Inter-Planetary Research Agency

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FROM: Inspector General Philippa Luto

SUBJECT: Evaluation of IPRA’s Comprehensive Records Management Process

DATE: March 15, 20XX

The Inter-Planetary Research Agency (IPRA) Office of Inspector General (OIG) conducted this self-initiated audit to assess IPRA’s records management process.

The objectives of our audit were to determine: 1) whether the IPRA has a comprehensive records management framework, retention, and disposition system in place; and 2) whether the IPRA is in compliance with applicable records management policies, procedures, laws and regulations.

Results of our audit determined that the IPRA does have a comprehensive records management program and does overall meet applicable Federal records management requirements.

However, the audit revealed two major areas of concern:

First, disposition of records in electronic form is not applied in a consistent manner agency-wide. While they are matched against the agency records schedule and departmental file plans, temporary records are retained on servers and in applications beyond their assigned retention periods. Permanent records are not transferred to the National Archives as required by approved retention schedules.

Second, agency email messages are being retained on servers and are not, in most cases, managed according to the retention schedules being used for other related electronic files.

Our office acknowledges information from the Agency Records Officer and Chief Information Officer reporting that a) the agency Records and Information Management program’s proposal to adopt the National Archives’ Capstone method of email management has been approved, and b) a new Message Archiving & Retention System (MARS) is being implemented to capture, retain, and manage email, chat, and text messages in this Fiscal Year.

As a result of this audit, we make the following recommendations:

* Establishment of an initial in-depth agency-wide records management evaluation focused on application of disposition to agency records in all formats.
* Representatives from the Office of the Chief Information Officer and Office of Administration, Records and Information Management Program monitor implementation of the new MARS system and report progress as part of the weekly Agency Systems Monitoring & Implementation Oversight process.
* Creation and delivery of further training for employees holding records in the use of agency records schedules, file plans, and disposition procedures.

We believe these recommendations will help IPRA continue to strengthen the foundation of its information program and processes.

We appreciate the effort, assistance, and cooperation IPRA management and staff provided to us during this audit.

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