

Current Progress 100%

2022 Records Management Self-Assessment

Thank you for completing the 2022 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.]

99.0%

99/100

3/3

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)

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

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

0/0

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

(b)(6)

0/0

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)

3/3

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

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

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

3/3

Q6. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e))

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

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

- Regular briefings and other meetings with records creators
- Monitoring and testing of file plans
- Regular review of records inventories
- Internal tracking database of permanent record authorities and dates

(b)(5)

(b)(5)

3/3

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)

0/0

Q8. 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))

(b)(5)

(b)(5)

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)

*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

(b)(5)

3/3

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

(b)(5)

3/3

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))

****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.**

(b)(5)

3/3

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))

(b)(5)

(b)(5)

0/0

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)

(b)(5)

0/0

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)

(b)(2),(b)(5)

3/3

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))

*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)

3/3

Q16. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, covering records in all formats, including electronic communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which helps agency employees and contractors fulfill their recordkeeping responsibilities?** (36 CFR 1220.34(f))

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

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

(b)(5)

0/0

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

(b)(5)

0/0

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

(b)(5)

0/0

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

(b)(5)

3/3

Q20. 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))

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

3/3

Q21. 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))

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

3/3

Q22. 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))

(b)(5)

0/0

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

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

(b)(5)

0/0

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

3/3

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

(b)(5)

2/3

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))

(b)(5)

3/3

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))

(b)(5)

0/0

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

(b)(5)

(b)(5)

3/3

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)

(b)(5)

3/3

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))

(b)(5)

3/3

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

(b)(5)

3/3

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)

(b)(5)

2/2

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

(b)(5)

0/0

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

3/3

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)

(b)(5)

0/0

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)

(b)(5)

3/3

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))

(b)(5)

0/0

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?

(b)(5)

0/0

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)?

(b)(5)

0/0

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

(b)(5)

0/0

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

(b)(5)

0/0

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)

(b)(5)

3/3

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))

(b)(5)

0/0

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

(b)(5)

0/0

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

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.

(b)(5)

0/0

Q48. What are they and how are they being used?

(b)(5)

0/0

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

3/3

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

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

(b)(5)

3/3

Q51. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

(b)(5)

3/3

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

(b)(5)

3/3

Q53. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

(b)(5)

3/3

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.

(b)(5)

3/3

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))

(b)(5)

(b)(5)

0/0

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

(b)(5)

0/0

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

(b)(5)

0/0

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

(b)(5)

0/0

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

(b)(5)

(b)(5)

0/0

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?

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))

(b)(5)

0/0

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

(b)(5)

0/0

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

(b)(5)

3/3

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)

(b)(5)

2/2

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))

(b)(5)

0/0

Q66. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply)

(b)(5)

0/0

Q68. Does your agency plan on using GRS 6.1 for disposition authority for other types of electronic messages?

**Note: The GRS 6.1 scope has been expanded to include other types of electronic messages such as, but not limited to, chat and text messages.*

(b)(5)

3/3

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

(b)(5)

3/3

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

(b)(5)

0/0

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>)

(b)(5)

0/0

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)

(b)(5)

0/0

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

(b)(5)

0/0

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

(b)(5)

(b)(5)

0/0

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.)

(b)(5)

0/0

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?

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

0/0

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

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

0/0

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

(b)(5)

0/0

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

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

0/0

Q85. Are you the Agency Records Officer?

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

0/0

Q86. Has your Agency Records Officer designation been formally submitted to NARA as required by 36 CFR 1220.34(b) and NARA Bulletin 2017-02?

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

0/0

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

(b)(5)

0/0

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

(b)(5)

National Archives and Records Administration

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