2020 Records Management Self-Assessment

Thank you for completing the 2020 Records Management Self-Assessment!

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[NOTE: In your agency's score report below, the numbers to the right of each question indicate how many points your agency received for the answer options chosen out of how many points were possible. For example, "2/3" indicates your agency received two points out of three possible points. "0/0" indicates the question was not scored and, therefore, no points were possible. Please disregard the red and green X's and checkmarks.]

82.0%

Q1. 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))   **3/3**

> **Yes**
>
> No
>
> Do not know

Q2. Please provide the person's name, position title, and office.   **0/0**

> **Crystal Zeh, Records Management Officer, Legal Division, Secretariat and Information Management Branch**

Q3. 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.) **0/0**

> **Yes**
>
> No
>
> Do not know

Q4. 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.) **0/0**

> **Yes**
>
> No
>
> Do not know

Q5. Does your agency have a network of designated employees within each program and administrative area who are <u>assigned</u> records management responsibilities? These individuals are often called Records Liaison Officers (RLOs), though their titles may vary. (36 CFR 1220.34(d)) **3/3**

> **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

Q6. <u>In addition to</u> 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)) **3/3**

**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

Q7. <u>In addition to</u> **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))**   **3/3**

**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

Q8. <u>In addition to</u> **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))**   **0/0**

     Yes

No

To some extent

Do not know

 Q9. Has your agency established performance goals for its records management program?   **3/3**

*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

Q10. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?   **3/3**

*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

Q11. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant **0/3** **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:

No, please explain

Do not know

Q12. How often does your agency conduct formal evaluations of a major **1/3** **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

Q13. Was a formal report written and subsequent plans of corrective action created **0/0** **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

Not applicable, agency has less than 100 employees

Q14. Does your agency have internal records management training*, <u>based on</u> <u>agency policies and directives</u>, for employees assigned records management responsibilities? (36 CFR 1220.34(f))   **3/3**

*Includes NARA's records management training workshops that were <u>customized</u> specifically for your agency or use of an <u>agency-customized</u> 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

Q15. Has your agency developed mandatory internal, staff-wide, formal training*, <u>based on agency policy and directives</u>, 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))   **3/3**

*Includes NARA's records management training workshops that were <u>customized</u> specifically for your agency or use of an <u>agency-customized</u> 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

Q16. Does your agency <u>require</u> 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)) **3/3**

Yes

No

Do not know

Q17. 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)) **3/3**

Yes

Yes, but not documented

No

Do not know

Not applicable, please explain

Q18. 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? **0/0**

Yes

No, please explain

Do not know

Q19. 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)) **3/3**

Yes

Yes, but not documented

No

Do not know

Not applicable, please explain

Q20. 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?			**0/0**

> **Yes**
>
> No
>
> Do not know

Q21. 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))			**0/0**

> **Yes**
>
> No, please explain
>
> Do not know

Q22. Please add any additional comments about your agency for Section I. (Optional)			**0/0**

Q23. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))			**3/3**

> **Yes**
>
> No, pending final approval
>
> No, under development
>
> No
>
> Do not know

Q24. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?			**0/3**

> FY 2020 - present
>
> FY 2018 - 2019
>
> FY 2016 - 2017
>
> **FY 2015 or earlier**
>
> Do not know

Not applicable, agency does not have a records management directive

Q25. 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)) **3/3**

> **Yes**
>
> No
>
> No, pending final approval
>
> No, under development
>
> Do not know

Q26. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records? **0/0**

> **Yes**
>
> No
>
> No, pending final approval
>
> No, under development
>
> Do not know

Q27. Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of Federal records? **0/0**

> Yes
>
> No
>
> No, pending final approval
>
> **No, under development**
>
> Do not know

Q28. 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) **3/3**

> **Yes**
>
> No, pending final approval
>
> No, under development

No, please explain

Do not know

Q29. Does your agency have documented and approved policies and procedures to **1/3**
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

Q30. Does your agency have documented and approved policies that address when **2/3**
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**

Yes

No

No, pending final approval

No, under development

Do not know

Q31. Does your agency have documented and approved policies that address the **3/3**
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

Q32. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18) **0/2**

Yes

No

Do not know

Q33. Please add any additional comments about your agency for Section II. (Optional) **0/0**

Q34. 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) **2/3**

Yes

To some extent

No

Do not know

Not applicable, please explain

Q35. 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)) **3/3**

Yes

No, please explain

Do not know

Q36. 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)? **0/0**

Yes

To some extent

No

Do not know

Q37. 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)) **3/3**

Yes

No

Do not know

Q38. What method(s) does your agency employ to capture and manage email records? (Choose all that apply) **0/0**

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:

Q39. What new method(s) to create and maintain data are being explored and/or employed by your agency that will impact records management? (Choose all that apply) **0/0**

(For more information on these topics see: https://www.archives.gov/files/records-mgmt/policy/nara-cognitive-technologies-whitepaper.pdf.)

Smart devices

Sensors that collect and transmit data

Geographic Information Systems

Robotic Process Automation

Software Robot or Bot

Supervised Machine Learning

Unsupervised Machine Learning

Reinforced Machine Learning

Standard Artificial Intelligence

Open-source Artificial Intelligence

Auto-classification

Other, please be specific:

My agency is not exploring and/or employing new methods

Q40. Please add any additional comments about your agency for Section III. (Optional)

0/0

Q41. Has the COVID-19 pandemic disrupted your agency's ability to access records?

0/0

Yes

No

Do not know

Q42. Please provide details on the impact of the COVID-19 pandemic and what your agency has done to mitigate the circumstances.

0/0

There have been some circumstances where access to archived paper records was not possible. In an effort to respond, staff searched for electronic equivalents. If paper records are responsive, but inaccessible due to the pandemic, we notify the requester that the portion of the request that involves paper records cannot be completed until the office is open again.

Q43. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)

3/3

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

Yes

No

Do not know

Q44. How often does your agency review and update its vital records inventory? (36 **3/3**
CFR 1223.14)

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

Q45. Is your vital records plan part of the Continuity of Operations (COOP) plan? **3/3**

> **Yes**
>
> No
>
> Do not know

Q46. Are records and information in your agency easily retrievable and accessible **2/3**
when needed for agency business? (36 CFR 1220.32(c))

> All records are easily retrieved and accessed 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

Q47. Does your agency ensure that records management functionality, including **3/3**
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

Q48. 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)) **1/3**

Yes

No

No, pending final approval

No, under development

Do not know

Q49. Does your agency use e-Discovery tools to search for records when responding to FOIA and/or Legal Discovery? **0/0**

Yes

No, please explain

Do not know

Q50. For what purposes are e-Discovery tools used? (Choose all that apply) **0/0**

Managing legal holds

Lawsuit-related requests

FOIA responses involving requests for email records

FOIA responses NOT involving requests for email records

Legal discovery or third-party subpoena requests

De-duplication of records in responding to requests

Congressional requests

Internal research for or by staff

Knowledge management

Q52. Has the COVID-19 pandemic disrupted your agency's ability to respond to FOIA requests? **0/0**

Yes

No

Do not know

Q53. Which of the following explains why FOIA has been impacted? (Choose all that **0/0**
apply)

    Paper records are inaccessible due to office closure

    FOIA case processing system is not available by remote access

    Electronic records are not accessible remotely

    Agency staff are not available to conduct searches

    Other, please be specific:

Q54. Which of the following actions did your agency's FOIA program take in **0/0**
response to the COVID-19 pandemic? (Choose all that apply) (DOJ, "*Guidance for***
*Agency FOIA Administration in Light of COVID-19 Impacts,***"**
https://www.justice.gov/oip/guidance-agency-foia-administration-light-covid-19-
impacts, updated May 28, 2020.)

    Worked directly with requesters to tailor their requests for most efficient
processing

    Posted a notice on the FOIA website informing requesters of most efficient way
to make a request

    Posted a notice on the FOIA website informing requesters of any anticipated
delays

    Included information about any anticipated delays in requester communication,
including acknowledgment letters

    Used multitrack processing to further triage requests that could be processed more
efficiently remotely

    Posted additional proactive disclosures for high public interest topics related to the
COVID-19 pandemic

    Assessed technology to ensure most efficient administration of FOIA

    Other, please explain

Q55. Which of the following describes the working relationship between the Agency **0/0**
Records Officer and the Chief FOIA Officer? (Choose all that apply)

    Work together on Information Technology (IT) requirements that benefit both
programs

    Coordinate search terms to identify responsive records

    Identify programs or offices most likely to have responsive records

Work together on high-profile or complex FOIA requests

Provide training on records management and FOIA to each other's staff

Training programs include the importance and relationship between FOIA and records management

Other, please explain

None of the above

Q56. Please add any additional comments about your agency for Section IV. (Optional)   **0/0**

Q57. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10)   **0/0**

FY 2019 - 2020

FY 2017 - 2018

FY 2015 - 2016

FY 2013 - 2014

FY 2012 or earlier

Do not know

Q58. 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?   **0/0**

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

Q59. Does your agency have agency-specific records schedules currently in use that include items approved before January 1, 1990?   **0/0**

Yes

No

Do not know

Q61. Are records and information in your agency managed throughout the lifecycle **2/3**
[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

Q62. Does your agency disseminate *every* approved disposition authority **2/2**
(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

Q63. Which of the following describes the disposition authority for email records **0/0**
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

Q64. Does the current NARA-approved form NA-1005 or agency-specific email **0/0**
schedule adequately reflect your existing organizational structure?

Yes

To some extent

No

Do not know

Q65. Why does the email schedule not adequately reflect, or only to some extent reflect, your existing organizational structure? (Choose all that apply)   **0/0**

      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) needs to be updated or changed

      Scope statements are inaccurate, or need to be changed

      Other, please explain

Q66. Does your agency track changes in Capstone accounts to ensure they are accurate and complete?   **0/0**

      Yes

      To some extent

      No

      Do not know

Q67. Please explain how your agency tracks changes to Capstone accounts. *(Be specific)*   **0/0**

      The Records Management Office tracks the senior staff level roles through agency-wide announcements. If there are changes to those roles we provide the appropriate briefing based on the new or reassigned position. We work closely with the Forensics and e-Law teams to ensure we capture email of our senior officials as they vacate positions.

Q68. Did your agency transfer permanent non-electronic records to NARA during FY 2020? (36 CFR 1235.12)   **3/3**

      Yes

No

No - Transfers were impacted by the COVID-19 pandemic

No - No records were eligible for transfer during FY 2020

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

Q69. Did your agency transfer permanent electronic records to NARA during FY 2020? (36 CFR 1235.12)   **3/3**

Yes

No

No - Transfers were impacted by the COVID-19 pandemic

No - No electronic records/systems were eligible for transfer during FY 2020

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

Q70. Does your agency track when permanent records are eligible for transfer to NARA?   **0/0**

Yes

No

No - My agency does not have any permanent records

Do not know

Q71. 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.*)   **0/0**

The Records Management Office is regularly in touch with most of the divisions and offices that hold permanent records, in both paper and electronic formats, and we are aware of the transfer dates. In 2016 the Records Management Office embarked on a project, which is almost completed, to send all of the agency's permanent paper records to the Washington National Records Center (WNRC). We are preparing the final few paper records for transfer to the WNRC. For the

electronic permanent records, we know which offices hold them. None are eligible for transfer at this time. The Records Management Office maintains a separate Capstone tracker to track the transfer dates for the agency's Capstone Senior Official account records.

Q72. Does your agency ensure that all records on agency web sites are properly managed?   **0/0**

    Yes

    No

    Do not know

Q73. Did your agency take steps to capture and disposition web records in preparation for an administration change?   **0/0**

    Yes

    No

    Do not know

Q74. Please explain your response to the previous question. (*If you answered "Yes," please be specific on steps taken to capture, preserve, and prepare web records in preparation for an administration change. If you answered "No," please explain why not, including any challenges.*)   **0/0**

    CFTC does not typically delete content from its website following a change in administration. There are small updates to names and positions, but the website is largely unchanged as a result of the change in administration. Some months after the change, new leadership may request a website redesign and then we would capture the structure and documents as appropriate.

Q75. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?   **0/0**

    Yes

    No

    Do not know

Q76. Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))   **0/0**

Yes

No

Do not know

Q77. 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.) **0/0**

Yes

No

Do not know

Q81. Please add any additional comments about your agency for Section V. (Optional) **0/0**

Q82. How many full-time equivalents (FTE) are in your agency/organization? **0/0**

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

Q83. Which of the following stakeholders significantly impact and/or support your RM program? (Choose all that apply) **0/0**

Chief Information Officer

Chief Financial Officer

Chief Management Officer

Chief Data Officer

Office of the General Counsel

FOIA Officer

Records Managers and/or Records Liaison Officers (or equivalent)

Program Managers and/or Supervisors

Other, please explain

Q84. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)   **0/0**

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

Q85. How much time did it take you to gather the information to complete this self-assessment?   **0/0**

Under 3 hours

More than 3 hours but less than 6 hours

More than 6 hours but less than 10 hours

Over 10 hours

Q86. Did your agency's senior management review and concur with your responses to the 2020 Records Management Self-Assessment?   **0/0**

Yes

No

Do not know

Q87. Are you the Agency Records Officer?   **0/0**

Yes

No

Q89. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program? **0/0**

Yes

No

Do not know

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

Q90. Do you have any suggestions for improving the Records Management Self-Assessment next year? **0/0**

National Archives and Records Administration

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Thank you for completing the 2021 Records Management Self-Assessment!

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[<u>**NOTE**</u>**: In your agency's score report below, the numbers to the right of each question indicate how many points your agency received for the answer options chosen out of how many points were possible. For example, "2/3" indicates your agency received two points out of three possible points. "0/0" indicates the question was not scored and, therefore, no points were possible. Please disregard the red and green X's and checkmarks.]**

84.0%

Q1. 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)) **3/3**

> **Yes**
>
> No
>
> Do not know

Q2. Please provide the person's name, position title, and office. **0/0**

> **Crystal Zeh, Records Management Officer, Secretariat and Information Management Branch, Legal Division**

Q3. 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.) **0/0**

> **Yes**
>
> No
>
> Do not know
>
> Not applicable, not an Executive Branch Agency

Q4. 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.) **0/0**

> **Yes**
>
> No
>
> Do not know

Q5. Does your agency have a network of designated employees within each program and administrative area who are <u>assigned</u> records management responsibilities? These individuals are often called Records Liaison Officers (RLOs), though their titles may vary. (36 CFR 1220.34(d)) **3/3**

> **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

Q6. <u>In addition to</u> 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)) **3/3**

**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

Q7. <u>In addition to</u> 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)) **3/3**

**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

Q8. <u>In addition to</u> your agency's records management policies and records schedules, has your agency developed and implemented internal controls to ensure **0/0**

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
>
> To some extent
>
> Do not know

Q9. Has your agency established performance goals for its records management program? **3/3**

*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

Q10. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? **3/3**

*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

Q11. 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)) **0/3**

**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:

No, please explain

Do not know

Q12. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)? **1/3**

Annually

Biennially

Once every 3 years

Ad hoc

Do not know

Not applicable, agency does not evaluate its records management program

Q13. 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) **0/0**

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

Not applicable, agency has less than 100 employees

Q14. Has your Agency Records Officer obtained NARA's Certificate of Federal Records Management Training or the Agency Records Officer Credential (AROC)? **0/0**

Yes, NARA's Certificate of Federal Records Management Training

Yes, NARA's Agency Records Officer Credential

In Progress

No

Do not know

Q15. Does your agency have internal records management training*, <u>based on agency policies and directives</u>, for employees assigned records management responsibilities? (36 CFR 1220.34(f)) **3/3**

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

Yes

No

No, pending final approval

No, under development

Do not know

Q16. Has your agency developed mandatory internal, staff-wide, formal training*, <u>based on agency policy and directives</u>, 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)) **3/3**

*Includes NARA's records management training workshops that were <u>customized</u> specifically for your agency or use of an <u>agency-customized</u> 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

Q17. Does your agency <u>require</u> 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))   **3/3**

> Yes
>
> No
>
> Do not know

Q18. 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))   **3/3**

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

Q19. 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?   **0/0**

> Yes
>
> No, please explain
>
> Do not know

Q20. 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

Q21. 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

Q22. 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

Q23. Which of the following stakeholders significantly impact and/or support your RM program? (Choose all that apply)

> **Chief Information Officer**
>
> Chief Financial Officer
>
> **Chief Management Officer**
>
> **Chief Data Officer**
>
> **Office of the General Counsel**
>
> FOIA Officer
>
> **Records Managers and/or Records Liaison Officers (or equivalent)**

Program Managers and/or Supervisors

Other, please explain

Q24. Please add any additional comments about your agency for Section I. (Optional) **0/0**

Q25. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c)) **3/3**

    Yes

    No, pending final approval

    No, under development

    No

    Do not know

Q26. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance? **0/3**

    FY 2021 - present

    FY 2019 - 2020

    FY 2017 - 2018

    FY 2016 or earlier

    Do not know

    Not applicable, agency does not have a records management directive

Q27. 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)) **3/3**

    Yes

    No

    No, pending final approval

    No, under development

    Do not know

Q28. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records? **0/0**

    Yes

    No

    No, pending final approval

    No, under development

    Do not know

Q29. Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of federal records? **0/0**

    Yes

    No

    No, pending final approval

    No, under development

    Do not know

Q30. 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) **3/3**

    Yes

    No, pending final approval

    No, under development

    No, please explain

    Do not know

Q31. 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)) **1/3**

    Yes

    No

    No, pending final approval

    No, under development

Do not know

Q32. 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) **2/3**

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

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

Yes

No

No, pending final approval

No, under development

Do not know

Q33. 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) **3/3**

Yes

No

No, pending final approval

No, under development

Do not know

Q34. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18) **0/2**

Yes

No

Do not know

Q35. Please add any additional comments about your agency for Section II. (Optional) **0/0**

Q36. 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) **3/3**

    Yes

    To some extent

    No

    Do not know

    Not applicable, please explain

Q37. 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)) **3/3**

    Yes

    No, please explain

    Do not know

Q38. 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)? **0/0**

    Yes

    To some extent

    No

    Do not know

Q39. Does your agency's email system(s) retain the intelligent full names in 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)) **3/3**

    Yes

    No

    Do not know

Q40. 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:

Q41. What new method(s) to create and maintain data are being explored and/or employed by your agency that will impact records management? (Choose all that apply)

(For more information on these topics see: https://www.archives.gov/files/records-mgmt/policy/nara-cognitive-technologies-whitepaper.pdf.)

Smart devices

Sensors that collect and transmit data

Geographic Information Systems

Robotic Process Automation

Software Robot or Bot

Supervised Machine Learning

Unsupervised Machine Learning

Reinforced Machine Learning

Standard Artificial Intelligence

Open-source Artificial Intelligence

Auto-classification

Other, please be specific:

My agency is not exploring and/or employing new methods

Q42. Please add any additional comments about your agency for Section III. (Optional)

Q43. Has the COVID-19 pandemic disrupted your agency's ability to access records?   **0/0**

    Yes

    No

    Do not know

Q44. Please provide details on the impact of the COVID-19 pandemic and what your agency has done to mitigate the circumstances.   **0/0**

    In the few circumstances where offices were relying on paper records, out of necessity, those offices needed to switch to electronic business processes and electronic records. In FY21, there were also still some instances in which access to legacy paper records stored in records centers was not immediately possible.

Q45. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)   **3/3**

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

    Yes

    No

    Do not know

Q46. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)   **3/3**

    Annually

    Biennially

    Once every 3 years

    Ad hoc

    Never

    Do not know

Q47. Is your vital records plan part of the Continuity of Operations (COOP) plan? (36 CFR 1223.14 and Federal Continuity Directive, Annex 1)   **3/3**

Yes

No

Do not know

Q48. 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 retrieved and accessed 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

Q49. 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

Q50. 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

Q51. Has the COVID-19 pandemic disrupted your agency's ability to respond to FOIA requests? **0/0**

Yes

No

Do not know

Not applicable, Judicial Branch Agency/FOIA does not apply

Q52. Which of the following explains why FOIA has been impacted? (Choose all that apply) **0/0**

Paper records are inaccessible due to office closure

FOIA case processing system is not available by remote access

Electronic records are not accessible remotely

Agency staff are not available to conduct searches

Other, please be specific:

Q53. Which of the following actions did your agency's FOIA program take in response to the COVID-19 pandemic? (Choose all that apply) ("Guidance for Agency FOIA Administration in Light of COVID-19 Impacts," DOJ, updated May 28, 2020, https://www.justice.gov/oip/guidance-agency-foia-administration-light-covid-19-impacts) **0/0**

Worked directly with requesters to tailor their requests for most efficient processing

Posted a notice on the FOIA website informing requesters of most efficient way to make a request

Posted a notice on the FOIA website informing requesters of any anticipated delays

Included information about any anticipated delays in requester communication, including acknowledgment letters

Used multitrack processing to further triage requests that could be processed more efficiently remotely

Posted additional proactive disclosures for high public interest topics related to the COVID-19 pandemic

Assessed technology to ensure most efficient administration of FOIA

Other, please explain

Not applicable, Judicial Branch Agency/FOIA does not apply

Q54. Which of the following describes the working relationship between the Agency Records Officer and the Chief FOIA Officer? (Choose all that apply) **0/0**

Work together on Information Technology (IT) requirements that benefit both programs

Coordinate search terms to identify responsive records

Identify programs or offices most likely to have responsive records

Work together on high-profile or complex FOIA requests

Provide training on records management and FOIA to each other's staff

Training programs include the importance and relationship between FOIA and records management

Other, please explain

None of the above

Not applicable, Agency Records Officer and the Chief FOIA Officer are the same person

Not applicable, Judicial Branch Agency/FOIA does not apply

Q55. Please add any additional comments about your agency for Section IV. (Optional) **0/0**

Q56. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10) **0/0**

FY 2020 - 2021

FY 2018 - 2019

FY 2016 - 2017

FY 2014 - 2015

FY 2013 or earlier

Do not know

Q57. 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? **0/0**

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

Q58. Does your agency have agency-specific records schedules currently in use that include items approved before January 1, 1990? **0/0**

Yes

No

Do not know

Q60. 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) **3/3**

Yes

To some extent

No

Do not know

Q61. 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)) **2/2**

Yes

No

Do not know

Q62. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply) **0/0**

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

Q63. Does the current NARA-approved form NA-1005 or agency-specific email schedule adequately reflect your existing organizational structure? **0/0**

Yes

To some extent

No

Do not know

Q65. Does your agency track changes in Capstone accounts to ensure they are accurate and complete? **0/0**

Yes

To some extent

No

Do not know

Q66. Please explain how your agency tracks changes to Capstone accounts. *(Be specific)* **0/0**

The Records Management Office tracks the Sr staff level roles through agency-wide announcements. If there are changes to those roles we provide the appropriate briefing based on the new or reassigned position. We work closely with Forensics and e-Law teams to ensure we capture email of our Sr Officials as they vacate positions.

Q67. Did your agency transfer permanent non-electronic records to NARA during FY 2021? (36 CFR 1235.12) **3/3**

Yes

No

No - Transfers were impacted by the COVID-19 pandemic

No - No records were eligible for transfer during FY 2021

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

Q68. Did your agency transfer permanent electronic records to NARA during FY 2021? (36 CFR 1235.12)

3/3

Yes

No

No - Transfers were impacted by the COVID-19 pandemic

No - No electronic records/systems were eligible for transfer during FY 2021

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

Q69. Does your agency ensure that all records on agency websites are properly managed?

0/0

Yes

No

Do not know

Q70. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?

0/0

Yes

No

Do not know

Q71. Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))

0/0

Yes

No

Do not know

Q72. 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.) **0/0**

Yes

No

Do not know

Q76. Please add any additional comments about your agency for Section V. (Optional) **0/0**

Q77. How many full-time equivalents (FTE) are in your agency/organization? **0/0**

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

Q78. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply) **0/0**

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

Q79. How much time did it take you to gather the information to complete this self-assessment? **0/0**

    Under 3 hours

    More than 3 hours but less than 6 hours

    More than 6 hours but less than 10 hours

    Over 10 hours

Q80. Did your agency's senior management review and concur with your responses to the 2021 Records Management Self-Assessment? **0/0**

    Yes

    No

    Do not know

Q81. Are you the Agency Records Officer? **0/0**

    Yes

    No

Q83. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program? **0/0**

    Yes

    No

    Do not know

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

Q84. Do you have any suggestions for improving the Records Management Self-Assessment next year? **0/0**

Thank you for completing the 2022 Records Management Self-Assessment!

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88.0%

Q1. Has your agency assigned an individual with operational responsibility for the agency records management program and provided contact information to NARA as required? (36 CFR 1220.34(b) and NARA Bulletin 2017-02) **3/3**

Note: This is typically referred to as the designated Agency Records Officer (or Department Records Officer)

> **Yes**
>
> Yes, but my agency has not formally notified NARA
>
> No, the position is currently vacant
>
> No
>
> Do not know

Q2. Please provide the person's name, position title, and office. **0/0**

Crystal Zeh, Records Management Officer Secretariat and Information Mangement Branch, Office of the General Counsel

Q3. 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.) **0/0**

Yes

Yes, but my agency has not formally notified NARA

No, the position is currently vacant

No

Do not know

Not applicable, not an Executive Branch Agency

Q4. 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.) **0/0**

Yes

No

Do not know

Not applicable, my agency does not currently have a designated Agency Records Officer

Q5. Does your agency have a network of designated employees within each program and administrative area who are <u>assigned</u> records management responsibilities? (36 CFR 1220.34(d)) **3/3**

Note: These individuals are often called Records Liaison Officers (RLOs), though their titles may vary.

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

Q6. <u>In addition to</u> 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

Q7. <u>In addition to</u> 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

Q8. <u>In addition to</u> 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)) **0/0**

Yes

No

To some extent

Do not know

Q9. Has your agency established performance goals for its records management program? (36 CFR 1222.26(e) and OMB Circulars A-123 and A-130) **3/3**

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

- **Identifying and scheduling all paper and non-electronic (analog) records by the end of DATE**
- **Developing computer-based records management training modules by the end of DATE**
- **Planning and piloting an electronic (digital) 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

Q10. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, **3/3**

permanent records transfers, etc.? (36 CFR 1222.26(e) and OMB Circulars A-123 and A-130)

*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

Q11. 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)) **0/3**

**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 (digital) records) must be the primary focus of the inspection/audit/review.

*** Do not include inspections and assessments conducted by NARA.

> 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:
>
> **No, please explain**
>
> Do not know

Q12. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)? (36 CFR 1220.34(j)) **1/3**

Annually

Biennially

Once every 3 years

Ad hoc

Do not know

Not applicable, agency does not evaluate its records management program

Q13. 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) 0/0

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

Not applicable, agency has less than 100 employees

Q14. Has your Agency Records Officer obtained NARA's Certificate of Federal Records Management Training or the Agency Records Officer Credential (AROC)? (NARA Bulletin 2019-02) 0/0

Yes, NARA's Certificate of Federal Records Management Training

Yes, NARA's Agency Records Officer Credential

In Progress

No

Do not know

Not applicable, my agency does not currently have a designated Agency Records Officer

Q15. 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)) 3/3

*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

Q16. Has your agency developed mandatory internal, staff-wide, formal training*, **3/3**
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

Q17. Which of the following best describes records management training at your **0/0**
agency? (NARA Bulletin 2017-01)

Records management training is informal and ad hoc

There is _only_ general records management information, and training is included with
other non-records management related topics

Records management training meets the minimum required standards without any
additional training

Records management training meets the minimum required standards with
additional role-based or advanced training available

None of the above

Do not know

Q18. Which of the following best describes how records management training is conducted in your agency? (Choose all that apply) 0/0

Records management training is virtual and available through internal learning management system or equivalent

General and other informational records management training is conducted in person by the Agency Records Officer (and/or Department Records Officer)

General and other informational records management training is conducted in person by other records management staff (applies to staff whose primary duty is records management but are not the Department Records Officer or Agency Records Officer)

General and other informational records management training is conducted by Records Liaison Officers or other staff assigned records management responsibilities as an added duty within each agency office, program, or organization

Records management training by self-training in the form of job-aids, frequently asked questions, special topic fact sheets, or similar

All of the above

None of the above

Do not know

Q19. Which of the following best describe records management training materials in your agency? (Choose all that apply) 0/0

Records management training materials are developed and maintained by the Agency Records Officer (and/or Department Records Officer)

Each office is responsible for developing and maintaining their own general and other informational records management training

The Agency Records Officer (and/or Department Records Officer) drives the content of records management training but materials are developed by someone else. Please explain:

Additional training materials in the form of job-aids, frequently asked questions, special topic fact sheets, or other similar materials are created by the Department Records Officer/Agency Records Officer/records management staff and posted to intra-agency information boards, websites, SharePoint sites, learning management system or other employee informational places

All of the above

None of the above

Do not know

Q20. Does your agency <u>require</u> 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)) 3/3

Yes

No

Do not know

Q21. Does your agency conduct and document for accountability purposes training **3/3**
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

Q22. Does your agency conduct and document for accountability purposes exit **3/3**
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

Q23. Does your agency routinely integrate language covering records management **0/0**
obligations into contracts for services and products?

(For more information see: *https://www.archives.gov/records-mgmt/policy/records-mgmt-*
***language*)**

Yes

No

Do not know

Q24. Please add any additional comments about your agency for Section I. (Optional)

Q25. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c)) **3/3**

Yes

No, pending final approval

No, under development

No

Do not know

Q26. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance? (36 CFR 1220.34(c)) **0/3**

2022 - present

2020 - 2021

2018 - 2019

2017 or earlier

Do not know

Not applicable, agency does not have a records management directive

Q27. 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)) **3/3**

Yes

No

No, pending final approval

No, under development

Do not know

Q28. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic (digital) records? **0/0**

Yes

No

No, pending final approval

No, under development

Do not know

Q29. 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

Q30. 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

Q31. 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**

Yes

No

No, pending final approval

No, under development

Do not know

Q32. 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) **3/3**

    Yes

    No

    No, pending final approval

    No, under development

    Do not know

Q33. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18) **0/2**

    Yes

    No

    Do not know

Q34. Please add any additional comments about your agency for Section II. (Optional) **0/0**

Q35. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic (digital) records maintained in electronic information systems? (36 CFR 1236.10) **3/3**

    Yes

    To some extent

    No

    Do not know

    Not applicable, please explain

Q36. Has your agency implemented electronic recordkeeping systems to ensure that all permanent records are created/captured, classified, filed, managed and retained with appropriate metadata according to their NARA-approved records schedules? (36 CFR 1220.34(i), 36 CFR 1236.12, 36 CFR 1236.14) 0/0

> **Yes**
>
> Yes, but not fully implemented yet
>
> No, but plan to
>
> No, not being considered at this time
>
> Do not know
>
> Other

Q38. 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)) 3/3

> **Yes**
>
> No, please explain
>
> Do not know

Q39. In preparation for the publication of the upcoming regulation with standards for digitizing permanent records, has your agency identified permanent series that will need to be digitized? 0/0

> **Yes**
>
> To some extent
>
> No
>
> No, but are working on plans to identify
>
> Do not know

Q40. 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)? 0/0

> **Yes**
>
> No
>
> No, but are working on the strategy

Do not know

Q41. Is your agency digitizing temporary records in order to designate the digitized version as the recordkeeping copy? (36 CFR 1236.30) **0/0**

Yes

No

Do not know

Q42. When digitizing temporary records, which of the following does the process include? (Choose all that apply) (36 CFR 1236.32) **0/0**

Capture all information contained in the original source records

Include all the pages or parts from the original source records

Ensure the agency can use the digitized versions for all the purposes the original source records serve, including the ability to attest to transactions and activities

Protect against unauthorized deletions, additions, or alterations to the digitized versions

Ensure the agency can locate, retrieve, access, and use the digitized versions for the entire retention period

All of the above

None of the above

Do not know

Q43. Does your agency's digitization process include procedures to validate and retain documentation indicating that the digitized versions are of suitable quality to replace the original source records? (36 CFR 1236.34) **0/0**

Yes

No

Do not know

Q44. 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)) **3/3**

Yes

No

Do not know

Q45. What method(s) does your agency employ to capture and manage email and other electronic records? (Choose all that apply) **0/0**

Captured and stored in an archiving system

Captured and stored in an electronic records management system

Captured and stored in shared drives or personal drives

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

Other, please be specific:

Q47. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention? **0/0**

Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

Yes

No

Do not know

Q49. Please add any additional comments about your agency for Section III. (Optional) **0/0**

Q50. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) **3/3**

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

Yes

No

Do not know

Q51. 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

Q52. Is your vital records plan part of the Continuity of Operations (COOP) plan? (36 CFR 1223.14 and Federal Continuity Directive, Annex 1)

Yes

No

Do not know

Q53. 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 retrieved and accessed 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

Q54. 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

Q55. 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)) **3/3**

Yes

No

No, pending final approval

No, under development

Do not know

Q56. How much impact does the ongoing COVID-19 pandemic still have on your agency's FOIA processing? **0/0**

Significant negative impact to backlog continues, please explain

Moderate negative impact to backlog continues

Minimal negative impact to backlog continues

None - completely meets or exceeds pre-pandemic levels of backlogs

Not applicable, my agency is exempt from FOIA

Q57. Which of the following describes the working relationship between the Agency Records Officer and the Chief FOIA Officer? (Choose all that apply) **0/0**

Work together on Information Technology (IT) requirements that benefit both programs

Coordinate search terms to identify responsive records

Identify programs or offices most likely to have responsive records

Work together on high-profile or complex FOIA requests

Provide training on records management and FOIA to each other's staff

Training programs include the importance and relationship between FOIA and records management

Other, please explain

None of the above

Not applicable, Agency Records Officer and the Chief FOIA Officer are the same person

Not applicable, my agency is exempt from FOIA

Q58. Does your agency use e-Discovery tools to search for records when responding to FOIA and/or Legal Discovery? — 0/0

Yes

No, please explain

Do not know

Not applicable, my agency is exempt from FOIA

Q59. For what purposes are e-Discovery tools used? (Choose all that apply) — 0/0

Congressional requests

De-duplication of records in responding to requests

FOIA responses NOT involving requests for email records

FOIA responses involving requests for email records

Internal research for or by staff

Knowledge management

Lawsuit-related requests

Legal discovery or third-party subpoena requests

Managing legal holds

None of the above

Not applicable, my agency is exempt from FOIA

Q61. How often are you proactively (i.e., before receiving any FOIA requests for the information) making records public by posting information appropriate for the public? — 0/0

Note: FOIA reading room pages include records that because of the nature of their subject matter, the agency determines have become or are likely to become the subject of subsequent requests for substantially the same records; or that have been requested three or more times (5 U.S.C. 552(a)(2)(D)(ii))

Annually

Biannually

Every two years

Monthly

Quarterly

As needed

Other, please explain

Do not know

Not applicable, my agency is exempt from FOIA

Q62. Please add any additional comments about your agency for Section IV. (Optional) **0/0**

Q63. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10) **0/0**

2021 - 2022

2019 - 2020

2017 - 2018

2015 - 2016

2014 or earlier

Do not know

Q64. 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) **3/3**

Yes

To some extent

No

Do not know

Q65. 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)) **2/2**

Yes

No

Do not know

Q69. Did your agency transfer permanent non-electronic (analog) records to NARA during 2022? (36 CFR 1235.12)

> **Yes**
>
> No
>
> No - Transfers were impacted by the COVID-19 pandemic
>
> No - My agency has submitted the transfer request, but actual transfer has not yet taken place
>
> No - No non-electronic (analog) records were eligible for transfer during 2022
>
> No - New agency, non-electronic (analog) records are not yet old enough to transfer
>
> No - My agency does not have any permanent non-electronic (analog) records
>
> Do not know
>
> Other, please explain

Q70. Did your agency transfer permanent electronic (digital) records to NARA during 2022? (36 CFR 1235.12)

> Yes
>
> No
>
> No - Transfers were impacted by the COVID-19 pandemic
>
> No - My agency has submitted the transfer request, but actual transfer has not yet taken place
>
> **No - No electronic (digital) records/systems were eligible for transfer during 2022**
>
> No - New agency, electronic (digital) records/systems are not yet old enough to transfer
>
> No - My agency does not have any permanent electronic (digital) records
>
> Do not know
>
> Other, please explain

Q71. When transferring permanent records, did your agency include detailed finding aids for each specific media format?

Examples: Electronic records and metadata, moving image and sound, still pictures, and textual records

Note: Detailed finding aids are required records management and archival lifecycle resources which ensure NARA can implement reference and retrieval procedures and controls on accessioned holdings. (https://www.archives.gov/records-mgmt/accessioning/finding-aid.html)

Yes

No

Do not know

Q72. When transferring permanent electronic (digital) records, did the finding aids include the minimum set of metadata elements and other required documentation? (36 CFR 1235.48 and Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records) **0/0**

Yes

No

Do not know

Not applicable - My agency did not transfer permanent electronic (digital) records in 2022

Q73. Does your agency ensure that all records on agency websites are properly managed? **0/0**

Yes

No

Do not know

Q74. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility? **0/0**

Yes

No

Do not know

Q75. Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e)) **0/0**

Yes

No

Do not know

Q76. 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.) **0/0**

Yes

No

Do not know

Q80. Please add any additional comments about your agency for Section V. (Optional) **0/0**

Q81. How many full-time equivalents (FTE) are in your agency/organization? **0/0**

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

Q82. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply) **0/0**

Senior Agency Official

Office of the General Counsel

Chief Data Officer

Program Managers

FOIA Officer

Information Technology staff

Records Liaison Officers or similar

Administrative staff

Other, please be specific:

None

Q83. How much time did it take you to gather the information to complete this self-assessment? **0/0**

Under 3 hours

More than 3 hours but less than 6 hours

More than 6 hours but less than 10 hours

Over 10 hours

Q84. Did your agency's senior management review and concur with your responses to the 2022 Records Management Self-Assessment? **0/0**

Yes

No

Do not know

Q85. Are you the Agency Records Officer? **0/0**

Yes

No

Q88. Has the Agency Records Officer's designation been formally submitted to NARA as required by 36 CFR 1220.34(b) and NARA Bulletin 2017-02? **0/0**

Yes

No

Do not know

Q89. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program? **0/0**

Yes

No

Do not know

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

National Archives and Records Administration

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Thank you for completing the 2018 Records Management Self-Assessment! If you have any questions about the self-assessment, please send an email to rmselfassessment@nara.gov.

81/100   **81.0%**

Q1. 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)) **3/3**

> **Yes**
>
> No
>
> Do not know

Q2.
Please provide the person's name, position title, and office. **0/0**

> **Crystal Zeh, Records Management Officer, Office of the Executive Director/Executive Secretariat Branch**

Q3.
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.) **0/0**

> **Yes**
>
> No

Do not know

Q4.
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?

0/0

    Yes

    No

    Do not know

Q5. Does your agency have a network of designated employees within each program and administrative area who are <u>assigned</u> records management responsibilities? These individuals are often called Records Liaison Officers (RLOs), though their titles may vary. (36 CFR 1220.34(d))

3/3

    Yes

    No

    Do not know

    Not applicable, agency has less than 100 employees

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

Q6. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

3/3

    Yes

    No, pending final approval

    No, under development

    No

    Do not know

Q7.

1/3

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 2018 - present

FY 2016 - 2017

FY 2014 - 2015

FY 2013 or earlier

Do not know

Not applicable, agency does not have a records management directive

Q8.
Does your agency have internal records management training*, <u>based on</u> <u>agency policies and directives</u>, for employees assigned records management responsibilities? (36 CFR 1220.34(f))   **3/3**

*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

Q9.
Has your agency developed mandatory internal, staff-wide, formal training*, <u>based on agency policies and directives</u>, 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))   **3/3**

*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

Q10.
Does your agency <u>require</u> 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))   **3/3**

Yes

No

Do not know

Q11. Please add any additional comments about your agency for Section I: Activities. (Optional)   **0/0**

Q12.
<u>In addition to</u> 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))   **3/3**

**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

Q13.

3/3

<u>In addition to</u> **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

Q14.
Does your agency evaluate, by conducting inspections/audits/reviews, its **0/3**
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:

No, please explain

Do not know

Q15. How often does your agency conduct formal evaluations of a major **1/3**
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

Q16. Was a formal report written and subsequent plans of corrective **0/0**
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

Q17.
Has your agency established performance goals for its records management program?

3/3

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

· Identifying and scheduling all paper and non-electronic records by the end of FY 2018
· Developing computer-based records management training modules by the end of FY 2018
· Planning and piloting an electronic records management solution for email by the end of FY   2019
· 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

Q18.
Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

3/3

*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

Q19. 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)) **3/3**

Yes

No

No, pending final approval

No, under development

Do not know

Q20.
Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16) **3/3**

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

Yes

No

Do not know

Q21. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)   **3/3**

     Annually

     Biennially

     Once every 3 years

     Ad hoc

     Never

     Do not know

Q22. Is your vital records plan part of the Continuity of Operations (COOP) plan?   **3/3**

     Yes

     No

     Do not know

Q23. Records needed to respond to a FOIA request are readily accessible and located by staff responsible for FOIA: **0/0**

     Always

     Most of the time

     Some of the time

     Never

     Do not know

Q24. 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)   **0/0**

     When there is an adverse determination

     When notifying the requester that the agency needs more than 10 additional days to process a request

     When responding to the requester's appeal

     Never

Do not know

Other, please explain

Q25. How often does the FOIA program submit to agency leadership reports on such measures as pending requests and backlog? **0/0**

Annually

Quarterly

Monthly

Weekly

Never

Other, please explain

Q26. Do your agency's employee performance work plans and appraisals include FOIA performance measures for non-FOIA professionals to ensure 0/0 compliance with the requirements of FOIA? *(Note: The 2016-2018 term of the Freedom of Information Act Advisory Committee endorsed inclusion of FOIA performance standards in Federal employee evaluations and work plans government-wide.)*

Yes

No, please explain

Do not know

Q27. Does your agency have procedures for preparing documents for posting on FOIA reading rooms? *(Note: The FOIA Improvement Act of 2016* **0/0** *amended Section 3102 of the Federal Records Act, 44 U.S.C., to include a requirement that agencies establish "procedures for identifying records of general interest or use to the public that are appropriate for public disclosure, and for posting such records in a publicly accessible electronic format." This requirement is now included in 5 U.S.C. 552(a)(2).)*

Yes

No

Do not know

Q28. Who is responsible for preparing the documents for posting? (Choose all that apply) **0/0**

FOIA staff

Program staff

IT/web staff

Other, please explain

Do not know

Q29. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional) **0/0**

Q30. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10) **0/0**

FY 2017 - 2018

FY 2015 - 2016

FY 2013 - 2014

FY 2011 - 2012

FY 2010 or earlier

Do not know

Q31. 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) **3/3**

Yes

To some extent

No

Do not know

Q32. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c)) **2/3**

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

Q33. 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)) **2/2**

Yes

No

Do not know

Q34. 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)) **0/0**

Yes

No

Do not know

**Q35.
Did your agency transfer permanent non-electronic records to NARA during FY 2018? (36 CFR 1235.12)** **0/3**

Yes

No

No - No records were eligible for transfer during FY 2018

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

Q36. Did your agency transfer permanent electronic records to NARA during FY 2018? (36 CFR 1235.12) **3/3**

Yes

No

No - No electronic records/systems were eligible for transfer during FY 2018

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

Q37. 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)) **3/3**

Yes

Yes, but not documented

No

Do not know

Not applicable, please explain

Q38.
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? **0/0**

Yes

No

Do not know

Q39. 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))   **3/3**

Yes

Yes, but not documented

No

Do not know

Not applicable, please explain

Q40.
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?   **0/0**

Yes

No

Do not know

Q41.
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))   **0/0**

Yes

No, please explain

Do not know

Q42. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)   **0/0**

Q43. 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) **3/3**

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

Q44. 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)) **1/3**

> Yes
>
> No
>
> No, pending final approval
>
> **No, under development**
>
> Do not know

Q45. 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)) **3/3**

> **Yes**
>
> No, please explain
>
> Do not know

Q46.
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) **3/3**

*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

Q47. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems? **0/0**

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

Q48. 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) **0/0**

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

Q49.

Does your agency have documented and approved policies requiring permanent electronic records be managed in an electronic format for eventual transfer to NARA? **0/0**

    Yes

    No

    No, pending final approval

    No, under development

    Do not know

Q51. Does your agency have a process or strategy for managing permanent electronic records, and related metadata, in an electronic form? **0/0**

    Yes

    No

    No, pending final approval

    No, under development

    Do not know

Q52. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records? **0/0**

    Yes

    No

    No, pending final approval

    No, under development

    Do not know

Q53. 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)? **0/0**

    Yes

    To some extent

No

Do not know

Q54. Does your agency use cloud services for any of the following? (Choose all that apply)   **0/0**

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

Q55.
Does your agency have documented and approved policies for cloud   **0/0**
service use that includes recordkeeping requirements and handling of Federal records?

Yes

No

No, pending final approval

No, under development

Do not know

Not applicable, my agency does not use cloud services

3/3

Q56. 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, please explain

Do not know

Q57. 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 2018-01: Format Guidance for the Transfer of Permanent Electronic Records – Appendix A: Tables of File Formats, Section 9 - Email? (36 CFR 1236.22(e))   **0/3**

Yes

No

Do not know

Q58.
Does your agency have documented and approved policies that address when employees have more than one agency-administered email account that states that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)   **2/3**

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

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

Yes

No

No, pending final approval

No, under development

Do not know

Q59.
Does your agency have documented and approved policies that **3/3** 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

Q60. Does your agency's email system(s) retain the intelligent full names **3/3** **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

Q61. What method(s) does your agency employ to capture and manage **0/0** **email records? (Choose all that apply)**

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

Q62.
What percentage of your email systems are cloud-based solutions?

0/0

100%

75%

50%

25%

Less than 25%

My agency does not use cloud services for email

Do not know

Q63. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

0/2

Yes

No

Do not know

Q65.
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?

0/0

Yes

No

No, pending final approval

No, under development

Do not know

Other, please explain

Q66.
In which of the following areas does your agency have challenges with managing permanent electronic records, and related metadata, in an electronic form? (Choose all that apply)

0/0

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 have challenges managing permanent electronic records and related metadata

Do not know

Q67. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional) **0/0**

Q68. How many full-time equivalents (FTE) are in your agency/organization? **0/0**

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

Q69. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply) **0/0**

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

Q70. How much time did it take you to gather the information to complete this self-assessment? **0/0**

Under 3 hours

More than 3 hours but less than 6 hours

More than 6 hours but less than 10 hours

Over 10 hours

Q71. Did your agency's senior management review and concur with your responses to the 2018 Records Management Self-Assessment? **0/0**

Yes

No

Do not know

Q73. Are you the Agency Records Officer? **0/0**

Yes

No

Q75. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program? **0/0**

Yes

No

Do not know

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

Q76. Do you have any suggestions for improving the Records Management Self-Assessment next year?   **0/0**

For question 66 - In the RMSA Word document attached to the March 12, 2019 email, the answer options for question 66 are slightly different than the options listed in the tool. For example, in the Word document "Case management" is listed twice and "Mission/program related functions" is not listed at all. Also, it might be helpful to list a couple of examples for each of the answer choices similar to the "Administrative functions..." option.

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2019 Records Management Self-Assessment

Thank you for completing the 2019 Records Management Self-Assessment!

Please *DOWNLOAD* this page by right clicking anywhere on this screen and selecting Print. This will be the only opportunity you have to make a PDF of this score report.

[NOTE: In your agency's score report below, the numbers to the right of each question indicate how many points your agency received for the answer options chosen out of how many points were possible. For example, "2/3" indicates your agency received two points out of three possible points. "0/0" indicates the question was not scored and, therefore, no points were possible. Please disregard the red and green X's and checkmarks.]

83/100   **83.0%**

Q1. 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)) **3/3**

> **Yes**
>
> No
>
> Do not know

Q2. Please provide the person's name, position title, and office. **0/0**

Crystal Zeh, Records Management Officer, Office of he Executive Director, Executive Secretariat Branch

Q3. 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.)   **0/0**

> **Yes**
>
> No
>
> Do not know

Q4. 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.)   **0/0**

> **Yes**
>
> No
>
> Do not know

Q5. Does your agency have a network of designated employees within each program and administrative area who are <u>assigned</u> records management responsibilities? These individuals are often called Records Liaison Officers (RLOs), though their titles may vary. (36 CFR 1220.34(d))   **3/3**

> **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

Q6. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))   **3/3**

Yes

No, pending final approval

No, under development

No

Do not know

Q7. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?   **1/3**

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

Q8. Does your agency have internal records management training*, <u>based on agency policies and directives</u>, for employees assigned records management responsibilities? (36 CFR 1220.34(f))   **3/3**

*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

Q9. Has your agency developed mandatory internal, staff-wide, formal training*, <u>based on agency policy and directives</u>, covering records in all   **3/3**

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

Q10. 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))   **3/3**

Yes

No

Do not know

Q11. Please add any additional comments about your agency for Section I: Activities. (Optional)   **0/0**

Q12. 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))   **3/3**

**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

Q13. <u>In addition to</u> 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)) **3/3**

**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

Q14. 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)) **0/0**

Yes

No

Do not know

Q15. 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)) **0/3**

**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

Q16. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)? **1/3**

Annually

Biennially

Once every 3 years

Ad hoc

Do not know

Not applicable, agency does not evaluate its records management program

Q17. 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)   **0/0**

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

Q18. Has your agency established performance goals for its records management program?   **3/3**

*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

Q19. Has your agency's records management program identified **3/3**
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

Q20. Does your agency's records management program have **3/3**
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

Q21. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)   **3/3**

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

> **Yes**
>
> No
>
> Do not know

Q22. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)   **3/3**

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

Q23. Is your vital records plan part of the Continuity of Operations (COOP) plan?   **3/3**

> **Yes**
>
> No
>
> Do not know

Q24. As the Agency Records Officer (or records management staff), have you received FOIA training?   **0/0**

> **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

Q25. Who reviews responses to FOIA requests? (Choose all that apply)   **0/0**

    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:

Q26. How does your agency handle duplicate records when processing FOIA requests?   **0/0**

    Agency has software that de-duplicates

    Agency manually de-duplicates search results

    Agency does not separate duplicate records

    Do not know

Q27. Which of the following does your agency/component have available on its FOIA website for requesting records? (Choose all that apply)   **0/0**

    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

Q28. 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) **0/0**

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:

Q29. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional) **0/0**

Q30. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10) **0/0**

FY 2018 - 2019

FY 2016 - 2017

FY 2014 - 2015

FY 2012 - 2013

FY 2011 or earlier

Do not know

Q31. 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? **0/0**

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

Q32. Does your agency have agency-specific records schedules currently in use that include items approved before January 1, 1990?   **0/0**

Yes

No

Do not know

Q34. 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)   **2/3**

Yes

To some extent

No

Do not know

Q35. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))   **2/3**

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

Q36. 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))   **2/2**

Yes

No

Do not know

Q37. Did your agency transfer permanent non-electronic records to NARA during FY 2019? (36 CFR 1235.12) **3/3**

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

Q38. Did your agency transfer permanent electronic records to NARA during FY 2019? (36 CFR 1235.12) **3/3**

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

Q39. Does your agency track when permanent records are eligible for transfer to NARA? **0/0**

Yes

No

No - My agency does not have any permanent records

Do not know

Q40. 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.*)   **0/0**

For our paper records, we already identified them and are preparing the final few for transfer to a Federal Records Center. For the electronic permanent records, we know which offices hold them and none are eligible for transfer at this time.

Q41. 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))   **3/3**

Yes

Yes, but not documented

No

Do not know

Not applicable, please explain

Q42. 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?   **0/0**

Yes

No, please explain

Do not know

Q43. 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))   **3/3**

Yes

Yes, but not documented

No

Do not know

Not applicable, please explain

Q44. 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?   **0/0**

Yes

No

Do not know

Q45. 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))   **0/0**

Yes

No, please explain

Do not know

Q46. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?   **0/0**

Yes

No

Do not know

Q47. Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))   **0/0**

Yes

No

Do not know

Q48. Does your agency store inactive temporary and/or permanent records **0/0**
in an agency-operated records center? (Note: This does NOT include
agency staging areas and temporary holding areas.)

Yes

No

Do not know

Q52. Does your agency store inactive temporary and/or permanent records **0/0**
in an agency records staging or holding area?

Yes

No

Do not know

Q54. Please add any additional comments about your agency for Section **0/0**
III: Records Disposition. (Optional)

Q55. Has your agency incorporated and/or integrated internal controls to **2/3**
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

Q56. Does your agency have documented and approved procedures to **1/3**
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

Q57. 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))   **3/3**

Yes

No, please explain

Do not know

Q58. 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)   **3/3**

*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

Q59. Does your agency's records management program staff participate in the acquisition, design, development, and implementation of new electronic information systems?   **0/0**

Yes

To some extent

No, please explain

Do not know

Not applicable, please explain

Q60. 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? **0/0**

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

Q61. Does your agency have a process or strategy for managing permanent electronic records and related metadata in an electronic form? **0/0**

> Yes

> No

> **No, under development**

> Do not know

Q62. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records?   **0/0**

>   **Yes**
>
>   No
>
>   No, pending final approval
>
>   No, under development
>
>   Do not know

Q63. 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)?   **0/0**

>   **Yes**
>
>   To some extent
>
>   No
>
>   Do not know

Q64. Does your agency use cloud services for any of the following? (Choose all that apply)   **0/0**

>   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

Q65. Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of Federal records? **0/0**

> Yes
>
> No
>
> No, pending final approval
>
> **No, under development**
>
> Do not know

Q66. 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) **3/3**

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

Q67. 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)) **1/3**

> Yes
>
> No
>
> No, pending final approval
>
> **No, under development**
>
> Do not know

Q68. Does your agency have documented and approved policies that address when employees have more than one agency-administered email **2/3**

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**

Yes

No

No, pending final approval

No, under development

Do not know

Q69. 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) 3/3

Yes

No

No, pending final approval

No, under development

Do not know

Q70. 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)) 3/3

Yes

No

Do not know

Q71. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)   **0/0**

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:

Q72. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply)   **0/0**

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

Q73. Does the current NARA-approved form NA-1005 or agency-specific email schedule adequately reflect your existing organizational structure?   **0/0**

Yes

To some extent

No

Do not know

Q74. Why does the email schedule not adequately reflect, or only to some extent reflect, your existing organizational structure? (Choose all that apply) **0/0**

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

Q75. Does your agency track changes in Capstone accounts to ensure they are accurate and complete? **0/0**

Yes

To some extent

No

Do not know

Q76. Please explain how your agency tracks changes to Capstone accounts. *(Be specific)* **0/0**

The Records Management Office tracks the Sr staff level roles through agency-wide announcements. If there are changes to those roles we provide the appropriate briefing based on the new or reassigned position. We work closely with the Office of Data and Technology Forensics and

e-Law teams to ensure we capture email of our Sr Officials as they vacate positions.

Q77. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)   **0/2**

Yes

No

Do not know

Q78. 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?   **0/0**

Yes

No

No, pending final approval

No, under development

Do not know

Other, please explain

Q80. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)   **0/0**

Q81. How many full-time equivalents (FTE) are in your agency/organization?   **0/0**

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

Q82. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)   **0/0**

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

Q83. How much time did it take you to gather the information to complete this self-assessment?   **0/0**

Under 3 hours

More than 3 hours but less than 6 hours

More than 6 hours but less than 10 hours

Over 10 hours

Q84. Did your agency's senior management review and concur with your responses to the 2019 Records Management Self-Assessment?   **0/0**

Yes

No

Do not know

Q86. Are you the Agency Records Officer?

0/0

    Yes

    No

Q88. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program? **0/0**

    Yes

    No

    Do not know

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

Q89. Do you have any suggestions for improving the Records Management Self-Assessment next year? **0/0**

National Archives and Records Administration

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