

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)
2019 RECORDS MANAGEMENT SELF-ASSESSMENT**

Welcome to the 2019 Records Management Self-Assessment!

Before you begin, please note the following information.

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

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

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

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

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

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

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

Section I: Records Management Program - Activities

The following series of questions relates to administration of the records management program.

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

Yes

No

Do not know

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

Margie Janney, CRM/NS/FED

Agency Records Officer and Chief, Information Management Services Branch

Office of the Chief Information Officer

3. Does your agency have a Senior Agency Official for Records Management (SAORM)? (For components of a department this is most likely at the department level, and you may answer "Yes," even if this is not being done at the component level.)

Yes

No

Do not know

4. If Yes: Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's goals? (For components of a department, this is most likely at the department level.)

Yes

No

Do not know

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

Yes

No

Do not know

Not applicable, agency has less than 100 employees

Not applicable, Departmental Records Officer - this is done at the component level

The next series of questions relates to records management directives.

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

Yes

No, pending final approval

No, under development

No

Do not know

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

FY 2019 - present

FY 2017 - 2018

FY 2015 - 2016

FY 2014 or earlier

Do not know

Not applicable, agency does not have a records management directive

The following series of questions relates to records management training.

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

- *be regular (occurring more than just once);*
- *be repeatable and formal (all instructors must provide the same message, not in an ad hoc way); and*
- *communicate the agency's vision of records management.*

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

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

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

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

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

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

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

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

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

- Yes
- No
- Do not know

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

Section II: Records Management Program – Oversight and Compliance

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

Internal controls are integral components of an organization’s management that provides reasonable assurance of the effectiveness and efficiency of operations; reliability of financial

reporting; and compliance with applicable laws and regulations. ([“Standards for Internal Control in the Federal Government”](#) (GAO-14-704G), U.S. Government Accountability Office, September 2014.)

Internal controls are:

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

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

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
- Monitoring and testing of file plans
- Regular review of records inventories
- Internal tracking database of permanent record authorities and dates

Yes

No

No, pending final approval

No, under development

Do not know

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

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

14. In addition to your agency's records management policies and records schedules, has your agency developed and implemented internal controls to ensure that all permanent records are created/captured, classified, filed and managed according to their NARA-approved records schedules? (36 CFR 1220.34(i))

- Yes
 No
 Do not know

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

15. 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? (36 CFR 1220.34(j))

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

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

16. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)?

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

17. Was a formal report written and subsequent plans of corrective action created and monitored for implementation as part of the most recent inspection/audit/review? (Choose all that apply)

- Yes, formal report was written
- Yes, plans of corrective action were created
- Yes, plans of corrective action were monitored for implementation
- No
- Do not know
- Not applicable, agency does not evaluate its records management program

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

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

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 DATE
- Developing computer-based records management training modules by the end of DATE
- Planning and piloting an electronic records management solution for email by the end of DATE
- Updating records management policies by the end of the year
- Conducting records management evaluations of at least one program area each quarter

Yes

No

Pending final approval

Currently under development

Do not know

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

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
 - Percentage of records successfully retrieved by Agency FOIA Officer in response to FOIA requests

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

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))

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

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

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

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

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

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

- Yes
- No
- Do not know

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

- Annually
- Biennially
- Once every 3 years
- Ad hoc
- Never
- Do not know

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

- Yes
- No
- Do not know

Agencies are required to have a Freedom of Information Act (FOIA) program (5 U.S.C. 552).

The ability to find records is essential for a successful FOIA program. The following questions related to your agency's FOIA program may require consultation with your agency's FOIA Officer.

24. As the Agency Records Officer (or records management staff), have you received FOIA training?

- Yes, I have received informal FOIA training (briefing by a colleague or as part of agency employee orientation)
- Yes, I have received formal FOIA training (online or in-person instructor-led session)
- No
- Do not know

25. Who reviews responses to FOIA requests? (Choose all that apply)

- Supervisory Government Information Specialist/Team Lead
- FOIA Officer
- Office of General Counsel
- Office of Public Affairs
- Program office where the records originated
- Office of the Secretary/Head of Agency
- Chief FOIA and/or Privacy Officer
- Other, please be specific:

26. How does your agency handle duplicate records when processing FOIA requests?

- Agency has software that de-duplicates
- Agency manually de-duplicates search results
- Agency does not separate duplicate records
- Do not know

FOIA requires each agency to post on its website "reference material or a guide for requesting records or information from the agency" including an index of all major information systems of

the agency, a description of major information and record locator systems maintained by the agency, and a handbook for obtaining various types and categories of public information from the agency. (5 U.S.C. 552(g))

27. Which of the following does your agency/component have available on its FOIA website for requesting records? (Choose all that apply)

- Guide to accessing agency information
- An index of all major agency information systems
- Description of major information
- Record locator information
- None of the above
- Do not know

28. At your agency/component, who ensures that records posted to the FOIA Reading Room are accessible to people with disabilities (per 508 compliance)? (Choose all that apply)

Note: Section 508 of the Rehabilitation Act of 1973 requires all Federal departments and agencies to ensure that their electronic information and technology are accessible to people with disabilities. (29 U.S.C. 794d(a)(1)(A))

- FOIA Office
- Public Information Office
- General Counsel
- IT Office/Web manager
- Agency does not ensure 508 compliance unless requested
- Do not know
- Other, please be specific:

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

Section III: Records Management Program - Records Disposition

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

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

30. When was the last time your agency submitted a records schedule to NARA for approval?
(36 CFR 1225.10)

- FY 2018 - 2019
- FY 2016 - 2017
- FY 2014 - 2015
- FY 2012 - 2013
- FY 2011 or earlier
- Do not know

31. Does your agency periodically review agency-specific records schedules to ensure they still meet business needs, to identify gaps that may indicate unscheduled records, or to make needed revisions?

Note: An agency-specific records schedule means it covers items that are not covered by the General Records Schedules (GRS).

- Yes
- No
- Do not know

32. Does your agency have agency-specific records schedules currently in use that include items approved before January 1, 1990?

-
- Yes
 - No
 - Do not know

33. If Yes: Are you currently reviewing agency-specific records schedules with items approved before January 1, 1990, for updating and/or rescheduling? (CFR 1225.22)

- Yes, this is in progress
- Yes, this has been completed
- No, but are planning to do so
- No and have no plans to do so
- Do not know

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

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

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

- All records are easily retrievable and accessible when needed
- Most records can be retrieved and accessed in a timely manner
- Some records can be retrieved and accessed in a timely manner
- No
- Do not know

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

- Yes
- No
- Do not know

The next series of questions relates to permanent records.

37. Did your agency transfer permanent non-electronic records to NARA during FY 2019? (36 CFR 1235.12)

- Yes
- No
- No - No records were eligible for transfer during FY 2019
- No - New agency, records are not yet old enough to transfer
- No - My agency does not have any permanent non-electronic records
- Do not know
- Other, please explain

38. Did your agency transfer permanent electronic records to NARA during FY 2019? (36 CFR 1235.12)

- Yes
- No
- No - No electronic records/systems were eligible for transfer during FY 2019
- No - New agency, electronic records/systems are not old enough to transfer
- No - My agency does not have any permanent electronic records
- Do not know
- Other, please explain

39. Does your agency track when permanent records are eligible for transfer to NARA?

-
- Yes
 No
 No - My agency does not have any permanent records
 Do not know

40. If Yes or No: Please explain your response to the previous question. (If you answered "Yes," please be specific on methods used. If you answered "No," please explain why not.)

The current Records Management solution allows the agency to track dispositions for all permanent records, whether in paper or electronic format, and is used in conjunction with the NARA ERA transfer procedures for when they are eligible for transfer.

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

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

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

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

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

- Yes
- No, please explain
- Do not know

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

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

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

- Yes
- No
- Do not know

45. If Yes or Yes, but not documented (to 43): Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

- Yes
- No, please explain
- Do not know

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

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

An agency-operated records center is a records storage facility, operated by a Federal agency and capable of storing more than 25,000 cubic feet of records. (36 CFR 1234)

Records staging or holding areas are areas designated within the agency's office space that are used for the temporary storage of records. The term does not include off-site storage such as commercial or agency records storage facilities. Records staging or holding areas may be established by an agency for maintaining records no longer needed in office space but whose volume or retention periods are insufficient to warrant transfer to a records center before final disposition. (36 CFR 1234)

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

- Yes
- No
- Do not know

47. If Yes: Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))

- Yes
- No
- Do not know

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

-
- Yes
 - No
 - Do not know

49. If Yes: Has the facility been approved by NARA? (36 CFR 1234.30(a)(1))

- Yes
- No
- Do not know

50. If Yes (to 48): Is your agency making plans to move records from an agency-operated records center to a commercial records storage facility?

- Yes
- No
- Do not know

51. If Yes (to 48): Is your agency making plans to move records from an agency-operated records center to a Federal Records Center before December 31, 2022?

- Yes
- No
- Do not know

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

- Yes
- No
- Do not know

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

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

Yes

No

Do not know

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

Section IV: Records Management Program - Electronic Records

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- Yes
- No
- No, pending final approval
- No, under development

Do not know

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

Yes

No, please explain

Do not know

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

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

Yes

No, please explain

Do not know

Not applicable, please explain

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

Yes

To some extent

No, please explain

Do not know

Not applicable, please explain

60. If Yes or To some extent: Which of the following best describes your agency’s records management staff’s participation in the procurement, acquisition, or other development of new

electronic information software and systems, including but not limited to COTS purchases, database creation, and the software development lifecycle (regardless of methodology) to ensure appropriate records requirements are properly implemented?

The records management staff:

- Is regularly consulted by other parts of the agency to provide information only.
- Regularly participates, before system or capability requirements are defined, as a procurements and acquisition stakeholder, but without approval or sign off authority before such efforts move forward.
- Regularly participates, before system or capability requirements are defined, as a procurement and acquisition stakeholder, and must approve procurements and acquisitions before they move forward.
- Regularly participates as a stakeholder throughout the procurement and acquisition process, including concept, contracting, design, development, testing, and system acceptance phases, and must approve procurements and acquisitions before they move forward.
- Do not know
- Other engagement, please explain

Records Management staff regularly participates in the CIO Evaluations, Enterprise Architecture (EA) strategic discussions, Intake Processes, as well as NRC Privacy Impact Assessment (PIA) and Privacy Threshold Assessment (PTAs) reviews. The CIO Evaluation process and the PIA/PTA records management questions are vital to assessing records management capabilities and staff are consulted during the Information Inventory reviews regarding any systems being implemented or updated. Although records management staff have awareness and input during these processes, stakeholder involvement is limited regarding some IT purchases and system lifecycle activities.

61. Does your agency have a process or strategy for managing permanent electronic records and related metadata in an electronic form?

- Yes
- No

-
- No, under development
 - Do not know

62. Does your agency have **documented and approved** policies against unauthorized use, alteration, alienation or deletion of all electronic records?

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

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

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

64. Does your agency use cloud services for any of the following? (Choose all that apply)

- Email
- Communication tools other than email (calendars, messaging apps, etc.)
- Administrative functions such as payroll, purchasing, and financial management
- Mission/program-related functions
- Customer Relationship Management
- Case management
- Office tools/software
- Streaming services
- Other, please explain
- My agency does not use cloud services
- Do not know

65. Does your agency have **documented and approved** policies for cloud service use that includes recordkeeping requirements and handling of Federal records?

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

The next series of questions relates to email.

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

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

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

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 Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records – [Appendix A: Tables of File Formats](#), Section 9 - Email? (36 CFR 1236.22(e))

- Yes

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

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

68. Does your agency have **documented and approved** policies that address when employees have more than one agency-administered email account, **whether or not allowed**, that states that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)

*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

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

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

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

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

- Yes
- No
- Do not know

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

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

72. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply)

- GRS 6.1: Email Managed under a Capstone Approach; agency has an approved form NA-1005
- GRS 6.1: Email Managed under a Capstone Approach; agency does not have an approved form NA-1005

-
- Agency-specific email schedule
 - Traditional records management (i.e., retention based on content, usually applied on an email-by-email basis, utilizing multiple NARA-approved disposition authorities)
 - Email retention method has not been decided/scheduled by agency
 - Do not know
 - Other, please explain

73. If 'GRS 6.1: Email Managed under a Capstone Approach; agency has an approved form NA-1005;' or 'Agency-specific email schedule:' Does the current NARA-approved form NA-1005 or agency-specific email schedule adequately reflect your existing organizational structure?

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

74. If No or To some extent (to 73): Why does the email schedule not adequately reflect, or only to some extent reflect, your existing organizational structure? (Choose all that apply)

- Agency-wide reorganization has taken place
- New positions that meet the criteria for permanent disposition need to be added
- Positions need to be removed because they have been removed from the organization
- Positions need to be removed because they no longer meet the criteria for permanent disposition
- Position title(s) need to be updated or changed
- Number of email accounts for a specific position(s) need to be updated or changed
- Scope statements are inaccurate, or need to be changed
- Other, please explain

75. Does your agency track changes in Capstone accounts to ensure they are accurate and complete?

-
- Yes
 To some extent
 No
 Do not know

76. If Yes or To some extent: Please explain how your agency tracks changes to Capstone accounts. *(Be specific)*

As an integral part of our management of the Capstone program, the agency keeps track of all Executives who become “Capstone Officials” based on their role at the Agency. This mechanism allows us to identify individuals who have been, are currently, and are becoming Capstone Officials. Through the program we track accounts as they need to be created for incoming Officials, we track active accounts for those in Capstone Official roles, and, subsequently, we close down accounts for outgoing Officials, keeping those records in our Agency’s records management repository for later disposition to NARA.

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

- Yes
 No
 Do not know

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

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

79. If Yes to 77 and 78: How often does your agency evaluate, monitor, or audit staff compliance with the agency's policies for email preservation and the management of electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?

- Quarterly
- Annually
- Biennially
- Once every 3 years
- Ad hoc
- Do not know

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

Section V: Agency Demographics

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

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

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

- Senior Agency Official
- Office of the General Counsel

-
- Program Managers
 - FOIA Officer
 - Information Technology staff
 - Records Liaison Officers or similar
 - Administrative staff
 - Other, please be specific:
 - None

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

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

84. Did your agency's senior management review and concur with your responses to the 2019 Records Management Self-Assessment?

- Yes
- No
- Do not know

85. Please provide your contact information.

Name: Margie Janney, CRM/NS/FED

Agency, Bureau, or Office: Office of the Chief Information Officer

Job Title: Agency Records Officer and Chief, Information Management Services Branch

Email Address: Margie.Janney@nrc.gov

Phone Number: 301-415-7245

86. Are you the Agency Records Officer?

- Yes
- No

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

Name:

Email Address:

Phone Number:

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

Yes

No

Do not know

Comments (Optional): *(Please include in your comments how you use the Records Management Self-Assessment.)*

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

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

Thank you for completing the 2019 Records Management Self-Assessment! If you have any questions about the self-assessment, please send a message to rmselfassessment@nara.gov.