NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

Federal Agency Records Management

2019 Annual Report

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

National Archives and Records Administration
September 2020

FOREWORD

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

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

This year, we required federal agencies to submit three reports: The Senior Agency Official for Records Management (SAORM) Annual Report, a new Federal Electronic Records and Email Management Maturity Model Report, and the annual Records Management Self-Assessment (RMSA).

The reports contain information on how well agencies are managing permanent electronic records and email in electronic formats and their plans for addressing the full transition to electronic recordkeeping. We reviewed the individual reports for trends as well as progress. This 2019 annual report contains the results of our review and analysis.

The reporting period was particularly challenging due to COVID-19. I am happy to say the majority of agencies were able to respond. The abrupt transition many of us recently made to extensive telework reinforced for me the vital importance of the work we have undertaken together to help guide our agencies into a new era of digital government, as required in M-19-21. As agencies implement new systems and processes to improve virtual collaboration and accomplish their missions, it is important to continue to identify and manage records created during this crisis. Some of the records, information, and data created and collected today will become part of the Nation's history, and your work will help future archivists and historians tell that story.

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. Even while recognizing challenges and priorities, 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 voluntarily participate as a tool to assess their own programs. Records Management (RM) is a continuous process, and the state of the programs managed by federal agencies changes depending upon governmental reorganization, technology improvements, changes in personnel, resources and other factors. By requiring annual reporting, NARA can capture information for a defined period and identify trends and common challenges. The data for this report covers CY 2019 information and activities (unless otherwise noted) with an additional special focus on electronic records management, including email.

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

This consolidated report offers some new information and insight into electronic records management, particularly from data received in the new Federal Electronic Records and Email Management Maturity Model Report. Taken together, all three submissions demonstrate the progress and challenges faced by all federal agencies as they continue the transition to fully electronic recordkeeping, as established in June 2019 by the Office of Management and Budget (OMB)/NARA government-wide policy memorandum, *Transition to Electronic Records* (M-19-21).

Key points highlighted in this report include:

- Under 70% of agencies met the goal to manage permanent electronic records in electronic format by December 31, 2019.
- Ninety-seven (97) percent of agencies believe they will meet the December 31, 2022, deadline to manage permanent records in electronic format with appropriate metadata.
- Ninety-three (93) percent of agencies indicated that they will be able to manage temporary records in electronic format.
- Many agencies indicated that their records are already created and maintained electronically.
- Email management is more mature than electronic records management overall.

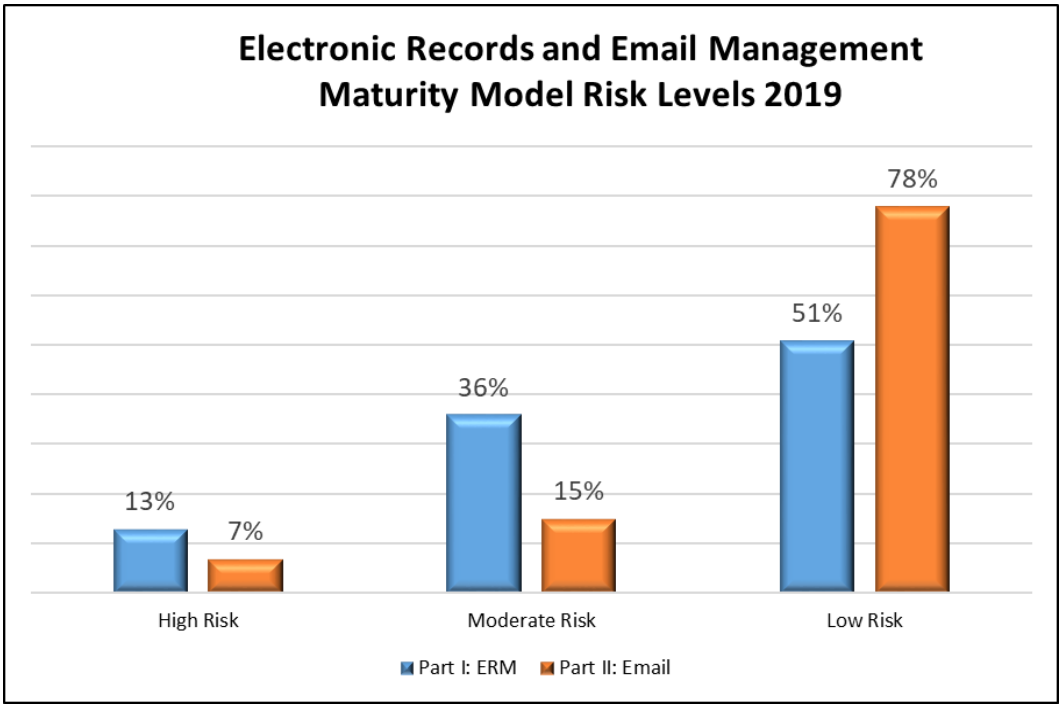

Figure i: Comparison between Electronic Records and Email Management

- The number of agencies reaching low risk has never made it above 50%.

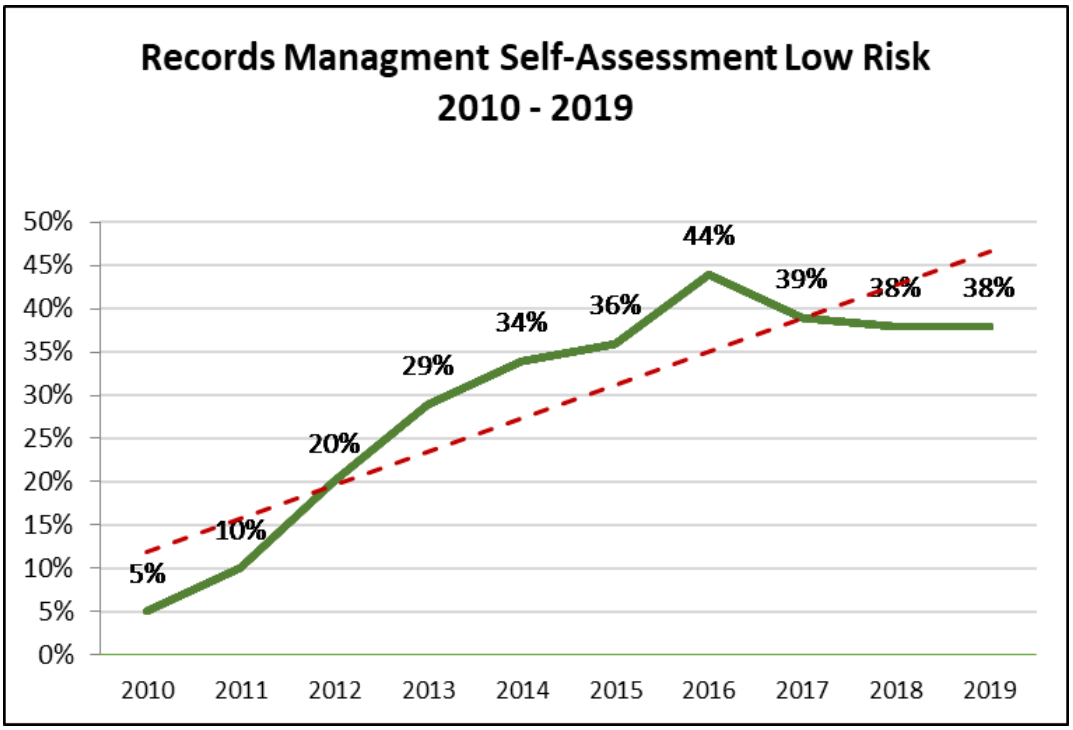

Figure ii: Low-Risk Level Trajectory

Recommendations

This report makes overall recommendations for improvements that the SAORM and other agency leadership must put in place, 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 the government-wide policy memorandum, OMB/NARA *Transition to Electronic Records* (M-19-21).
- Records management policies and practices must be monitored to ensure they have the desired outcomes to properly provide the information necessary to make decisions and document accountability.
- Controls over permanent electronic records to ensure adequate capture, management, preservation, and transfer to the National Archives in acceptable electronic formats along with the appropriate metadata must be put in place.
- Agencies must transfer eligible permanent records to the National Archives.

This annual report provides a detailed analysis and appendices of the data for activities in CY 2019. NARA uses annual reporting data to identify trends and risks, and to improve our ability to assist agencies by improving our policies and guidance. Through other oversight activities, such as inspections and assessments, NARA continues to work with agencies to improve federal records management.

TABLE OF CONTENTS

INTRODUCTION 1

SECTION I: SENIOR AGENCY OFFICIAL FOR RECORDS MANAGEMENT ANNUAL REPORTS 3

OVERVIEW 3

DATA ANALYSIS 3

SECTION II: FEDERAL ELECTRONIC RECORDS AND EMAIL MANAGEMENT MATURITY MODEL REPORTS 9

OVERVIEW 9

DATA ANALYSIS 10

SECTION III: RECORDS MANAGEMENT SELF-ASSESSMENT (RMSA) 21

OVERVIEW 21

CORRELATION WITH M-19-21 22

DATA ANALYSIS 22

CONCLUSION 31

RECOMMENDATIONS 31

Appendices:

Appendix I: Scoring and Risk Factors
Appendix II: RMSA Validation Strategy
Appendix III: RMSA 2019 Questionnaire with Statistical Results
Appendix IV: Individual Agency Scores
Appendix V: Non-Responding Executive Branch Agencies

INTRODUCTION

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

- Senior Agency Official for Records Management (SAORM) Annual Report – NARA provided a template to those agencies with a SAORM to elicit information from a senior management perspective. The focus is their progress towards fully electronic recordkeeping. Individual SAORM reports, including the template, are available online: https://www.archives.gov/records-mgmt/resources/saorm-reports.

- Federal Electronic Records and Email Management Maturity Model Report – NARA provided a two-part maturity model template based on the *Universal Electronic Records Management (ERM) Requirements*[1] and the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)* (otherwise known as the Success Criteria for Managing Email).[2] Agencies chose scenarios that best describe their current state of electronic records and email management. The data was gathered using an online survey tool. The overall results of the Maturity Model 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 provided a questionnaire with scored and unscored questions. The data is gathered using an online survey tool. Individual agency responses are not made public; therefore, for specific agency responses we suggest contacting the individual agency. RMSA data from previous years is summarized in prior years of this Federal Agency Records Management Summary Report and available online: https://www.archives.gov/records-mgmt/resources/self-assessment.html.

For the 2019 reporting period, which we extended by two months due to COVID-19, we received 106 SAORM reports (83% response rate), 245 Maturity Model reports (91% response rate), and 247 RMSAs (92% response rate). This is down a few percentage points from prior years; however, the change was not significant enough to prevent comparing data from prior years.

[1] https://www.archives.gov/records-mgmt/policy/universalermrequirements.
[2] https://www.archives.gov/files/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf.

The content of SAORM reports is analyzed for trends and is not scored or rated. The Maturity Model and RMSA reports receive numerical scores and risk factor ratings. (For more details on the scoring of the Maturity Model and the RMSA, see Appendix I.) 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 II. For statistics per RMSA question, see Appendix III. For individual agency scores, see Appendix IV. For a list of non-responding agencies, see Appendix V.

NARA uses annual reporting data to identify trends and risks, and to improve our ability to assist agencies by improving our policies and guidance. Through other oversight activities, such as inspections and assessments, NARA continues to work with agencies to improve federal records management.

SECTION I: SENIOR AGENCY OFFICIAL FOR RECORDS MANAGEMENT ANNUAL REPORTS

OVERVIEW

Successful records management programs require senior level support and visibility at the executive level to establish long-term goals and strategic initiatives. The SAORM report provides the opportunity for agencies to highlight these goals and initiatives.

On June 28, 2019, the Office of Management and Budget (OMB) and the National Archives issued a memorandum, *Transition to Electronic Records* (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022. The SAORM report provides an opportunity for agencies to describe plans, progress, and challenges.

The SAORM 2019 report template includes nine questions (with the first being to list agencies, bureaus or offices included in the response and contact information). The template also includes space for agencies to provide details related to each question. Questions cover the targets and goals of M-19-21, as well as one question related to the capture and management of the records of outgoing senior officials. The following analysis provides a summary of the trends highlighted by the reports received.

DATA ANALYSIS

The data indicates that while most records are created and stored electronically, there are challenges to maintaining all records in electronic format. These challenges include technology issues, cultural change, and legal or regulatory requirements that require paper. That said, we did find that agencies are using a variety of electronic information and recordkeeping systems, cloud solutions, and digitization/scanning to make the transition. The majority of agencies are using electronic document management systems. Some have added electronic recordkeeping and records management applications that incorporate records retention schedules and disposition information to enable the lifecycle management of records contained in electronic information systems.

The template also addressed the M-19-21 requirement for agencies to conduct an evaluation of existing records storage either in agency-operated records centers or in commercial storage facilities, and the use of Federal Records Centers operated by NARA. There was also a question requesting suggestions on how NARA can continue to assist with the transition. The chart below shows how agencies responded to the initial objective questions.

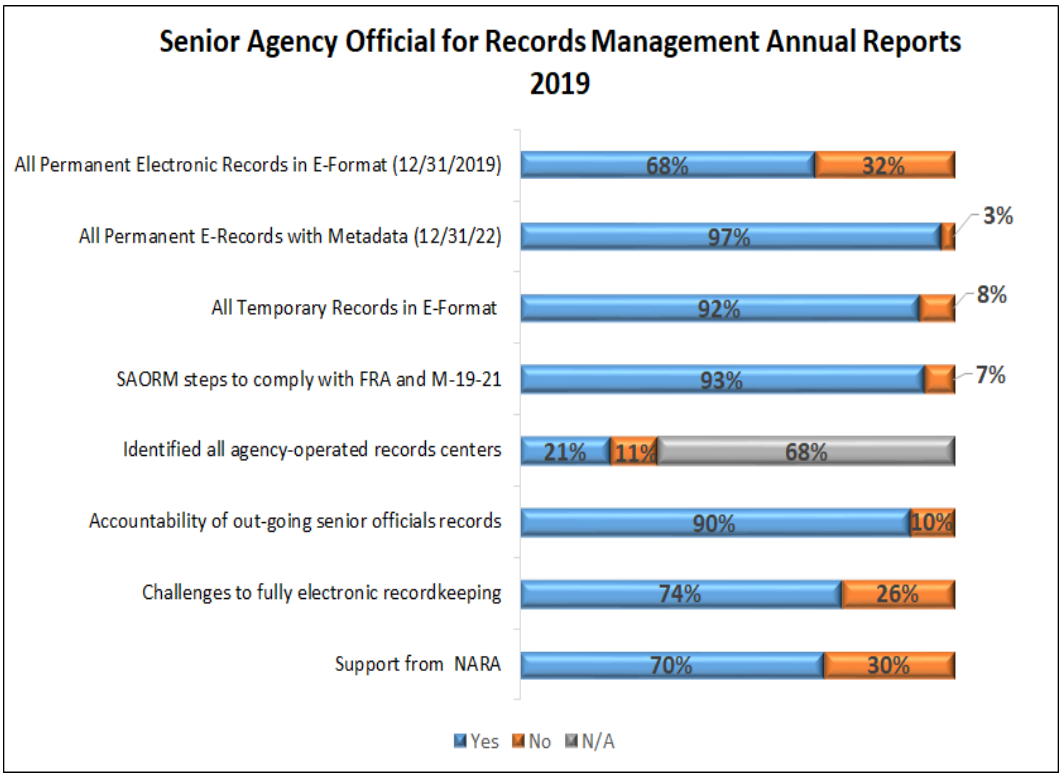

Figure 1: SAORM 2019 report template objective questions results

Permanent Records

The SAORM 2019 report template included two questions specifically related to managing permanent records in electronic format. The first asks whether agencies met the December 31, 2019, target for managing all permanent electronic records in electronic format. The second covers progress towards managing all permanent records in electronic format (regardless of original format) with appropriate metadata by December 31, 2022. The key points from the 2019 reports are:

- Under 70% indicated they actually met the 2019 goal.
- However, 97% of agencies feel they will meet the December 31, 2022, goal.
- There are some records that must remain in paper for legal reasons, and NARA will be working with agencies to identify these cases.

There are varying degrees between creating records electronically and managing them effectively. How well agencies are managing these records is covered by the results of the Maturity Model. (See Section II of this report.)

Temporary Records

Section 1.3 of M-19-21 requires agencies to manage all temporary records electronically to the fullest extent possible or store them in commercial storage facilities by December 31, 2022. The 2019 SAORM report template asked agencies to report on plans or progress to meet this objective, including an evaluation of agency-operated records centers. The majority of agencies, 93%, indicated that they will be able to manage temporary records in electronic format. Many stated that these records are already created and maintained electronically. Agencies mentioned having digitization or scanning projects for existing paper records. Consistent with the comments about permanent records, agencies are also using electronic document management or electronic recordkeeping systems to handle temporary records.

With regard to the storage of inactive records, the majority of agencies, about 70%, reported that they did not operate records centers. Of those that do operate records centers, most evaluated the possibility of closing them. However, from the comments, it is clear that there are budget constraints and a need for further information from NARA and OMB before fully addressing the issue. Several agencies also mentioned that their plans include shipping existing paper records to NARA-operated Federal Records Centers before December 31, 2022.

Maintaining Records Management Programs

The Federal Records Act (FRA) requires the head of each federal agency to establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. To this end, the SAORM acts on behalf of the agency head to ensure the agency efficiently and appropriately complies with all applicable records management statutes, regulations, NARA policy, and OMB policy. The SAORM bridges the gap between the agency head and the Agency Records Officer in order to provide strategic direction for the agency's records management program. The SAORM is responsible for ensuring that records management programs within their agency comply with the Federal Records Act and its regulations.

OMB Circular A-130, *Managing Information as a Strategic Resource*, and A-11, Part 6, *The Federal Performance Framework for Improving Program and Service Delivery*, require strategic planning, performance goals with objectives, and performance measures. Records management, in order to be fully successful, should be integrated into an agency's overall strategic plan for managing information as a strategic resource. Strategic plans and performance measures, specifically for the records management program, are also needed for success. Section 1.4 of M-19-21 requires agencies to maintain a robust records management program, which includes connecting RM to strategic planning and performance measures.

For several years, NARA has asked SAORMs to explain what steps they were taking to improve their records management programs and to incorporate records management into their overall information management strategy and approach. The results have varied over the years. This year's template asked if the SAORM has taken steps to ensure their records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives, and measures. Ninety-three percent of SAORMs responded 'Yes' they had taken such steps. Of the minority who said they had not, the main

reason given was they were newly appointed to the position. The detailed comments from those that responded 'Yes' indicated:

- SAORMs see themselves as an advocate for the records management program.
- Assessments and/or evaluations of the records management program are being done to determine status.
- Policies, procedures, and guidance are being created or updated.
- Aligning records management program staff with Information Technology staff is being considered or implemented.
- SAORMs are ensuring that Agency Records Officers either had NARA's Agency Records Officer Certification (AROC) or were obtaining it.

Records of Outgoing Senior Officials

Senior officials are defined as 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.

It is essential that agencies, as a matter of routine, have procedures that include ensuring records of outgoing senior officials are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email. This year, NARA asked if agencies have such procedures, with at least 90% of agencies stating that they did, as follows:

- Inclusion in exit procedures
- Review of records prior to departure
- Use of checklists
- Briefings on records responsibility throughout tenure
- Agency Records Officer notification of upcoming departure
- Certification or other written acknowledgement by the departing official

The few that responded 'No' indicated that procedures similar to those listed above were under development.

Challenges and Support

NARA recognizes that there are challenges to meeting the goal of fully electronic recordkeeping and asked agencies for specific examples. SAORMs listed a variety of challenges around agency size, volume of electronic records, dependency on paper, and overall lack of resources.

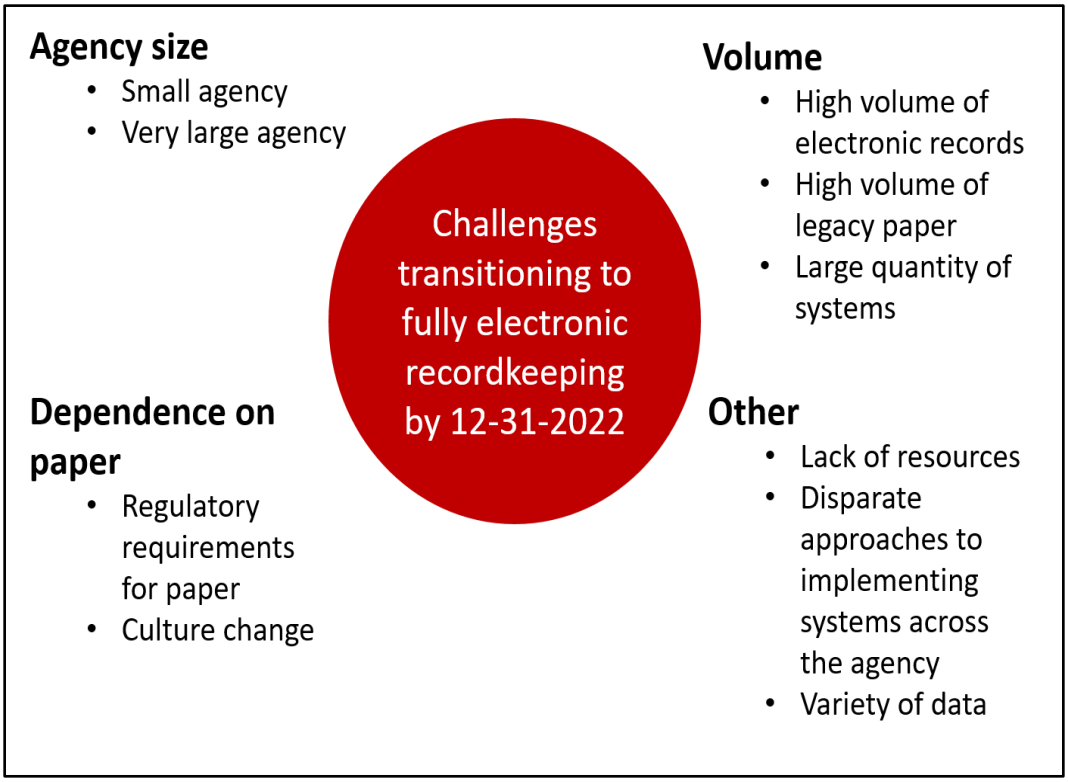

Figure 2: Challenges Reported by SAORMs to Electronic Recordkeeping

Every year the template asks agencies what support is most needed from NARA to ensure a successful transition to electronic recordkeeping. Suggestions were mainly in three categories. Agencies want new or additional *guidance* and standards for digitization and success criteria. Agencies also want more individual *assistance*, particularly to smaller agencies, and direct *advocacy* at the senior or executive levels for shared solutions and funding.

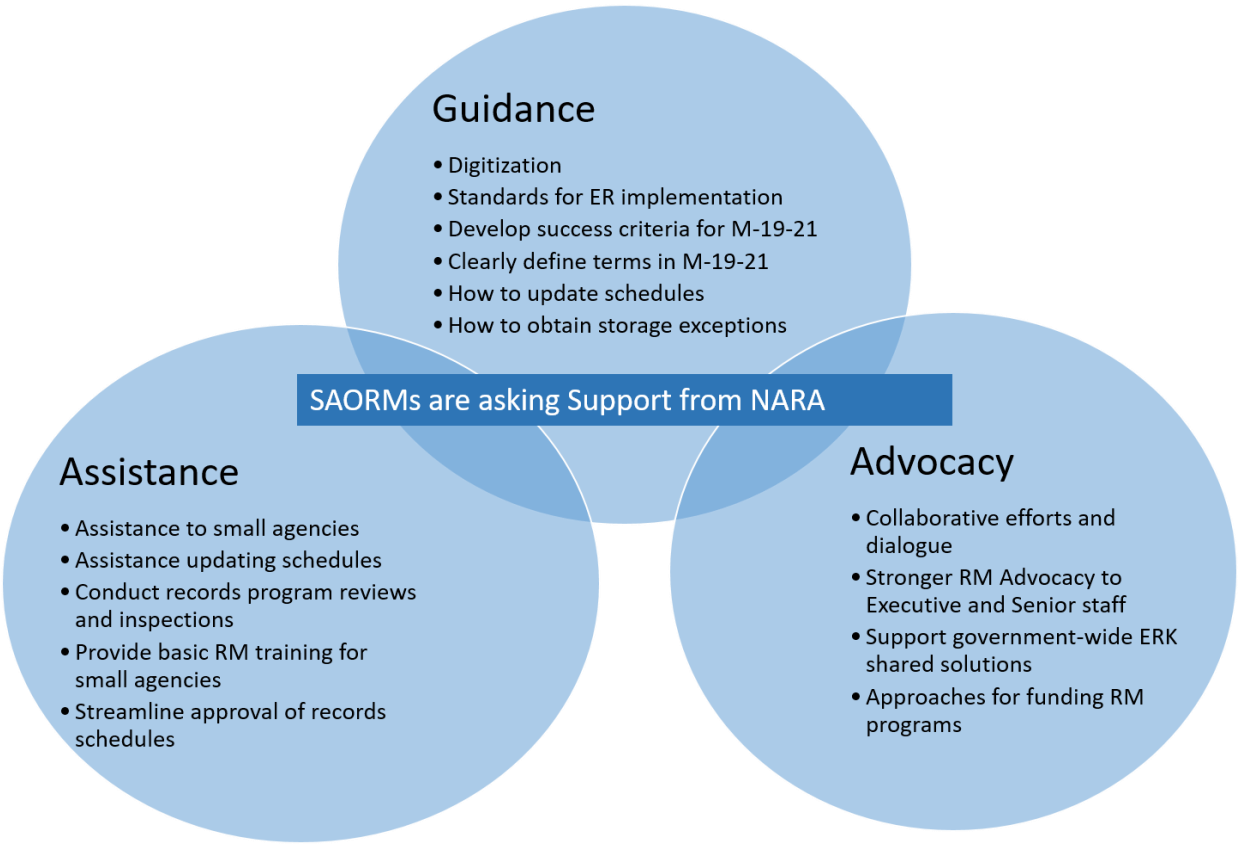

Figure 3: Topics for support from NARA listed most often

The Federal Government spends hundreds of millions of taxpayer dollars and thousands of hours annually to create, use, and store federal records in analog (paper and other non-electronic) formats. Maintaining large volumes of analog records requires dedicated resources, management attention, and security investments that should be applied to more effectively manage electronic records. The transition to electronic recordkeeping is not simple and will not happen overnight, or without target goals including those specified in M-19-21. The 2019 SAORM report captures this initial progress, as NARA continues to track and report progress towards the targets and highlights best practices and lessons learned from agencies.

SECTION II: FEDERAL ELECTRONIC RECORDS AND EMAIL MANAGEMENT MATURITY MODEL REPORTS

A new maturity model was used this year to measure how effectively agencies currently manage electronic records and email in electronic format and to provide data to focus improvement efforts. The model is divided into two parts to allow agencies to report on their management of electronic records, where permanent electronic records are covered in Part I, and email management is covered in Part II. The new model incorporates the email management maturity model that NARA has been using since 2016. Keeping email as a separate part in the new model, even though email is a form of electronic record, allows agencies to continue comparing their progress in this area.

The report is a risk-based maturity model based on the *Criteria for Successfully Managing Permanent Electronic Records*; *Universal Electronic Records Management (ERM) Requirements* and the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*.[3] These provide guidelines for the successful management of electronic records and email records through agency policies, systems, access, and disposition.

OVERVIEW

Part I: Electronic Records Management provides scenarios with progressively improving standards covering five domains -- management support and resourcing, policies, systems, access, and disposition. *Part II: Email Management* also provides scenarios with progressively improving standards for four domains -- policies, systems, access, and disposition. Agencies must select the scenario that best describes their *current* state of electronic records and email management. Comment boxes allow for further detail on why each scenario was chosen. To review the full results and submissions from each agency, see https://www.archives.gov/records-mgmt/resources/email-mgmt-reports.

The two parts were scored separately and rated on a scale of zero to four, with four being the highest level of maturity. NARA assigned low, moderate, and high-risk ratings based on the level of achievement. (For more information on scoring and risk levels, see Appendix I.) The overall scores for Part I and Part II show email management is more mature than electronic records management overall. There are various possible reasons for this. The first being that agencies have been concentrating on email management longer. Additionally, there are many ways to create and maintain electronic records in vastly different systems, whereas email can be controlled more uniformly in a dedicated system or systems.

Most agencies rated themselves between levels 3 and 4, or low risk, for managing electronic records and email in accordance with the success criteria. It is also true that many agencies chose level 3, which is the beginning stage toward full maturity. However, for electronic records management, the number is barely above 50%, whereas email management is almost 80%. These numbers, especially for electronic records, need to be much higher to achieve consistent and mature electronic records and email management.

[3] For more information regarding these publications, see *Records Express Blog*, *https://records-express.blogs.archives.gov/*.

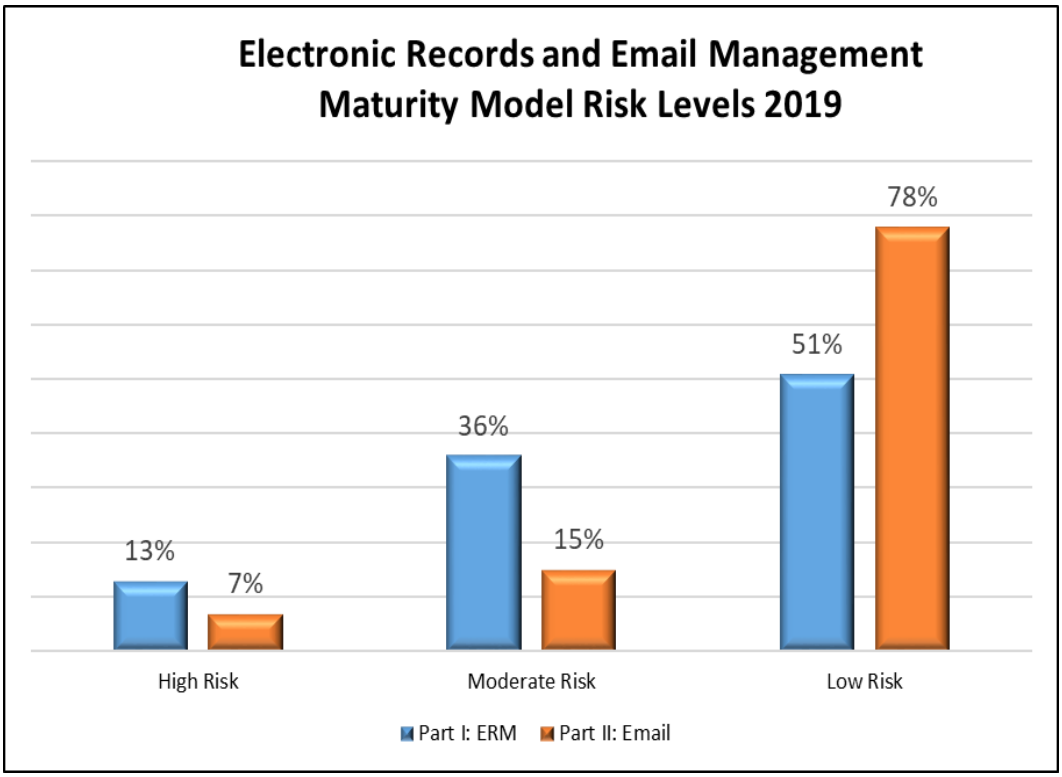

Figure 4: Comparing Electronic Records and Email Management Maturity Model Risk Factors

The remainder of this section provides an analysis of each domain. The analysis also includes descriptions of criteria and what success looks like for each area.

DATA ANALYSIS

ELECTRONIC RECORDS MANAGEMENT

This part of the Maturity Model is new and requires a little more analysis and detail than the email model, which has been in use for several years.

DOMAIN 1: MANAGEMENT SUPPORT AND RESOURCING

Management support and advocacy for an agency's records management program in the organizational structure is key to program success. This domain measures the level of management support, including the recognition of records and information as valuable assets, the alignment of the records program to business/mission functions to support strategic goals and objectives, the development of performance management, and adequate resources to include funding.

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

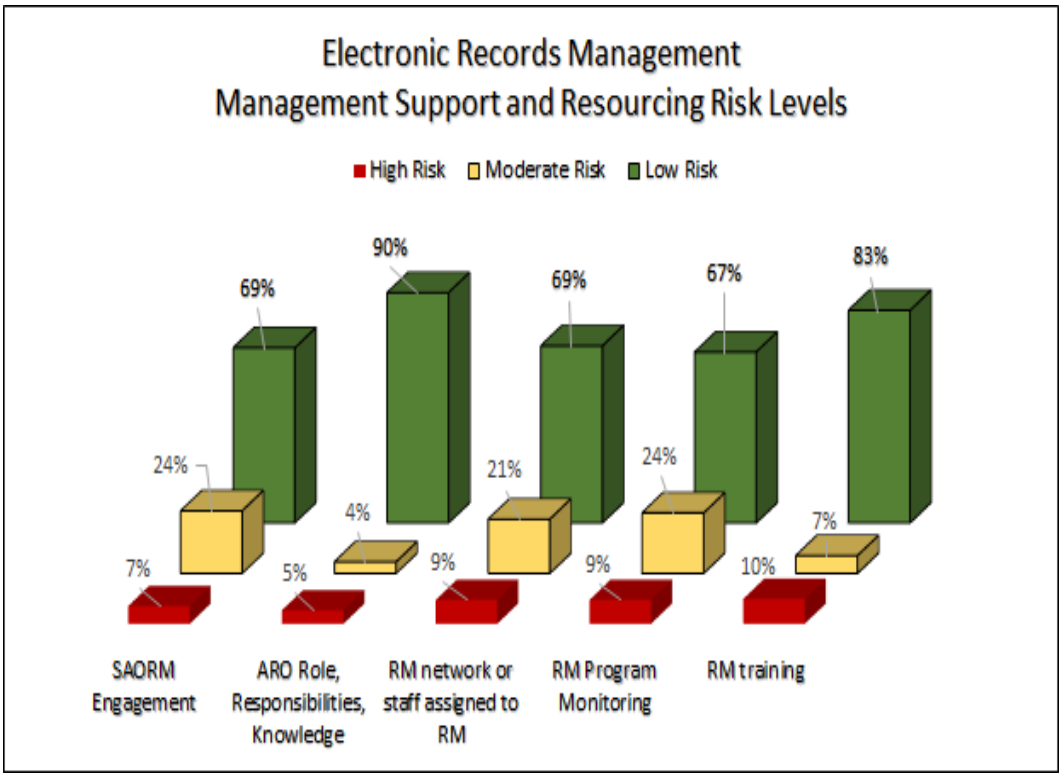

Figure 5: Management Support and Resourcing Overall Risk - Specified Topics

This domain has five questions measuring the level of SAORM engagement; the Agency Records Officer (ARO) role, responsibilities, and knowledge; records management staff or network of liaisons; monitoring of the program; and training of agency staff and contractors. In these areas, agencies scored themselves fairly consistently between levels 3 and 4, or low risk. (Low risk is derived by combining Maturity Model levels 3 and 4, with level 3 representing the beginning stages of maturity and level 4 being full maturity.)

The criteria to rate management support and resourcing at level 3 or 4 includes:

- The designated SAORM is engaged in the electronic records management program and is taking steps to or already provides the budgetary resources.
- The designated SAORM informs other agency senior managers of their records management responsibilities.
- The designated ARO has or will soon obtain NARA's Agency Records Officer Credential (AROC) or NARA-approved equivalent.
- Agency has a network of staff with records management responsibilities that is trained and understands what this assignment means.
- Agency monitors the records management program utilizing formal program performance measures.
- Records management training, with at least some role-based training, is part of an agency's training for all staff and contractors, including senior executives and appointed officials.

DOMAIN 2: ELECTRONIC RECORDS MANAGEMENT POLICIES

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

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

Specifically, for permanent electronic records, agencies must ensure policies are in place to effectively manage them from creation to transfer. Policies must fully explain how the agency expects staff to manage permanent electronic records and have agency-wide training programs that fully educate all staff on their responsibilities for managing all electronic records in accordance with these policies.

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

This domain has three questions concerning both the content and development of policies related to electronic permanent records, as well as their implementation. Two-thirds of agencies consistently rated their policies as level 3 or 4 (low risk).

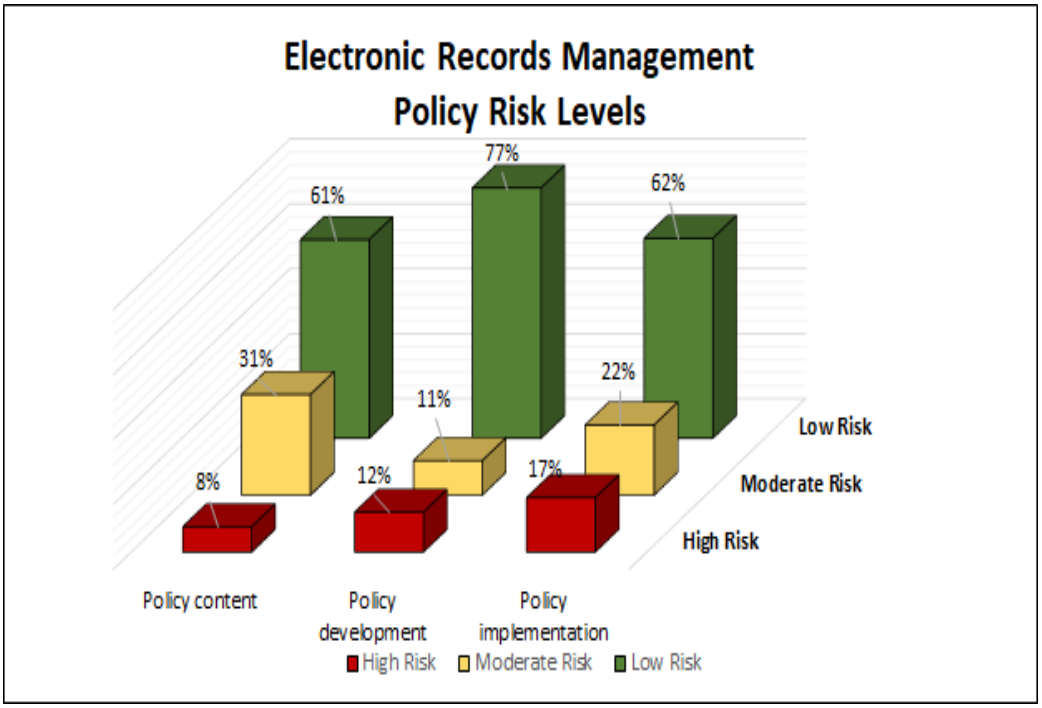

Figure 6: ERM Policies Overall Risk - Specified Topics

The criteria to rate ERM policies at level 3 or 4 includes:

- Policies cover electronic records with specific information about the management of permanent electronic records.
- Relevant stakeholders provide input and review ERM policies.
- There are procedures and training in draft or approved with specific information about ERM policies that includes the prevention of records loss and/or alienation of records.

DOMAIN 3: SYSTEMS

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

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

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

This domain has four questions measuring the level of integration of electronic records management into electronic information systems. The questions cover systems capabilities in relation to the records, inventory of electronic systems including the identification of permanent electronic records, awareness of records by systems owners, and auditing or tracking the use of records within systems. This is a critical area particularly for permanent electronic records and for the ability of agencies to capture and eventually transfer these records to the National Archives. It is also the area that needs the most attention and arguably the weakest of the five domains.

- Low-risk percentages are under 50% for systems records management capabilities and systems owners' awareness of records management responsibilities.
- Inventories of systems and systems tracking scored a little better than half with 65% and 60% respectively.
- More agencies rated their systems at level 2 or below than in other domains.

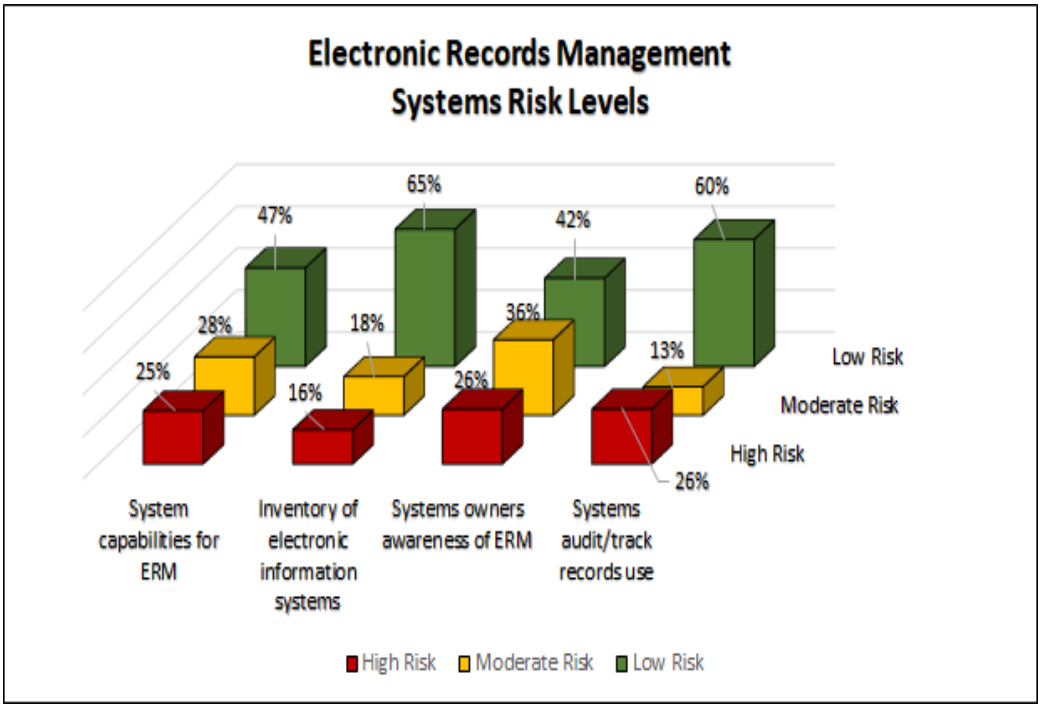

Figure 7: Electronic Information Systems Overall Risk - Specified Topics

The majority of agencies are in low risk; however, they rated their systems at level 3, or the lower end of this risk category. Rating systems at level 3 means:

- Electronic information systems meet NARA's requirements to create, capture, manage and preserve electronic records aligned with approved records schedules.
- The agency is testing the capability to transfer permanent electronic records to the National Archives.
- The agency has an inventory of electronic information systems along with the location with at least a limited ability to implement disposition.

- Systems owners are fully aware of their responsibilities for managing permanent records that reside in their systems and are developing ways of ensuring systems comply with requirements for managing permanent electronic records in electronic format.

DOMAIN 4: ACCESS TO ELECTRONIC RECORDS

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

What Success Looks Like: Permanent electronic records are protected against unauthorized access, use, alteration, corruption, or deletion. They are searchable, retrievable, and usable for as long as they are maintained in agency custody.

This domain has four questions measuring access and usability of electronic records, particularly permanent electronic records, over time. The majority of agencies rated themselves at levels 3 and 4, or low risk, for this domain.

- The strongest indicator at 83% is that most records were searchable, retrievable, and usable throughout their lifecycle.
- The confidence drops into the 60% range for identifying, categorizing, or classifying records to enable access and maintenance, including migration plans for long-term preservation needs.
- Only 54% of agencies rated the protection measures taken by IT as being beyond normal security measures.

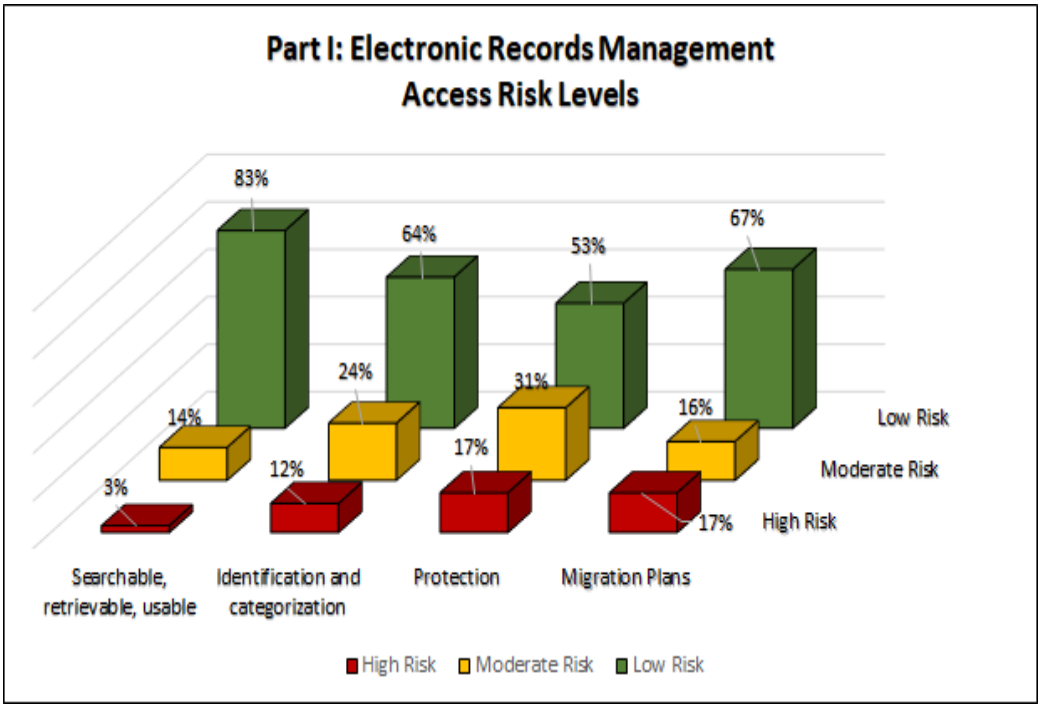

Figure 8: Electronic Information Access Overall Risk - Specified Topics

Rating access to electronic records at either a level 3 or 4 means:

- Most records created by current and separated employees are searchable, retrievable, and usable throughout their lifecycle.
- Most records are identified and categorized or classified to enable access and maintenance throughout their lifecycle.
- IT staff have normal security measures, and additional measures are being considered or are in place for permanent electronic records to prevent unauthorized access, use, alteration, corruption, or deletion.
- Migration plans include identification of permanent records and long-term preservation needs that may include movement of permanent electronic records into new systems or means to preserve legacy systems.

DOMAIN 5: DISPOSITION OF ELECTRONIC RECORDS

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

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

This domain has three questions. NARA has been working closely with agencies to schedule electronic records and promote the need for electronic records management requirements to be incorporated into IT procedures, as well as continuing to update guidance and criteria for the transfer of permanent electronic records with appropriate metadata to the National Archives. While the majority of agencies (between 60% and 77%) rated their disposition of electronic records as low risk, there is concern that 18% of agencies rated themselves as high risk in the area relating to records management inclusion with IT operations.

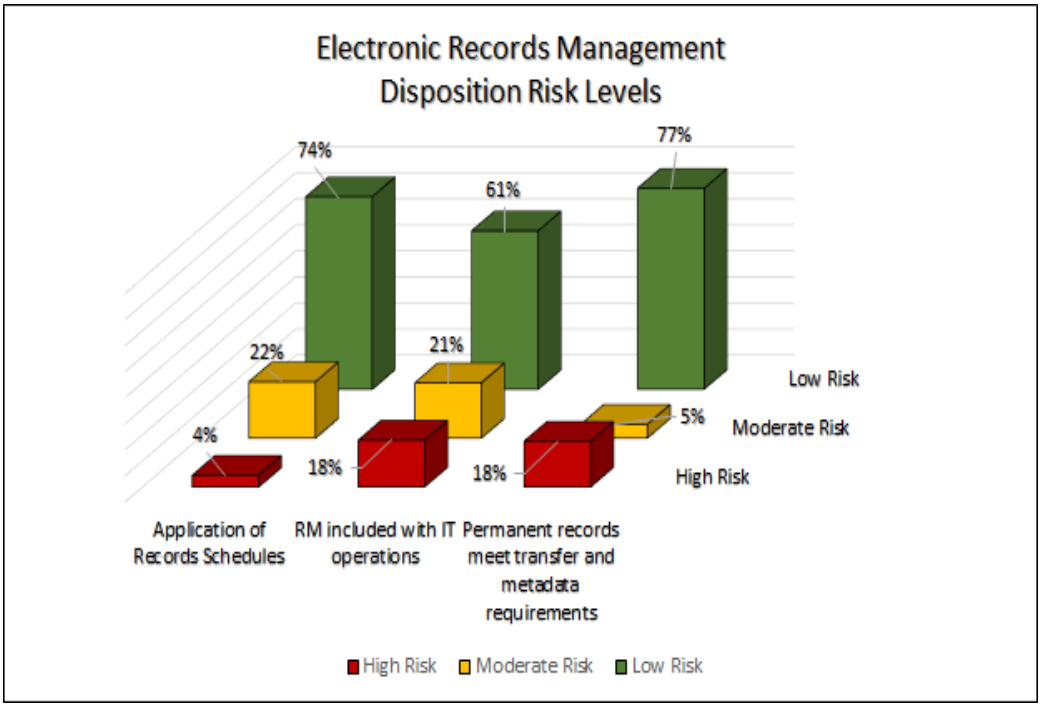

Figure 9: Disposition of Electronic Records Overall Risk Levels - Specified Topics

While this domain is strongly in the low-risk category, the majority of agencies chose level 3 for each question indicating that there is still room for improvement to bring disposition to full maturity. The majority of agencies that selected level 3 when considering disposition means:

- There are informal processes to identify, classify, and schedule electronic records.

- Records management staff are kept informed of new systems or changes to existing systems but have a limited role in systems development or other systems lifecycle management.
- Permanent electronic records, in some cases, meet the transfer guidance criteria and/or metadata requirements to transfer them to the National Archives.
- The capability to transfer all permanent records is under development or is being tested.

EMAIL MANAGEMENT

The email management maturity model was first introduced in 2016, and there was considerable improvement in 2017. The maturity of email management programs has been consistent since 2017, with at least 60% of agencies scoring in low risk. While this shows stability, it also indicates a need for continued improvement.

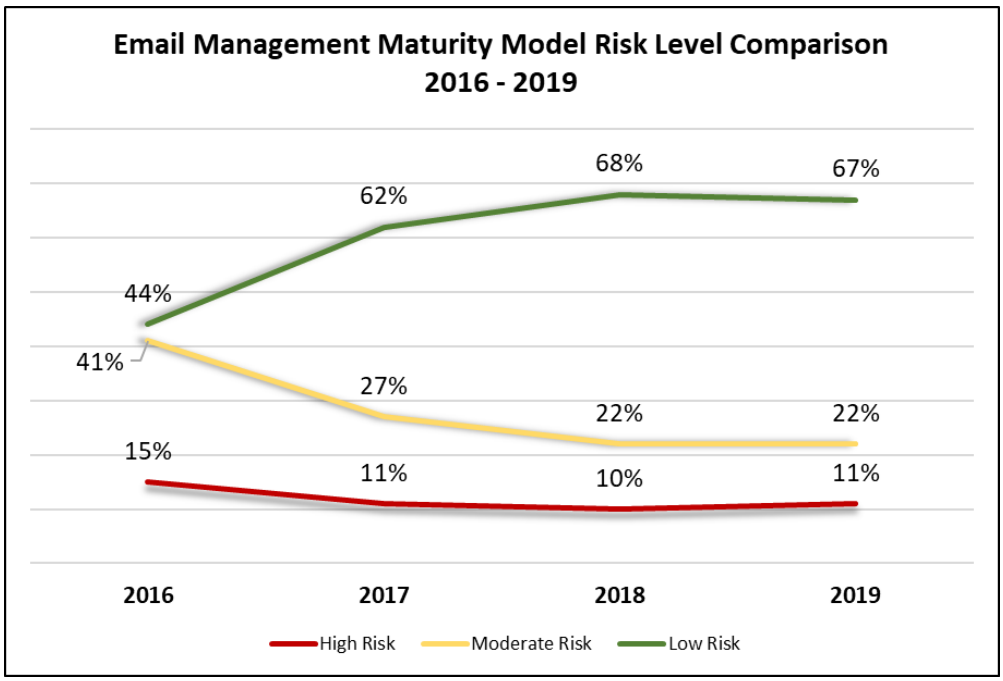

Figure 10: Comparing risk level results since the first use of the Email Maturity Model

The maturity model for email management is less complicated than the maturity model for electronic records management. Each domain, with the exception of Domain 2 (Systems), contained a single question which simplifies the analysis. Overall, agencies chose levels 3 and 4 for all of the domains. However, there are some areas where agencies chose lower levels, particularly in the systems and access domains, indicating more resources may be needed in these areas.

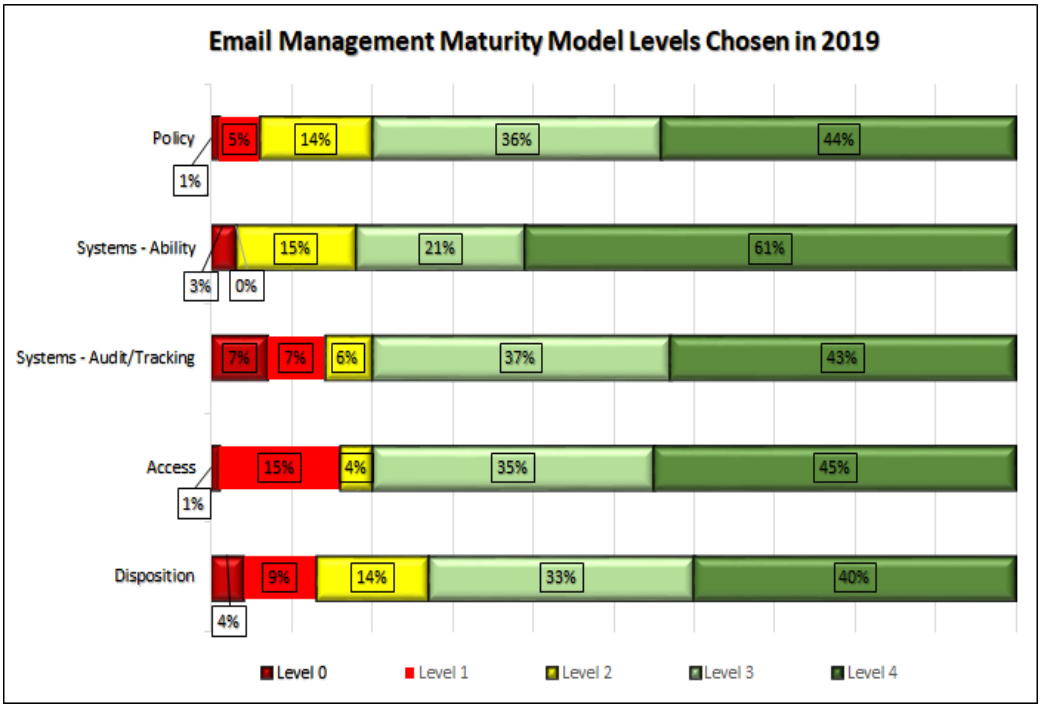

Figure 11: Email Management Maturity, 2019

DOMAIN 1: EMAIL MANAGEMENT POLICIES

Most of the agencies reported a success level 3 or 4, which means that:

- Email policies have either been developed and 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 the use of personal or non-official email accounts.
- There are policies and procedures protecting against the 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.

DOMAIN 2: 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.
- Email systems generate reports, both routine and customized, to demonstrate effective controls and compliance with the requirements for managing email records.
- Email systems have the ability to audit/track use of email records and changes to the level of access and location.

DOMAIN 3: 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.

DOMAIN 4: EMAIL DISPOSITION

Most agencies reported a success level 3 or 4, which means that:

- Retention schedules covering email have 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.

SECTION 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.

The RMSA, while dependent on self-reported data, provides NARA and agencies with a consistent evaluation tool. In response to feedback from respondents to improve answer options, some questions now include 'In Progress', 'To Some Extent' or 'Under Development' where a definitive 'Yes' or 'No' previously needed clarification. This has improved the RMSA's ability to gather more precise information. Each year, NARA conducts a validation process to judge how well responses reflect what we know about a specific agency's records management activity. For information on the validation process, see Appendix II.

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 has remained as consistent as possible to support comparative analysis over time. 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.

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 that they will never experience lapses or failures when managing their records. NARA does not rely on the RMSA alone. We conduct other oversight activities including inspections, assessments, and systems audits that also help determine how well agencies are managing their records.

CORRELATION WITH M-19-21

The SAORM reports ask direct questions related to progress towards the transition to electronic recordkeeping and the target goals set out in M-19-21. The Maturity Model measures how well agencies are handling electronic records and email management. The RMSA provides additional specific data related to the robustness of records management programs that also relates to the goals of M-19-21, as specified in Section I of the memorandum.

M-19-21 Reference	RMSA Section	Specific Question Numbers
1.1 Permanent electronic records in electronic format by 2019	Section Two Section Three Section Four	20 35 55-56, 58, 61-63
1.2 All permanent records in electronic format with appropriate metadata by 2022	Section Four	55-58, 61-63
1.3 All temporary records in electronic format or stored in commercial facilities by 2022	Section Three	46, 48, and 50
1.4 Maintain a robust records management program	Section One Section Three	1, 2, 3, 4, 8-10 30-36

Figure 12: Correlation of M-19-21 Targets with RMSA

DATA ANALYSIS

The overall risk levels remained exactly where they have been, with most agencies scoring themselves in the moderate risk range, followed by low risk.

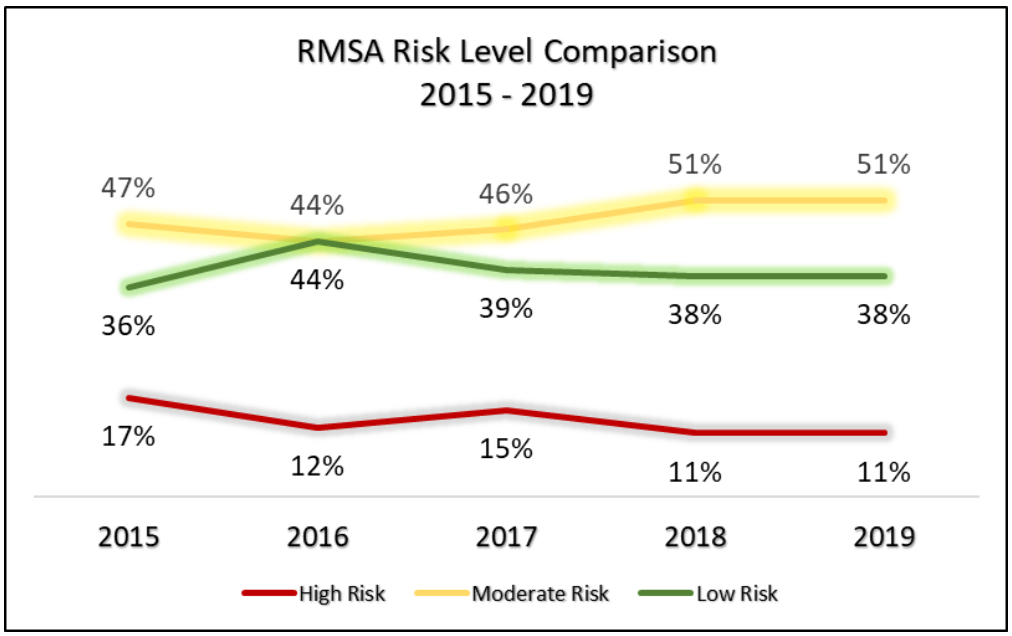

Figure 13: RMSA Annual Risk Level Comparison

The moderate and high-risk categories have broad ranges. Scoring moderate risk is 60-89 points, and anything from 0 to 59 points is high risk. A granular breakdown shows that there are agencies within a few points of moving up or down between risk levels.

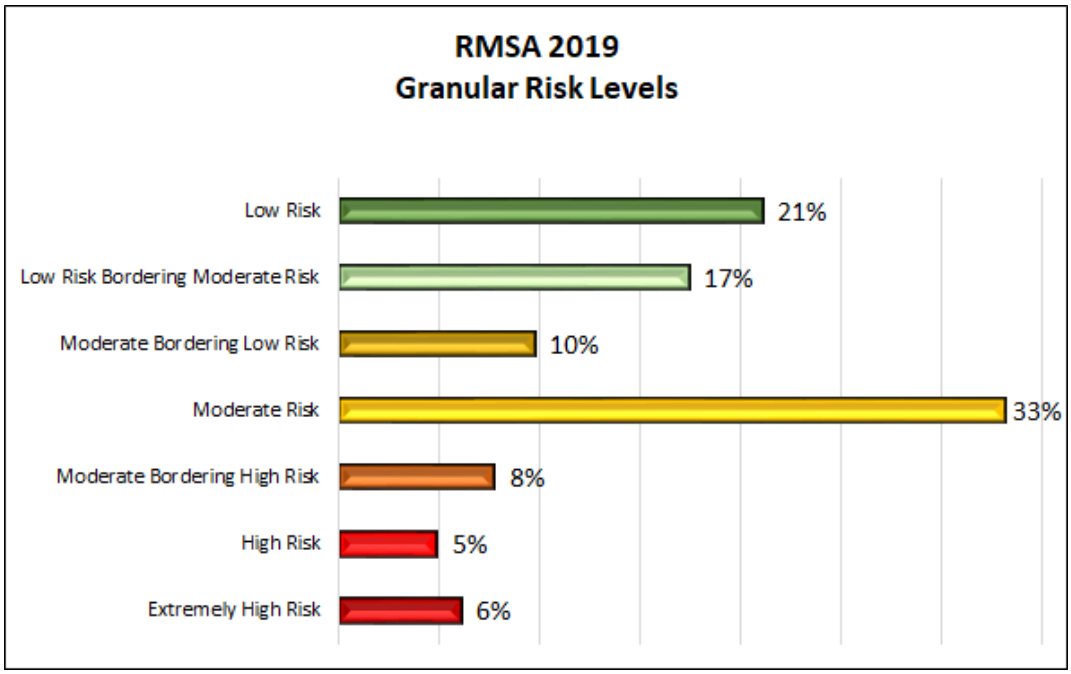

Figure 14: Exploring Risk Levels at a Granular Level

This granularity is important in order to more fully judge risk to records across the federal records community.

- While the majority of agencies (33%) are solidly in the moderate-risk category, there are some (8%) that are really closer to high risk, and another 10% that with a little more progress will move up to low risk.
- The reverse is also true that 17% of agencies have just barely made it into low risk and must continue to be diligent to maintain that risk level.

Since the goal is for agencies to be compliant with federal regulations for records management, they should be either already in low risk or at least bordering it within the moderate risk category. The trajectory from 2010 had been an increase in the percentage of agencies in low risk, until a peak in 2016. Gradual improvement was expected since the percentage started at a very low 5% of agencies in low risk. In more recent years, there has been a leveling of the percentage of agencies achieving scores in the low risk category. The number of agencies

reaching low risk has never made it above 50%. If the goal is for all agencies to be in low risk, the current rate at 38% means there is a long way to go.

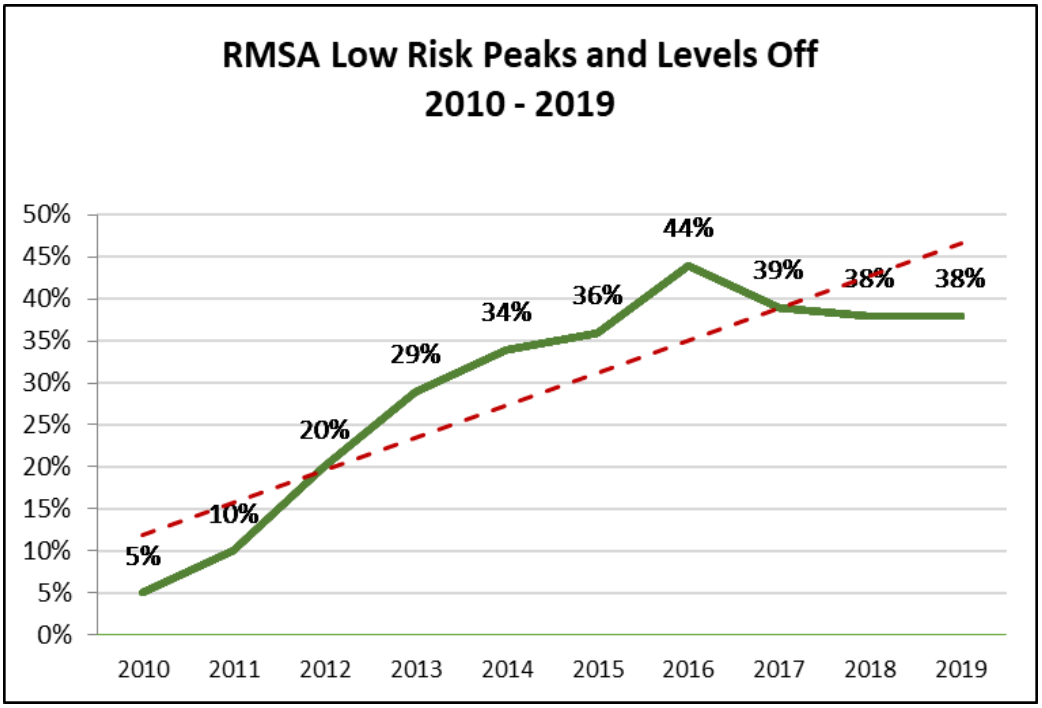

Figure 15: RMSA Low Risk Level Trajectory

ROBUSTNESS OF RECORDS MANAGEMENT PROGRAMS

Within its four main sections, the RMSA asks questions related to the strength or robustness of records management programs. The following analysis provides information on compliance with specific regulations and various topics. For more detailed statistics, see Appendix III.

The majority of agencies responded 'Yes' to the questions around compliance with 36 CFR 1220.34. Agencies have a person responsible for coordinating and overseeing the RM program and a network of designated employees with RM responsibilities in program and administrative areas. The program is supported by a records management directive that was updated at least in the last three years. The program is also supported with a training program for staff with direct RM responsibilities, as well as mandatory training for all staff including contractors and senior executive and appointed officials.

Policies, procedures, and strategies for ensuring that records are retained long enough to meet programmatic, administrative, fiscal, legal, and historical needs are covered by 36 CFR 1222.26(e). Agencies monitor implementation by internal controls and performance management. Agencies answered 'Yes' or 'Under Development' most often to specific questions about internal controls and performance management. This year, we expanded the question related to inspections, assessments, and audits used by agencies to evaluate their records management programs to examine the existence of follow-up activity. While the majority of agencies indicated that their records management programs are evaluated, very few agencies require written reports or create plans of corrective action to address what is found by these

evaluations. We consistently find during our inspections of individual agency records management programs a lack of both formal evaluations and performance goals or measures.

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.

Records Scheduling

The questions in this area center around submitting a records schedule to NARA for approval within the last two years, and the implementation of schedules that ensure that agencies can manage, access, and retrieve records throughout their lifecycle. Those answering positively (or 'Yes') were in the 60% or below ranges. In order for NARA to feel confident in federal agencies' records management programs, these numbers should be considerably higher.

Additional questions cover reviewing and updating records schedules, plus identifying schedules with items approved before January 1, 1990. The data for these questions is related to the requirement in Section 1.1 of M-19-21 to ensure NARA-approved records schedules are updated as business practices transition to electronic workflows.

- Agencies (94%) indicated they do periodically review agency-specific schedules to ensure they still meet business needs, to identify gaps that may indicate unscheduled records, or to make needed revisions.
- Agencies (57%) have schedules with older items.
- Those having older items are currently reviewing these records schedules to update and/or reschedule.
- A few agencies have completed their reviews, some are planning to do so, and a few have no plans to do so.

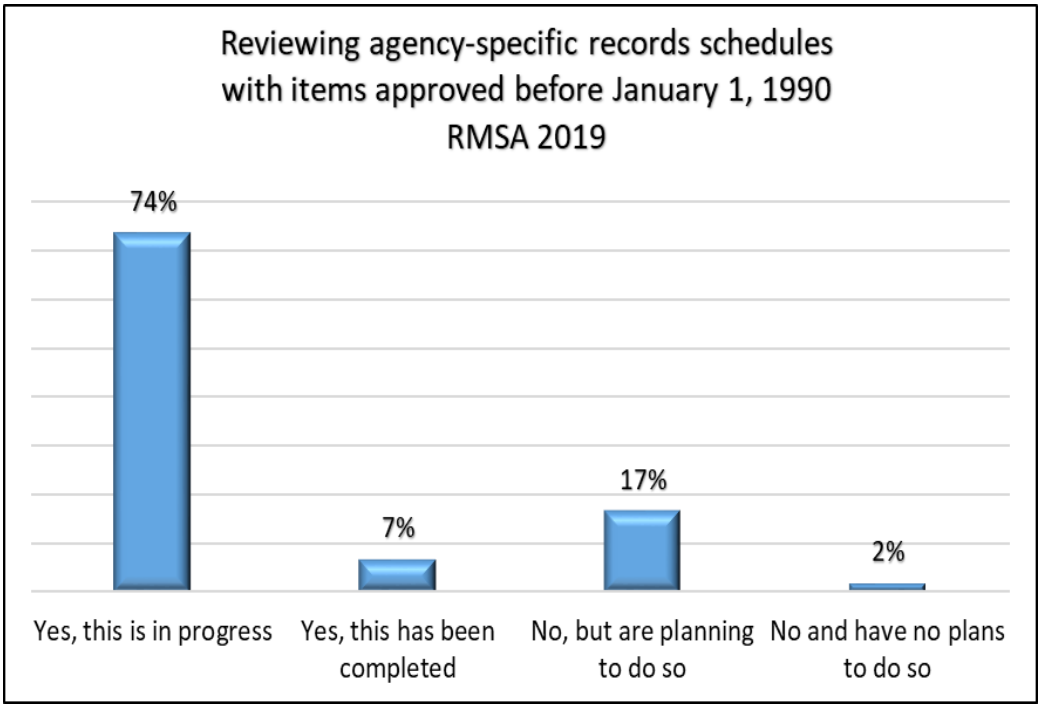

Figure 16: Records schedule items approved before January 1, 1990

Transfers of Permanent Records

The management of permanent records, including transferring eligible records to the National Archives in accordance with approved retention schedules, is a key factor and one of the main purposes of a disposition program. Completed transfers of permanent records remain 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.

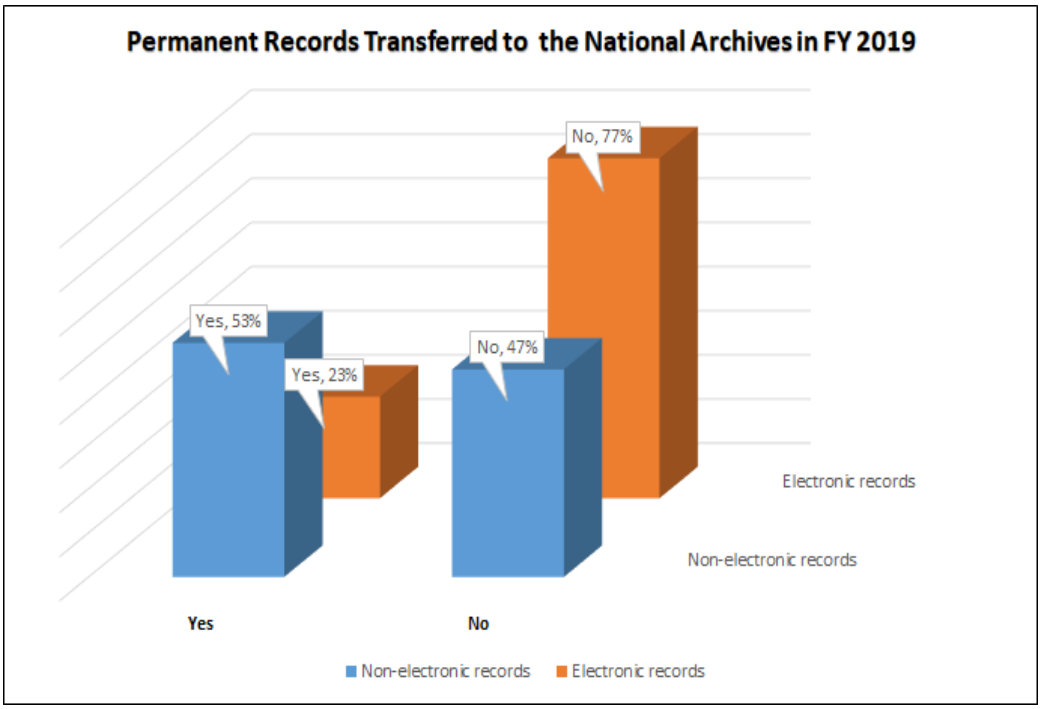

Figure 17: Transferring Records to the National Archives in FY 2019 remains low

Records Storage and Section 1.3 of M-19-21

Every odd numbered year starting in 2013, NARA includes questions related to where agencies store records. This year, this takes on greater significance due to the requirement in Section 1.3 of M-19-21 that all temporary records be managed electronically to the fullest extent possible or stored in commercial storage facilities by December 31, 2022. In addition, the M-19-21 target in Section 2.4 states that NARA will not accept paper records in the Federal Records Centers or into the National Archives, to the fullest extent possible, by December 31, 2022.

According to the responses, most agencies do not store records in a commercial records center, nor do they run agency-operated records centers. This correlates with information provided in the SAORM reports. The few that do have agency-operated records centers, do not currently have plans to move records into commercial storage. But it is an even split on whether or not agencies plan to move records to a NARA-operated Federal Records Center prior to December 31, 2022.

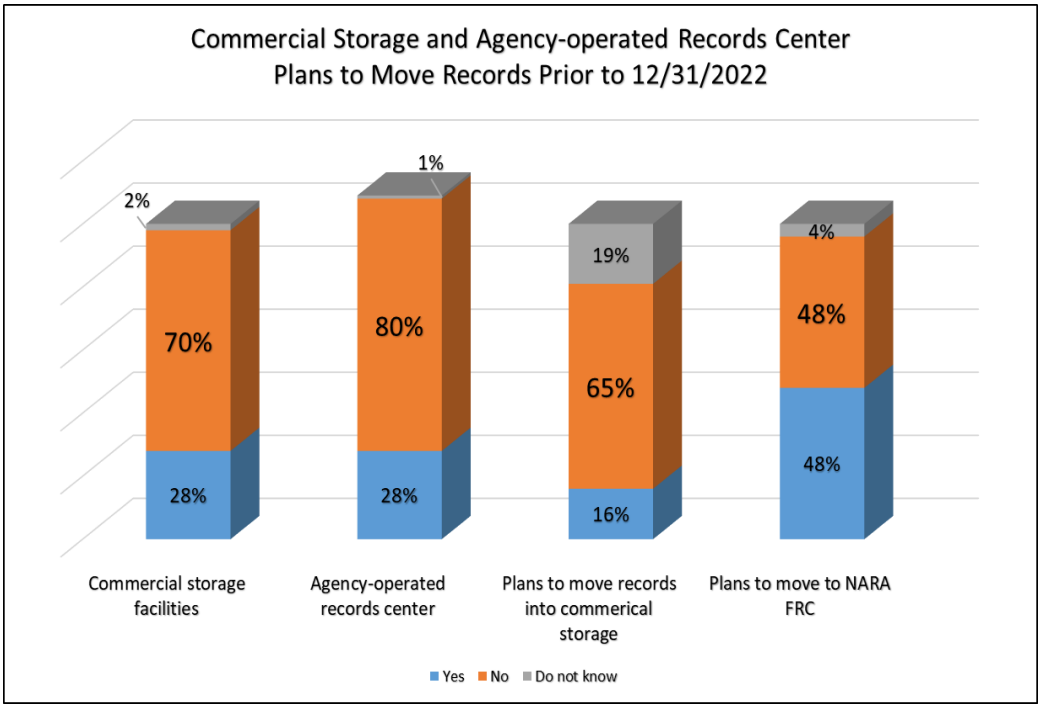

Figure 18: RMSA data related to commercial storage and agency-operated records centers

ELECTRONIC RECORDS MANAGEMENT PROGRAMS

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 incorporate records management functionality. Agencies should also have inventories of electronic information systems that identify approved disposition authorities. Responses to these questions remained unchanged from last year. Improvement in this area is critical for agencies to meet the deadline in Section 1.2 of M-19-21 to manage permanent records with associated metadata in electronic format by December 31, 2022.

- The majority of agencies, 90%, incorporate or integrate internal controls for reliability, authenticity, integrity, and usability of electronic records.
- There are not enough agencies (51%) with documented and approved procedures for migration with associated metadata.
- Less than 60%, in some cases, and no more than 70% of agencies are able to say they comply with parts of 36 CFR 1236 at least to some extent, depending on the questions asked (see Appendix III for specific questions and statistics). (This mirrors the results of the Federal Electronic Records and Email Management Maturity Model Report.)

Permanent Electronic Records

We asked a series of questions related to the December 31, 2019, deadline to manage electronic permanent records in electronic format and the future goals to manage all records in electronic format by December 31, 2022. The results indicate that for records already in electronic format, agencies are making progress, but for permanent records in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, and analog audio), progress is lagging as strategies are beginning to take shape.

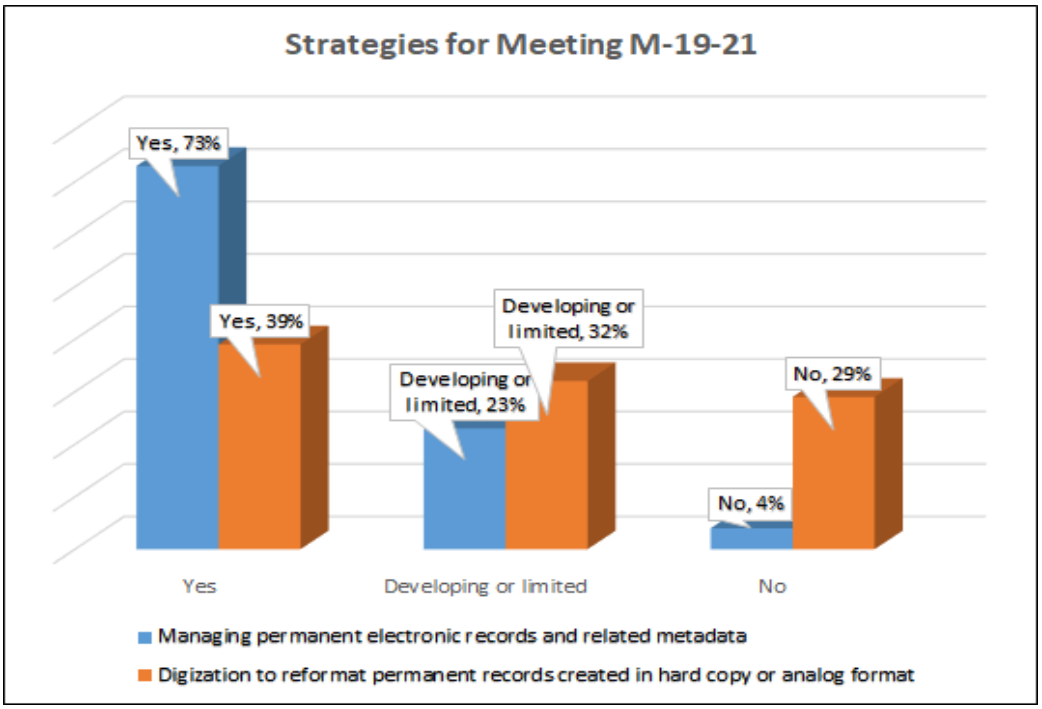

Figure 19: Strategies for managing permanent electronic records are more prevalent than for hard copy or other analog formats

Email Management

Email management has been a major focus for several years for the RMSA with questions centered on the existence of policies and guidelines. Agencies scored well, answering positively 70-90% of the time, with the exception of guidelines for transferring permanent email records to NARA and auditing compliance with preservation policies, answering positively less than 60% of the time. This is consistent with the data on the lack of transfers 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 Disposition Authorities and Capstone

In FY 2019, there was a concerted effort focused on scheduling email. NARA strongly encourages agencies to use General Records Schedule (GRS) 6.1, *Email Managed under a Capstone Approach*, to provide disposition authority for both permanent and temporary email records. In cases where GRS 6.1 is not appropriate, an agency may request authority to implement a Capstone approach that differs from this GRS by submitting an agency-specific records schedule to NARA. Agencies using GRS 6.1 are expected to apply items the agency uses to all existing email, including legacy email. (Legacy email is defined as email that still exists in an electronic format at the time of Capstone implementation.)

We asked a series of questions related to email disposition authorities including the type of disposition authority in use, and whether it adequately reflects the existing organizational structure.

- The majority of agencies (83%) are using the Capstone approach and either have an approved NA-1005 or are working towards submitting one for approval.
- The remainder use an agency-specific email schedule or traditional schedules based on the content of the email, with a few that indicated a method has not yet been determined.
- The more interesting data point is that 97% of agencies indicated that their existing disposal authority, whether Capstone or agency-specific schedule, does indeed reflect their existing organizational structure. This is a tribute to the work that NARA and agencies have been doing for the past several years to schedule email records.

CONCLUSION

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.

Annual reporting data has been used as background information prior to the inspections and assessments we conduct. Our inspection and assessment reports are available on our website 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 increase its capacity to conduct oversight of federal records management and is committed to working with federal agencies to improve their programs.

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

- SAORMs must advocate for and support their records management programs through strategic plans, performance goals, objectives, and measures to implement the goals set out in M-19-21.
- SAORMs must provide leadership for records management programs and ensure these programs are properly resourced and aligned with the agency's strategic information resource management plans.
- SAORMs should meet regularly with their Agency Records Officer to establish performance goals for the records management program and to assess progress against the goals by reviewing performance measures.
- SAORMs should promote an information governance framework that requires collaborative relationships between records management staff, data management programs, and information technology staff to integrate records management into the agency's information resource management strategy.[4]

[4] 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

- SAORMs should ensure communication and collaboration between the Agency Records Officer and program managers, information technology staff, Inspectors General, and the FOIA officer regarding the transfer of permanently valuable electronic records to the National Archives.

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 should 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.
- Agencies must review and update records schedules in order to ensure they cover current business practices and the transition to electronic information creation and maintenance.
- Agencies must inform all personnel and contractors of their records management responsibilities in law, regulation, and policy, and provide specific training to the practices and policies of the organization.
- Agencies must monitor the implementation of records management policies and practices to ensure they have the desired outcomes to properly provide the information necessary to make decisions and document accountability.
- Agencies must have control over permanent electronic records to ensure adequate capture, management, preservation, and transfer to the National Archives in acceptable electronic formats along with the appropriate metadata.
- Greater efforts need to be made to transfer eligible permanent records to the National Archives, regardless of format, and particularly paper records before December 31, 2022.
- Agencies must evaluate their ability to transfer permanent records and work with the National Archives, 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 Centers Program.
- Agency Records Officers should initiate and establish collaborative relationships with program managers, data 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 OMB Circular A-130, *Managing Information as a Strategic Resource*, and other guidance.

be a useful asset and reduces liability to an organization, based on that organization's specific business requirements.

- 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.

NARA'S SUPPORT

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 recordkeeping 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.
- Streamline and improve appraisal and scheduling 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: Scoring and Risk Factors

Senior Agency Official for Records Management Annual Report

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

Federal Electronic Records and Email Management Maturity Model Report

A maturity model score is an average created from the total number of points divided by the number of questions.

Part I: Federal Electronic Records Management

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

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

Part II: Federal Email Management

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

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

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

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

Records Management Self-Assessment (RMSA)

The RMSA has four sections with scored questions. The fifth 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

Expanded risk levels:

- Low Risk = scores 94 - 100
- Low Risk Bordering Moderate Risk = scores 90 - 93
- Moderate Risk Bordering Low Risk = scores 88 - 89
- Moderate Risk = scores 70 - 87
- High Risk Bordering Moderate Risk = scores 60 - 69
- High Risk = scores 50 - 59
- Extremely High Risk = scores 0 - 49

APPENDIX II: RMSA VALIDATION STRATEGY

Each year, we validate a random sample of agencies' responses to selected questions. Due to COVID-19, we limited validation to 10 questions where we could use internal resources.

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 and Results			
Q#	**Topic**	**Validation Method**	**Results**
3	Designation of SAORM	Verify all responses using 2019 SAORM reports and internal NARA tracking spreadsheet.	98% (243/247) correct. 2% (4/247) incorrect.
30	Last Records Schedule Submission to NARA	Verify those answering that the last submission was in 2018 and 2019 using input from Appraisal staff, ERA and CATS data.	95% correct (123/129). 5% incorrect (6/129).
32-33	Schedules older than 1990	Verify a random sample of all answers with input from Appraisal staff and CATS data.	77% correct (17/22). 23% incorrect (5/22).
37	Transfer of Permanent Non-Electronic Records	Verify all responses with input from Research Services staff and associated databases.	80% (195/245) correct. 20% (50/245) incorrect.
38	Transfer of Permanent Electronic Records	Verify all responses with input from Research Services staff and associated databases.	71% (175/246) correct. 29% (71/246) incorrect.
72	Disposition authority for email records	Verify a random sample of agencies answering use of GRS 6.1 or Agency-specific schedules for email using submitted NA-1005s and List of Agency Approaches for Email Disposition, and input from Appraisal staff.	88% (15/17) correct. 12% (2/17) incorrect.
85-87	Assign ARO	Verify all responses using NARA's ARO list.	100% correct.

Appendix III: RMSA 2019 Questionnaire with Statistical Results

Records Management Self-Assessment 2019

Section One: 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 Options	Number of responses	Percent to total responses
Yes	245	99%
Do not know	1	<1%
No	1	<1%
Total number of agencies responding to this question	247	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)? (For components of a department this is most likely at the department level, and you may answer "Yes" even if this is not being done at the component level.)

Answer Options	Number of responses	Percent to total responses
Yes	241	98%
No	6	2%
Do not know	0	0%
Total number of agencies responding to this question	247	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? (For components of a department, this is most likely at the department level.)

Answer Options	Number of responses	Percent to total responses
Yes	192	81%
No	43	18%
Do not know	3	1%
Total number of agencies responding to this question	238	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 Options	Number of responses	Percent to total responses
Yes	203	82%
No	13	5%
Do not know	1	0%
Not applicable, agency has less than 100 employees	28	11%
Not applicable, Departmental Records Officer - this is done at the component level	2	1%
Total number of agencies responding to this question	247	100%

Q6. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

Answer Options	Number of responses	Percent to total responses
Yes	226	92%
No, pending final approval	7	3%
No, under development	10	4%
No	3	1%
Do not know	1	0%
Total number of agencies responding to this question	247	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 Options	Number of responses	Percent to total responses
FY 2019 - present	151	61%
FY 2017 - 2018	48	19%
FY 2015 - 2016	17	7%
FY 2014 or earlier	21	9%
Do not know	2	1%
Not applicable, agency does not have a records management directive	8	3%
Total number of agencies responding to this question	247	100%

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))

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

Answer Options	Number of responses	Percent to total responses
Yes	202	82%
No	19	8%
No, pending final approval	0	0%
No, under development	22	9%
Do not know	0	0%
Not applicable, please explain	4	2%
Total number of agencies responding to this question	247	100%

Q9. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, covering records in all formats, including electronic communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which helps agency employees and contractors fulfill their recordkeeping responsibilities?** (36 CFR 1220.34(f))

*Includes NARA's records management training workshops that were customized specifically for your agency or use of an agency-customized version of the Federal Records Officer Network (FRON) RM 101 course.
**Components of departmental agencies may answer "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.

Answer Options	Number of responses	Percent to total responses
Yes	198	80%
No	13	5%
No, pending final approval	6	2%
No, under development	30	12%
Do not know	0	0%
Total number of agencies responding to this question	247	100%

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))

Answer Options	Number of responses	Percent to total responses
Yes	221	89%
No	24	10%
Do not know	2	1%
Total number of agencies responding to this question	247	100%

Q11. Please add any comments about your agency for Section I: Activities. (Optional)

Section Two: Oversight and Compliance

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))

**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

Answer Options	Number of responses	Percent to total responses
Yes	194	79%
No	11	4%
No, pending final approval	5	2%
No, under development	36	15%
Do not know	1	0%
Total number of agencies responding to this question	247	100%

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))

**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

Answer Options	Number of responses	Percent to total responses
Yes	210	85%
No	6	2%
No, pending final approval	2	1%
No, under development	28	11%
Do not know	1	0%
Total number of agencies responding to this question	247	100%

Q14. 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 Options	Number of responses	Percent to total responses
Yes	198	81%
No	43	18%
Do not know	4	2%
Total number of agencies responding to this question	245	

Q15. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? (36 CFR 1220.34(j))

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

Answer Options	Number of responses	Percent to total responses
Yes, evaluations are conducted by the Records Management Program	128	52%
Yes, evaluations are conducted by the Office of Inspector General	3	1%
Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General	49	20%
Yes, evaluations are conducted by: (fill in the blank)	40	16%
No, please explain	26	11%
Do not know	1	0%
Total number of agencies responding to this question	247	100%

Q16. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)?		
Answer Options	Number of responses	Percent to total responses
Annually	89	36%
Biennially	23	9%
Once every 3 years	48	19%
Ad hoc	70	28%
Do not know	2	1%
Not applicable, agency does not evaluate its records management program	15	6%
Total number of agencies responding to this question	247	100%

Q17. 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 Options	Number of responses	Percent to total responses
Yes, formal report was written	132	32%
Yes, plans of corrective action were created	110	27%
Yes, plans of corrective action were monitored for implementation	101	24%
No	52	13%
Do not know	6	1%
Not applicable, agency does not evaluate its records management program	14	3%
Total responses to this question	415	100%
Total number of agencies responding to this question	247	

Q18. Has your agency established performance goals for its records management program?

*Examples of performance goals include but are not limited to:
Identifying and scheduling all paper and non-electronic records by the end of DATE
Developing computer-based records management training modules by the end of DATE
Planning and piloting an electronic records management solution for email by the end of DATE
Updating records management policies by the end of the year
Conducting records management evaluations of at least one program area each quarter

Answer Options	Number of responses	Percent to total responses
Yes	176	72%
No	18	7%
Pending final approval	3	1%
Currently under development	49	20%
Do not know	0	0%
Total number of agencies responding to this question	246	100%

Q19. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

*Examples of performance measures include but are not limited to:
Percentage of agency employees that receive records management training in a year
A reduction in the volume of inactive records stored in office space
Percentage of eligible permanent records transferred to NARA in a year
Percentage of records scheduled
Percentage of offices evaluated/inspected for records management compliance
Percentage of email management auto-classification rates
Development of new records management training modules
Audits of internal systems
Annual updates of file plans

Performance testing for email applications to ensure records are captured Percentage of records successfully retrieved by Agency FOIA Officer in response to FOIA requests		
Answer Options	Number of responses	Percent to total responses
Yes	163	66%
No	18	7%
Pending final approval	1	0%
Currently under development	65	26%
Do not know	0	0%
Total	247	100%
Q20. 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 Options	Number of responses	Percent to total responses
Yes	184	74%
No	10	4%
No, pending final approval	12	5%
No, under development	41	17%
Do not know	0	0%
Total number of agencies responding to this question	247	100%

Q21. 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 Options	Number of responses	Percent to total responses
Yes	210	85%
No	29	12%
Do not know	8	3%
Total number of agencies responding to this question	247	100%

Q22. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

Answer Options	Number of responses	Percent to total responses
Annually	152	62%
Biennially	12	5%
Once every 3 years	20	8%
Ad hoc	44	18%
Never	7	3%
Do not know	12	5%
Total number of agencies responding to this question	247	100%

Q23. Is your vital records plan part of the Continuity of Operations (COOP) plan?		
Answer Options	Number of responses	Percent to total responses
Yes	226	92%
No	18	7%
Do not know	3	1%
Total number of agencies responding to this question	247	100%
Q24. As the Agency Records Officer (or records management staff), have you received FOIA training?		
Answer Options	Number of responses	Percent to total responses
Yes, I have received informal FOIA training (briefing by a colleague or as part of agency employee orientation)	90	37%
Yes, I have received formal FOIA training (online or in-person instructor-led session)	98	40%
No	58	24%
Do not know	0	0%
Total number of agencies responding to this question	246	100%

Q25. Who reviews responses to FOIA requests? (Choose all that apply)		
Answer Options	Number of responses	Percent to total responses
Supervisory Government Information Specialist/Team Lead	100	13%
FOIA Officer	205	27%
Office of General Counsel	146	19%
Office of Public Affairs	33	4%
Program office where the records originated	105	14%
Office of the Secretary/Head of Agency	17	2%
Chief FOIA and/or Privacy Officer	103	13%
Other, please be specific:	55	7%
Total responses to this question	764	100%
Total number of agencies responding to this question	247	

Q26. How does your agency handle duplicate records when processing FOIA requests?

Answer Options	Number of responses	Percent to total responses
Agency has software that de-duplicates	70	29%
Agency manually de-duplicates search results	144	59%
Agency does not separate duplicate records	13	5%
Do not know	18	7%
Total number of agencies responding to this question	245	100%

Q27. Which of the following does your agency/component have available on its FOIA website for requesting records? (Choose all that apply)

Answer Options	Number of responses	Percent to total responses
Guide to accessing agency information	207	43%
An index of all major agency information systems	69	14%
Description of major information	120	25%
Record locator information	67	14%
None of the above	17	4%
Do not know	5	1%
Total responses to this question	485	100%
Total number of agencies responding to this question	247	

Q28. At your agency/component, who ensures that records posted to the FOIA Reading Room are accessible to people with disabilities (Per 508 compliance)? (Choose all that apply)

Answer Options	Number of responses	Percent to total responses
FOIA Office	121	32%
Public Information Office	41	11%
General Counsel	21	6%
IT Office/Web manager	137	36%
Agency does not ensure 508 compliance unless requested	10	3%
Do not know	7	2%
Other, please be specific:	40	11%
Total responses to this question	377	100%
Total number of agencies responding to this question	247	

Q29. Please add any additional comments about your agency for Section II: Oversight and Compliance. (Optional)

Section Three: Records Disposition

Q30. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10)

Answer Options	Number of responses	Percent to total responses
FY 2018 - 2019	142	57%
FY 2016 - 2017	42	17%
FY 2014 - 2015	16	6%
FY 2012 - 2013	11	4%
FY 2011 or earlier	27	11%
Do not know	9	4%
Total number of agencies responding to this question	247	100%

Q31. Does your agency periodically review agency-specific records schedules to ensure they still meet business needs, to identify gaps that may indicate unscheduled records, or to make needed revisions?

Note: An agency-specific records schedule means it covers items that are not covered by the General Records Schedules (GRS).

Answer Options	Number of responses	Percent to total responses
Yes	231	94%
No	15	6%
Do not know	1	0%
Total number of agencies responding to this question	247	100%

Q32. Does your agency have agency-specific records schedules currently in use that include items approved before January 1, 1990?

Answer Options	Number of responses	Percent to total responses
Yes	142	57%
No	101	41%
Do not know	4	2%
Total number of agencies responding to this question	247	100%

Q33. Are you currently reviewing agency-specific records schedules with items approved before January 1, 1990, for updating and/or rescheduling? (CFR 1225.22)

Answer Options	Number of responses	Percent to total responses
Yes, this is in progress	105	74%
Yes, this has been completed	10	7%
No, but are planning to do so	24	17%
No, and have no plans to do so	3	2%
Do not know	0	0%
Total number of agencies responding to this question	142	100%

Q34. 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 Options	Number of responses	Percent to total responses
Yes	150	61%
To some extent	90	36%
No	7	3%
Do not know	0	0%
Total number of agencies responding to this question	247	100%

Q35. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

Answer Options	Number of responses	Percent to total responses
All records are easily retrievable and accessible when needed	95	39%
Most records can be retrieved and accessed in a timely manner	133	54%
Some records can be retrieved and accessed in a timely manner	17	7%
No	1	0%
Do not know	0	0%
Total number of agencies responding to this question	246	100%

Q36. 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 Options	Number of responses	Percent to total responses
Yes	215	88%
No	27	11%
Do not know	3	1%
Total number of agencies responding to this question	245	100%

Q37. Did your agency transfer permanent non-electronic records to NARA during FY 2019? (36 CFR 1235.12)		
Answer Options	Number of responses	Percent to total responses
Yes	130	53%
No	51	21%
No - No records were eligible for transfer during FY 2019	41	17%
No - New agency, records are not yet old enough to transfer	5	2%
No - My agency does not have any permanent non-electronic records	5	2%
Do not know	4	2%
Other, please explain	11	4%
Total number of agencies responding to this question	247	100%

Q38. Did your agency transfer permanent electronic records to NARA during FY 2019? (36 CFR 1235.12)		
Answer Options	Number of responses	Percent to total responses
Yes	57	23%
No	77	31%
No - No electronic records/systems were eligible for transfer during FY 2019	86	35%
No - New agency, electronic records/systems are not old enough to transfer	16	6%
No - My agency does not have any permanent electronic records	0	0%

Do not know	2	1%
Other, please explain	9	4%
Total number of agencies responding to this question	247	100%
Q39. Does your agency track when permanent records are eligible for transfer to NARA?		
Answer Options	Number of responses	Percent to total responses
Yes	201	82%
No	37	15%
No - My agency does not have any permanent records	1	0%
Do not know	7	3%
Total number of agencies responding to this question	246	100%
Q40. If Yes or No: Please explain your response to the previous question.		
Q41. 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 Options	Number of responses	Percent to total responses
Yes	177	72%
Yes, but not documented	36	15%

No	25	10%
Do not know	2	1%
Not applicable, please explain	7	3%
Total number of agencies responding to this question	247	100%
Q42. 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 Options	Number of responses	Percent to total responses
Yes	174	82%
No, please explain	36	17%
Do not know	1	0%
Total number of agencies responding to this question	211	100%
Q43. Does your agency conduct and document for responsibility 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 Options	Number of responses	Percent to total responses
Yes	182	74%
Yes, but not documented	27	11%
No	27	11%
Do not know	4	2%

Not applicable, please explain	7	3%
Total number of agencies responding to this question	247	100%

Q44. 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 Options	Number of responses	Percent to total responses
Yes	182	88%
No	24	12%
Do not know	0	0%
Total number of agencies responding to this question	206	100%

Q45. 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 Options	Number of responses	Percent to total responses
Yes	193	93%
No, please explain	14	7%
Do not know	0	0%
Total number of agencies responding to this question	207	100%

Q46. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?		
Answer Options	Number of responses	Percent to total responses
Yes	70	28%
No	172	70%
Do not know	4	2%
Total number of agencies responding to this question	246	100%

Q47. Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))		
Answer Options	Number of responses	Percent to total responses
Yes	58	84%
No	6	9%
Do not know	5	7%
Total number of agencies responding to this question	69	100%

Q48. Does your agency store inactive temporary and/or permanent records in an agency-operated records center? (Note: This does NOT include agency staging areas and temporary holding areas.)

Answer Options	Number of responses	Percent to total responses
Yes	45	18%
No	198	80%
Do not know	3	1%
Total number of agencies responding to this question	246	100%

Q49. Has the facility been approved by NARA? (36 CFR 1234.30(a)(1))

Answer Options	Number of responses	Percent to total responses
Yes	31	72%
No	9	21%
Do not know	3	7%
Total number of agencies responding to this question	43	100%

Q50. Is your agency making plans to move records from an agency-operated records center to a commercial records storage facility?

Answer Options	Number of responses	Percent to total responses
Yes	7	16%
No	28	65%
Do not know	8	19%
Total number of agencies responding to this question	43	100%

Q51. Is your agency making plans to move records from an agency-operated records center to a Federal Records Center before December 31, 2022?

Answer Options	Number of responses	Percent to total responses
Yes	20	48%
No	20	48%
Do not know	2	5%
Total number of agencies responding to this question	42	100%

Q52. Does your agency store inactive temporary and/or permanent records in an agency records staging or holding area?

Answer Options	Number of responses	Percent to total responses
Yes	161	65%
No	82	33%
Do not know	4	2%
Total number of agencies responding to this question	247	100%

Q53. Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234.10, 36 CFR 1234.12, and 36 CFR 1234.14?*

*It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.

Answer Options	Number of responses	Percent to total responses
Yes	82	51%
No	43	27%
Do not know	35	22%
Total number of agencies responding to this question	160	100%

Q54. Please add any additional comments about your agency for Section III: Records Disposition. (Optional)

Section Four: Electronic Records

Q55. 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 Options	Number of responses	Percent to total responses
Yes	139	56%
To some extent	93	38%
No	12	5%
Do not know	1	0%
Not applicable, please explain	2	1%
Total number of agencies responding to this question	247	100%

Q56. 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 Options	Number of responses	Percent to total responses
Yes	125	51%
No	37	15%
No, pending final approval	9	4%
No, under development	72	29%

Do not know	3	1%
Total number of agencies responding to this question	246	100%

Q57. 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 Options	Number of responses	Percent to total responses
Yes	186	75%
No, please explain	52	21%
Do not know	9	4%
Total number of agencies responding to this question	247	100%

Q58. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)

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

Answer Options	Number of responses	Percent to total responses
Yes	186	75%
No, please explain	56	23%
Do not know	2	1%
Not applicable, please explain	3	1%

Total number of agencies responding to this question	247	100%
Q59. Does your agency's records management program staff participate in the acquisition, design, development, and implementation of new electronic information systems?		
Answer Options	Number of responses	Percent to total responses
Yes	96	39%
To some extent	114	46%
No, please explain	25	10%
Do not know	0	0%
Not applicable, please explain	12	5%
Total number of agencies responding to this question	247	100%

Q60. Which of the following best describes your agency's records management staff's participation in the procurement, acquisition, or other development of new electronic information software and systems, including but not limited to COTS purchases, database creation, and the software development lifecycle (regardless of methodology) to ensure appropriate records requirements are properly implemented?

The records management staff:

Answer Options	Number of responses	Percent to total responses
Is regularly consulted by other parts of the agency to provide information only.	59	28%
Regularly participates, before system or capability requirements are defined, as a procurements and acquisition stakeholder, but without approval or sign off authority before such efforts move forward.	50	24%
Regularly participates, before system or capability requirements are defined, as a procurement and acquisition stakeholder, and must approve procurements and acquisitions before they move forward.	15	7%
Regularly participates as a stakeholder throughout the procurement and acquisition process, including concept, contracting, design, development, testing, and system acceptance phases, and must approve procurements and acquisitions before they move forward.	39	19%
Do not know	2	1%
Other engagement, please explain	44	21%
Total number of agencies responding to this question	209	100%

Q61. Does your agency have a process or strategy for managing permanent electronic records and related metadata in an electronic form?		
Answer Options	Number of responses	Percent to total responses
Yes	181	73%
No	9	4%
No, under development	57	23%
Do not know	0	0%
Total number of agencies responding to this question	247	100%

Q62. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records?		
Answer Options	Number of responses	Percent to total responses
Yes	203	83%
No	7	3%
No, pending final approval	3	1%
No, under development	31	13%
Do not know	2	1%
Total number of agencies responding to this question	246	100%

Q63. 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 Options	Number of responses	Percent to total responses
Yes	97	39%
To some extent	79	32%
No	61	25%
Do not know	9	4%
Total number of agencies responding to this question	246	100%
Q64. Does your agency use cloud services for any of the following? (Choose all that apply)		
Answer Options	Number of responses	Percent to total responses
Email	194	18%
Communication tools other than email (calendars, messaging apps, etc.)	159	14%
Administrative functions such as payroll, purchasing, and financial management	130	12%
Mission/program-related functions	159	14%
Customer Relationship Management	87	8%
Case management	87	8%
Office tools/software	148	13%
Streaming services	77	7%
Other, please explain	50	5%

My agency does not use cloud services	10	1%
Do not know	1	0%
Total responses to this question	1102	100%
Total number of agencies responding to this question	247	
Q65. Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of Federal records?		
Answer Options	Number of responses	Percent to total responses
Yes	141	58%
No	31	13%
No, pending final approval	6	2%
No, under development	56	23%
Do not know	11	4%
Total number of agencies responding to this question	245	100%
Q66. 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 Options	Number of responses	Percent to total responses
Yes	207	84%
No, pending final approval	10	4%
No, under development	21	9%

No, please explain	7	3%
Do not know	2	1%
Total number of agencies responding to this question	247	100%

Q67. Does your agency have documented and approved policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records - Appendix A: Tables of File Formats, Section 9 - Email? (36 CFR 1236.22(e))

Answer Options	Number of responses	Percent to total responses
Yes	122	49%
No	37	15%
No, pending final approval	12	5%
No, under development	76	31%
Do not know	0	0%
Total number of agencies responding to this question	247	100%

Q68. Does your agency have documented and approved policies that address when employees have more than one agency-administered email accounts, 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

Answer Options	Number of responses	Percent to total responses
Yes	199	81%
No	21	9%
No, pending final approval	8	3%
No, under development	15	6%
Do not know	3	1%
Total number of agencies responding to this question	246	100%

Q69. 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 accounts of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

Answer Options	Number of responses	Percent to total responses
Yes	214	87%
No	13	5%
No, pending final approval	8	3%

No, under development	10	4%
Do not know	2	1%
Total number of agencies responding to this question	247	100%

Q70. 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))

Answer Options	Number of responses	Percent to total responses
Yes	222	90%
No	16	7%
Do not know	8	3%
Total number of agencies responding to this question	246	100%

Q71. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

Answer Options	Number of responses	Percent to total responses
Captured and stored in an email archiving system	198	37%
Captured and stored in an electronic records management system	69	13%
Captured and stored as personal storage table (.PST) files	98	19%
Captured and stored using cloud services with records management included	52	10%

Captured and stored using cloud services but records management IS NOT included	43	8%
Print and file	42	8%
Not captured and email is managed by the end-user in the native system	2	0%
Other, please be specific:	25	5%
Total responses to this question	529	100%
Total number of agencies responding to this question	247	

Q72. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply)

Answer Options	Number of responses	Percent to total responses
GRS 6.1: Email Managed under a Capstone Approach; agency has an approved form NA-1005	176	55%
GRS 6.1: Email Managed under a Capstone Approach; agency does not have an approved form NA-1005	29	9%
Agency-specific email schedule	33	10%
Traditional records management (i.e., retention based on content, usually applied on an email-by-email basis, utilizing multiple NARA-approved disposition authorities)	57	18%
Email retention method has not been decided/scheduled by agency	10	3%
Do not know	2	1%
Other, please explain	14	4%
Total responses to this question	321	100%
Total number of agencies responding to this question	247	

Q73. Does the current NARA-approved form NA-1005 or agency-specific email schedule adequately reflect your existing organizational structure?

Answer Options	Number of responses	Percent to total responses
Yes	125	67%
To some extent	55	30%
No	6	3%
Do not know	0	0%
Total number of agencies responding to this question	186	100%

Q74. Why does the email schedule not adequately reflect, or only to some extent reflect, your existing organizational structure? (Choose all that apply)

Answer Options	Number of responses	Percent to total responses
Agency-wide reorganization has taken place	20	9%
New positions that meet the criteria for permanent disposition need to be added	46	21%
Positions need to be removed because they have been removed from the organization	36	16%
Positions need to be removed because they no longer meet the criteria for permanent disposition	33	15%
Position title(s) need to be updated or changed	40	18%

Number of email accounts for a specific position(s) need to be updated or changed	31	14%
Scope statements are inaccurate, or need to be changed	7	3%
Other, please explain	8	4%
Total responses to this question	221	100%
Total number of agencies responding to this question	186	
Q75. Does your agency track changes in Capstone accounts to ensure they are accurate and complete?		
Answer Options	Number of responses	Percent to total responses
Yes	153	62%
To some extent	41	17%
No	40	16%
Do not know	11	4%
Total number of agencies responding to this question	245	100%
Q76. Please explain how your agency tracks changes to Capstone accounts. (Be specific)		

Q77. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

Answer Options	Number of responses	Percent to total responses
Yes	171	70%
No	69	28%
Do not know	6	2%
Total number of agencies responding to this question	246	100%

Q78. 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 Options	Number of responses	Percent to total responses
Yes	145	59%
No	32	13%
No, pending final approval	10	4%
No, under development	45	18%
Do not know	3	1%
Other, please explain	12	5%
Total number of agencies responding to this question	247	100%

Q79. How often does your agency evaluate, monitor, or audit staff compliance with the agency's policies for email preservation and the management of electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?

Answer Options	Number of responses	Percent to total responses
Quarterly	31	26%
Annually	30	25%
Biennially	7	6%
Once every 3 years	5	4%
Ad hoc	43	36%
Do not know	4	3%
Total number of agencies responding to this question	120	100%

Q80. Please add any additional comments about your agency for Section IV: Electronic Records. (Optional)

Section Five: Demographics

Q81. How many full-time equivalents (FTE) are in your agency/organization?

Answer Options	Number of responses	Percent to total responses
500,000 or more FTEs	4	2%
100,000 - 499,999 FTEs	10	4%
10,000 - 99,999 FTEs	42	17%

1,000 - 9,999 FTEs	76	31%
100 - 999 FTEs	69	28%
1 - 99 FTEs	42	17%
Not Available	4	2%
Total number of agencies responding to this question	247	100%
Q82. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)		
Answer Options	Number of responses	Percent to total responses
Senior Agency Official	147	16%
Office of the General Counsel	78	8%
Program Managers	97	10%
FOIA Officer	202	22%
Information Technology staff	190	20%
Records Liaison Officers or similar	107	11%
Administrative staff	66	7%
Other, please be specific:	44	5%
None	7	1%
Total responses to this question	938	100%
Total number of agencies responding to this question	247	
Q83. How much time did it take you to gather the information to complete this self-assessment?		

Answer Options	Number of responses	Percent to total responses
Under 3 hours	46	19%
More than 3 hours but less than 6 hours	67	27%
More than 6 hours but less than 10 hours	61	25%
Over 10 hours	73	30%
Total number of agencies responding to this question	247	100%

Q84. Did your agency's senior management review and concur with your responses to the 2019 Records Management Self-Assessment?

Answer Options	Number of responses	Percent to total responses
Yes	216	89%
No	26	11%
Do not know	2	1%
Total number of agencies responding to this question	244	100%

Q85. Please provide your contact information.

Q86. Are you the Agency Records Officer?

Answer Options	Number of responses	Percent to total responses

Yes	216	88%
No	29	12%
Total number of agencies responding to this question	245	100%
Q87. If No: Please provide the Agency Records Officer's contact information.		
Q88. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?		
Answer Options	Number of responses	Percent to total responses
Yes	216	91%
No	21	9%
Do not know	1	0%
Comments (Optional): (Please include in your comments how you use the Records Management Self-Assessment.)		
Total number of agencies responding to this question	238	100%
Q89. Do you have any suggestions for improving the Records Management Self-Assessment next year?		

APPENDIX IV: INDIVIDUAL AGENCY SCORES

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Administrative Conference of the United States	66	2.74	2.6
Administrative Office of the United States Courts	Non-Responding	Non-Responding	Non-Responding
Advisory Council on Historic Preservation	88	3	2.2
American Battle Monuments Commission	51	2.05	2.0
Armed Forces Retirement Home	Non-Responding	Non-Responding	Non-Responding
Barry Goldwater Scholarship and Excellence in Education Foundation	37	1.95	1.4
Board of Governors of the Federal Reserve System	95	3.95	3.8
Central Intelligence Agency	86	3.16	3.4
Chemical Safety and Hazard Investigation Board	67	2	1.6
Committee for Purchase from People Who are Blind or Severely Disabled [U.S. AbilityOne Commission]	Non-Responding	Non-Responding	Non-Responding
Commodity Futures Trading Commission	83	2.32	3.0
Congressional Budget Office	75	2.68	3.6
Consumer Financial Protection Bureau	99	3.84	4.0

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Consumer Product Safety Commission	64	3	3.2
Corporation for National and Community Service	67	1.84	3.8
Council of the Inspectors General on Integrity and Efficiency	Non-Responding	2.05	3.4
Court Services and Offender Supervision Agency/Pretrial Services Agency for the District of Columbia	76	3.05	3.4
Court Services and Offender Supervision Agency	99	3.53	3.4
Defense Nuclear Facilities Safety Board	81	2.37	3.0
Denali Commission	43	1.89	2.0
Department of Agriculture			
Agricultural Marketing Service	94	2.68	2.8
Agricultural Research Service	78	1.53	3.6
Animal and Plant Health Inspection Service	88	2.84	2.8
Department Level/Headquarters	82	1.53	3.6
Departmental Staff Offices/Office of Executive Secretariat	85	1.58	3.6
Economic Research Service	78	1.53	3.6
Farm Service Agency	88	2.84	3.6

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Food and Nutrition Service	98	3.26	3.6
Food Safety and Inspection Service	70	1.79	3.6
Foreign Agricultural Service	88	3	3.6
Forest Service	95	3.53	3.4
National Agricultural Statistics Service	88	3.58	4.0
National Institute of Food and Agriculture	Received Late - not scored	Non-Responding	Non-Responding
Natural Resources Conservation Service	88	2.89	3.6
Risk Management Agency	86	1.63	3.8
Rural Development	45	1.42	1.2
Department of Commerce			
Bureau of Economic Analysis	80	2.32	2.6
Bureau of Industry and Security	Non-Responding	2.84	2.6
Bureau of the Census	72	1.47	1.0
Department Level/Headquarters	87	2.11	1.4
Economic Development Administration	88	2	2.8
FirstNet	Non-Responding	3.79	3.2
International Trade Administration	Non-Responding	Non-Responding	Non-Responding
Minority Business Development Agency	70	2	2.4

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
National Institute of Standards and Technology	95	3	3.0
National Oceanic and Atmospheric Administration	87	2.84	2.6
National Technical Information Service	62	2.37	3.0
National Telecommunications and Information Administration	61	2	3.2
Office of the Inspector General	87	3.63	2.2
Office of the Secretary	Non-Responding	Non-Responding	Non-Responding
United States Patent and Trademark Office	77	2.79	2.0
Department of Defense			
Army and Air Force Exchange Service	85	3.21	4.0
Defense Commissary Agency	80	2.84	3.0
Defense Contract Audit Agency	96	3.84	3.2
Defense Contract Management Agency	45	2.05	1.8
Defense Counterintelligence and Security Agency	68	1.53	1.6
Defense Finance and Accounting Service	87	Non-Responding	Non-Responding
Defense Information Systems Agency	55	2.11	2.4
Defense Intelligence Agency	63	2	2.6

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Defense Logistics Agency	80	3.11	3.0
Defense Technical Information Center	89	2.79	2.8
Defense Threat Reduction Agency	97	3	3.0
Department of the Air Force	93	3.42	2.2
Department of the Army	93	3.21	3.8
Department of the Navy	100	3.84	4.0
Joint Chiefs of Staff	97	3.74	3.0
Missile Defense Agency	99	3.79	3.8
National Defense University	44	1.74	0.6
National Geospatial-Intelligence Agency	71	2.37	2.8
National Guard Bureau	34	1.58	1.0
National Reconnaissance Office	98	Non-Responding	Non-Responding
National Security Agency/Central Security Service	99	3.63	3.2
Office of the Inspector General	89	2.74	3.8
Office of the Secretary of Defense	92	2.53	2.6
United States Africa Command	74	3.05	1.2
United States Central Command	94	3.89	4.0
United States Cyber Command	Non-Responding	Non-Responding	Non-Responding

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
United States European Command	75	3.21	1.8
United States Indo-Pacific Command	51	0.79	0.4
United States Marine Corps	80	2.58	1.8
United States Northern Command	94	3.74	2.2
United States Southern Command	41	1.74	1.4
United States Special Operations Command	60	1.68	2.6
United States Strategic Command	91	3.26	2.4
United States Transportation Command	47	Non-Responding	Non-Responding
Department of Education	93	3.63	3.8
Department of Energy			
Bonneville Power Administration	76	2.21	4.0
Department Level/Headquarters	80	3.32	3.0
Energy Information Administration	84	Non-Responding	Non-Responding
National Nuclear Security Administration	70	2.11	3.2
Southeastern Power Administration	85	2.32	3.2

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Southwestern Power Administration	94	3.16	4.0
Western Area Power Administration	79	2.84	3.0
Department of Health and Human Services			
Administration for Children and Families	42	2.11	1.4
Administration for Community Living	93	2.84	3.0
Agency for Healthcare Research and Quality	84	2.58	2.2
Centers for Disease Control and Prevention	91	3.68	3.6
Centers for Medicare & Medicaid Services	86	2.79	3.6
Department Level/Headquarters	81	2.79	2.4
Food and Drug Administration	94	3.11	3.0

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Health Resources and Services Administration	90	3.47	4.0
Indian Health Service	66	2.05	1.8
National Institutes of Health	93	3.16	3.4
Office of the Secretary	90	2.79	2.4
Substance Abuse and Mental Health Services Administration	81	2.37	2.4
Department of Homeland Security			
Cybersecurity and Infrastructure Security Agency	50	1.42	1.0
Department Level/Headquarters	59	1.53	1.8
Federal Emergency Management Agency	86	2.63	2.8
Federal Law Enforcement Training Centers	Non-Responding	Non-Responding	Non-Responding
Transportation Security Administration	91	3	3.0
U.S. Customs and Border Protection	83	2.05	2.6

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
U.S. Immigration and Customs Enforcement	53	2.74	3.6
United States Secret Service	100	3.63	3.8
United States Citizenship and Immigration Services	71	2.16	2.2
United States Coast Guard	52	1.63	1.8
Department of Housing and Urban Development			
Department Level/Headquarters	77	3.05	2.4
Office of Inspector General	62	2.89	2.8
Department of Justice			
Bureau of Alcohol, Tobacco, Firearms and Explosives	89	3.47	3.8
Bureau of Prisons	84	3.05	3.2
Department Level/Headquarters	98	3.63	3.4
Drug Enforcement Administration	95	3	2.4
Executive Office for Immigration Review	Non-Responding	Non-Responding	Non-Responding
Executive Office for U.S. Attorneys	95	3.47	3.8
Federal Bureau of Investigation	97	3.47	4.0
Office of Justice Programs	96	2.89	2.6
United States Marshals Service	90	3.05	3.4

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Department of Labor			
Adjudicatory Boards (Administrative Review Board [ARB], Benefits Review Board [BRB], Employees' Compensation Appeals Board [ECAB])	91	3.58	3.8
Bureau of International Labor Affairs	90	3.26	3.8
Bureau of Labor Statistics	92	3.32	3.6
Department Level/Headquarters	91	3.53	3.8
Employee Benefits Security Administration	92	3.32	3.8
Employment and Training Administration	88	3.32	3.8
Mine Safety and Health Administration	96	3.37	0.0
Occupational Safety and Health Administration	88	3.26	3.8
Office of Administrative Law Judges	95	3.47	3.8
Office of Congressional and Intergovernmental Affairs	93	2.95	3.8
Office of Disability Employment Policy	94	3.16	3.8
Office of Federal Contract Compliance Programs	92	3.42	3.8
Office of Inspector General	93	3.63	3.8

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Office of Labor-Management Standards	92	3.26	3.8
Office of Public Affairs	95	3.37	3.8
Office of the Assistant Secretary for Administration and Management	90	3.47	3.8
Office of the Assistant Secretary for Policy	91	3.26	3.8
Office of the Chief Financial Officer	92	3.42	3.8
Office of the Ombudsman	90	3.53	3.8
Office of the Secretary/Executive Secretariat	96	3.32	4.0
Office of the Solicitor	95	3.32	3.8
Office of Workers' Compensation Programs	96	3.58	3.8
Veterans' Employment and Training Service	83	3.21	3.8
Wage and Hour Division	92	3.53	3.8
Women's Bureau	96	3.42	3.8
Department of State	88	3.47	4.0
Department of the Interior			
Bureau of Indian Affairs	89	3.42	4.0
Bureau of Land Management	94	3.11	4.0

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Bureau of Ocean Energy Management	78	2.58	4.0
Bureau of Reclamation	87	3.68	4.0
Bureau of Safety and Environmental Enforcement	76	2.95	4.0
National Park Service	84	2.84	4.0
Office of Surface Mining Reclamation and Enforcement	71	2.68	4.0
Office of the Secretary	78	2.84	4.0
Office of the Special Trustee for American Indians	86	3.42	4.0
United States Fish and Wildlife Service	84	3.42	4.0
United States Geological Survey	83	2	2.6
Department of the Treasury			
Alcohol and Tobacco Tax and Trade Bureau	94	3.37	3.4
Bureau of Engraving and Printing	79	2.53	2.8
Bureau of the Fiscal Service	69	2.89	3.4
Department Level/Headquarters	80	2.05	2.4
Financial Crimes Enforcement Network	67	1.53	2.6
Internal Revenue Service	96	3.53	4.0

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Office of the Comptroller of the Currency	96	3.11	3.0
United States Mint	74	2.47	4.0
Department of Transportation			
Department Level/Headquarters	97	3.68	4.0
Federal Aviation Administration	60	1.37	2.6
Federal Highway Administration	96	3.89	4.0
Federal Motor Carrier Safety Administration	97	3.53	3.8
Federal Railroad Administration	89	3.47	3.8
Federal Transit Administration	92	3.37	3.8
Maritime Administration	86	2.68	4.0
National Highway Traffic Safety Administration	Received Late Not Scored	Received Late Not Scored	Received Late Not Scored
Office of Inspector General	87	2.63	3.4
Office of the Secretary	85	1.89	3.8
Pipeline and Hazardous Materials Safety Administration	93	3.26	3.8
Saint Lawrence Seaway Development Corporation	100	3.47	3.8

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Department of Veterans Affairs			
Board of Veterans' Appeals	86	1.32	3.2
Department Level/Headquarters	88	1.37	3.4
National Cemetery Administration	83	3.53	3.6
Veterans Benefits Administration	99	3.95	4.0
Veterans Health Administration	98	3.21	4.0
Environmental Protection Agency	92	2.89	3.2
Equal Employment Opportunity Commission	Non-Responding	2.05	2.8
Executive Office of the President			
Council on Environmental Quality	88	2.95	3.4
Office of Management and Budget	93	3.11	3.4
Office of National Drug Control Policy	89	2.89	3.4
Office of Science and Technology Policy	93	3.21	3.4
Office of the United States Trade Representative	83	2.53	3.4

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Export-Import Bank of the United States	93	3.74	3.4
Farm Credit Administration	82	2.63	3.6
Federal Communications Commission	71	2.89	3.6
Federal Election Commission	46	2.42	3.2
Federal Energy Regulatory Commission	90	3.37	3.6
Federal Housing Finance Agency	95	3.26	3.8
Federal Judicial Center	87	2.37	2.0
Federal Labor Relations Authority	77	2.74	2.2
Federal Maritime Commission	85	3.58	3.4
Federal Mediation and Conciliation Service	81	3.05	3.0
Federal Mine Safety and Health Review Commission	89	3.89	3.0
Federal Retirement Thrift Investment Board	76	3.05	4.0
Federal Trade Commission	69	2.32	0.4
General Services Administration	82	2.53	4.0
Government Accountability Office	98	3.95	4.0
Government Publishing Office	97	3.47	3.6
Gulf Coast Ecosystem Restoration Council	Non-Responding	Non-Responding	Non-Responding

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Harry S. Truman Scholarship Foundation	Non-Responding	Non-Responding	Non-Responding
Institute of Museum and Library Services	82	3.37	2.6
Inter-American Foundation	91	3.37	4.0
International Boundary and Water Commission, United States and Mexico	78	2.84	2.6
James Madison Memorial Fellowship Foundation	18	1	0.2
Japan-U.S. Friendship Commission	Non-Responding	Non-Responding	Non-Responding
Library of Congress	92	2.84	3.0
Marine Mammal Commission	72	2.32	2.4
Merit Systems Protection Board	55	2.68	3.4
Millennium Challenge Corporation	83	2.26	3.0
Morris K. Udall and Stewart L. Udall Foundation	Non-Responding	3.16	2.4
National Aeronautics and Space Administration	91	3.05	3.6
National Archives and Records Administration	100	3.47	3.8
National Capital Planning Commission	74	2.74	3.0
National Council on Disability	Non-Responding	Non-Responding	Non-Responding
National Credit Union Administration	92	2.95	3.2

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
National Endowment for the Arts	88	2.42	3.2
National Endowment for the Humanities	68	3	3.2
National Indian Gaming Commission	69	2.32	3.0
National Labor Relations Board	96	3.53	4.0
National Mediation Board	63	3.16	2.8
National Science Foundation	91	3.53	3.0
National Transportation Safety Board	89	3.11	3.8
Nuclear Regulatory Commission	91	3.74	4.0
Occupational Safety and Health Review Commission	98	3.84	3.8
Office of Government Ethics	98	3.84	3.8
Office of Navajo and Hopi Indian Relocation	80	3.21	2.8
Office of Personnel Management	55	1.84	0.8
Office of the Director of National Intelligence	51	1.89	2.6
Peace Corps	89	2.47	3.6
Pension Benefit Guaranty Corporation	81	2.63	3.2
Postal Regulatory Commission	81	2.74	2.0
Presidio Trust	21	1.53	1.8

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Privacy and Civil Liberties Oversight Board	83	3.74	3.8
Railroad Retirement Board	78	2.68	3.4
Securities and Exchange Commission	99	4	4.0
Selective Service System	76	1.79	3.0
Small Business Administration	59	Non-Responding	Non-Responding
Social Security Administration	98	3.05	4.0
Surface Transportation Board	89	3.63	2.2
Tennessee Valley Authority	63	2.68	3.6
Trade and Development Agency	87	3.74	4.0
U.S. Access Board	93	3.53	4.0
U.S. Agency for Global Media	Non-Responding	Non-Responding	Non-Responding
U.S. Commission of Fine Arts	36	1.37	1.0
U.S. Election Assistance Commission	85	2.47	3.6
United States African Development Foundation	88	Non-Responding	Non-Responding
United States Agency for International Development	93	3	3.0
United States Commission on Civil Rights	78	2.89	3.4
United States Court of Appeals for Veterans Claims	Non-Responding	Non-Responding	Non-Responding
United States International Development Finance	59	1.42	1.6

Agency	RMSA 2019 Score	Part I Electronic Records Maturity Model 2019 Score	Part II Email Maturity Model 2019 Score
Corporation (Overseas Private Investment Corporation)			
United States International Trade Commission	100	4	4.0
United States Nuclear Waste Technical Review Board	45	2.42	2.8
United States Office of Special Counsel	90	Non-Responding	Non-Responding
United States Sentencing Commission	91	3.58	2.6
United States Tax Court	44	Declined	Declined
Western Hemisphere Drug Policy Commission	Non-Responding	2.53	2.0

APPENDIX V: NON-RESPONDING EXECUTIVE BRANCH AGENCIES

Senior Agency Official for Records Management Annual Report

- Armed Forces Retirement Home
- Committee for Purchase from People Who are Blind or Severely Disabled *[U.S. AbilityOne Commission*]
- Department of Commerce
- Department of Commerce/Bureau of the Census
- Department of Defense/Defense Intelligence Agency
- Department of Defense/ National Reconnaissance Office
- Department of Energy/ National Nuclear Security Administration
- Department of Energy/ Southeastern Power Administration
- Department of the Treasury/ Bureau of the Fiscal Service
- Department of the Treasury/ Financial Crimes Enforcement Network
- Dwight D. Eisenhower Memorial Commission
- National Capital Planning Commission
- National Labor Relations Board
- Office of the Special Inspector General for Afghanistan Reconstruction
- Presidio Trust
- Small Business Administration
- United States African Development Foundation
- United States International Development Finance Corporation
- United States Office of Special Counsel
- U.S. Election Assistance Commission

Federal Electronic Records and Email Management Maturity Model Report

- Administrative Office of the United States Courts
- Armed Forces Retirement Home
- Committee for Purchase from People Who are Blind or Severely Disabled *[U.S. AbilityOne Commission]*
- Department of Agriculture/ National Institute of Food and Agriculture
- Department of Commerce/ International Trade Administration
- Department of Commerce/ Office of the Secretary
- Department of Defense/ Defense Finance and Accounting Service
- Department of Defense/ National Reconnaissance Office
- Department of Defense/ United States Cyber Command
- Department of Defense/ United States Transportation Command
- Department of Energy/ Energy Information Administration
- Department of Homeland Security/ Federal Law Enforcement Training Centers
- Department of Justice/ Executive Office for Immigration Review
- Gulf Coast Ecosystem Restoration Council
- Harry S. Truman Scholarship Foundation
- Japan-U.S. Friendship Commission
- National Council on Disability

- Small Business Administration
- United States African Development Foundation
- United States Court of Appeals for Veterans Claims
- United States Office of Special Counsel
- United States Tax Court
- U.S. Agency for Global Media

Records Management Self-Assessment

- Administrative Office of the United States Courts
- Armed Forces Retirement Home
- Committee for Purchase from People Who are Blind or Severely Disabled *[U.S. AbilityOne Commission]*
- Council of the Inspectors General on Integrity and Efficiency
- Department of Commerce/Bureau of Industry and Security
- Department of Commerce/FirstNet
- Department of Commerce/International Trade Administration
- Department of Commerce/Office of the Secretary
- Department of Defense/United States Cyber Command
- Department of Homeland Security/Federal Law Enforcement Training Centers
- Department of Justice/Executive Office for Immigration Review
- Equal Employment Opportunity Commission
- Gulf Coast Ecosystem Restoration Council
- Harry S. Truman Scholarship Foundation
- Japan-U.S. Friendship Commission
- Morris K. Udall and Stewart L. Udall Foundation
- National Council on Disability
- United States Court of Appeals for Veterans Claims
- U.S. Agency for Global Media
- Western Hemisphere Drug Policy Commission

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