**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)**

**2023 RECORDS MANAGEMENT SELF-ASSESSMENT**

**Welcome to the 2023 Records Management Self-Assessment!**

***Before you begin, please note the following information.***

Except where indicated, the questions in this survey are intended to cover all records regardless of format, as defined in 44 U.S.C. 3301.

The questions apply regardless of whether your agency’s work processes are conducted manually or electronically.

Your answers to the self-assessment questions must be specific to records management activities in your agency. We have added a “Not Applicable” answer option to some questions. In general, use this option only if a question references an activity or action that is not conducted in your agency because of its size or if you are a Departmental Records Officer and are not responsible for the activity or action. In some cases, if the activity is being done by a departmental records management program, component agencies of that department may answer “Yes.” If the activity is outsourced to a third party, your agency may answer “Yes.”

**NOTE:** Please note that your responses to questions in this assessment may be subject to public release pursuant to the Freedom of Information Act (FOIA). However, we will not release responses to questions that contain detailed descriptions of agency activities.

NARA reserves the right to follow up with your agency to obtain additional information and/or documentation that supports your responses to the questions in this self-assessment.

As in previous years, we will be conducting a validation process. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

This version of the questions is for your convenience to use while gathering information and compiling the official response.

***Please do not return this form to NARA. Your agency's official response must be entered into the online survey tool using the link sent to the Agency Records Officer or the agency-designated point-of-contact.***

If you have any questions about this self-assessment or need additional information to answer a question(s), please contact us at rmselfassessment@nara.gov.

**Please enter your contact information below.**

First Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Last Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Job Title:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone Number:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Department/Independent Agency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Component/Subordinate Agency (if applicable): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Are you the Agency Records Officer?**

☐ Yes

☐ No

**If No: Please provide the Agency Records Officer’s contact information.**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Phone Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Section I: Management Support and Resourcing**

Management support and a strong positioning of an agency’s records management program in the organizational structure is key to program success. This section includes questions related to the areas that support the records management program including responsibilities, internal controls, performance management, training, monitoring of program implementation, and the records of senior officials and executives.

**The following series of questions relates to records management program leadership.**

1. Has your agency assigned an individual with operational responsibility for the agency records management program and **provided contact information to NARA** as required? (36 CFR 1220.34(b) and NARA Bulletin 2017-02)

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

☐ Yes, agency has formally notified NARA

☐ Yes, but my agency has not formally notified NARA

☐ No, the position is currently vacant

☐ No, the position does not exist

☐ Do not know

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

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

☐ Yes

☐ No

☐ Do not know

☐ Not applicable, agency has less than 100 employees

☐ Not applicable, Departmental Records Officer - this is done at the component level

**The following series of questions relates to records management program controls, monitoring and oversight.**

*Agency records management programs must provide for effective controls over the creation, maintenance, and use of records in the conduct of current business. (36 CFR 1220.30(c)(1))*

*Internal controls are integral components of an organization’s management that provide reasonable assurance of the effectiveness and efficiency of operations; reliability of financial reporting; and compliance with applicable laws and regulations. (“*[*Standards for Internal Control in the Federal Government*](https://www.gao.gov/products/GAO-14-704G)*” (GAO-14-704G), U.S. Government Accountability Office, September 2014.)*

 *Internal controls are:*

* *Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance;*
* *Processes consisting of ongoing tasks and activities—a means to an end, not an end in itself;*
* *Carried out by people—not merely about policy and procedure manuals, systems, and forms, but about people and the actions they take at every level of an organization to effect internal control;*
* *Able to provide reasonable assurance, but not absolute assurance, to an entity’s senior management;*
* *Adaptable to the organization’s entire structure—flexible in application for the entire entity or for a particular regional office, division, operating unit, or business process.*

*Control activities occur throughout the organization, at all levels and in all functions. They include a range of activities as diverse as approvals, authorizations, verifications, reconciliations, reviews/audits of operating performance, security of assets (limited access to inventories or equipment), and segregation of duties (separate personnel with authority to authorize a transaction, process the transaction, and review the transaction). Monitoring the effectiveness of internal controls should occur in the normal course of business. Periodic assessments should be integrated as part of management’s continuous monitoring of internal control, which should be ingrained in the agency’s operations. (“*[*2013 Internal Control - Integrated Framework*](https://www.coso.org/guidance-on-ic)[*,*](https://www.coso.org/sitepages/internal-control.aspx?web=1)*” Committee of Sponsoring Organizations (COSO) Executive Summary, May 14, 2013; and* [*OMB Circular A-123, “Management’s Responsibility for Enterprise Risk Management and Internal Control,*](https://obamawhitehouse.archives.gov/omb/circulars_default)*” July 15, 2016.)*

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

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

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

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

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

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

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

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

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

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

5.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))

☐ Yes

☐ No

☐ To some extent

☐ Do not know

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

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

6. Has your agency established performance goals for its records management program? (36 CFR 1222.26(e) and OMB Circulars A-123 and A-130)

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

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

☐ Yes

☐ No

☐ Pending final approval

☐ Currently under development

☐ Do not know

*Performance measures are the indicators or metrics against which a program’s performance can be gauged. Performance measures should provide a basis for comparing actual results with established performance goals. (“*[*Performance Measurement Challenges and Strategies*](https://georgewbush-whitehouse.archives.gov/omb/performance/challenges_strategies.html)*,” June 18, 2003, white paper associated with the Office of Management and Budget’s Program Assessment Rating Tool (PART); and “*[*Government Performance and Results Modernization Act of 2010*](https://www.govinfo.gov/content/pkg/PLAW-111publ352/pdf/PLAW-111publ352.pdf)*,” Section 4, Performance Reporting Amendments. See also* [*https://www.performance.gov/*](https://www.performance.gov/).)

7.Has your agency’s records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? (36 CFR 1222.26(e) and OMB Circulars A-123 and A-130)

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

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

☐ Yes

☐ No

☐ Pending final approval

☐ Currently under development

☐ Do not know

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

8. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? (36 CFR 1220.34(j))

**\*\***For this question, your agency’s records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency’s electronic (digital) records) must be the primary focus of the inspection/audit/review.

**\*\*\* Do not include inspections and assessments conducted by NARA.**

☐ Yes, evaluations are conducted by the Records Management Program

☐ Yes, evaluations are conducted by the Office of Inspector General

☐ Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General

☐ Yes, evaluations are conducted by: (fill in the blank)

☐ No, please explain

☐ Do not know

9. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)? (36 CFR 1220.34(j))

☐ Annually

☐ Biennially

☐ Once every 3 years

☐ Ad hoc

☐ Do not know

☐ Not applicable, agency does not evaluate its records management program

10.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)

☐ Yes, formal report was written

☐ Yes, plans of corrective action were created

☐ Yes, plans of corrective action were monitored for implementation

☐ No

☐ Do not know

☐ Not applicable, agency does not evaluate its records management program

☐ Not applicable, agency has less than 100 employees

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

11.Has your Agency Records Officer obtained the Agency Records Officer Credential (AROC)? (NARA Bulletin 2019-02)

☐ Yes

☐ In progress

☐ No

☐ Do not know

☐ Not applicable, my agency does not currently have a designated Agency Records Officer

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

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

12.Does your agency have internal records management training\*, based on agency policies and directives, for employees assigned records management responsibilities?(36 CFR 1220.34(f))

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

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

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

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

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

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

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

☐ Records management training is informal and ad hoc

☐ There is *only* general records management information, and training is included with other non-records management related topics

☐ Records management training meets the minimum required standards without any additional training

☐ Records management training meets the minimum required standards with additional role-based or advanced training available

☐ None of the above

☐ Do not know

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

☐ Records management training is virtual and available through internal learning management system or equivalent

☐ General and other informational records management training are conducted in person by the Agency Records Officer (and/or Department Records Officer)

☐ General and other informational records management training are conducted in person by other records management staff (applies to staff whose primary duty is records management but are not the Department Records Officer or Agency Records Officer)

☐ General and other informational records management training are conducted by Records Liaison Officers or other staff assigned records management responsibilities as an added duty within each agency office, program, or organization

☐ Records management training by self-training in the form of job-aids, frequently asked questions, special topic fact sheets, or similar

☐ Training materials from NARA’s Records Management Training Program website are used

☐ All of the above

☐ None of the above

☐ Do not know

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

☐ Records management training materials are developed and maintained by the Agency Records Officer (and/or Department Records Officer)

☐ Each office is responsible for developing and maintaining their own general and other informational records management training

☐ The Agency Records Officer (and/or Department Records Officer) drives the content of records management training but materials are developed by someone else. Please explain\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

☐ Additional training materials in the form of job-aids, frequently asked questions, special topic fact sheets, or other similar materials are created by the Department Records Officer/Agency Records Officer/records management staff and posted to intra-agency information boards, websites, SharePoint sites, learning management system or other employee informational places

☐ All of the above

☐ None of the above

☐ Do not know

**The following series of questions relates to training and briefings for senior officials.**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (General Records Schedule (GRS) 6.1, item 010)*

**Note: This applies to all senior officials within an agency - NOT just the Senior Agency Official for Records Management.**

17.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))

☐ Yes

☐ No

☐ Do not know

18.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))

☐ Yes

☐ Yes, but not documented

☐ No

☐ Do not know

☐ Not applicable, please explain

19. 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))

☐ Yes

☐ Yes, but not documented

☐ No

☐ Do not know

☐ Not applicable, please explain

20. Does your agency routinely integrate language covering records management obligations into contracts for services and products? ([Click here for more information](https://www.archives.gov/records-mgmt/policy/records-mgmt-language))

☐ Yes

☐ No

☐ Do not know

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

**Section II: Policies**

A successful records management program has a governance framework, articulated policy, and clear standards. For electronic (digital) records management this is particularly important due to fragility, security vulnerabilities, and other unique characteristics of electronic (digital) records.

**The following series of questions relates to records management directives and policies.**

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

☐ Yes

☐ No, pending final approval

☐ No, under development

☐ No

☐ Do not know

23.Whenwas your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance? (36 CFR 1220.34(c))

☐ 2023 - present

☐ 2021 - 2022

☐ 2019 - 2020

☐ 2018 or earlier

☐ Do not know

☐ Not applicable, agency does not have a records management directive

24.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? (36CFR 1222.34(e))

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

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

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

26.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)

☐ Yes

☐ No, pending final approval

☐ No, under development

☐ No, please explain

☐ Do not know

27. Does your agency have **documented and approved** policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records – [Appendix A: Tables of File Formats](https://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html), Section 9 - Email? (36 CFR 1236.22(e))

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

*Regardless of how many federal email accounts individuals use to conduct official business, agencies must ensure that all accounts are managed, accessible and identifiable according to federal recordkeeping requirements. (36 CFR 1236.22)*

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

 \*Examples of business needs may include but are not limited to:

* Using separate accounts for public and internal correspondence
* Creating accounts for a specific agency initiative which may have multiple users
* Using separate accounts for classified information and unclassified information

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

29. 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)

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

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

☐ Yes

☐ No

☐ Do not know

31. Does your agency have documented and approved policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?

*Note: Electronic messages means electronic mail and other electronic messaging systems*

*that are used for purposes of communicating between individuals. Electronic messages*

*that satisfy the definition of a federal record under the Federal Records Act are*

*electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See:* [*Email Management*](https://www.archives.gov/records-mgmt/email-mgmt) *and* [*36 CFR 1236: Electronic Records Management*](https://www.ecfr.gov/current/title-36/chapter-XII/subchapter-B/part-1236)*)*

☐ Yes

☐ No

☐ Do not know

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

**Section III: Systems**

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

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

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

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

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

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

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

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

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

33.Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic (digital) records maintained in electronic information systems? (36 CFR 1236.10)

☐ Yes

☐ To some extent

☐ No

☐ Do not know

☐ Not applicable, please explain

34. Has your agency implemented electronic recordkeeping systems to ensure that all permanent records are created/captured, classified, filed, managed and retained with appropriate metadata according to their NARA-approved records schedules? (36 CFR 1220.34(i), 36 CFR 1236.12, 36 CFR 1236.14)

☐ Yes

☐ Yes, but not fully implemented yet

☐ No, but plan to

☐ No, not being considered at this time

☐ Do not know

☐ Other, please explain

35. 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))

☐ Yes

☐ No, please explain

☐ Do not know

36. Is your agency using NARA’s digitization standards in 36 CFR 1236, Subpart D and Subpart E?

☐ Yes

☐ No

☐ Do not know

☐ Not applicable, my agency is not currently digitizing records

37. Does NARA’s digitization guidance in regulations and on NARA’s website at <https://www.archives.gov/records-mgmt/policy/digitization> meet your agency’s expectations?

☐ Yes

☐ No, please explain

☐ Do not know

38. Has your agency identified permanent series that will need to be digitized? (36 CFR 1236.40 (a)(1)

☐ Yes

☐ To some extent

☐ No

☐ No, but are working on plans to identify

☐ Do not know

39. If Yes: Does your agency plan to digitize permanent records in analog formats (e.g., microfiche, microfilm, analog video and analog audio) and transfer the digital versions to NARA?

☐ Yes

☐ No

☐ No, but are working on the strategy

☐ Do not know

40. Is your agency digitizing records in order to designate the digitized version as the recordkeeping copy? (36 CFR 1236.30(a) and(b))

☐ Yes

☐ No

☐ Do not know

☐ Not applicable, my agency is not currently digitizing records

41.If Yes: When digitizing permanent records, have you established a validation process to ensure that your digitized versions comply with the requirements in 36 CFR 1236 Subpart E?

☐ Yes

☐ No

☐ Do not know

42. If Yes to Q41: When digitizing permanent records, has your agency identified an appropriate staff position to validate your digitized records?

☐ Yes

☐ No

☐ Do not know

43. If Yes to Q41: Does your agency’s digitization process include procedures to validate and retain documentation indicating that the digitized versions are of suitable quality to replace the source records? (36 CFR 1236.34 and 1236.56)

☐ Yes

☐ No

☐ Do not know

44. 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))

☐ Yes

☐ No

☐ Do not know

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

☐ Captured and stored in an archiving system

☐ Captured and stored in an electronic records management system

☐ Captured and stored in shared drives or personal drives

☐ Captured and stored using cloud services with records management included

☐ Captured and stored using cloud services but records management IS NOT included

☐ Captured and stored as PDF or other format in case files

☐ Print and file to paper

☐ Other, please be specific:

46.If ‘Print and file to paper’: Please explain why or for what purposes ‘print and file to paper’ is being used.

47.Is your agency using or exploring artificial intelligence to identify records and distinguish between temporary and permanent retention?

☐ Yes

☐ No

☐ Do not know

48.If Yes: What are they, and how are they being used?

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

**Section IV: Access**

Records support an agency’s ability to carry out its business functions. Access to records means they remain usable, retrievable, and protected throughout their lifecycle. This section contains questions relating to the access and usability of records to conduct agency business in accordance with the appropriate transfer and disposition schedule and that ensures records are searchable, retrievable, and usable for as long as they are maintained in agency custody.

**The following series of questions relates to vital or essential records.**

*Vital records\* (also known as essential records) are records needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). (36 CFR 1223.2)*

*\*pending updates to regulations, the Records Management Self-Assessment still uses this terminology*

*A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d))*

50. 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.

☐ Yes

☐ No

☐ Do not know

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

☐ Annually

☐ Biennially

☐ Once every 3 years

☐ Ad hoc

☐ Never

☐ Do not know

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

☐ Yes

☐ No

☐ Do not know

**The following questions relate to retrieval and access.**

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

☐ All records are easily retrieved and accessed when needed

☐ Most records can be retrieved and accessed in a timely manner

☐ Some records can be retrieved and accessed in a timely manner

☐ No

☐ Do not know

54.Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)

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

☐ Yes

☐ No, please explain

☐ Do not know

☐ Not applicable, please explain

**The following question relates to migration.**

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

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

55. 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))

☐ Yes

☐ No

☐ No, pending final approval

☐ No, under development

☐ Do not know

**The following questions are related to access to records under the Freedom of Information Act.**

*Agencies are required to have a Freedom of Information Act (FOIA) program (5 U.S.C. 552).*

*The ability to find records is essential for a successful FOIA program. The following questions related to your agency’s FOIA program may require consultation with your agency’s FOIA Officer.*

*Please note that FOIA does not apply to Judicial Branch Agencies, as well as a few others. If FOIA does not apply to your agency,* ***please do not skip these questions****. Instead, select the ‘****Not applicable’ response provided*.**

56. How much impact does the COVID-19 pandemic still have on your agency’s FOIA processing?

☐ Significant negative impact to backlog continues, please explain\_\_\_\_\_\_\_\_\_

☐ Moderate negative impact to backlog continues

☐ Minimal negative impact to backlog continues

☐ None - completely meets or exceeds pre-pandemic levels of backlogs

☐ Not applicable, my agency is exempt from FOIA

57.How often are you proactively (i.e., before receiving any FOIA requests for the information) making records public by posting information appropriate for the public?

*Note: FOIA reading room pages include records that because of the nature of their subject matter, the agency determines have become or are likely to become the subject of subsequent requests for substantially the same records; or that have been requested three or more times (5 U.S.C. 552(a)(2)(D)(ii))*

☐ Annually

☐ Biannually

☐ Every two years

☐ Monthly

☐ Quarterly

☐ As needed

☐ Other, please explain\_\_\_\_\_\_\_\_\_

☐ Do not know

☐ Not applicable, my agency is exempt from FOIA

58. Which of the following does your agency/component have available on its FOIA website for requesting records? (Choose all that apply)

☐ Guide to accessing agency information

☐ An index of all major agency information systems

☐ Description of major information

☐ Record locator information

☐ None of the above

☐ Do not know

☐ Not applicable, my agency is exempt from FOIA

59. Does your agency routinely integrate language covering FOIA obligations into contracts for services and products?

☐ Yes

☐ No

☐ Do not know

☐ Not applicable, my agency is exempt from FOIA

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

**Section V: Disposition**

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

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

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

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

☐ 2022 - 2023

☐ 2020 - 2021

☐ 2018 - 2019

☐ 2016 - 2017

☐ 2015 or earlier

☐ Do not know

62.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)

☐ Yes

☐ To some extent

☐ No

☐ Do not know

63. 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))

☐ Yes

☐ No

☐ Do not know

**This series of questions relates to scheduling email records.**

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

☐ GRS 6.1: Email and other Electronic Messages Managed under a Capstone Approach; agency has an approved form NA-1005

☐ GRS 6.1: Email and other Electronic Messages Managed under a Capstone Approach; agency does not have an approved form NA-1005

☐ Agency-specific email schedule

☐ Traditional records management (i.e., retention based on content, usually applied on an email-by-email basis, utilizing multiple NARA-approved disposition authorities)

☐ Email retention method has not been decided/scheduled by agency

☐ Do not know

☐ Other, please explain\_\_\_\_\_\_\_\_\_

65. If ‘GRS 6.1: agency has an approved form NA-1005’ or ‘GRS 6.1: agency does not have an approved form NA-1005’: What is the current volume accumulation?

☐ Less than 5 terabytes

☐ Greater than 5 terabytes but less than 10 terabytes

☐ Greater than 10 terabytes but less than 100 terabytes

☐ Greater than 100 terabytes but less than 1,000 terabytes

☐ More than 1 petabyte but less than 10 petabytes

☐ Greater than 10 petabytes but less than 100 petabytes

☐ Greater than 100 petabytes but less than 1,000 petabytes

☐ One or more exabytes

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

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

☐ Yes

☐ No - My agency is planning to submit an agency-specific schedule

☐ No - My agency is planning on using traditional records management (i.e., retention based on content, usually applied on a message-by-message basis, utilizing multiple NARA-approved disposition authorities)

☐ Do not know

67.Has your agency transferred email and/or electronic messages managed under a Capstone approach (either using the GRS 6.1 or an agency-specific schedule) to NARA?

☐ Yes

☐ No, but we plan to within the year

☐ No, but we plan to within 1 to 5 years

☐ No, but we plan to within 6 to 10 years

☐ No, but we plan to after 10+ years

☐ Not applicable, my agency is not using a Capstone approach

☐ Do not know

**The next series of questions relates to transferring permanent records.**

68. Did your agency transfer permanent non-electronic (analog) records to NARA during 2023? (36 CFR 1235.12)

☐ Yes

☐ No

☐ No - My agency has submitted the transfer request, but actual transfer has not yet taken place

☐ No - No non-electronic (analog) records were eligible for transfer during 2023

☐ No - New agency, non-electronic (analog) records are not yet old enough to transfer

☐ No - My agency does not have any permanent non-electronic (analog) records

☐ Do not know

☐ Other, please explain

69.Did your agency transfer permanent electronic (digital) records to NARA during 2023? (36 CFR 1235.12)

☐ Yes

☐No

☐ No - My agency has submitted the transfer request, but actual transfer has not yet taken place

☐ No - No electronic (digital) records/systems were eligible for transfer during 2023

☐ No - New agency, electronic (digital) records/systems are not yet old enough to transfer

☐ No - My agency does not have any permanent electronic (digital) records

☐ Do not know

☐ Other, please explain

70. If Yes to Q68 or 69: When transferring permanent records, did your agency include detailed finding aids for each specific media format?

*Examples: Electronic records and metadata, moving image and sound, still pictures, and textual records*

*Note:**Detailed finding aids are required records management and archival lifecycle resources which ensure NARA can implement reference and retrieval procedures and controls on accessioned holdings. (*[*https://www.archives.gov/records-mgmt/accessioning/finding-aid.html*](https://www.archives.gov/records-mgmt/accessioning/finding-aid.html)*)*

☐ Yes

☐ No

☐ Do not know

71.If Yes to Q70:When transferring permanent electronic (digital) records, did the finding aids include the minimum set of metadata elements and other required documentation? (36 CFR 1235.48 and [Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records](https://www.archives.gov/records-mgmt/bulletins/2015/2015-04.html))

☐ Yes

☐ No

☐ Do not know

☐ Not applicable, my agency did not transfer permanent electronic (digital) records in 2023

72. Has your agency submitted a transfer request that has been returned by NARA for lack of a required detailed finding aid sufficient for providing access to the records?

☐ Yes

☐ No

☐ Do not know

73. If Yes: How has your agency addressed the issue? (Choose all that apply)

☐ Resubmitted the transfer with the required finding aid sufficient for providing access to the records

☐ Plan to resubmit the transfer with the required detailed finding aid sufficient for providing access to the records

☐ Currently working on developing the finding aid sufficient for providing access to the records

☐ Would like to address the issue, but lack the staff or expertise to do so

☐ Has yet to address the issue

☐ Do not know

*As NARA looks to the future, advanced planning is key to accessioning, preserving, and providing access to born-digital records. We are requesting all agencies provide the following information.*

74. Does your agency have permanently scheduled electronic records other than Capstone email with a current accumulation of over 5 TB?

☐ Yes

☐ No

☐ Do not know

75. If Yes: Which of the following best estimates the annual volume accumulation?

☐ Greater than 5 terabytes but less than 10 terabytes

☐ Greater than 10 terabytes but less than 100 terabytes

☐ Greater than 100 terabytes but less than 1,000 terabytes

☐ More than 1 petabyte but less than 10 petabytes

☐ Greater than 10 petabytes but less than 100 petabytes

☐ Greater than 100 petabytes but less than 1,000 petabytes

☐ One or more exabytes

76. Does your agency have unscheduled, but potentially permanent, electronic records other than Capstone email with a current accumulation of over 5 TB?

☐ Yes

☐ No

☐ Do not know

77. If Yes: Which of the following best estimates the annual volume accumulation?

☐ Greater than 5 terabytes but less than 10 terabytes

☐ Greater than 10 terabytes but less than 100 terabytes

☐ Greater than 100 terabytes but less than 1,000 terabytes

☐ More than 1 petabyte but less than 10 petabytes

☐ Greater than 10 petabytes but less than 100 petabytes

☐ Greater than 100 petabytes but less than 1,000 petabytes

☐ One or more exabytes

78. If Yes to Q74 and/or 76: Please send your agency’s completed inventory of both permanent and unscheduled records **separately from your RMSA response** by emailing it to rmselfassessment@nara.gov by March 8, 2024. (See AC Memo XX for the template.)

**Please note: If your agency needs more time to submit the spreadsheet, please contact** **rmselfassessment@nara.gov** **by March 8, 2024.**

79. If Yes to Q74 and/or Q76, which of the following are the primary types or categories of records? (Choose all that apply)

☐ Born-Digital Photographs

☐ Born-Digital Posters

☐ Born-Digital Textual Data

☐ Calendars

☐ Computer-Aided Design

☐ Digital Audio

☐ Digital Moving Images

☐ Digital Cinema

☐ Digital Video

☐ Digitized Paper and Photographic Prints

☐ Email

☐ Geospatial Formats

☐ Navigational Charts

☐ Presentation Formats

☐ Structured Data Formats

☐ Web Records

☐ Other, please explain\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**The next series of questions relates to where your agency stores its inactive temporary and/or permanent records, regardless of format.**

*Commercial records storage facilities are private sector commercial facilities that offer records storage, retrieval, and disposition services.*

*An agency-operated records center is a records storage facility operated by a federal agency and capable of storing more than 25,000 cubic feet of records. (36 CFR 1234)*

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

☐ Yes

☐ No

☐ Do not know

81.If Yes: Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))

☐ Yes

☐ No

☐ Do not know

82.Does your agency store inactive temporary and/or permanent analog records in an agency-operated records center? (Note: This does NOT include agency staging areas and temporary holding areas.)

☐ Yes

☐ No

☐ Do not know

83.If Yes: Has the facility been approved by NARA? (36 CFR 1234.30(a)(1))

☐ Yes

☐ No

☐ Do not know

84.If Yes to Q82: Will your agency move analog records from the agency-operated records center to a commercial records storage facility? (M-19-21/M-23-07)

☐ Yes

☐ No

☐ Do not know

85.If Yes to Q82: Will your agency move analog records from the agency-operated records center to a Federal Records Center? (M-19-21/M-23-07)

☐ Yes

☐ No

☐ Do not know

86.If Yes to Q80, 82, 84, or 85: Please estimate the volume of inactive temporary analog records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)

☐ 0 - 1,000

☐ 1,000 - 5,000

☐ 5,000 - 15,000

☐ 15,000 - 25,000

☐ 25,000 - 50,000

☐ 50,000 - 100,000

☐ 100,000 - 250,000

☐ 250,000 or greater

87.If Yes to Q80, 82, 84, or 85: Please estimate the volume of inactive permanent analog records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)

☐ 0 - 1,000

☐ 1,000 - 5,000

☐ 5,000 - 15,000

☐ 15,000 - 25,000

☐ 25,000 - 50,000

☐ 50,000 - 100,000

☐ 100,000 - 250,000

☐ 250,000 or greater

88. How important is it that records be stored close to agency offices?

☐ Not important

☐ Somewhat important

☐ Important

☐ Highly Important

☐ Extremely Important

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

**Section VI: Agency Demographics**

**This section covers basic demographic-type information needed for analysis of the data gathered by the Records Management Self-Assessment.**

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

☐ 500,000 or more FTEs

☐ 100,000 – 499,999 FTEs

☐ 10,000 – 99,999 FTEs

☐ 1,000 – 9,999 FTEs

☐ 100 – 999 FTEs

☐ 1 – 99 FTEs

☐ Not Available

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

☐ Senior Agency Official

☐ Office of the General Counsel

☐ Chief Information Officer

☐ Chief Data Officer

☐ Program Managers

☐ FOIA Officer

☐ Information Technology staff

☐ Records Liaison Officers or similar

☐ Administrative staff

☐ Other, please be specific:

☐ None

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

☐ Under 3 hours

☐ More than 3 hours but less than 6 hours

☐ More than 6 hours but less than 10 hours

☐ Over 10 hours

93. Did your agency’s senior management review and concur with your responses to the 2023 Records Management Self-Assessment?

☐ Yes

☐ No

☐ Do not know

94.Does your agency use your scores to the Records Management Self-Assessment and the Federal Electronic Records and Email Management (FEREM) report to measure the effectiveness of the records management program?

☐ Yes

☐ No

☐ Do not know

95. If Yes: Please explain how:\_\_\_\_\_\_\_\_\_

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

NARA reserves the right to request additional documentation or a follow-up meeting to verify your responses. If you wish to provide supporting documentation for your answers or other information to NARA, please send it to rmselfassessment@nara.gov.

Thank you for completing the 2023 Records Management Self-Assessment! If you have any questions about the self-assessment, please email rmselfassessment@nara.gov.