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Federal Agency Records Management 2018 Annual Report

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

National Archives and Records Administration
September 2019

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.

Every Department and Federal agency covered by the Federal Records Act must appoint a Senior Agency Official for Records Management (SAORM). This essential role provides leadership in records management within their agencies and serves as an important conduit between NARA and the agencies we serve.

One of their most visible responsibilities is to report on goals and actions to strategically improve recordkeeping practices to the Chief Records Officer for the U.S. Government. This year, we required Federal agencies to submit three reports: the annual SAORM Report, the Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA). We reviewed these individual reports and the RMSA results looking for trends and progress. This 2018 Federal Agency Records Management Report contains the results of our review. Overall, the great majority of Federal agencies reported they are continuing their progress towards managing records electronically. As a result, they are implementing a variety of technological solutions as outlined in the reports submitted this year.

In March 2018, the *President's Management Agenda* (PMA) established an overarching vision to improve mission delivery, customer service, and accountable stewardship on behalf of the American public citing the move to an electronic -- or "paperless"-- government as a primary example that touches multiple goals. In addition, in June 2018, the Administration's *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations* included a proposal to transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end NARA's acceptance of paper records by December 31, 2022.

In June 2019, NARA and the Office of Management and Budget (OMB) issued a new government-wide policy memorandum, M-19-21, *Transition to Electronic Records*. This joint memorandum establishes new goals for electronic recordkeeping to support government-wide efforts to transition to fully electronic (paperless) Government.

NARA takes its role in this important transition to electronic recordkeeping very seriously and is looking forward to working with Federal agencies to accomplish the goals that have been put before us. The SAORMs in each agency must continue to lead and drive change if we are to realize the vision of a fully digital and open Government.

DAVID S. FERRIERO
Archivist of the United States

Executive Summary

This consolidated report provides a summary analysis on the state of Federal records management programs based on annual reports submitted to NARA by Executive Branch agencies. A few Legislative and Judicial Branch agencies also participate to assess their own programs. Records Management 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 2018 information and activities 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, Federal Email Management Report, and the annual Records Management Self-Assessment (RMSA).

The data received this year shows further progress towards transitioning away from paper record keeping in favor of electronic formats; adherence to basic fundamentals of records management outlined by Federal regulations; and general records management practices.

Key points include:

- Ninety-eight percent of agencies show confidence that they will meet the target to manage all permanent electronic records in electronic format by December 31, 2019, and that:
 - Records are already created and maintained electronically.
 - An electronic records management system, electronic records repository, or electronic document management system is in use or under development.
 - Reformatting (digitizing and scanning) efforts for paper or other non-electronic records have been done, are in progress, or are planned.
- Agencies are aware of General Services Administration (GSA) Schedule 36 for the purchase of technology solutions and other records management services.
- A three-year comparison between the Federal Email Maturity Models indicated agencies are steadily increasing their confidence in the maturity of their email management.

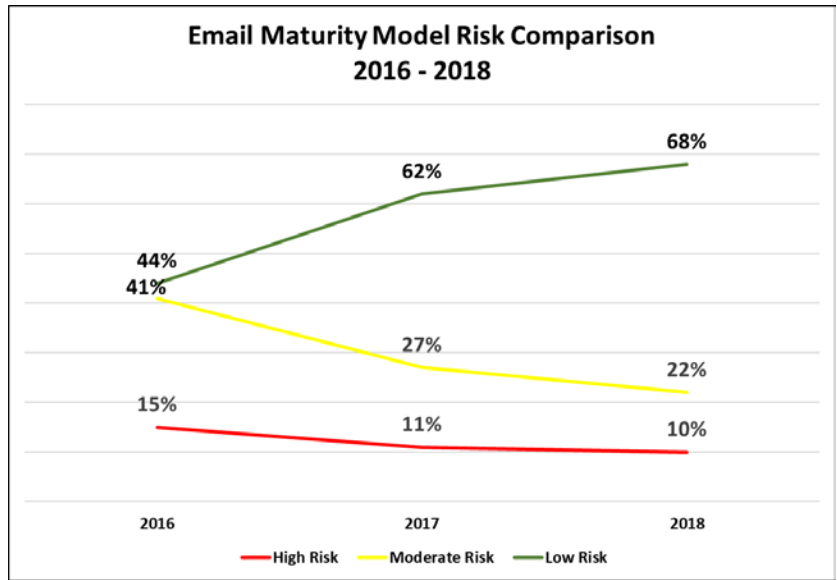


Figure 1: Compares the risk level results since the first use of the FEMR Maturity Model

- RMSA risk levels remain stable with some high risk agencies making improvements.

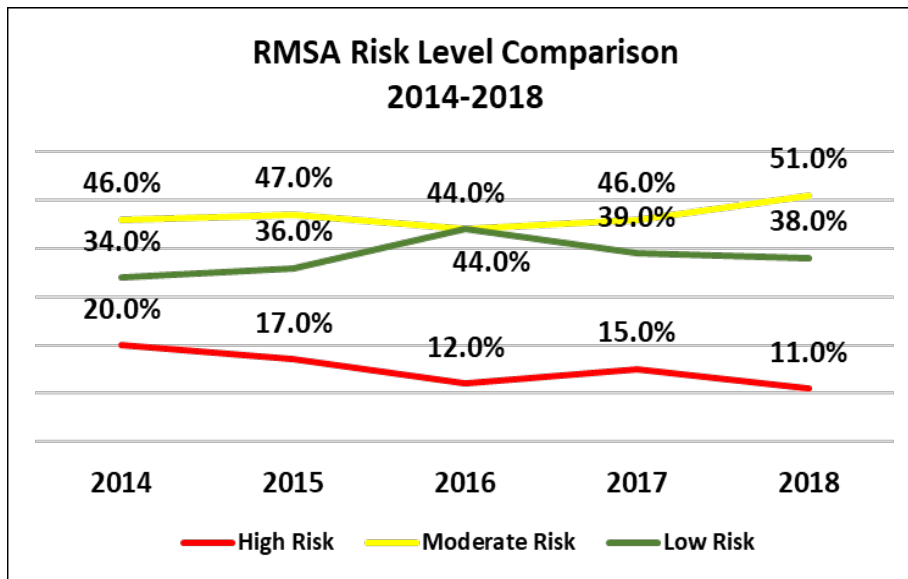


Figure 2: Compares the risk level results from the last five RMSAs

- When given a list of options agencies identified communication tools other than email (calendars, messaging apps, etc.) as the most challenging for managing permanent electronic records and related metadata in electronic format followed by email, office tools and software.

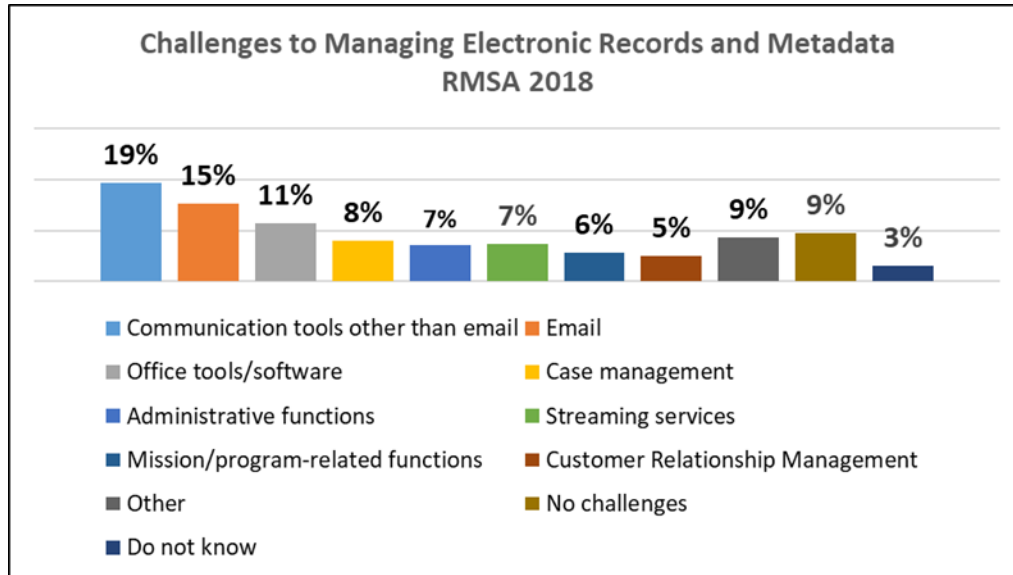


Figure 3: Agencies rate challenges to managing electronic records and metadata

- Agencies are not transferring eligible permanent records to NARA, particularly electronic records. As illustrated by Figure 4 below, less than half of agencies transferred non-electronic records and a little over one-quarter of agencies transferred electronic records in FY 2018. In addition, agencies do not have the administrative controls necessary to accurately track their transfers of electronic records or know if and when they have records due for transfer.

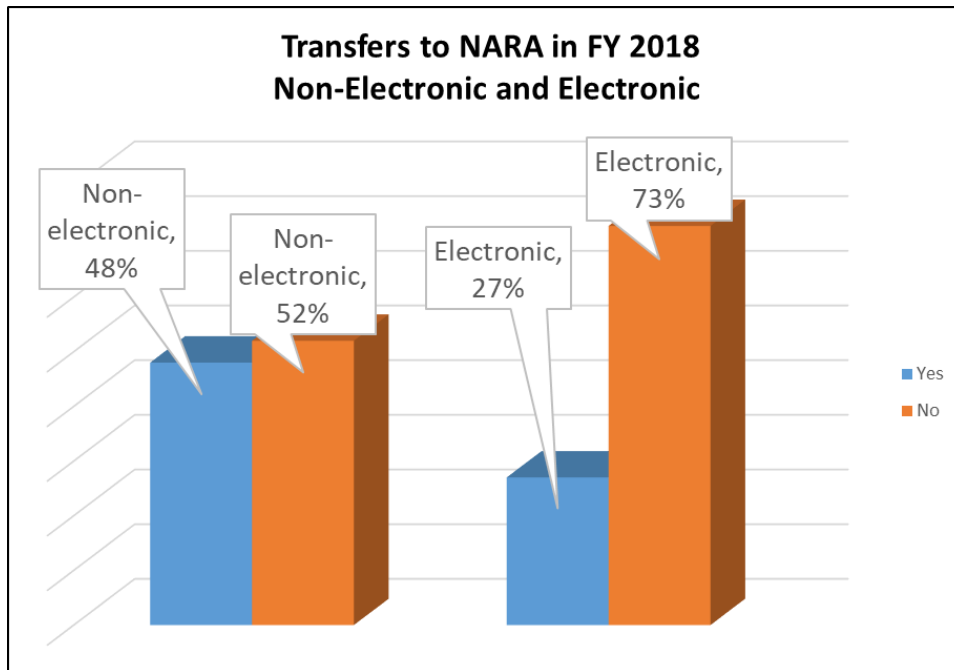


Figure 4: Agencies are not transferring eligible permanent records

This annual report provides a detailed analysis and appendices of the data for activities in 2018. It also makes a variety of overall recommendations for agencies including but not limited to:

- SAORMs must provide leadership for records management programs and ensure these programs are properly resourced and aligned with the agency’s strategic information management paying particular attention to electronic records management and the continued transition away from paper recordkeeping.
- SAORMs must position their records management programs through strategic plans, performance goals, objectives and measures to implement the goals set out in a new government-wide policy memorandum, OMB/NARA *Transition to Electronic Records* (M-19-21).
- Agencies must continue to improve electronic records management including email.
- Agencies must improve their methods for tracking permanent records, and their ability to identify and transfer these records when eligible.

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, assessments, and other work with agencies, NARA continues to work with agencies to improve Federal records management and promote the transition away from paper.

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INTRODUCTION

The National Archives and Records Administration (NARA) is responsible for overseeing and reporting to Congress on the state of Federal records management. 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 – NARA provided a ten-question template (see Appendix I) to elicit information from a senior management perspective to those agencies with a SAORM. This submission included responses from high-level officials about the progress of their agency or agencies towards electronic recordkeeping, first established by the Office of Management and Budget (OMB)/NARA *Managing Government Records Directive* (M-12-18).¹ This report has been required since 2013. Individual SAORM reports are available online: <https://www.archives.gov/records-mgmt/resources/saorm-reports>.
- Federal Email Management Report (FEMR) – With this submission, agency records officers assessed their individual agency’s email management using a maturity model template based on the criteria we published in April 2016.² NARA used an online survey to distribute the model and gather the responses. Agencies chose the level best describing the current state of email management and received a numerical maturity score. Individual email reports are available online: <https://www.archives.gov/records-mgmt/resources/email-mgmt-reports>.
- Records Management Self-Assessment (RMSA) – Agency records officers provided an evaluation of their individual agency’s compliance with Federal records management statutes, regulations and program functions. NARA used an online survey tool to gather responses to a set of scored and unscored questions. The individual RMSA responses are not publicly available; however, statistics for each question are included as Appendix IV and individual numerical scores for each agency are included in Appendix V. For specific agency responses we suggest contacting the individual agency for more information about their responses. Previous RMSA reports are available online: <https://www.archives.gov/records-mgmt/resources/self-assessment.html>

Annual reporting is mandatory for all Federal agencies in the Executive Branch. A few Legislative and Judicial Branch agencies also participate in one or more of these reports. This year we received 116 SAORM reports (94% response rate); 254 for FEMR (95% response rate), and 255 for the RMSA (response rate of 96%). The FEMR and RMSA reports receive numerical scores and risk factor ratings. (For more details on the scoring of the FEMR and the RMSA, see Appendix II.) 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 III.

¹ <https://www.archives.gov/files/records-mgmt/m-12-18.pdf>.

² <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>.

PART I: SENIOR AGENCY OFFICIAL FOR RECORDS MANAGEMENT REPORTS

OVERVIEW

Successful records management programs require senior level support and visibility at the executive level to establish long-term goals and strategic initiatives. Since 2012, this report has been tracking a variety of goals and targets established by the OMB/NARA *Managing Government Records Directive* (M-12-18) to transform recordkeeping in the Federal Government from a reliance on paper records towards a modern and digital government. Managing permanent records in electronic format by December 31, 2019, is the last of these major milestones, but is not the last step. Therefore, this year's SAORM report template included questions beyond the goals of M-12-18.

Of particular importance is NARA's *Strategic Plan 2018-2022* objective to end accepting paper records into the National Archives by December 31, 2022. This move from maintaining costly separate policies, practices, and physical infrastructures in traditional (analog) formats to managing records electronically is also incorporated in the Administration's *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendation*, item 26, under Management Improvements and Efficiency Opportunities, released in June 2018. This year we specifically asked SAORMs to provide information on their plans to address this change.

The SAORM 2018 report template also focused on other aspects of managing permanent electronic records in electronic format including:

- Alignment with the criteria and requirements published by NARA in its *Criteria for Successfully Managing Permanent Electronic Records* (March 2018)
- Utilizing General Services Administration's Schedule 36 to procure technological solutions for electronic records environments
- Other strategic direction and support by the SAORM to incorporate records management into information resource management and ensure proper implementation as described by NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management*.³

(Note: On June 28, 2019, OMB released a new OMB/NARA memorandum, *Transition to Electronic Records* (M-19-21) that requires agencies to continue with the strategic initiatives reflected in their 2018 SAORM reports. This directive rescinds M-12-18.)⁴

The other broader areas for this report ask SAORMs to provide information related to awareness and implementation of records management responsibilities, policies, retention schedules and procedures through briefings, role-based training, and evaluations or auditing.

³ <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>.

⁴ <https://www.whitehouse.gov/wp-content/uploads/2019/06/M-19-21.pdf>.

DATA ANALYSIS

The data indicates confidence towards meeting the December 31, 2019, goal to manage permanent electronic records in electronic format. It shows alignment of strategic plans with the criteria and requirements published by NARA adjusting to total electronic recordkeeping by December 31, 2022. Other data points indicate improved processes for briefing senior staff, SAORMs’ continued support for the records management programs within their agencies, and limited use of General Services Administration’s Schedule 36 to procure electronic records management systems. From the remaining data, implementation by some agencies of role-based records management training and audits or evaluations of records management programs took place in 2018. Agencies also provided suggestions for assistance from NARA to ensure successful transitioning to electronic recordkeeping.

The graphic below (Figure I - 1) shows the results to the ‘yes/no’ question. The rest of Part I provides an analysis based on the explanations provided for each question.

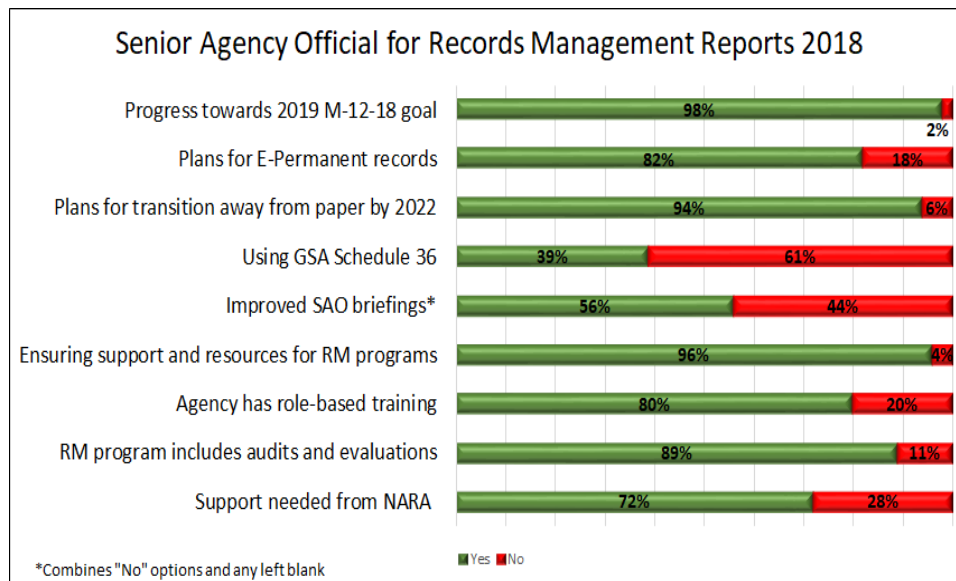


Figure I - 1: Results for objective questions from SAORM 2018 template

Managing Permanent Electronic Records in Electronic Format

The SAORM 2018 template included two questions specifically related to managing permanent records in electronic format: Question 2 covers progress towards managing all permanent electronic records in electronic format by December 31, 2019, and Question 3 covers aligning plans with the criteria and requirements in *Criteria for Successfully Managing Permanent Electronic Records* (March 2018).

Nearly all agencies (98%) reported this year, as they did last year, that they have either met or will meet this target by the end of 2019. To better understand what agencies are actually doing, we asked the SAORMs to provide details. The following is a list of what was mentioned most often:

- Records are already created and maintained electronically.
- An electronic records management system, E-records repository, or electronic document management system is in use or under development.
- Reformatting (digitizing and scanning) efforts for paper or other non-electronic records have been done, are in progress, or are planned.
- Policies and guidance have either been updated or are under review or under development.
- Some agencies are still identifying and inventorying permanent electronic records.
- Some agencies are reviewing and updating their retention schedules.
- A few mentioned budget and staffing as challenges.

Most agencies (82%) indicated that they are already aligning the management of permanent electronic records with the *Criteria for Successfully Managing Permanent Electronic Records* or are planning to do so. The details included the same information as above with the addition of the following:

- Specific plans align with the success criteria are under development.
- Some overall agency strategic planning includes records management requirements including those in the success criteria.
- There is an alignment of records management needs with information technology processes including integration with systems development or other partnerships.
- Training staff on policies and implementation of procedures is listed frequently as a means to ensure success.

One note of possible concern is some responses (even if it is in the minority) focused on email management alone and not on permanent electronic records as a whole. Managing email in electronic format was included in M-12-18 with a deadline that expired at the end of 2016. So agencies should not have answered these two questions about the 2019 deadline without expanding beyond email management.

Transition to Electronic Recordkeeping

As part of its own transition to electronic recordkeeping, NARA set a goal and objective to no longer accept paper records into its holdings after December 31, 2022. In preparation for this major change we needed to understand how agencies would address it within their own practices. Question 4 specifically asks if an agency is developing strategic plans, goals, objectives and initiatives that will enable it to comply with the deadline and to explain their responses. From their responses it appears agencies are preparing for this change with a majority (94%) replying ‘yes’ to the objective question. The further explanations were split between noting records are already created and maintained in electronic format and transferring existing paper to the Federal Records Centers prior to December 31, 2022. Others commented that they are still reviewing the challenge and have not yet formulated a plan.

Use of GSA Schedule 36

The General Services Administration (GSA) provides centralized procurement for the Federal Government. GSA Schedules are technically the industry-based categories for GSA contracts. The GSA list has 31 GSA Schedules (or main product/service categories) and 9 Schedules under the Veterans Affairs/Federal Supply Schedule for medical related products. Recently GSA, in collaboration with NARA, made changes to GSA Schedule 36 to include a variety of records management solutions for physical storage, electronic records management, and other services such as document production, document conversion, destruction, and network connectivity support.

With this revised schedule in place, NARA and GSA were interested in whether agencies are using it. Question 5 covers the use of Schedule 36 for procuring solutions to assist in transitioning to electronic environments. Slightly over half (59%) of responses indicated that agencies were *not* using GSA Schedule 36. However, the low number is not entirely negative. Many of these responses indicated that they had already purchased their electronic records management solutions prior to the changes to this schedule. There were agencies that indicated that the services were not needed without providing any additional details. There was also an indication that some agencies, while not using the schedule now, would most likely use it in the future.

Briefings for Senior Leadership on Records Management Responsibilities

Last year, the majority of agencies (92%) indicated they conducted some level of briefings to senior agency officials and executive leadership on their records management roles and responsibilities. This year, Question 6, we asked about improvements in this area from what was reported last year. Fifty-six percent said they made changes, 31% said changes were unnecessary and 11% said they were considering changes but had not yet implemented them. The remaining 2% answered 'no'. In the explanations for the response, most of the improvements mentioned updating policies that require briefings, more agencies are including exit briefings as well as incoming briefings, and others updated their briefing content.

Support and Resources

In answering Question 7, the majority of SAORMs (96%) said they ensure their agency's records management program has the support and resources it needs. Some examples of the type of support include:

- There is a recognition of general support from the SAORM for records management activities and needs.
- A few agencies hired more staff.
- Improvements in communication were made.
- Agencies have established a direct relationship between the SAORM and Agency Records Officer.
- Agencies have created goals and objectives for the records management program.

- Some agencies mentioned organizational re-alignments that they felt better served the records management program.

Role-based Records Management Training

Records management training is required by 36 CFR 1220.34 and most agencies comply by having at least a general course that describes what records management is and how to implement it. NARA Bulletin 2017-01: *Agency Records Management Training Requirements*, provides minimum requirements and makes recommendations for promising practices. One such practice is role-based training whereby training is tailored to specific groups so that the training can be better applied. The Bulletin suggests that agencies should offer records management training specific to the needs of the following groups:

- Senior level agency officials and political appointees
- Records professionals at all levels within the organization
- Managers and supervisors
- Acquisition, contracting, and procurement personnel
- Attorneys engaged in litigation or advising on records or access to information issues;
- Personnel developing and managing IT systems and applications
- Continuity of Operations and Disaster Preparedness personnel that manage mission essential records

Question 8 specifically asks if agencies have adopted this practice. The majority of agencies (80%) responded that they have developed some type of role-based training. For many the role is limited to specialized training for those with specific records management duties like records custodians, coordinators, or liaisons. Some agencies did mention briefings for senior agency officials and political appointees as role-based training.

For those answering ‘no’ (20%), the reasons given most often included:

- Did not see the need for role based-training (e.g. small or micro agencies).
- Training is under development but does not exist at this time.
- All employees are required to take records management training regardless of their role.

Evaluations or audits of RM Programs

Agencies are required by 36 CFR 1220.34(j) to conduct formal evaluations to measure the effectiveness of records management programs and practices, and to ensure that they comply with NARA regulations. In addition, OMB Circular A-123 includes evaluations as part of risk management and internal controls for all agency programs; this should include records management programs. Although 89% of SAORMs indicated in Question 9 that they have taken steps to direct and support an evaluation or auditing process for their records management programs, we have found this to be an area that needs more attention in most of our inspections of agency records management programs. The following is a list of what information was mentioned most often:

- The agency includes evaluations as part of its overall governance practices.
- Internal control reviews are used.
- There are auditing and other tools for electronic systems in place.
- Evaluations are ad hoc or informal.
- This is an area under development.

Support from NARA to ensure a successful transition to fully electronic recordkeeping

For the past several years we have asked SAORMs to indicate what support, if any, they require from NARA. Previously, this was a general question that covered any type of assistance. This year we specifically asked what support was needed to help agencies with full transition to electronic recordkeeping (Question 10). Many agencies indicated that they did not need NARA's assistance, or were already getting the assistance they needed. It is also apparent that there was some degree of misinterpretation of the question, as some agencies provided what they were doing or how they are currently working with NARA instead of suggestions of what support they needed.

However, 72% of agencies did respond that more support from NARA was needed and provided some specific details. The suggestions most often included are:

- Approve schedules already submitted and assistance with media neutral scheduling.
- Assistance with transferring permanent records.
- Create an FTP for transferring permanent records and/or increase ability to execute transfers of large volumes of e-records.
- Disposal guidance for permanent records which have been digitized.
- Assist with developing evaluation and auditing processes or do more program evaluations and hands-on assistance.
- Provide examples of successful implementation from other agencies.
- Provide guidance on implementing NARA's strategic goal to stop taking paper records by December 31, 2022.

PART I SUMMARY

As the goals set out in 2012 by M-12-18 reach the last milestone date of December 31, 2019, agencies are confident that they will be managing permanent electronic records as M-12-18 intended. The move towards total electronic recordkeeping is also being included in strategic planning and the acquisition and use of electronic information systems, records repositories and cloud services. As NARA moves beyond M-12-18 by working with agencies on the goals set out in M-19-21, we will continue to monitor and provide assistance as needed to ensure successful transition away from paper-based recordkeeping.

[End of Part I: SAORM Reports]

Part II: FEDERAL EMAIL MANAGEMENT REPORTS

For the third time NARA required agencies to assess their email management policies and practices. The risk-based maturity model, introduced in 2016, is based on the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive* (M-12-18).⁵ The criteria provides guidelines for the successful management of email records as demonstrated in agency policies, systems, access, and disposition.

OVERVIEW

The maturity model provides five scenarios with progressively improving standards for each of the four domains -- policies, systems, access, and disposition. Agencies choose which scenario best describes their *current* state of email management. Comment boxes allow for further information the agency wishes to provide. The results of the maturity model are rated on a scale of zero to four, with four being the highest level. NARA assigned low, moderate, and high risk ratings based on the level of achievement. (For more information on scoring and risk levels, see Appendix II.) The overall scores for the majority of agencies (68%) were either a Level 3 or Level 4, indicating they are at low risk for not managing email in accordance with the success criteria. While just under 70% demonstrates progress, we would like to see this number continue to increase.

DATA ANALYSIS

There was considerable improvement in how agencies measured the maturity of their email management from 2016 to 2017 and gradual improvement in 2018 as shown by Figure II - 1.

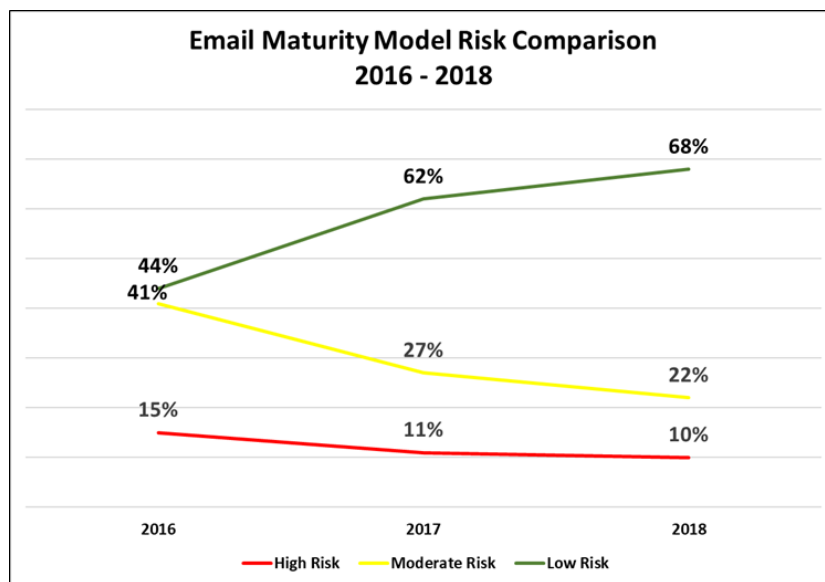


Figure II - 1: Compares the risk level results since the first use of the FEMR Maturity Model

⁵ *Criteria for Managing Email Records in Compliance with M-12-18*, <https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf>.

Other important factors include:

- For 2018 those scoring in the low risk area rose slightly from 62% in 2017 to 68%. This is a considerable improvement from 44% in 2016.
- Fifty agencies (20%) rated themselves with a perfect score of 4.0, more than doubling 21 agencies (or 8%) in 2016.
- Overall 105 agencies (43%) rated their email management maturity levels higher in 2018 than in 2017; 75 agencies (31%) remained the same (some of which were already at a Level 4), and 63 agencies (26%) went down. There were 11 (4%) agencies reporting for the first time or did not report last year, so a comparison could not be made.

DOMAIN 1: POLICIES

The success criteria state 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, regulations and NARA guidance.

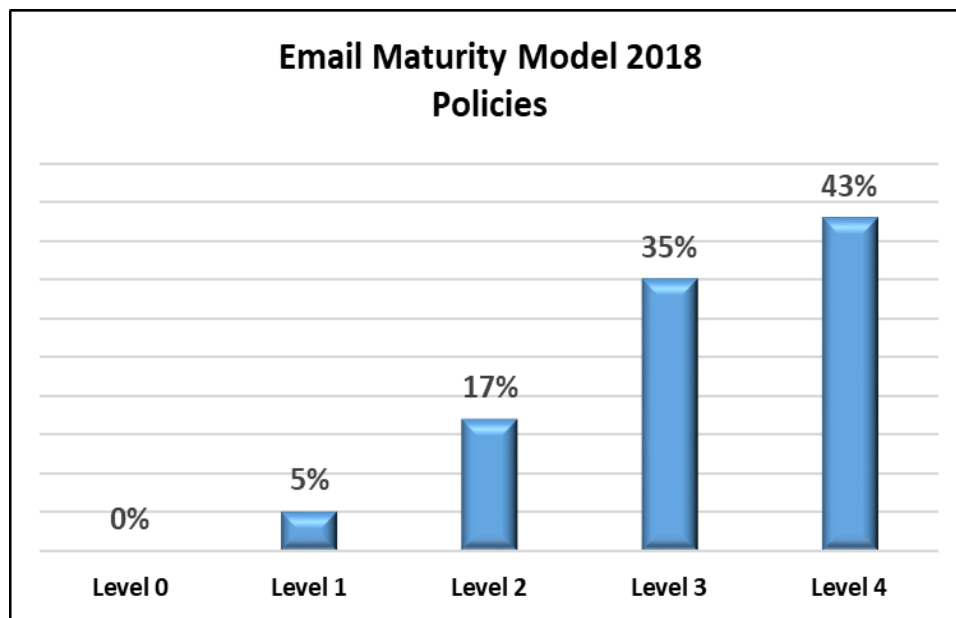


Figure II - 2: FEMR 2018 Email Policies

Most of the agencies reported a success Level 3 or 4, (Figure 2-2) which means that:

- Email policies have either been developed or disseminated or are in place and implemented throughout the agency, including use of personal or non-official accounts.
- 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.

- There are policies and procedures protecting against loss of email records.
- Staff (including senior staff) have been trained on their roles and responsibilities for managing email.
- Records management staff and/or the Inspector General perform periodic audits of email policies to ensure proper use and implementation.
- Annual mandatory Records and Information Management (RIM) and Information Security training includes roles and responsibilities regarding email.

This is in keeping with how agencies reported in 2017; however, there was an overall increase in agencies rating themselves at a Level 4 in this area from 38% in 2017 to 43% in 2018. The rest of the levels are within a few points from where they were before.

DOMAIN 2: EMAIL SYSTEMS

The success criteria for email systems state 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.

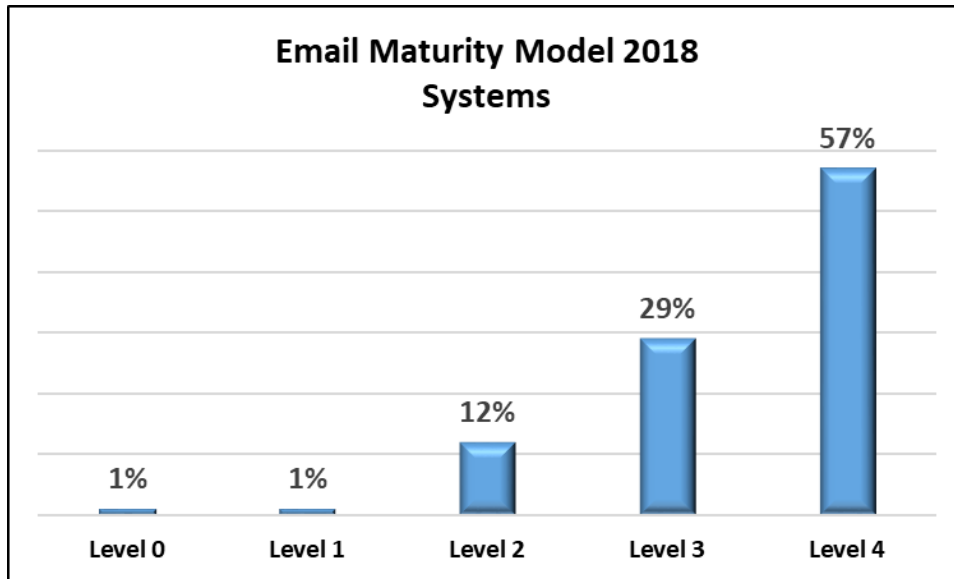


Figure II - 3: FEMR 2018 Email Systems

Most agencies reported a success Level 4, which means that:

- Administration of email systems is specifically assigned.
- Temporary and permanent email categories are identified.
- Systems are under development to handle implementation of agency policies and lifecycle management.
- Electronic retention is the main method for the preservation of email.
- Email systems manage and preserve email in electronic format.

- Limited end user input is needed to apply proper retention, access and disposition policies.
- Permanent email is identified and managed.
- Email systems maintain the content, context, and structure of the records.
- Email records are associated with their creator.

The number of agencies reporting a success Level 4 in this area increased from 49% in 2017 to 56% in 2018. More significant is the decrease from 3% to 1% at Level 0, as this represents improvement by those agencies that needed it the most.

DOMAIN 3: ACCESS

The success criteria for access states 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.

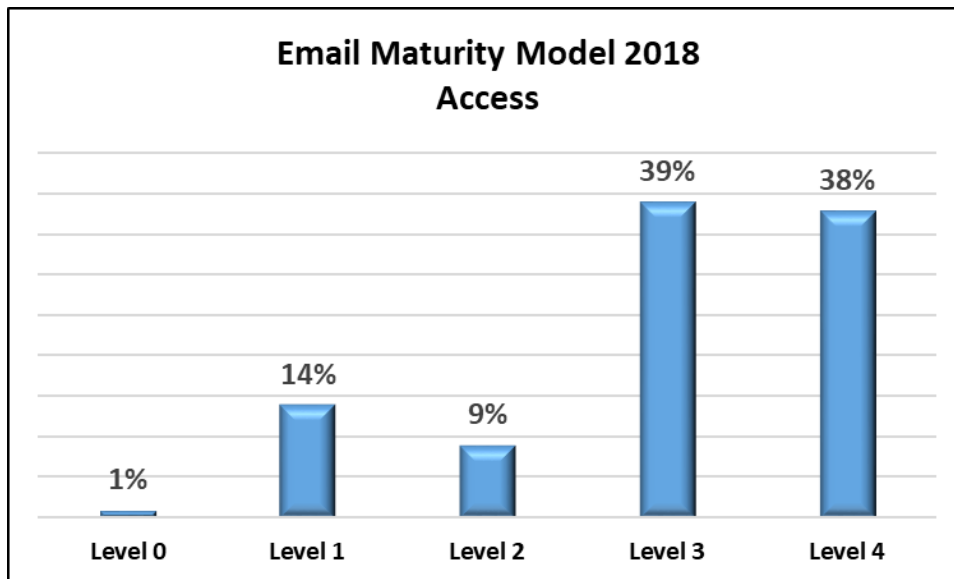


Figure II - 4: FEMR 2018 Email Access

Most agencies reported a success Level 3 or 4 which means 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.
- Processes for the identification and classification of email records are documented and integrated with agency business and mission at the strategic level.

There were subtle changes at each level of this domain from 2017 (see Figure II-5), particularly with the majority shifting lower from Level 4 to Level 3 and slight increase in Level 0. This could be due to changes in existing or new systems mentioned in the SAORM reports that were not fully integrated at the time of reporting.

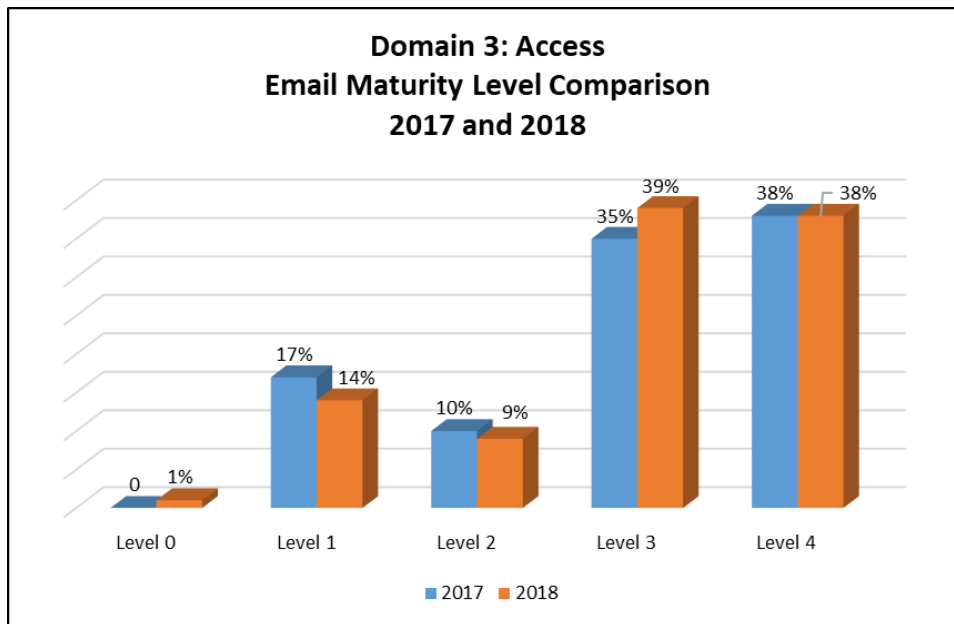


Figure II - 5: Compares changes in maturity between 2017 and 2018 for Email Access

DOMAIN 4: DISPOSITION

The success criteria for records retention scheduling and disposition of email state an 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. This area was the most improved in 2017 and the trend continued in 2018.

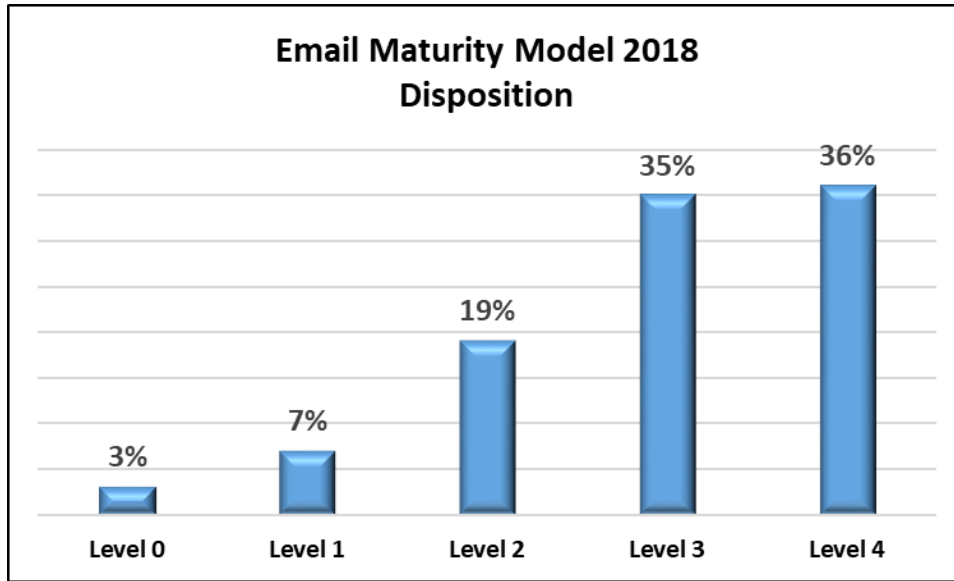


Figure II - 6: FEMR 2018 Email Disposition

The reported levels of success were evenly distributed between Levels 3 and 4 which means that:

- Retention schedule covering email has been approved by NARA.
- End users are trained to oversee the disposition of email records.
- Permanent records are identified and maintained until transfer to NARA.
- Records retention is built into email management systems.
- Permanent records are identified and captured by email management systems.
- Permanent records can be or have been successfully transferred to NARA.

The improvement from 2017 was fairly evenly distributed. (See Figure II - 7)

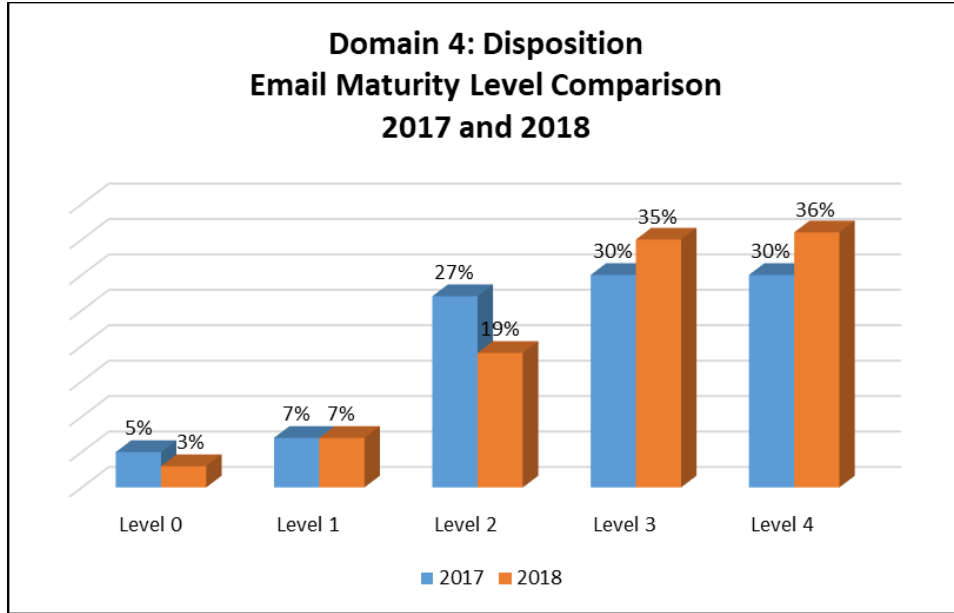


Figure II - 7: Compares changes in maturity between 2017 and 2018 for Email Disposition

It is encouraging to see the shift at the lower levels as agencies continue to improve their scheduling of email, build records retention into email management systems, and identify, capture and improve their ability to transfer permanent email to NARA.

PART II SUMMARY

The maturity model based on the success criteria laid out a consistent way for agencies to view their email management and for NARA to compare programs regardless of agency size and complexity. Continued use of the model over time will allow NARA to monitor whether the risk to email management continues to decrease. Comparing the last three reports shows a steady improvement in how confident agencies are in their email management by consistently rating all four domains at least at Level 3.

[End of Part II: Federal Email Maturity Model Reports]

PART III: RECORDS MANAGEMENT SELF-ASSESSMENT (RMSA)

OVERVIEW

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. Using a low, moderate, and high risk scale, the objective of the RMSA is to determine whether agencies are compliant with statutory and regulatory records management requirements. It also provides agencies with information they can use to measure their compliance and to target their resources to areas needing improvement.

NARA has conducted an annual RMSA since 2009. While it is dependent on self-reported data, it has provided NARA and agencies with a consistent tool. Over the years we have used input from respondents to improve answer options to reflect in progress or under development activities to increase its usefulness. Most agencies that use the tool for their own purposes answer as accurately as possible. Each year NARA conducts a validation process to judge how well responses reflect what we know about a specific agency's records management activity through follow up interviews and provided documentation.

DATA ANALYSIS

The RMSA contains a combination of scored and unscored questions. The questions have been updated periodically to reflect changes in practice and challenges. The scoring of questions, based on statutes and regulations, has remained as consistent as possible to allow annual comparison. Through the RMSA, agencies have become increasingly familiar with how to comply with Federal records management regulations and have made improvements to their programs accordingly.

Last year there was a decrease in low risk and a corresponding increase in moderate and high risk; this trend continued slightly this year with low risk down 1 point to 38%, and moderate risk up 4 points to 51%. On the positive side, high risk decreased by 4 points to 11%. The graphic below shows agencies have been moving between low and moderate risk with high risk decreasing fairly consistently since 2014.

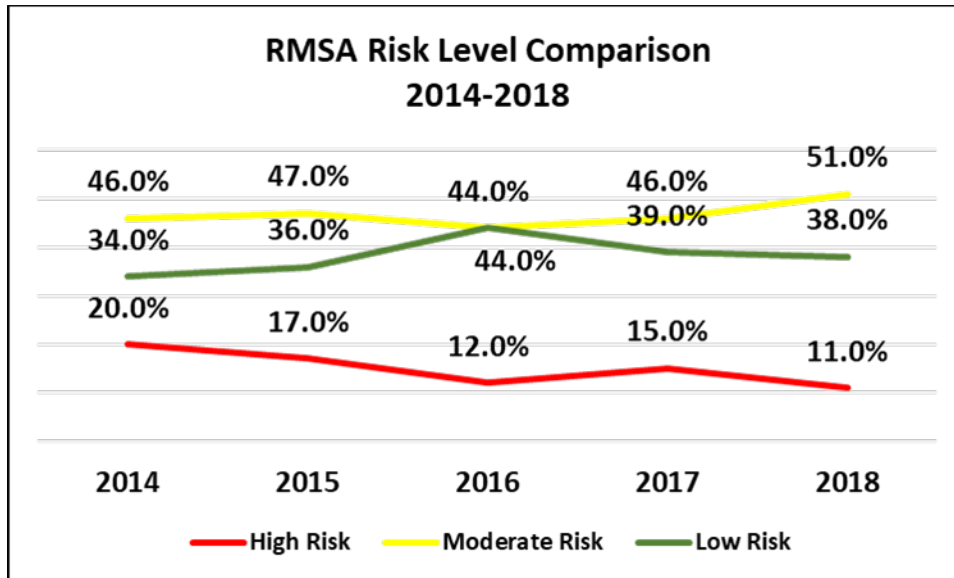


Figure III - 1: Compares the overall risk level results from the last five RMSAs

Some flux is expected due to changes in Federal agency organization and programs. One additional element is changes to some of the answer options from strict ‘yes/no’ to include ‘under development’ or ‘to some extent’ or ‘pending approval.’ Selecting these options could raise some scores and lower others depending upon how an agency answered in previous years.

We recognize that self-reported data is not conclusive in determining whether agency staff and contractors are properly managing records in every case and circumstance. Low risk does not indicate *no risk*. Scoring in the low risk category does not mean an agency is free of records management challenges or they will never experience lapses or failures when managing their records. We also find on closer review of records management programs through inspections and other assessments that RMSA scores only provide a baseline for regulatory compliance and do not always correspond to quality in actual practice. Conversely, we found by interviewing agencies in the high risk category, that this does not always reflect an inability to manage records, particularly within agencies of less than 100 employees.

We did investigate other factors that impact scores particularly for those in high risk. In the first quarter of FY 2019, the Records Management Oversight and Reporting Program in the Office of the Chief Records Officer did a comparative analysis of the Federal Agencies scoring consistently in the high risk category focusing on data from 2017. The purpose of this analysis was to determine any common factors and what if anything NARA can do to help these agencies score better. Conversations with these agencies were very interesting and informative. Common factors included:

- Agency size or number of employees has some impact on how well agencies score, but not entirely.
- The RMSA questionnaire itself is not an issue, but there is some level of misinterpretation or other lack of understanding of the RMSA questions.
- Agencies did not necessarily feel their scores reflected actual practice; however, most did feel their programs needed improvement or at least more information on what a good records management program should entail.
- Agencies with less than 100 FTE (“micro/very small agencies”) have very low volume of records and expressed a lack of need for a comprehensive records management program.
- Agencies are aware of the various ways that NARA helps agencies, and have taken advantage of them from time to time.

In the smaller agencies, volume and diversity of records may be very small; therefore, records are being created, maintained, and accessed as needed. However, as their RMSA scores indicate there is a lack of compliance with regulations, and most likely difficulty or failure to transfer permanent records to the National Archives for these agencies. Looking at 2018 data some of the agencies we spoke with did improve their scores, although most remained in the high risk category.

The RMSA is divided into four scored sections and a fifth section for demographics. The following is an analysis of trends for each section. For information on the validation process, see Appendix III. For statistics per question, see Appendix IV. For individual agency scores, see Appendix V. For a list of non-responding agencies, see Appendix VI.

SECTION ONE: RECORDS MANAGEMENT PROGRAM - ACTIVITIES

This section focuses on major records management program areas including program administration, organizational structure, policy, and training with 7 scored questions out of 11 for a total of 21 possible points. Agencies have usually scored well in this section with 75% of agencies scoring in the low risk category, 20% in the moderate risk category, and 4% in the high risk category.

The scored questions in this section cover compliance with the regulation that prescribes what agencies must do to carry out its records management responsibilities (36 CFR 1220.34). Most agencies answered ‘yes’ to these scored questions.

Compliance with 36 CFR 1220.34			
Question number and topic		90-100%	80-89%
1	There is a person responsible for coordinating and overseeing the RM program (36 CFR 1220.34(a))	√	
5	Where applicable there is a network of designated employees with RM responsibilities in program/administrative areas (36 CFR 1220.34(d))	√	
6	Agency has a RM directive (36 CFR 1220.34(c))	√	
7	The RM directive has been periodically updated within the last 3 years (36 CFR 1220.34(c))		√
8	Agency has RM training for those with direct RM responsibilities (36 CFR 1220.34(f))	√	
9	RM training is mandatory for all staff and contractors and is in place or under development (36 CFR 1220.34(f))	√	
10	Training on RM responsibilities for senior and appointed officials is required (36 CFR 1220.34(f))		√

Table 1: ‘yes’ responses to scored questions relating to records management program activities

SECTION TWO: RECORDS MANAGEMENT PROGRAM - OVERSIGHT AND COMPLIANCE

This section examines how agencies monitor and assess their records management programs with 10 scored questions out of 18 for a total of 20 possible points. Agencies are required to establish effective controls over the creation, maintenance, and disposition of records in all formats (44 U.S.C. Chapter 31 and 36 CFR 1220.30(c)(1)). In addition, OMB Circular A-123 requires agencies to develop and implement appropriate, cost-effective management controls for their programs and operations.⁶ OMB Circular A-130 requires agencies to include records management as part of managing information as a strategic resource.⁷ Conducting evaluations ensures successful implementation of records management policies, procedures, records retention schedules, and other aspects of the program. This year, 49% of agencies are in the low risk category, 42% in the moderate risk category, and 9% in the high risk category. The Figure III - 3 shows fluctuation in scores in this area since 2014.

This year agencies answered ‘yes’ or ‘under development’ most often to specific questions about internal controls and performance management. This could indicate agencies are paying closer

⁶ https://www.whitehouse.gov/omb/circulars_a123_rev.

⁷ <https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A130/a130revised.pdf>.

attention to this area. However, we consistently find during inspections of individual agency records management programs a lack of formal evaluations and performance goals or measures.

Oversight through internal controls and performance management					
Question number and topic		90-100%	80-89%	70-79%	< 70%
Internal controls exist or are under development					
12	To ensure permanent records are transferred to NARA (36 CFR 1222.26 (e))	√			
13	To ensure Federal records are not destroyed before eligibility (36 CFR 1222.26(e))	√			
Evaluations of records management programs through inspections, assessments, audits					
14	Are conducted at all		√		
15	Are conducted at least annually or biennially				√
16	Include a formal written report and corrective actions			√	
Performance management					
17	Performance goals have been established or are under development	√			
18	Performance measures have been identified or are under development	√			

Table 2: ‘yes’ or ‘under development to questions related to internal controls and performance management

Vital (Essential) Records

The protection of records and information in the event of accidents and disasters is an important part of any records management program. The identification of records needed to operate and recover from such events are vital or essential records. NARA’s requirements for agencies related to vital (essential) records are described in 36 CFR 1223. There has been little change for this group of questions over the last several years.

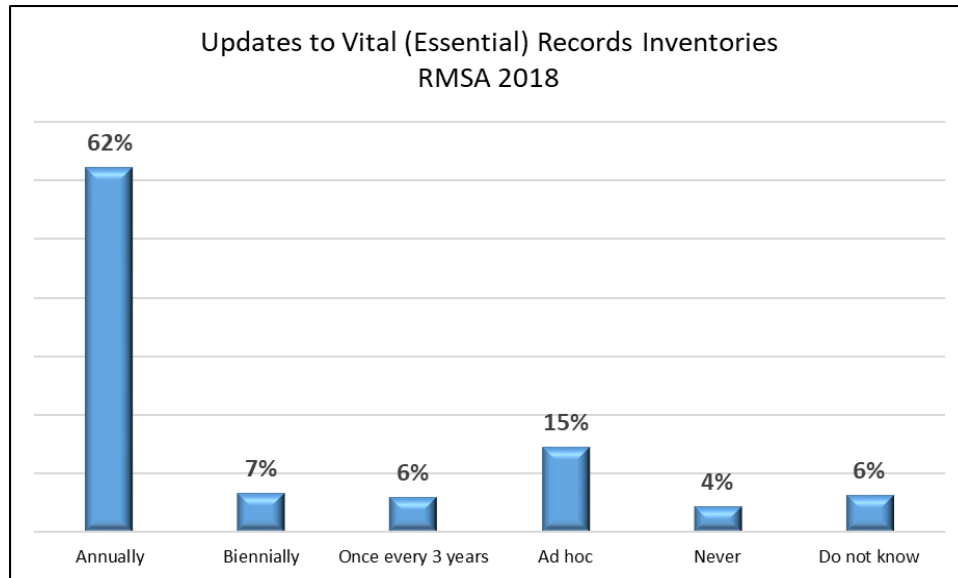


Figure III - 2: Updating inventories of vital or essential records

The majority of agencies identify these records (88%) and include them as part of Continuity of Operations Plans (89%). If there is a concern in this area it would be that only 62% indicated that they updated this information on an annual basis. This should be much higher.

As the number of communities facing flooding, fire, hurricanes, and other disasters appears to be increasing agencies should make greater efforts in this area to ensure that the information they need during such times is available.

Freedom of Information Act (FOIA) Programs

NARA’s Office of Government Information Services (OGIS) is charged with reviewing FOIA policies, procedures and compliance of Federal agencies. FOIA gives the public the right to request access to records from Federal agencies within the Executive Branch, independent regulatory agencies, and some components within the Executive Office of the President. The ability to find and provide records is essential to a successful FOIA program. FOIA and RM programs are usually separate within agencies; however, there should be a working relationship between the two. Agency Records Officers should use the ability of the FOIA program to locate information as one measure of effective records management implementation. Unfortunately

only 84 agencies (33%) said records were always readily accessible, but 139 agencies (55%) did say records were accessible most of the time.

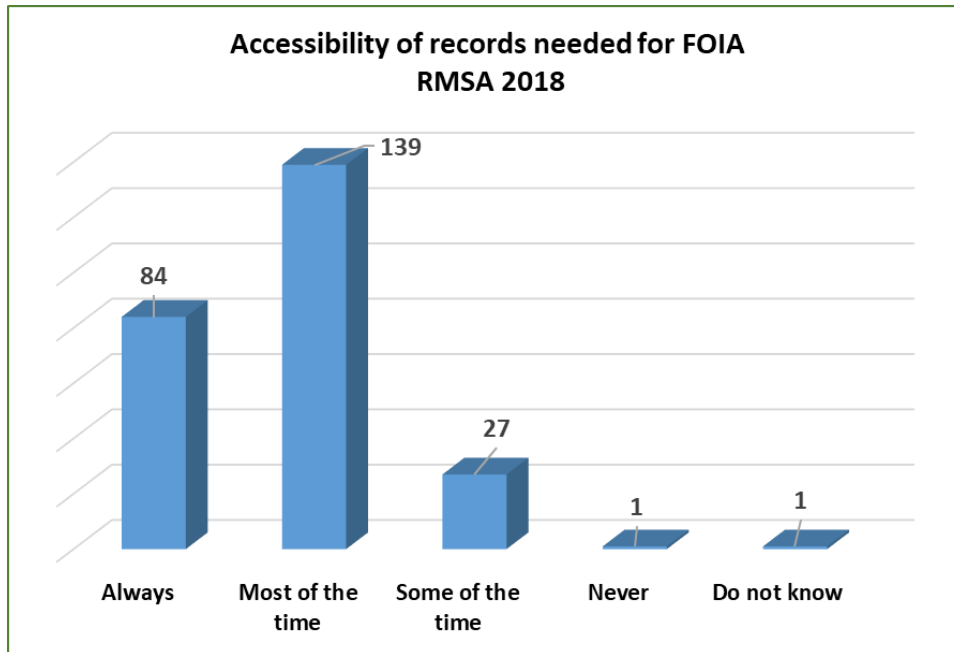


Figure III - 3: Records needed for FOIA are accessible “most of the time”

SECTION THREE: RECORDS MANAGEMENT PROGRAM – RECORDS DISPOSITION

This section focuses on the management of records throughout their lifecycle with 10 scored questions out of 13 for a total of 20 possible points. Agencies with an effective records disposition program maintain current records schedules, ensure proper storage regardless of format, and execute final disposition when records are eligible. NARA’s regulations under 36 CFR 1224 set policies and establish standards, procedures, and techniques for the disposition of all Federal records in accordance with 44 U.S.C. Chapters 21, 29, 31, and 33. The scores in this section rebounded from last year’s decline in low risk to 53%, moderate risk up to 37% and high risk down to 10% activities in this section are a core function of records management the number of agencies in low risk should be much higher than 53%.

Fundamentals of Records Disposition Program

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.

The following table illustrates the responses to questions targeting basic fundamentals. Those answering positively (or yes) were in the 60-69% range. In order for NARA to feel confident in Federal agencies’ records management programs, these numbers should be above 70% and preferably closer to 80%.

Fundamentals of a Records Disposition Program				
Question number and topic		70-89%	60-69%	<60%
30	Submitted a records schedule to NARA for approval FY 2017-2018 (36 CFR 1225.10)		√	
31	Records and information are 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)		√	
32	Records are retrievable and accessible (36 CFR 1220.32(c))			
	all of the time			√
	most of the time			√
33	Dissemination of 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))	√		

Table 3: ‘yes’ or other positive responses to questions related to records disposition

The management of permanent records including transferring eligible records to the National Archives in accordance with approved retention schedules is also a major part of a disposition program. Transferring of permanent records remains low with less than half of agencies transferring non-electronic records and barely one-quarter of agencies transferring electronic records. This is a core activity that is clearly not being done. Even when accounting for new agencies and agencies that indicate they did not have any records eligible for transfer in 2018, this is an area of serious concern.

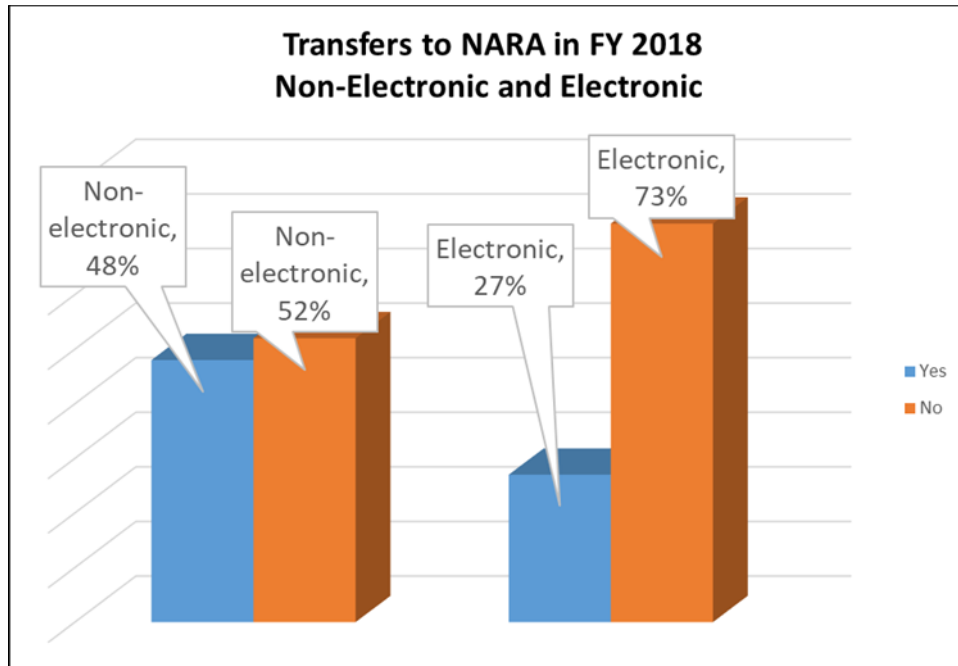


Figure III - 4: Less than half of agencies transferred non-electronic records and even fewer transferred electronic records to NARA in FY 2018

SECTION FOUR: RECORDS MANAGEMENT PROGRAM – ELECTRONIC RECORDS

The ability to create and maintain information electronically increases the speed of access and often makes information easier to use in the short term; however, electronic records present challenges for preservation and access over time. As the reliance on and importance of electronic records grows, so does the need to understand how Federal agencies are managing them. This section is the most heavily weighted and contains 10 scored questions out of 24 for a total of 29 possible points.

The RMSA adds or removes non-scored questions to address changes in electronic records management issues. This year, to some scored questions we included answer options ‘to some extent,’ ‘under development,’ and ‘pending approval’ which provided a broader view of how well agencies are managing electronic information. This could account for raising or lowering scores for some agencies in this section depending on how they answered in prior years.

Questions focus on the integration of records management controls into new and existing systems; preservation of electronic records in usable formats; training in electronic records management; and the preservation of email records. There was some improvement in this section with 49% of agencies now scoring in low risk, 40% moderate risk and only 11% in the high risk category.

Regulations under 36 CFR 1236 include a number of requirements to ensure electronic information systems address recordkeeping requirements, enable migration of records and associated metadata, and incorporates records management functionality. Agencies should also

have inventories of electronic information systems that identify approved disposition authorities. Responses to these questions show that at least 70% of agencies have these in place to some extent, with migration procedures in need of the most attention.

Compliance with 36 CFR 1236 at least to some extent						
Question number and topic		90%	80%	70%	60%	<60 %
43	Incorporation and/or integration of internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems (36 CFR 1236.10)	√				
44	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))					√
45	Maintains 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))			√		
46	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)			√		

Table 4: ‘yes’ or ‘too some extent’ responses to questions related to electronic records management

Permanent Electronic Records

We also asked questions specifically related to policies for preservation of electronic records in electronic format and other management of permanent electronic records. As agencies have been focusing on managing permanent electronic records in electronic format to meet the objectives of M-12-18, responses to questions in this area are mostly positive, with more attention needed for digitization strategies and cloud services.

Electronic Records Management for Permanent Records						
Question number and topic		90%	80%	70%	60%	<60%
49	Policies to maintain permanent e-records in electronic format are in place or under development	√				
50	Policies include preservation of permanent e-records until eligible for transfer to NARA	√				
51	Process or strategy for managing permanent e-records and related metadata in electronic format are in place or under development	√				
52	Policies against unauthorized use, alteration, alienation or deletion of all records are in place or under development	√				
53	Digitization strategy to reformat permanent records created in hard copy or other analog formats are happening at least to some extent			√		
55	Policies for cloud services include recordkeeping requirements and handling of Federal records are in place or under development			√		

Table 5: ‘yes’ responses to questions related to Electronic Records Management for Permanent Records

Electronic Information Systems Design and Migration

For a majority of agencies (87%) records management program staff participate in the design, development, and implementation of new electronic information systems at least to some extent as a stakeholder for system acceptance; requirements gathering; development phases; sign off authority; adherence to standards, policies, and procedures; or at least to provide information.

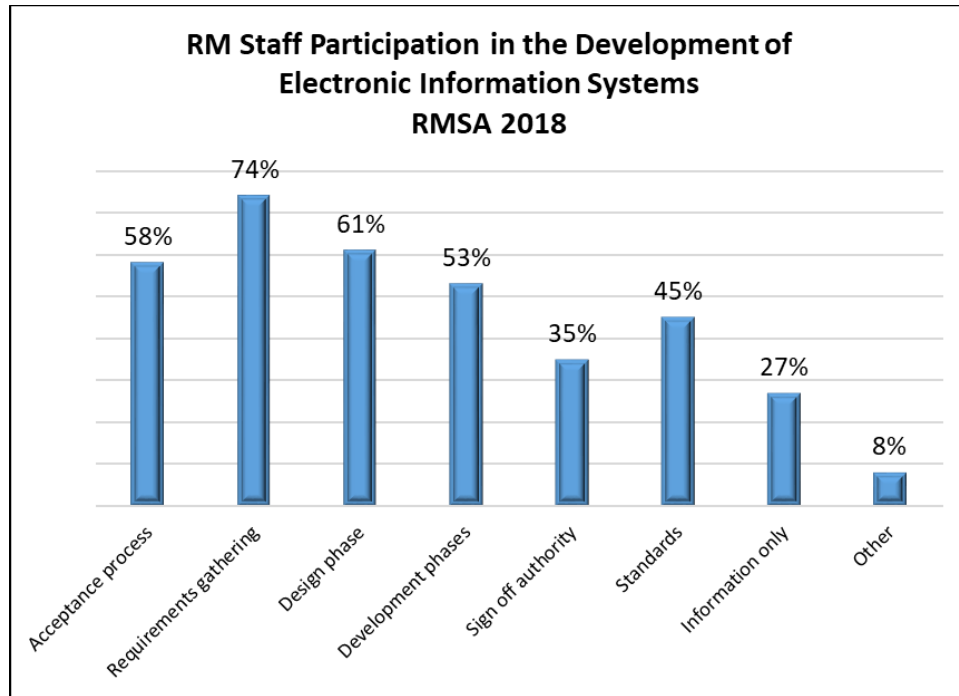


Figure III - 5: Records Management Staff participate in system development in a variety of ways

Use of Cloud Services

Cloud Services is being used for a wide variety of functions, with email being the most often indicated. Agencies must ensure that recordkeeping requirements are included in all cloud services.

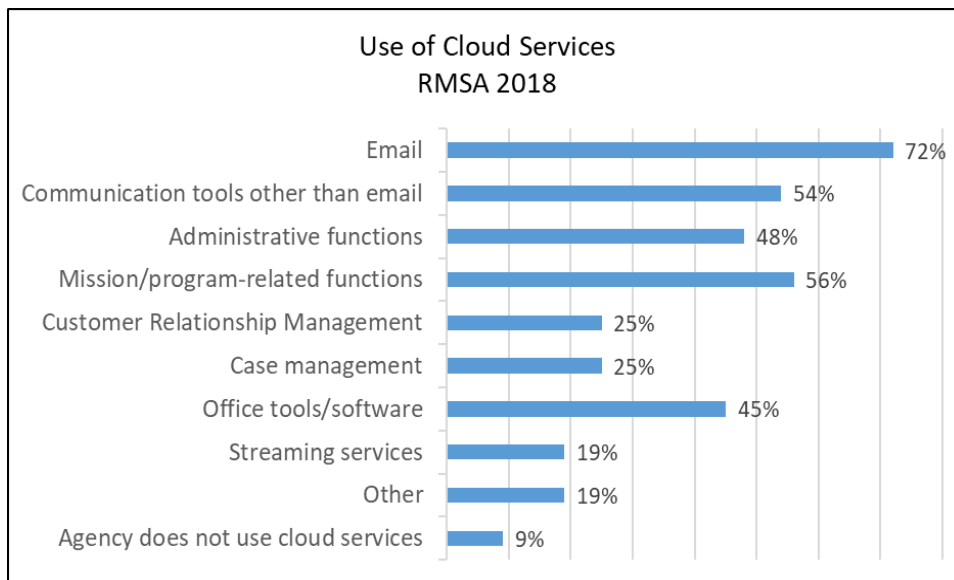


Figure III - 6: There are a variety of uses for cloud services

Email Management

Email management has been a major focus for several years in this section of the RMSA with questions centered on the existence of policies and guidelines. Agencies scored well with the exception of guidelines for transferring permanent email records to NARA and auditing compliance with preservation policies. This is consistent with the lack of transfer of permanent electronic records and the lack of auditing or evaluations found in other sections of the RMSA and inspections of individual agency records management programs.

Email Management Policies in place or pending						
Question number and topic		90%	80%	70%	60%	<60%
56	Managing email with a retention period longer than 180 days (36 CFR 1236.22)		√			
57	Guidelines for transferring permanent email records to NARA					√
58	Administering more than one email account per employee (36 CFR 1236.22)		√			
59	Use of personal email accounts (36 CFR 1236.22(b))	√				
60	System retains the intelligent full names to ID the sender and addressee(s) (36 CFR 1236.22(a)(3))	√				
63	Evaluate, monitor, or audit staff compliance with email preservation policies (36 CFR 1220.18)			√		

Table 6: ‘yes’ or ‘pending approval’ responses related to email management policies

The RMSA also tracks how agencies capture and store email records, particularly the transition away from ‘print and file’ towards various electronic format options. The most important shift is the downward trend for the answer option ‘not captured - email is managed by the end-user in the native format’ shown as the red line in the graph below.

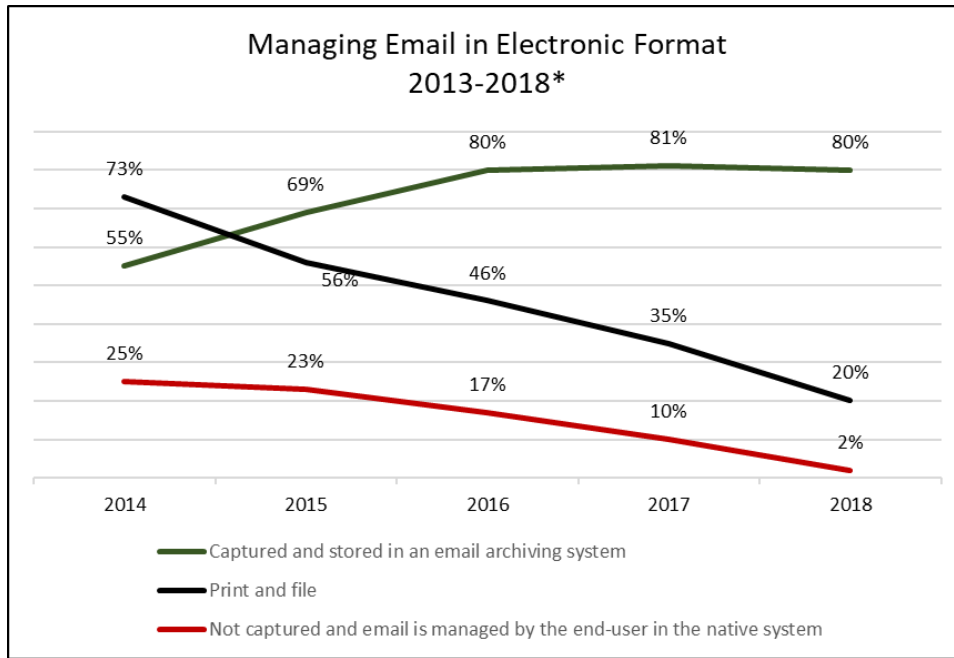


Figure III - 7: Tracks the decrease of print and file and end-user native formats in favor of email archiving systems

*Percentages do not add up to 100% within each year as there were other answer options not graphed and respondents could pick more than one option.

Email Management in the Cloud

To better understand the use of cloud services for email in the earlier question, we also asked agencies what percentage of their email systems are cloud-based solutions. The following shows that over half are using cloud services for 100% of their email needs.

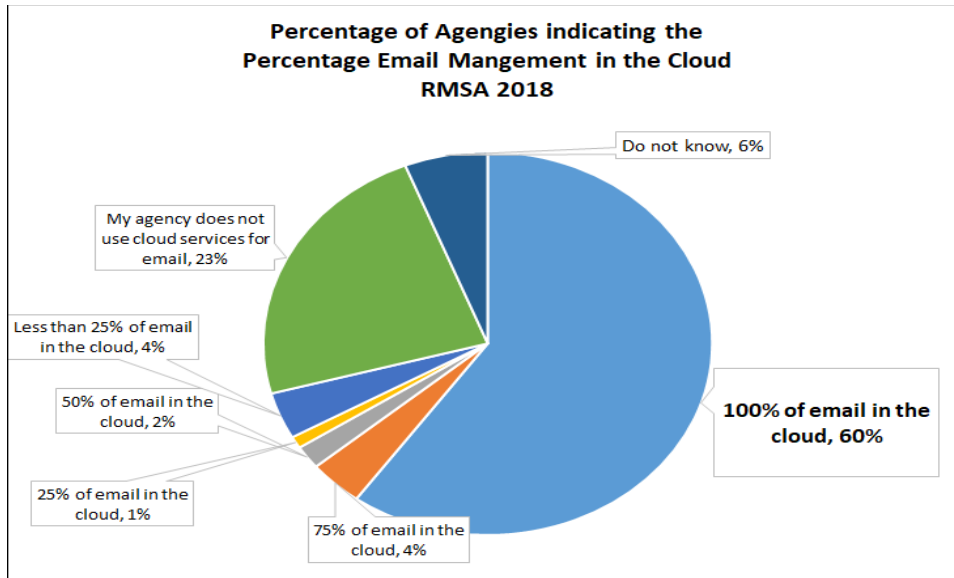


Figure III - 1: The majority of agencies are storing email in the cloud

Challenges to Permanent Electronic Records Management and Email

Given a variety of answer options, agencies identified communication tools other than email (calendars, messaging apps, etc.) as the most challenging for managing permanent electronic records and related metadata in electronic format, followed by email, office tools and software.

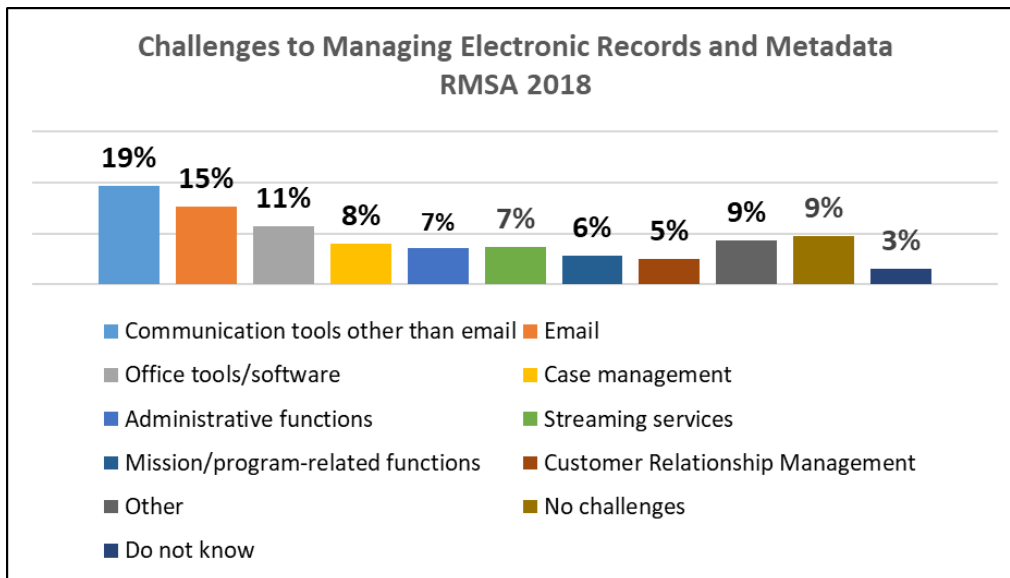


Figure III - 9: Agencies rate challenges to managing electronic records and metadata

SECTION FIVE: DEMOGRAPHIC QUESTIONS

Each year we ask a variety of demographic questions that help describe similarities and differences between agencies.

- Responding agencies are diverse in size, ranging from very large Departments and component agencies to very small micro agencies.

Number of Full-Time Employees (FTEs)	Number of Agencies
Answer Options	Responses
500,000 or more FTEs	3
100,000 – 499,999 FTEs	9
10,000 – 99,999 FTEs	46
1,000 – 9,999 FTEs	75
100 – 999 FTEs	76
1 – 99 FTEs	41
Not Available	5
Total responding: 255	

The respondents consulted a variety of other staff in completing the RMSA including:

- Senior Agency Officials
- Chief Information Officers
- FOIA Officer
- Office of General Counsel
- Program managers
- Information technology staff
- Records liaison officers
- Administrative staff
- Department Records Officers (by component Agency Records Officers)

Other statistics

- Eighty-seven (87) percent of respondents were the Agency Records Officer.
- Eighty-four (84) percent of agencies indicated that their agency’s senior management reviewed their responses to the RMSA.
- Seventy-four (74) percent of agencies use the RMSA to measure the effectiveness of their RM programs.
- The majority of agencies (35%) took more than 3 hours but less than 6 hours to complete the RMSA this year.

PART III SUMMARY

Agencies of all sizes and missions are working to manage rapid technological changes to support mission and business needs, ever-increasing volumes of information, and high public expectations related to access of government information. It is imperative NARA and the Federal records management community continue to work together to identify risks and make improvements, particularly with regard to electronic records management. In order to do so, it is essential to identify areas of concern and discover solutions. The RMSA is just one compliance-centered metric. However, individual and collective results of the RMSA continue to raise the profile of records management and contribute to improved preservation and access to government information. Using this self-assessment, inspections, and other oversight activities, NARA will continue to monitor the modernization and improvement of Federal records management.

[End of Part III: Records Management Self-Assessment]

CONCLUSION

HOW NARA USES ANNUAL REPORTING DATA

NARA uses the information from these annual reports to identify threats and risks, particularly to Federal electronic records, and to develop various ways to mitigate such risks where possible. This can take the form of new or updated policies and guidance; communications with SAORMs, Records Officers, and the Inspectors General community; and various oversight activities such as inspections and assessments.

Under 44 U.S.C. 2904(c)(7) and 2906, NARA has the authority to conduct inspections or surveys of the records and records management practices of Federal agencies for the purpose of providing recommendations for improvements. The criteria for selecting agencies for inspection or records management program review include, but are not limited to, the results of an agency's annual RMSA and other reporting, the significance of certain records and the related business processes, the risk of improper management of records, and the presence of important issues that are relevant to the management of Federal records in general.

For example, in FY 2015, based on RMSA data that indicated differences between how Department Records Officers interacted with component Agency Records Officers, we began a series of inspections of Departmental records management programs and their coordination with component agencies. The Summary Report from the series, published in FY 2019, provides an overview of the common findings and recommendations.

Annual reporting data has been used as background information prior to any inspections and assessments we conduct. Our inspection and assessment reports are available on our website at <https://www.archives.gov/records-mgmt> along with prior versions of this annual report and 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 recognize its role in the oversight of records management programs 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 position 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 more 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 and information technology staff to better recognize records management as part of information resource management as a whole.⁸
- SAORMs should ensure communication and collaboration between the Agency Records Officer and program managers, information technology staff, Inspectors General, the FOIA officer regarding the transfer of permanently valuable electronic records to the National Archives.
- SAORMs should include records management in strategic planning to ensure that information is created, maintained, and available for decision making and accountability.

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

- Agencies must schedule all records in accordance with 36 CFR 1225.
- Agencies must conduct routine evaluations, assessments, and audits of the implementation of their records management programs, and document their findings and recommendations in a written report.
- Agencies must continue to improve electronic records management (including email), particularly in the area of records retention scheduling and final disposition.
- Greater efforts need to be made to transfer eligible permanent records to NARA, regardless of format, and particularly paper records between 2019 and 2022.
- By December 31, 2022, agencies must be able to transfer eligible permanent records in electronic format with acceptable associated metadata.
- Federal agencies must evaluate their ability to transfer permanent records and work with NARA as needed to enhance and ensure transferability.
- Efforts towards digitization and reformatting of non-electronic records to electronic format must continue, keeping in mind that after 2022, NARA will no longer accept temporary records for storage by the Federal Records Center Program.
- Agency Records Officers should initiate and establish collaborative relationships with program managers, information technology staff, Inspectors General, the FOIA officer and with NARA experts to develop procedures for the transfer of permanently valuable electronic records to the National Archives.
- To ensure compliance, agencies must have policies and procedures in place, and training for staff, on the retention of records created through electronic communications including text messages, chat, and other messaging platforms or applications, such as social media.
- Agencies must incorporate records management and archival functions into the design, development, and implementation of information systems in accordance with revised

⁸ 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 and risk tolerance.

OMB Circular A-130, *Managing Information as a Strategic Resource*, and other guidance.

- Agencies must provide targeted records management training to political appointees, senior agency officials, and senior executives upon their arrival and departure, and within three to six months prior to a presidential administration change. (See NARA Bulletin 2017-01)
- Agencies must ensure *new and departing* senior agency officials receive briefings on records management responsibilities and, if applicable, require them to obtain approval before removing personal files or copies of records.
- Agencies must ensure recordkeeping requirements are included in cloud services.

The following is a list of what NARA is committed to doing to facilitate improvements in records management across the Federal government.

- Have policies and processes in place to support Federal agencies' transition to fully electronic recordkeeping.
- Continue its efforts to provide policy and guidance for electronic records management, information stewardship, and governance.
- Enhance its support of Federal agency records management officials with effective policies, modern tools, and new services to support the transition to electronic records.
- Develop Federal records management requirements and work with Federal and commercial vendors to incorporate the requirements into software applications and cloud offerings.
- Work with agencies and the private sector to build capacity for mass digitization of analog records and transition storage of temporary analog records to the private sector.
- Provide reasonable and independent assurance that agencies are complying with relevant laws and regulations.
- Establish appraisal, scheduling, and pre-accessioning processes that reflect modern electronic records management.
- Redesign records management training to assist agencies in building a records management workforce that is skilled in electronic records and data management.
- Establish clear policy on digitizing permanent records and the appropriate disposition of analog originals.
- Define more clearly the roles and responsibilities for Department Records Officers and their relationships with Agency Records Officers.
- Identify and share best practices that promote coordination and cooperation between Departments and Agency Records Officers as a way to improve their records management programs.
- Continue to 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 on the creation and maintenance of records management directives and policies.

APPENDIX I: SAORM 2018 REPORT TEMPLATE

The SAORM 2018 Report template focused on the strategic planning and resources needed for an agency records management program to achieve the final objectives of M-12-18. The template consisted of the following eight questions. For access to each agency's submission, please see <https://www.archives.gov/records-mgmt/resources/saorm-reports>.

1. Identify the agency and components covered by the report.
2. Permanent Electronic Records: "Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)"
3. Permanent Electronic Records: Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its *Criteria for Successfully Managing Permanent Electronic Records* (March 2018)?
4. Transition to Electronic Environment: As included in the Administration's *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations* (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?
5. General Services Administration Schedule 36. Is your agency utilizing General Services Administration's Schedule 36 to procure solutions to assist in transitioning to an Electronic Environment?
6. Briefings for Senior Leadership: Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?
7. SAORM engagement and support: Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management*)
8. Role-based training: Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See NARA Bulletin 2017-01: *Agency Records Management Training Requirements*)
9. Evaluations or audits of RM Programs: Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records management directives, policies, procedures, and retention schedules are being properly implemented?
10. Support from NARA: Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?

Appendix II: Scoring and Risk Factors

Senior Agency Official for Records Management Report

The SAORM Report is an unscored report submitted by each agency SAORM.

Federal Email Management Maturity Model

A maturity model score is an average of points received divided by the number of questions. The email maturity model has four domains, each with a total possible score of four.

- Domain 1: Email Policies
- Domain 2: Email Systems
- Domain 3: Access to Email
- Domain 4: Email Disposition

The total number of points possible is 16. The maximum maturity model score is four. Based on the maturity model score, NARA determined a level of risk for not managing 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.

Records Management Self-Assessment (RMSA)

The RMSA has four sections with scored questions. The last section does not have scored questions. There are 100 possible points distributed across the sections as follows:

Maximum Point Values (per section):

- Section One: Records Management Program - Activities (21 points)
- Section Two: Records Management Program - Oversight and Compliance (30 points)
- Section Three: Records Management Program - Records Disposition (20 points)
- Section Four: Records Management Program - Electronic Records (29 points)
- Section Five: Demographics

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

APPENDIX III: RMSA VALIDATION STRATEGY

Each year, we validate a random sample of agencies’ responses to selected questions through a combination of methods, including a review of documents received from the selected agencies. For 2018 we validated all responses to some of the questions where we could use internal NARA resources.

For 2018 validation, we followed up with 19 questions on topics such as the designation of an SAORM and agency records officer; transfers of permanent records to NARA; FOIA; retention scheduling efforts; and electronic records management including email. Where we used a random sample of agencies, the validation pool included large and small agencies, Department components, and independent agencies.

While overall we feel agencies are forthright in their responses, each year we find that some agencies answer ‘yes’ even if they have not fully achieved compliance, but did not feel ‘no’ was truly applicable either. To account for this, we have been adjusting answer options to allow for under development, in progress, or pending approval. This has helped in most cases add to the validity of the responses.

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

Validation Strategy RMSA 2018			
Q#	Topic	Validation Method	Target Respondents
3	Designation of SAORM	Verify response using 2018 SAORM reports/internal spreadsheet	All responses
19	Policy/Procedure for How to Manage and Store Permanent Records	Request copy of approved policies and procedures	Random sample (10%) of YES responses to Q19, 45, 49-50
23-28	FOIA Questions	Ask OGIS opinion of the answers they got based on their program reviews	All responses
30	Last Records Schedule Submission to NARA	Verify with internal NARA tracking of schedule submissions	FY 2017-2018 only
35	Transfer of Permanent Non-Electronic Records	Verify response with NARA Archival Custodial Units	All responses

Validation Strategy RMSA 2018			
Q#	Topic	Validation Method	Target Respondents
36	Transfer of Permanent Electronic Records	Verify response with NARA Archival Custodial Units	All responses
45	EIS Inventory	Request copy of EIS inventory	Random sample (10%) of YES responses to Q19, 45, 49-50
49-50	Policy/Procedure for Perm E-recs Managed in Electronic Format	Request copy of approved policies requiring this	Random sample (10%) of YES responses to Q19, 45, 49-50
53	Digitization Strategy for Perm Records	Confirm using 2019 SAORM annual report responses	Random sample (10%) of YES responses
59	Policy for use of personal email accounts	Request copy of policies for use of personal email accounts	Random sample (10%) of YES responses
72-74	Assign ARO	Verify response using NARA's ARO list	All YES responses

VALIDATION RESULTS

RMSA question number and topic	Answer matched	Answer did not match	Notations
Q3_Agency has an SAORM	98%	2%	
Q19_Policies and procedures that instruct staff on how to manage permanent records	67%	33%	Statistics based on documents received. There were a few agencies from the random sample that did not send the requested documents.
Q23_Records are readily accessible for FOIA	100%		Responses received matched OGIS knowledge of Federal agencies' FOIA programs
Q24_At what point in the FOIA process an agency informs requesters of the OGIS dispute resolution services	100%		Although doesn't completely match requests OGIS receives, but this does not mean agencies are not referring
Q25_FOIA program submits reports on pending requests and backlogs	100%		Responses received matched OGIS knowledge of Federal agencies' FOIA programs
Q26_Performance measures for non-FOIA professionals	100%		Responses received matched OGIS knowledge of Federal agencies' FOIA programs
Q27_Procedures exist for posting documents on FOIA reading rooms	100%		Responses received matched OGIS knowledge of Federal agencies' FOIA programs
Q28_Listing who is responsible for preparing documents to FOIA reading rooms	100%		Responses received matched OGIS knowledge of Federal agencies' FOIA programs
Q30_Agency submitted a records schedule for approval in FY 2018	85%	15%	Statistics based on internal NARA reports of schedules received/approved
Q35_Agency transferred non-electronic permanent records to NARA during FY 2018	75%	25%	Statistics based on review of a sampling of ERA data for all non-electronic transfers accepted by NARA in FY18 by NARA's custodial units.
Q36_Agency transferred electronic permanent records to NARA during FY 2018	75%	25%	There were errors in responses indicating no e-records were eligible and e-records were not old enough to transfer. This indicates that a significant number of agencies do not have the administrative controls in place to accurately track their transfers of electronic records or know that they have records due for transfer
Q45_Agency maintains an inventory of electronic information systems that indicates whether or not each system is covered by a NARA approved disposition authority	89%	11%	Statistics based on documents received. There were a few agencies from the random sample that did not send the requested documents.
Q49_Agency has policies requiring permanent electronic records be managed in electronic format	67%	33%	Statistics based on documents received. There were a few agencies from the random sample that did not send the requested documents.

RMSA question number and topic	Answer matched	Answer did not match	Notations
Q50_Policies in Q49 also include requirements for preserving permanent records until eligible for transfer to NARA	89%	11%	Statistics based on documents received. There were a few agencies from the random sample that did not send the requested documents.
Q53_Agency has a digitization strategy	82%	18%	Statistics based on SAORM reports
Q59_Agency has policies that address personal email accounts	67%	33%	Statistics based on documents received. There were a few agencies from the random sample that did not send the requested documents.
Q72-73_Agency has an ARO and provided contact information	100%		Based on internal NARA listing of AROs

**Appendix IV: Statistical Results per Question
Records Management Self-Assessment 2018**

SECTION 1: Program Activities

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))		
Answer	Count	Percentage
Yes	253	99%
No	2	1%
Do not know	0	0%
Total agencies responding to this question	255	100%
Q2 - If Yes: Please Provide the person's name, position title, and office		
Q3 - Does your agency have a Senior Agency Official for Records Management (SAORM)? (If you are a component of a department, you may answer "Yes," even if this is not being done at the component level.)		
Answer	Count	Percentage
Yes	245	96%
No	10	4%
Do not know	0	0%
Total agencies responding to this question	255	100%
Q4 - Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's goals?		
Answer	Count	Percentage
Yes	203	84%
No	34	14%
Do not know	4	2%
Total agencies responding to this question	241	100%

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))		
Answer	Count	Percentage
Yes	212	83%
No	15	6%
Do not know	1	0%
Not applicable, agency has less than 100 employees	24	9%
Not applicable, Department Records Officer - this is done at the component level	2	1%
Total agencies responding to this question	254	100%
Q6 - Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))		
Answer	Count	Percentage
Yes	235	93%
No, pending final approval	2	1%
No, under development	14	6%
No	2	1%
Do not know	1	0%
Total agencies responding to this question	254	100%

Q7 - When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?		
Answer	Count	Percentage
FY 2018 - present	162	64%
FY 2016 - 2017	50	20%
FY 2014 - 2015	9	4%
FY 2013 or earlier	18	7%
Do not know	7	3%
Not applicable, agency does not have a records management directive	9	4%
Total agencies responding to this question	255	100%
<p>Q8 - 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))</p> <p>*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.</p>		
Answer	Count	Percentage
Yes	206	81%
No	17	7%
No, pending final approval	2	1%
No, under development	15	6%
Do not know	2	1%
Not applicable, please explain	12	5%
Total agencies responding to this question	254	100%

<p>Q9 - Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policies 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))</p> <p>*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.</p> <p>***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.</p>		
Answer	Count	Percentage
Yes	201	79%
No	21	8%
No, pending final approval	5	2%
No, under development	28	11%
Do not know	0	0%
Total agencies responding to this question	255	100%
<p>Q10 - Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))</p>		
Answer	Count	Percentage
Yes	221	87%
No	30	12%
Do not know	3	1%
Total agencies responding to this question	254	100%
<p>Q11. Please add any additional comments about your agency for Section 1: Activities (Optional)</p>		
<p> </p>		

SECTION II: Records Management Program - Oversight and Compliance		
<p>Q12 - In addition to your agency’s established records management policies and records schedules, has your agency’s records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e))</p> <p>**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.</p> <p>*Examples of records management internal controls include but are not limited to:</p> <ul style="list-style-type: none"> · Regular briefings and other meetings with records creators · Monitoring and testing of file plans · Regular review of records inventories · Internal tracking database of permanent record authorities and dates 		
	Count	Percentage
Answer		
Yes	200	78%
No	16	6%
No, pending final approval	3	1%
No, under development	33	13%
Do not know	3	1%
Total agencies responding to this question	255	100%
<p>Q13 - In addition to your agency’s established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))</p> <p>**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.</p> <p>*Examples of records management internal controls include but are not limited to:</p> <ul style="list-style-type: none"> · Regular review of records inventories · Approval process for disposal notices from off-site storage · Monitoring shredding services · Performance testing for email · Monitoring and testing of file plans · Pre-authorization from records management program before records are destroyed · Ad hoc monitoring of trash and recycle bins · Notification from facilities staff when large trash bins or removal of boxes are requested · Annual records clean-out activities sponsored and monitored by records management staff 		

SECTION II: Records Management Program - Oversight and Compliance		
Answer	Count	Percentage
Yes	219	86%
No	9	4%
No, pending final approval	1	0%
No, under development	24	9%
Do not know	2	1%
Total agencies responding to this question	255	100%
<p>Q14 - 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))</p> <p>**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.</p>		
Answer	Count	Percentage
Yes, evaluations are conducted by the Records Management Program	143	56%
Yes, evaluations are conducted by the Office of Inspector General	4	2%
Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General	25	10%
Yes, evaluations are conducted by:	55	22%
No, please explain	24	9%
Do not know	4	2%
Total agencies responding to this question	255	100%

Q15 - How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)?		
Answer	Count	Percentage
Annually	125	49%
Biennially	29	11%
Once every 3 years	17	7%
Ad hoc	65	25%
Do not know	6	2%
Not applicable, agency does not evaluate its records management program	13	5%
Total agencies responding to this question	255	100%
Q16 - 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	Count	Percentage to responses / number of agencies
Yes, formal report was written	128	35% / 51%
Yes, plans of corrective action were created	89	24% / 35%
Yes, plans of corrective action were monitored for implementation	69	19% / 27%
No	64	17% / 25%
Do not know	4	1% / 2%
Not applicable, agency does not evaluate its records management program	12	3% / 5%
Total responses to this question	366	100%
Total agencies responding to this question	252	100%

Q17 - 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 FY 2018		
· Developing computer-based records management training modules by the end of FY 2018		
· Planning and piloting an electronic records management solution for email by the end of FY 2019		
· Updating records management policies by the end of the year		
· Conducting records management evaluations of at least one program area each quarter		
Answer	Count	Percentage
Yes	197	77%
No	16	6%
Pending final approval	4	2%
Currently under development	36	14%
Do not know	2	1%
Total agencies responding to this question	255	100%
Q18 - 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 includes 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	Count	Percentage
Yes	187	74%
No	24	9%
Pending final approval	4	1%
Currently under development	40	16%

Q17 - Has your agency established performance goals for its records management program?		
Do not know	0	0%
Total agencies responding to this question	255	100%
Q19 - Does your agency's records management program have documented and approved policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))		
Answer	Count	Percentage
Yes	196	78%
No	10	4%
No, pending final approval	11	4%
No, under development	35	14%
Do not know	2	1%
Total agencies responding to this question	254	100%
Q20 - Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)		
*Components of departmental agencies may answer "Yes" if this is handled by the department.		
Answer	Count	Percentage
Yes	221	88%
No	24	10%
Do not know	7	3%
Total agencies responding to this question	252	100%
Q21 - How often does your agency review and update its vital records inventory? (36 CFR 1223.14)		
Answer	Count	Percentage
Annually	159	62%
Biennially	17	7%
Once every 3 years	15	6%
Ad hoc	37	15%
Never	11	4%
Do not know	16	6%
Total agencies responding to this question	255	100%

Q22 - Is your vital records plan part of the Continuity of Operations (COOP) plan?		
Answer	Count	Percentage
Yes	227	89%
No	19	7%
Do not know	9	4%
Total agencies responding to this question	255	100%
Q23 - Records needed to respond to a FOIA request are readily accessible and located by staff responsible for FOIA:		
Answer	Count	Percentage
Always	84	33%
Most of the time	139	55%
Some of the time	27	11%
Never	1	0%
Do not know	1	0%
Total agencies responding to this question	252	100%
Q24 - At what point in the FOIA process does your agency inform requesters of the Office of Government Information Services' (OGIS) dispute resolution services? (Choose all that apply)		
Answer	Count	Percentage to responses / number of agencies
When there is an adverse determination	176	69% / 35%
When notifying the requester that the agency needs more than 10 additional days to process a request	110	43% / 22%
When responding to the requester's appeal	110	43% / 22%
Never	6	2% / 1%
Do not know	15	6% / 3%
Other, please explain	91	36% / 18%
Total response to this question	508	100%
Total agencies responding to this question	255	100%

Q24 - At what point in the FOIA process does your agency inform requesters of the Office of Government Information Services' (OGIS) dispute resolution services? (Choose all that apply)		
Q25 - How often does the FOIA program submit to agency leadership reports on such measures as pending requests and backlog?		
Answer	Count	Percentage
Annually	33	13%
Quarterly	40	16%
Monthly	44	17%
Weekly	80	32%
Never	7	3%
Other, please explain	49	19%
Total agencies responding to this question	253	100%
Q26 - Do your agency's employee performance work plans and appraisals include FOIA performance measures for non-FOIA professionals to ensure compliance with the requirements of FOIA? (Note: The 2016-2018 term of the Freedom of Information Act Advisory Committee endorsed inclusion of FOIA performance standards in Federal employee evaluations and work plans government-wide.)		
Answer	Count	Percentage
Yes	76	30%
No, please explain	119	46%
Do not know	59	23%
Total agencies responding to this question	254	100%
Q27 - Does your agency have procedures for preparing documents for posting on FOIA reading rooms? (Note: The FOIA Improvement Act of 2016 amended Section 3102 of the Federal Records Act, 44 U.S.C., to include a requirement that agencies establish "procedures for identifying records of general interest or use to the public that are appropriate for public disclosure, and for posting such records in a publicly accessible electronic format." This requirement is now included in 5 U.S.C. 552(a)(2).)		
Answer	Count	Percentage
Yes	209	83%
No	27	11%
Do not know	17	7%
Total agencies responding to this question	253	100%

Q28 - Who is responsible for preparing the documents for posting? (Choose all that apply)		
Answer	Count	Percentage to responses / number of agencies
FOIA staff	172	53% / 82%
Program staff	47	14% / 22%
IT/web staff	78	24% / 37%
Other, please explain	27	8% / 13%
Do not know	1	0% / 0.5%
Total response to this question	325	100%
Total agencies responding to this question	209	100%
Q29. Please add any additional questions about your agency for Section II: Oversight and Compliance (Optional)		
Section III: Records Management Program - Records Disposition		
Q30 - When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10)		
Answer	Count	Percentage
FY 2017 - 2018	163	64%
FY 2015 - 2016	21	8%
FY 2013 - 2014	16	6%
FY 2011 - 2012	10	4%
FY 2010 or earlier	30	12%
Do not know	15	6%
Total agencies responding to this question	255	100%

Q31 - Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10, and 36 CFR 1225.12)		
Answer	Count	Percentage
Yes	173	67%
To some extent	75	30%
No	6	2%
Do not know	1	0%
Total agencies responding to this question	255	100%
Q32 - Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))		
Answer	Count	Percentage
All records are easily retrievable and accessible when needed	113	44%
Most records can be retrieved and accessed in a timely manner	130	51%
Some records can be retrieved and accessed in a timely manner	10	4%
No	2	1%
Do not know	0	0%
Total agencies responding to this question	255	100%
Q33 - Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedule items) to agency staff within six months of approval? (36 CFR 1226.12(a))		
Answer	Count	Percentage
Yes	222	87%
No	26	10%
Do not know	7	3%
Total agencies responding to this question	255	100%

Q34 - In addition to your agency's records management policies and records schedules, has your agency developed and implemented internal controls to ensure that all permanent records are created/captured, classified, filed and managed according to their NARA-approved records schedules? (36 CFR 1220.34(i))		
Answer	Count	Percentage
Yes	196	78%
No	53	21%
Do not know	2	1%
Total agencies responding to this question	251	100%
Q35 - Did your agency transfer permanent non-electronic records to NARA during FY 2018? (36 CFR 1235.12)		
Answer	Count	Percentage
Yes	123	48%
Other, please explain	16	6%
No - No records were eligible for transfer during FY 2018	48	19%
No - New agency, records are not yet old enough to transfer	5	2%
No - My agency does not have any permanent non-electronic records	6	2%
No	55	22%
Do not know	2	1%
Total agencies responding to this question	255	100%

Q36 - Did your agency transfer permanent electronic records to NARA during FY 2018? (36 CFR 1235.12)		
Answer	Count	Percentage
Yes	69	27%
No	77	30%
No - No electronic records/systems were eligible for transfer during FY 2018	83	33%
No - New agency, electronic records/systems are not old enough to transfer	8	3%
No - My agency does not have any permanent electronic records	1	0%
Do not know	1	0%
Other, please explain	16	6%
Total agencies responding to this question	255	100%
Q37 - Does your agency conduct and document for accountability purposes training and/or other briefings as part of the on-boarding process for senior officials on their records management roles and responsibilities, including the appropriate disposition of records and the use of personal and unofficial email accounts? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))		
Answer	Count	Percentage
Yes	174	68%
Yes, but not documented	43	17%
No	26	10%
Do not know	4	2%
Not applicable, please explain	7	3%
Total agencies responding to this question	254	100%
Q38 - Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in on-boarding briefings or other processes for newly appointed senior officials?		
Answer	Count	Percentage
Yes	181	84%
No	33	15%
Do not know	1	0%
Total agencies responding to this question	215	100%

Q37 - Does your agency conduct and document for accountability purposes training and/or other briefings as part of the on-boarding process for senior officials on their records management roles and responsibilities, including the appropriate disposition of records and the use of personal and unofficial email accounts? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))		
Q39 - Does your agency conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))		
Answer	Count	Percentage
Yes	197	77%
Yes, but not documented	19	7%
No	31	12%
Do not know	3	1%
Not applicable, please explain	5	2%
Total agencies responding to this question	255	100%
Q40 - Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?		
Answer	Count	Percentage
Yes	191	88%
No	23	11%
Do not know	2	1%
Total agencies responding to this question	216	100%
Q41 - Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))		
Answer	Count	Percentage
Yes	207	96%
No, please explain	9	4%
Do not know	0	0%
Total agencies responding to this question	216	100%
Q42. Please add any additional comments about your agency for Section III: Records Disposition (Optional)		

SECTION IV: Electronic Records		
Q43 - Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)		
Answer	Count	Percentage
Yes	177	69%
To some extent	58	23%
No	13	5%
Do not know	2	1%
Not applicable, please explain	5	2%
Total agencies responding to this question	255	100%
Q44 - Does your agency have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))		
Answer	Count	Percentage
Yes	145	57%
No	35	14%
No, pending final approval	4	2%
No, under development	67	26%
Do not know	4	2%
Total agencies responding to this question	255	100%
Q45 - Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))		
Answer	Count	Percentage
Yes	191	75%
No, please explain	52	20%
Do not know	11	4%
Total agencies responding to this question	254	100%

SECTION IV: Electronic Records		
<p>Q46 - Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)</p> <p>*Components of departmental agencies may answer “Yes” if this is handled by the department.</p>		
Answer	Count	Percentage
Yes	180	71%
No, please explain	67	26%
Do not know	5	2%
Not applicable, please explain	3	1%
Total agencies responding to this question	255	100%
<p>Q47 - Does your agency’s records management program staff participate in the design, development, and implementation of new electronic information systems?</p>		
Answer	Count	Percentage
Yes	119	47%
To some extent	101	40%
No, please explain	27	11%
Do not know	0	0%
Not applicable, please explain	7	3%
Total agencies responding to this question	254	100%
<p>Q48 - Which of these activities does your agency’s records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)</p>		
Answer	Count	Percentage to responses / number of agencies
Participate in review and acceptance of proposals for new systems	127	16% / 58%
Participate as stakeholder in requirements gathering	163	20% / 74%
Participate as stakeholder in the design phase	135	17% / 61%
Participate as stakeholder in the development phase including testing the system	117	15% / 54%
Provide sign off authority for the implementation of new systems	76	10% / 35%
Monitor system for adherence to standards, policies, and procedures	100	13% / 45%

SECTION IV: Electronic Records		
Provide information only	60	7% / 27%
Do not know	1	0% / 0%
Other, please explain	17	2% / 17%
Total responses to this question	796	100%
Total agencies responding to this question	220	100%
Q49 - Does your agency have documented and approved policies requiring permanent electronic records be managed in an electronic format for eventual transfer to NARA?		
Answer	Count	Percentage
Yes	150	60%
No	21	8%
No, pending final approval	5	2%
No, under development	71	29%
Do not know	4	2%
Total agencies responding to this question	251	100%
Q50 - Do the policies include requirements for preserving records until eligible for transfer to NARA?		
Answer	Count	Percentage
Yes	144	97%
No	4	3%
Do not know	1	1%
Total agencies responding to this question	149	100%
Q51 - Does your agency have a process or strategy for managing permanent electronic records, and related metadata, in an electronic form?		
Answer	Count	Percentage
Yes	154	61%
No	16	6%
No, pending final approval	9	4%
No, under development	74	29%
Do not know	1	0%
Total agencies responding to this question	254	100%

Q52 - Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records?		
Answer	Count	Percentage
Yes	204	80%
No	16	6%
No, pending final approval	5	2%
No, under development	26	10%
Do not know	4	2%
Total agencies responding to this question	255	100%
Q53 - Does your agency have a digitization strategy to reformat permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, and analog audio)?		
Answer	Count	Percentage
Yes	111	44%
To some extent	80	32%
No	53	21%
Do not know	10	4%
Total agencies responding to this question	254	100%
Q54 - Does your agency use cloud services for any of the following? (Choose all that apply)		
Answer	Count	Percentage to responses / number of agencies
Email	183	19% / 72%
Communication tools other than email (calendars, messaging apps, etc.)	138	14% / 54%
Administrative functions such as payroll, purchasing, and financial management	123	13% / 48%
Mission/program-related functions	143	15% / 56%
Customer Relationship Management	64	7% / 25%
Case management	64	7% / 25%
Office tools/software	115	12% / 45%
Streaming services	48	5% / 19%
Other, please explain	49	5% / 19%

Q52 - Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records?		
My agency does not use cloud services	23	2% / 9%
Do not know	4	0% / 2%
Total responses to this question	954	100%
Total agencies responding to this question	255	100%
Q55 - Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of Federal records?		
Answer	Count	Percentage
Yes	137	54%
No	33	13%
No, pending final approval	10	4%
No, under development	45	18%
Do not know	13	5%
Not applicable, my agency does not use cloud services	16	6%
Total agencies responding to this question	254	100%
Q56 - Does your agency have documented and approved policies and procedures in place to manage email records that have a retention period longer than 180 days? (36 CFR 1236.22)		
Answer	Count	Percentage
Yes	219	86%
No, please explain	34	13%
Do not know	1	0%
Total agencies responding to this question	254	100%

Q57 - Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA Bulletin 2018-01: Format Guidance for the Transfer of Permanent Electronic Records – Appendix A: Tables of File Formats, Section 9 - Email? (36 CFR 1236.22(e))		
Answer	Count	Percentage
Yes	148	58%
No	102	40%
Do not know	4	2%
Total agencies responding to this question	254	100%
Q58 - Does your agency have documented and approved policies that address when employees have more than one agency-administered email account that states that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)		
*Examples of business needs may include but are not limited to:		
· Using separate accounts for public and internal correspondence		
· Creating accounts for a specific agency initiative which may have multiple users		
· Using separate accounts for classified information and unclassified information		
Answer	Count	Percentage
Yes	186	73%
No	32	13%
No, pending final approval	7	3%
No, under development	26	10%
Do not know	4	2%
Total agencies responding to this question	255	100%

<p>Q59 - 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)</p>		
Answer	Count	Percentage
Yes	216	85%
No	13	5%
No, pending final approval	11	4%
No, under development	14	5%
Do not know	1	0%
Total agencies responding to this question	255	100%
<p>Q60 - Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))</p>		
Answer	Count	Percentage
Yes	228	90%
No	16	6%
Do not know	9	4%
Total agencies responding to this question	253	100%

Q61 - What method(s) does your agency employ to capture and manage email records? (Choose all that apply)		
Answer	Count	Percentage to responses / number of agencies
Captured and stored in an email archiving system	203	42% / 80%
Captured and stored in an electronic records management system	82	17% / 32%
Captured and stored as personal storage table (.PST) files	104	22% / 41%
Print and file	52	11% / 20%
Not captured and email is managed by the end-user in the native system	5	1% / 2%
Other, please be specific:	32	7% / 13%
Total responses to this question	478	100%
Total agencies responding to this question	255	100%
Q62 - What percentage of your email systems are cloud-based solutions?		
Answer	Count	Percentage
100%	152	60%
75%	10	4%
50%	5	2%
25%	4	2%
Less than 25%	10	4%
My agency does not use cloud services for email	59	23%
Do not know	14	6%
Total agencies responding to this question	254	100%

Q63 - Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)		
Answer	Count	Percentage
Yes	177	70%
No	62	24%
Do not know	15	6%
Total agencies responding to this question	254	100%
Q64 - How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?		
Answer	Count	Percentage
Annually	85	49%
Biennially	15	9%
Once every 3 years	6	3%
Ad hoc	66	38%
Do not know	3	2%
Total agencies responding to this question	175	100%
Q65 - Does your agency have documented and approved policies and procedures in place to manage electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?		
Answer	Count	Percentage
Yes	144	56%
No	36	14%
No, pending final approval	8	3%
No, under development	47	18%
Do not know	4	2%
Other, please explain	16	6%
Total agencies responding to this question	255	100%

Q66 - In which of the following areas does your agency have challenges with managing permanent electronic records, and related metadata, in an electronic form? (Choose all that apply)		
Answer	Count	Percentage to responses / number of agencies
Email	82	15% / 32%
Communication tools other than email (calendars, messaging apps, etc.)	104	19% / 41%
Administrative functions such as payroll, purchasing, and financial management	38	7% / 15%
Mission/program-related functions	30	6% / 12%
Customer Relationship Management	27	5% / 11%
Case management	43	8% / 17%
Office tools/software	61	11% / 24%
Streaming services	40	7% / 16%
Other, please explain	46	9% / 18%
My agency does not have challenges managing permanent electronic records and related metadata	51	9% / 20%
Do not know	16	3% / 6%
Total responses to this question	538	100%
Total number of agencies responding to this question	255	100%
Q67. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)		

Section V: Agency Demographics		
Q68 - How many full-time equivalents (FTE) are in your agency/organization?		
Answer	Count	Percentage
500,000 or more FTEs	3	1%
100,000 – 499,999 FTEs	9	4%
10,000 – 99,999 FTEs	46	18%
1,000 – 9,999 FTEs	75	29%
100 – 999 FTEs	76	30%
1 – 99 FTEs	41	16%
Not Available	5	2%
Total agencies responding to this question	255	100%
Q69 - What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)		
Answer	Count	Percentage to responses / number of agencies
Senior Agency Official	149	15% / 58%
Office of the General Counsel	80	8% / 31%
Program Managers	94	10% / 37%
FOIA Officer	215	22% / 84%
Information Technology staff	202	21% / 79%
Records Liaison Officers or similar	103	10% / 40%
Administrative staff	76	8% / 30%
Other, please be specific:	57	6% / 22%
None	6	1% / 2%
Total responses to this question	982	100%
Total agencies responding to this question	255	100%

Q70 - How much time did it take you to gather the information to complete this self-assessment?		
Answer	Count	Percentage
Under 3 hours	65	25%
More than 3 hours but less than 6 hours	90	35%
More than 6 hours but less than 10 hours	38	15%
Over 10 hours	62	24%
Total agencies responding to this question	255	100%
Q71 - Did your agency's senior management review and concur with your responses to the 2018 Records Management Self-Assessment?		
Answer	Count	Percentage
Yes	213	84%
No	35	14%
Do not know	7	3%
Total agencies responding to this question	255	100%
Q73 - Are you the Agency Records Officer?		
Answer	Count	Percentage
Yes	220	87%
No	34	13%
Total agencies responding to this question	254	100%
Q75 - Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?		
Answer	Count	Percentage
Yes	212	74%
No	29	10%
Do not know	10	4%
Comments (Optional): (Please include in your comments how you use the Records Management Self-Assessment.)	34	12%
Total agencies responding to this question	285	100%
76. Do you have any suggestions for improving the Records Management Self-Assessment next year?		

APPENDIX V: INDIVIDUAL AGENCY SCORES

Agency	RMSA Score	FEMR Score
AbilityOne Commission	Non-responsive	Non-responsive
Administrative Conference of the United States	68	2.25
Administrative Office of the US Courts	81	Non-responsive
Advisory Council on Historic Preservation	74	2.75
American Battle Monuments Commission	36	0.75
Armed Forces Retirement Home	21	3
Barry Goldwater Scholarship Foundation	77	2.5
Board of Governors of the Federal Reserve System and the Federal Open Market Committee	96	3.25
Central Intelligence Agency	86	3.5
Chemical Safety and Hazard Investigation Board	59	2.25
Commodity Futures Trading Commission	81	3
Congressional Budget Office	87	3.5
Consumer Financial Protection Bureau	96	4
Corporation for National and Community Service	73	3.75
Council of the Inspectors General on Integrity & Efficiency	Non-responsive	1.75
Court Services and Offender Supervision Agency	90	3.25
Court Services and Offender Supervision Agency/ Pretrial Services Agency for the District of Columbia	85	1.75
Defense Nuclear Facilities Safety Board	88	3
Denali Commission	37	1.5
Department of Agriculture		
Agricultural Marketing Service	86	4
Agricultural Research Service	87	3.5
Animal and Plant Health Inspection Service	97	4
Department Level/Headquarters	100	4
Departmental Staff Offices	100	4
Economic Research Service	88	3.5
Farm Service Agency	100	3

Agency	RMSA Score	FEMR Score
Food, Nutrition and Consumer Services (formerly Food and Nutrition Service)	100	4
Food Safety and Inspection Service	97	4
Foreign Agricultural Service	100	3
Grain Inspection, Packers and Stockyards Administration	94	4
National Agricultural Statistics Service	99	4
National Institute of Food and Agriculture	95	4
Natural Resources Conservation Service	89	4
Risk Management Agency	97	3
Rural Development	87	3.5
US Forest Service	87	3
Department of Commerce		
Bureau of Economic Analysis	80	3.25
Bureau of Industry and Security	80	3.5
Department Level/Headquarters	84	3.25
Economic Development Administration	86	2.75
Economics and Statistics Administration	Not Applicable	Not Applicable
FirstNet	95	2.5
International Trade Administration	87	3.25
Minority Business Development Agency	73	2.75
National Institute of Standards and Technology	94	3
National Oceanic and Atmospheric Administration	86	2.25
National Technical Information Service	35	2.25
National Telecommunications and Information Administration	77	3
Office of the Inspector General	95	1.75
Office of the Secretary	82	2.25
US Census Bureau	63	2
US Patent and Trademark Office	87	3.75
Department of Defense		
Army and Air Force Exchange Service	80	4
Defense Commissary Agency	85	3.5

Agency	RMSA Score	FEMR Score
Defense Contract Audit Agency	93	3.5
Defense Contract Management Agency	32	1.75
Defense Finance and Accounting Service	84	3.25
Defense Information Systems Agency	55	1.75
Defense Intelligence Agency	49	1
Defense Logistics Agency	88	3.5
Defense Security Service	71	1.5
Defense Technical Information Center	87	2.75
Defense Threat Reduction Agency	91	2.5
Department Level/Headquarters	Not Applicable	Not Applicable
Department of the Air Force	92	2
Department of the Army	98	3.75
Department of the Navy	100	4
Joint Chiefs of Staff	93	2.25
Missile Defense Agency	100	4
National Defense University	44	1.5
National Geospatial-Intelligence Agency	49	2.25
National Guard Bureau	34	1.75
National Reconnaissance Office	89	3
National Security Agency/Central Security Service	98	3.25
Office of Inspector General	86	2.75
Office of the Secretary of Defense	92	3
US Africa Command	88	2.5
US Central Command	97	3.5
US European Command	60	1.5
US Indo-Pacific Command	48	1.25
US Marine Corps	87	3.25
US Northern Command	82	1.75
US Southern Command	31	1.25
US Special Operations Command	60	3
US Strategic Command	93	2

Agency	RMSA Score	FEMR Score
US Transportation Command	77	3.5
Department of Education	90	4
Department of Energy		
Bonneville Power Administration	92	3.5
Department Level/Headquarters	84	3.25
Energy Information Administration	85	2.5
National Nuclear Security Administration	76	3.75
Southeastern Power Administration	84	3
Southwestern Power Administration	98	3.25
Western Area Power Administration	56	2.5
Department of Health and Human Services		
Administration for Children and Families	22	0.75
Administration for Community Living	91	3.5
Agency for Healthcare Research and Quality	96	3
Centers for Disease Control and Prevention	91	3.75
Centers for Medicare & Medicaid Services	81	3.5
Department Level/Headquarters	99	3
Food and Drug Administration	72	2.75
Health Resources and Services Administration	97	4
Indian Health Service	78	3
National Institutes of Health	83	3
Office of the Secretary	94	2.25
Substance Abuse and Mental Health Services Administration	87	3
Department of Homeland Security		
Department Level/Headquarters	75	2.5
Federal Emergency Management Agency	81	2.5
Federal Law Enforcement Training Center	Non-responsive	Non-responsive
Transportation Security Administration	79	2.25
US Citizenship and Immigration Services	75	2.5
US Coast Guard	51	1.5
US Customs and Border Protection	66	2.25

Agency	RMSA Score	FEMR Score
US Immigration and Customs Enforcement	46	2.25
US Secret Service	100	3.75
Department of Housing and Urban Development		
Department Level/Headquarters	49	2.75
Office of Inspector General	73	3.5
Department of Justice		
Bureau of Alcohol, Tobacco, Firearms and Explosives	96	3.75
Department Level/Headquarters	97	3.25
Drug Enforcement Administration	92	3.25
Executive Office for Immigration Review	98	2.75
Executive Office for United States Attorneys	92	3
Federal Bureau of Investigation	100	4
Federal Bureau of Prisons	85	3.25
Office of Justice Programs	95	3
United States Marshals Service	86	3
Department of Labor		
Adjudicatory Boards	85	3.75
Bureau of International Labor Affairs	89	2.75
Bureau of Labor Statistics	92	2.75
Department Level/Headquarters	92	3.75
Employee Benefits Security Administration	89	3.75
Employment and Training Administration	92	4
Mine Safety and Health Administration	97	3
Occupational Safety and Health Administration	93	3.75
Office of Administrative Law Judges	90	3.75
Office of Congressional & Intergovernmental Affairs	82	4
Office of Disability Employment Policy	77	4
Office of Federal Contract Compliance Programs	90	3.75
Office of Inspector General	88	4
Office of Labor-Management Standards	83	3.75
Office of Public Affairs	95	3.25

Agency	RMSA Score	FEMR Score
Office of the Assistant Secretary for Administration and Management	92	3.75
Office of the Assistant Secretary for Policy	83	3.75
Office of the Chief Financial Officer	79	3.75
Office of the Executive Secretariat	89	4
Office of the Ombudsman	62	3.75
Office of the Solicitor	97	3.75
Office of Workers' Compensation Programs	94	3.75
Veterans' Employment and Training Service	78	3.75
Wage and Hour Division	90	3.5
Women's Bureau	83	3.75
Department of State	87	4
Department of the Interior		
Bureau of Indian Affairs	83	4
Bureau of Land Management	92	3.25
Bureau of Ocean Energy Management	71	4
Bureau of Reclamation	89	4
Bureau of Safety and Environmental Enforcement	71	4
Department Level/Headquarters	Not Applicable	Not Applicable
National Park Service	94	2.75
Office of Surface Mining Reclamation and Enforcement	71	4
Office of the Secretary	82	4
Office of the Special Trustee for American Indians	83	4
US Fish and Wildlife Service	91	4
US Geological Survey	78	2.5
Department of the Treasury		
Alcohol and Tobacco Tax and Trade Bureau	95	3.75
Bureau of Engraving and Printing	74	2.75
Bureau of the Fiscal Service	67	3.75
Department Level/Headquarters	80	2.75
Financial Crimes Enforcement Network	66	2.25
Internal Revenue Service	96	4

Agency	RMSA Score	FEMR Score
Office of the Comptroller of the Currency	88	4
United States Mint	74	3.5
Department of Transportation		
Department Level/Headquarters	97	4
Federal Aviation Administration	59	1.75
Federal Highway Administration	95	3.75
Federal Motor Carrier Safety Administration	96	4
Federal Railroad Administration	100	4
Federal Transit Administration	92	3.75
Maritime Administration	91	4
National Highway Traffic Safety Administration	95	3.5
Office of Inspector General	91	3.5
Office of the Secretary	98	3.5
Pipeline and Hazardous Materials Safety Administration	99	4
Saint Lawrence Seaway Development Corporation	100	3.75
Department of Veterans Affairs		
Board of Veterans' Appeals	85	3
Department Level/Headquarters	80	3.25
National Cemetery Administration	85	3.25
Veterans Benefits Administration	76	3.25
Veterans Health Administration	95	3.25
Equal Employment Opportunity Commission		
Equal Employment Opportunity Commission	Non-responsive	Non-responsive
Executive Office of the President		
Council on Environmental Quality	86	3.5
Office of Management and Budget	95	3.5
Office of Science and Technology Policy	93	4
Office of the Director of National Drug Control Policy	97	3.5
Office of the United States Trade Representative	80	3.5
Environmental Protection Agency		
Environmental Protection Agency	88	4

Agency	RMSA Score	FEMR Score
Export-Import Bank of the United States	92	3.5
Farm Credit Administration	89	3.75
Federal Communications Commission	87	2.75
Federal Election Commission	46	3
Federal Energy Regulatory Commission	93	3.25
Federal Housing Finance Agency	86	3.75
Federal Judicial Center	81	3
Federal Labor Relations Authority	Non-responsive	Non-responsive
Federal Maritime Commission	84	3.5
Federal Mediation and Conciliation Service	80	1.75
Federal Mine Safety and Health Review Commission	88	3.75
Federal Retirement Thrift Investment Board	84	3.75
Federal Trade Commission	78	2.75
General Services Administration	82	4
Government Accountability Office	100	4
Government Publishing Office	98	3.25
Gulf Coast Ecosystem Restoration Council	35	1.5
Institute of Museum and Library Services	59	3.5
Inter-American Foundation	86	2.75
International Boundary and Water Commission (US/Mexico)	83	2.5
James Madison Memorial Fellowship Foundation	Non-responsive	Non-responsive
Japan-US Friendship Commission	Non-responsive	Non-responsive
Library of Congress	92	3.75
Marine Mammal Commission	64	1.5
Merit Systems Protection Board	63	3.5
Millennium Challenge Corporation	87	2.75
National Aeronautics and Space Administration	96	3
National Archives and Records Administration	99	4
National Capital Planning Commission	61	2.75
National Council on Disability	Non-responsive	Non-responsive
National Credit Union Administration	81	3

Agency	RMSA Score	FEMR Score
National Endowment for the Arts	88	3
National Endowment for the Humanities	47	3
National Indian Gaming Commission	63	2.75
National Labor Relations Board	92	3.75
National Mediation Board	46	2.25
Nuclear Regulatory Commission	97	3.75
National Science Foundation	90	3
National Transportation Safety Board	87	3
Nuclear Waste Technical Review Board	31	0.75
Occupational Safety and Health Review Commission	98	3.5
Office of Navajo and Hopi Indian Relocation	88	2.75
Office of Personnel Management	55	1.75
Office of the Director of National Intelligence	68	2.5
Office of the Special Inspector General for Afghanistan Reconstruction	Non-responsive	Non-responsive
Overseas Private Investment Corporation	Non-responsive	Non-responsive
Peace Corps	92	3.75
Pension Benefit Guaranty Corporation	80	4
Postal Regulatory Commission	89	3.25
Presidio Trust	21	2.25
Privacy and Civil Liberties Oversight Board	82	4
Railroad Retirement Board	80	3.5
Securities and Exchange Commission	99	4
Selective Service System	89	3.25
Small Business Administration	Non-responsive	Non-responsive
Social Security Administration	95	4
Surface Transportation Board	85	2.5
Tennessee Valley Authority	75	3
Truman Scholarship Foundation	Non-responsive	Non-responsive
Udall Foundation	72	1.75
United States Commission on Civil Rights	75	1.75
United States Sentencing Commission	89	2.5

Agency	RMSA Score	FEMR Score
US Access Board	100	4
US African Development Foundation	94	3.5
US Agency for Global Media	70	3.25
US Agency for International Development	94	3
US Commission of Fine Arts	39	1
US Consumer Product Safety Commission	64	2.75
US Court of Appeals for Veterans Claims	Not Applicable	Not Applicable
US Election Assistance Commission	84	2.5
US International Trade Commission	100	4
US Office of Government Ethics	95	4
US Office of Special Counsel	86	2.25
US Tax Court	38	Non-responsive
US Trade and Development Agency	77	2.5

APPENDIX VI: NON-RESPONDING EXECUTIVE BRANCH AGENCIES

- Ability One Commission (RMSA and FEMR)
- Administrative Office of the US Courts (FEMR)
- Council of the Inspectors General on Integrity & Efficiency (FEMR)
- Department of Commerce (SAORM)
- Equal Employment Opportunity Commission (SAORM, RMSA, FEMR)
- Department of Homeland Security/Federal Law Enforcement Center (RMSA, FEMR)
- James Madison Memorial Fellowship Foundation (SAORM, RMSA, FEMR)
- Japan-US Friendship Commission (SAORM, RMSA, FEMR)
- National Council on Disability (SAORM, RMSA, FEMR)
- Office of the Special Inspector General for Afghanistan Reconstruction (SAORM, RMSA, FEMR)
- Overseas Private Investment Corporation (SAORM, RMSA, FEMR)
- Presidio Trust (SAORM Report)
- Small Business Administration (RMSA and FEMR)
- Tennessee Valley Authority (SAORM Report)
- Truman Scholarship Foundation (SAORM, RMSA, FEMR)
- US African Development Foundation (SAORM Report)



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