2021 Records Management Self-Assessment

## Thank you for completing the 2021 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.]

100.0% 100/100

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.

22, 3:31 PM	2021 Records Management Self-Assessment (b)(6)	
(SAOF level, a level.)	pes your agency have a Senior Agency Official for Records Management RM)? (For components of a department this is most likely at the department and you may answer "Yes," even if this is not being done at the component	0/0
with the	pes your Agency Records Officer meet regularly (four or more times a year) ne SAORM to discuss the agency records management program's goals? (For onents of a department, this is most likely at the department level.)	0/0
05 Da	bes your agency have a network of designated employees within each	2/2

**3/3** 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)

Q6. In addition to your agency's established records management policies and 3/3 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

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(b)(5)						

Q7. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))

\*\*These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

\*Examples of records management internal controls include but are not limited to:

- Regular review of records inventories
- Approval process for disposal notices from off-site storage
- Require certificates of destruction
- Monitoring shredding services
- Performance testing for email
- Monitoring and testing of file plans
- Pre-authorization from records management program before records are destroyed
- Ad hoc monitoring of trash and recycle bins
- Notification from facilities staff when large trash bins or removal of boxes are requested
- Annual records clean-out activities sponsored and monitored by records management staff

(b)(5)				
1.0				
i e				

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	f agency employ	es that receive	records managen	nent training in a year
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- 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

(b)(5)

- 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

records managemen	t program to ensure that it	g inspections/audits/reviews, its is efficient, effective, and compliant nd regulations? (36 CFR 1220.34(j))	3/3
the program (e.g., vit process, records ma records) must be the	al records identification an	nagement program, or a major compo nd management, the records dispositi management of your agency's electro ection/audit/review.	ion
(b)(5)			= 1

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

(b)(5)			

(b)(5)	
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
Q14. Has your Agency Records Officer obtained NARA's Certificate of Federal Records Management Training or the Agency Records Officer Credential (AROC)?	0/0
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.	

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 3/3 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))

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

Management involved in on-boarding briefings or other processes for newly appointed senior officials?

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

0/0

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))

Q19. Is the Agency Records Officer and/or Senior Agency Official for Records

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

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?

0/0

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

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))

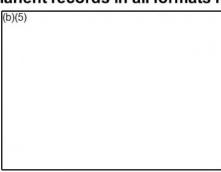
0/0

3:31 PM (b)(2);(b)(5)	2021 Records Management Self-Assessment	
Q23. Which of the follo RM program? (Choose (b)(2);(b)(5)	wing stakeholders significantly impact and/or support your all that apply)	0/0
Q24. Please add any ac (Optional)	dditional comments about your agency for Section I.	0/0
Q25. Does your agency directive(s)? (36 CFR 1	y have a documented and approved records management 220.34(c))	3/3
	gency's directive(s) last reviewed and/or revised to ensure it	3/3

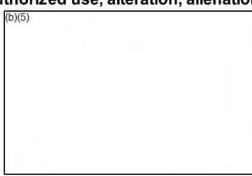
(b)(5)	

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

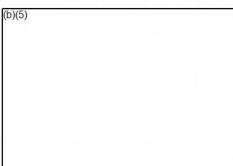


Q28. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records?



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

0/0



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)
Q31. Does your agency have documented and approved policies and procedures to 3/3 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))
Q32. Does your agency have documented and approved policies that address when 3/3 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

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)
Q34. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)
Q35. Please add any additional comments about your agency for Section II.  (Optional)
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)

indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))	
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
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
Q40. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)	0/0

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)	0/0
(b)(5)	
Q42. Please add any additional comments about your agency for Section III.	
(Optional)	0/0
Q43. Has the COVID-19 pandemic disrupted your agency's ability to access records	<sup>?</sup> 0/0

Q45. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)	3/3
0(5)	
Q46. How often does your agency review and update its vital records inventor (FR 1223.14)	y? (36 <b>3/</b> 3
Q47. Is your vital records plan part of the Continuity of Operations (COOP) plan CFR 1223.14 and Federal Continuity Directive, Annex 1)	<sup>1? (36</sup> 3/3
Q48. Are records and information in your agency easily retrievable and access when needed for agency business? (36 CFR 1220.32(c))	sible 3/3

Q49. Does your agency ensure that records management functionality, including the 3/3 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)
(b)(5)
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))
Q51. Has the COVID-19 pandemic disrupted your agency's ability to respond to FOIA 0/0 requests?
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)

(b)(5)	0,0
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?  Note: An agency-specific records schedule means it covers items that are not cover the General Records Schedules (GRS).	<b>0/0</b> ed by
Q58. Does your agency have agency-specific records schedules currently in use that include items approved before January 1, 1990?	0/0
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

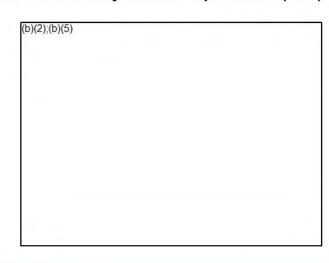
staff within six mon	hs of approval? (36 C	CFR 1226.12(a))	
	llowing describes the agency? (Choose all	e disposition authority for email records that apply)	0/0
Q67. Did your agen 2021? (36 CFR 1235	y transfer permanent 12)	t non-electronic records to NARA during	<sup>FY</sup> 3/3
	y transfer permanent 12)	t non-electronic records to NARA during	FY 3/3

2021? (36 CFR 1235.12)	3/3
Q69. Does your agency ensure that all records on agency websites are properly managed?	0/0
Q70. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?	0/0
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

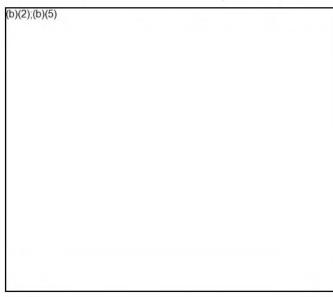
Q76. Please add any additional comments about your agency for Section V. (Optional)

)(5)		

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



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



Q79. How much time did it take you to gather the information to complete this selfassessment?

0/0

(b)(5)

to the 2021 Records Management Self-Assessment?  (b)(2);(b)(5)	<sup>s</sup> 0/0
Q81. Are you the Agency Records Officer?	0/0
Q83. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?	0/0

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