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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

Text Response
Deborah Armentrout, Agency Records Officer, Office of the Chief Information Officer

3. Does your agency have a records management directive(s)? (36 CFR 1220.34(c))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ FY 2015 - present		1	100%
2	✓ FY 2013 - 2014		0	0%
3	✓ FY 2011 - 2012		0	0%
4	FY 2010 or earlier		0	0%
5	Do not know		0	0%
7	Not applicable, agency does not have a records management directive		0	0%
	Total		1	

5. Has your agency updated its records management directives and/or policies to reflect changes to the Federal Records Act (Public Law 113-187)?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	No, unaware of these changes		0	0%
4	Under development		1	100%
5	Do not know		0	0%
6	Other, please explain		0	0%
	Total		1	

Other, please explain

6. Has your agency's records management program established strategic goals and objectives?

#	Answer	Bar	Response	%
7	Yes		1	100%
8	No		0	0%
9	To some extent		0	0%
10	Do not know		0	0%
	Total		1	

7. Does the leadership and management of your agency recognize records and information management as a priority?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	To some extent		0	0%
4	Do not know		0	0%
	Total		1	

8. 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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

9. 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 the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

10. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, 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 the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

11. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created and maintained in electronic formats? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

12. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created through electronic communications including email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
5	✓ Not applicable, please explain		1	100%
	Total		1	

Not applicable, please explain

Our formal training covers retention and management of email. We do not retain or manage other electronic communications.

13. 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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

14. Is the records management training described in questions 9 through 13 mandatory?

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✓ To Some Extent		0	0%
3	No		0	0%
4	Do not know		0	0%
5	Not applicable, agency has not developed internal records management training		0	0%
	Total		1	

15. Which staff members are required to complete the records management training described in questions 9 through 13? (Choose all that apply)

#	Answer	Bar	Response	%
2	Agency employees		1	100%
3	Contractors		1	100%
4	Senior officials		1	100%
5	Employees assigned records management responsibilities		1	100%
6	Do not know		0	0%

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency has not developed internal records management training		0	0%
	Total		1	

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

Text Response

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 (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

#	Answer	Bar	Response	%
1	✔ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

19. Please select the control activities your agency performs to ensure that all eligible permanent records in all media are transferred to NARA. (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular briefings and other meetings with records creators		1	100%
2	Approval process for transfer notices from Federal Records Centers		1	100%
3	Monitoring and testing of file plans		1	100%
4	Regular review of records inventories		1	100%
5	Internal tracking database of permanent record authorities and dates		1	100%
6	Other, please explain		0	0%

Other, please explain

20. 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 (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

#	Answer	Bar	Response	%
1	✔ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

21. Please select the control activities your agency performs to ensure that Federal records are not destroyed before the end of their retention period. (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular review of records inventories		1	100%
2	Approval process for disposal notices from off-site storage		1	100%
3	Require certificates of destruction		0	0%
4	Monitoring shredding services		0	0%
5	Performance testing for email		0	0%
6	Monitoring and testing of file plans		1	100%
7	Pre-authorization from records management program before records are destroyed		0	0%
8	Ad hoc monitoring of trash and recycle bins		0	0%
9	Notification from facilities staff when large trash bins or removal of boxes are requested		1	100%
10	Annual records clean out activities sponsored and monitored by records management staff		1	100%
11	Other, please explain		0	0%

Other, please explain

22. Does your records management staff have oversight over records created at the highest levels of your agency (i.e. those of Agency Heads and appropriate advisors, and executive support staff) in order to ensure they are created, maintained, captured, preserved, and, when applicable, properly transferred to NARA? (36 CFR 1220)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Other, please explain		0	0%
	Total		1	

Other, please explain

23. 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.

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✓ Every 1 - 2 years		0	0%
2	✓ Every 3 - 4 years		1	100%
3	✓ Every 5 years		0	0%
4	More than every 5 years		0	0%
5	Do not know		0	0%
7	Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
5	Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	✓ Currently under development		0	0%
4	Do not know		0	0%
5	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

28. Please describe your agency's records management program's performance goals.

Text Response

The Records management program supports the agency's Information Technology/Information Management Strategic Plan: Fiscal Years 2016 – 2020 (NUREG-1908, Volume 3), IT/IM Strategic Plan Goal 2: Enhance instruction and guidance to users for accessing information. There are individual project plans and milestones in the Information and Records Management (IRM) Program Plan overseen by the Agency Records Officer which support this goal. ▪ Strategy 1 - Enhance methods for the capture, usage, storage, and disposition of information ▪ Strategy 2 - Enhance instruction and guidance to users for accessing information ▪ Strategy 3 - Enhance openness and transparency of information by improving electronic record-keeping (OMB M-12-18) Example - digitizing and electronically managing all permanent paper records by 2019 ▪ Strategy 4 - Enhance methods for users to acquire information

29. Please describe the progress your agency has made towards identifying performance goals for its records management program. Include the time frame for completion in your remarks.

Text Response

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	✓ Currently under development		0	0%
4	Do not know		0	0%
5	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

31. Which of these input measures do you collect to monitor your records management program's performance? (Choose all that apply)

#	Answer	Bar	Response	%
1	Percentage of records scheduled		1	100%
2	Percentage of staff trained in records management		1	100%
3	Percentage of offices evaluated/inspected for records management compliance		0	0%
4	Percentage of email management auto-classification rates		0	0%
5	Development of new records management training modules		1	100%
6	Audits of internal systems		1	100%
7	Annual updates of file plans		0	0%
8	Performance testing for email applications to ensure records are captured		0	0%
9	Do not know		0	0%
10	Other, please explain		0	0%

Other, please explain

32. Please describe the progress your agency has made towards identifying performance measures for its records management program. Include the time frame for completion in your remarks.

Text Response

33. 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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✓ Annually		1	100%
2	✓ Every 2 - 3 years		0	0%
3	✓ Every 4 - 6 years		0	0%
4	Never		0	0%
5	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

Text Response

38. When was the last time your agency submitted a records schedule to the National Archives?

#	Answer	Bar	Response	%
1	FY 2013 – 2015		0	0%
2	FY 2010 – 2012		1	100%
3	FY 2007 – 2009		0	0%
4	FY 2006 or earlier		0	0%
7	Do not know, please explain		0	0%
	Total		1	

Do not know, please explain

39. Has your agency ever submitted a records schedule for approval using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

40. 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))

#	Answer	Bar	Response	%
1	✔ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

41. Did your agency transfer permanent non-electronic records to NARA during FY 2015? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	✔ Yes		0	0%
2	No		0	0%
4	✔ No - No records were eligible for transfer during 2015		0	0%
5	✔ No - New agency, records are not yet old enough to transfer		0	0%
7	Do not know		0	0%
8	Other, please explain		1	100%
9	No - My agency does not have any permanent non-electronic records		0	0%
	Total		1	

Other, please explain

On October 10, 2014, NRC requested a freeze on the transfer of all non-electronic NRC records to allow time for correction of the schedules in NARA's tracking systems. Therefore no non-electronic records were transferred during FY2015.

42. Did your agency transfer permanent electronic records to NARA during FY 2015? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	✔ Yes		0	0%
2	No		0	0%
4	✔ No - No electronic records/systems were eligible for transfer during FY 2015		1	100%
5	✔ No - New agency, electronic records/systems are not old enough to transfer		0	0%
7	Do not know		0	0%
8	Other, please explain		0	0%
9	No - My agency does not have any permanent electronic records		0	0%
	Total		1	

Other, please explain

43. Were the permanent electronic records transferred during FY 2015 using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
	Total		0	

44. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
4	Not applicable, my agency does not have any permanent electronic records		0	0%
	Total		1	

45. When will these permanent electronic records be eligible for transfer to NARA? (Choose all that apply)

#	Answer	Bar	Response	%
1	FY 2016		1	100%
2	FY 2017		0	0%
3	FY 2018		0	0%
4	FY 2019		0	0%
5	FY 2020		0	0%
6	After FY 2020		1	100%
7	Do not know, please explain		0	0%
8	Not applicable, my agency does not have any permanent electronic records		0	0%

Do not know, please explain

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

47. What methods does your agency use to track its permanent records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Rely on Federal Records Center notifications		1	100%
2	Maintain an inventory		1	100%
3	Database or other automated tracking		1	100%
4	Manual tracking		0	0%
5	Other, please explain		0	0%

Other, please explain

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

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

49. Does the facility comply with the standards prescribed by 36 CFR 1234?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
	Total		0	

50. 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.)

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

51. Does the records center comply with the standards prescribed by 36 CFR 1234?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
	Total		0	

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

#	Answer	Bar	Response	%
4	Yes		1	100%
5	No		0	0%
6	Do not know		0	0%
	Total		1	

53. Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234*? *It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.

#	Answer	Bar	Response	%
4	Yes		1	100%
5	No		0	0%
6	Do not know		0	0%
	Total		1	

54. Does your agency provide exit briefings for senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1230.10(a & b))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

55. Who is involved in the exit briefings? (Choose all that apply)

#	Answer	Bar	Response	%
1	Agency Records Officer		0	0%
2	Senior Agency Official for Records Management		0	0%
3	Chief Information Officer		0	0%
4	Other, please explain		1	100%

Other, please explain

The briefings are run by the NRC Historian, an Office of the Secretary administrative specialist (correspondence analyst), and the senior level advisor to the Secretary of the Commission.

56. Are the exit briefings documented for purposes of accountability?

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
4	Not applicable, agency does not provide exit briefings for senior officials		0	0%
	Total		1	

57. Upon separation, are senior officials required to obtain approval from records management program staff or other designated official(s) before removing personal papers and copies of records?

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

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

Text Response

59. 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)

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

60. 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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

61. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

62. 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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

63. 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)

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

No, please explain | Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✓ To Some Extent		0	0%
3	No, please explain		0	0%
4	Do not know		0	0%
6	✓ Not applicable, please explain		0	0%
	Total		1	

No, please explain	Not applicable, please explain

65. 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)

#	Answer	Bar	Response	%
1	Participate in review and acceptance of proposals for new systems		1	100%
2	Participate as stakeholder in requirements gathering		1	100%
3	Participate as stakeholder in design phase		1	100%
4	Participate as stakeholder in development phase including testing the system		1	100%
5	Provide sign off authority for the implementation of new systems		1	100%
6	Monitor system for adherence to standards, policies, and procedures		1	100%
7	Provide information only		0	0%
8	Do not know		0	0%
10	Other, please explain		0	0%

Other, please explain

66. 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)

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

67. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA 2014-04: Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records – Tables of File Formats Section 9 - Email (http://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html)?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

68. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

69. 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(b))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

71. Does your agency have documented and approved policies that address the use of personal email accounts 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)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

72. 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))

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Print and file		1	100%
2	Captured and stored as .PST		0	0%
3	Captured and stored in an electronic records management system		1	100%
4	Captured and stored in an email archiving system		0	0%
5	Not captured and email is managed by the end-user in the native system		0	0%
6	Other, please be specific		0	0%

Other, please be specific

74. Does your agency audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

75. Who audits staff compliance with the agency's email preservation policies? (Choose all that apply)

#	Answer	Bar	Response	%
1	Inspector General		0	0%
2	Chief Information Officer		0	0%
3	Agency Records Officer		0	0%
4	Other, please explain		0	0%
5	Do not know		0	0%

Other, please explain

76. How often does your agency audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	✔ Every 6 months		0	0%
2	✔ Every year		0	0%
3	✔ Every 2 years		0	0%
4	✔ Less frequently than every 2 years		0	0%
5	Do not know		0	0%
6	Not applicable, agency does not audit staff compliance		1	100%
	Total		1	

77. Does your agency plan to adopt the "Capstone" approach to managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

78. Have you submitted a retention schedule for identifying "Capstone" accounts for approval by NARA?

#	Answer	Bar	Response	%
5	Yes		0	0%
6	No, please explain		1	100%
7	Do not know		0	0%
8	Not applicable, planning to use GRS 6.1: Email Managed Under a Capstone Approach		0	0%
	Total		1	

No, please explain

Proposed retention schedule is currently being developed.

79. 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?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
	Total		1	

Other, please explain

80. 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?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

81. Does your agency create and maintain any of the following types of metadata for electronic records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Descriptive metadata		1	100%
2	Structural metadata		1	100%
3	Administrative metadata		1	100%
4	Rights management metadata		1	100%
5	Preservation metadata		1	100%
6	Not applicable, please explain		0	0%
7	Do not know		0	0%
8	Other, please explain		0	0%

Not applicable, please explain

Other, please explain

82. Does your agency maintain metadata for permanent records in a records management or other application?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
	Total		1	

Other, please explain

83. Does your agency maintain metadata for permanent records sufficient to understand, maintain and provide access to the records?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		1	100%
	Total		1	

Other, please explain

The NRC makes every attempt to maintain metadata for permanent records in accordance with NARA 2014-04 Appendix A, Revised Format Guidance for the Transfer of Permanent Electronic Records. At the same time, particularly because our some processes operate under a "pen and paper" environment with hand-written notes that are integral to the business process, the full array of metadata possible for electronic records is not easily or efficiently captured. The NRC has also worked closely with NARA to adapt additional technologies to meet NARA's requirements. In April 2015, the NRC had analysis completed on email to PDF conversions where NARA's Electronic Records Division described the NRC's test as "a relatively good implementation of email as PDF," but added that the test still raised areas of concern. The NRC will continue to work with NARA to pioneer new solutions and to use NARA's currently-recommended solutions wherever practicable.

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

Text Response

85. Does your agency have an SAO for Records Management? (If you are a component of a Department, you may answer yes, even if this is not being done at the component level.)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

86. Does your agency records officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

87. Is your agency actively working with NARA appraisal staff to schedule all unscheduled paper and other non-electronic records by December 31, 2016?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, all paper and other non-electronic records have been scheduled		1	100%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

89. What methods does your agency use to identify new and unscheduled records?

Text Response
Conduct routine information inventories, participate in privacy impact assessments and solution development lifecycle processes.

90. Has your agency identified any additional unscheduled records that have not already been reported to NARA?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
4	Do not know		0	0%
	Total		1	

91. Please send to rmselfassessment@nara.gov by January 29, 2016, an updated spreadsheet containing only the newly identified unscheduled records that have not already been reported to NARA. (The spreadsheet was sent to RMSA contacts on November 2, 2015, along with an advanced copy of the questionnaire. Please email rmselfassessment@nara.gov if you did not receive it or need another one.)

#	Answer	Bar	Response	%
1	Sent		0	0%
2	Not Sent		0	0%
	Total		0	

92. Does your agency use cloud services?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

93. For what purpose(s) is your agency using cloud services? (Choose all that apply)

#	Answer	Bar	Response	%
1	Email		0	0%
2	Administrative functions such as payroll, purchasing, and financial management		0	0%
3	Mission/program-related functions		0	0%
4	Other, please explain		1	100%
5	Do not know		0	0%

Other, please explain
The agency uses a recently implemented private cloud. The cloud hosts a variety of systems and services in support of administrative activities. No data is resident on the external cloud services.

94. Are recordkeeping requirements included?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, my agency does not use the General Schedule (GS) job classifications		0	0%
	Total		1	

96. Why will your agency NOT be using the new job series?

Text Response

97. In 2015, NARA and the Federal Records Council introduced the Federal RIM Program Maturity Model (http://www.archives.gov/records-mgmt/prmd.html). Are you familiar with this or other maturity models?

#	Answer	Bar	Response	%
4	Yes		1	100%
5	No		0	0%
6	Comments: (Optional)		0	0%

Comments: (Optional)

98. Are you using the Federal RIM Program Maturity Model or other maturity models to measure the maturity of the records management program?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Comments: (Optional)		0	0%

Comments: (Optional)

99. Does your agency use your RMSA scores to measure the effectiveness of the records management program?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Comments: (Optional) - Please include in your comments how you use the RMSA, if applicable		0	0%

Comments: (Optional) - Please include in your comments how you use the RMSA, if applicable

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

#	Answer	Bar	Response	%
1	500,000 or more FTEs		0	0%
2	100,000 -- 499,999 FTEs		0	0%
3	10,000 – 99,999 FTEs		0	0%
4	1,000 -- 9,999 FTEs		1	100%
5	100 – 999 FTEs		0	0%
6	1 – 99 FTEs		0	0%
7	Not Available		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Senior Agency Official		1	100%
2	Office of the General Counsel		1	100%
3	Program Managers		0	0%
4	Information Technology staff		1	100%
5	Records Liaison Officers or similar		1	100%
6	Administrative staff		0	0%
7	Other (please be specific)		0	0%
8	None		0	0%

Other (please be specific)

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

#	Answer	Bar	Response	%
1	Less than 3 hours		0	0%
2	More than 3 hours but less than 6 hours		1	100%
3	More than 6 hours but less than 10 hours		0	0%
4	More than 10 hours		0	0%
	Total		1	

103. Did your agency's senior management review and concur with your responses to the 2015 Records Management Self-Assessment?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

104. Please provide your contact information.

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
Deborah Armentrout	Nuclear Regulatory Commission	Agency Records Officer	deborah.armentrout@nrc.gov	301-415-7228

105. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
	Total		1	

106. Please provide the name of your Agency Records Officer.

Text Response

107. Records Officer's Email Address:

Text Response

108. Records Officer's Phone Number:

Text Response

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

Text Response
no

110. Q_URL

Value	Total
/SE/?Q_DL=1YckXAhIa2dOVoN_1HsFce0VMjHylOB_MLRP_25Zh9y2cPqcOlRv&Q_CHL=email	1

111. SSID

Value	Total

112. Score

Statistic	Value
Mean Score	87.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.73
Weighted Standard Deviation of Items	1.25
Items	119.00

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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

Text Response
Margie Janney, CRM/NS Chief, Information Management Services Branch & Agency Records Officer Office of the Chief Information Officer (OCIO)

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

#	Answer	Bar	Response	%
1	✗ 5 or more years		1	100%
2	✗ 3 to 4 years		0	0%
3	✗ 1 to 2 years		0	0%
4	✗ Less than a year		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✓ No, pending final approval		0	0%
3	✓ No, under development		0	0%
4	✗ No		0	0%
5	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ FY 2016 - present		1	100%
2	✓ FY 2014 - 2015		0	0%
3	✓ FY 2012 - 2013		0	0%
4	✗ FY 2011 or earlier		0	0%
5	✗ Do not know		0	0%
7	✗ Not applicable, agency does not have a records management directive		0	0%
	Total		1	

6. 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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✓ Not applicable, agency has less than 100 employees		0	0%
5	✓ Not applicable, Departmental Records Officer - this is done at the component level		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
6	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

9. 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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ No, pending final approval		0	0%
4	✗ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

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

Text Response

12. 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 • Approval process for handling transfer notices from Federal Records Centers • Monitoring and testing of file plans • Regular review of records inventories • Internal tracking database of permanent record authorities and dates

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

13. 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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No, please explain		0	0%
3	✗ Do not know		0	0%
	Total		1	

No, please explain

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

#	Answer	Bar	Response	%
1	✓ Every 1 - 2 years		0	0%
2	✓ Every 3 - 4 years		1	100%
3	✓ Every 5 years		0	0%
4	✗ More than every 5 years		0	0%
5	✗ Do not know		0	0%
7	✗ Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
5	✗ Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✗ Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

18. 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 2017 • Updating records management policies by the end of the year • Conducting records management evaluations of at least one program area each quarter

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ Currently under development		0	0%
4	✗ Do not know		0	0%
	Total		1	

19. 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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ Currently under development		0	0%
4	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

21. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) *Departmental agency components may answer "Yes" if this is handled at the department level.

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Annually		1	100%
2	✓ Every 2 - 3 years		0	0%
3	✓ Every 4 - 6 years		0	0%
4	✗ Never		0	0%
5	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

24. Does your agency identify and analyze internal and external risks to records and information?

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ To some extent		0	0%
4	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ No, pending final approval		0	0%
4	✗ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

26. The Agency Records Officer and the FOIA Officer:

#	Answer	Bar	Response	%
1	✗ Are the same person		0	0%
2	✗ Coordinate closely together		1	100%
3	✗ Know each other but do not work together		0	0%
	Total		1	

27. Please provide the FOIA Officer's name, position title, and contact information.

Text Response
Stephanie Blaney FOIA Officer Stephanie.blaney@nrc.gov 301-415-7169

28. The FOIA Officer can find records needed to respond to a FOIA request. Select on the sliding scale a number between 1 and 5, with 1 being with difficulty and 5 being easily.

#	Answer	Min Value	Max Value	Average Value	Standard Deviation	Responses
1	1 = With Difficulty 5 = Easily	4.00	4.00	4.00	0.00	1

29. Does your agency use software or other technology to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	To some extent		1	100%
4	Do not know		0	0%
	Total		1	

30. Please list the software or other technology used by your agency to process, track, de-duplicate responsive records, redact records, and respond to FOIA requests.

Text Response
FOIAXpress Adobe Pro

31. Do FOIA programs throughout your agency have standard operating procedures for the entire FOIA process including intake/triage, fees, expedited processing, search, review, estimated dates of completion, and response?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	To some extent		0	0%
4	Under development		0	0%
5	Do not know		0	0%
	Total		1	

32. Have FOIA programs throughout your agency identified performance measures for FOIA activities? *Examples of performance measures for FOIA programs include but are not limited to: Number of pages processed Reduction in response times Reduction in backlog Increase in proactive disclosures

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	To some extent		0	0%
4	Under development		0	0%
5	Do not know		0	0%
	Total		1	

33. Why not?

#	Answer	Bar	Response	%
1	Do not know how to determine what performance measures are needed		0	0%
2	My agency has performance measures but not specific to FOIA		0	0%
3	Do not understand the question		0	0%
4	Other, please explain		0	0%
	Total		0	

Other, please explain

34. Do FOIA programs throughout your agency alert requesters to the dispute resolution services offered by the Office of Government Information Services (OGIS)*? *The Office of Government Information Services (OGIS) is a FOIA resource for both the public and the Government. Congress mandated OGIS with reviewing agency compliance with FOIA, identifying policies and procedures for improving FOIA compliance, and providing mediation services to resolve FOIA disputes between Federal agencies and requestors.

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

35. Are you familiar with the changes to this law?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	To some extent		0	0%
3	No		0	0%
	Total		1	

36. Has your agency started to identify records that are of general interest or use to the public that are appropriate for public disclosure? (P.L. 114-185)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	To some extent		0	0%
4	Do not know		0	0%
	Total		1	

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

Text Response

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ To some extent		0	0%
4	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes, all records are easily retrievable and accessible when needed		1	100%
2	✓ Most records can be retrieved and accessed in a timely manner		0	0%
3	✓ Some records can be retrieved and accessed in a timely manner		0	0%
4	✗ No		0	0%
5	✗ Do not know		0	0%
	Total		1	

40. When was the last time your agency submitted a records schedule to the National Archives of the United States?

#	Answer	Bar	Response	%
1	✗ FY 2014 - 2016		1	100%
2	✗ FY 2011 - 2013		0	0%
3	✗ FY 2008 - 2010		0	0%
4	✗ FY 2007 or earlier		0	0%
7	✗ Do not know, please explain		0	0%
	Total		1	

Do not know, please explain

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

42. When do you plan on transferring these records to NARA?

#	Answer	Bar	Response	%
1	FY 2017		1	100%
2	FY 2018		1	100%
3	FY 2019		1	100%
4	FY 2020		1	100%
5	After FY 2020		1	100%
6	Do not know, please explain		0	0%

Do not know, please explain

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

45. What method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	Post to internal website or other shared information location		1	100%
2	Memorandum or email notification		0	0%
3	Update training materials		0	0%
4	Update records management policies and/or handbooks		0	0%
5	Other, please explain		0	0%

Other, please explain

46. Did your agency transfer permanent non-electronic records to NARA during FY 2016? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No - No records were eligible for transfer during FY 2016		0	0%
4	✓ No - New agency, records are not yet old enough to transfer		0	0%
5	✓ No - My agency does not have any permanent non-electronic records		0	0%
6	✗ Do not know		0	0%
7	✗ Other, please explain		0	0%
	Total		1	

Other, please explain

47. Did your agency transfer permanent electronic records to NARA during FY 2016? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	✗ No		0	0%
4	✓ No - No electronic records/systems were eligible for transfer during FY 2016		1	100%
5	✓ No - New agency, electronic records/systems are not old enough to transfer		0	0%
7	✗ Do not know		0	0%
8	✗ Other, please explain		0	0%
9	✓ No - My agency does not have any permanent electronic records		0	0%
	Total		1	

Other, please explain

48. Were the permanent electronic records transferred during FY 2016 using the Electronic Records Archives (ERA)?

#	Answer	Bar	Response	%
1	✗ Yes		0	0%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		0	

49. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency?

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✗ Not applicable, my agency does not have any permanent electronic records		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✕ Yes		1	100%
2	✕ No		0	0%
3	✕ Do not know		0	0%
4	✕ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✕ Rely on Federal Records Center notifications		1	100%
2	✕ Maintain an inventory		1	100%
3	✕ Database or other automated tracking		1	100%
4	✕ Manual tracking		0	0%
5	✕ Other, please explain		0	0%

Other, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✓ Yes, but not documented		0	0%
3	✕ No		0	0%
4	✕ Do not know		0	0%
5	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

53. 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?

#	Answer	Bar	Response	%
1	✕ Yes		0	0%
2	✕ No		1	100%
3	✕ Do not know		0	0%
	Total		1	

54. Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No, please explain		0	0%
3	✗ Do not know		0	0%
	Total		1	

No, please explain

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

Text Response

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✗ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No, please explain		0	0%
3	✗ Do not know		0	0%
	Total		1	

No, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No, please explain		0	0%
3	✗ Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

No, please explain | Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ To some extent		0	0%
3	✗ No, please explain		0	0%
4	✗ Do not know		0	0%
5	✗ Not applicable, please explain		0	0%
	Total		1	

No, please explain | Not applicable, please explain

62. 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)

#	Answer	Bar	Response	%
1	✗ Participate in review and acceptance of proposals for new systems		1	100%
2	✗ Participate as stakeholder in requirements gathering		1	100%
3	✗ Participate as stakeholder in design phase		1	100%
4	✗ Participate as stakeholder in development phase including testing the system		1	100%
5	✗ Provide sign off authority for the implementation of new systems		1	100%
6	✗ Monitor system for adherence to standards, policies, and procedures		1	100%
7	✗ Provide information only		0	0%
8	✗ Do not know		0	0%
9	✗ Other, please explain		0	0%

Other, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No, please explain		0	0%
3	✗ Do not know		0	0%
	Total		1	

No, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

65. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03) * Examples of business need for more than one agency-administered email account 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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
4	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

68. Does your agency have documented and approved policies that address the use of personal email accounts, whether or not allowed, that state that a complete copy of all emails officers or employees create or receive in such accounts must be preserved in an appropriate agency recordkeeping system and 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)

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	✗ No		1	100%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Captured and stored in an email archiving system		0	0%
2	✗ Captured and stored in an electronic records management system		1	100%
3	✗ Captured and stored as .PST		0	0%
4	✗ Print and file		1	100%
5	✗ Not captured and email is managed by the end-user in the native system		0	0%
6	✗ Other, please be specific		0	0%

Other, please be specific

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

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	✗ No		1	100%
3	✗ Do not know		0	0%
	Total		1	

72. Who evaluates, monitors, or audits staff compliance with the agency's email preservation policies? (Choose all that apply)

#	Answer	Bar	Response	%
1	Inspector General		0	0%
2	Chief Information Officer		0	0%
3	Agency Records Officer		0	0%
4	Other, please explain		0	0%
5	Do not know		0	0%

Other, please explain

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

#	Answer	Bar	Response	%
1	Every 6 months		0	0%
2	Every year		0	0%
3	Every 2 years		0	0%
4	Less frequently than every 2 years		0	0%
5	Do not know		0	0%
6	Not applicable, agency does not audit staff compliance		1	100%
	Total		1	

74. Has your agency implemented a plan to use the "Capstone" approach for managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

75. Have you submitted a retention schedule for identifying "Capstone" accounts for approval by NARA?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No, please explain		0	0%
3	Do not know		0	0%
4	Not applicable, already submitted NA-1005 to use GRS 6.1: Email Managed Under a Capstone Approach		1	100%
5	Not applicable, planning to use GRS 6.1 but have not yet submitted NA-1005		0	0%
	Total		1	

No, please explain

76. Is your agency able to readily access usable email from departed employees?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
	Total		1	

Other, please explain

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

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

82. Which of the following best describes the steps your agency has taken to comply with metadata bulletin NARA 2015-04 Metadata Guidance for the Transfer of Permanent Electronic Records to maintain metadata for permanent electronic records?

#	Answer	Bar	Response	%
1	We have implemented measures to comply with NARA Bulletin 2015-04		0	0%
2	We have reviewed NARA Bulletin 2015-04 and are planning to implement measures to comply with NARA Bulletin 2015-04		0	0%
3	We have reviewed NARA 2015-04 but have not taken steps to implement it		1	100%
4	We have not reviewed NARA 2015-04		0	0%
5	Do not know		0	0%
6	None of the above, please explain		0	0%
	Total		1	

None of the above, please explain

83. Which of the following best describes the level at which your organization is responsible for defining records management metadata schema* for use across systems that maintain permanent electronic records? *A schema is a logical plan showing the relationships between metadata elements, normally through establishing rules for the use and management of metadata specifically as regards the semantics, the syntax, and the optionality (obligation level) of values (ISO 23081.1 s3 Terms and Definitions)

#	Answer	Bar	Response	%
1	My agency has adopted an external standard (e.g., International Organization for Standardization (ISO), industry, or military standard)		0	0%
2	Defining records management metadata schema is done at the department level and used enterprise wide (i.e. all entities within the department use the same one)		0	0%
3	Defining records management metadata schema is done at the individual component agency/bureau/office level (i.e. each uses its own unique one)		0	0%
4	As an independent agency, records management metadata schema is defined and mandated for use across the agency by the Office of the Chief Information Officer		1	100%
5	My agency/component/bureau/office does not have or use a metadata schema		0	0%
6	Do not know		0	0%
7	None of the above, please explain		0	0%
	Total		1	

None of the above, please explain

84. Which of the following best describes your agency's use of controlled vocabularies, thesauri, or term lists that ensure consistent data entry of metadata?

#	Answer	Bar	Response	%
1	My agency/component developed its own based on internal practices		0	0%
2	My agency/component has adopted an external standard (e.g., ISO, industry, military standard)		0	0%
3	Controlled vocabularies, thesauri, or term lists are defined by the department and mandated for use by all agencies/bureaus/offices		0	0%
4	As an independent agency, controlled vocabularies, thesauri, or term lists are defined and mandated for use across the agency by the Office of the Chief Information Officer		0	0%
5	My agency/component does not use controlled vocabularies, thesauri, or term lists		1	100%
6	Do not know		0	0%
7	None of the above, please explain		0	0%
	Total		1	

None of the above, please explain

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

Text Response

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

87. Does your Agency Records Officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

88. Did your agency meet the deadline to submit records schedules for all unscheduled paper and other non-electronic records by December 31, 2016?

#	Answer	Bar	Response	%
1	Yes - All retention schedules have been submitted and approved by NARA		1	100%
2	Yes - Retention schedules have been submitted and are pending NARA approval		0	0%
3	No - Retention schedules are in draft form and have not yet been submitted to NARA		0	0%
4	No		0	0%
5	Do not know		0	0%
6	Other, please explain		0	0%
	Total		1	

Other, please explain

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

90. Which method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular surveys		0	0%
2	Regular inventories		1	100%
3	Records management evaluations, site assessments, or audits of program offices		1	100%
4	Work with program managers to identify new programs and related records		1	100%
5	Work with Privacy Officer and review SORNs (Systems of Records Notices)		1	100%
6	Work with FOIA Officer		0	0%
7	Records Liaison Officers notify Agency Records Officer of new record series		1	100%
8	Require use and annual update of file plans		1	100%
9	Participate in design and retirement of information systems and note changes in records		1	100%
10	Outreach and awareness		0	0%
11	Other, please explain		0	0%

Other, please explain

91. Has your agency identified any additional unscheduled records that have not already been reported to NARA?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

92. Does your agency use cloud services?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

93. For what purpose(s) is your agency using cloud services? (Choose all that apply)

#	Answer	Bar	Response	%
1	Email		1	100%
2	Administrative functions such as payroll, purchasing, and financial management		1	100%
3	Mission/program-related functions		1	100%
4	Other, please explain		1	100%
5	Do not know		0	0%

Other, please explain

Email o Limited trial use, in preparation to move email to the cloud (Office 365) Administrative functions such as payroll, purchasing, and financial management o Financial management system is hosted in a cloud service Mission/program-related functions o Limited trial use, in preparation for moving high performance computing applications to the cloud •Other, please explain o Social media for public website: Facebook, Flickr, GovDelivery, Twitter, WordPress, YouTube o Web content delivery services for public website o Application security services o Enterprise mobility management o Web conferencing o Learning content delivery, accessed from our learning management system (which is not cloud based) o EEO case management – in progress, targeted completion 6/17

94. Are recordkeeping requirements included?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, my agency does not use the General Schedule (GS) job classifications		0	0%
	Total		1	

96. Why will your agency NOT be using the new job series?

Text Response

97. Does your agency use your RMSA scores to measure the effectiveness of the records management program?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Comments (Optional): Please include in your comments how you use the RMSA		0	0%

Comments (Optional): Please include in your comments how you use the RMSA

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

#	Answer	Bar	Response	%
1	X 500,000 or more FTEs		0	0%
2	X 100,000 – 499,999 FTEs		0	0%
3	X 10,000 – 99,999 FTEs		0	0%
4	X 1,000 – 9,999 FTEs		1	100%
5	X 100 – 999 FTEs		0	0%
6	X 1 – 99 FTEs		0	0%
7	X Not Available		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	X Senior Agency Official		1	100%
2	X Office of the General Counsel		1	100%
3	X Program Managers		0	0%
4	X FOIA Officer		1	100%
5	X Information Technology staff		1	100%
6	X Records Liaison Officers or similar		1	100%
7	X Administrative staff		0	0%
8	X Other, please be specific:		0	0%
9	X None		0	0%

Other, please be specific:

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

#	Answer	Bar	Response	%
1	X Under 3 hours		0	0%
2	X More than 3 hours but less than 6 hours		0	0%
3	X More than 6 hours but less than 10 hours		1	100%
4	X Over 10 hours		0	0%
	Total		1	

101. Did your agency's senior management review and concur with your responses to the 2016 Records Management Self-Assessment?

#	Answer	Bar	Response	%
1	X Yes		1	100%
2	X No		0	0%
3	X Do not know		0	0%
	Total		1	

102. Please provide your contact information.

Name	Agency, Bureau, or Office	Job Title	Email Address	Phone Number
Margie Janney, CRM/NS	U.S. Nuclear Regulatory Commission	Chief, Information Management Services Branch & Agency Records Officer	margie.janney@nrc.gov	301-415-7245

103. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	✕ Yes		1	100%
2	✕ No		0	0%
	Total		1	

104. Please provide the Agency Records Officer's contact information.

Name:	Email Address:	Phone Number:

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

Text Response

106. Q_URL

Value	Total
/SE/?SID=SV_5zLKurmryiJzW8R&Q_R=R_2t0NMm59L3x1nSJ&Q_R_DEL=1	1

107. SSID

Value	Total

108. Score

Statistic	Value
Mean Score	94.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.81
Weighted Standard Deviation of Items	1.32
Items	116.00

Initial Report

Last Modified: 04/18/2018

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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

Text Response
Margie Janney, CRM/NS Chief, Information Management Services Branch and Agency Records Officer Office of the Chief Information Officer

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

#	Answer	Bar	Response	%
1	✗ 5 or more years		1	100%
2	✗ 3 to 4 years		0	0%
3	✗ 1 to 2 years		0	0%
4	✗ Less than a year		0	0%
	Total		1	

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.)

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

5. 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?

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✗ Not applicable, my agency does not use the General Schedule (GS) job classification		0	0%
	Total		1	

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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✓ Not applicable, agency has less than 100 employees		0	0%
5	✓ Not applicable, Departmental Records Officer - this is done at the component level		0	0%
	Total		1	

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.

ID	Answer	Bar	Response	%
1	✗ All records management staff are agency personnel		0	0%
2	✗ All records management staff are contractors		0	0%
3	✗ Records management staff includes both agency personnel and contractors		1	100%
	Total		1	

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.

ID	Answer	Bar	Response	%
1	✗ <1		0	0%
2	✗ 1		0	0%
3	✗ 2 - 10		1	100%
4	✗ 10 - 20		0	0%
5	✗ More than 20		0	0%
6	✗ Do not know		0	0%
7	✗ Not available		0	0%
8	✗ Not applicable, all records management staff are contractors		0	0%
	Total		1	

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.

ID	Answer	Bar	Response	%
1	✗ <1		0	0%
2	✗ 1		1	100%
3	✗ 2 - 10		0	0%
4	✗ 10 - 20		0	0%
5	✗ More than 20		0	0%
6	✗ Do not know		0	0%
7	✗ Not available		0	0%
8	✗ Not applicable, all records management staff are agency personnel		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✓ No, pending final approval		0	0%
3	✓ No, under development		0	0%
4	✗ No		0	0%
5	✗ Do not know		0	0%
	Total		1	

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?

ID	Answer	Bar	Response	%
1	✓ FY 2017 - present		1	100%
2	✓ FY 2015 - 2016		0	0%
3	✓ FY 2013 - 2014		0	0%
4	✗ FY 2012 or earlier		0	0%
5	✗ Do not know		0	0%
7	✗ Not applicable, agency does not have a records management directive		0	0%
	Total		1	

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.

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
6	✓ Not applicable, please explain		0	0%
	Total		1	

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.

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ No, pending final approval		0	0%
4	✗ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

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

Text Response

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

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.

ID	Answer	Bar	Response	%
1	✓ Yes, evaluations are conducted by the Records Management Program		0	0%
2	✓ Yes, evaluations are conducted by the Office of Inspector General		0	0%
3	✓ Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General		1	100%
4	✓ Yes, evaluations are conducted by:		0	0%
5	✗ No, please explain		0	0%
6	✗ Do not know		0	0%
	Total		1	

Yes, evaluations are conducted by:	No, please explain

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?

ID	Answer	Bar	Response	%
1	✓ Annually		0	0%
2	✓ Bi-annually		0	0%
3	✓ Once every 3 years		1	100%
4	✓ Ad hoc		0	0%
5	✗ Do not know		0	0%
7	✗ Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
5	✗ Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✗ Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ Currently under development		0	0%
4	✗ Do not know		0	0%
5	✓ Pending final approval		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ Currently under development		0	0%
4	✗ Do not know		0	0%
5	✓ Pending final approval		0	0%
	Total		1	

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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

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.

#	Answer	Bar	Response	%
1	✗ Yes		0	0%
2	✗ No		1	100%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Wet signatures are required for transactions with non-Federal entities (including the public)		0	0%
3	✗ Transactions are required to be conducted using paper / hard copy		0	0%
4	✗ Agency is required to offer paper / hard copy as an available option for transactions		0	0%
5	✗ Other, please be specific:		0	0%
6	✗ Do not know		0	0%
7	✗ Comments: (Optional)		0	0%
8	✗ Wet signatures are required for transactions between Federal agencies		0	0%

Other, please be specific:	Comments: (Optional)

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.

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Annually		0	0%
2	✓ Bi-annually		0	0%
3	✓ Once every 3 years		0	0%
4	✗ Never		0	0%
5	✗ Do not know		0	0%
6	✓ Ad hoc		1	100%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ No, pending final approval		0	0%
4	✗ No, under development		0	0%
5	✗ Do not know		0	0%
	Total		1	

33. The Agency Records Officer and the FOIA Officer:

#	Answer	Bar	Response	%
1	✗ Are the same person		0	0%
2	✗ Coordinate closely together		1	100%
3	✗ Work together sometimes		0	0%
4	✗ Never work together		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Agency Records Officer and the FOIA Officer are the same person		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Always		0	0%
2	Most of the time		1	100%
3	Some of the time		0	0%
4	Never		0	0%
5	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Always		0	0%
2	Most of the time		0	0%
3	Some of the time		1	100%
4	Never		0	0%
5	Do not know		0	0%
	Total		1	

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)

#	Answer	Bar	Response	%
1	When there is an adverse determination		1	100%
2	When notifying the requester that the agency needs more than 10 additional days to process a request		1	100%
3	When responding to the requester's appeal		1	100%
4	Never		0	0%
5	Do not know		0	0%
6	Other, please explain		0	0%

Other, please explain

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

#	Answer	Bar	Response	%
1	Email		0	0%
2	Online portal		1	100%
3	U.S. mail		0	0%
4	Other, please explain		0	0%
	Total		1	

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?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Comments: (Optional)		0	0%

Comments: (Optional)

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Comments: (Optional)		0	0%

Comments: (Optional)

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

#	Answer	Bar	Response	%
1	✕ Yes		1	100%
2	✕ No		0	0%
3	✕ Do not know		0	0%
4	✕ Comments (Optional): Please include in your comments how you use the Records Management Self-Assessment.		0	0%

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)

Text Response

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)

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✕ No		0	0%
3	✓ To some extent		0	0%
4	✕ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes, all records are easily retrievable and accessible when needed		1	100%
2	✓ Most records can be retrieved and accessed in a timely manner		0	0%
3	✓ Some records can be retrieved and accessed in a timely manner		0	0%
4	✕ No		0	0%
5	✕ Do not know		0	0%
	Total		1	

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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✕ No		0	0%
3	✕ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✕ Post to internal website or other shared information location		1	100%
2	✕ Memorandum or email notification		0	0%
3	✕ Update training materials		0	0%
4	✕ Update records management policies and/or handbooks		0	0%
5	✕ Other, please explain		0	0%

Other, please explain

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

#	Answer	Bar	Response	%
1	✕ Yes		1	100%
2	✕ No		0	0%
3	✕ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✕ Regular surveys		0	0%
2	✕ Regular inventories		1	100%
3	✕ Records management evaluations, site assessments, or audits of program offices		1	100%
4	✕ Work with program managers to identify new programs and related records		1	100%
5	✕ Work with Privacy Officer and review SORNs (Systems of Records Notices)		1	100%
6	✕ Work with FOIA Officer		0	0%
7	✕ Records Liaison Officers notify Agency Records Officer of new record series		1	100%
8	✕ Require use and annual update of file plans		1	100%
9	✕ Participate in design and retirement of information systems and note changes in records		1	100%
10	✕ Outreach and awareness		0	0%
11	✕ Other, please explain		0	0%

Other, please explain

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))

#	Answer	Bar	Response	%
1	✕ Yes		1	100%
2	✕ No		0	0%
3	✕ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✕ Yes		1	100%
2	✕ No		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✕ No		0	0%
3	✓ No - No records were eligible for transfer during FY 2017		0	0%
4	✓ No - New agency, records are not yet old enough to transfer		0	0%
5	✓ No - My agency does not have any permanent non-electronic records		0	0%
6	✕ Do not know		0	0%
7	✕ Other, please explain		0	0%
	Total		1	

Other, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	✕ No		0	0%
4	✓ No - No electronic records/systems were eligible for transfer during FY 2017		1	100%
5	✓ No - New agency, electronic records/systems are not old enough to transfer		0	0%
7	✕ Do not know		0	0%
8	✕ Other, please explain		0	0%
9	✓ No - My agency does not have any permanent electronic records		0	0%
	Total		1	

Other, please explain

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

#	Answer	Bar	Response	%
1	✕ Yes		1	100%
2	✕ No		0	0%
3	✕ Do not know		0	0%
4	✕ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✗ Rely on Federal Records Center notifications		1	100%
2	✗ Maintain an inventory		1	100%
3	✗ Database or other automated tracking		1	100%
4	✗ Manual tracking		0	0%
5	✗ Other, please explain		0	0%

Other, please explain

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))

#	Answer	Bar	Response	%
8	✓ Yes		1	100%
9	✓ Yes, but not documented		0	0%
10	✗ No		0	0%
11	✗ Do not know		0	0%
12	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

56. 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? (Not scored)

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✓ Yes, but not documented		0	0%
3	✗ No		0	0%
4	✗ Do not know		0	0%
5	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

58. 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?

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
	Total		1	

59. 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))

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No, please explain		0	0%
3	✗ Do not know		0	0%
	Total		1	

No, please explain

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

ID	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
	Total		0	

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.)

ID	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

65. 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.

ID	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

66. 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.)

ID	Answer	Bar	Response	%
1	0 - 1,000		1	100%
2	1,000 - 5,000		0	0%
3	5,000 - 15,000		0	0%
4	15,000 - 25,000		0	0%
5	25,000 - 50,000		0	0%
6	50,000 - 100,000		0	0%
7	100,000 - 250,000		0	0%
8	250,000 or greater		0	0%
	Total		1	

67. 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.)

#	Answer	Bar	Response	%
1	✗ 0 - 1,000		1	100%
2	✗ 1,000 - 5,000		0	0%
3	✗ 5,000 - 15,000		0	0%
4	✗ 15,000 - 25,000		0	0%
5	✗ 25,000 - 50,000		0	0%
6	✗ 50,000 - 100,000		0	0%
7	✗ 100,000 - 250,000		0	0%
8	✗ 250,000 or greater		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✗ Not applicable, my agency does not store records in the Federal Records Centers		0	0%
	Total		1	

69. 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?

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No, please explain		0	0%
3	✗ Do not know		0	0%
	Total		1	

No, please explain

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

Text Response

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)

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
5	✓ To some extent		0	0%
	Total		1	

Not applicable, please explain

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))

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
4	✓ No, pending final approval		0	0%
5	✓ No, under development		0	0%
	Total		1	

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))

ID	Answer	Bar	Response	%
1	✕ Yes	[redacted]	1	100%
2	✕ No		0	0%
3	✕ Do not know		0	0%
4	✕ Not applicable, please explain		0	0%
5	✕ To some extent		0	0%
	Total		1	

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))

ID	Answer	Bar	Response	%
1	✓ Yes	[redacted]	1	100%
2	✕ No, please explain		0	0%
3	✕ Do not know		0	0%
	Total		1	

No, please explain

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.

ID	Answer	Bar	Response	%
1	✓ Yes	[redacted]	1	100%
2	✕ No, please explain		0	0%
3	✕ Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

No, please explain | 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?

ID	Answer	Bar	Response	%
1	✕ Yes	[redacted]	1	100%
2	✕ To some extent		0	0%
3	✕ No, please explain		0	0%
4	✕ Do not know		0	0%
5	✕ Not applicable, please explain		0	0%
	Total		1	

No, please explain | Not applicable, please explain

77. 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)

ID	Answer	Bar	Response	%
1	✕ Participate in review and acceptance of proposals for new systems	[redacted]	1	100%
2	✕ Participate as stakeholder in requirements gathering	[redacted]	1	100%
3	✕ Participate as stakeholder in design phase	[redacted]	1	100%
4	✕ Participate as stakeholder in development phase including testing the system	[redacted]	1	100%
5	✕ Provide sign off authority for the implementation of new systems	[redacted]	1	100%
6	✕ Monitor system for adherence to standards, policies, and procedures	[redacted]	1	100%
7	✕ Provide information only		0	0%
8	✕ Do not know		0	0%
9	✕ Other, please explain		0	0%

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?

ID	Answer	Bar	Response	%
1	✕ Yes	[redacted]	1	100%
2	✕ No		0	0%
3	✕ No, under development		0	0%
4	✕ Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	To some extent		1	100%
4	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	To some extent		1	100%
4	Do not know		0	0%
	Total		1	

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?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	To some extent		1	100%
4	Do not know		0	0%
5	Not applicable, not an executive branch agency		0	0%
	Total		1	

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?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	To some extent		0	0%
4	Do not know		0	0%
	Total		1	

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)?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	To some extent		0	0%
4	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Content is printed and filed		0	0%
2	Content is captured manually through periodic web snapshots		0	0%
3	Content is automatically harvested using specific tools		0	0%
4	Do not know		0	0%
5	Other, please explain		0	0%

Other, please explain

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

#	Answer	Bar	Response	%
1	Identification of record copy whether online or off-line		0	0%
2	Identifying the program office responsible for official record copy		0	0%
3	Records retention scheduling of web content		0	0%
4	Preservation of record copy in accordance with retention schedule		0	0%
5	Migration of content when website is updated		0	0%
6	Maintaining access throughout the life-cycle even if removed from the website		0	0%
7	Managing convenience copies as duplicates and applying disposition as needed		0	0%
8	Transfer of permanent web records to the National Archives		0	0%
9	Other, please explain		0	0%

Other please explain

87. Does your agency use cloud services?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Email		1	100%
2	Administrative functions such as payroll, purchasing, and financial management		1	100%
3	Mission/program-related functions		1	100%
4	Other, please explain		0	0%
5	Do not know		0	0%

Other please explain

89. Are recordkeeping requirements included?

#	Answer	Bar	Response	%
1	Yes		1	100%
3	No		0	0%
4	Do not know		0	0%
	Total		1	

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)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

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 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records – Appendix A: Tables of File Formats, Section 9 - Email, https://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html? (36 CFR 1236.22(e))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
4	Do not know		0	0%
	Total		1	

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)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	No, pending final approval		0	0%
5	No, under development		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
	Total		1	

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 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)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	No, pending final approval		0	0%
5	No, under development		0	0%
	Total		1	

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))

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Captured and stored in an email archiving system		1	100%
2	Captured and stored in an electronic records management system		1	100%
3	Captured and stored as personal storage table (.PST) files		0	0%
4	Print and file		0	0%
5	Not captured and email is managed by the end-user in the native system		0	0%
6	Other, please be specific		0	0%

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)

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	Annually		0	0%
2	Bi-annually		0	0%
3	Once every 3 years		0	0%
4	Ad hoc	[redacted]	1	100%
5	Do not know		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	GRS 6.1: Email Managed under a Capstone Approach	[redacted]	1	100%
2	Agency-specific schedule		0	0%
3	Combination of agency-specific schedule and GRS 6.1		0	0%
4	Email retention has not been scheduled		0	0%
5	Do not know		0	0%
6	Other, please explain		0	0%
	Total		1	

Other, please explain

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

ID	Answer	Bar	Response	%
1	Yes	[redacted]	1	100%
2	No		0	0%
3	Do not know		0	0%
4	To some extent		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	Yes	[redacted]	1	100%
2	No		0	0%
3	Do not know		0	0%
4	To some extent		0	0%
	Total		1	

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?

ID	Answer	Bar	Response	%
1	Yes	[redacted]	1	100%
2	No		0	0%
3	Do not know		0	0%
4	To some extent		0	0%
	Total		1	

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

ID	Answer	Bar	Response	%
1	Yes	[redacted]	1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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?

ID	Answer	Bar	Response	%
1	Yes	[redacted]	1	100%
2	No		0	0%
3	Do not know		0	0%
4	No, pending final approval		0	0%
5	No, under development		0	0%
	Total		1	

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?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
5	No, pending final approval		0	0%
6	No, under development		0	0%
	Total		1	

Other, please explain

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

Text Response

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Please enter dollar amount (without the $ sign):		1	100%
2	Do not know		0	0%
3	Prefer not to answer		0	0%
4	Not applicable, all records management staff are contractors		0	0%
	Total		1	

Please enter dollar amount (without the $ sign):

1,413,000

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

#	Answer	Bar	Response	%
1	Please enter dollar amount (without the $ sign):		1	100%
2	Do not know		0	0%
3	Prefer not to answer		0	0%
	Total		1	

Please enter dollar amount (without the $ sign):

167,786.64

112. Records Management IT Systems and Electronic Records Storage:

#	Answer	Bar	Response	%
1	Please enter dollar amount (without the $ sign):		1	100%
2	Do not know		0	0%
3	Prefer not to answer		0	0%
	Total		1	

Please enter dollar amount (without the $ sign):

950,000

113. Travel and Transportation for records management purposes:

#	Answer	Bar	Response	%
1	Please enter dollar amount (without the $ sign):		1	100%
2	Do not know		0	0%
3	Prefer not to answer		0	0%
	Total		1	

Please enter dollar amount (without the $ sign):

0.00

114. Records Management Training:

#	Answer	Bar	Response	%
1	Please enter dollar amount (without the $ sign):		1	100%
2	Do not know		0	0%
3	Prefer not to answer		0	0%
	Total		1	

Please enter dollar amount (without the $ sign):
0.00

115. Other:

#	Answer	Bar	Response	%
1	Please enter dollar amount (without the $ sign):		0	0%
2	Do not know		0	0%
3	Prefer not to answer		0	0%
4	Not applicable		0	0%
5	Please enter additional category here: (Please be specific)		0	0%

Please enter dollar amount (without the $ sign):	Please enter additional category here: (Please be specific):

116. Comments: (Optional)

Text Response

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

#	Answer	Bar	Response	%
1	500,000 or more FTEs		0	0%
2	100,000 – 499,999 FTEs		0	0%
3	10,000 – 99,999 FTEs		0	0%
4	1,000 – 9,999 FTEs		1	100%
5	100 – 999 FTEs		0	0%
6	1 – 99 FTEs		0	0%
7	Not Available		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Senior Agency Official		1	100%
2	Office of the General Counsel		1	100%
3	Program Managers		0	0%
4	FOIA Officer		1	100%
5	Information Technology staff		1	100%
6	Records Liaison Officers or similar		1	100%
7	Administrative staff		0	0%
8	Other, please be specific:		0	0%
9	None		0	0%

Other, please be specific:

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

#	Answer	Bar	Response	%
1	Under 3 hours		0	0%
2	More than 3 hours but less than 6 hours		0	0%
3	More than 6 hours but less than 10 hours		1	100%
4	Over 10 hours		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
	Total		1	

121. Please provide your contact information.

Name:	Agency, Bureau, or Office:	Job Title:	Email Address:	Phone Number:
Margie Janney, CRM/NS	Office of the Chief Information Officer	Chief, Information Management Services Branch	Magie.Janney@nrc.gov	301-415-7245

122. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
	Total		1	

123. Please provide the Agency Records Officer's contact information.

Name:	Email Address:	Phone Number:

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

Text Response

125. Q_URL

Value	Total
/SE/?SID=SV_3KSUMglxyns4UgB&Q_DL=0Vd0peWUYw4JCdf_3KSUMglxyns4UgB_MLRP_bvZtkTmook3B2Bv&Q_CHL=email&Q_JFE=0	1

126. SSID

Value	Total

127. Score

Statistic	Value
Mean Score	96.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.73
Weighted Standard Deviation of Items	1.27
Items	132.00