Deposit Insurance Corporation	0%
Federal Election Commission	No Report
Federal Housing Finance Agency	100%
Federal Labor Relations Authority	No Report
Federal Maritime Commission	100%
Federal Mediation and Conciliation Service	No Report
Federal Mine Safety and Health Review Commission	No Report
Federal Retirement Thrift Investment Board	No Report
Federal Trade Commission	100%
Foreign Claims Settlement Commission of the United States	100%
General Services Administration	No Report
Harry S. Truman Scholarship Foundation	No Report
Indian Arts and Crafts Board	No Report
Institute of Museum and Library Services	100%
Inter-American Foundation	No Report
International Broadcasting Bureau	No Report
International Trade Commission	75%

*Report of Percentage of Electronic Records Scheduled by Agency Name*

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Japan-U.S. Friendship Commission	0%
Marine Mammal Commission	No Report
Merit Systems Protection Board	100%
Millennium Challenge Corporation	100%
Mississippi River Commission	No Report
Morris K. Udall and Stewart L. Udall Foundation	No Report
National Aeronautics and Space Administration	75%
National Archives and Records Administration	94%
National Capital Planning Commission	100%
National Council on Disability	No Report
National Credit Union Administration	100%
National Endowment for the Arts	100%
National Endowment for the Humanities	No Report
National Indian Gaming Commission	100%
National Labor Relations Board	100%
National Mediation Board	100%
National Science Foundation	100%
National Transportation Safety Board	No Report
Nuclear Regulatory Commission	100%
Nuclear Waste Technical Review Board	100%
Occupational Safety Health Review Commission	100%
Office of Navajo and Hopi Indian Relocation	No Report
Office of Personnel Management	No Report
Office of the Director of National Intelligence	55%
Office of the Special Counsel - Merit Systems Protection Board	No Report
Overseas Private Investment Corporation	No Report
Peace Corps	No Report
Pension Benefit Guaranty Corporation	100%
Postal Regulatory Commission	No Report

## *Report of Percentage of Electronic Records Scheduled by Agency Name*

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Presidio Trust	No Report
Railroad Retirement Board	53%
Securities and Exchange Commission	No Report
Selective Service System	No Report
Small Business Administration	93%
Social Security Administration	100%
State Justice Institute	No Report
Susquehanna River Basin Commission	No Report
Tennessee Valley Authority	100%
U.S. Agency for International Development	76%
U.S. Chemical Safety and Hazard Investigation Board	No Report
U.S. Commission on Civil Rights	0%
U.S. Holocaust Memorial Council and Museum	No Report
U.S. Office of Government Ethics	100%
U.S. Postal Service	No Report
U.S. Trade and Development Agency	No Report
United States Access Board	No Report
United States Institute of Peace	No Report

### **Judicial Branch**

Administrative Office of the U.S Courts	No Report
Federal Judicial Center	No Report
Sentencing Commission	100%
U.S. Foreign Intelligence Surveillance Court	No Report
United States District Courts	No Report
United States Court of Appeals for Veterans Claims	No Report
United States Court of International Trade	No Report

### **Legislative Branch**

Congressional Research Service	No Report
Government Accountability Office	100%



*Report of Percentage of Electronic Records Scheduled by Agency Name*

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Government Printing Office

No Report

Library of Congress

No Report

Office of Compliance

No Report



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## Non-Respondents

The following 80 Federal agencies did not complete and submit their electronic records scheduling reports by the September 30, 2009, deadline.

Some Federal agencies on this list made their first report of progress after September 30, 2009. Some Federal agencies on this list scheduled and/or transferred electronic records to NARA before September 30, 2009; however, they did not respond to our requests for information on their progress in meeting the requirements of the E-Gov Act of 2002.

As outlined in NARA Bulletin 2010-02, Continuing Agency Responsibilities for Scheduling Electronic Records, Federal agencies must report to NARA semi-annually on the status of their electronic records scheduling activities.

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### **Department of Agriculture**

Cooperative State Research, Education, and Extension Service

National Agricultural Statistics Service

Natural Resources Conservation Service

### **Department of Commerce**

National Technical Information Service

National Telecommunications and Information Administration

### **Department of Defense**

Defense Contract Audit Agency

Defense Criminal Investigative Service

Defense Technical Information Center

Defense Threat Reduction Agency

National Guard Bureau

National Security Agency - Central Security Service

U.S. Army Corps of Engineers

U.S. Marine Corps

U.S. Military Academy

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## **Department of Energy**

Southeastern Power Administration

## **Department of Homeland Security**

Federal Law Enforcement Training Center

U.S. Citizenship and Immigration Services

## **Department of Housing and Urban Development**

Department of Housing and Urban Development

## **Department of Justice**

Marshals Service

U.S. Parole Commission

## **Department of the Interior**

Government of American Samoa

## **Executive Office of the President**

Council on Environmental Quality

Office of Management and Budget

Office of National Drug Control Policy

Office of Science and Technology Policy

Office of the United States Trade Representative

## **Independent Entities**

African Development Foundation

American Battle Monuments Commission

American Institute in Taiwan

Appalachian Regional Commission

Barry M. Goldwater Scholarship and Excellence in Education Foundation

Broadcasting Board of Governors

Commission of Fine Arts

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Congressional Budget Office

Corporation for National and Community Service

Defense Nuclear Facilities Safety Board

Delaware River Basin Commission

Federal Election Commission

Federal Labor Relations Authority

Federal Mediation and Conciliation Service

Federal Mine Safety and Health Review Commission

Federal Retirement Thrift Investment Board

General Services Administration

Harry S. Truman Scholarship Foundation

Indian Arts and Crafts Board

Inter-American Foundation

International Broadcasting Bureau

Marine Mammal Commission

Mississippi River Commission

Morris K. Udall and Stewart L. Udall Foundation

National Council on Disability

National Endowment for the Humanities

National Transportation Safety Board

Office of Navajo and Hopi Indian Relocation

Office of Personnel Management

Office of the Special Counsel - Merit Systems Protection Board

Overseas Private Investment Corporation

Peace Corps

Postal Regulatory Commission

Presidio Trust

Securities and Exchange Commission

Selective Service System

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State Justice Institute

Susquehanna River Basin Commission

U.S. Chemical Safety and Hazard Investigation Board

U.S. Holocaust Memorial Council and Museum

U.S. Postal Service

U.S. Trade and Development Agency

United States Access Board

United States Institute of Peace

### **Judicial Branch**

Administrative Office of the U.S Courts

Federal Judicial Center

U.S. Foreign Intelligence Surveillance Court

United States Court of Appeals for Veterans Claims

United States Court of International Trade

United States District Courts

### **Legislative Branch**

Congressional Research Service

Government Printing Office

Library of Congress

Office of Compliance