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.]

99/100	99.0%

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**

(b)(2);(b)(5)

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

(b)(6)

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.)

(b)(2);(b)(5)

0/0

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.)

(b)(2);(b)(5)

0/0

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

(b)(2);(b)(5)

3/3

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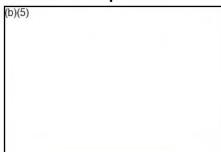
3/3

(b)(5)

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? **2/3**

(b)(5)

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.

(b)(5)

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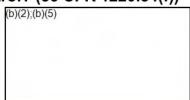
*Includes NARA's records management training workshops that were _customized_ specifically for your agency or use of an _agency-customized_ version of the Federal Records Officer Network (FRON) RM 101 course.

**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.

(b)(5)

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

(b)(2);(b)(5)

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**

(b)(2);(b)(5)

Q13. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e)) **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**

(b)(5)

(b)(5)

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**

(b)(5)

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)) **3/3**

**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.

(b)(5)

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

(b)(5)

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

(b)(5)

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

(b)(5)

(b)(5)

Q19. 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**

(b)(5)

Q20. Does your agency's records management program have documented and approved **policies and procedures that instruct staff** 3/3 **on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))**

(b)(5)

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.

(b)(5)

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

3/3

(b)(5)

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

3/3

(b)(5)

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

0/0

(b)(2);(b)(5)

(b)(2);(b)(5)

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

(b)(2);(b)(5)

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

(b)(5)

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

(b)(5)

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)

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))

0/0

(b)(5)

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

(b)(5)

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).

(b)(5)

(b)(5)

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

(b)(5)

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) **3/3**

(b)(5)

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

(b)(5)

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**

(b)(5)

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

(b)(5)

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

(b)(5)

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

(b)(5)

(b)(5)

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**

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**

(b)(5)

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**

(b)(2);(b)(5)

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**

(b)(2);(b)(5)

(b)(2);(b)(5)

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

(b)(2);(b)(5)

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

(b)(2);(b)(5)

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

0/0

(b)(5)

Q48. 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

(b)(5)

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

(b)(5)

Q53. Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234.10, 36 CFR 1234.12, and 36 CFR 1234.14?* **0/0**

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

(b)(5)

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

Q55. 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**

(b)(5)

Q56. 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** **3/3**

conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

(b)(5)

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

(b)(5)

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.

(b)(5)

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

0/0

(b)(5)

(b)(5)

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:

(b)(2);(b)(5)

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

(b)(5)

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

(b)(5)

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**

(b)(5)

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

(b)(5)

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

(b)(5)

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**

(b)(5)

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))**   **3/3**

(b)(5)

Q68. Does your agency have documented and approved **policies that address when employees have more than one agency-administered email**   **3/3**
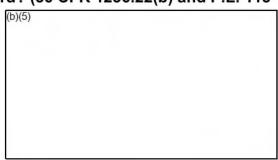
account, whether or not allowed, **that states that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)**

*****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**

(b)(5)

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

(b)(5)

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

(b)(5)

(b)(5)

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

(b)(5)

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

(b)(5)

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

(b)(5)

(b)(5)

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

(b)(5)

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**

(b)(5)

Q79. How often does your agency evaluate, monitor, or audit staff compliance with the agency's policies for email preservation and the management of electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?   **0/0**

(b)(5)

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

(b)(2);(b)(5)

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

0/0

(b)(2);(b)(5)

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

0/0

(b)(5)

(b)(5)

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

(b)(5)

Q86. Are you the Agency Records Officer? **0/0**

(b)(5)

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

(b)(5)

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**

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