

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)
2017 RECORDS MANAGEMENT SELF-ASSESSMENT**

Welcome to the 2017 Records Management Self-Assessment!

Before you begin, please note the following information.

Except where indicated, the questions in this survey are intended to cover all records regardless of format, as defined in 44 U.S.C. 3301.

The questions apply regardless of whether your agency's work processes are conducted manually or electronically.

Unless otherwise indicated, the following questions refer to FY 2017 (October 1, 2016, through September 30, 2017).

Your answers to the self-assessment questions must be specific to records management activities in your agency. We have added a "not applicable" answer option to some questions. In general, use this option only if a question references an activity or action that is not conducted in your agency because of its size or if you are a Departmental Records Officer and are not responsible for the activity or action. In some cases, if the activity is being done by a departmental records management program, component agencies of that department may answer "Yes."

NOTE: Please note that your responses to questions in this assessment may be subject to public release pursuant to FOIA. However, we will not release responses to questions that contain detailed descriptions of agency activities.

NARA reserves the right to follow up with agencies to obtain additional information and/or documentation that supports their answers to the questions in this self-assessment.

As in previous years we will be conducting a validation process. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

If you have any questions about this self-assessment or need additional information to answer a question(s), please send an email message to rmsselfassessment@nara.gov.

Section I: Records Management Program - Activities

The next series of questions relate to administration of the records management program.

1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

- Yes
- No
- Do not know

2. If Yes: Please provide the person's name, position title, and office.

3. If Yes: How long has this person been responsible for coordinating and overseeing the implementation of the records management program?

- 5 or more years
- 3 to 4 years
- 1 to 2 years
- Less than a year

4. Does your agency have a Senior Agency Official for Records Management (SAORM)? (If you are a component of a department, you may answer "Yes," even if this is not being done at the component level.)

- Yes
- No
- Do not know

5. If Yes: Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's goals?

- Yes
- No
- Do not know

6. Does your agency use the Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015?

- Yes
- No
- Do not know
- Not applicable, my agency does not use the General Schedule (GS) job classification

7. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs), though their titles may vary. (36 CFR 1220.34(d))

- Yes
- No
- Do not know
- Not applicable, agency has less than 100 employees
- Not applicable, Departmental Records Officer - this is done at the component level

8. Of the following, please select the one that best describes your records management staff. This includes only those specifically assigned to the records management program.

- All records management staff are agency personnel
- All records management staff are contractors
- Records management staff includes both agency personnel and contractors

In general, an FTE is equivalent to one full-time employee who is assigned full-time to records management (2,080 hours per year). An employee who works part-time or is assigned records management as one of several unrelated responsibilities should be counted as a fraction of an FTE, representing the estimated number of hours worked on records management per year as a percentage of 2,080 hours.

9. How many FTE agency personnel (non-contractors) are specifically assigned records management responsibilities? (These are individuals directly responsible for records management program implementation, not contacts within mission areas with minimal records management duties.)*

*For Department Records Officers, please include only the staff at the Department level, not agency components, as component agency records officers will be answering for their agencies.

- <1
- 1
- 2 - 10
- 10 - 20
- More than 20
- Do not know
- Not available
- Not applicable, all records management staff are contractors

10. If your agency uses contractors, how many contractor FTE are specifically assigned records management responsibilities? (These are individuals directly responsible for records management program implementation, not general contacts within mission areas with minimal records management duties.)*

*For Department Records Officers, please include only the staff at the Department level, not agency components, as component agency records officers will be answering for their agencies.

- <1
- 1
- 2 - 10
- 10 - 20
- More than 20
- Do not know
- Not available
- Not applicable, all records management staff are agency personnel

The next series of questions relate to records management directives.

11. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

- Yes
- No, pending final approval
- No, under development
- No
- Do not know

12. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

- FY 2017 - present
- FY 2015 - 2016
- FY 2013 - 2014
- FY 2012 or earlier
- Do not know
- Not applicable, agency does not have a records management directive

The next series of questions relate to records management training.

Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or awareness of agency employees. Training can be either in a classroom setting or distance-based (e.g., web-based training), but it must:

- **be regular (occurring more than just once);**
- **be repeatable and formal (all instructors must provide the same message, not in an ad hoc way); and**

- **communicate the agency’s vision of records management.**

13. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f))

*Includes NARA’s records management training workshops that were customized specifically for your agency or use of an agency-customized version of the Federal Records Officer Network (FRON) RM 101 course.

- Yes
- No
- No, pending final approval
- No, under development
- Do not know
- Not applicable, please explain

14. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, covering records in all formats, including electronic communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which helps agency employees and contractors fulfill their recordkeeping responsibilities?*** (36 CFR 1220.34(f))

*Includes NARA’s records management training workshops that were customized specifically for your agency or use of an agency-customized version of the Federal Records Officer Network (FRON) RM 101 course.

***Components of departmental agencies may answer “Yes” if this is handled by the department. Department Records Officers may answer “Yes” if this is handled at the component level.

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (General Records Schedule (GRS) 6.1, item 010)

15. Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

- Yes
- No
- Do not know

16. Is records management training included in the in-processing for new employees in your agency?

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

17. Please add any additional comments about your agency for Section I: Activities. (Optional)

Section II: Records Management Program – Oversight and Compliance

Agency records management programs must provide for effective controls over the creation, maintenance, and use of records in the conduct of current business. (36 CFR 1220.30(c)(1))

Internal controls are integral components of an organization’s management that provide reasonable assurance of the effectiveness and efficiency of operations; reliability of financial reporting; and compliance with applicable laws and regulations. (“[Standards for Internal Control in the Federal Government](#)” (GAO-14-704G), U.S. Government Accountability Office, September 2014.)

Internal controls are:

- **Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance;**
- **Processes consisting of ongoing tasks and activities—a means to an end, not an end in itself;**
- **Carried out by people—not merely about policy and procedure manuals, systems, and forms, but about people and the actions they take at every level of an organization to effect internal control;**
- **Able to provide reasonable assurance, but not absolute assurance, to an entity’s senior management;**
- **Adaptable to the organization’s entire structure—flexible in application for the entire entity or for a particular regional office, division, operating unit, or business process.**

Control activities occur throughout the organization, at all levels and in all functions. They include a range of activities as diverse as approvals, authorizations, verifications, reconciliations, reviews/audits of operating performance, security of assets (limited access to inventories or equipment), and segregation of duties (separate personnel with authority to authorize a transaction, process the transaction, and review the transaction). Monitoring the effectiveness of internal controls should occur in the normal course of business. Periodic assessments should be integrated as part of management’s continuous monitoring of internal control, which should be ingrained in the agency’s operations. (“[2013 Internal Control - Integrated Framework](#),” Committee of Sponsoring Organizations (COSO) Executive Summary, May 14, 2013; and [OMB Circular A-123, “Management’s Responsibility for Enterprise Risk Management and Internal Control,”](#) July 15, 2016.)

18. In addition to your agency’s established records management policies and records schedules, has your agency’s records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e))

**These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA’s Federal Records Centers) or other organizations should not be considered when responding to this question.

*Examples of records management internal controls include but are not limited to:

- Regular briefings and other meetings with records creators
- Monitoring and testing of file plans
- Regular review of records inventories
- Internal tracking database of permanent record authorities and dates

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

19. In addition to your agency’s established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))

**These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA’s Federal Records Centers) or other organizations should not be considered when responding to this question.

*Examples of records management internal controls include but are not limited to:

- Regular review of records inventories
- Approval process for disposal notices from off-site storage

- Require certificates of destruction
- Monitoring shredding services
- Performance testing for email
- Monitoring and testing of file plans
- Pre-authorization from records management program before records are destroyed
- Ad hoc monitoring of trash and recycle bins
- Notification from facilities staff when large trash bins or removal of boxes are requested
- Annual records clean-out activities sponsored and monitored by records management staff

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

An evaluation is an inspection, audit, or review of one or more records management programs for effectiveness and for compliance with applicable laws and regulations. An evaluation contains recommendations for correcting or improving records management practices, policies, and procedures as well as follow-up activities, including reporting on and implementing recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit. (36 CFR 1220.18)

20. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations?

****For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records) must be the primary focus of the inspection/audit/review.**

- Yes, evaluations are conducted by the Records Management Program
- Yes, evaluations are conducted by the Office of Inspector General
- Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General
- Yes, evaluations are conducted by: (fill in the blank)
- No, please explain
- Do not know

21. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?

- Annually

- Bi-annually
- Once every 3 years
- Ad hoc
- Do not know
- Not applicable, agency does not evaluate its records management program

22. Was a formal written report prepared as part of the most recent inspection/audit/review?

- Yes
- No
- Do not know
- Not applicable, agency does not evaluate its records management program

23. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?

- Yes
- No
- Do not know
- Not applicable, agency does not evaluate its records management program

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

Performance goals are the target levels of performance. Performance goals should be specific, measurable, attainable, results-oriented, and time-bound.

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

*Examples of performance goals include but are not limited to:

- Identifying and scheduling all paper and non-electronic records by the end of FY 2017
- Developing computer-based records management training modules by the end of FY 2017
- Planning and piloting an electronic records management solution for email by the end of FY 2018
- Updating records management policies by the end of the year
- Conducting records management evaluations of at least one program area each quarter

- Yes
- No
- Pending final approval
- Currently under development
- Do not know

Performance measures are the indicators or metrics against which a program's performance can be gauged. Performance measures should provide a basis for comparing actual results with established performance goals. (“[Performance Measurement Challenges and Strategies](#),” June 18, 2003, white paper associated with the Office of Management and Budget's Program Assessment Rating Tool (PART); and “[Government Performance and Results Modernization Act of 2010](#),” Section 4, Performance Reporting Amendments.)

25. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

*Examples of performance measures include but are not limited to:

- Percentage of agency employees that receive records management training in a year
- A reduction in the volume of inactive records stored in office space
- Percentage of eligible permanent records transferred to NARA in a year
- Percentage of records scheduled
- Percentage of offices evaluated/inspected for records management compliance
- Percentage of email management auto-classification rates
- Development of new records management training modules
- Audits of internal systems
- Annual updates of file plans
- Performance testing for email applications to ensure records are captured
- Percentage of records successfully retrieved by Agency FOIA Officer in response to FOIA requests

- Yes
- No
- Pending final approval
- Currently under development
- Do not know

26. Does your agency's records management program have **documented and approved** policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

27. Is your agency subject to laws or regulations that require you to conduct business using paper or analog records?*

*Components of departmental agencies may answer “Yes” if this is handled by the department. Department Records Officers may answer “Yes” if this is handled at the component level.

- Yes
- No
- Do not know

28. If Yes: Which of the following possible examples of requirements for paper or analog records apply to your agency’s needs? (Choose all that apply)

- Wet signatures are required for transactions with non-Federal entities (including the public)
- Wet signatures are required for transactions between Federal agencies
- Transactions are required to be conducted using paper / hard copy
- Agency is required to offer paper / hard copy as an available option for transactions
- Other, please be specific:
- Do not know
- Comments: (Optional)

Vital records* (also known as Essential Records) are records needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). (36 CFR 1223.2)

***pending updates to regulations, the Records Management Self-Assessment still uses this terminology**

A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d))

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

*Components of departmental agencies may answer “Yes” if this is handled by the department.

- Yes
- No
- Do not know

30. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

- Annually

- Bi-annually
- Once every 3 years
- Ad hoc
- Never
- Do not know

31. Is your vital records plan part of the Continuity of Operations (COOP) plan?

- Yes
- No
- Do not know

32. Does your agency have policies in place to protect records and information from internal and external risks?

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

Agencies are required to have a Freedom of Information Act (FOIA) program (5 U.S.C. 552). The ability to find records is essential for a successful FOIA program. The following questions related to your agency's FOIA program may require consultation with your agency's FOIA Officer.

33. The Agency Records Officer and the FOIA Officer:

- Are the same person
- Coordinate closely together
- Work together sometimes
- Never work together

34. Are the Agency Records Officer and the FOIA Officer in the same office/division within your agency?

- Yes
- No
- Do not know
- Agency Records Officer and the FOIA Officer are the same person

35. Records needed to respond to a FOIA request are readily accessible and located by staff responsible for FOIA:

- Always
- Most of the time
- Some of the time
- Never
- Do not know

36. Staff responsible for FOIA can search for records without contacting others (i.e. program offices):

- Always
- Most of the time
- Some of the time
- Never
- Do not know

37. At what point in the FOIA process does your agency inform requesters of the Office of Government Information Services' (OGIS) dispute resolution services? (Choose all that apply)

- When there is an adverse determination
- When notifying the requester that the agency needs more than 10 additional days to process a request
- When responding to the requester's appeal
- Never
- Do not know
- Other, please explain

38. What mode does your agency most often use to release records under FOIA?

- Email
- Online portal
- U.S. mail
- Other, please explain

39. In 2015, NARA and the Federal Records Management Council introduced the [*Federal RIM Program Maturity Model*](#). Are you familiar with this or other maturity models?

- Yes
- No
- Comments: (Optional)

40. If Yes: Are you using the *Federal RIM Program Maturity Model* or other maturity models to measure the maturity of the records management program?

- Yes
- No
- Comments: (Optional)

41. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?

- Yes
- No
- Do not know
- Comments (Optional): Please include in your comments how you use the Records Management Self-Assessment.

42. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)

Section III: Records Management Program - Records Disposition

Records disposition refers to actions taken with regard to Federal records that are no longer needed for current government business as determined by their appraisal pursuant to legislation, regulation, or administrative procedure. Disposition is a comprehensive term that includes both destruction and transfer of Federal records to the National Archives of the United States. (36 CFR Parts 1222, 1224, 1225 and 1226)

The next series of questions relate to your agency's efforts to schedule its records.

43. Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10, and 36 CFR 1225.12)

- Yes
- No
- To some extent
- Do not know

44. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

- Yes, all records are easily retrievable and accessible when needed

- Most records can be retrieved and accessed in a timely manner
- Some records can be retrieved and accessed in a timely manner
- No
- Do not know

45. Does your agency disseminate *every* approved disposition authority (including newly approved records schedules and General Records Schedule items) to agency staff within six months of approval? (36 CFR 1226.12(a))

- Yes
- No
- Do not know

46. If Yes: What method(s) does your agency use? (Choose all that apply)

- Post to internal website or other shared information location
- Memorandum or email notification
- Update training materials
- Update records management policies and/or handbooks
- Other, please explain

47. Does your agency have a method of continually identifying new and unscheduled records?

- Yes
- No
- Do not know

48. If Yes: Which method(s) does your agency use? (Choose all that apply)

- Regular surveys
- Regular inventories
- Records management evaluations, site assessments, or audits of program offices
- Work with program managers to identify new programs and related records
- Work with Privacy Officer and review SORNs (Systems of Records Notices)
- Work with FOIA Officer
- Records Liaison Officers notify Agency Records Officer of new record series
- Require use and annual update of file plans
- Participate in design and retirement of information systems and note changes in records
- Outreach and awareness
- Other, please explain

The next series of questions relate to permanent records.

49. Does your agency have permanent records that are 30 years old or older that are located in agency office space, agency-operated records centers and/or commercial records centers? (36 CFR 1235.12(b) and M-12-18)

- Yes
- No
- Do not know

50. Are you aware of the requirement to formally request permission from NARA to retain permanent records beyond that specified in your agency's NARA-approved records schedules as outlined in 36 CFR 1235.14 and 1235.16?

- Yes
- No

51. Did your agency transfer permanent non-electronic records to NARA during FY 2017? (36 CFR 1235.12)

- Yes
- No
- No - No records were eligible for transfer during FY 2017
- No - New agency, records are not yet old enough to transfer
- No - My agency does not have any permanent non-electronic records
- Do not know
- Other, please explain

52. Did your agency transfer permanent electronic records to NARA during FY 2017? (36 CFR 1235.12)

- Yes
- No
- No - No electronic records/systems were eligible for transfer during FY 2017
- No - New agency, electronic records/systems are not old enough to transfer
- No - My agency does not have any permanent electronic records
- Do not know
- Other, please explain

53. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA?

- Yes
- No
- Do not know

Not applicable, please explain

54. If Yes: What method(s) does your agency use to track its permanent records? (Choose all that apply)

- Rely on Federal Records Center notifications
- Maintain an inventory
- Database or other automated tracking
- Manual tracking
- Other, please explain

The next series of questions relate to your agency's handling of records for senior officials.

Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

55. Does your agency conduct and document for accountability purposes training and/or other briefings as part of the on-boarding process for senior officials on their records management roles and responsibilities, including the appropriate disposition of records and the use of personal and unofficial email accounts? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))

- Yes
- Yes, but not documented
- No
- Do not know
- Not applicable, please explain

56. If Yes or Yes, but not documented: Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in on-boarding briefings or other processes for newly appointed senior officials?

- Yes
- No
- Do not know

57. Does your agency conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))

- Yes
- Yes, but not documented
- No
- Do not know
- Not applicable, please explain

58. If Yes or Yes, but not documented: Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?

- Yes
- No
- Do not know

59. If Yes or Yes, but not documented: Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

- Yes
- No, please explain
- Do not know

The next series of questions relate to where your agency stores its inactive temporary and/or permanent records, regardless of format.

Commercial records storage facilities are private sector commercial facilities that offer records storage, retrieval, and disposition services.

An agency records center is a records storage facility, operated by a Federal agency and capable of storing more than 25,000 cubic feet of records.

Records staging or holding areas are areas designated within the agency's office space that are used for the temporary storage of records. The term does not include off-site storage such as commercial or agency records storage facilities. Records staging or holding areas may be established by an agency for maintaining records no longer needed in office space but whose volume or retention periods are insufficient to warrant transfer to a records center before final disposition.

60. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?

- Yes
- No

Do not know

61. If Yes: Does the facility comply with the standards prescribed by 36 CFR 1234?

Yes

No

Do not know

62. Does your agency store inactive temporary and/or permanent records in an agency records center? (Note: This does NOT include agency staging areas and temporary holding areas.)

Yes

No

Do not know

63. If Yes: Does the records center comply with the standards prescribed by 36 CFR 1234?

Yes

No

Do not know

64. Does your agency store inactive temporary and/or permanent records in an agency records staging or holding area?

Yes

No

Do not know

65. If Yes: Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234.10, 36 CFR 1234.12, and 36 CFR 1234.14?*

*It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.

Yes

No

Do not know

66. If Yes to Q60, 62, or 64: Please estimate the volume of inactive temporary records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)

0 - 1,000

1,000 - 5,000

- 5,000 - 15,000
- 15,000 - 25,000
- 25,000 - 50,000
- 50,000 - 100,000
- 100,000 - 250,000
- 250,000 or greater

67. If Yes to Q60, 62, or 64: Please estimate the volume of inactive permanent records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)

- 0 - 1,000
- 1,000 - 5,000
- 5,000 - 15,000
- 15,000 - 25,000
- 25,000 - 50,000
- 50,000 - 100,000
- 100,000 - 250,000
- 250,000 or greater

NARA annually provides agencies storing records in a Federal Records Center with transfer requests populated in the Electronic Records Archives (ERA) for permanent records eligible for transfer to the National Archives. (This is known as the Annual Move.) Agencies are then responsible to submit those transfer requests based on these lists in order to complete the cycle.

68. Did your agency receive a list of permanent records eligible for transfer in FY 2017?

- Yes
- No
- Do not know
- Not applicable, my agency does not store records in the Federal Records Centers

69. If Yes: Did your agency submit transfer requests in FY 2017 based on the Annual Move list of eligible permanent records to be accessioned by the National Archives?

- Yes
- No, please explain
- Do not know

70. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Section IV: Records Management Program - Electronic Records

Electronic information system means an information system that contains and provides access to computerized Federal records and other information. (36 CFR 1236.2)

The following types of records management controls are needed to ensure that Federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. Agencies must incorporate controls into the electronic information system or integrate them into a recordkeeping system that is external to the information system itself. (36 CFR 1236.10)

(a) Reliability: Controls to ensure a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.

(b) Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.

(c) Integrity: Controls, such as audit trails, to ensure records are complete and unaltered.

(d) Usability: Mechanisms to ensure records can be located, retrieved, presented, and interpreted.

(e) Content: Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.

(f) Context: Mechanisms to implement cross-references to related records that show the organizational, functional, and operational circumstances about the record, which will vary depending upon the business, legal, and regulatory requirements of the business activity.

(g) Structure: Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements.

71. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)

- Yes
- To some extent
- No
- Do not know
- Not applicable, please explain

Migration is a set of organized tasks designed to achieve periodic transfer of digital materials from one hardware/software configuration to another, or from one generation of computer technology to a subsequent generation.

Metadata consists of preserved contextual information describing the history, tracking, and/or management of an electronic document. (36 CFR 1236.2)

72. Does your agency have **documented and approved** procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

73. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems? (36 CFR 1235.20(b)(6))

- Yes
- No
- To some extent
- Do not know
- Not applicable, please explain

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

- Yes
- No, please explain
- Do not know

75. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)

*Components of departmental agencies may answer “Yes” if this is handled by the department.

- Yes
- No, please explain
- Do not know
- Not applicable, please explain

76. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?

- Yes
- No, please explain
- To some extent
- Do not know
- Not applicable, please explain

77. If Yes or To some extent: Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)

- Participate in review and acceptance of proposals for new systems
- Participate as stakeholder in requirements gathering
- Participate as stakeholder in design phase
- Participate as stakeholder in development phase including testing the system
- Provide sign off authority for the implementation of new systems
- Monitor system for adherence to standards, policies, and procedures
- Provide information only
- Do not know
- Other, please explain

78. Does your agency have documented and approved policies requiring permanent electronic records be managed in an electronic format for eventual transfer to NARA?

- Yes
- No
- No, under development
- Do not know

79. Does your agency have protections against unauthorized use, alteration, alienation or deletion of all electronic records?

- Yes
- No
- To some extent
- Do not know

80. Does your agency have the capability to place legal holds on all electronic records until disposition is authorized?

- Yes

- No
- To some extent
- Do not know

Executive Order 13526 prescribes a uniform system for classifying, safeguarding, and declassifying national security information. Under 32 CFR 2001.50, the Office of Information Security and Oversight provides further definition and guidance.
<https://www.archives.gov/isoo/about>

Established by Executive Order 13556, the Controlled Unclassified Information (CUI) program standardizes in 32 CFR 2002 the way the executive branch handles unclassified information that requires safeguarding or dissemination controls pursuant to and consistent with law, regulations, and Government-wide policies.
<https://www.archives.gov/cuiza/about>

81. Does your agency comply with the requirements under Executive Orders 13526 and 13556 for managing classified and controlled unclassified information in systems that contain electronic records?

- Yes
- No
- To some extent
- Do not know
- Not applicable, not an executive branch agency

82. Does your agency have the ability to search across all systems to find electronic records needed for agency business, FOIA and other information requests?

- Yes
- No
- To some extent
- Do not know

83. Does your agency have a digitization strategy to reformat permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, and analog audio)?

- Yes
- No
- To some extent
- Do not know

Web content is the textual, visual, or aural content that is encountered as part of the user experience on websites. It may include text, images, sounds, videos, animations, and more.

A Web Content Record is defined as information that meets the definition of Federal record and is provided via an agency's website.

84. Does your agency manage your web content as records?

- Yes
- No
- Do not know

85. If Yes: How does your agency capture web content managed as records? (Choose all that apply)

- Content is printed and filed
- Content is captured manually through periodic web snapshots
- Content is automatically harvested using specific tools
- Do not know
- Other, please explain

86. If Yes: Web content management includes: (Choose all that apply)

- Identification of record copy whether online or off-line
- Identifying the program office responsible for official record copy
- Records retention scheduling of web content
- Preservation of record copy in accordance with retention schedule
- Migration of content when website is updated
- Maintaining access throughout the life-cycle even if removed from the website
- Managing convenience copies as duplicates and applying disposition as needed
- Transfer of permanent web records to the National Archives
- Other, please explain

87. Does your agency use cloud services?

- Yes
- No
- Do not know

88. If Yes: For what purpose(s) is your agency using cloud services? (Choose all that apply)

- Email
- Administrative functions such as payroll, purchasing, and financial management
- Mission/program-related functions
- Other, please explain
- Do not know

89. If Yes: Are recordkeeping requirements included?

- Yes
- No
- Do not know

90. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))

- Yes
- No
- Do not know

The next series of questions relate to email.

An electronic mail system is a computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted on an email system. (36 CFR 1236.2)

91. Does your agency have **documented and approved** policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)

- Yes
- No, please explain
- Do not know

92. Does your agency have **documented and approved** policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records – [Appendix A: Tables of File Formats](#), Section 9 - Email? (36 CFR 1236.22(e))

- Yes
- No
- Do not know

Regardless of how many Federal email accounts individuals use to conduct official business, agencies must ensure that all accounts are managed, accessible and identifiable according to Federal recordkeeping requirements. (36 CFR 1236.22)

93. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03)

*Examples of business needs may include but are not limited to:

- Using separate accounts for public and internal correspondence
- Creating accounts for a specific agency initiative which may have multiple users
- Using separate accounts for classified information and unclassified information

- Yes
- No
- Do not know

94. Does your agency have **documented and approved** policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

95. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))

- Yes
- No
- Do not know

96. Does your agency have **documented and approved** policies that address the use of personal email accounts, whether or not allowed, that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

97. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))

- Yes
- No
- Do not know

98. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

- Captured and stored in an email archiving system
- Captured and stored in an electronic records management system
- Captured and stored as personal storage table (.PST) files
- Print and file
- Not captured and email is managed by the end-user in the native system
- Other, please be specific

99. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

- Yes
- No
- Do not know

100. If Yes: How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?

- Annually
- Bi-annually
- Once every 3 years
- Ad hoc
- Do not know

101. Which of the following has your agency chosen for retention scheduling of email?

- GRS 6.1: Email Managed under a Capstone Approach
- Agency-specific schedule
- Combination of agency-specific schedule and GRS 6.1
- Email retention has not been scheduled
- Do not know
- Other, please explain

102. Is your agency able to access email from departed employees in a usable format?

- Yes
- No

- To some extent
- Do not know

103. Is your agency able to prevent unauthorized access, modification, or destruction of emails?

- Yes
- No
- To some extent
- Do not know

104. Can your agency transfer permanent email records to the National Archives in accordance with agency records schedules or General Records Schedules and NARA regulations and guidance?

- Yes
- No
- To some extent
- Do not know

105. Is your agency able to decrypt permanent email records before they are accessioned by NARA?

- Yes
- No
- Do not know

106. Does your agency have an approved records schedule covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record?

- Yes
- No
- No, pending final approval
- No, under development
- Do not know

107. Does your agency have **documented and approved** policies and procedures in place to manage electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?

- Yes
- No
- No, pending final approval

- No, under development
- Do not know
- Other, please explain

108. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)

Section V: Agency Demographics

109. Does the records management program have a dedicated budget?

- Yes
- No
- Do not know

110. Please report actual obligations for records management purposes incurred in FY 2017 for each of the following categories.

Personnel Compensation and Benefits (Federal employees only) for records management purposes:

\$ _____

- Do not know
- Prefer not to answer

Records Storage Contracts and Inter-Agency Agreements (paper and analog formats):

\$ _____

- Do not know
- Prefer not to answer

Records Management IT Systems and Electronic Records Storage:

\$ _____

- Do not know
- Prefer not to answer

Travel and Transportation for records management purposes:

\$ _____

- Do not know
- Prefer not to answer

Records Management Training:

\$ _____

- Do not know
- Prefer not to answer

Other: (Please be specific)

\$ _____

- Do not know
- Prefer not to answer

Comments: (Optional)

111. How many full-time equivalents (FTE) are in your agency/organization?

- 500,000 or more FTEs
- 100,000 – 499,999 FTEs
- 10,000 – 99,999 FTEs
- 1,000 – 9,999 FTEs
- 100 – 999 FTEs
- 1 – 99 FTEs
- Not Available

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

- Senior Agency Official
- Office of the General Counsel
- Program Managers
- FOIA Officer
- Information Technology staff
- Records Liaison Officers or similar
- Administrative staff
- Other, please be specific:
- None

113. How much time did it take you to gather the information to complete this self-assessment?

- Under 3 hours
- More than 3 hours but less than 6 hours
- More than 6 hours but less than 10 hours
- Over 10 hours

114. Did your agency's senior management review and concur with your responses to the 2017 Records Management Self-Assessment?

- Yes
- No
- Do not know

115. Please provide your contact information.

Name:

Agency, Bureau, or Office:

Job Title:

Email Address:

Phone Number:

116. Are you the Agency Records Officer?

Yes

No

117. If No: Please provide the Agency Records Officer's contact information.

Name:

Email Address:

Phone Number:

118. Do you have any suggestions for improving the Records Management Self-Assessment next year?

NARA reserves the right to request additional documentation or a follow-up meeting to verify your responses. If you wish to provide supporting documentation for your answers or other information to NARA, please send it to rmsselfassessment@nara.gov.

Thank you for completing the 2017 Records Management Self-Assessment! If you have any questions about the self-assessment, please send a message to rmsselfassessment@nara.gov.