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# Federal Agency Records Management 2021 Annual Report

*Senior Agency Official for Records Management Annual Report  
Records Management Self-Assessment  
Federal Electronic Records and Email Management Report*

National Archives and Records Administration  
July 2022

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## FOREWORD

One of the National Archives and Records Administration's (NARA) most important responsibilities is to report on the state of federal records management. Effective records management programs in federal agencies ensure the preservation of and access to permanently valuable records of the Federal Government.

In 2021, the push towards a fully electronic government continued as agencies refined their efforts to support electronic recordkeeping goals established in June 2019 by the Office of Management and Budget (OMB)/NARA government-wide policy memorandum, *Transition to Electronic Records* (M-19-21).

The COVID-19 pandemic continued to dominate the year with remote work that highlighted the importance of electronic access to records. NARA continued its vital work guiding federal agencies into a new era of digital government, as required in M-19-21. Agencies focused on upgrading or developing electronic systems and processes to improve virtual collaboration and accomplish their missions. The value and importance of records and the ability to access them contributes to continuity and efficiency. These efforts are critical now and into the future as some of the records, information, and data created and collected today will become part of the Nation's history.

These efforts are captured in this year's annual report. We required federal agencies to submit three reports: The Senior Agency Official for Records Management (SAORM) Annual Report, the annual Records Management Self-Assessment (RMSA) and the Federal Electronic Records and Email Management Maturity Model Report (FEREM). We reviewed the individual reports for trends and challenges as well as progress. This 2021 annual report contains the results of our review and analysis.

NARA is committed to ensuring that federal agencies are successful in making the transition to digital government and is looking forward to working with federal agencies to accomplish the goals that have been put before us. While NARA does acknowledge the various challenges and competing priorities, the SAORMs in each agency must continue to lead and drive change as the need for a fully digital and open government has been proven to be no longer aspirational but essential.

DEBRA STEIDEL WALL  
Acting Archivist of the United States

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## Executive Summary

This consolidated report provides a summary analysis on the state of federal records management programs based on annual reports submitted to NARA as required for all Federal Records Act Agencies<sup>1</sup>. Records Management (RM) is a continuous process, and the state of the programs managed by federal agencies changes depending upon governmental reorganization, technology improvements, changes in personnel, resources, and other factors. By requiring annual reporting, NARA can capture information for a defined period and identify trends and common challenges. The data for this report covers CY 2021 information and activities (unless otherwise noted) with an additional special focus on electronic records management, including email.

NARA required three related but separate submissions: Senior Agency Official for Records Management (SAORM) Annual Report, the annual Records Management Self-Assessment (RMSA) and the Federal Electronic Records and Email Management (FEREM) Report.

Taken together, all three submissions demonstrate the progress and challenges faced by all federal agencies as they continue the transition to fully electronic recordkeeping, as established in June 2019 by the Office of Management and Budget (OMB)/NARA government-wide policy memorandum, *Transition to Electronic Records* (M-19-21). The initial directive to maintain records in electronic format, OMB/NARA M-12-18: *Managing Government Records Directive*, laid the foundation for fully electronic recordkeeping, moving the government forward to where agencies are today.

The COVID-19 pandemic continued to require alternative means to access and capture records and intensified the need to make this transition. The pandemic has proven that the transition to electronic recordkeeping is essential and no longer optional.

### **Key points highlighted in this report include:**

- COVID-19 impacts varied and were both positive and negative for recordkeeping.
- A clear majority (80%) indicated that an information governance framework exists; however, there were distinct differences in how agencies interpreted what constitutes an information governance framework.
- There was a considerable drop in agencies' confidence in meeting the M-19-21 goals to manage permanent records with associated metadata and temporary records in electronic formats by December 31, 2022.

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<sup>1</sup> The Federal Records Act (44 U.S.C. 31) and corresponding Code of Federal Regulations (CFRs) require all federal agencies to maintain records that document their activities, file records for safe storage and efficient retrieval, and dispose of records according to agency schedules. (Most are Executive Branch Agencies, but there are some Legislative and Judicial Branch Agencies included.)

- The chart below illustrates the decline in answering ‘Yes’ to meeting the December 31, 2022 deadline.

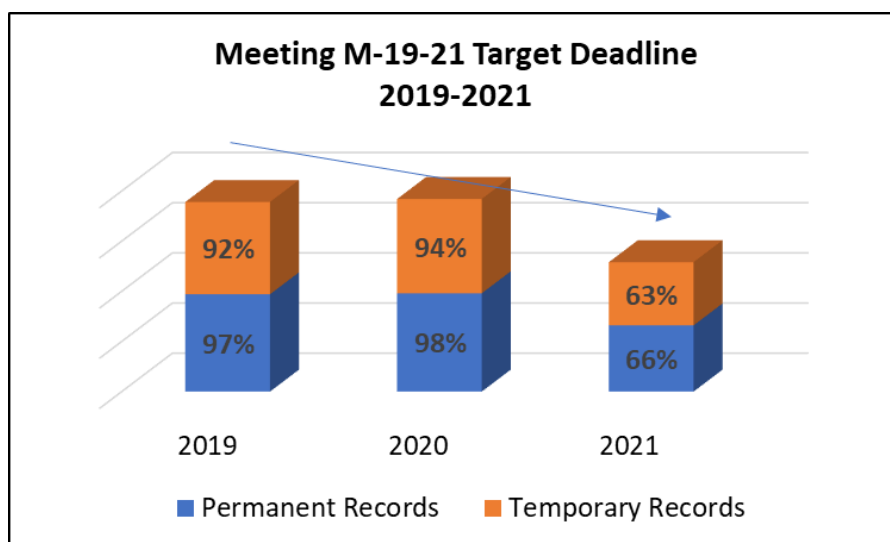


Figure 1: Decline in answering ‘Yes’ to meeting the December 31, 2022 deadline for transitioning to electronic recordkeeping

- While the number of agencies indicating that they plan to request an exception is low at 34%, a similar number (24%) responded, ‘Do not know’ and indicated that they might need to ask for an exception at least an extension but have not yet decided.
- At least 75% of agencies have policies and procedures that instruct staff on managing permanent records in all formats, with another 18% developing them. Less than one quarter (24%) of agencies said their permanent electronic records meet the transfer guidance, contain the appropriate metadata, have tested and/or successfully transferred these records to the National Archives. This was up two points from 2020.

This report provides a detailed analysis and appendices of the data for activities in CY 2021 and makes recommendations for improvements that the SAORM and other agency leadership must put in place in order to improve records management. (See the Conclusions and Recommendations Section.) The appendices also provide information on scoring, individual agency scores, validation exercises, and statistical results of all RMSA and FEREM questions and a list of those agencies not responding to NARA’s reporting requirements. NARA uses annual reporting data to identify trends and risks, and to improve our ability to assist agencies by improving our policies and guidance. The transition to a digital government and fully electronic recordkeeping is a continuous process requiring sustained effort and a commitment to maturing the records management programs in each agency. Through other oversight activities, such as inspections and assessments, NARA continues to work with agencies to improve federal records management and support for the transition to a fully electronic and open government.

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## INTRODUCTION

The National Archives and Records Administration (NARA) is responsible for overseeing and reporting to Congress on the state of records management across the government. NARA accomplishes this responsibility in part by requiring all federal agencies to submit annual reports to the Office of the Chief Records Officer for the U.S. Government. This year we required three submissions:

- Senior Agency Official for Records Management (SAORM) Annual Report – The SAORM Report is only required for Executive Branch Agencies.<sup>2</sup> NARA provided a template to those agencies with a SAORM to capture progress on strategic records management initiatives, including actions taken to promote fully electronic recordkeeping. Individual SAORM reports, including the template, are available online: <https://www.archives.gov/records-mgmt/resources/saorm-reports>.
- Records Management Self-Assessment (RMSA) – Agency records officers evaluate their agency’s compliance with federal records management statutes, regulations and program functions using a NARA-provided questionnaire with scored and unscored questions. The data is gathered using an online survey tool. Individual agency responses are not made public; therefore, for specific agency responses we suggest contacting the individual agency. RMSA data from previous years is summarized in annual reports available online: <https://www.archives.gov/records-mgmt/resources/self-assessment.html>.
- Federal Electronic Records and Email Management Maturity Model Report (FEREM) – This report supplements the RMSA data collection to focus on electronic records and email management. NARA provided a two-part maturity model template based on the *Universal Electronic Records Management (ERM) Requirements*<sup>3</sup> and the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)* (also known as the *Success Criteria for Managing Email*).<sup>4</sup> Agencies chose scenarios that best describe their current state of electronic records and email management. The data was gathered using an online survey tool. The individual agency results are available online: <https://www.archives.gov/records-mgmt/resources/email-mgmt-reports>.

For the 2021 reporting period (January 10 through March 11, 2022) we received a 96% overall response rate. The content of SAORM reports is analyzed for trends and is not scored or rated. The RMSA and FEREM reports receive numerical scores and risk factor ratings. (For more details on the scoring of the RMSA and the FEREM, see Appendix I. For individual agency scores, see Appendix II.) For statistics on each RMSA and FEREM question, see Appendix III. Each year, NARA validates selected answers to the RMSA to determine the accuracy of agency responses and to understand how agencies are interpreting the questions. The validation strategy is described in Appendix IV. For a list of non-responding agencies, see Appendix V.

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<sup>2</sup> The requirement to have an SAORM was by Executive Order; therefore, it does not include the other two Branches.

<sup>3</sup> [NARA's website for Universal ERM requirements](#).

<sup>4</sup> [NARA's website for Email Success Criteria](#).

NARA uses annual reporting data to identify trends and risks, and to improve our ability to assist agencies by improving our policies and guidance. Through other oversight activities, such as inspections and assessments, NARA continues to work with agencies to improve federal records management. More importantly, agencies should be using reporting data to evaluate their own strengths and weaknesses and determine where their resources are most needed.

This report is divided into two sections that provide data analysis of all three reports. The first section provides trends from the SAORM reports. The second section compares statistical data and trends from both the RMSA and the FEREM. The remainder of the report consists of the appendices which provide detailed information about scoring, individual agency scores, validation strategies, statistics per question, and non-responding agencies.

## SENIOR AGENCY OFFICIAL FOR RECORDS MANAGEMENT ANNUAL REPORTS

### OVERVIEW

The federal government has been working towards modernization of its processes for many years using and adapting to new technologies as they come along. Digital transformation is leading changes in processes and decision making. Digital platforms and formats are transforming interactions within agencies, with the public, and others in order to achieve their missions. This also transforms the creation, management, access, and disposition of records and how records management fits into the overall management of data and information. It is essential that records and records management are considered as part of these changes.

To meet this challenge, the transition to fully electronic recordkeeping and building successful records management programs requires senior-level support and visibility at the executive level to establish long-term goals and strategic initiatives. The SAORM reports reflect these efforts and support that records management programs are receiving.

The SAORM 2021 report template included ten questions. It provided an opportunity for agencies to describe the impact of the COVID-19 pandemic on records management policies and procedures; information governance frameworks, plans, progress, and challenges; and the use of the General Services Administration's procurement solutions for electronic records management.<sup>5</sup> The template also has a question on how NARA can improve engagement with SAORMs and topics of interest for future communications and meetings. Most agencies also used this question to make suggestions for NARA as a whole.

The following analysis provides a summary of the responses, common themes, and trends. Individual agency responses are available on NARA's [website](#).

### DATA ANALYSIS

The data indicates that agencies adapted to the impact of COVID-19 through enhancing remote access and telework and were able to continue electronic recordkeeping. For the day-to-day activities this is working well; however, for meeting the M-19-21 deadlines COVID-19 is having a larger impact. Agencies indicated that there are delays in digitization projects and disposition of records, as access to hard copy records in offices and other storage spaces continued to be limited.

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<sup>5</sup> GSA 518210ERM: Electronics Records Management (ERM) Solutions provides a comprehensive capability to solve the complex challenges posed by the movement, manipulation, archiving, security, and management of electronic records. The vendor provides professional management and administrative support personnel with the necessary skills to perform effective record management services for both classified and/or unclassified records. The services are provided using either government or vendor equipment and facilities or a combination of both. The objective of electronic records management services is to permit the access, maintenance, control, storage, disposition, and transfer of electronic records. This includes any ancillary supplies and/or services necessary to provide a total electronic records management solution: [GSA eLibrary](#).



In general, not just due to COVID-19, while most records are created and stored electronically, there are still challenges to maintaining all records in electronic format particularly for metadata capture and for long-term preservation for permanent electronic records. These challenges include identification of metadata, technology issues, cultural change management, and legal or regulatory requirements that continue to require paper. On the positive side, the data reflects efforts in information governance and records management integration, or at least inclusion, with information, knowledge, and data management.

The chart below summarizes how agencies responded to the ten questions. An analysis of the explanations or details for each question follows.

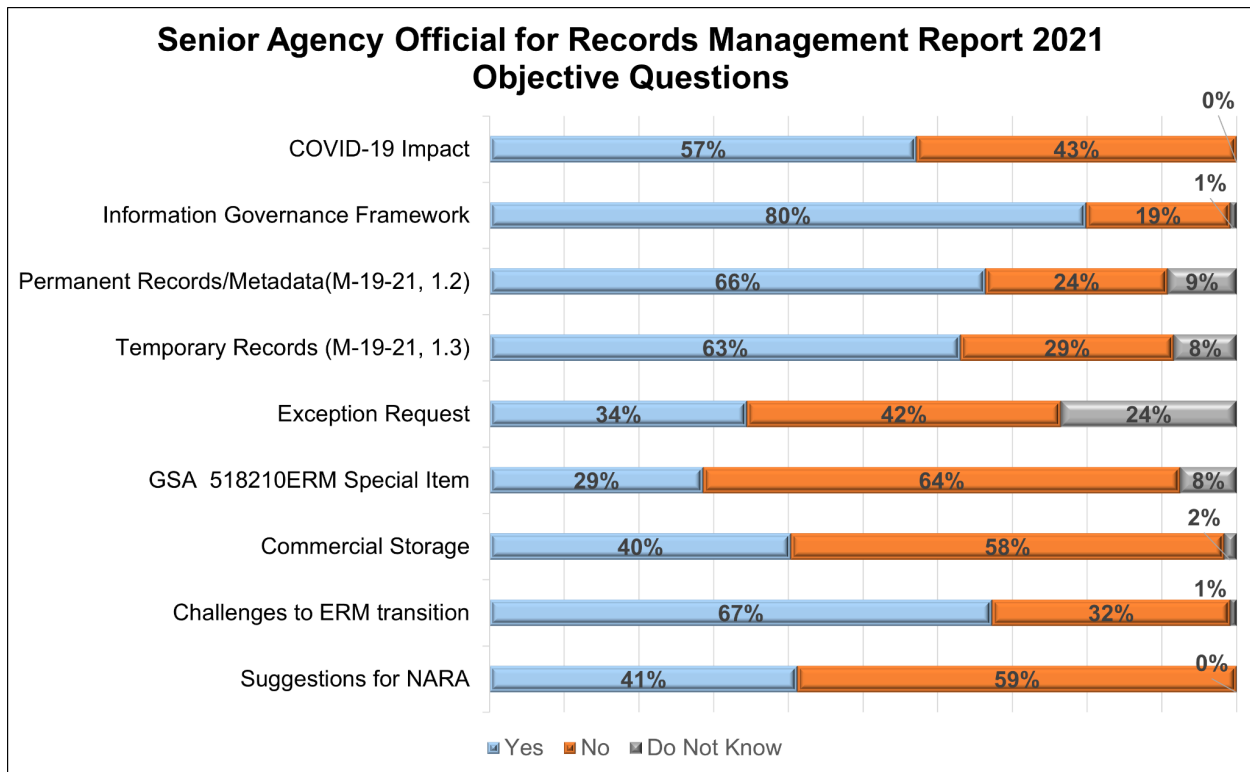


Figure 1: SAORM 2021 report template objective questions results

### Impact of COVID-19 on records management policies and practices.

The full impact of the COVID-19 pandemic on recordkeeping will not be known until the pandemic is over; however, we were able to gain insights into the continuing impacts. It is interesting to note that the ‘Yes’ or ‘No’ responses to the question “Has the COVID-19 pandemic changed any policies or practices related to records management?” changed from last year when a majority of agencies answered ‘No’ (Yes=46% and No=54%) to a higher percentage of responding ‘Yes’ (Yes=57% and No=43%).

SAORMs indicated a variety of both positive and negative impacts and mentioned specific actions. (See the chart below.)

<b>Top Responses to the Impact of COVID-19 Question</b>		
<b>Q2_COVID-19 IMPACTS_Negative</b>	<b>Q2_COVID-19 IMPACTS_Actions</b>	<b>Q2_COVID -19 IMPACTS_Positive</b>
Limited FRC Operations	Reevaluate and update business processes	Accelerated transition to electronic recordkeeping
Limited ability to access paper in storage or office space	Telework	Changes to Policy, Process and requirements not needed
Disposition delays	Provided additional information for virtual work environment	No impact/No Details
Reduced ability to conduct evaluations	Successful remote access to electronic records	Successful remote access to electronic records
Delays in efforts to meet M-19-21 deadlines	Updated policies, procedures, guidance	All records managed electronically prior to pandemic

Figure 2: Impact of COVID-19 on Records Management Programs

### Information Governance Framework

The template asked if agencies have established an information governance framework that connects records management, data management, and other agency information lines of business. For this question we were looking for whether or not there is a relationship between those responsible for controlling, securing, and maintaining information, data, and knowledge and those responsible for records management, including but not limited to:

- Chief Information Officer (CIO)
- Chief Data Officer (CDO)
- Senior Agency Official for Records Management (SAORM)
- Department Records Officer (DRO)
- Agency Records Officer (ARO)
- Other records management staff

A clear majority (80%) indicated that an information governance framework exists. However, there were distinct differences in how agencies interpreted what constitutes an information governance framework. These range from Data Governance Advisory Boards or Councils to formal partnerships and relationships, to policies that include roles and responsibilities, and to informal collaborations.

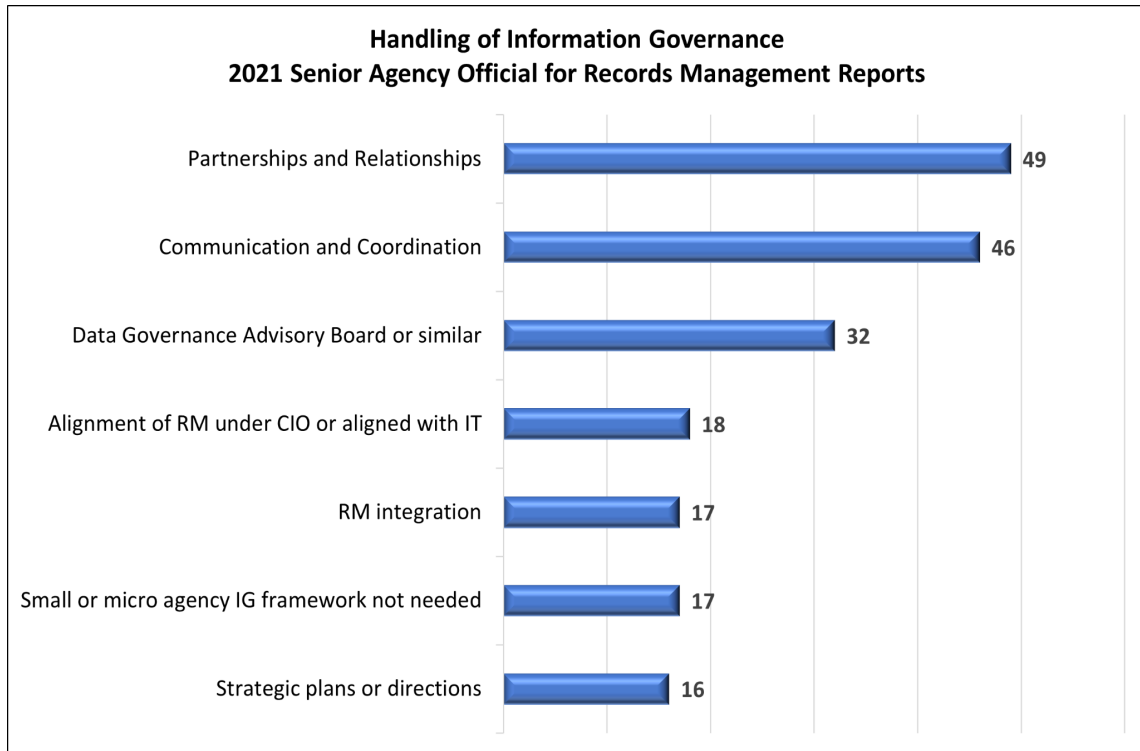
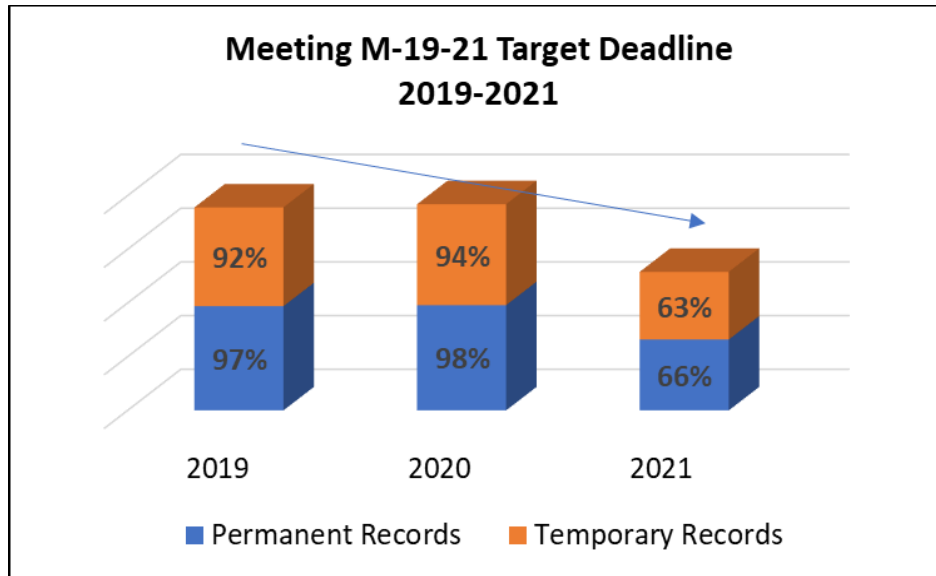


Figure 3: Information governance descriptive categories mentioned most often

### **M-19-21 Target Deadlines**

M-19-21 establishes target goals for both permanent and temporary records, as well as changes to where agencies store inactive paper records. The SAORM 2021 report contains five questions specifically related to M-19-21. Three of these address progress and plans for managing permanent records electronically with associated metadata, temporary records management in electronic formats, and enhancement to IT resources utilizing GSA’s ERM procurement solutions. The other two capture the need for exception requests and changes in storage facilities for existing paper as required in the memorandum.

There was a considerable drop in agencies’ confidence in meeting the M-19-21 goals to manage permanent records with associated metadata and temporary records in electronic formats by December 31, 2022. For 2021, those indicating they were going to meet the deadlines dropped to 63% for temporary records and 66% for permanent records from the 2020 results of 94% and 98%, respectively.



*Figure 4: Decline in answering 'Yes' to meeting the December 31, 2022 deadline for transitioning to electronic recordkeeping*

Although agencies indicated they were making progress, explanations for the change mentioned COVID-19, specifically as it limited access to paper records and delayed digitization efforts, along with resource limitations as impacting their ability to meet the deadline. Other challenges included:

- Culture of paper/change management
- Business and legal reasons require paper formats
- Dependency on paper processes
- Legacy systems and paper
- Large volumes of paper to digitize
- Complex or disparate systems and functions

Efforts to make the transition included:

- Using electronic recordkeeping or management systems, particularly Microsoft Office 365, and associated features within it
- Researching automated solutions
- Identifying and inventorying records and associated metadata
- Creating and/or implementing digitization strategies to transform legacy paper records to electronic formats
- Updating policies and procedures to require electronic formats
- Updating records retention schedules

*General Services Administration's Electronic Records Management procurement solutions.*

NARA does not require agencies to use GSA's procurement solutions; however, we are interested in its use or potential future use. There were 29% of agencies that said they had used it to procure their existing ERM solution. The majority of responses (76%) indicated that agencies had not used the GSA ERM procurement solutions, but did not rule out using it in the future. A very small percentage (8%) chose "Do not know" and explained either they did not know if they had used it in the past or if they would use it in the future. The point was made by several agencies that purchases had already been made prior to the creation of GSA ERM procurement solutions.

*Storage Facilities*

M-19-21 requires changes in the storage of paper records after December 31, 2022. Focusing on inactive records (those no longer needed for agency business but have not met their records retention under NARA-approved records schedules), M-19-21 requires agencies to close agency-operated storage facilities and transfer inactive temporary records to NARA's Federal Records Centers (FRCs) or commercially-operated records centers before the deadline. After the deadline inactive temporary records must be, to the fullest extent possible, transferred to commercial storage facilities.<sup>6</sup>

This requirement has been heavily impacted by the COVID-19 pandemic. Agencies have had limited access to their hard copy records in their offices, agency-owned storage facilities, and the FRCs. Remote access has facilitated the creation and use of records in electronic formats, but there are large volumes of older paper records that will require transfer to an FRC or to commercial storage. Agencies have had to defer plans to transfer records for storage to the FRCs, transfer eligible permanent records to the National Archives, and complete digitization of hard copy records before the deadline.

To understand how agencies are adapting to these requirements since the release of M-19-21, the SAORM report template requires agencies to identify current storage needs. This year the template adjusted the question from identification of agency storage needs to specifically asking if agencies have plans to store temporary records in commercial storage. Statistically 40% of agencies responded 'Yes', 58% responded 'No,' and the remaining 2% responded 'Do not know.'

The resulting explanations varied, including:

- No need for paper storage at all due to already creating and maintaining records in electronic format, and
- Potential need for storage due to delays in digitization efforts.

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<sup>6</sup> The phrase "to the fullest extent possible" is based on the language in 44 U.S.C. 2902(6), which directs the Archivist of the United States to give continuing attention to records from their initial creation to their final disposition, with particular emphasis on the prevention of unnecessary federal paperwork and the transfer of records from federal agencies to the National Archives of the United States in digital or electronic form.

There were also agencies who continued to indicate:

- On-going evaluation of commercial storage and its costs,
- Will transfer any paper records to FRCs prior to the deadline, and
- An exception has been or will be requested due to legal or other business needs for maintaining records in paper format.

A few also indicated that they only store records in the FRCs and intended to continue that practice. However, this response does not account for the fact that the FRCs would no longer accept new transfers of paper records after the deadline.

The corresponding RMSA data is more detailed. Agencies often store records in a combination of agency office space, agency operated records centers, the FRCs and commercial storage. When asked about one-fourth (26%) of agencies indicated that they currently store inactive records in a commercial storage facility. Very few agencies (15%) store inactive records in an agency-operated records center. Within this small groups of agencies, the majority 69% said they had no plans to move records from an agency-operated center to commercial storage. Within this same group of agencies with agency-operated records centers about half (49%) indicated they are making plans to move records to an FRC before the M-19-21 deadline.

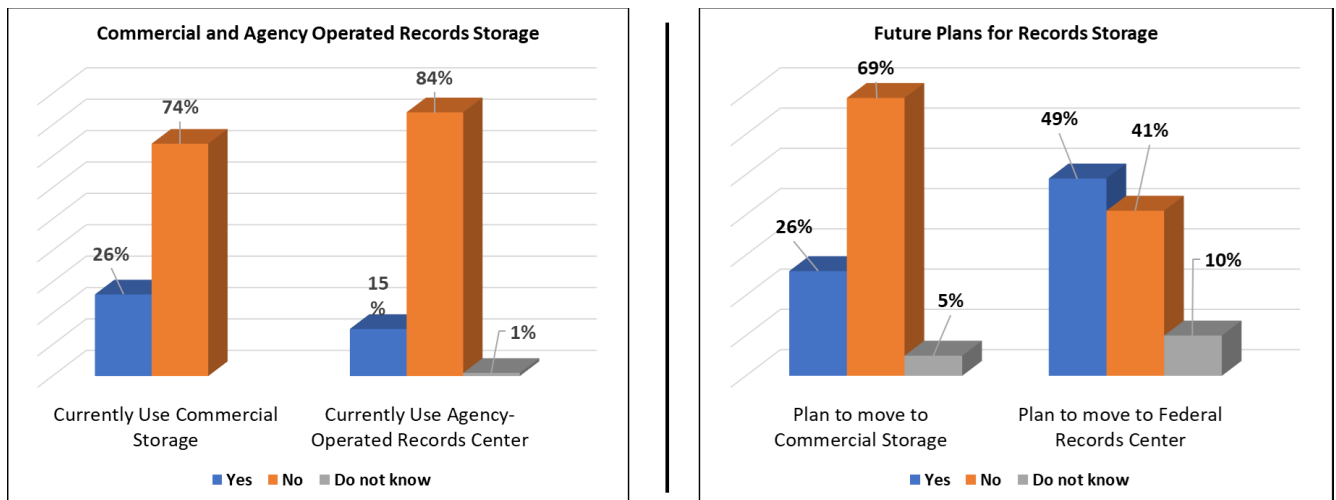


Figure 5: Commercial and Agency-Operated Records Storage Current Use and Future Plans

### Exceptions to M-19-21 Requirements<sup>7</sup>

As the deadline approaches, we were interested in knowing the extent of the need for exceptions. Agencies in their responses made a distinction between an exception and an extension when responding to the question, “Does your agency have plans to submit to NARA a request for an exception to the M-19-21 requirements before December 31, 2022?” An exception was indicated for records that must remain in paper, or an agency preferred to keep their agency-operated

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<sup>7</sup> For more information on exception requests see [NARA Bulletin 2020-01](#). For additional information regarding physical transfers in light of COVID-19 delays and challenges see [AC Memo 33.2022](#).

records center, while an extension was indicated by agencies who intend to make the transition but need more time.

While the number of agencies indicating an exception is low at 34%, a similar number (24%) responded ‘Do not know’ and indicated that they might need to request an exception (or at least an extension), but have not yet decided.

### **Challenges to transitioning to electronic recordkeeping**

NARA recognizes that there are challenges to meeting the goal of fully electronic recordkeeping. The majority of agencies (67%) indicated they still faced challenges. This is about the same as 2020 and down from 74% in 2019. The list of challenges continues to move away from a lack of technology, equipment, or software. Most of the explanations included a lack of resources (including funding, time, and staff); references to COVID-19 challenges already mentioned above; cultural issues around the dependency on paper for legal requirements or paper-driven processes; and some technological issues pertaining to the complexity of systems and applications.

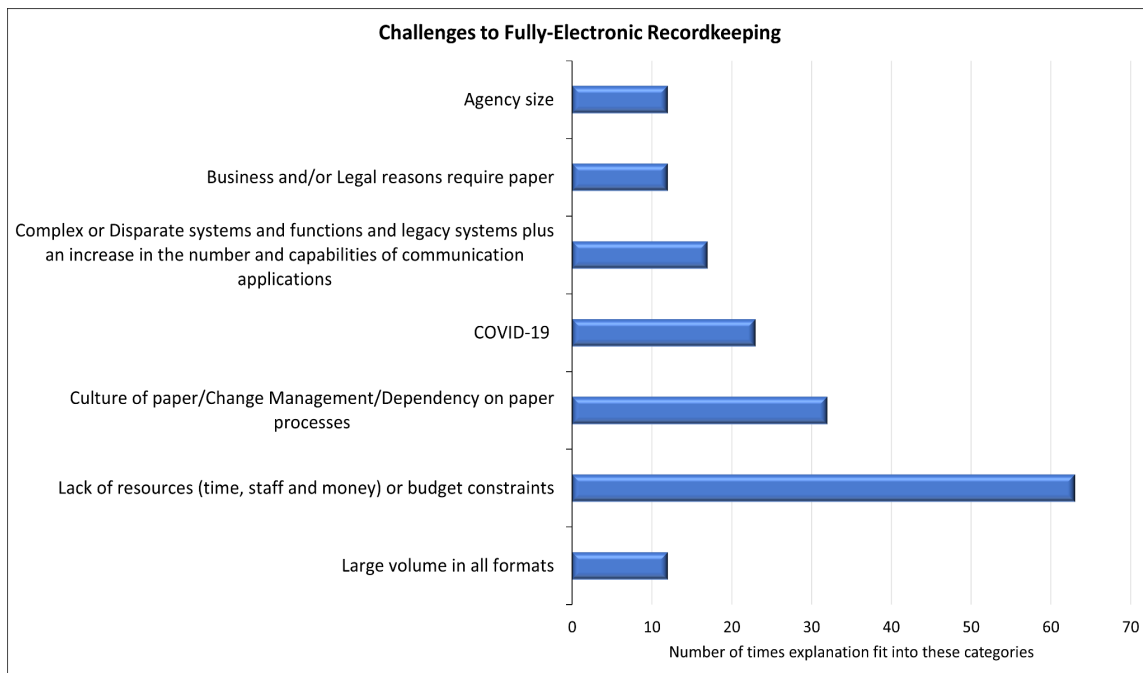


Figure 6: SAORM top challenges to fully-electronic recordkeeping

### **Suggestions to improve SAORM engagement**

Every year we ask agencies what support is needed from NARA to ensure a successful transition to electronic recordkeeping. This year we specifically inquired about ways NARA could improve its engagement with the SAORMs and how they interact with each other. The answers were split between general suggestions and specific topics to engage in.

### *General Suggestions*

- Advocacy for increases in budgets/staff and alignment of RM with related disciplines
- Create a more active community of interest with SAORMs
- Guidance for small agencies
- One-on-one meetings between NARA's Chief Records Officer and individual SAORMs
- Meetings hosted by NARA such as:
  - Brainstorming-type sessions with SAORMs and AROs
  - Facilitated meetings between SAORMs and AROs
  - Joint meetings with OMB or GSA
  - Periodic meetings between NARA's appraisal staff and agencies' RM staff
  - Panel discussions by participating SAORMs

### *Specific Topics for Engagement*

- Approaches for funding RM programs
- Best practices, case studies, and samples
- Budgeting
- Business or legal reasons for paper
- Cloud environments
- Data loss prevention
- Metadata and/or new platforms and technologies
- Records ownership
- Shared service agreements
- Social media

Some agencies also mentioned they are satisfied with their current levels of engagement, the relationship with NARA staff, the Agency Services Bi-monthly Records and Information Discussion Group (BRIDG) and other resources NARA makes available.

## **SUMMARY**

The transition to fully-electronic recordkeeping is an ongoing process where agencies have demonstrated progress. Agencies have successfully adapted their work environments for remote access due to the COVID-19 pandemic. However, the pandemic is also negatively impacting the ability of agencies to fully transition to electronic recordkeeping within the target deadlines of M-19-21. There are still large volumes of paper and legacy systems and decisions to be made regarding digitization strategies. Some agencies had expected to be able to transfer paper records to the FRCs or the National Archives by the deadline and are finding that they will need more time. Overall, senior-level support and engagement for improving records management programs, creating information governance structures, and encouraging the use of electronic records management or document management tools is in place or growing.



## RECORDS MANAGEMENT SELF-ASSESSMENT AND FEDERAL ELECTRONIC RECORDS AND EMAIL MANAGEMENT REPORTS

### OVERVIEW

NARA requires agencies to complete two reports that reflect the implementation of their records management programs:

- The Records Management Self-Assessment (RMSA) has since 2009 measured compliance with federal records management statutes and regulations (regardless of formats) using objective questions and then relating the point scores to a level of risk. Records management statutes and regulations provide a framework for the proper management of records and information enabling accountability, transparency, and access. Compliance with this framework ensures agencies can document decisions and activities for their business and mission functions.
- The Federal Electronic Records and Email Management Report (FEREM) supplements the RMSA data and focuses on records in electronic format. It is a risk-based maturity model based on the [Criteria for Successfully Managing Permanent Electronic Records; Universal Electronic Records Management \(ERM\) Requirements](#) and the [Criteria for Managing Email Records in Compliance with the Managing Government Records Directive \(M-12-18\)](#).<sup>8</sup> These provide guidelines for the successful management of electronic records and email records through agency policies, systems, access, and disposition. The report covers electronic records and email separately, and scores each independently.

While dependent on self-reported data, annual reporting provides NARA and agencies with a consistent evaluation tool. Using a low-, moderate-, and high-risk scale, the objective is to determine whether agencies are compliant with regulatory records management requirements and are operating within the defined success criteria for electronic records and email management. The results, if used appropriately, offer agencies a tool to target their resources and prioritize risk mitigation where it is most needed. It also provides a data-informed method to establish performance measures and goals. In turn, NARA uses the data to identify areas of success and common challenges to inform its policy, guidance, and oversight work.

A score in the low-risk category does not mean that an agency has a perfect records management program, nor does it mean that these agencies will not, from time to time, have challenges or failures to create, maintain, and provide access to records. The low-risk scores indicate only that an agency has made the best possible effort at this given time to mature their records management program in accordance with records management statutes and regulations, NARA policies and guidance, and other success criteria. Conversely a high-risk score does not always indicate a poor records management program. It can be indicative of a newly established

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<sup>8</sup> For more information regarding these publications see NARA's [Records Express Blog](#).

program that has not yet had time to meet every requirement, or one of a small or micro agency that is able to access and protect its records but does not fully meet all regulations.

## DATA ANALYSIS – RISK FACTORS

The risk factors are comparable between the RMSA and both parts of the FEREM with some differences. The low-, moderate-, and high-risk factors of each of the reports were:

2021 Annual Reporting	High Risk	Moderate Risk	Low Risk
RMSA	14%	40%	46%
Part I: Electronic Records	12%	27%	62%
Part II: Email	8%	17%	75%

*Figure 7: RMSA and FEREM risk factor comparisons*

The main differences between the two reports have to do with their approaches. The maturity model scenarios are levels of success rather than the less-nuanced 'Yes' or 'No' answer options in the RMSA. The maturity model provides a different perspective based on growth instead of the RMSA's strict compliance with regulations. While the RMSA allows for 'Under Development' and 'To Some Extent' responses, it is less flexible in its scoring and risk factor assignment. The use of the maturity model over time also illustrates the impact of more intensive focus on the transition to electronic recordkeeping, first by the OMB/NARA M-12-18 memorandum and then by M-19-21.

Comparisons show there has been little change in the RMSA risk factor levels since 2016. Individual agency scores improve or decline causing minor fluctuations between moderate- and low-risk levels. FEREM Part I: Electronic Records, in place since 2019, has seen a consistent steady rise in low risk with the relative slope down in moderate risk and some fluctuation in high risk. Email management, FEREM Part II, is the most improved, possibly due to the focus placed on email management dating back to 2012 and the M-12-18 requirements.

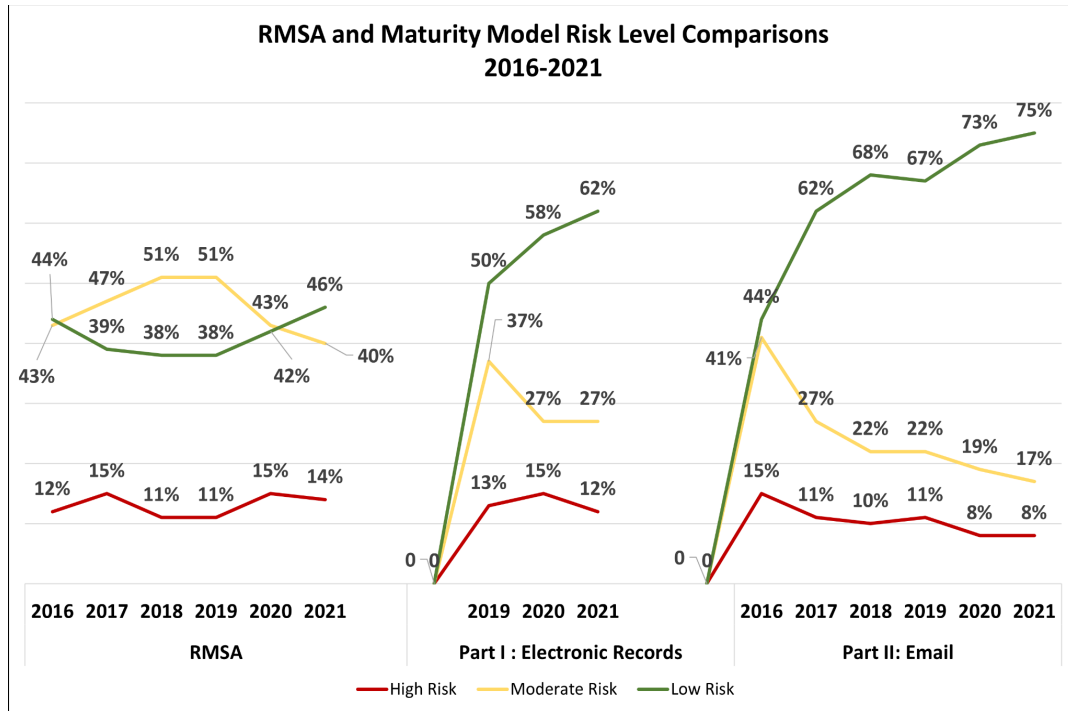


Figure 8: Annual reporting risk level comparisons 2016-2021

## DATA ANALYSIS – DOMAINS AND SECTIONS

### Management Support and Resourcing

Management support and advocacy for an agency’s records management program in the organizational structure is key to program success. Specific regulations for records management program administration cover what is required to manage and resource a records management program (36 CFR 1220.18, 1220.30, 1220.34, 1222.24, 1222.26(e) and 1230.10). In the maturity model, this domain measures the level of management support, including the recognition of records and information as valuable assets, the alignment of the records program to business/mission functions to support strategic goals and objectives, the development of performance management, and adequate resources to include funding. (Note: FEREM Part II: Email Management does not include this domain.)

The main topics explored under this area include:

- SAORM engagement
- Agency Records Officer (ARO) role, responsibilities, and knowledge
- Records management staff or network of liaisons
- RM controls, monitoring, and oversight of the program
- Training of agency staff and contractors

*What Success Looks Like:* Agency leadership recognizes records as strategic assets to the mission and decision making of the agency and provides the appropriate resources necessary to manage these assets effectively and efficiently.

The data indicates that agencies are building management and program support.

- SAORMs have been designated who meet regularly (four or more times a year) with the Department or Agency Records Officers (DROs or AROs) to discuss the agency records management program's goals (90%).
- However, only a small percentage (36%) of agencies said the designated SAORM is engaged in the electronic records management program and is taking positive steps to provide the budgetary resources for permanent electronic records management, and informs other agency senior managers of their records management responsibilities.
- The majority of Agency Records Officers (92-93%) have or will be obtaining NARA's Agency Records Officer Credential (AROC) or NARA-approved equivalent.<sup>9</sup>
- The majority of agencies (82%) support the records management program with a network of designated employees within each program and administrative area (usually as an additional duty or responsibility.) Another 13% chose 'Not applicable, agency has less than 100 employees.'
- Most agencies (76%) have established performance goals for the records management program.

#### *Monitoring Records Management Program Implementation*

In order to be effective as well as compliant, consistent monitoring of any program is essential. Monitoring the implementation of policies, directives, records schedules, and other aspects of a records management program is no exception and is one of the weaker areas of most records management programs. 2021 RMSA data indicate that monitoring the records management program is a mix of informal, general, and ad hoc monitoring through evaluations being conducted annually (35%), biennially (8%) or at least once every three years (19%). These evaluations are often followed by a formal report (51%), plans of corrective action (45%) and monitoring improvements (42%). However, validation of a random sample of these responses raises some doubt about these numbers. (See Appendix IV.)

Over the past three years slightly more than half of agencies said records management program staff conduct self-evaluations of their programs. Very few evaluations are conducted solely by an agency's Office of Inspector General (OIG), with slightly more being jointly conducted by the OIG and the records management staff.

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<sup>9</sup> [NARA Agency Records Officer Credential.](#)

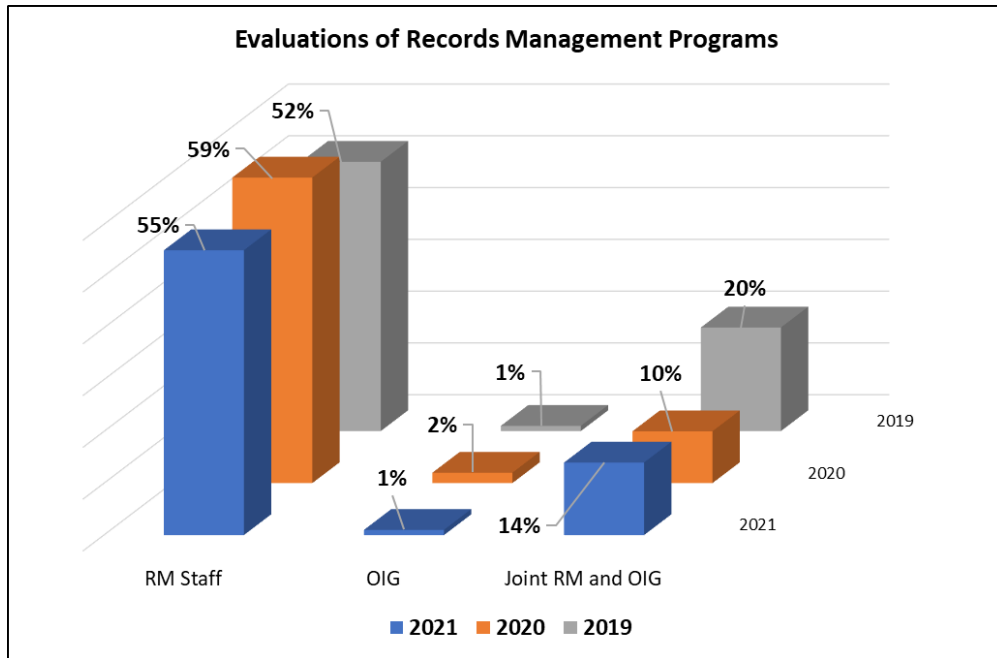


Figure 9: RM staff and OIG conduct RM Program evaluations, 2019-2021

The lack of conducting evaluations of records management program implementation has been an area of concern and cited as one of the top findings in NARA’s records management program inspection reports and in an assessment on the topic published in March 2021.<sup>10</sup>

## Policies

A successful records management program has a governance framework, articulated policy, and clear standards. For electronic records management, this is particularly important due to the fragility, security vulnerabilities, and other unique characteristics of electronic records. The statutes and regulations (36 CFR 1220.18, 1220.34, 1222.26, and 1236.22) describe what records management policies agencies must have. Other relevant guidance issued by NARA and OMB, such as [OMB Circular A-130](#), provides information about what policies are needed and/or required. This domain in the maturity model measures the establishment, dissemination through training and other means, implementation, and use of policies specific to electronic records management topics.

- Agency-wide policies and training must inform all personnel who create, receive, access, or use federal records of their records management responsibilities.
- Policies should be developed with all relevant stakeholders and must address the requirements of the Federal Records Act (FRA).
- Ensure policies are in place to effectively manage records from creation to transfer.
- Fully explain how the agency expects staff to manage permanent electronic records.

<sup>10</sup> NARA conducts inspections and topical assessments of federal agency records management programs as part of the Records Management Oversight and Reporting function under the Office of the Chief Records Officer for the U.S. Government. Reports and other information can be found on [NARA's web page for Federal Records Management](#).

- Have agency-wide training programs that fully educate all staff on their responsibilities for managing all electronic records in accordance with these policies.

*What Success Looks Like:* Policies establish the requirements for managing records in all formats, and procedures and training programs guide staff in fulfilling their responsibilities.

The RMSA measures compliance with the regulations to have records management policies, regardless of format. Since the FEREM focuses only on permanent electronic records and email, to make a fair comparison it is necessary to use only those RMSA questions related to electronic records and email. As illustrated by the chart below the majority of agencies (between 68% and 82%) have policies related to these types of records.

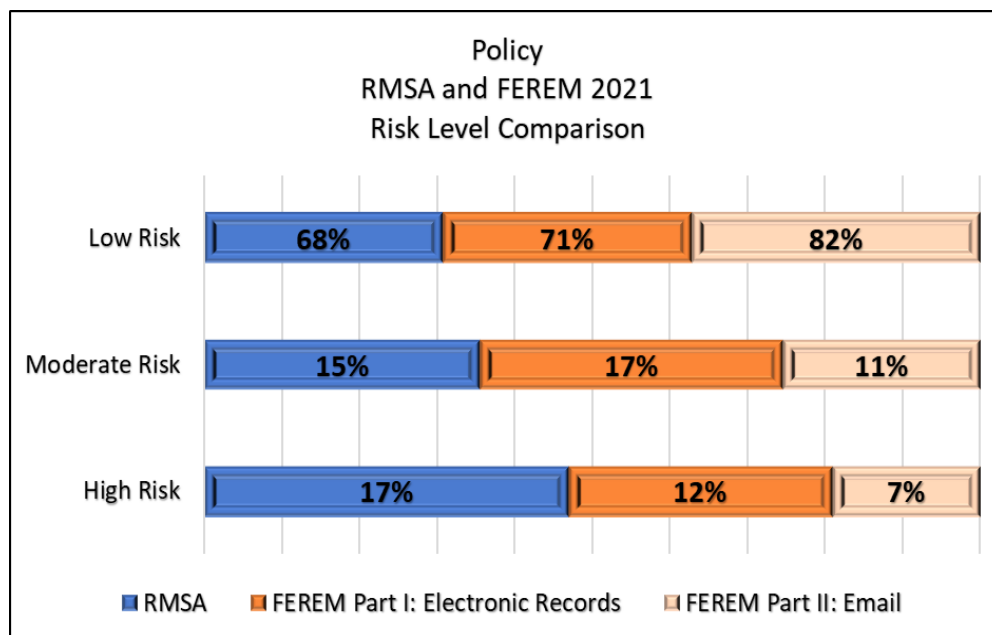


Figure 10: Policy risk level comparison

More specifically, the data indicates that:

- Most agencies (89%) have a records management directive; however, only 60% updated it in 2021.
- The majority of agencies (51%) score in low risk and the remaining split between moderate (29%) and high risk (20%) in the policy section. This changes the RMSA results with more agencies moving to low risk. It is plausible that M-19-21 has encouraged agencies to focus more in this area when developing policies.
- Policies covering electronic records with specific information about the management of permanent electronic records addressing all of the bullet points above have been approved and implemented (47%), are pending approval (23%), or are under development (24%).
- At least 75% of agencies have policies and procedures that instruct staff on managing permanent records in all formats, with another 18% developing them.

- Slightly more than half (51%) of agencies have 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. However, 36% of agencies are developing them.
- Procedures and training with specific information about the policies related to the full integration and inclusion of records management and the prevention of records loss and/or alienation have been approved, disseminated, and implemented (55%), or have these in various levels of development (19% drafted but not approved and 14% under development). Similar policies, procedures and training are in place for email (83%).

## Systems

This domain or section measures how well agencies have implemented systems that meet federal recordkeeping requirements.

Agencies must have control over permanent electronic records to ensure adequate capture, management, preservation, and transfer to the National Archives in acceptable electronic formats along with the appropriate metadata. Such control may be automated in dedicated records management systems or implemented manually in shared drives, data repositories, or other types of storage. Additionally, IT systems must support the implementation of records management regulations and local policies and provide access to permanent electronic records throughout their lifecycle, which can span decades.

*What Success Looks Like:* IT systems developers consider records management requirements throughout the systems development process. As a result, an agency's systems and business processes support the automated management of trustworthy permanent electronic records over time in accordance with all applicable requirements.

- Electronic information system means an information system that contains and provides access to computerized federal records and other information. (36 CFR 1236.2)
- Records management controls are needed to ensure that federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. Agencies must incorporate controls into the electronic information system or integrate them into a recordkeeping system that is external to the information system itself. (36 CFR 1236.10)

Types of controls include:

- Reliability: Controls to ensure a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.
- Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.
- Integrity: Controls, such as audit trails, to ensure records are complete and unaltered.

- **Usability:** Mechanisms to ensure records can be located, retrieved, presented, and interpreted.
- **Content:** Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.
- **Context:** Mechanisms to implement cross-references to related records that show the organizational, functional, and operational circumstances about the record, which will vary depending upon the business, legal, and regulatory requirements of the business activity.
- **Structure:** Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements.

This is a critical area particularly for permanent electronic records and for the ability of agencies to capture and eventually transfer these records to the National Archives. As illustrated by the chart below this is a weak area for electronic records management maturity compared to the RMSA and email maturity model.

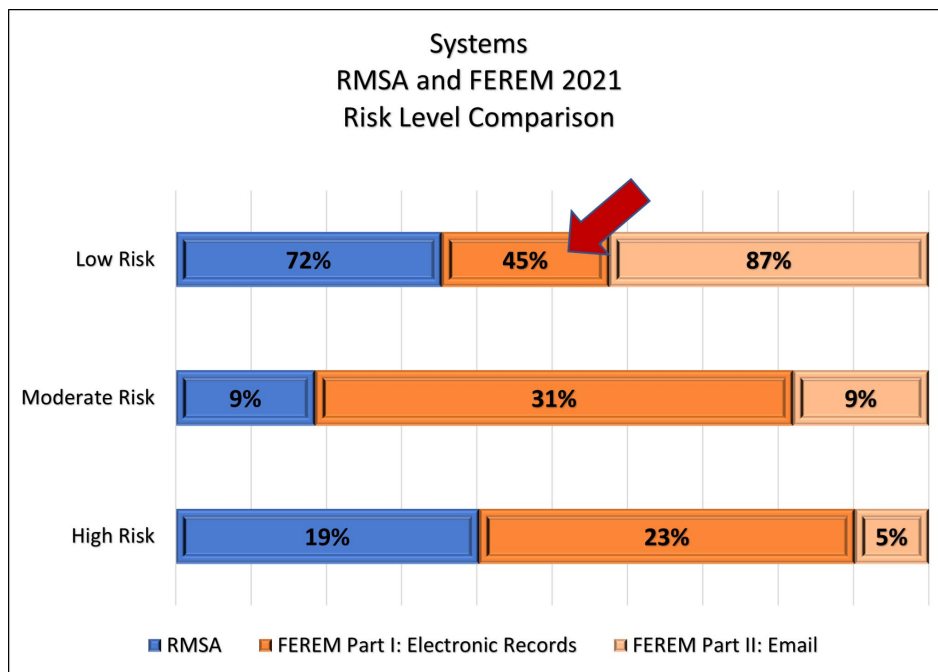


Figure 11: RMSA and FEREM 2021 comparisons for systems

With only 45% of agencies having systems that meet the necessary requirements of the criteria for successfully managing electronic records, this is an area where NARA would like to see greater improvement. This rating corresponds with the progress and challenges noted in the SAORM reports. Email systems are the strongest at 87% of agencies scoring in the low risk.

*Capture, Preservation, and Identification*

According to RMSA data, slightly more than half (52%) of agencies incorporate or integrate internal controls for reliability, authenticity, integrity, and usability of electronic records, with an additional 34% having these to some extent. Conversely, FEREM data shows that less than half of agencies (48%) have electronic systems that meet NARA’s requirements to create, capture,



manage and preserve electronic records with approved retention schedules that have tested or successfully transferred permanent records in electronic format to the National Archives.

RMSA data indicates that 75% of agencies have an inventory of electronic information systems. The FEREM breaks this down further. Only 28% of agencies reported having a complete inventory of systems used for managing electronic records that includes the ability to implement dispositions, with an additional 39% that have inventories with limited abilities for disposition. Another 16% of agencies have an inventory that identifies which systems contain records but does not include location or retention instructions, with another 10% having just an inventory of electronic information systems without identifying which contain records. The remaining 8% indicated that there was not an inventory of electronic information systems at all.

#### *Systems Owners' Awareness*

FEREM data also indicates that 60% of agencies describe system owners' awareness of their responsibilities for permanent electronic records as fully aware and have implemented systems to comply with the requirements for managing permanent records either through automated or manual methods. This is a 10% increase from 2020 responses. This could indicate the efforts to increase systems owners' awareness and the integration of RM with IT into information governance frameworks discussed in the SAORM reports are working.

#### *Email Systems*

FEREM Part II data reveals that email systems are more compliant with 68% of agencies indicating that email systems:

- Manage and preserve email in electronic format
- Have limited end user input to apply proper retention and disposition policies
- Permanent email is identified and managed
- Email systems maintain the content, context, and structure of the records; and email records are associated with their creator

This four-percentage point increase from 2020 indicates the continued emphasis agencies have placed on email systems.

The RMSA has also been tracking for many years the methods agencies used to capture and manage email records. The overall decline of "Print and File" and the rise of managing email within systems and the cloud is evident since the first appearance of this question in 2013 when 184 agencies indicated the use of "Print and File" to 2021 when 25 agencies did so. In 2019, we added the use of cloud services as an answer option with 95 agencies choosing it in 2019 and a major uptick in 2020 with 176 agencies choosing it. In 2021, there was another slightly smaller but still considerable increase with 190 agencies choosing it.

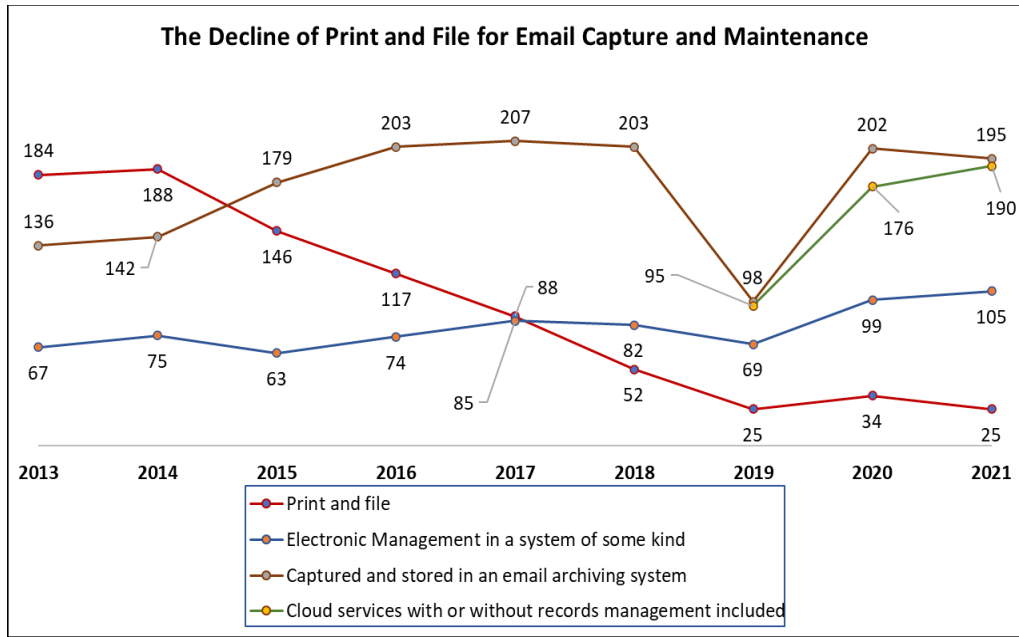


Figure 12: Changes in Email Management from paper to electronic formats

For additional questions related specifically to email see Appendix III.

#### Future Data Creation and Maintenance Methods

New methods used to create and maintain data that are being explored and/or employed within agencies have an impact on records management. From a prepared list where they could pick as many of the options agencies indicated they are exploring the following:

- Auto-classification (44%)
- Geographic Information Systems (32%)
- Open-source Artificial Intelligence (21%)
- Reinforced Machine Learning (16%)
- Robotic Process Automation (26%)
- Sensors that collect and transmit data (18%)
- Smart devices (35%)
- Software Robot or Bot (21%)
- Standard Artificial Intelligence (31%)
- Supervised Machine Learning (33%)
- Unsupervised Machine Learning (20%)

NARA will continue to monitor agency initiatives in these areas and will assess the need for guidance, training, and oversight. (For more information see also [Cognitive Technologies White Paper](#).)

## Access

*Description:* Records support an agency's ability to carry out its business functions. Access to records means they remain usable, retrievable, and protected throughout their lifecycle. This section covers the access and usability of records to conduct agency business with processes that ensure records are searchable, retrievable, and usable for as long as they are maintained in agency custody.

*What Success Looks Like:* Records are protected against unauthorized access, use, alteration, corruption, or deletion. Permanent records are searchable, retrievable, and usable for as long as they are maintained in agency custody and temporary records for as long as their approved retention period.

There are several regulations pertaining to access and preservation of records including:

- Identification and preservation of records for disaster response and recovery (36 CFR 1223).
- Records and information are easily retrievable and accessible when needed for agency business (36 CFR 1220.32).
- Records management functionality is incorporated into the design, development, and implementation of its electronic information systems ensuring accessibility (36 CFR 1236.12).
- Documented and approved procedures are in place 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)).
- The Freedom of Information Act (5 U.S.C. 552) also requires that records be accessible in order to make them available if not covered by the exceptions under the Act itself.

As illustrated in the chart below, the risk levels in this area are that at least half of agencies are compliant with the regulations and a little better than half (61%) are in low risk for access to electronic records, and a strong majority (86%) are able to access email records.

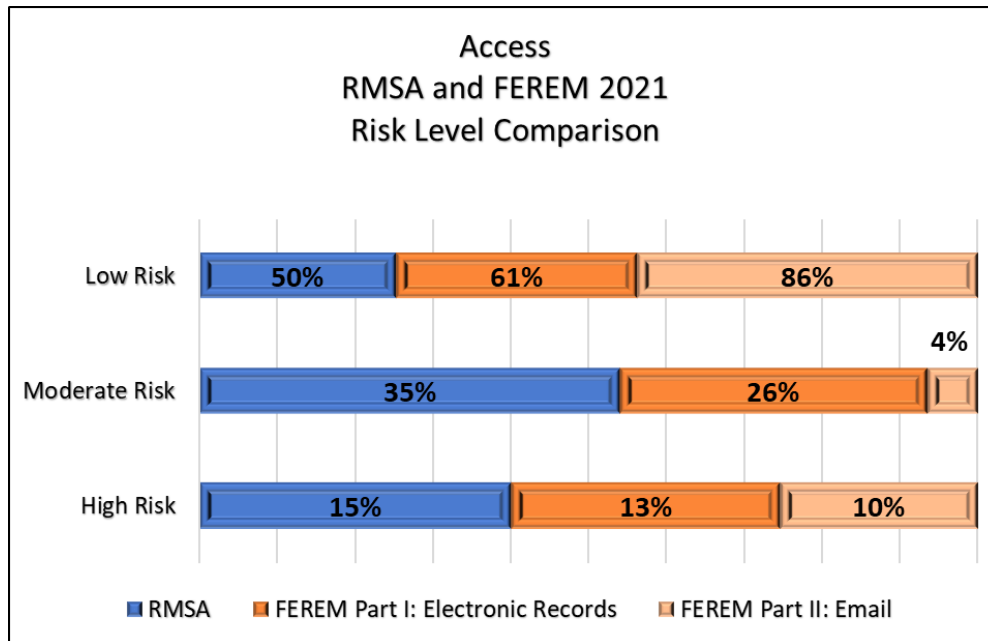


Figure 13: Access risk level comparisons

### COVID-19 Impact on Access to Records

The RMSA once again asked agencies to assess the impact of COVID-19 on their access to records and information. The impacts listed most often are the same as the ones listed in the SAORM report, but with a heavier emphasis on limited Federal Records Center services and access to agency storage and office spaces when information was only available in paper formats. Over half of agencies (56%) said that the pandemic disrupted their ability to access records overall and 78% included delays in responding to Freedom of Information Act (FOIA) requests when records were in paper-only format. Other delays were due to agency staff not being available to conduct FOIA searches. On the positive side, staff worked directly with requesters to help facilitate responses.

### Records Management and FOIA

There is an essential partnership between records management and FOIA. Just as records must be accessible for decision making and accountability, it is also essential that records that are subject to disclosure under FOIA are accessible. The Office of the Chief Records Officer has been partnering for several years with the Office of Government Information Services (OGIS) at NARA to gather information to assist in understanding how both RM and FOIA programs work together and are impacted by events such as COVID-19.

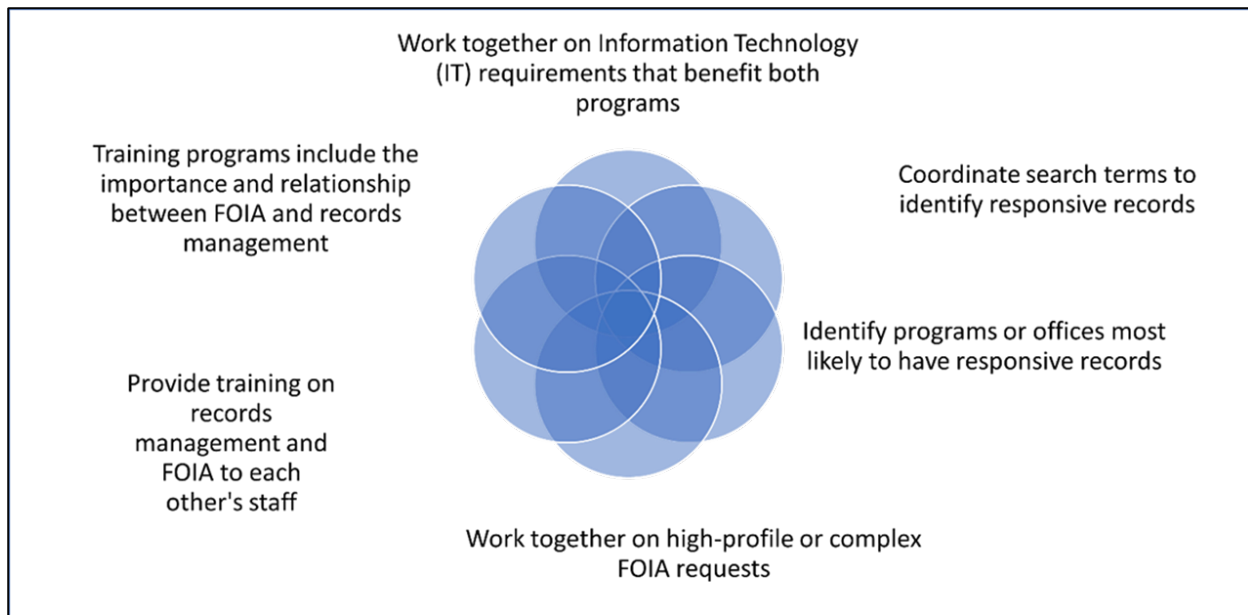


Figure 14: How Agency Records Officers and Chief FOIA Officers work together

### *Retrievable and Accessible Regardless of Format*

The majority of agencies report compliance with regulations such as:

- Records are identified through inventories and included in Continuity of Operations Plans for disaster response and recovery (89%).
- Most records are easily retrieved and accessed when needed (56%) and another 42% indicating all records are regardless of format.
- 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 (78%).
- Procedures that enable migration are in place (53%) or are under development (28%), with another 2% pending final approval. The remaining agencies indicated 'No' (14%) or 'Do not know' (2%).

### *Retrievable and Accessible Specific to Electronic Records and Email*

The data covers the ability to search, retrieve and use active electronic records for business needs, as well as inactive ones, until their NARA-approved retention period expires for temporary records, or until the transfer of permanent records to the National Archives. This also includes preservation, protection, and migration.

Between 31% and 52% of agencies indicated that most electronic records, including permanent electronic records, are:

- Searchable, retrievable, and usable throughout their lifecycle;
- Identified and categorized or classified to enable access and maintenance;
- Protected against unauthorized access, use, alteration, alienation, deletion, or concealment; and
- Migrated when necessary, including the movement of permanent electronic records into new systems along with other measures related to long-term preservation in accordance with the recordkeeping requirements.

Similarly for email management at least 46% of agencies reported that:

- Email is retrievable during the normal course of business;
- The email system has procedures for providing reference and responses for email requests;
- Security and privacy protocols are included in the system;
- Processes for the identification and classification of email records are standardized across the agency making access and retrieval reliable;
- Records are usually accessed and retrieved in a timely manner;
- Email review, preservation, and disposition is embedded into the processes for departing employees;
- Records management controls are built into the email system to prevent unauthorized access, modification, or destruction; and
- Processes for the identification and classification of email records are documented and integrated with agency business and mission at the strategic level.

## **Disposition of Records**

*Description:* This area is critical for successfully managing records. Agencies must follow the mandatory instructions contained in either [agency-specific records schedules](#) or the appropriate [General Records Schedule](#) (GRS) to transfer permanent electronic records to NARA's legal custody. This section covers both creation and implementation of records schedules.

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

There are basic fundamentals of a records disposition program outlined in federal regulations. These include lifecycle management activities such as creation/capture, classification, maintenance, retention, and disposition so that records are properly identified, classified using a taxonomy, inventoried, and scheduled (36 CFR 1222.34, 36 CFR 1224.10, and 36 CFR 1225.12). Without these activities, agencies are at risk of not having current and accurate information when needed, maintaining records too long, unauthorized destruction of records, and incurring increased costs of hard copy and electronic storage.

*What Success Looks Like:* Agencies are operating with accurate and updated NARA-approved records schedules. Temporary records are destroyed/deleted in accordance with NARA-approved records schedules. Agencies are successfully completing transfers of permanent electronic records to the National Archives in acceptable formats with the appropriate metadata.

Similar to Access, the Disposition risk levels show over half of agencies (60%) are in low risk, with disposition of email the strongest at 83%.

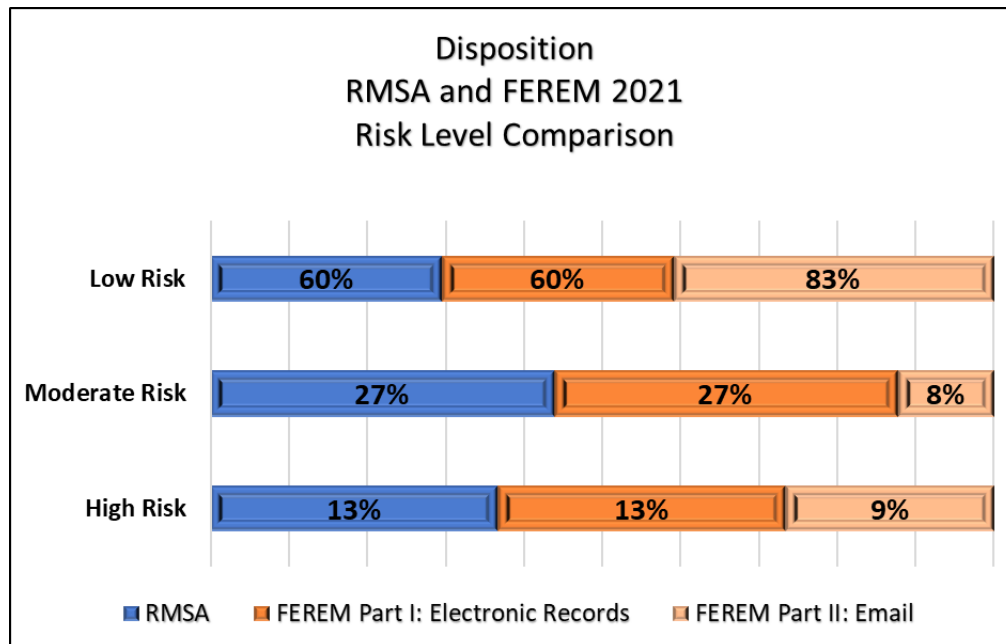


Figure 15: Disposition risk comparisons

## Records Scheduling

Agencies are required to submit records schedules to NARA for approval (36 CFR 1225.10) for all records regardless of format that are not covered by the GRS. Other NARA policy and guidance suggests agencies periodically review agency-specific (non-GRS) schedules to ensure they meet business needs, and to identify gaps that may indicate unscheduled records and then submit revisions. M-19-21, Section 1.1, also directs agencies to ensure NARA-approved records schedules are updated as business practices transition to electronic workflows. For more information see NARA’s website for the [Guide to the Inventory, Scheduling, and Disposition of Federal Records](#).

### Records Scheduling Processes

The data shows there is room for improvement in this area.

- Almost all agencies (94%) indicated they do periodically review agency-specific schedules to ensure they still meet business needs, to identify gaps that may indicate unscheduled records, or to make needed revisions. However, only slightly more than half (54%) submitted a records schedule to NARA for approval in FY 2021.

- Less than half of agencies (45%) have at least informal processes to identify, classify and schedule electronic records that include input from appropriate offices. Even less, only 34% of agencies, have formal processes to do so that include input from program, legal and IT offices and that also include reviewing and updating existing schedules as well as scheduling new systems.
- On September 29, 2020, NARA issued a memorandum to Agency Records Officers requesting a review of agency-specific records schedules approved prior to January 1, 1990. In 2020, 57% of agencies stated that they were using these older schedules. The number decreased only slightly in 2021 to 56%. However, 73% of agencies responded that the review to determine if these schedules needed updating and/or rescheduling was in progress, with 10% indicating the review was completed and another 14% were planning to do so. The remaining agencies either had no plans or chose the ‘Do not know’ answer option.

### *Records Schedule Inclusion in Electronic Systems*

To be successful in creating and implementing records schedules for electronic records it is imperative that records management staff be aware of and involved in the information systems development and management for those systems that create and maintain records. It is within these processes that electronic records can be appropriately identified and recordkeeping applied from the start, instead of after the fact, thus ensuring formalized electronic records management across the agency.

According to the data, this is a major weak point for electronic records management in general, with email management in a stronger position.

- Only 34% of agencies include records management staff participation in the Systems Development Life Cycle (i.e., when new systems are being considered, designed, and implemented) or in the Capital Planning and Investment Control process.
- Another 32% of agencies indicated that records management staff are kept informed of new systems or the retiring of older systems. This is helpful but not sufficient for fully incorporating electronic records management.
- Although agencies have been concentrating on scheduling email records, less than half (48%) have NARA-approved retention schedules built into email management systems, have permanent records identified and captured, and have successfully transferred email records to the National Archives.



## Transfers of Permanent Records

The ability to transfer permanent records to the National Archives is another area heavily impacted by COVID-19. However, NARA has been able to approve transfer requests while the actual physical transfer will take place slowly as both agencies and NARA are able to do so.

### *Transfer Requests*

The number of agencies indicating that they had transferred non-electronic records in FY 2021 was very low (25%) with another 25% indicating transfers were impacted by the pandemic. This still left 31% of agencies that did not do anything, with the remaining indicating they did not have records eligible for transfer or chose the ‘Do not know’ answer option.

The number of agencies indicating that they had transferred electronic records in FY 2021 was even lower at 20%, with 10% indicating that transfers were impacted by the pandemic. The majority of agencies (42%) did not transfer electronic records in FY 2021. Another 22% indicated that they did not have records eligible for transfer, and the remaining small percentage (5%) either chose ‘Do not know’ or had other reasons for not transferring these records.

### *Transfer Guidance for Electronic Records and Email*

NARA creates and maintains guidance specifically for the transfer of permanent records to the National Archives based on formats. NARA Bulletin 2015-04: *Metadata Guidance for the Transfer of Permanent Records* defines the minimum set of metadata elements that must accompany transfers of permanent electronic records. Additionally, per 36 CFR 1235.48, federal agencies are required to transfer documentation adequate for NARA to identify, service, and interpret permanent electronic records for as long as they are needed. (For more information see NARA’s web page: [NARA Transfer Guidance](#).)

The ability to transfer electronic records and email is another major weak area. The data indicates:

- Less than one quarter (24%) of agencies said their permanent electronic records meet the transfer guidance, contain the appropriate metadata, and have tested and/or successfully transferred these records to the National Archives. This was up two points from 2020.
- At least 55% were able to do some of these activities.
- Disposition of email, while stronger, is also a weak area with less than half of agencies (43%) having successfully transferred permanent email records to the National Archives.
- Thirty-six percent (36%) of agencies have identified permanent email records and maintain them until eligible for transfer to the National Archives.

## **SUMMARY**

Since 2010, the RMSA has been a reliable source of data to generally determine what agencies have in place to comply with records management statutes and regulations. The use of the FEREM maturity model approach has allowed for a broader, more descriptive, and consistent set of criteria to measure the quality and effectiveness of practices for managing electronic records (and more specifically permanent electronic records) and email. These also give agencies a way to measure their growth in specific areas and to determine if they are comfortable at a given level of risk.

Departments and agencies indicate that they do use the data to target resources and make improvements. New agencies or those establishing a records management program mention they use the data to better understand what is needed. Others use the questionnaires as a basis for developing their own evaluations and assessments of records management implementation across their agencies.

The combination of the two reports provides NARA with different ways to understand the status of records management across the Federal Government and adjust policies and guidance in order to impact the goals to successfully manage records, transition to fully electronic recordkeeping and provide accountability to the public.

## CONCLUSIONS AND RECOMMENDATIONS

NARA uses the information from all three annual reports to identify threats and risks, particularly to federal electronic records, and to develop various ways to mitigate such risks where possible by updating or creating new policy and guidance, conducting inspections and assessments, and providing records management training. NARA also routinely communicates through briefings, webinars, and other outreach activities with SAORMs, Records Officers, and the Inspectors General community.

Annual reporting data has been used as background information prior to the inspections and assessments we conduct. Our inspection and assessment reports are available on [our website](#), along with other federal records management information and resources.

## RECOMMENDATIONS

Proper records management is increasingly necessary for accountability and to allow agencies to create and retrieve information required to accomplish mission goals. NARA continues to increase its capacity to conduct oversight of federal records management and is committed to working with federal agencies to improve their programs.

NARA makes the following recommendations for Senior Agency Officials for Records Management (SAORM):

- SAORMs must advocate for and support their records management programs through strategic plans, performance goals, objectives, and measures to implement the goals set out in M-19-21.
- SAORMs must provide leadership for records management programs and ensure these programs are properly resourced and aligned with the agency's strategic information resource management plans.
- SAORMs should meet regularly with their Agency Records Officer to establish performance goals for the records management program and to assess progress against the goals by reviewing performance measures.
- SAORMs should promote an information governance framework that requires collaborative relationships between records management staff, data management programs, and information technology staff to integrate records management into the agency's information resource management strategy.<sup>11</sup>
- SAORMs should ensure communication and collaboration between the Agency Records Officer and program managers, information technology staff, Inspectors General, General Counsel, and the FOIA Officer to ensure records management policies, procedures and instructions are understood and receive the support for agency-wide implementation.

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<sup>11</sup> Information Governance is the overarching and coordinating strategy and tactics for all organizational information. It establishes the authorities, supports, processes, capabilities, structures, and infrastructure to enable information to be a useful asset and reduces liability to an organization, based on that organization's specific business requirements.

NARA makes the following recommendations for Agency Records Officers and others responsible for agency records management programs:

- Agencies must have policies for managing records in all formats and in compliance with federal records management statutes and regulations as covered by 36 CFR Chapter XII Subchapter B.
- Agencies must have agency-wide training programs that fully educate all staff on their responsibilities for managing records in accordance with records management statutes and regulations and agency policies.
- Agencies must ensure *new and departing* senior agency officials receive briefings on their records management responsibilities and, if applicable, require them to obtain approval before removing personal files or copies of records.
- Agencies must incorporate records management and archival functions into the design, development, and implementation of information systems in accordance with revised OMB Circular A-130, *Managing Information as a Strategic Resource*, and other guidance.
- Agencies must ensure that records are protected against unauthorized access, use, alteration, corruption, or deletion, as well as ensure that records are searchable, retrievable and usable for as long as their approved retention period.
- Agencies must identify and schedule all records, and review and update records schedules to ensure they cover current business practices and the transition to electronic information creation and maintenance.
- Agencies must have control over permanent electronic records to ensure adequate capture, management, preservation, and transfer to the National Archives in acceptable electronic formats along with the appropriate metadata.
- Agency Records Officers should communicate and collaborate with the many stakeholders involved in transferring permanent electronic records to NARA including program managers, information technology staff, Inspectors General, General Counsel, and the FOIA Officer to ensure that retention schedules and implementation instructions are clear, implementable, and followed.
- Agencies must develop procedures to regularly review their internal controls for implementing records management program policies and recordkeeping requirements, the same as for any other program. (36 CFR 1226.10, OMB A-123 and A-130)
- Agencies must conduct evaluations to measure the effectiveness of records management programs and practices, and to ensure they comply with NARA regulations. (36 CFR 1234.30(j))

## **NARA’S SUPPORT**

Based on our analysis of the data, the following is a list of NARA commitments to facilitate improvements in records management across the Federal Government.

- Advance the role of the SAORM through regular communication, including meetings between NARA and the SAORM, individually and as a group.
- Provide policy and guidance for electronic records management, information stewardship, and governance.
- Provide reasonable and independent assurance that agencies are complying with relevant laws, regulations, and other guidance including NARA and OMB memoranda.
- Provide Agency Records Officers with the tools they need to design, develop and implement records management training in their agencies.
- Identify and share best practices that promote coordination and cooperation between Department and Agency Records Officers as a way to improve their records management programs.

## Appendix I: Scoring and Risk Factors

**Senior Agency Official for Records Management Annual Report:** The SAORM report is not scored.

**Records Management Self-Assessment (RMSA):** Contains both scored and non-scored questions. The RMSA has five sections. The sixth section collects demographic data related to agency size and other factors.

There are 100 possible points distributed across the sections as follows:

Maximum Point Values (per section):

- Section One: Management Support and Resourcing (39 points)
- Section Two: Policies (23 points)
- Section Three: Systems (9 points)
- Section Four: Access (18 points)
- Section Five: Disposition (11 points)
- Section Six: Demographics (not scored)

An agency's overall score determines its risk category. The risk categories are:

- Low Risk = scores 90 - 100
- Moderate Risk = scores 60 - 89
- High Risk = scores 0 - 59

**Federal Electronic Records and Email Management Maturity Model Report:** A maturity model score is an average created from the total number of points divided by the number of questions.

### Part I: Federal Electronic Records Management

This part of the Maturity Model has 19 questions, each with a total possible score of four. Maximum points = 76. Maturity level between 0 and 4 (total points divided by 19).

- Domain 1: Management Support and Resourcing (5 questions - maximum points 20)
- Domain 2: Policies (3 questions - maximum points 12)
- Domain 3: Systems (4 questions - maximum points 16)
- Domain 4: Access to Electronic Records (4 questions - maximum points 16)
- Domain 5: Disposition of Electronic Records (3 questions - maximum points 12)

## **Part II: Federal Email Management**

This part of the Maturity Model has five questions, each with a total possible score of four. Maximum points = 20. Maturity level between 0 and 4 (total points divided by 5).

- Domain 1: Email Policies (1 question - maximum points 4)
- Domain 2: Email Systems (2 questions - maximum points 8)
- Domain 3: Access to Email (1 question - maximum points 4)
- Domain 4: Email Disposition (1 question - maximum points 4)

Based on the Maturity Model score, NARA determined a level of risk for not managing electronic records and email effectively.

- High Risk = score of 0 to 1.9
- Moderate Risk = score of 2 to 2.9
- Low Risk = score of 3 to 4

**Appendix II: Individual Agency Scores**

	<b>RMSA Score</b>	<b>Part I Electronic Records Maturity Model Score</b>	<b>Part II Email Maturity Model Score</b>
Administrative Conference of the United States	81	3.58	3.2
Administrative Office of the United States Courts	Non-Responding		
Advisory Council on Historic Preservation	89	3.26	2.6
AmeriCorps (Corporation for National and Community Service)	79	1.74	3.6
Armed Forces Retirement Home	Non-Responding		
Barry Goldwater Scholarship and Excellence in Education Foundation	86	3.47	3.2
Board of Governors of the Federal Reserve System	97	3.95	3.8
Central Intelligence Agency	92	3.32	3.8
Chemical Safety and Hazard Investigation Board	Non-Responding		
Commodity Futures Trading Commission	84	2.68	3
Congressional Budget Office	77	2.84	3.6
Consumer Financial Protection Bureau	96	4	4
Consumer Product Safety Commission	85	3.32	3.2
Council of the Inspectors General on Integrity and Efficiency	39	2.32	0
Court Services and Offender Supervision Agency/ Pretrial Services Agency for the District of Columbia	82	3.42	3.4
Court Services and Offender Supervision Agency for the District of Columbia	87	3	3.4
Defense Nuclear Facilities Safety Board	90	3.89	4
Denali Commission	55	1.47	0.4
<b>Department of Agriculture</b>			
Agricultural Marketing Service	53	1.26	3.2
Agricultural Research Service	48	1.21	3.2
Animal and Plant Health Inspection Service	52	1.42	3.2
Department Level/Headquarters	53	1.26	3.2
Departmental Staff Offices	53	1.26	3.2
Economic Research Service	48	1.21	3.2



	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Farm Service Agency	54	1.26	3.2
Food and Nutrition Service	Received late - not scored		
Food Safety and Inspection Service	64	1.68	3.2
Foreign Agricultural Service	33	1.11	3.2
Forest Service	69	1.47	3.2
National Agricultural Statistics Service	54	1.26	2.6
National Institute of Food and Agriculture	54	1.21	2.8
Natural Resources Conservation Service	46	1.26	3.2
Risk Management Agency	52	1.53	3.2
Rural Development	56	1.26	3.2
<b>Department of Commerce</b>			
Bureau of Economic Analysis	81	3.26	3.6
Bureau of Industry and Security	43	2.47	2.6
Bureau of the Census	65	1.58	3
Department Level/Headquarters	74	2.42	2
Economic Development Administration	86	2.32	2
International Trade Administration	64	1.74	2
Minority Business Development Agency	54	2.16	1.6
National Institute of Standards and Technology	93	3.21	2.4
National Oceanic and Atmospheric Administration	94	3.16	2.8
National Technical Information Service	68	3	3.6
National Telecommunications and Information Administration	51	1.47	1.4
Office of Inspector General	92	3.63	3
Office of the Secretary	11	1	0
United States Patent and Trademark Office	95	3	2.4
<b>Department of Defense</b>			
Army and Air Force Exchange Service	90	3	3.2
Defense Commissary Agency	84	3.26	3.4
Defense Contract Audit Agency	99	3.74	2.6
Defense Contract Management Agency	75	3.05	2
Defense Counterintelligence and Security Agency	61	2.42	1.4

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Defense Finance and Accounting Service	98	3.74	3.4
Defense Information Systems Agency	64	3	3.6
Defense Intelligence Agency	79	3.21	3.6
Defense Logistics Agency	94	3.11	3.2
Defense Technical Information Center	85	2.79	2.6
Defense Threat Reduction Agency	91	3.26	2.8
Department of the Air Force	95	3.47	2.4
Department of the Army	71	2.68	3.2
Department of the Navy	99	3.89	4
Joint Chiefs of Staff	89	3.32	3.6
Missile Defense Agency	100	4	4
National Defense University	44	1.84	0.6
National Geospatial-Intelligence Agency	75	3.11	3
National Guard Bureau	52	1.95	0.6
National Reconnaissance Office	96	3.74	4
National Security Agency/Central Security Service	99	3.68	3.2
Office of the Inspector General	94	2.89	4
Office of the Secretary of Defense	95	3.47	3.2
United States Africa Command	81	2.16	2.4
United States Central Command	93	3.63	3.4
United States Cyber Command	61	1.89	1.4
United States European Command	43	2.16	1.8
United States Indo-Pacific Command	51	2.47	2
United States Marine Corps	86	2.79	1.8
United States Northern Command	95	3.74	3.6
United States Southern Command	56	2.58	2.6
United States Space Command	64	2.11	2.8
United States Special Operations Command	86	3.21	3.4
United States Strategic Command	93	3.32	2.4
United States Transportation Command	67	2.89	2.8
<b>Department of Education</b>	93	3.63	3.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
<b>Department of Energy</b>			
Bonneville Power Administration	76	2.63	3.8
Department Level/Headquarters	92	3.37	3
Energy Information Administration	88	3.26	4
National Nuclear Security Administration	92	2.79	3.6
Southeastern Power Administration	96	3.32	3.4
Southwestern Power Administration	78	3.26	2.2
Western Area Power Administration	88	3.21	3
<b>Department of Health and Human Services</b>			
Administration for Children and Families	75	3.11	4
Administration for Community Living	94	2.84	2.8
Agency for Healthcare Research and Quality	93	3.11	3.8
Centers for Disease Control and Prevention	92	3.74	3.8
Centers for Medicare & Medicaid Services	94	3.47	3.8
Department Level/Headquarters	93	3.11	3.6
Food and Drug Administration	96	3.11	3.8
Health Resources and Services Administration	79	3.05	3.2
Indian Health Service	68	2.68	3.2
National Institutes of Health	97	3.21	4
Office of the Secretary	93	3.11	3.6
Substance Abuse and Mental Health Services	92	3.32	3.6
<b>Department of Homeland Security</b>			
Cybersecurity and Infrastructure Security Agency	68	2	2.4
Department Level/Headquarters	98	2.95	3.6
Federal Emergency Management Agency	77	2.68	2.8
Federal Law Enforcement Training Centers	97	3.42	4
Transportation Security Administration	82	3	3.4
U.S. Customs and Border Protection	92	2.26	3
U.S. Immigration and Customs Enforcement	71	2.63	3.8
United States Citizenship and Immigration Services	82	2.21	2.6
United States Coast Guard	85	2.68	2.6
United States Secret Service	100	3.32	3.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
<b>Department of Housing and Urban Development</b>			
Department Level/Headquarters	94	3.42	3.6
Office of the Inspector General	69	3.11	3.4
<b>Department of Justice</b>			
Bureau of Alcohol, Tobacco, Firearms and Explosives	92	3.79	3.8
Bureau of Prisons	89	3.11	2.6
Department Level/Headquarters	99	3.79	3.6
Drug Enforcement Administration	89	3.21	2.4
Executive Office for Immigration Review	99	3.79	4
Executive Office for U.S. Attorneys	92	3.32	3.6
Federal Bureau of Investigation	100	3.58	4
Office of Justice Programs	97	3.58	3.8
United States Marshals Service	93	3.05	3.4
<b>Department of Labor</b>			
Adjudicatory Boards	Non-Responding		
Bureau of International Labor Affairs	93	3.32	3.8
Bureau of Labor Statistics	90	3.32	3.6
Department Level/Headquarters	92	3.32	3.8
Employee Benefits Security Administration	91	3.37	3.8
Employment and Training Administration	90	3.32	3.8
Mine Safety and Health Administration	93	3.37	3.8
Occupational Safety and Health Administration	84	3.32	3.8
Office of Administrative Law Judges	92	3.32	3.8
Office of Congressional and Intergovernmental Affairs	91	3.32	3.8
Office of Disability Employment Policy	93	3.47	3.8
Office of Federal Contract Compliance Programs	89	3.58	3.8
Office of Inspector General	92	3.32	3.8
Office of Labor-Management Standards	88	3.47	3.8
Office of Public Affairs	87	3.32	3.8
Office of the Assistant Secretary for Administration and Management	92	3.32	3.8

	<b>RMSA Score</b>	<b>Part I Electronic Records Maturity Model Score</b>	<b>Part II Email Maturity Model Score</b>
Office of the Assistant Secretary for Policy	87	3.32	3.8
Office of the Chief Financial Officer	81	3.32	3.8
Office of the Executive Secretariat	95	3.37	4
Office of the Solicitor	92	3.32	3.8
Office of Workers' Compensation Programs	95	3.37	3.8
Veterans' Employment and Training Service	87	3.05	3.8
Wage and Hour Division	86	3.37	3.8
Women's Bureau	86	3.37	3.8
<b>Department of State</b>	98	3.68	4
<b>Department of the Interior</b>			
Bureau of Indian Affairs	86	3.53	4
Bureau of Land Management	94	3.58	4
Bureau of Ocean Energy Management	90	2.63	4
Bureau of Reclamation	91	3.63	4
Bureau of Safety and Environmental Enforcement	81	3.16	4
Bureau of Trust Funds Administration	90	3.63	4
National Park Service	88	2.84	4
Office of Surface Mining Reclamation and Enforcement	82	2.63	4
Office of the Secretary	85	3.16	4
United States Fish and Wildlife Service	85	2.89	4
United States Geological Survey	78	2.53	3.4
<b>Department of the Treasury</b>			
Alcohol and Tobacco Tax and Trade Bureau	92	3.37	3.4
Bureau of Engraving and Printing	84	3.32	3
Bureau of the Fiscal Service	83	3.05	3.4
Department Level/Headquarters	77	2.63	2.6
Financial Crimes Enforcement Network	91	4	4
Internal Revenue Service	96	3.74	4
Office of the Comptroller of the Currency	99	3.68	3.4
United States Mint	89	3.68	3.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
<b>Department of Transportation</b>			
Department Level/Headquarters	91	3.74	4
Federal Aviation Administration	94	2.74	3.6
Federal Highway Administration	97	3.95	4
Federal Motor Carrier Safety Administration	88	3.63	4
Federal Railroad Administration	100	3.95	4
Federal Transit Administration	95	3.74	3.8
Great Lakes St. Lawrence Seaway Development Corporation	93	3.47	3.8
Maritime Administration	96	3.74	4
National Highway Traffic Safety Administration	98	3.79	4
Office of the Inspector General	98	3.95	4
Office of the Secretary	95	3.74	3.8
Pipeline and Hazardous Materials Safety Administration	92	3.63	4
<b>Department of Veterans Affairs</b>			
Board of Veterans' Appeals	92	1.47	3.4
Department Level/Headquarters	86	1.47	3.4
National Cemetery Administration	97	3.26	3.6
Veterans Benefits Administration	95	3.68	3.4
Veterans Health Administration	97	1.47	3.4
Environmental Protection Agency	97	3.58	3.6
Equal Employment Opportunity Commission	Non-Responding		
<b>Executive Office of the President</b>			
Council on Environmental Quality	87	3.16	3.4
Office of Management and Budget	95	3.89	3.8
Office of National Drug Control Policy	88	3.37	3.8
Office of Science and Technology Policy	92	3.58	3.8
Office of the Intellectual Property Enforcement Coordinator	85	2.95	3.6
Office of the United States Trade Representative	74	2.89	3.6
Export-Import Bank of the United States	93	3.74	3.4

	<b>RMSA Score</b>	<b>Part I Electronic Records Maturity Model Score</b>	<b>Part II Email Maturity Model Score</b>
Farm Credit Administration	75	2.16	3.2
Federal Communications Commission	88	3	3.8
Federal Election Commission	45	2.42	3.2
Federal Energy Regulatory Commission	91	3.68	3.6
Federal Housing Finance Agency	93	3.32	3.8
Federal Judicial Center	89	2.84	2.4
Federal Labor Relations Authority	100	3.47	3.6
Federal Maritime Commission	81	3.74	3.4
Federal Mediation and Conciliation Service	78	3.47	3.8
Federal Mine Safety and Health Review Commission	92	3.16	2.8
Federal Permitting Improvement Steering Council	59	2.05	3
Federal Retirement Thrift Investment Board	87	3.16	4
Federal Trade Commission	66	2.05	0.4
General Services Administration	90	3.05	4
Government Accountability Office	93	3.84	3
Government Publishing Office	94	2.53	3.2
Gulf Coast Ecosystem Restoration Council	70	Non-Responding	
Harry S. Truman Scholarship Foundation	Non-Responding	1.47	2
Institute of Museum and Library Services	83	3.47	2.2
Inter-American Foundation	63	Non-Responding	
International Boundary and Water Commission, United States and Mexico	66	2.79	3
James Madison Memorial Fellowship Foundation	54	2.58	1.6
Japan-U.S. Friendship Commission	Non-Responding		
Library of Congress	97	3.16	3
Marine Mammal Commission	71	2.37	2.4
Merit Systems Protection Board	48	2.89	3.4
Millennium Challenge Corporation	95	3	3.4
Morris K. Udall and Stewart L. Udall Foundation	83	3.26	3.6
National Aeronautics and Space Administration	92	3.42	3.6

	<b>RMSA Score</b>	<b>Part I Electronic Records Maturity Model Score</b>	<b>Part II Email Maturity Model Score</b>
National Archives and Records Administration	100	3.68	3.8
National Capital Planning Commission	71	2.79	3
National Council on Disability	74	2.68	2
National Credit Union Administration	95	2.95	3.2
National Endowment for the Arts	85	2.42	3.2
National Endowment for the Humanities	81	3.05	3.2
National Indian Gaming Commission	86	3.05	2.6
National Labor Relations Board	95	3.53	4
National Mediation Board	68	2.37	2.2
National Science Foundation	97	3.74	3.2
National Transportation Safety Board	62	2.89	3.2
Nuclear Regulatory Commission	91	3.79	4
Occupational Safety and Health Review Commission	98	3.84	3.8
Office of Government Ethics	93	3.74	3.8
Office of Navajo and Hopi Indian Relocation	81	3.74	1.8
Office of Personnel Management	68	2.42	3
Office of the Director of National Intelligence	53	2.26	3.2
Office of the Special Inspector General for Afghanistan Reconstruction	99	3.26	0.8
Peace Corps	97	2.84	3.6
Pension Benefit Guaranty Corporation	93	2.63	3.2
Postal Regulatory Commission	79	2.68	1.6
Presidio Trust	33	2.16	2.6
Privacy and Civil Liberties Oversight Board	80	2.68	3
Public Buildings Reform Board	36	2.79	4
Railroad Retirement Board	76	2.58	3.4
Securities and Exchange Commission	100	4	4
Selective Service System	82	3.26	3
Small Business Administration	77	2.74	2.8
Social Security Administration	99	3.05	4
Surface Transportation Board	91	3.74	3
Tennessee Valley Authority	92	3.53	3.8
Trade and Development Agency	92	3.84	3.6



	<b>RMSA Score</b>	<b>Part I Electronic Records Maturity Model Score</b>	<b>Part II Email Maturity Model Score</b>
U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)	29	Non-Responding	
U.S. Access Board (Architectural and Transportation Barriers Compliance Board)	93	3.58	4
U.S. Agency for Global Media	61	3.47	3.2
U.S. Commission for the Preservation of America's Heritage Abroad	18	2.11	1.6
U.S. Commission of Fine Arts	46	0.58	0.8
U.S. Election Assistance Commission	67	2.84	3.6
U.S. Semiquincentennial Commission	19	0.63	0
United States African Development Foundation	Non-Responding		
United States Agency for International Development	92	3.05	2.8
United States Arctic Research Commission	Non-Responding		
United States Commission on Civil Rights	76	2.79	2.8
United States Commission on International Religious Freedom	67	2.58	3
United States Interagency Council on Homelessness	9	0.84	0.8
United States International Development Finance Corporation	85	2.68	3
United States International Trade Commission	100	4	4
United States Nuclear Waste Technical Review Board	54	Non-Responding	
United States Office of Special Counsel	94	3.84	4
United States Sentencing Commission	92	3.53	2.6
United States Tax Court	51	Non-Responding	
Utah Reclamation Mitigation and Conservation Commission	Non-Responding		

**APPENDIX III:  
RMSA AND FEREM  
2021 QUESTIONNAIRES WITH STATISTICAL RESULTS**

<b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) 2021 RECORDS MANAGEMENT SELF-ASSESSMENT</b>		
<b>Section I: Management Support and Resourcing</b>		
Management support and a strong positioning of an agency’s records management program in the organizational structure is key to program success. This section includes questions related to the areas that support the records management program including responsibilities, internal controls, performance management, training, monitoring of program implementation, and the records of senior officials and executives.		
<b>The following series of questions relates to RM Program leadership</b>		
<b>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))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	261	99%
No	3	1%
Do not know	0	0%
Total responses to this question	264	100%
<b>2. If Yes: Please provide the person’s name, position title, and office (text response no statistics)</b>		
<b>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>		
Answer Option	Count per answer option	Percentage to total responses
Yes	255	97%
No	6	2%
Do not know	1	0%
Not applicable, not an Executive Branch Agency	2	1%
Total responses to this question	264	100%

<b>Q4. If Yes: Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's goals? (For components of a department, this is most likely at the department level.)</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	229	90%
No	25	10%
Do not know	1	0%
Total responses to this question	255	100%
<b>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>		
Answer Option	Count per answer option	Percentage to total responses
Yes	216	82%
No	10	4%
Do not know	2	1%
Not applicable, agency has less than 100 employees	33	13%
Not applicable, Departmental Records Officer - this is done at the component level	3	1%
Total responses to this question	264	100%
<b>The following series of questions relates to RM Program Controls, Monitoring and Oversight.</b>		
<b>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))</b>		
<p><b>**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.</b></p>		
<p><b>*Examples of records management internal controls include but are not limited to:</b></p>		
<ul style="list-style-type: none"> <li>● Regular briefings and other meetings with records creators</li> </ul>		
<ul style="list-style-type: none"> <li>● Monitoring and testing of file plans</li> </ul>		

<ul style="list-style-type: none"> <li>● <b>Regular review of records inventories</b></li> </ul>		
<ul style="list-style-type: none"> <li>● <b>Internal tracking database of permanent record authorities and dates</b></li> </ul>		
Answer Option	Count per answer option	Percentage to total responses
Yes	192	73%
No	17	6%
No, pending final approval	5	2%
No, under development	49	19%
Do not know	1	0%
Total responses to this question	264	100%
<p><b>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))</b></p> <p><b>**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.</b></p> <p><b>*Examples of records management internal controls include but are not limited to:</b></p> <ul style="list-style-type: none"> <li>● <b>Regular review of records inventories</b></li> <li>● <b>Approval process for disposal notices from off-site storage</b></li> <li>● <b>Require certificates of destruction</b></li> <li>● <b>Monitoring shredding services</b></li> <li>● <b>Performance testing for email</b></li> <li>● <b>Monitoring and testing of file plans</b></li> <li>● <b>Pre-authorization from records management program before records are destroyed</b></li> <li>● <b>Ad hoc monitoring of trash and recycle bins</b></li> <li>● <b>Notification from facilities staff when large trash bins or removal of boxes are requested</b></li> <li>● <b>Annual records clean-out activities sponsored and monitored by records management staff</b></li> </ul>		
Answer Option	Count per answer option	Percentage to total responses
Yes	214	81%
No	16	6%

No, pending final approval	3	1%
No, under development	29	11%
Do not know	2	1%
Total responses to this question	264	100%

**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))**

Answer Option	Count per answer option	Percentage to total responses
Yes	179	68%
No	27	10%
To some extent	55	21%
Do not know	3	1%
Total responses to this question	264	100%

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

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

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

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

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

Answer Option	Count per answer option	Percentage to total responses
Yes	199	75%
No	21	8%
Pending final approval	5	2%

Currently under development	38	14%
Do not know	1	0%
Total responses to this question	264	100%

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

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

**\*Examples of performance measures include but are not limited to:**

- Percentage of agency employees that receive records management training in a year
- A reduction in the volume of inactive records stored in office space
- Percentage of eligible permanent records transferred to NARA in a year
- Percentage of records scheduled
- Percentage of offices evaluated/inspected for records management compliance
- Percentage of email management auto-classification rates
- Development of new records management training modules
- Audits of internal systems
- Annual updates of file plans
- Performance testing for email applications to ensure records are captured
- Percentage of records successfully retrieved by Agency FOIA Officer in response to FOIA requests

Answer Option	Count per answer option	Percentage to total responses
Yes	201	76%
No	24	9%
Pending final approval	2	1%
Currently under development	36	14%
Do not know	1	0%

Total responses to this question	264	100%
<p><i>An evaluation is an inspection, audit, or review of one or more records management programs for effectiveness and for compliance with applicable laws and regulations. An evaluation contains recommendations for correcting or improving records management practices, policies, and procedures as well as follow-up activities, including reporting on and implementing recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit. (36 CFR 1220.18)</i></p>		

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

Answer Option	Count per answer option	Percentage to total responses
Yes, evaluations are conducted by the Records Management Program	145	55%
Yes, evaluations are conducted by the Office of Inspector General	3	1%
Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General	38	14%
Yes, evaluations are conducted by:	41	16%
No, please explain	35	13%
Do not know	1	0%
Total responses to this question	263	100%

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

Answer Option	Count per answer option	Percentage to total responses
Annually	89	34%
Biennially	22	8%
Once every 3 years	50	19%
Ad hoc	73	28%
Do not know	5	2%

Not applicable, agency does not evaluate its records management program	24	9%
Total responses to this question	263	100%

**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)**

Answer Option	Count per answer option	Percentage to total responses
Yes, formal report was written	134	51%
Yes, plans of corrective action were created	118	45%
Yes, plans of corrective action were monitored for implementation	111	42%
No	39	15%
Do not know	3	1%
Not applicable, agency does not evaluate its records management program	18	7%
Not applicable, agency has less than 100 employees	30	11%
Total responses to this question	264	100%

**The following series of questions relates to records management training.**

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

Answer Option	Count per answer option	Percentage to total responses
Yes, NARA's Certificate of Federal Records Management Training	150	57%
Yes, NARA's Agency Records Officer Credential	51	19%
In Progress	44	17%
No	16	6%
Do not know	3	1%
Total responses to this question	264	100%

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



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

**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.**

Answer Option	Count per answer option	Percentage to total responses
Yes	228	87%
No	10	4%
No, pending final approval	2	1%
No, under development	23	9%
Do not know	0	0%
Total responses to this question	263	100%

**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.**

Answer Option	Count per answer option	Percentage to total responses
Yes	227	86%
No	6	2%
No, pending final approval	3	1%
No, under development	26	10%
Do not know	2	1%
Total responses to this question	264	100%

<b>The following series of questions relates to Senior Officials.</b>		
<i>Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (General Records Schedule (GRS) 6.1, item 010)</i>		
<b>Note: This applies to all senior officials within an agency - NOT just the Senior Agency Official for Records Management.</b>		
<b>Q17. 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>		
Answer Option	Count per answer option	Percentage to total responses
Yes	235	89%
No	23	9%
Do not know	6	2%
Total responses to this question	264	100%
<b>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 &amp; b))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	201	76%
Yes, but not documented	28	11%
No	18	7%
Do not know	5	2%
Not applicable, please explain	12	5%
Total responses to this question	264	100%

<b>Q19. If Yes, or Yes, but not documented: Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in on-boarding briefings or other processes for newly appointed senior officials?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	188	82%
No, please explain	40	17%
Do not know	1	0%
Total responses to this question	229	100%
<b>Q20. If Yes, or Yes, but not documented: 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 &amp; b))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	201	76%
Yes, but not documented	36	14%
No	17	6%
Do not know	3	1%
Not applicable, please explain	7	3%
Total responses to this question	264	100%
<b>Q21. If Yes, or Yes, but not documented: Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	209	88%
No	25	11%
Do not know	3	1%
Total responses to this question	237	100%

<b>Q22. If Yes, or Yes, but not documented: 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))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	221	94%
No, please explain	12	5%
Do not know	2	1%
Total responses to this question	235	100%
<b>Q23. Which of the following stakeholders significantly impact and/or support your RM program? (Choose all that apply)</b>		
Answer Option	Count per answer option	Percentage to total responses
Chief Information Officer	226	86%
Chief Financial Officer	88	33%
Chief Management Officer	67	25%
Chief Data Officer	102	39%
Office of the General Counsel	195	74%
FOIA Officer	205	78%
Records Managers and/or Records Liaison Officers (or equivalent)	238	90%
Program Managers and/or Supervisors	213	81%
Other, please explain	77	29%
Total responses to this question	263	100%
<b>Q24. Please add any additional comments about your agency for Section I. (Optional)</b>		
<b>Section II: Policies</b>		
<p>A successful records management program has a governance framework, articulated policy, and clear standards. For electronic records management this is particularly important due to fragility, security vulnerabilities, and other unique characteristics of electronic records. This section covers records management directives and specific policies necessary for records management.</p>		

<b>Q25. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	234	89%
No, pending final approval	6	2%
No, under development	18	7%
No	4	2%
Do not know	2	1%
Total responses to this question	264	100%
<b>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?</b>		
Answer Option	Count per answer option	Percentage to total responses
FY 2021 - present	159	60%
FY 2019 - 2020	43	16%
FY 2017 - 2018	20	8%
FY 2016 or earlier	29	11%
Do not know	4	2%
Not applicable, agency does not have a records management directive	9	3%
Total responses to this question	264	100%
<b>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>		
Answer Option	Count per answer option	Percentage to total responses
Yes	196	75%
No	20	8%
No, pending final approval	11	4%
No, under development	34	13%
Do not know	1	0%
Total responses to this question	262	100%

<b>Q28. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	222	84%
No	8	3%
No, pending final approval	7	3%
No, under development	23	9%
Do not know	4	2%
Total responses to this question	264	100%
<b>Q29. Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of federal records?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	163	62%
No	34	13%
No, pending final approval	6	2%
No, under development	56	21%
Do not know	5	2%
Total responses to this question	264	100%
<b>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)</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	208	79%
No, pending final approval	13	5%
No, under development	27	10%
No, please explain	12	5%
Do not know	4	2%
Total responses to this question	264	100%

<b>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))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	134	51%
No	25	9%
No, pending final approval	17	6%
No, under development	84	32%
Do not know	4	2%
Total responses to this question	264	100%
<b>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)</b>		
<b>*Examples of business needs may include but are not limited to:</b> <b>Using separate accounts for public and internal correspondence</b> <b>Creating accounts for a specific agency initiative which may have multiple users</b> <b>Using separate accounts for classified information and unclassified information</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	213	81%
No	16	6%
No, pending final approval	5	2%
No, under development	24	9%
Do not know	4	2%
Total responses to this question	262	100%

**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)**

Answer Option	Count per answer option	Percentage to total responses
Yes	230	87%
No	10	4%
No, pending final approval	5	2%
No, under development	17	6%
Do not know	2	1%
Total responses to this question	264	100%

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

Answer Option	Count per answer option	Percentage to total responses
Yes	180	68%
No	78	30%
Do not know	6	2%
Total responses to this question	264	100%

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

**Section III: Systems**

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

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

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

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



and concealment.

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

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

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

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

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

**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)**

Answer Option	Count per answer option	Percentage to total responses
Yes	137	52%
To some extent	91	34%
No	21	8%
Do not know	4	2%
Not applicable, please explain	11	4%
Total responses to this question	264	100%

**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))**

Answer Option	Count per answer option	Percentage to total responses
Yes	198	75%
No, please explain	56	21%
Do not know	10	4%
Total responses to this question	264	100%

**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)?**

Answer Option	Count per answer option	Percentage to total responses
Yes	136	52%
To some extent	61	23%
No	65	25%
Do not know	2	1%
Total responses to this question	264	100%

**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))**

Answer Option	Count per answer option	Percentage to total responses
Yes	248	94%
No	5	2%
Do not know	11	4%
Total responses to this question	264	100%

**Q40. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)**

Answer Option	Count per answer option	Percentage to total responses
Captured and stored in an email archiving system	195	74%
Captured and stored in an electronic records management system	105	40%
Captured and stored as personal storage table (.PST) files	132	50%
Captured and stored using cloud services with records management included	117	44%
Captured and stored using cloud services but records management IS NOT included	73	28%
Print and file	25	10%
Not captured and email is managed by the end-user in the native system	4	2%
Other, please be specific:	28	11%
Total responses to this question	263	100%

<b>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)</b>		
<i>(For more information on these topics see: <a href="https://www.archives.gov/files/records-mgmt/policy/nara-cognitive-technologies-whitepaper.pdf">https://www.archives.gov/files/records-mgmt/policy/nara-cognitive-technologies-whitepaper.pdf</a>.)</i>		
Answer Option	Count per answer option	Percentage to total responses
Smart devices	91	35%
Sensors that collect and transmit data	47	18%
Geographic Information Systems	84	32%
Robotic Process Automation	68	26%
Software Robot or Bot	56	21%
Supervised Machine Learning	88	33%
Unsupervised Machine Learning	52	20%
Reinforced Machine Learning	42	16%
Standard Artificial Intelligence	81	31%
Open-source Artificial Intelligence	54	21%
Auto-classification	116	44%
Other, please be specific:	35	13%
My agency is not exploring and/or employing new methods	66	25%
Total responses to this question	263	100%
<b>Q42. Please add any additional comments about your agency for Section III. (Optional)</b>		

<b>Section IV: Access</b>		
Records support an agency’s ability to carry out its business functions. Access to records means they remain usable, retrievable, and protected throughout their lifecycle. This section contains questions relating to the access and usability of records to conduct agency business in accordance with the appropriate transfer and disposition schedule and that ensures records are searchable, retrievable, and usable for as long as they are maintained in agency custody.		
The following series of questions relates to the impact of the COVID-19 pandemic on access to records.		
<b>Q43. Has the COVID-19 pandemic disrupted your agency's ability to access records?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	148	56%
No	112	42%
Do not know	4	2%
Total responses to this question	264	100%
<b>Q44. If Yes: Please provide details on the impact of the COVID-19 pandemic and what your agency has done to mitigate the circumstances.</b>		
The following series of questions relates to Vital or Essential records.		
<b>Q45. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)</b>		
<i>*Components of departmental agencies may answer "Yes" if this is handled by the department.</i>		
Answer Option	Count per answer option	Percentage to total responses
Yes	227	86%
No	28	11%
Do not know	9	3%
Total responses to this question	264	100%

<b>Q46. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)</b>		
Answer Option	Count per answer option	Percentage to total responses
Annually	167	63%
Biennially	13	5%
Once every 3 years	8	3%
Ad hoc	57	22%
Never	7	3%
Do not know	12	5%
Total responses to this question	264	100%
<b>Q47. Is your vital records plan part of the Continuity of Operations (COOP) plan? (36 CFR 1223.14 and Federal Continuity Directive, Annex 1)</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	235	89%
No	16	6%
Do not know	13	5%
Total responses to this question	264	100%
<b>The following questions relate to retrieval and access.</b>		
<b>Q48. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))</b>		
Answer Option	Count per answer option	Percentage to total responses
All records are easily retrieved and accessed when needed	111	42%
Most records can be retrieved and accessed in a timely manner	146	56%
Some records can be retrieved and accessed in a timely manner	6	2%
No	0	0%
Do not know	0	0%
Total responses to this question	263	100%

**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.**

Answer Option	Count per answer option	Percentage to total responses
Yes	205	78%
No, please explain	48	18%
Do not know	8	3%
Not applicable, please explain	3	1%
Total responses to this question	264	100%

**The following question relates to migration.**

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

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

**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))**

Answer Option	Count per answer option	Percentage to total responses
Yes	141	53%
No	37	14%
No, pending final approval	5	2%
No, under development	75	28%
Do not know	6	2%
Total responses to this question	264	100%

<b>The following questions are related to access to records under the Freedom of Information Act.</b>		
<i>Agencies are required to have a Freedom of Information Act (FOIA) program (5 U.S.C. 552).</i>		
<i>The ability to find records is essential for a successful FOIA program. The following questions related to your agency's FOIA program may require consultation with your agency's FOIA Officer.</i>		
<i>Please note that FOIA does not apply to Judicial Branch Agencies, as well as a few others. If FOIA does not apply to your agency, please do not skip these questions. Select the 'Not applicable' response provided.</i>		
<b>Q51. Has the COVID-19 pandemic disrupted your agency's ability to respond to FOIA requests?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	119	45%
No	135	51%
Do not know	3	1%
Not applicable, Judicial Branch Agency/FOIA does not apply	7	3%
Total responses to this question	264	100%
<b>Q52. If Yes: Which of the following explains why FOIA has been impacted? (Choose all that apply)</b>		
Answer Option	Count per answer option	Percentage to total responses
Paper records are inaccessible due to office closure	92	78%
FOIA case processing system is not available by remote access	15	13%
Electronic records are not accessible remotely	13	11%
Agency staff are not available to conduct searches	60	51%
Other, please be specific:	42	36%
Total responses to this question	118	100%

**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>)

Answer Option	Count per answer option	Percentage to total responses
Worked directly with requesters to tailor their requests for most efficient processing	189	73%
Posted a notice on the FOIA website informing requesters of most efficient way to make a request	132	51%
Posted a notice on the FOIA website informing requesters of any anticipated delays	117	45%
Included information about any anticipated delays in requester communication, including acknowledgment letters	142	55%
Used multitrack processing to further triage requests that could be processed more efficiently remotely	110	42%
Posted additional proactive disclosures for high public interest topics related to the COVID-19 pandemic	59	23%
Assessed technology to ensure most efficient administration of FOIA	141	54%
Other, please explain	44	17%
Not applicable, Judicial Branch Agency/FOIA does not apply	9	3%
Total responses to this question	260	100%

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

Answer Option	Count per answer option	Percentage to total responses
Work together on Information Technology (IT) requirements that benefit both programs	148	56%
Coordinate search terms to identify responsive records	99	38%
Identify programs or offices most likely to have responsive records	131	50%
Work together on high-profile or complex FOIA requests	124	47%
Provide training on records management and FOIA to each other's staff	127	48%
Training programs include the importance and relationship between FOIA and records management	128	49%
Other, please explain	38	14%



None of the above	14	5%
Not applicable, Agency Records Officer and the Chief FOIA Officer are the same person	9	3%
Not applicable, Judicial Branch Agency/FOIA does not apply	7	3%
Total responses to this question	263	100%

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

**Section V: Disposition**

This area is critical for successfully managing records. Agencies must follow the mandatory instructions contained in either [agency-specific records schedules](#) or the appropriate [General Records Schedule](#) to transfer permanent electronic records to NARA’s legal custody. This section covers both creation and implementation of records schedules.

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

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

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

Answer Option	Count per answer option	Percentage to total responses
FY 2020 - 2021	143	54%
FY 2018 - 2019	47	18%
FY 2016 - 2017	22	8%
FY 2014 - 2015	10	4%
FY 2013 or earlier	29	11%
Do not know	12	5%
Total responses to this question	263	100%

**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 covered by the General Records Schedules (GRS).*

Answer Option	Count per answer option	Percentage to total responses
Yes	249	94%
No	9	3%
Do not know	6	2%
Total responses to this question	264	100%

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

Answer Option	Count per answer option	Percentage to total responses
Yes	148	56%
No	111	42%
Do not know	5	2%
Total responses to this question	264	100%

**Q59. If Yes: Are you currently reviewing agency-specific records schedules with items approved before January 1, 1990, for updating and/or rescheduling? (36 CFR 1225.22)**

Answer Option	Count per answer option	Percentage to total responses
Yes, this is in progress	107	73%
Yes, this has been completed	14	10%
No, but are planning to do so	20	14%
No, and have no plans to do so	3	2%
Do not know	3	2%
Total responses to this question	147	100%

<b>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)</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	144	55%
To some extent	98	37%
No	17	6%
Do not know	3	1%
Total responses to this question	262	100%
<b>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))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	222	84%
No	35	13%
Do not know	6	2%
Total responses to this question	263	100%
<b>Q62. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply)</b>		
Answer Option	Count per answer option	Percentage to total responses
GRS 6.1: Email Managed under a Capstone Approach; agency has an approved form NA-1005	195	74%
GRS 6.1: Email Managed under a Capstone Approach; agency does not have an approved form NA-1005	15	6%
Agency-specific email schedule	23	9%
Traditional records management (i.e., retention based on content, usually applied on an email-by-email basis, utilizing multiple NARA-approved disposition authorities)	47	18%
Email retention method has not been decided/scheduled by agency	3	1%
Do not know	3	1%

Other, please explain	21	8%
Total responses to this question	264	100%
<b>Q63. Does the current NARA-approved form NA-1005 or agency-specific email schedule adequately reflect your existing organizational structure?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	139	66%
To some extent	68	32%
No	1	0%
Do not know	3	1%
Total responses to this question	211	100%
<b>Q64. Why does the email schedule not adequately reflect, or only to some extent reflect, your existing organizational structure? (Choose all that apply)</b>		
Answer Option	Count per answer option	Percentage to total responses
Agency-wide reorganization has taken place	34	49%
New positions that meet the criteria for permanent disposition need to be added	59	86%
Positions need to be removed because they have been removed from the organization	35	51%
Positions need to be removed because they no longer meet the criteria for permanent disposition	19	28%
Position title(s) need to be updated or changed	47	68%
Number of email accounts for a specific position(s) needs to be updated or changed	24	35%
Scope statements are inaccurate, or need to be changed	2	3%
Other, please explain	6	9%
Total responses to this question	69	100%

<b>Q65. Does your agency track changes in Capstone account to ensure they are accurate and complete?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	162	83%
To some extent	21	11%
No	8	4%
Do not know	4	2%
Total responses to this question	195	100%
<b>Q66. Please explain how your agency tracks changes to Capstone accounts. (text response no statistics)</b>		
<b>The next series of questions relates to transferring permanent records.</b>		
<b>Q67. Did your agency transfer permanent non-electronic records to NARA during FY 2021? (36 CFR 1235.12)</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	67	25%
No	82	31%
No - Transfers were impacted by the COVID-19 pandemic	66	25%
No - No records were eligible for transfer during FY 2021	24	9%
No - New agency, records are not yet old enough to transfer	6	2%
No - My agency does not have any permanent non-electronic records	4	2%
Do not know	6	2%
Other, please explain	9	3%
Total responses to this question	264	100%

<b>Q68. Did your agency transfer permanent electronic records to NARA during FY 2021? (36 CFR 1235.12)</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	54	20%
No	112	42%
No - Transfers were impacted by the COVID-19 pandemic	26	10%
No - No electronic records/systems were eligible for transfer during FY 2021	46	17%
No - New agency, electronic records/systems are not old enough to transfer	13	5%
No - My agency does not have any permanent electronic records	1	0%
Do not know	5	2%
Other, please explain	7	3%
Total responses to this question	264	100%
<b>The next question relates to the management of websites and related records.</b>		
<b>Q69. Does your agency ensure that all records on agency websites are properly managed?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	219	83%
No	26	10%
Do not know	19	7%
Total responses to this question	264	100%
<b>The next series of questions relates to where your agency stores its inactive temporary and/or permanent records, regardless of format.</b>		
<p><i>Commercial records storage facilities are private sector commercial facilities that offer records storage, retrieval, and disposition services.</i></p> <p><i>An agency-operated records center is a records storage facility, operated by a federal agency and capable of storing more than 25,000 cubic feet of records. (36 CFR 1234)</i></p>		

<b>Q70. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	69	26%
No	195	74%
Do not know	0	0%
Total responses to this question	264	100%
<b>Q71. If Yes: Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&amp;(e))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	60	87%
No	4	6%
Do not know	5	7%
Total responses to this question	69	100%
<b>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.)</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	39	15%
No	221	84%
Do not know	2	1%
Total responses to this question	262	100%
<b>Q73. If Yes: Has the facility been approved by NARA? (36 CFR 1234.30(a)(1))</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	25	64%
No	8	21%
Do not know	6	15%
Total responses to this question	39	100%

<b>Q74. If Yes (to 72): Is your agency making plans to move records from an agency-operated records center to a commercial records storage facility?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	10	26%
No	27	69%
Do not know	2	5%
Total responses to this question	39	100%
<b>Q75. If Yes (to 72) : Is your agency making plans to move records from an agency-operated records center to a Federal Records Center before December 31, 2022?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	19	49%
No	16	41%
Do not know	4	10%
Total responses to this question	39	100%
<b>Q76. Please add any additional comments about your agency for Section V. (Optional)</b>		
<b>Section VI: Agency Demographics</b>		
This section covers some basic demographic-type information needed for analysis of the data gathered by the Records Management Self-Assessment.		
<b>Q77. How many full-time equivalents (FTE) are in your agency/organization?</b>		
Answer Option	Count per answer option	Percentage to total responses
500,000 or more FTEs	3	1%
100,000 - 499,999 FTEs	14	5%
10,000 - 99,999 FTEs	46	17%
1,000 - 9,999 FTEs	79	30%
100 - 999 FTEs	70	27%
1 - 99 FTEs	48	18%
Not Available	4	2%
Total responses to this question	264	100%



<b>Q78. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)</b>		
Answer Option	Count per answer option	Percentage to total responses
Senior Agency Official	178	68%
Office of the General Counsel	107	41%
Program Managers	111	43%
FOIA Officer	220	84%
Information Technology staff	186	71%
Records Liaison Officers or similar	134	51%
Administrative staff	64	25%
Other, please be specific:	36	14%
None	6	2%
Total responses to this question	261	100%
<b>Q79. How much time did it take you to gather the information to complete this self-assessment?</b>		
Answer Option	Count per answer option	Percentage to total responses
Under 3 hours	62	23%
More than 3 hours but less than 6 hours	91	34%
More than 6 hours but less than 10 hours	42	16%
Over 10 hours	69	26%
Total responses to this question	264	100%
<b>Q80. Did your agency's senior management review and concur with your responses to the 2021 Records Management Self-Assessment?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	234	89%
No	28	11%
Do not know	1	0%
Total responses to this question	263	100%

<b>Q81. Are you the Agency Records Officer?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	233	88%
No	31	12%
Total responses to this question	264	100%
<b>Q82. If No: Please provide the Agency Records Officer’s contact information.</b>		
Name:		
Email Address:		
Phone Number:		
<b>Q83. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?</b>		
Answer Option	Count per answer option	Percentage to total responses
Yes	237	90%
No	16	6%
Do not know	5	2%
Comments (Optional): (Please include in your comments how you use the Records Management Self-Assessment.)	25	9%
Total responses to this question	264	100%
<b>Q84. Do you have any suggestions for improving the Records Management Self-Assessment next year? (text response no statistics)</b>		
<p>NARA reserves the right to request additional documentation or a follow-up meeting to verify your responses. If you wish to provide supporting documentation for your answers or other information to NARA, please send it to <a href="mailto:rmsselfassessment@nara.gov">rmsselfassessment@nara.gov</a>.</p> <p>Thank you for completing the 2021 Records Management Self-Assessment! If you have any questions about the self-assessment, please send a message to <a href="mailto:rmsselfassessment@nara.gov">rmsselfassessment@nara.gov</a>.</p>		

<b>National Archives and Records Administration (NARA)</b>			
<b>Federal Electronic Records and Email Maturity Model Report 2021</b>			
<b>PART I: Federal Electronic Records Management Reporting</b>			
<b>1. Management Support and Resourcing</b>			
<p><i>Description:</i> Management support and a strong positioning of an agency’s records management program in the organizational structure is key to program success. This domain measures the level of management support, including the recognition of records and information as valuable assets, the alignment of the records program to business/mission functions to support strategic goals and objectives, the development of performance management, and adequate resources to include funding.</p> <p>In accordance with OMB Circular A-130, agencies are required to consider records management for all resource planning and management activities. Senior Agency Officials for Records Management (SAORMs) must ensure sufficient resources are available and prioritized for managing electronic records, including policy, people, processes, and tools. This includes a sufficient number of dedicated, qualified, and trained records management staff to meet agency needs for program implementation. Adequate resources should be allocated to provide education and training for the general agency workforce, including contractors that handle or manage federal records. Agencies must designate records officers, records custodians, and other agency liaisons. These personnel, or records management staff, must have specialized training to perform the duties described in OPM occupational series 0308, Records and Information Management. Sufficient funding and resources should also be allocated for records management related products, services, equipment, and/or technology.</p> <p><i>What Success Looks Like:</i> Agency leadership recognizes records as strategic assets to the mission and decision-making of the agency and provides the appropriate resources necessary to manage these assets effectively and efficiently.</p>			
<b>1.1 Which of the following best describes the engagement of the Senior Agency Official for Records Management (SAORM) and/or other senior managers?</b>			
<i>Note: In component agencies of Departments, the SAORM may be at the Department level only but components can answer with their impressions of the SAORM engagement at their level.</i>			
Level/Points	Answer Option	Count	%
0	An SAORM has not been designated. Agency senior managers are unaware or not engaged in the prioritization and allocation of any resources to electronically manage electronic records (temporary and permanent).	1	0%
1	An SAORM has not been designated but the role is filled by someone as Acting. Agency senior managers are aware and engaged in the electronic records management program; however, there are insufficient budgetary resources, and no additional steps have been made to adequately manage permanent electronic records.	9	3%

2	The designated SAORM is in the process of working with agency records management and IT staff to develop an electronic records management program and identify necessary budgetary resources, but has not involved other agency senior managers.	54	21%
3	The designated SAORM is engaged in the electronic records management program and is taking positive steps to provide the necessary budgetary resources to adequately manage permanent electronic records, and informs other agency senior managers as appropriate.	102	39%
4	SAORMs are proactively engaged in the electronic records management program, are providing the necessary budgetary resources to adequately manage permanent electronic records, and are consistently keeping other agency senior managers informed of their related responsibilities.	94	36%
	Total responses to this question	260	100%

**1.2 Which of the following best describes your agency's Agency Records Officer role, responsibilities and knowledge?**

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Agency does not have a designated Agency Records Officer, and there is no indication that a future designated Agency Records Officer would have or would obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent.	3	1%
1	An Agency Records Officer has not been designated but the agency intends to do so and is considering requiring that person to have or to obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent.	7	3%
2	Agency has designated an Agency Records Officer and is considering requiring them to have or to obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent.	9	4%
3	Agency has designated an Agency Records Officer. Agency encourages, but does not yet require, the Agency Records Officer to have or to obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent. The Agency Records Officer is in the process of obtaining this certificate.	22	8%
4	Agency has designated an Agency Records Officer, requires the holder of this position to have or to obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent, as required by the agency and NARA policy.	219	84%

	Total responses to this question	260	100%
<b>1.3 Which of the following best describes your agency's network of records management officers, records custodians, and other agency liaisons or staff with assigned records management responsibilities?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Agency does not specifically assign records management roles or responsibilities to staff.	13	5%
1	Agency has a network of staff with records management responsibilities, but does not provide those assigned records management training or guidance on what is required.	19	7%
2	Agency has a network of staff with records management responsibilities, and they receive general training on what this assignment means and what is required.	27	10%
3	Agency has a network of staff with records management responsibilities who are trained on what this assignment means and basic records management.	58	22%
4	Agency has a network of staff with records management responsibilities trained on what this assignment means, what records management responsibilities and requirements are, skills needed to perform the responsibilities and how to use those skills.	143	55%
	Total responses to this question	260	100%
<b>1.4 Which of the following best describes records management program monitoring?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	There is no attempt to monitor records management activity.	3	1%
1	Informal monitoring of the records management program is done on an ad hoc basis. No formal program is under development.	25	10%
2	General monitoring of records management program compliance is done on an ad hoc basis. Formal program performance measures are under development.	60	23%
3	Agency utilizes formal program performance measures, as well as NARA's annual Records Management Self-Assessment, to monitor records management program compliance with limited remediation of program activities found in need of improvement.	48	18%

4	Agency utilizes formal program performance measures, as well as NARA's annual Records Management Self-Assessment, to monitor records management program compliance and remediate program activities found in need of improvement.	124	48%
	Total responses to this question	260	100%

**1.5 Which of the following best describes records management training for all agency staff and contractors so that they are aware of their records responsibilities for creating and maintaining records in accordance with agency policies and procedures, and NARA policies and regulations?**

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Records management training does not exist and is not under development.	3	1%
1	Records management training is under development.	11	4%
2	High-level general records management training is available but not required.	20	8%
3	Records management training with some role-based training is available. General records management training is required at least once a year.	73	28%
4	Records management training, including role-based training, is part of the agency's mandatory training for all staff and contractors, including senior executives and appointed officials.	152	59%
	Total responses to this question	259	100%

**2. Policies**

Description: A successful records management program has a governance framework, articulated policy, and clear standards. For electronic records management, this is particularly important due to fragility, security vulnerabilities, and other unique characteristics of electronic records. This domain measures the establishment, dissemination through training and other means, implementation, and use of policies specific to electronic records management topics.

Agency-wide policies and training must inform all personnel who create, receive, access, or use federal records of their records management responsibilities. Policies should be developed with all relevant stakeholders and must address the requirements of the Federal Records Act (FRA), 36 CFR Chapter XII Subchapter B, and other relevant guidance issued by NARA and OMB, such as OMB Circular A-130.

Specifically for permanent electronic records, agencies must ensure policies are in place to effectively manage them from creation to transfer. Policies must fully explain how the agency expects staff to manage permanent electronic records, and have agency-wide training programs

that fully educate all staff on their responsibilities for managing all electronic records in accordance with these policies.

*What Success Looks Like:* Your agency’s policies fully explain how to manage permanent electronic records, and procedures and training programs guide staff in fulfilling their responsibilities for managing all electronic records.

Policies should include:

The identification of records management roles and responsibilities.

Scheduling, managing and transferring permanent electronic records to NARA.

The use of tools for digital signatures.

Notification and reporting procedures for unauthorized access, use, alteration, alienation, or deletion of electronic records.

The inclusion of records management into agency information resources management strategic plans.

The inclusion of records management into the agency’s Capital Planning and Investment Control process.

The inclusion of records management into the agency’s Systems Development Life Cycle process.

NARA’s records management language to safeguard government-owned permanent electronic records created, maintained, and stored on agency systems or cloud and social media platforms owned by third-party vendors.

**2.1 Which of the following best describes if your agency creates records management policies that oversee management of electronic records and permanent electronic records in particular as described in the bullets above?**

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Policies do not exist for electronic records.	10	4%
1	Policies exist for electronic records but do not include permanent electronic records, nor are they in any stage of development that would address the bullet points above.	6	2%
2	Policies exist covering electronic records in general, but those specifically covering permanent electronic records addressing some of the bullet points above are under development.	63	24%
3	Policies covering electronic records with specific information about the management of permanent electronic records addressing most of the bullet points above have been drafted but not yet approved or implemented.	59	23%
4	Policies covering electronic records with specific information about the management of permanent electronic records addressing all of the bullet points above have been approved and implemented.	120	47%

	Total responses to this question	258	100%
<b>2.2 Which of the following best describes if relevant stakeholders have been engaged in the development of electronic records management policies?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Relevant stakeholders have not been identified.	3	1%
1	Relevant stakeholders have been identified but are not actively engaged.	28	11%
2	Relevant stakeholders provide input but are not actively involved in creating policies or approving these policies.	12	5%
3	Relevant stakeholders provide input and review these policies before going to agency senior leadership for approvals.	84	32%
4	Relevant stakeholders, including agency senior leadership, are consistently and actively involved in creating and approving all records management policies.	132	51%
	Total responses to this question	259	100%
<b>2.3 Which of the following best describes procedures and training in order to fully implement policies essential for full integration and inclusion of records management into agency culture and the prevention of records loss and/or alienation?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Training and awareness regarding the management of electronic records do not exist, and there are no policies related to loss of records.	2	1%
1	As policies are being discussed, general training and awareness of records management roles and responsibilities exist but do not fully address electronic records or the prevention of records loss.	29	11%
2	With policies under development, the roles and responsibilities are identified, and there is an awareness of the threat of loss of electronic records.	37	14%
3	Policies, procedures and training with specific information about the management of permanent electronic records and the threat of loss have been drafted but not yet approved by relevant stakeholders or implemented.	49	19%
4	Procedures and training with specific information about the policies related to the full integration and inclusion of records management and the prevention of records loss	142	55%



	and/or alienation have been approved, disseminated and implemented.		
	Total responses to this question	259	100%

### 3. Systems

Description: This domain measures how well agencies have implemented systems that meet federal recordkeeping requirements.

Agencies must have control over permanent electronic records to ensure adequate capture, management, preservation, and transfer to NARA in acceptable electronic formats along with the appropriate metadata. Such control may be automated in dedicated records management systems or implemented manually in shared drives, data repositories, or other types of storage. Additionally, IT systems must support the implementation of records management regulations and local policies and provide access to permanent electronic records throughout their lifecycle, which can span decades.

*What Success Looks Like:* Your agency’s IT systems developers consider records management requirements throughout the systems development process. As a result, your agency’s systems and business processes support the automated management of trustworthy permanent electronic records over time in accordance with all applicable requirements.

Systems for permanent records must:

- Comply with approved records schedules;
- Allow permanent electronic records to be located, retrieved, accessed, presented, interpreted, and updated wherever they reside throughout their full lifecycle;
- Automate security and management of permanent electronic records over time in accordance with NARA requirements; and
- Generate reports, both routine and customized, to demonstrate effective controls and compliance with the requirements for managing permanent electronic records, including the ability to:
  - Audit/track use of the records, including all events and actions related to the record by person entities and non-person entities;
  - Audit/track actions changing the level of record access;
  - Audit/track changes in the location of permanent records; and
  - Generate reports, both routine and customized, to demonstrate effective controls and compliance with the requirements for managing permanent electronic records.

<b>3.1 Which of the following best describes how well electronic information systems are able to create, capture, manage, preserve, and transfer permanent electronic records to the National Archives?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Electronic information systems may create and capture records, but there is no management or determination about temporary or permanent electronic records status in accordance with approved records schedules.	29	11%
1	Electronic information systems are able to create and capture records in electronic format, and there is some management or determination about temporary and permanent electronic records status but no alignment with approved records schedules.	26	10%
2	Electronic information systems are able to create, capture, and maintain records. Permanent electronic records are identified, and alignment with approved records schedules is under development.	81	31%
3	Electronic information systems meet NARA's requirements to create, capture, manage and preserve electronic records aligned with approved records schedules, and agency is testing the capability to transfer permanent electronic records to the National Archives.	49	19%
4	Electronic information systems meet NARA's requirements to create, capture, manage, and preserve electronic records aligned with approved records schedules. Agency has successfully transferred permanent records in electronic format to the National Archives according to the transfer guidance.	74	29%
	Total responses to this question	259	100%

**3.2 Which of the following best describes if your agency has an inventory of electronic information systems including identification of permanent electronic records required for effective electronic records management?**

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	There is no inventory of electronic information systems.	20	8%
1	There is an inventory of electronic information systems but no identification of which contain records.	25	10%
2	There is an inventory of electronic information systems that identifies which contains records but does not include location or retention instructions.	41	16%
3	There is an inventory of electronic information systems along with the location and includes limited ability to implement disposition.	100	39%
4	There is a complete inventory of systems used for management of permanent and temporary electronic records including the ability to implement, whether manually or automatically, all dispositions.	73	28%
	Total responses to this question	259	100%

**3.3 Which of the following best describes systems owners' awareness of their responsibilities for permanent records that allows for managing permanent records in accordance with the requirements listed above?**

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Systems owners are not aware of their responsibilities for managing permanent electronic records.	35	14%
1	Systems owners are fully aware of their responsibilities for managing permanent electronic records that reside in their systems but are not developing processes (manual or automated) to comply with the requirements for managing permanent electronic records.	18	7%
2	Systems owners are fully aware of their responsibilities for managing permanent records that reside in their systems and are considering processes to comply with requirements to manage permanent electronic records via manual methods.	50	19%
3	Systems owners are fully aware of their responsibilities for managing permanent records that reside in their systems, and they are in the development phase of ensuring systems comply with requirements for managing permanent electronic records via automated methods.	98	38%
4	Systems owners are fully aware of their responsibilities for managing permanent records that reside in their systems.	58	22%

	Systems have been implemented to comply with the requirements for managing permanent electronic records via automated methods.		
	Total responses to this question	259	100%

**3.4 Which of the following best describes how well your system audits/tracks use of the records, including all events and actions related to the record by person and non-person entities?**

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Systems do not audit or track use of records.	40	15%
1	Systems could generate reports to audit/track use of records, but the agency is not considering tracking use of records.	19	7%
2	Systems could generate reports to audit/track use of records, and the agency is considering whether or not to track use of records.	35	14%
3	Systems can generate reports. The agency does some auditing/tracking of the use of records.	91	35%
4	Systems generate reports, both routine and customized, to demonstrate effective controls and compliance with the requirements for managing permanent electronic records including the ability to audit/track use of the records, including all events and actions related to the record by person entities and non-person entities, changing the level of record access, and changes in the location of permanent records.	74	29%
	Total responses to this question	259	100%

**4. Access**

Description: Electronic records support an agency’s ability to carry out its business functions. Access to permanent electronic records means they remain usable, retrievable, and protected throughout their lifecycle. This domain measures the access and usability of records to conduct agency business in accordance with the appropriate transfer and disposition schedule. It measures system protection of permanent electronic records against unauthorized access, use, alteration, alienation, deletion, or concealment. It ensures records are searchable, retrievable, and usable for as long as they are maintained in agency custody.

*What Success Looks Like:* Your agency’s permanent electronic records are protected against unauthorized access, use, alteration, alienation, deletion, or concealment. They are searchable, retrievable, and usable for as long as they are maintained in agency custody.

<b>4.1 Which of the following best describes if records (including those of current and separated employees) are searchable, retrievable, and usable throughout their lifecycle?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Records (including those created by current and separated employees) are not searchable, retrievable, and usable.	4	2%
1	Some records created by current employees are searchable, retrievable, and usable but not for those created by separated employees.	2	1%
2	Some records created by current employees and those created by separated employees are searchable, retrievable, and usable throughout their lifecycle.	33	13%
3	Most records created by current and separated employees are searchable, retrievable, and usable throughout their lifecycle.	134	52%
4	All records (including those of current and separated employees) are searchable, retrievable, and usable throughout their lifecycle.	87	33%
	Total responses to this question	260	100%
<b>4.2 Which of the following best describes the identification and categorization or classification of electronic records that are essential to enable accessibility and maintenance throughout the lifecycle?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Records are not identified, categorized or classified to enable accessibility and maintenance throughout the lifecycle.	24	9%
1	Some records are identified but not categorized or classified to enable accessibility and maintenance throughout the lifecycle.	10	4%
2	Some records are identified with limited categorization or classification to enable accessibility and maintenance throughout the lifecycle.	51	20%
3	Most records are identified and categorized or classified to enable accessibility and maintenance throughout the lifecycle.	104	40%
4	All records are identified and categorized or classified to enable accessibility and maintenance throughout the lifecycle.	70	27%
	Total responses to this question	259	100%

<b>4.3 Which of the following best describes if your agency's IT staff measures system protection of permanent electronic records against unauthorized access, use, alteration, alienation, deletion, or concealment?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	IT staff does not take any measures to prevent unauthorized access, use, alteration, alienation, deletion, or concealment of any records.	3	1%
1	IT staff have normal security measures, but these do not identify protections for permanent electronic records against unauthorized access, use, alteration, alienation, deletion, or concealment.	45	17%
2	IT staff have normal security measures, and additional measures are being considered for permanent electronic records to prevent unauthorized access, use, alteration, alienation, deletion, or concealment.	24	9%
3	IT staff, in addition to normal security measures, are developing measures and have some already in place to protect permanent electronic records that prevent unauthorized access, use, alteration, alienation, deletion, or concealment.	70	27%
4	IT staff, in addition to normal security measures, have measures in place to protect permanent electronic records that prevent unauthorized access, use, alteration, alienation, deletion, or concealment.	117	45%
	Total responses to this question	259	100%

<b>4.4 Which of the following best describes if your agency has migration plans that include the movement of permanent electronic records into new systems and other measures related to long-term preservation in accordance with the recordkeeping requirements?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Migration plans do not exist, and records are not considered when replacing systems.	9	3%
1	Migration plans exist but do not take into consideration temporary or permanent records status, long-term preservation or other recordkeeping requirements.	29	11%
2	Migration plans are based on current use and move inactive records offline or to tapes, but do not identify permanent records, long-term preservation needs or other recordkeeping requirements.	33	13%
3	Migration plans include the identification of permanent records and long-term preservation needs, and may move	81	31%

	permanent electronic records into new systems or maintain them in legacy systems.		
4	Migration plans include the movement of permanent electronic records into new systems, including those in legacy systems, and include other measures related to long-term preservation in accordance with recordkeeping requirements.	107	41%
	Total responses to this question	259	100%

**5. Disposition**

Description: This area is critical for successfully managing permanent electronic records. Agencies must follow the mandatory instructions contained in either agency-specific records schedules or the appropriate General Records Schedule to transfer permanent electronic records to NARA’s legal custody.

*What Success Looks Like:* Agencies are operating with NARA-approved records schedules. Agencies are successfully completing transfers of permanent electronic records to the National Archives in acceptable formats with the appropriate metadata.

**5.1 Which of the following best describes if your agency has a process to classify records and apply NARA-approved retention schedules in order to properly dispose of electronic records, including the transfer of permanent electronic records to the National Archives?**

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	There is no process for identification or scheduling of electronic records.	6	2%
1	There is no coordination with agency offices to identify, classify and schedule records, but a few electronic records are associated with a NARA-approved records schedule.	2	1%
2	Some coordination exists to identify, classify and schedule electronic records across the agency with some electronic records associated with a NARA-approved records schedule.	47	18%
3	There are informal processes for coordination to identify, classify, and schedule electronic records across the agency that include input from appropriate offices. Most electronic records are associated with a NARA-approved records schedule.	116	45%
4	Formal processes exist to identify, classify and schedule electronic records across the agency that includes program, legal, and IT offices, that include reviewing and updating existing schedules as well as new electronic systems. All existing electronic records are covered by NARA-approved records schedules.	88	34%
	Total responses to this question	259	100%

<b>5.2 Which of the following best describes if systems development, maintenance, and operations include processes for electronic records management?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Records management staff are not included in the agency's processes for new, existing, or retiring electronic information systems, so there is no assurance that electronic records management processes exist.	8	3%
1	Records management staff are inconsistently made aware of new electronic information systems and are not included in the agency's processes for new, existing, or retiring electronic information systems, so electronic records management is ad hoc.	21	8%
2	Records management staff are occasionally informed when new electronic information systems are being planned or implemented and participate informally or on an ad hoc basis in the agency's processes for new, existing, or retiring electronic information systems, so electronic records management is inconsistent.	59	23%
3	Records management staff are kept informed of new, existing, or retiring electronic information systems, but have a limited role in the agency's Systems Development Life Cycle process for electronic information systems, so electronic records management is just beginning to be consistent across the agency.	84	32%
4	Records management staff participate in the Systems Development Life Cycle and Capital Planning and Investment Control processes to ensure electronic records are appropriately identified and recordkeeping applied formalizing electronic records management across the agency.	87	34%
	Total responses to this question	259	100%



<b>5.3 Which of the following best describes if permanent records meet the transfer guidance criteria and contain the appropriate metadata for transfer to the National Archives?</b>			
<i>Note: See NARA Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records (Revised August 2018 per NARA Bulletin 2018-01) and NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records.</i>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Permanent electronic records do not meet the transfer guidance criteria and/or metadata requirements for transfer to the National Archives.	13	5%
1	Permanent electronic records do not meet the transfer guidance criteria and/or metadata requirements for transfer to the National Archives, but the agency is exploring what needs to be done.	32	12%
2	Permanent electronic records do not meet the transfer guidance criteria and/or metadata requirements to transfer them to the National Archives, and improvements have been identified but not implemented.	8	3%
3	Permanent electronic records in some cases meet the transfer guidance criteria and/or metadata requirements to transfer them to the National Archives. The ability and other plans for transferring all permanent records are under development or are being tested.	143	55%
5	Permanent electronic records meet the transfer guidance criteria and contain the appropriate metadata. The agency has tested the ability to transfer and/or has successfully transferred permanent electronic records to the National Archives in acceptable formats with appropriate metadata.	63	24%
	Total responses to this question	259	100%

<b>PART II: Federal Email Management Reporting</b>			
<b>1. Policies</b>			
<i>Description and What Success Looks Like:</i> Agency-wide policies and training must inform account holders of their responsibilities for managing email records. Policies should be developed with all relevant stakeholders and should address the requirements of the Federal Records Act, 36 CFR Chapter XII Subchapter B, and NARA guidance.			
<b>1. Which of these levels best describes the state of your email policies?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	No email policies exist; relevant stakeholders have not been identified; senior-level email is not managed in any way; and there are no policies related to the loss of email records.	4	2%
1	Email policies are being drafted, and there is a general awareness of both the roles and responsibilities for managing email records and of the risk of loss of email records.	11	4%
2	Email policies address general use of email only; relevant stakeholders have been identified; roles and responsibilities for email management have been defined; and there is an awareness of the risk of loss of email records.	28	11%
3	Email policies have been developed and disseminated; stakeholders, including the Chief Information Officer, Records Managers, and General Counsel, are involved in making policy and other decisions regarding email; there are policies governing holds on email records or accounts; policies include use of personal or non-official email accounts; and there are policies and procedures protecting against the loss of email records.	92	36%
4	Email policies are in place and implemented throughout the agency; all staff (including senior staff) have been trained on their roles and responsibilities for managing email including use of personal or non-official email accounts; records management staff and/or Inspector General perform periodic audits of email policies to ensure proper use and implementation; and annual mandatory records and information management (RIM) and information security training include roles and responsibilities regarding email.	122	47%
	Total responses to this question	257	100%

<b>2. Systems</b>			
<i>Description and What Success Looks Like:</i> Agencies must have systems in place that can produce, manage, and preserve email records in an acceptable electronic format until disposition can be executed. Additionally, systems must support the implementation of agency policies and provide access to email records throughout their lifecycle.			
<b>2.1 Which of these levels best describes the state of your email systems?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Email is managed in disparate systems; email is managed by the end user; and no retention is applied.	4	2%
1	Systems retain temporary email records up to 180 days only, and print and file is the main method of preservation for email.	3	1%
2	Some centralized administration of email systems exists; there is limited identification of permanent email; and email is manually managed by the end user based on retention schedules.	27	11%
3	Administration of email systems is specifically assigned; temporary and permanent email categories are identified; systems are under development to handle the implementation of agency policies and lifecycle management; and electronic retention is the main method for the preservation of email.	49	19%
4	Email systems manage and preserve email in electronic format; limited end user input is needed to apply proper retention and disposition policies; permanent email is identified and managed; email systems maintain the content, context, and structure of the records; and email records are associated with their creator.	174	68%
	Total responses to this question	257	100%

<b>2.2 Which of the following best describes how well your email system audits/tracks email records use, including all events and actions related to the email record by person and non-person entities?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Systems do not audit or track use of email records.	12	5%
1	Systems could generate reports to audit/track use of email records, but the agency is not considering tracking use of email records.	19	7%
2	Systems could generate reports to audit/track use of email records, and the agency is considering whether or not to track use of email records.	23	9%
3	Systems can generate reports. The agency does some auditing/tracking of the use of email records.	93	36%
4	Systems generate reports, both routine and customized, to demonstrate effective controls and compliance with the requirements for managing email records including the ability to audit/track use of email records, including all events and actions related to the email record by person entities and non-person entities, changing the level of email record access, and changes in the location of email records.	110	43%
	Total responses to this question	257	100%

<b>3. Access</b>			
<i>Description and What Success Looks Like:</i> Email records must remain usable and retrievable throughout their lifecycle. Access supports an agency’s ability to carry out its business functions. Access should address internal agency needs and accommodate responses to requests for information.			
<b>3. Which of these levels best describes the usability and retrievability of your email throughout its lifecycle?</b>			
Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	There is no attempt to determine whether or not email can be accessed beyond immediate business needs; there is no management of email of departed employees; producing email for requests is difficult, costly, and not always feasible; agency has multiple email systems that do not relate to each other and are not searchable across multiple accounts or systems; there are little or no safeguards in place for unauthorized access, unintentional modification or destruction; no defined processes exist for maintaining records making access and retrieval difficult; processes are performed in an ad hoc manner; and there is no formal definition or classification of email records.	3	1%
1	Email records are retrievable through system backups or other means; there is minimal management of email of departed employees; producing email for requests is achievable but time consuming and costly; there is limited training or other awareness of the security of email; and processes for maintaining email records are starting to be standardized agency-wide.	19	7%
2	Email records are included in a draft retention schedule pending approval; email of departing employees is maintained until someone can review; formal processes exist in order for records to be accessed and retrieved in a timely manner; standardized RIM lifecycle processes have been developed across the agency making access and retrieval of email records more reliable; and standardized processes for access and retrieval are beginning to be promulgated across the agency.	11	4%
3	Email is retrievable during the normal course of business; the email system has procedures for providing reference and responses for email requests; security and privacy protocols are included in the system; processes for the identification and classification of email records are standardized across the agency making access and retrieval reliable; and records are usually accessed and retrieved in a timely manner.	105	41%

4	Email is fully retrievable for requests; email review, preservation, and disposition is embedded into the processes for departing employees; records management controls are built into the email system to prevent unauthorized access, modification or destruction; processes for the identification and classification of email records are documented and integrated with agency business and mission at the strategic level.	119	46%
	Total responses to this question	257	100%

**4. Disposition**

*Description and What Success Looks Like:* The agency must have a NARA-approved schedule in place to be able to carry out the disposition of permanent and temporary email records – using either agency-specific schedules or General Records Schedule (GRS) 6.1: Email Managed under a Capstone Approach.

**4. Which of these levels best describes the state of your disposition of email?**

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	There is no retention schedule specifically covering email; disposition of email is not being done; and permanent email records have not been identified.	10	4%
1	Agency is beginning to work with NARA to create a retention schedule specifically covering email; disposition of email is handled haphazardly by the end user; and there is some identification of permanent and temporary email records.	12	5%
2	Retention schedule covering email is in draft form but not yet approved, and disposition of email is handled with limited training for the end user.	20	8%
3	Retention schedule covering email has been approved by NARA; end users are trained to oversee the disposition of email records; and permanent records are identified and maintained until transfer to the National Archives.	91	35%
4	Retention schedule covering email has been approved by NARA; retention schedules are built into email management systems; permanent records are identified and captured by email management systems; and permanent records can be or have been successfully transferred to the National Archives.	124	48%
	Total responses to this question	257	100%

**APPENDIX IV: RMSA VALIDATION STRATEGY**

Each year, we validate a random sample of agencies’ responses to selected questions. For 2021 we selected 24 questions.

The following shows which questions were used this year, the topics covered, the validation method used, and the results.

<b>RMSA 2021 Validation Strategy and Results</b>			
<b>Q#</b>	<b>Topic</b>	<b>Validation Method</b>	<b>Results</b>
3	Designation of SAORM	Verified all responses using 2021 SAORM reports and internal NARA resources that track SAORM designations.	99% correct. 1% incorrect.
7-8	Internal Controls	Using a random sample (10%) of agencies responding 'Yes' by requesting documentation and/or descriptions of their internal controls.	100% correct and 3 non-responders to validation document requests.
11-13	RM Evaluations	Using a random sample (10%) of agencies responding 'Yes' their agency conducts evaluations with written reports by requesting a copy of the most recent evaluation report.	75% correct. 25% incorrect. And 2 non-responders to validation document requests.
14	ARO RM Training Certificate	Verified all responses by using internal methods that track training courses taken by Agency Records Officers.	92% correct. 8% incorrect.
43-44, 48, 51-52	Impacts of COVID	Verified a random sample (10%) by comparing SAORM 2021 report responses with RMSA responses to these questions.	68% matched. 32% did not match. *Note: It could be that COVID impacted the time it takes to respond to a FOIA request, not that they couldn't respond at all.
51-54	FOIA	Verified all N/A responses using internal NARA agency information.	75% correct. 25% incorrect.
56	Last Records Schedule Submission to NARA	Verified those responses indicating the last schedule was submitted in FY 2020-2021 using Electronic Records Archives data and an internal NARA tracking database.	76% correct. 24% incorrect.
58-59	Schedules older than 1990	Verified a random sample (10%) of answers using internal NARA resources.	68% correct. 32% incorrect. *Note the question language "currently in use" which may have caused some agencies to select 'No' even if NARA still considers the schedule "active."

<b>RMSA 2021 Validation Strategy and Results</b>			
<b>Q#</b>	<b>Topic</b>	<b>Validation Method</b>	<b>Results</b>
62	Disposition authority for email records	Verified a random sample (10%) of agencies using submitted NA-1005s and the List of Agency Approaches for Email Disposition, along with input from NARA's appraisal staff where needed.	88% correct. 12% incorrect.
67	Transfer of Permanent Non-Electronic Records	Verified all responses using NARA's Research Services resources.	100% correct. *Note: This percentage does not mean agency transferred, only that they answered correctly. Also note: "transferred to NARA" was considered to mean having submitted a transfer request (TR) to NARA and we approved it, but did not receive the physical records due to prolonged facility closure during COVID.
68	Transfer of Permanent Electronic Records	Verified all responses using NARA's Research Services resources.	91% correct. 9% incorrect.
81-82	Assign ARO	Verified all responses using internal resources that track Agency Records Officer designations.	100% correct.



## **APPENDIX V: NON-RESPONDING AGENCIES**

### **Senior Agency Official for Records Management Annual Report**

- Armed Forces Retirement Home
- Equal Employment Opportunity Commission
- U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)
- U.S. Commission for the Preservation of America’s Heritage Abroad

### **Records Management Self-Assessment**

- Administrative Office of the United States Courts
- Armed Forces Retirement Home
- Chemical Safety and Hazard Investigation Board
- Department of Labor/Adjudicatory Boards
- Equal Employment Opportunity Commission
- Harry S. Truman Scholarship Foundation
- Japan-U.S. Friendship Commission
- United States African Development Foundation
- United States Arctic Research Commission
- Utah Reclamation Mitigation and Conservation Commission

### **Federal Electronic Records and Email Management Maturity Model Report**

- Administrative Office of the United States Courts
- Armed Forces Retirement Home
- Chemical Safety and Hazard Investigation Board
- Department of Labor/Adjudicatory Boards
- Equal Employment Opportunity Commission
- Gulf Coast Ecosystem Restoration Council
- Inter-American Foundation
- Japan-U.S. Friendship Commission
- United States African Development Foundation
- United States Arctic Research Commission
- United States Nuclear Waste Technical Review Board
- United States Tax Court
- U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)
- Utah Reclamation Mitigation and Conservation Commission



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