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# Federal Agency Records Management 2023 Annual Report

*Senior Agency Official for Records Management Annual Report*  
*Records Management Self-Assessment*  
*Federal Electronic Records and Email Management Report*

National Archives and Records Administration  
October 2024

## FOREWORD

One of the National Archives and Records Administration's (NARA) 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.

Strong records management is necessary for transparency and accountability and underpins our democracy. Transitioning federal agencies to an electronic — or “paperless” — environment is a priority to enable and increase the ability of the public to engage with the government in new and more efficient and effective ways. It is critical that federal agencies move beyond paper-based processes and embrace the opportunities afforded to improve government by transitioning fully to an electronic environment. Memorandum M-19-21, *Transition to Electronic Records*, and M-23-07, *Update to Transition to Electronic Records*, issued jointly by the Office of Management and Budget (OMB) and NARA, established several requirements to move federal agencies to a fully electronic environment, where appropriate.

The transition to electronic records management requires strategic management of data, including federal records. It is important that records management be included in data management strategies, Information Resources Management Plans, and social media policies. The value and importance of records and the ability to access them contributes to continuity, accountability and efficiency. Some of the technological advances are now part of normal mission processes. These efforts are critical now and into the future as some of the records, information, and data created and collected today will become part of our Nation's history.

This report covers CY 2023 activities reported to us in three annual reports: the Senior Agency Official for Records Management (SAORM) Annual Report, the Records Management Self-Assessment (RMSA), and the Federal Electronic Records and Email Management Report (FEREM). Based on this input, this report describes the progress made by agencies, their challenges, and overall records management trends.

NARA is committed to ensuring that federal agencies are successful in making the transition to digital government and is looking forward to working with federal agencies to accomplish the goals that have been put before us. While NARA acknowledges the various challenges and competing priorities, the SAORMs in each agency must continue to lead and drive change as the need for a fully digital and open government has been proven to be no longer aspirational but essential.

DR. COLLEEN J. SHOGAN  
Archivist of the United States

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## EXECUTIVE SUMMARY

This consolidated report provides a summary analysis on the state of federal records management programs based on annual reports submitted to NARA as required for all Federal Records Act Agencies.<sup>1</sup> NARA required three related but separate submissions covering agency CY 2023 activities:

- Senior Agency Official for Records Management (SAORM) Annual Report
- Records Management Self-Assessment (RMSA)
- Federal Electronic Records and Email Management (FEREM) Report

Taken together, all three submissions demonstrate the progress made and the challenges faced by federal agencies as they continue the transition to fully electronic recordkeeping, as established in June 2019 by the Office of Management and Budget (OMB)/NARA government-wide policy memorandum, *Transition to Electronic Records* (M-19-21) and OMB/NARA M-23-07, *Update to Transition to Electronic Records*.

The Federal Agency Records Management Annual Reporting has, since 2009, been one of the key methods NARA uses to gather and analyze information from agencies on the state of their federal records management programs. By requiring annual reporting, NARA can capture information for a defined period of time and identify trends and common challenges.

For the 2023 reporting period (January 8 through March 8, 2024), we received a 97–99% response rate for all three reports. The agencies not responding to NARA’s reporting requirements are listed in the Introduction following this Executive Summary.

While dependent on self-reported data, the RMSA and FEREM provide NARA and agencies with a consistent evaluation tool. Using a low-, moderate-, and high-risk scale, the reports indicate agencies’ level of risk for not managing records effectively. The objective is to determine whether agencies are compliant with regulatory records management requirements and are operating within the defined success criteria for electronic records and email management. The SAORM reports, though not assigned a risk level, provide a more strategic view of federal records management.

### **Results**

This year, the RMSA low-risk levels continued to fall from its peak of 46% in 2021 to 38% in 2023; moderate-risk increased from its low of 40% in 2021 to 48% in 2023; and high-risk stayed the same at 14%. The following graph shows the risk-level comparisons from 2019 to 2023.

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<sup>1</sup> The Federal Records Act (44 U.S.C. 31) and corresponding Code of Federal Regulations (CFRs) require all federal agencies to maintain records that document their activities, file records for safe storage and efficient retrieval, and dispose of records according to agency schedules. (Most are Executive Branch Agencies, but there are some Legislative and Judicial Branch Agencies included.)

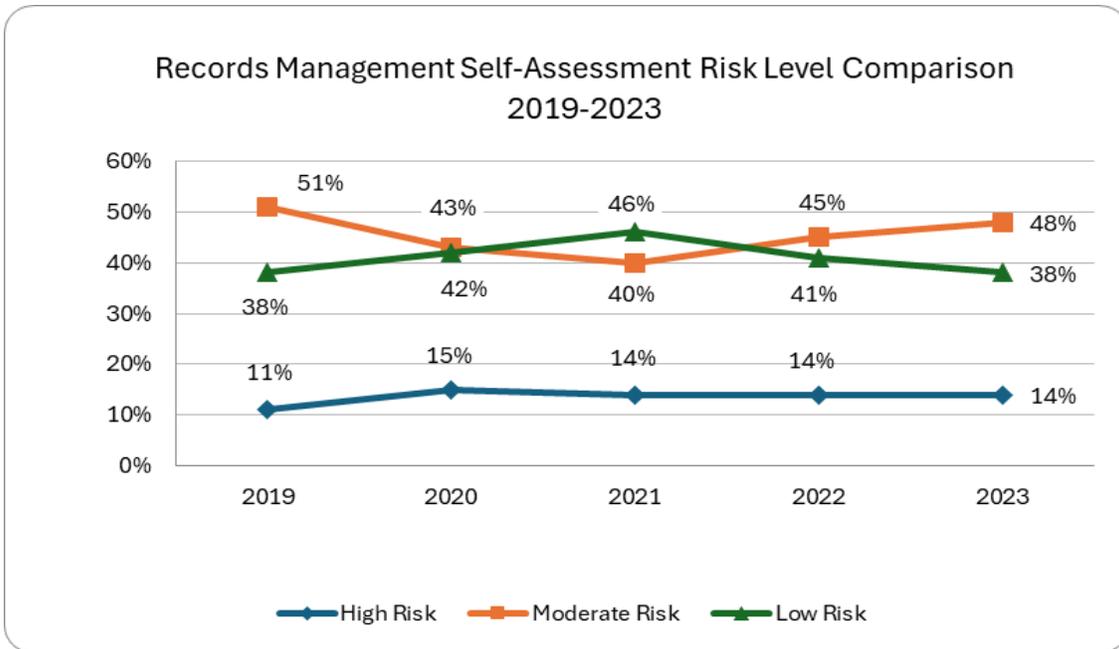


Figure 1: RMSA Risk Level Comparison 2019–2023

The FEREM risk levels reversed previous trends with low-risk levels decreasing to 61% for electronic records management (down from 65% in 2022), and 79% for email management (down from 80%). While high-risk levels decreased slightly for electronic records management from 15% in 2022 to 12% in 2023, high-risk levels for email management *increased* from 6% in 2022 to 10% in 2023. The following graphs show the risk-level comparisons from 2020 to 2023.

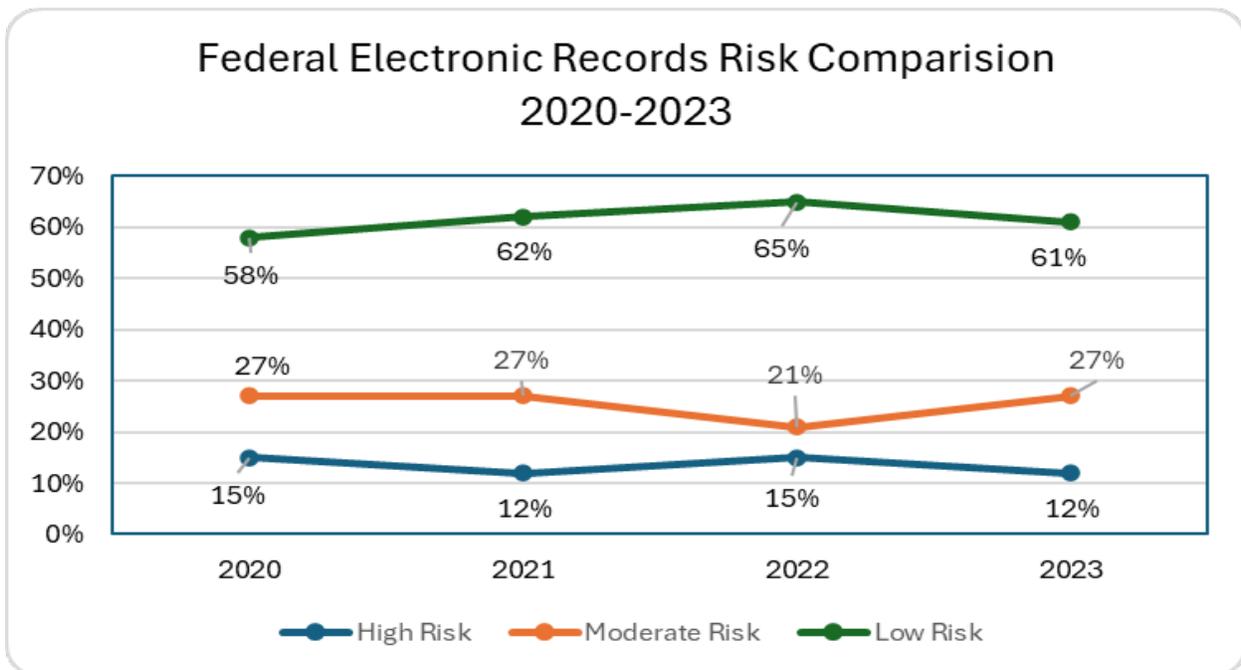


Figure 2: FEREM Part I-Federal Electronic Records Management Risk Level Comparison 2020-2023

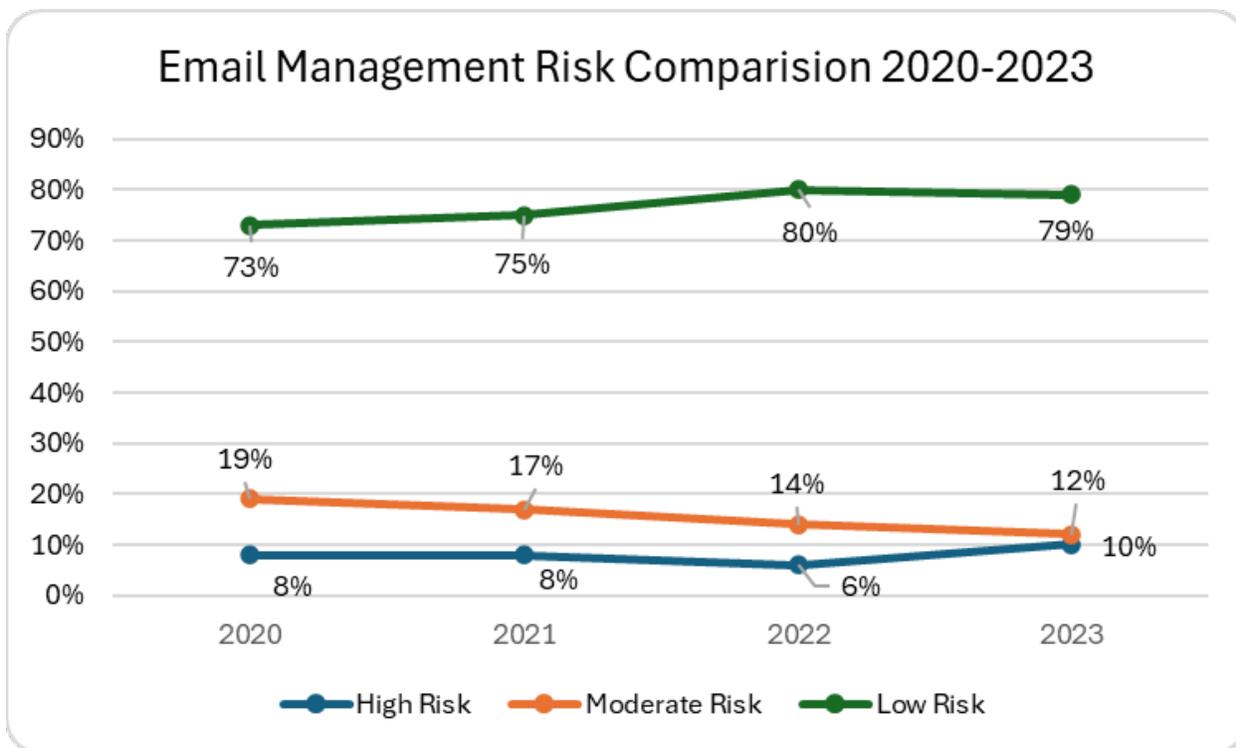


Figure 3: FEREM Part II-Email Management Risk Level Comparison 2020-2023

### **M-19-21/M-23-07**

M-19-21 and M-23-07 continued to be major drivers for change in 2023 with the June 30, 2024, deadlines just around the corner when this reporting cycle opened.

Agencies were required, by June 30, 2024, to

- manage all permanent records in an electronic format
- manage all temporary records in an electronic format or store them in commercial records storage facilities

Agencies reported on numerous memoranda-related activities including

- conducting records inventories
- identifying permanent analog records for digitization
- conducting digitization projects
- implementing electronic records management systems
- updating workflows, policies, and procedures

While progress has been made, more work is needed. Only 63% of agencies indicated that they would meet the 2024 deadline to manage, preserve and transfer all permanent records in electronic format with appropriate metadata. Five percent (5%) of agencies said that all records were already in electronic format. Additional memo-related statistics can be found in the report.

**Key points highlighted in this report include:**

- Agencies are making progress towards becoming fully electronic with many digitization projects in the works; however, only 69% of agencies have a validation process in place to ensure they comply with 36 CFR 1236 Subpart E.
- While agencies have been making progress towards the goals set forth in M-19-21/M-23-07, many agencies (32%) will not meet the June 30, 2024, deadline (now passed) to manage all permanent records in an electronic format.
- Slightly less (26%) will miss the deadline to manage all temporary records in an electronic format or store them in commercial records storage facilities.
- Eighty-eight percent (88%) of agencies said they included detailed finding aids for each specific media format when transferring records to the National Archives in 2023. Upon validating this question, however, we determined that over 40% of those agencies answered incorrectly.
- Agencies are increasingly reporting a moderate level of risk in their management of electronic records and email as opposed to low risk for which they should be aiming.
- The percentage of agencies who are now reporting a high-risk level for the management of email increased to 10%, a number not seen since 2018.

**This report includes the following items:**

- a detailed analysis of the agency-submitted annual reporting data for CY 2023
- recommendations for SAORMs and Agency Records Officers (AROs) to improve records management programs
- suggestions for NARA to aid federal agencies in their improvement efforts
- RMSA and FEREM scoring and risk categories
- individual agency scores
- validation strategy and results

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## INTRODUCTION

The National Archives and Records Administration (NARA) is responsible for overseeing and reporting to Congress the state of records management across the federal government. 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) Annual Report – This report is only required for Executive Branch Agencies.<sup>2</sup> NARA provided a template to those agencies with a SAORM to capture progress on strategic records management initiatives, including actions taken to promote fully electronic recordkeeping. Individual reports, including the template, are available online: <https://www.archives.gov/records-mgmt/resources/saorm-reports>.
- Records Management Self-Assessment (RMSA) – Agency records officers evaluate their agency's compliance with federal records management statutes and regulations using a NARA-provided questionnaire. The data is gathered using an online survey tool. Individual agency responses are not made public; therefore, for specific agency responses we suggest contacting the individual agency. RMSA data from previous years is summarized in annual reports available online: <https://www.archives.gov/records-mgmt/resources/reporting>.
- Federal Electronic Records and Email Management Report (FEREM) – This supplemental report to the RMSA focuses on electronic records and email management. NARA provided a two-part questionnaire based on the *Universal Electronic Records Management (ERM) Requirements*<sup>3</sup> and the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)* (also known as the *Success Criteria for Managing Email*).<sup>4</sup> Agencies chose the maturity levels that best describe their current state of electronic records and email management. The data is gathered using an online survey tool. Individual agency results are available online: <https://www.archives.gov/records-mgmt/resources/reporting>.

### Agency Participation

For the 2023 reporting period, January 8 through March 8, 2024, we received a 97–99% response rate for all three reports. The following nine agencies failed to submit one or more of the required reports. The missing reports are noted by 'X' below.

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<sup>2</sup> The requirement to have an SAORM was by Executive Order; therefore, Judicial and Legislative Branch agencies not subject to the Federal Records Act are not required to have an SAORM.

<sup>3</sup> The *Universal ERM Requirements* were first released by NARA in August 2017. See the latest version here: <https://www.archives.gov/records-mgmt/policy/universalermsrequirements>.

<sup>4</sup> The *Success Criteria for Managing Email* can be found here: <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>. While the M-12-18 memorandum was superseded by M-19-21/M-23-07, the Criteria are still valid.

	SAORM	RMSA	FEREM
Administrative Office of the United States Courts		X	X
Executive Office of the President/Office of the National Cyber Director		X	X
Harry S. Truman Scholarship Foundation		X	X
Independent Mexico Labor Expert Board		X	X
Office of Congressional Workplace Rights		X	X
Presidio Trust	X		
United States Arctic Research Commission		X	X
United States Capitol Police		X	X
United States Tax Court			X

### **Objectives/Purpose**

NARA uses annual reporting data to identify federal records management trends and risks, to improve our ability to assist agencies by improving our policies and guidance, and to report to Congress the state of federal records management.

Additionally, agencies indicate that they use the data to target resources and make improvements, to better understand what is needed for compliance, and as a basis for developing their own internal records management evaluations and assessments.

### **Scoring and Validation**

Only the RMSA and FEREM reports receive numerical scores and risk-factor ratings. The questions that are scored and the three risk-level ranges remain the same from year-to-year to provide NARA and the reporting agencies a consistent way to measure progress towards compliance. See Appendix I: Scoring and Risk Categories.

NARA validates selected answers to the RMSA to determine the accuracy of agency responses and to understand how agencies are interpreting the questions. Occasionally, responses to other reports will be validated based on current strategic initiatives. See Appendix III: RMSA Validation Strategy and Results.

## **Results**

### ***RMSA and FEREM***

Agencies should be working towards achieving a low level of risk to records; however, the number of agencies reporting low-risk levels in 2023 actually declined slightly in both the RMSA and the FEREM. Agencies are increasingly reporting a moderate level of risk. High-risk levels mostly decreased or stayed the same.

This year

- The RMSA low-risk levels fell 3% from 2022 to 38%; moderate-risk increased 3% to 48%; and high-risk stayed the same at 14%.
- Similarly in the FEREM, for electronic records management, low-risk levels decreased 4% since 2022 to 61%; moderate-risk increased 6% to 27%; and high-risk decreased 3% to 12%.

There is one exception: email management.

Steady progress had been made with low-risk levels inching higher almost every year and moderate- and high-risk levels dropping. However, that trend reversed this year for the first time since the FEREM report was required starting in 2016.

- Both low-risk and moderate-risk levels decreased while high-risk *increased* 4% to 10%.
- Overall, the percentage of agencies in the low-risk category for the management of electronic records and email still remains high at 61% and 79%, respectively. For comparison, the RMSA low-risk category is 38% in 2023.

However, more analysis will be needed to determine the cause for the increase in high-risk levels for email management and possible solutions. Future reporting cycles may also determine whether this is an anomaly associated with agencies' focus on meeting the M-19-21/M-23-07 deadlines or something else. NARA encourages agencies to reinforce the importance of email management within their overall electronic records management strategies.

### ***SAORM Reports***

The data from the SAORM reports largely corroborate the data submitted through the RMSA and FEREM reports.

- Agencies' management of electronic records continues to mature, with a few agencies (5%) even indicating they are already managing all records electronically.
- However, many agencies (32%), while working towards meeting the M-19-21 and M-23-07 goal for permanent records, will not meet it by the June 30, 2024, deadline.

- They are taking steps such as identifying and digitizing permanent records for transfer to the National Archives, and securing funding for or are already implementing electronic records and information management systems with records management capabilities.
- A number of agencies have submitted an exception request to NARA, but some are still planning to submit one, although the deadline for submitting such requests was fast approaching by the time these reports were submitted.<sup>5</sup>

For more detailed results and additional information, see Sections 1 and 2 of the report.

## CONCLUSION

Much work has been done, but more work is needed for agencies to meet the goals set out in M-19-21 and M-23-07. While the June 30, 2024, deadline has now passed, some agencies are still working to meet the goals of the memoranda—and this work must continue. Even for those agencies who have met the deadline, records management is a continuous process. Agencies must ensure they are in compliance with federal records management statutes and regulations, keep abreast of new and existing policies and guidance, and strive to make improvements to their overall records management programs.

The following report is divided into two analysis sections that summarize the data and trends from all three reports:

- Section 1: The Senior Agency Official for Records Management (SAORM) Annual Reports
- Section 2: The Records Management Self-Assessment (RMSA) and the Federal Electronic Records and Email Management (FEREM) Reports

The remainder of the report consists of three appendices:

- RMSA and FEREM scoring and risk categories
- Individual agency scores
- Validation strategies and results

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<sup>5</sup> See the criteria for exceptions from the requirements of M-19-21/M-23-07 in [NARA Bulletin 2020-01](#).

# SECTION 1

## SENIOR AGENCY OFFICIAL FOR RECORDS MANAGEMENT ANNUAL REPORTS

### OVERVIEW

The federal government has been working towards modernization of its processes for many years, using and adapting to new technologies as necessary. Digital transformation of data and information, and thereby records, is leading to changes in processes and decision-making. Digital platforms and formats are transforming interactions within agencies and with the public, and the strategies used to achieve their missions. This also transforms the creation, management, access, and disposition of records and how records management fits into the overall management of data and information. Records management is an essential part of these changes.

As we continue to stress, the transition to fully electronic recordkeeping and building successful records management programs require two key factors:

- senior-level support
- visibility at the executive level

The 2023 SAORM reports reflect this specifically in the support that records management programs are receiving.

The SAORM report template included 10 questions, 4 of which directly related to M-19-21 and M-23-07 targets. Additional topics included

- inclusion of records management principles and requirements in agencies' data management strategies, Information Resources Management Strategic Plans, and social media strategies
- coordination between the SAORM and Agency Records Officer (ARO) on records management program goals
- a request for additional policy and guidance that NARA can provide to support federal records management programs

The following analysis provides a summary of the SAORM report responses, common themes, and trends. Both the SAORM template and individual agency responses are available on NARA's Federal Agency Records Management Reporting [website](#).

## DATA ANALYSIS

### **M-19-21/M-23-07 Target Deadlines**

M-23-07 reinforced the M-19-21 goals to manage, preserve and transfer all permanent records to NARA in an electronic format and with appropriate metadata, and to manage temporary records in an electronic format or store them in commercial records storage facilities—while extending the deadline for both from December 31, 2022, to June 30, 2024. The deadline to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers (FRC) or commercial records storage facilities was also extended. This was done in part due to agencies' limited access to hard copy records during the COVID-19 pandemic and the subsequent delays in digitization. When agencies completed this report, the deadlines were just a few months away.

### **Results**

The key takeaway from the 2023 SAORM reports is that many agencies will NOT meet the memoranda deadlines.

#### ***Permanent Records in Electronic Format***

For the question that asked whether agencies would meet the goal to manage, preserve, and transfer all permanent records in an electronic format and with appropriate metadata by June 30, 2024

- Only 63% of agencies indicated they would meet this goal.
- Thirty-two percent (32%) said they would not.
- Another 5% answered 'Not Applicable, all records are in electronic format.'

Comparing responses to similar questions from 2020 and 2022, "Has your agency *made progress* or *taken action towards* managing all permanent records in an electronic format and with appropriate metadata . . . ?" tells a parallel story. Since the release of M-19-21 in June 2019 (and before), agencies have, overwhelmingly, been working towards becoming fully electronic at 98% and 96%, respectively. However, when it comes to actually *meeting the goal*, percentages drop significantly. See Figure 3 below.

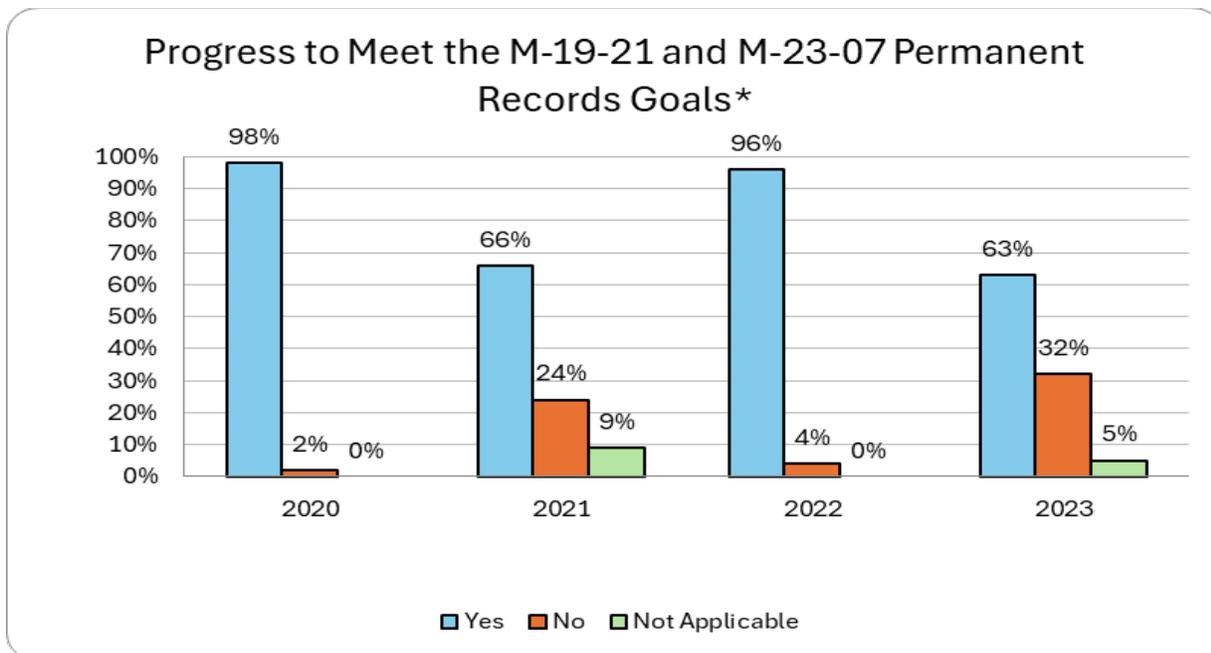


Figure 4: Comparison of agencies making progress towards (2020 & 2022) and meeting (2021 & 2023) the June 2024 deadline

\*NOTE: The phrasing of the question changed from year to year in the Records Management Self-Assessment. In 2020 and 2022, agencies were asked whether they had *made progress* or had *taken action towards* meeting the goal. In 2021 and 2023, agencies were asked if they would *meet the goal*.

### Other Memoranda Statistics

Statistics related to other M-19-21/M-23-07 questions include

- Seventy percent (70%) of agencies indicated they would meet the June 30, 2024, goal of managing all temporary records in an electronic format. Another 3% said their temporary records are already managed in an electronic format.
- Of the agencies who indicated they store records in an agency-operated records storage facility, only 65% said they would meet the requirements to close them by June 30, 2024.
- Of the agencies who have analog records, 79% indicated they would meet the requirements to transfer inactive records to either a NARA Federal Records Center (FRC) or commercial records storage facilities by June 30, 2024.

So while agencies are making progress towards meeting the goals of the memoranda and becoming fully electronic, more time and work are clearly needed. As of the writing of this report, agency exception requests to the M-19-21 and M-23-07 deadlines continued to be submitted to NARA for review. NARA’s Chief Records Officer for the U.S. Government also held several virtual Open Office Hour events with participating agency SAORMs to answer questions regarding the deadlines and to provide support for agencies’ transition to fully electronic recordkeeping.

## *Additional Statistics*

Additional statistics from the report include

- Sixty percent (60%) of agencies include records management principles in their Data Management Strategy.
- Of the agencies who have designated SAORMs, 97% said the SAORM meets with the ARO(s) to discuss the agency's records management program's goals.
- Only 34% of agencies have incorporated NARA's digitization standards into Information Resources Management (IRM) Strategic Plans.
- Only 64% of agencies have social media strategies that include the capture and maintenance of records in accordance with records management statutes and regulations.

## **SUMMARY**

The SAORM reports provide information on agencies' strategic records management initiatives, including actions taken to promote fully electronic recordkeeping. Based on this year's submitted reports, agencies still have a lot of work to do to meet the goals and deadlines of M-19-21 and M-23-07, which, by the time this report was published, had already passed. It is important that SAORMs continue advocating for resources to support and improve agency records management programs; monitor progress towards meeting M-19-21 and M-23-07 targets, if they haven't already been met; champion compliance and improvements to agency electronic records management practices; and stay abreast of new and existing electronic recordkeeping regulations, standards, policies, and guidance. For additional recommendations, see the Conclusion and Recommendations section of this report.

## SECTION 2

### RECORDS MANAGEMENT SELF-ASSESSMENT AND FEDERAL ELECTRONIC RECORDS AND EMAIL MANAGEMENT REPORTS

#### OVERVIEW

NARA requires agencies to complete two reports that assess the implementation of their records management programs:

- The Records Management Self-Assessment (RMSA) has, since 2009, measured compliance with federal records management statutes and regulations (regardless of formats) using objective questions and then relating the point scores to a level of risk. RMSA data from previous years is summarized in annual reports available online: <https://www.archives.gov/records-mgmt/resources/reporting>.
- The Federal Electronic Records and Email Management Report (FEREM) is a risk-based maturity model based on the *Universal ERM Requirements* and the *Success Criteria for Managing Email* that has been required since 2016 as a supplement to the RMSA.<sup>6</sup> It focuses on the successful management of electronic records and email records through agency policies, systems, access, and disposition. The report covers electronic records and email separately, and scores each independently. Individual agency results are available online: <https://www.archives.gov/records-mgmt/resources/reporting>.

While dependent on self-reported data, these reports provide NARA and agencies with a consistent evaluation tool. Using a low-, moderate-, and high-risk scale, the objective is to determine whether agencies are compliant with regulatory records management requirements and are operating within the defined success criteria for electronic records and email management.

The results, if used appropriately, offer agencies a tool to target their resources and prioritize risk mitigation where it is most needed. It also provides a data-informed method to establish performance goals and measures. In turn, NARA uses the data to identify areas of success and common challenges to inform its policy, guidance, and oversight work.

#### **Results**

This year, the RMSA low-risk levels fell from its peak of 46% in 2021 to 38% in 2023 (down from 41% in 2022); moderate-risk increased from its low of 40% in 2021 to 48% in 2023 (up from 45% in 2022); and high-risk stayed the same at 14% from 2021 to 2023.

The FEREM risk levels reversed previous trends with low-risk levels decreasing to 61% for electronic records management (down from 65% in 2022), and 79% for email management (down from 80%).

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<sup>6</sup> *Universal ERM Requirements*, <https://www.archives.gov/records-mgmt/policy/universalerrequirements>; *Success Criteria for Managing Email*, <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>.

While high-risk levels decreased slightly for electronic records management from 15% in 2022 to 12% in 2023, high-risk levels for email management *increased* from 6% in 2022 to 10% in 2023.

Although the high-risk level percentage for email management is now 10% (a number not seen since 2018), it is important to note that the low-risk level is still a very high 79% after having dropped just 1%. In addition, the low-risk level percentage is still the highest of the required reports, meaning more agencies score in the low-risk category for email management than for the RMSA as a whole and the FEREM Part I. Conversely, the percentage of agencies scoring in the high-risk level for email management is still the lowest percentage of the required reports.

That said, more analysis is needed to determine the cause for the increase in high-risk levels for email management and possible solutions. Future reporting cycles may also determine whether this is an anomaly associated with agencies' focus on meeting the M-19-21/M-23-07 deadlines or something else. NARA encourages agencies to reinforce the importance of email management within their overall electronic records management strategies.

See the Data Analysis section below for more details.

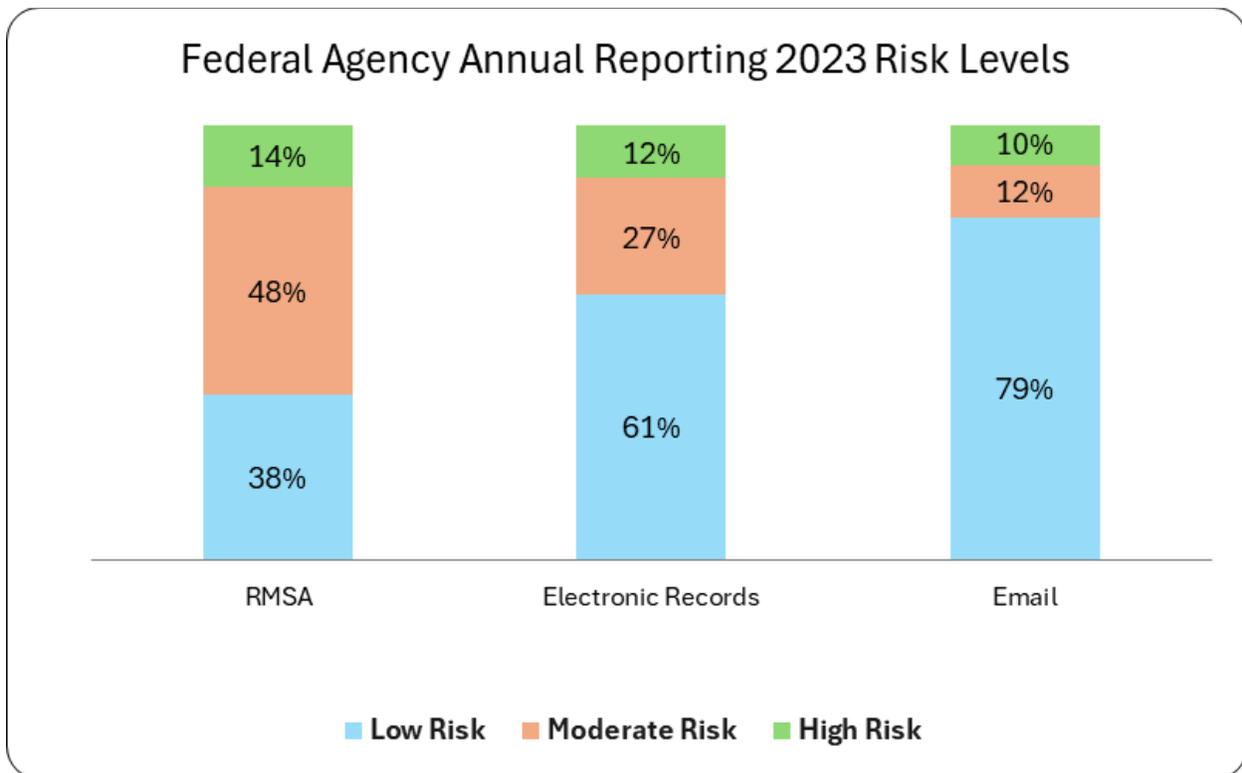


Figure 5: Side-by-side comparison of RMSA and FEREM risk levels for 2023

It is important to note that a score in the low-risk category does not mean that an agency has a perfect records management program, nor does it mean that the agency will not, from time to time, have challenges or failures to create, maintain, and provide access to records. The low-risk

scores indicate only that an agency has made the best possible effort at this given time to mature their records management program in accordance with records management statutes and regulations, NARA policies and guidance, and published success criteria. Conversely, a high-risk score does not always indicate a poor records management program. It can be indicative of a newly established program that has not yet had time to meet every requirement, or one of a small or micro-agency that is able to access and protect its records but does not fully meet all regulations.

## **DATA ANALYSIS**

The RMSA and FEREM have different approaches to gathering data. The 'Yes' or 'No' answer options in the RMSA are less nuanced than the levels of success offered in the maturity model-based FEREM. The maturity model provides a different perspective based on growth instead of the RMSA's strict compliance with regulations. While the RMSA allows for 'Under Development' and 'To Some Extent' responses, it is less flexible in its scoring and risk-level assignment. The use of the maturity model over time also illustrates the impact of more intensive focus on the transition to electronic recordkeeping, first by the OMB/NARA M-12-18 memorandum, now rescinded, and then by M-19-21 and M-23-07.

The following combined data analysis of the RMSA and the FEREM has been broken down into five separate areas or domains:

- Management Support and Resourcing
- Policies
- Systems
- Access
- Disposition

### **Management Support and Resourcing**

Management support and advocacy for an agency's records management program in the organizational structure is key to program success. Specific regulations for records management program administration cover what is required to manage and resource a records management program (36 CFR 1220.18, 1220.30, 1220.34, 1222.24, 1222.26(e) and 1230.10).

Some key statistics for the management support and resourcing domain are listed below.

#### ***RM Program Staffing and Support***

Agencies must assign records management responsibility to a person with appropriate authority within the agency to coordinate and oversee implementation of the records management program. They must also assign records management responsibilities in each program and administrative area to ensure incorporation of recordkeeping requirements into agency programs, processes, systems, and procedures.

- The majority of agency records management programs are staffed by an Agency Records Officer (96%) and records management staff (81%). Of the agencies who do not have records management staff supporting the ARO, the majority (71%) have less than 100 full-time equivalents (FTEs) in the entire agency where it may not be as needed.
- Most agencies (95%) have a designated SAORM that is engaged at some level with the agency records management program.

### ***RM Training***

Agency Records Officers must hold NARA’s [Agency Records Officer Credential \(AROC\)](#). In addition, agencies must establish and develop suitable guidance and records management training to all agency personnel on their records management responsibilities. (See also [NARA Bulletin 2017-01](#).)

- The majority of AROs (92%) have or are in the process of obtaining NARA’s AROC. Staff responsible for assisting the ARO receive records management training (85–91%), and all staff—regardless of position—receive training on their records management responsibilities (85–88%).
- Agencies use a variety of methods for training, and many use multiple methods. The three most common forms of training are
  - Virtual records management training available through internal learning management systems (56%)
  - Records management self-training via job aids, frequently asked questions (FAQs), or similar (44%)
  - In-person records management training (37%)

### ***Internal Controls***

To be effective as well as compliant, consistent monitoring of any program is essential. Monitoring the implementation of policies, directives, records schedules, and other aspects of a records management program is no exception and is one of the weaker areas of most records management programs.

- Sixty-eight percent (68%) of agencies have internal controls to ensure that all eligible permanent records in all media are transferred to the National Archives according to approved records schedules. More agencies (77%) have internal controls to ensure that temporary records are not destroyed before the end of their retention period.

Not having internal controls for permanent and/or temporary records increases the risk of unauthorized dispositions. (See also [Unauthorized Disposition of Federal Records](#) and [Unauthorized Disposition Safeguards Records Management Assessment Report](#).)

- Between 63% and 72% of agencies conduct records management program evaluations or monitoring activities on a regular basis to ensure their programs are in compliance. However, only 37% of those agencies conduct them at least annually.

### ***RM Obligations in Contracts***

When federal agencies acquire products or services, they need to determine what federal records management requirements should be included in the contract. Federal contractors often create, send, or receive federal records. Federal contracts should provide clear legal obligations describing how the contract employees must handle federal records.

NARA has developed language to be included as an agency-specific term and condition in federal contracts for a variety of services and products. Most contracts should include language on records management obligations, but each contract should be evaluated individually. (See <https://www.archives.gov/records-mgmt/policy/records-mgmt-language>.)

- Most agencies (74%) routinely integrate language covering records management obligations into contracts for services and products (up from 69% in 2022).

### **Policies**

A successful records management program has a governance framework, articulated policy, and clear standards. For electronic records management, this is particularly important due to the fragility, security vulnerabilities, and other unique characteristics of electronic records. The statutes and regulations (36 CFR 1220.18, 1220.34, 1222.26, and 1236.22) describe what records management policies agencies must have. Other relevant guidance issued by NARA and the OMB, such as [OMB Circular A-130](#), provides information about what policies are required.

Some key statistics for the policies domain are listed below.

- Most agencies (87%) have a records management directive, with half (50%) updating it in 2023 and another 27% updating it in 2021–2022.
- Seventy-three percent (73%) of agencies have documented and approved policies and procedures that instruct staff on how permanent records in all formats must be managed and stored.
- A much smaller subset of agencies that have RM policies (46%) have policies covering the management of permanent electronic records that include all of the following topics:
  - Roles and responsibilities
  - Scheduling, managing, and transferring permanent electronic records to the National Archives
  - Use of tools for digital signatures

- Reporting procedures for unauthorized access, use, alteration, alienation, or deletion of electronic records
  - Inclusion of records management in agency Information Resources Management (IRM) Strategic Plans, Capital Planning and Investment Control (CPIC) processes, and Systems Development Life Cycle (SDLC) processes
  - Insertion of records management language into contracts to safeguard government-owned permanent electronic records created, maintained, and stored on agency systems or cloud and social media platforms owned by third-party vendors
- The majority of agencies have documented and approved policies to manage email records that have a retention period longer than 180 days (84%), to address the use of personal email accounts (82–84%), and to address when employees have more than one agency-administered email account (81%).
  - Only 58% of agencies have policies and procedures to implement the guidelines described in NARA Bulletin 2014-04 for the transfer of permanent email records to the National Archives.
  - Seventy-eight percent (78%) of agencies have policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded.
  - Most agencies (83%) have documented and approved policies against unauthorized use, alteration, alienation or deletion of electronic (digital) records. Another 14% of agencies have policies in draft form.

## **Systems**

Agencies must have control over permanent electronic records to ensure adequate capture, management, preservation, and transfer to the National Archives in acceptable electronic formats along with the appropriate metadata. Such control may be automated in dedicated records management systems or implemented manually in shared drives, data repositories, or other types of storage. Additionally, IT systems must support the implementation of records management regulations and local policies and provide access to permanent electronic records throughout their lifecycle, which can span decades.

Some key statistics for the systems domain are listed below.

### *Capture, Preservation, and Identification*

- Between 67% and 71% of agencies have inventories of electronic information systems that identify which contain records, the system(s) location, and retention instructions.
- Most agencies (90%) have incorporated or integrated, at least to some extent, internal controls to ensure the reliability, authenticity, integrity, and usability of electronic (digital) records maintained in electronic information systems.
- However, only 24% of agencies say the systems meet NARA's requirements and have successfully transferred permanent records in electronic formats to the National Archives. Another 20% say they are testing their system's capability to transfer permanent electronic records.
- Only 33% of agencies have fully implemented electronic recordkeeping systems to ensure that all permanent records are created/captured, classified, filed, managed and retained with appropriate metadata according to their records schedules.
- Also concerning is that 10% of system owners are NOT aware of their responsibilities for managing permanent electronic records which could result in unauthorized dispositions.

### *Email Systems*

- Agencies use a variety of methods (sometimes in tandem) to capture and manage email and other electronic records with most using an archiving system and an electronic records management system.
- The RMSA has tracked over the past decade how email is captured and maintained. The overall decline of "Print and File" and the rise of managing email within systems and the cloud is evident since the first appearance of this question in 2013 when 184 agencies indicated the use of "Print and File" to 2023 when 9 agencies did so.

## Email Capture and Maintenance

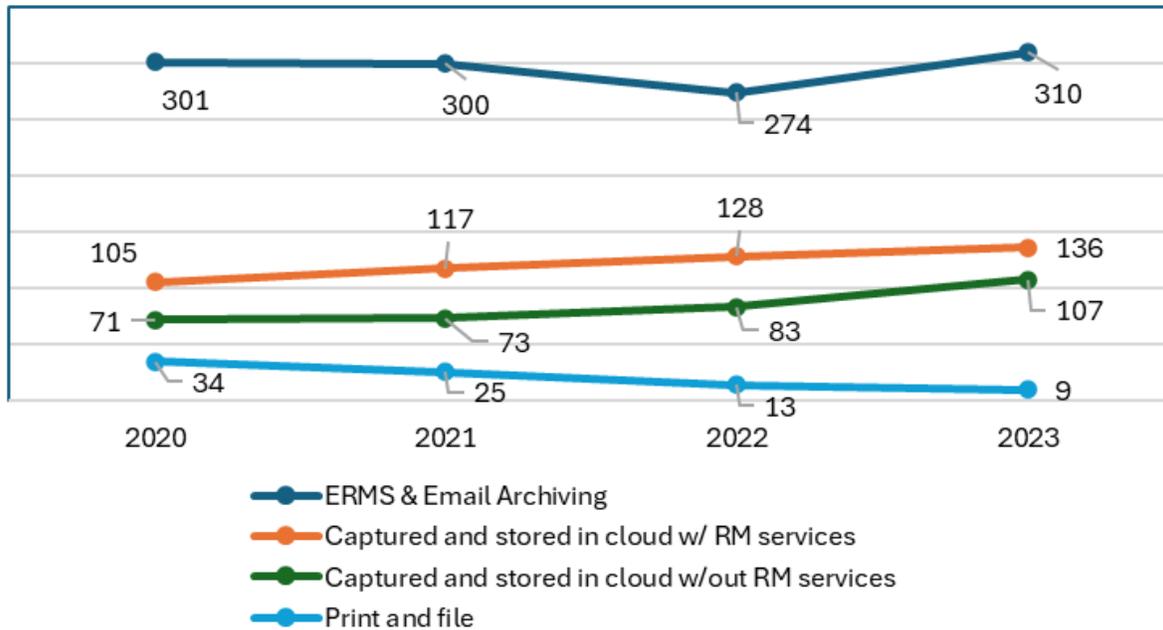


Figure 6: Changes in email management from print-and-file to cloud storage and electronic formats

- Seventy-four percent (74%) of agencies have systems that manage and preserve email in electronic format with limited end user input on applying retention and disposition policies.
- A majority of agencies (76%) also audit or track use of email records by generating system reports, some of which are routine and customized, to demonstrate effective controls and compliance with email requirements.

### ***Digitization Strategies***

The transition to electronic recordkeeping requires updating business processes and reformatting or digitizing temporary and permanent records. To complement the M-19-21/M-23-07 memos, NARA revised 36 CFR 1236 adding Subpart D: Digitizing Temporary Records, effective May 10, 2019, and Subpart E: Digitizing Permanent Records, effective June 5, 2023. In both cases, the regulations focus on quality standards, handling original source material, and implementation of records schedules related to original and digitized versions. For more information, see our [Digitization of Federal Records website](#) and NARA's [Success Criteria for Digitizing Permanent Records](#) published in November 2023.

In this year's reports, most agencies indicated that

- They have or are identifying permanent records series for digitization (67%).
- They plan to transfer the digital versions to the National Archives (66%).
- They are digitizing records in order to designate the digitized version as the recordkeeping copy (60%).
- NARA’s digitization standards in 36 CFR 1236 Subpart D and Subpart E met their expectations (77%); however, only 61% are using them.

A major concern is that of those agencies who are digitizing records in order to designate the digitized version as the recordkeeping copy, only 69% indicated that they have established a validation process to ensure that the digitized versions comply with the requirements in 36 CFR 1236 Subpart E. Furthermore, when we validated this question, 30% of those agencies were unable to submit documentation in support of their response. Not having a validation process could have serious repercussions not only for meeting federal regulations but also for meeting basic business and mission needs. Without validating that all data has been captured through the digitization process, valuable records and information may be lost.

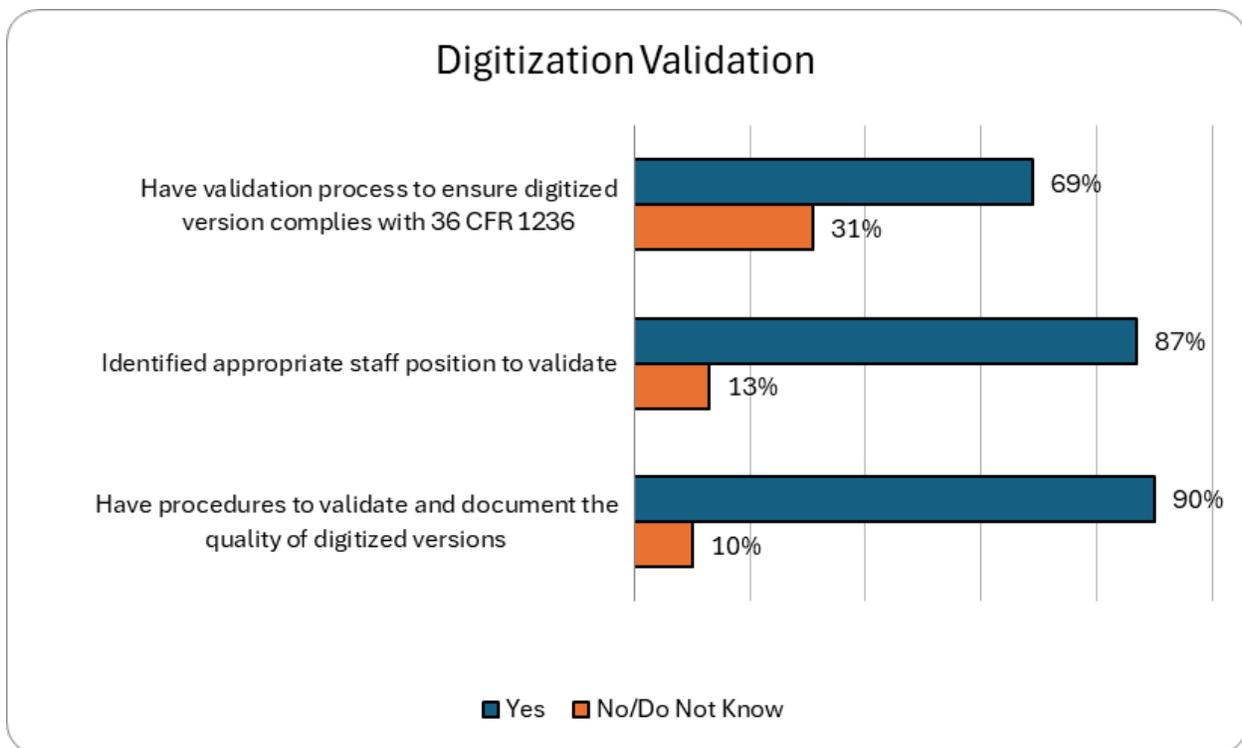


Figure 7: Agencies’ validation process when digitizing permanent records

**Access**

Electronic records support an agency’s ability to carry out its business functions. Access to permanent electronic records means they remain usable, retrievable, and protected throughout their lifecycle. This domain measures the access and usability of records to conduct agency

business in accordance with the appropriate transfer and disposition schedule. It measures system protection of permanent electronic records against unauthorized access, use, alteration, alienation, deletion, or concealment. It ensures records are searchable, retrievable, and usable for as long as they are maintained in agency custody.

Some key statistics for the access domain are listed below.

### ***Records Retrieval and Access***

- Overwhelmingly, agencies are able to easily retrieve and access all or most records when needed for agency business (95%); however, that percentage decreases by about 10% when the question specifically includes
  - email records (86%)
  - records of current and separated employees throughout their lifecycle (85%)
- At the same time, only 65% of agencies identify and categorize all or most electronic records to enable accessibility and maintenance throughout the lifecycle.
- Seventy-six percent (76%) ensure that records management functionality, including the capture, retrieval, and retention of records, is incorporated into electronic information systems.
- Fewer agencies (69%) indicate that, in addition to normal security measures, their IT staff have or are developing measures to protect permanent electronic records against unauthorized access, use, alteration, alienation, deletion, or concealment.

### ***Migration Plans and Procedures***

- Only 56% of agencies have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats to ensure they are retrievable and usable as long as needed for business and to meet NARA-approved dispositions. An additional 29% say procedures are under development or pending approval.
- Less than half of agencies (47%) have migration plans that include the movement of permanent electronic records into new systems and other measures related to long-term preservation.

### ***Vital or Essential Records***

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)

- Eighty-five percent (85%) of agencies have identified the vital records of all its program and administrative areas.
- Sixty-five percent (65%) review and update their vital records inventory annually or biennially.
- Eighty-three percent (83%) have their vital records plan as part of their Continuity of Operations (COOP) plan.

### ***Records Management and FOIA***

There is an inherent relationship between records management and the Freedom of Information Act (FOIA). Just as records must be available for decision making and accountability, it is also imperative that records that are subject to disclosure under FOIA are accessible.

During the COVID-19 pandemic, agencies noted a significant increase in FOIA request backlogs. Four years after the start of the pandemic, when agencies were completing their 2023 annual reports

- Eighty percent (80%) indicated the pandemic had no or minimal continuing negative impact on their backlog.
- Fifteen percent (15%) indicated their backlogs were still impacted moderately or significantly.

Agencies should make publicly available copies of records that, because of the nature of their subject matter, have become or are likely to become the subject of subsequent FOIA requests for substantially the same records or that have been requested three or more times—and a general index of the records (5 U.S.C. 552(a)(2)(D)(ii)&(E)).

- Agencies indicated making records public monthly (8%), quarterly (8%), annually (9%), or on an as needed basis (59%).
- A small percentage (15%) selected ‘Other’ and explained various posting schedules, including as often as daily, weekly, and bi-weekly.
- Specific items that agencies are making available on FOIA websites for the request of records include
  - Guides to accessing agency information (77%)
  - An index of all major agency information systems (17%)
  - Description of major information (46%)
  - Record locator information (29%)
  - None of the above (9%)

- Less than half of agencies (46%) routinely integrate language covering FOIA obligations into contracts for services and products. Twenty-eight percent (28%) do not integrate language, and 21% do not know.

## **Disposition of Records**

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.

The fundamentals of a records disposition program are outlined in federal regulations. These include lifecycle management activities such as creation/capture, classification, maintenance, retention, and disposition so that records are properly identified, classified using a taxonomy, inventoried, and scheduled (36 CFR 1222.34, 36 CFR 1224.10, and 36 CFR 1225.12). Without these activities, agencies are at risk of not having current and accurate information when needed, maintaining records too long, unauthorized destruction of records, and incurring increased costs of hard copy and electronic storage.

Some key statistics for the disposition domain are listed below.

### ***Records Scheduling***

Agencies are required to submit records schedules to NARA for approval for all records regardless of format that are not covered by the General Records Schedules (GRS) (36 CFR 1225.10). Regulations also stipulate that every approved disposition authority, including newly approved authorities and GRS, must be disseminated to agency staff within six months (36 CFR 1226.12(a)).

- A little over half (55%) of agencies indicated they had submitted a records schedule to NARA for approval in 2022–2023.
- Agencies have email scheduled using various methods with the three most common being
  - GRS 6.1: Email and other Electronic Messages Managed under a Capstone Approach (76%)
  - Traditional records management (i.e., retention based on content, usually applied on an email-by-email basis, utilizing multiple NARA-approved disposition authorities) (17%)
  - Agency-specific email schedule (8%)
- Just under half of agencies (49%) have retention schedules built into email management systems and can or already have successfully transferred permanent email to the National Archives.

- The majority of agencies (61%) plan to use GRS 6.1 as the disposition authority for other types of electronic messages. Twenty-three percent (23%) plan to use traditional records management, while 8% will use agency-specific schedules, and 7% do not know.
- Eighty-four percent (84%) of agencies disseminate new agency and GRS schedules to staff.

### ***Transfer of Permanent Records***

Agencies are required under 36 CFR 1235.12 to transfer eligible permanent records to the National Archives.

This remains a weakness for both non-electronic (analog) records and electronic (digital) records.

- Only 42% of agencies indicated they had transferred non-electronic (analog) records in 2023, while another 5% had submitted the transfer request but the actual transfer had yet to take place when they completed the reports.
- Even less (19%) of agencies indicated they had transferred electronic (digital) records in 2023, while another 3% had submitted the transfer request but the transfer had not yet taken place.
- Of agencies who are managing email and/or electronic messages using GRS 6.1 or agency-specific schedules
  - Only 5% of agencies have transferred these records to the National Archives.
  - Eight percent (8%) plan to transfer within the year.
  - The majority of agencies (44%) plan to transfer these records in one to five years.
- For those agencies that indicated they had transferred non-electronic and/or electronic records during 2023, 88% said they included detailed finding aids for each specific media format. Of those agencies, less than half (47%) included the minimum set of metadata elements and other required documentation as part of the finding aids. Upon validating these questions, however, we determined that *over 40% of agencies who said they had included findings aids with their transfers answered incorrectly.*
- Seventy-five percent (75%) of agencies have formal or informal processes to classify records and apply NARA-approved retention schedules in order to properly dispose of electronic records, including the transfer of records to the National Archives.
- Yet, only 22% of agencies indicated that their permanent electronic records meet the transfer guidance criteria and contain the appropriate metadata for transfer according to NARA Bulletin 2014-04 (Revised August 2018 per NARA Bulletin 2018-01) and NARA Bulletin 2015-04.

### ***Inactive Records Storage***

- Twenty-three percent (23%) of agencies are storing inactive temporary and/or permanent analog records in a commercial records storage facility, 92% of which have been approved by NARA.
- Just 12% of agencies still store inactive temporary and/or permanent analog records in an agency-operated records center. Only 66% of these records centers have been approved by NARA.
- In accordance with M-19-21/M-23-07, the 21 agencies who use agency-operated records centers will take one or both of the following actions:
  - move the records to a Federal Records Center (56%)
  - move them to a commercial records storage facility (9%)
- Agencies considered having records stored near agency offices to be
  - extremely important (15%)
  - highly important (7%)
  - important (23%)
  - somewhat important (38%)
  - not important (17%)

### **SUMMARY**

The Records Management Self-Assessment and the Federal Electronic Records and Email Management Report are evaluation tools that provide a consistent methodology for NARA and agencies to determine compliance with federal records management requirements and the level of success within the defined success criteria for electronic records and email management.

Based on the 2023 report data, agencies still have work to do. While agencies must determine their own level of comfort when it comes to risk, they must work towards compliance with federal records management statutes and regulations. Improving overall records management programs not only improves agencies' ability to meet their mission, but also increases transparency and accountability to the American public for whom we serve.

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## CONCLUSION AND RECOMMENDATIONS

### CONCLUSION

NARA requires agencies to complete the annual reports to determine threats and risks to records, particularly electronic records, and to develop various ways to mitigate such risks, where possible. NARA does this by creating or updating [records management policy and guidance](#), conducting [inspections and assessments](#), and providing [records management training](#). NARA also routinely communicates through briefings, webinars, and other outreach activities with SAORMs, Agency Records Officers, and the Inspectors General community.

Records management is a continuous process. Agencies should continue to use these annual reports as a consistent method for gauging compliance and program maturity. SAORMs and Agency Records Officers should work together to continuously make program improvements. As the results of the 2023 annual reports show, improvements are needed, and in many cases must be made, to improve overall federal records management.

### RECOMMENDATIONS

NARA continues to increase its capacity to conduct oversight of federal records management and is committed to working with federal agencies to improve their programs.

#### **Senior Agency Officials for Records Management**

NARA makes the following three recommendations for SAORMs. SAORMS must

- continue to advocate for and support their records management programs to ensure they have adequate resources and are in compliance with statutes, regulations, and policies
- support the agency's efforts to meet the goals set out in M-19-21 and M-23-07 by addressing legacy analog records, maturing digital recordkeeping, and transforming business processes
- coordinate the collaboration between the records management program and other related disciplines such as data management, information technology, and risk management, and integrate records management into the agency's information resources management strategy<sup>7</sup>

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<sup>7</sup> Information Governance is the overarching and coordinating strategy and tactics for all organizational information. It establishes the authorities, supports, processes, capabilities, structures, and infrastructure to enable information to be a useful asset and reduces liability to an organization based on that organization's specific business requirements.

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## **Agency Records Officers**

NARA makes the following seven recommendations for Agency Records Officers. Agency Records Officers must

- complete the training to obtain the Agency Records Officer Credential (AROC)
- review and update records schedules to ensure they cover current business practices
- ensure that email management remains a focus in overall electronic records management strategies
- establish a validation process to ensure that digitized records comply with the requirements in 36 CFR 1236 Subpart E
- ensure permanent records with associated metadata are transferred to the National Archives according to NARA-approved records schedules
- conduct evaluations to measure the effectiveness of records management programs and practices, and to ensure they comply with NARA regulations
- ensure that records are protected against unauthorized access, use, alteration, corruption, or deletion

## **NARA Support**

NARA makes the following seven commitments to facilitate needed improvements identified in the submitted reports. NARA will

- continue to provide digitization guidance and practical tools to support program development and implementation, including for small-scale digitization projects to support smaller resource-challenged agencies
- provide guidance on the transfer and storage of classified electronic records, including cloud-to-cloud transfers
- identify and share promising approaches to securing funding for records management and IT initiatives
- provide targeted guidance for records management programs of small and micro agencies
- provide guidance on records management implications for emerging technologies, including messaging apps, collaboration tools, social media and the web
- provide guidance on implementing automated tools and artificial intelligence (AI) in support of modernized records management

- 
- promote the integration of records management and data management into formal Data and AI Governance Boards or Councils

## APPENDIX I: SCORING AND RISK CATEGORIES

**Senior Agency Official for Records Management Annual Report:** The SAORM report is not scored.

**Records Management Self-Assessment (RMSA):** Contains both scored and unscored questions. The RMSA has five sections. The sixth section collects demographic data related to agency size and other factors.

There are 100 possible points distributed across the sections as follows:

Maximum Point Values (per section):

- Section One: Management Support and Resourcing (39 points)
- Section Two: Policies (23 points)
- Section Three: Systems (9 points)
- Section Four: Access (18 points)
- Section Five: Disposition (11 points)
- Section Six: Demographics (not scored)

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

**Federal Electronic Records and Email Management Report:** The maturity model score is an average created from the total number of points divided by the number of questions.

### Part I: Federal Electronic Records Management

This part of the maturity model has 19 questions, each with a total possible score of four. The maximum total score is 76. The maturity levels are worth between zero and four points. To get the total score, divide the total points by 19.

- Domain 1: Management Support and Resourcing (5 questions - maximum points 20)
- Domain 2: Policies (3 questions - maximum points 12)
- Domain 3: Systems (4 questions - maximum points 16)
- Domain 4: Access to Electronic Records (4 questions - maximum points 16)
- Domain 5: Disposition of Electronic Records (3 questions - maximum points 12)

## **Part II: Federal Email Management**

This part of the maturity model has five questions, each with a total possible score of four. The maximum total score is 20. The maturity levels are worth between zero and four points. To get the total score, divide the total points by five.

- Domain 1: Email Policies (1 question - maximum points 4)
- Domain 2: Email Systems (2 questions - maximum points 8)
- Domain 3: Access to Email (1 question - maximum points 4)
- Domain 4: Email Disposition (1 question - maximum points 4)

Based on the maturity model score, NARA determined a level of risk for not managing electronic records and 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

## APPENDIX II: INDIVIDUAL AGENCY SCORES

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Administrative Conference of the United States	82	3.63	3.2
Administrative Office of the United States Courts	Non-Responding	Non-Responding	Non-Responding
Advisory Council on Historic Preservation	87	3.26	2.4
Afghanistan War Commission Act of 2021	28	1.32	1.4
American Battle Monuments Commission	63	2.05	1.6
AmeriCorps (Corporation for National and Community Service)	67	2.16	3
Armed Forces Retirement Home	43	2.74	2.6
Barry Goldwater Scholarship and Excellence in Education Foundation	85	3.47	3.2
Board of Governors of the Federal Reserve System	94	3.95	3.8
Central Intelligence Agency	87	3.42	3.8
Chemical Safety and Hazard Investigation Board	46	2.37	2.4
Civil Rights Cold Case Records Review Board	56	2	0.4
Commodity Futures Trading Commission	89	3	3.2
Congressional Budget Office	75	2.79	4
Congressional Office for International Leadership	48	1	4
Consumer Financial Protection Bureau	98	3.84	4
Consumer Product Safety Commission	88	3	3.8
Council of the Inspectors General on Integrity and Efficiency	49	2.42	3.2
Court Services and Offender Supervision Agency/ Pretrial Services Agency	92	3.37	3.8

Court Services and Offender Supervision Agency for the District of Columbia	98	3.84	3.8
Defense Nuclear Facilities Safety Board	67	2.26	1.4
Denali Commission	52	1.42	1.2
<b>Department of Agriculture</b>			
Agricultural Marketing Service	59	1.42	3.2
Agricultural Research Service	59	1.32	3.2
Animal and Plant Health Inspection Service	62	1.58	3.2
Department Level/Headquarters	64	1.42	3.2
Departmental Staff Offices	64	1.42	3.2
Economic Research Service	61	1.32	3.2
Farm Service Agency	64	1.84	3.2
Food and Nutrition Service	72	1.58	3.2
Food Safety and Inspection Service	69	1.47	3.2
Foreign Agricultural Service	58	1.37	3.2
Forest Service	73	2.05	3.2
National Agricultural Statistics Service	60	1.42	3.2
National Institute of Food and Agriculture	57	1.42	3.2
Natural Resources Conservation Service	67	2.05	3.2
Risk Management Agency	73	2.05	3.2
Rural Development	63	1.58	3.2
<b>Department of Commerce</b>			
Bureau of Economic Analysis	79	3.58	3.6
Bureau of Industry and Security	70	2.84	2.4
Bureau of the Census	79	3.32	2.8
Department Level/Headquarters	82	2.79	2.8
Economic Development Administration	11	0.84	0.8

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
FirstNet Authority	85	2.89	3.4
International Trade Administration	94	3.11	4
Minority Business Development Agency	20	1.79	1
National Institute of Standards and Technology	96	3.53	3.8
National Oceanic and Atmospheric Administration	96	3.47	3.2
National Technical Information Service	77	3.05	3.2
National Telecommunications and Information Administration	62	2.16	3.2
Office of Inspector General	94	3.47	3
Office of the Secretary	73	1.74	0.4
United States Patent and Trademark Office	99	3.42	3.2
<b>Department of Defense</b>			
Army and Air Force Exchange Service	62	3.05	3.2
Defense Commissary Agency	74	3.21	3.6
Defense Contract Audit Agency	99	3.84	3.8
Defense Contract Management Agency	59	3.42	3.6
Defense Counterintelligence and Security Agency	53	2.11	2.6
Defense Finance and Accounting Service	91	3.74	4
Defense Information Systems Agency	84	3.58	3.6
Defense Intelligence Agency	63	3.11	3.8
Defense Logistics Agency	78	2.74	2.8
Defense Technical Information Center	81	2.63	2.8
Defense Threat Reduction Agency	91	3.32	3
Department of the Air Force	94	3.47	2.6
Department of the Army	77	2.37	2.8
Department of the Navy	99	3.89	4

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Joint Chiefs of Staff	85	3.05	3.4
Missile Defense Agency	97	4	4
National Defense University	40	1.21	0.2
National Geospatial-Intelligence Agency	84	3.26	2.8
National Guard Bureau	42	1.74	0.4
National Reconnaissance Office	93	3.74	4
National Security Agency/Central Security Service	99	3.79	3.6
Office of the Inspector General	94	3.37	4
Office of the Secretary of Defense	96	3.47	3.2
United States Africa Command	54	2	1.8
United States Central Command	93	3.84	4
United States Cyber Command	82	2.05	1.4
United States European Command	64	2.42	0.6
United States Indo-Pacific Command	13	1.74	1.4
United States Marine Corps	91	3.05	3.8
United States Northern Command	98	3.68	3.2
United States Southern Command	87	3.84	4
United States Space Command	84	3.63	3.4
United States Special Operations Command	88	2	2.6
United States Strategic Command	98	3.32	2.4
United States Transportation Command	56	2	0.4
<b>Department of Education</b>			
Department Level/Headquarters	95	3.68	4
<b>Department of Energy</b>			
Bonneville Power Administration	83	2.53	3.8
Department Level/Headquarters	88	3.32	4
Energy Information Administration	92	3.47	4
National Nuclear Security Administration	80	3	3.6

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Southeastern Power Administration	86	3	3.4
Southwestern Power Administration	79	3.42	2.8
Western Area Power Administration	86	3.53	3
<b>Department of Health and Human Services</b>			
Administration for Children and Families	93	3	4
Administration for Community Living	85	3.05	3.2
Administration for Strategic Preparedness and Response	97	3.26	4
Agency for Healthcare Research and Quality	96	3.32	4
Centers for Disease Control and Prevention	96	3.84	3.8
Centers for Medicare & Medicaid Services	94	3.37	3.8
Department Level/Headquarters	97	3.32	4
Food and Drug Administration	91	3.42	3.8
Health Resources and Services Administration	92	3.63	4
Indian Health Service	63	1.79	3.4
National Institutes of Health	90	3.32	4
Office of the Secretary	97	3.37	3.8
Substance Abuse and Mental Health Services Administration	79	2.79	4
<b>Department of Homeland Security</b>			
Cybersecurity and Infrastructure Security Agency	54	2.05	2.4
Department Level/Headquarters	97	3.42	3.6
Federal Emergency Management Agency	91	2.74	3
Federal Law Enforcement Training Centers	95	3.58	3.8

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Transportation Security Administration	94	3	3
U.S. Customs and Border Protection	98	2.74	3.8
U.S. Immigration and Customs Enforcement	86	2.84	3.8
United States Citizenship and Immigration Services	83	2.84	3.4
United States Coast Guard	95	3.26	3.6
United States Secret Service	100	3.37	4
<b>Department of Housing and Urban Development</b>			
Department Level/Headquarters	83	3.32	4
Office of the Inspector General	75	3.11	3.4
<b>Department of Justice</b>			
Bureau of Alcohol, Tobacco, Firearms and Explosives	87	3.79	3.6
Bureau of Prisons	94	3.32	3.4
Department Level/Headquarters	97	3.84	3.6
Drug Enforcement Administration	84	2.95	2.4
Executive Office for Immigration Review	76	3.26	3.4
Executive Office for U.S. Attorneys	98	3.53	3.6
Federal Bureau of Investigation	97	3.68	4
Office of Justice Programs	94	3.89	4
United States Marshals Service	91	3.05	3.4
<b>Department of Labor</b>			
Adjudicatory Boards	76	3.42	3.8
Bureau of International Labor Affairs	85	3.42	3.8
Bureau of Labor Statistics	95	3.26	3.6
Department Level/Headquarters	84	3.37	3.8
Employee Benefits Security Administration	92	3.42	3.8

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Employment and Training Administration	90	3.42	3.8
Mine Safety and Health Administration	86	3.42	3.8
Occupational Safety and Health Administration	92	3.42	3.8
Office of Administrative Law Judges	91	3.42	3.8
Office of Congressional and Intergovernmental Affairs	89	3.42	3.8
Office of Disability Employment Policy	84	3.42	3.8
Office of Federal Contract Compliance Programs	89	3.37	3.8
Office of Inspector General	90	3.26	3.6
Office of Labor-Management Standards	85	3.42	3.8
Office of Public Affairs	90	3.42	3.8
Office of the Assistant Secretary for Policy	90	3.42	3.8
Office of the Chief Financial Officer	86	3.42	3.8
Office of the Executive Secretariat	94	3.42	3.8
Office of the Solicitor	88	3.42	3.8
Office of Workers' Compensation Programs	94	3.42	3.8
Veterans' Employment and Training Service	88	3.42	3.8
Wage and Hour Division	84	3.42	3.8
Women's Bureau	85	3.42	3.8
<b>Department of State</b>			
Department Level/Headquarters	97	3.74	4
<b>Department of the Interior</b>			
Bureau of Indian Affairs	86	2.79	4
Bureau of Land Management	97	3.53	4
Bureau of Ocean Energy Management	87	2.79	4

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Bureau of Reclamation	94	3.74	4
Bureau of Safety and Environmental Enforcement	83	3.37	4
Bureau of Trust Funds Administration	88	3.42	4
National Park Service	91	2.84	4
Office of Surface Mining Reclamation and Enforcement	90	3.05	4
Office of the Secretary	86	3.21	4
United States Fish and Wildlife Service	86	3.16	4
United States Geological Survey	95	3.37	4
<b>Department of the Treasury</b>			
Alcohol and Tobacco Tax and Trade Bureau	89	3.37	3.4
Bureau of Engraving and Printing	78	2.68	3
Bureau of the Fiscal Service	78	3.47	3.4
Department Level/Headquarters	87	2.74	2.8
Financial Crimes Enforcement Network	96	4	4
Internal Revenue Service	96	3.79	4
Office of the Comptroller of the Currency	99	3.79	3.4
United States Mint	89	3.79	3.6
<b>Department of Transportation</b>			
Department Level/Headquarters	76	2.95	3.2
Federal Aviation Administration	92	2.89	4
Federal Highway Administration	99	3.95	3.8
Federal Motor Carrier Safety Administration	91	3.11	3
Federal Railroad Administration	91	3.37	3
Federal Transit Administration	79	2.37	3
Great Lakes St. Lawrence Seaway Development Corporation	69	2.21	3

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Maritime Administration	87	2.74	3
National Highway Traffic Safety Administration	93	3.68	4
Office of the Inspector General	87	2.95	4
Office of the Secretary	67	2	3
Pipeline and Hazardous Materials Safety Administration	87	3.89	4
<b>Department of Veterans Affairs</b>			
Board of Veterans' Appeals	89	2.89	3.6
Department Level/Headquarters	92	2.89	3.6
National Cemetery Administration	92	2.95	3.6
Veterans Benefits Administration	93	3.47	3.6
Veterans Health Administration	98	3.05	3.6
Environmental Protection Agency	97	3.79	3.6
Equal Employment Opportunity Commission	90	2.68	3.2
<b>Executive Office of the President</b>			
Council on Environmental Quality	82	3.21	3.8
Office of Management and Budget	87	3.53	3.8
Office of National Drug Control Policy	83	3.16	3.8
Office of Science and Technology Policy	96	3.58	3.8
Office of the National Cyber Director	Non-Responding	Non-Responding	Non-Responding
Office of the United States Trade Representative	98	3.53	3.8
United States Intellectual Property Enforcement Coordinator	78	3	3.8

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Export-Import Bank of the United States	97	3.63	3.4
Farm Credit Administration	74	2.37	3.4
Federal Communications Commission	59	1.95	1.8
Federal Election Commission	52	2.42	3.2
Federal Energy Regulatory Commission	87	3.74	3.8
Federal Housing Finance Agency	94	3.47	3.8
Federal Judicial Center	87	2.63	2.4
Federal Labor Relations Authority	92	3.63	3.6
Federal Maritime Commission	69	3	3.2
Federal Mediation and Conciliation Service	85	3.05	3.4
Federal Mine Safety and Health Review Commission	44	2.11	1.6
Federal Permitting Improvement Steering Council	65	2.58	2
Federal Retirement Thrift Investment Board	90	3.26	3.4
Federal Trade Commission	70	2.68	3.6
General Services Administration	88	3.05	4
Government Accountability Office	94	3.63	4
Government Publishing Office	83	3.16	3.2
Gulf Coast Ecosystem Restoration Council	88	2.95	1.6
Harry S. Truman Scholarship Foundation	Non-Responding	Non-Responding	Non-Responding
Independent Mexico Labor Expert Board	Non-Responding	Non-Responding	Non-Responding
Institute of Museum and Library Services	76	3.42	2.8
Inter-American Foundation	84	3.63	3.6
International Boundary and Water Commission, United States and Mexico	75	2.84	2.4
James Madison Memorial Fellowship Foundation	54	1.68	1.4

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Japan-U.S. Friendship Commission	56	1.95	2
Library of Congress	97	3.42	4
Marine Mammal Commission	73	2.16	2.2
Merit Systems Protection Board	47	2.89	3.4
Millennium Challenge Corporation	92	3.05	3.4
Morris K. Udall and Stewart L. Udall Foundation	59	2.79	2
National Aeronautics and Space Administration	71	3.11	3.4
National Archives and Records Administration	100	3.68	4
National Capital Planning Commission	68	2.63	1.8
National Council on Disability	79	3.21	3.6
National Credit Union Administration	96	3.11	3.4
National Endowment for the Arts	95	2.84	3.4
National Endowment for the Humanities	90	3.21	3.4
National Indian Gaming Commission	71	2.26	2.8
National Labor Relations Board	96	3.84	4
National Mediation Board	81	3.53	3.4
National Science Foundation	89	3.79	3.4
National Transportation Safety Board	74	3.05	3.2
Nuclear Regulatory Commission	94	3.79	4
Occupational Safety and Health Review Commission	98	3.84	3.8
Office of Congressional Workplace Rights	Non-Responding	Non-Responding	Non-Responding
Office of Government Ethics	92	3.89	4
Office of Navajo and Hopi Indian Relocation	86	3.21	1.8
Office of Personnel Management	73	2.74	3.2
Office of the Director of National Intelligence	67	2.74	3.2

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
Office of the Special Inspector General for Afghanistan Reconstruction	98	3.47	3.6
Peace Corps	91	2.84	3.8
Pension Benefit Guaranty Corporation	84	2.79	3.6
Postal Regulatory Commission	92	3.47	2.2
Presidio Trust	40	2	1.6
Privacy and Civil Liberties Oversight Board	58	2.05	3
Public Buildings Reform Board	63	2.37	3.6
Railroad Retirement Board	78	2.84	3.6
Securities and Exchange Commission	100	4	4
Selective Service System	81	3.32	3.2
Small Business Administration	61	2.32	3
Social Security Administration	99	3	4
Stennis Center for Public Service	33	0.84	0.2
Surface Transportation Board	94	3.37	3.6
Tennessee Valley Authority	93	3.63	3.8
Trade and Development Agency	75	3.32	3
U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)	6	1.53	2.6
U.S. Access Board (Architectural and Transportation Barriers Compliance Board)	81	3.53	2
U.S. Agency for Global Media	80	3.11	3
U.S. Commission for the Preservation of America's Heritage Abroad	51	2.16	2.4
U.S. Commission of Fine Arts	33	1.16	1
U.S. Election Assistance Commission	62	2.63	3.4
U.S. Semiquincentennial Commission	35	1.47	0.6
United States African Development Foundation	29	1.53	1.6

	<b>RMSA Score</b>	<b>FEREM Part I Electronic Records Score</b>	<b>FEREM Part II Email Score</b>
United States Agency for International Development	95	3.32	2.8
United States Arctic Research Commission	Non-Responding	Non-Responding	Non-Responding
United States Capitol Police	Non-Responding	Non-Responding	Non-Responding
United States Commission on Civil Rights	80	3.05	3.6
United States Commission on International Religious Freedom	68	2.58	3
United States Interagency Council on Homelessness	22	1.21	2.4
United States International Development Finance Corporation	88	3.16	3.2
United States International Trade Commission	94	4	4
United States Nuclear Waste Technical Review Board	52	1.05	0.4
United States Office of Special Counsel	95	3	3.2
United States Sentencing Commission	90	3.84	3.4
United States Tax Court	48	Non-Responding	Non-Responding
Utah Reclamation Mitigation and Conservation Commission	85	3.47	4

### APPENDIX III: VALIDATION STRATEGY AND RESULTS

Each year, we validate a random sample of agencies’ responses to selected RMSA questions. For 2023, we selected 22 questions. Validation was conducted using a variety of internal NARA resources and agency-submitted documentation.

The following chart details which questions were validated this year, the topics covered, the validation method used, and the results.

<b>2023 RMSA Validation Strategy and Results</b>			
<b>Q#</b>	<b>Topic</b>	<b>Validation Method</b>	<b>Results</b>
Intro-1	Assign ARO	Verified all responses using internal resources that track Agency Records Officer designations.	100% correct.
3	Internal Controls for Permanent Records	Requested documentation and/or description of internal controls from a random sample (10%) of agencies responding 'Yes.'	80% correct. 20% incorrect.
11	AROC RM Training Credential	Verified all responses by using NARA’s Training Team resources.	83% correct. 17% incorrect.
12-17	RM Training for RM Staff, All Staff, Senior Officials	Requested training and information from a random sample (10%) of agencies who answered ‘Yes.’	87% correct. 13% incorrect.
25	Unauthorized Dispositions, Alteration, Use	Requested policies regarding UDs and electronic (digital) records from a random sample (10%) of agencies who answered 'Yes.'	80% correct. 20% incorrect.
28-29	More than one email account, personal email	Requested email policies from a random sample (10%) of agencies who answered ‘Yes.’	87% correct. 13% incorrect.
38-41	Digitization Validation Process and/or Procedures	Requested digitization validation process and/or procedures from a random sample (10%) of agencies who answered ‘Yes.’	70% correct. 30% incorrect. Plus two non-responders to the documentation request.
61	Last Records Schedule Submission	Verified with internal tracking for those who responded ‘2022-2023.’	60% correct. 40% incorrect.

<b>2023 RMSA Validation Strategy and Results</b>			
<b>Q#</b>	<b>Topic</b>	<b>Validation Method</b>	<b>Results</b>
64	Disposition authority for email records	Verified a random sample (10%) of agencies using submitted NA-1005s and the List of Agency Approaches for Email Disposition, along with input from NARA's appraisal staff where needed.	95% correct. 5% incorrect.
68	Transfer of Permanent Non-Electronic Records	Verified all responses using NARA's Research Services resources.	79% correct. 21% incorrect.
69	Transfer of Permanent Electronic (Digital) Records	Verified all responses using NARA's Research Services resources.	91% correct. 9% incorrect.
70-71	Finding Aids	Verified all responses using NARA's Research Services resources.	59% correct. 41% incorrect.



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