NATIONAL ARCHIVES

OFFICE *of the* CHIEF RECORDS OFFICER

Federal Agency Records Management
2020 Annual Report

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

National Archives and Records Administration
September 2021

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 2020, the push towards a fully electronic Government began in earnest as agencies established their efforts to support electronic recordkeeping goals established in June 2019 by the NARA and the Office of Management and Budget (OMB) government-wide policy memorandum, *Transition to Electronic Records* (M-19-21).

The year was particularly challenging due to COVID-19. The need for extensive telework reinforced for me the vital importance of the work we have undertaken to help guide our agencies into a new era of digital government, as required in M-19-21. As agencies implemented new systems and processes to improve virtual collaboration and accomplish their missions, the value and importance of records and the ability to access them became more evident. 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.

These efforts are captured in this year's annual report. We required federal agencies to submit three reports: The Senior Agency Official for Records Management (SAORM) Annual Report, the annual Records Management Self-Assessment (RMSA) and the Federal Electronic Records and Email Management Maturity Model Report. We reviewed the individual reports for trends and challenges as well as progress. This 2020 annual report contains the results of our review and analysis.

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 as the need for a fully digital and open Government has been proven to be no longer aspirational but essential.

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 as required for all Federal Records Act Agencies[1]. 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 2020 information and activities (unless otherwise noted) with an additional special focus on electronic records management, including email.

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

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

With the recent COVID-19 pandemic the need to make this transition intensified. The data from annual reporting indicates that agencies took early steps with M-12-18, strengthened under M-19-21, to improve records creation, preservation and access to electronic information. During the pandemic, agencies were able to achieve continuity through remote access faster and easier than those agencies that had not made this transition. The pandemic has proven that the transition to electronic recordkeeping is essential and no longer optional.

Key points highlighted in this report include:

- The COVID-19 pandemic highlighted the need for electronic recordkeeping, and in some cases accelerated the transition. Electronic recordkeeping contributed to improved efficiency and effectiveness of government operations as agencies were able to collaborate virtually, access their information remotely and meet their mission responsibilities.

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[1] The Federal Records Act (44 U.S.C. 31) and corresponding Code of Federal Regulations (CFRs) require all federal agencies to maintain records that document their activities, file records for safe storage and efficient retrieval, and dispose of records according to agency schedules. (Most are Executive Branch Agencies, but there are some Legislative and Judicial Branch Agencies included)
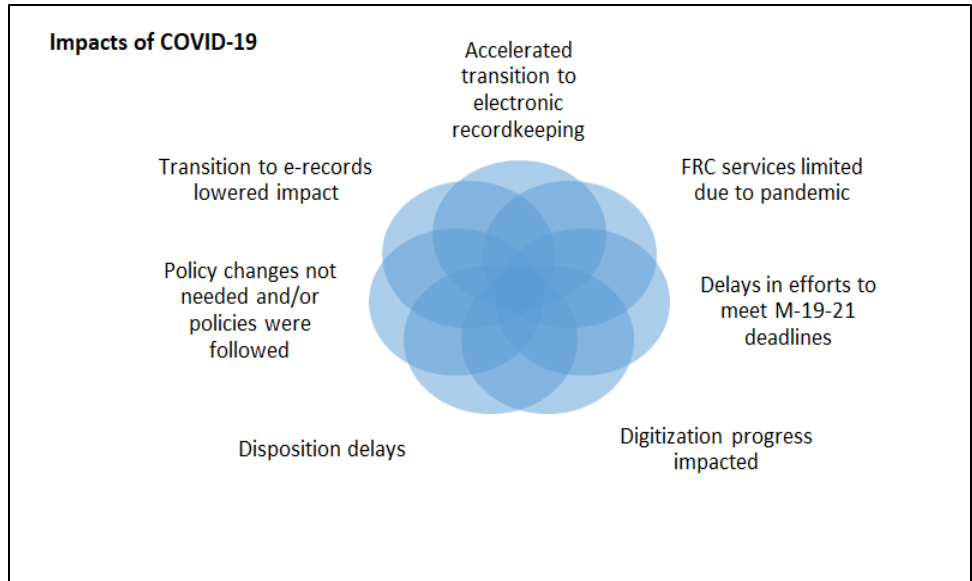
Figure 1: Impacts of COVID-19 cite most often

- Most agencies are using electronic recordkeeping or management systems, particularly Microsoft Office 365 and the associated features within it.

- Temporary records are mostly created and maintained in electronic formats.

- Most records are easily retrieved and accessed when needed (59%). Another 38% of agencies indicated all records are available regardless of format as required by 36 CFR 1220.32.

- Meeting requirements for managing records in electronic information systems is a weak area with only 44% of agencies having systems that meet the necessary requirements of the criteria for successfully managing electronic records.
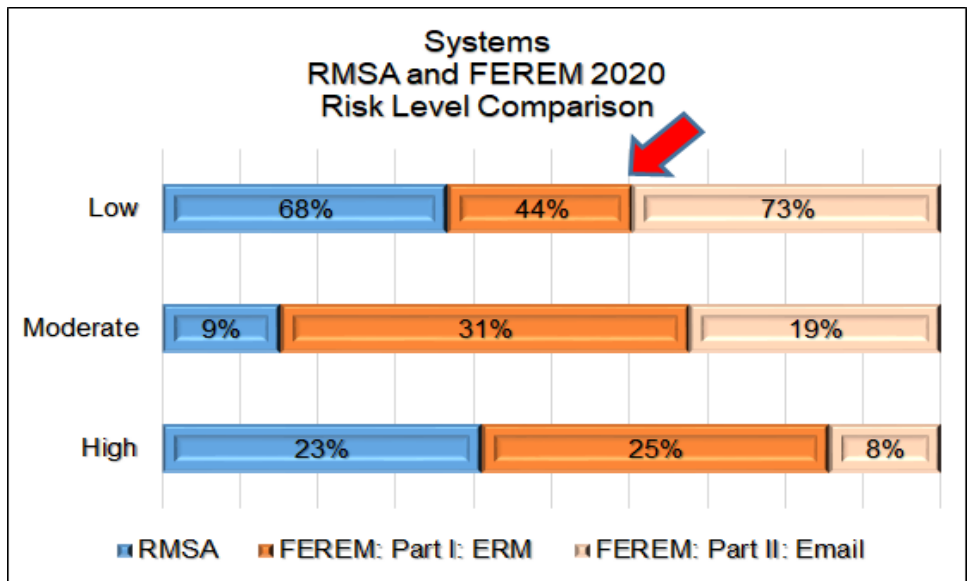

Figure 2: Only 44% of Agencies meet ERM requirements with Email stronger at 73%

- Challenges to the transition to electronic recordkeeping have shifted from technology to culture.
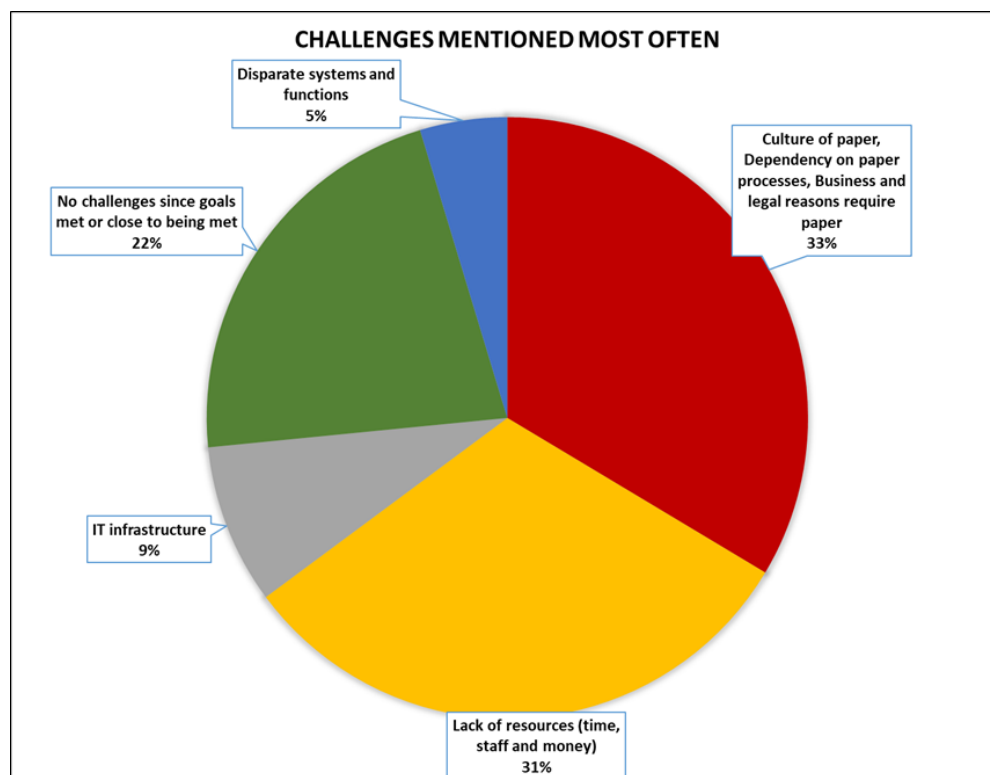

Figure 3: SAORMs cite the culture of paper challenges the transition to electronic recordkeeping

- Other challenges cited by agencies include the methods used to create and maintain data that are being explored and/or employed within agencies impacting records management such as Smart devices, Geographic Information Systems, Auto-classification and/or Unsupervised Machine Learning, Standard Artificial Intelligence and Robotic Process Automation.

This report provides a detailed analysis and appendices of the data for activities in CY 2020 and makes recommendations for improvements that the SAORM and other agency leadership must put in place in order to improve records management. (See the Conclusions and Recommendations Section.) The appendices also provide information on scoring, individual agency scores, validation exercises, and statistical results of all RMSA and FEREM questions and a list of those agencies not responding. 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 and support through policy and oversight the transition to a fully electronic and open government.

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INTRODUCTION

The National Archives and Records Administration (NARA) is responsible for overseeing and reporting to Congress 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. This year we required three submissions:

- Senior Agency Official for Records Management (SAORM) Annual Report – The SAORM Report is only required for Executive Branch Agencies.[2] 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.

- Records Management Self-Assessment (RMSA) – Agency records officers evaluate their individual agency's compliance with federal records management statutes, regulations and program functions using a NARA provided questionnaire with scored and unscored questions. The data is gathered using an online survey tool. Individual agency responses are not made public; therefore, for specific agency responses we suggest contacting the individual agency. RMSA data from previous years is summarized in prior years of this Federal Agency Records Management Summary Report and available online: https://www.archives.gov/records-mgmt/resources/self-assessment.html.

- Federal Electronic Records and Email Management Maturity Model Report (FEREM) – This report supplements the RMSA data collection to focus on electronic records and email management. NARA provided a two-part maturity model template based on the *Universal Electronic Records Management (ERM) Requirements*[3] and the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)* (also known as the *Success Criteria for Managing Email*).[4] Agencies chose scenarios that best describe their current state of electronic records and email management. The data was gathered using an online survey tool. The individual agency results are available online: https://www.archives.gov/records-mgmt/resources/email-mgmt-reports.

For the 2020 reporting period (January 19 through March 19, 2021) we received a 98% overall response rate for each report. There was an increase in the number of agencies included in annual reporting from 267 to 272. NARA continuously monitors the creation of new agencies subject to the Federal Record Act by Congress, re-organizations within Departments, agency name changes, expiration or sunset of commissions, and other changes impacting the number of federal agencies at a given time. It is not always possible due to the timing of the collection of annual reporting data for all newly created or identified agencies to be immediately included in the data gathering. When this is the case these agencies are added the following year.

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[2] The requirement to have an SAORM was by Executive Order; therefore, it does not include the other two Branches.
[3] https://www.archives.gov/records-mgmt/policy/universalermrequirements.
[4] 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 RMSA and FEREM reports receive numerical scores and risk factor ratings. (For more details on the scoring of the RMSA and the FEREM, see Appendix I. For individual agency scores, see Appendix II.) For statistics per RMSA and FEREM question, see Appendix III. Each year, NARA validates selected answers to the RMSA to determine the accuracy of agency responses and to understand how agencies are interpreting the questions. The validation strategy is described in Appendix IV. For a list of non-responding agencies, see Appendix V.

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.

This year the RMSA was reorganized to reflect the *Universal Electronic Records Management (ERM) Requirements* structure and the FEREM maturity model domains.

- Management Support and Resourcing
- Policy
- Systems
- Access
- Disposition

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

SENIOR AGENCY OFFICIAL FOR RECORDS MANAGEMENT ANNUAL REPORTS

OVERVIEW

The transition to fully electronic recordkeeping and building successful records management programs require senior level support and visibility at the executive level to establish long-term goals and strategic initiatives.

This year the SAORM report focused on capturing the impact of three events:

- The COVID-19 pandemic forced many agencies to create and access records remotely and tested information governance frameworks.

- Agencies began developing and/or implementing plans to address the goals of the OMB/NARA memorandum, *Transition to Electronic Records* (M-19-21)[5], to ensure that all federal records are created, retained, and managed in electronic formats by December 31, 2022.

- Every four years agencies must prepare for a Presidential Administration change that brings with it changes in senior leadership.

The SAORM 2020 report template has ten questions. It provided an opportunity for agencies to describe the impact and how they addressed COVID-19's extraordinary changes in creating and accessing records; plans, progress, and challenges related to M-19-21; and policies and procedures that ensure records of newly appointed and outgoing senior officials and executive staff are properly captured and/or processed. The template also has a question on how NARA can improve engagement with SAORMs and topics of interest for future communications and meetings.

We received 125 reports out of the 127 reports expected. (See Appendix V for a list of non-responding agencies.) The following analysis provides a summary of the responses, common themes and trends. Individual agency responses are available on NARA's website.

DATA ANALYSIS

The data indicates that the COVID-19 pandemic had significant impacts not only on the way agencies conducted business in general but also on electronic recordkeeping. Agencies that had already made considerable progress towards the transition were able to institute remote access more quickly and efficiently than others. Conversely, the COVID-19 pandemic slowed down or prevented some digitization projects from moving forward at all.

While most records are created and stored electronically, there are still challenges to maintaining all records in electronic format particularly for metadata capture and long-term preservation for

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[5] https://www.whitehouse.gov/wp-content/uploads/2019/06/M-19-21.pdf.

permanent electronic records. These challenges include technology issues, cultural change, and legal or regulatory requirements that continue to require paper. That said, agencies are using software and other technology to create, maintain and provide access to records and information. Agencies are also working towards improved information governance frameworks, where records management is integrated with information, knowledge, and data management as a whole.

The chart below shows how agencies responded to the initial objective questions. An analysis of the explanations or details for each question follows.
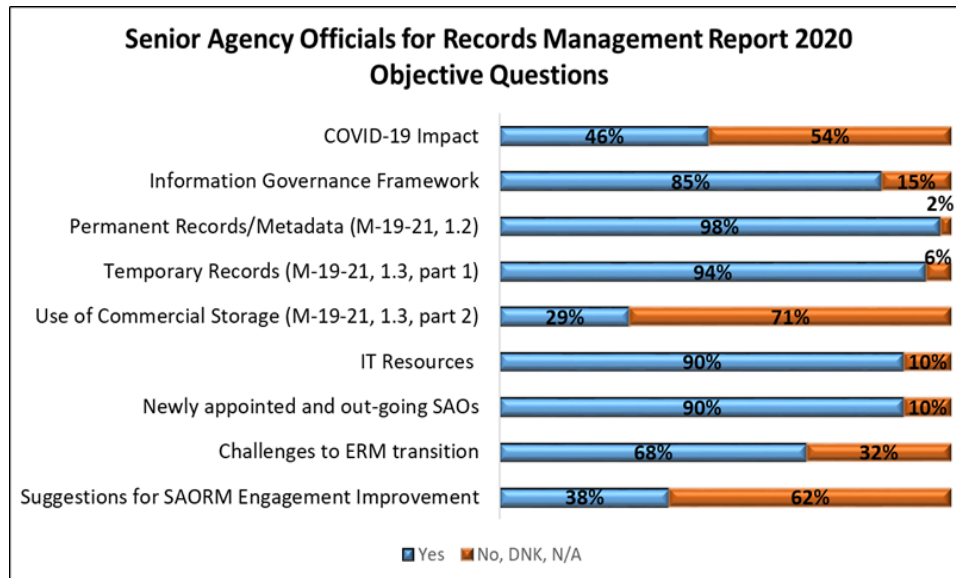
Figure 1: SAORM 2020 report template objective questions results

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

The full impact of the COVID-19 pandemic on recordkeeping will not be known until the pandemic itself is over; however, we were able to gauge the immediate impacts. It is interesting to note that the 'Yes' or 'No' responses to the question "Has the COVID-19 pandemic changed any policies or practices related to records management?" were fairly evenly split, with 'No' receiving the majority by 8 percentage points (Yes=46% and No=54%).

The impacts of COVID-19 were not all negative. Where agencies responded 'No', little or no details were provided. For those that did provide some explanation most cited policy changes were not needed, prior transition work for e-records management lowered the impact, and existing policies and procedures were being followed.

For those agencies responding 'Yes' there were a variety of explanations given. Limited services at the NARA Federal Records Centers and other buildings due to the pandemic was cited most often. This prevented routine access to hard copy for business needs, as well as slowing digitization progress. It also affected disposition of temporary records, transfers of permanent records to the National Archives, and in some cases hindered responses to Freedom of Information Act (FOIA) requests and delayed efforts to meet M-19-21 deadlines.

Some agencies also indicated that the pandemic accelerated and/or highlighted the need to transition to electronic recordkeeping, created an opportunity to update or supplement records management policies or procedures and provide additional guidance on accessing and managing records remotely for teleworkers.
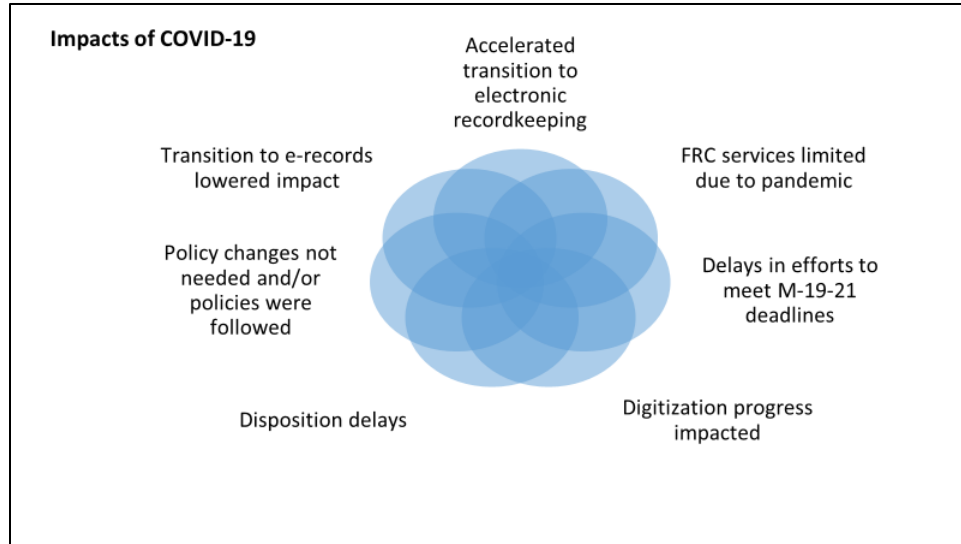
Figure 2: Impacts of COVID-19 cited most often

Information Governance Framework

The template asked if agencies have established an information governance framework that connects records management, data management, and other agency information lines of business.

For this question we were looking for whether or not there is a relationship between those responsible for controlling, securing, and maintaining information, data, and knowledge and those responsible for records management, including but not limited to:

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

The overwhelming majority of agencies (85%) responded 'Yes'. The explanations included various forms of coordination, collaboration and communication. Some agencies have Data Governance Boards, Advisory Councils or other working groups to ensure information governance includes records management. Others qualified their responses by indicating that this was a work in progress or they were using their organizational structure, policies and procedures to form the framework. Several Agency Records Officers at least met regularly with the CIO to discuss inclusion of records management in the overall information and Information Technology (IT) resource plans and management -- whether or not this counts as having an IG framework is debatable.

For the 15 percent of reporting agencies that responded 'No', the explanations given did not explain what was preventing the formation of such a framework. For the most part, they simply said that 'no formal IG framework exists', or simply they lacked the resources to do so, or provided no details at all. A few did say they rely on close relationships between these individuals or offices without a formal framework. The small or micro agencies indicated that their size was a factor in whether an actual framework was needed.

M-19-21 Target Deadlines

The SAORM 2020 report contains four questions specifically related to M-19-21. Three of these address progress and plans for managing permanent records electronically with associated metadata, temporary records management in electronic formats, and enhancement to IT resources. The fourth concerns changes in storage facilities for existing paper as required in the memorandum.

Permanent Records

NARA asked whether or not agencies were making progress towards managing all permanent records in electronic format (regardless of original format) with appropriate metadata by December 31, 2022 (M-19-21, 1.2). The difference between targets 1.1 and 1.2 is the addition of the wording 'with appropriate metadata' and 'all permanent records'. The initial goal (1.1) called for managing only permanent *electronic* records in electronic format by December 31, 2019 and did not mention metadata at all.

The majority (98%) of agencies affirmed their progress and focus on permanent records and metadata. Many agencies reported that all or most permanent records are created and maintained in electronic format with associated metadata. This is in keeping with what agencies have been reporting since 2016. What is different in 2020 is the approaches that are being taken. Agencies explained they are:

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

- Using the Capstone approach[6] for managing email.

Temporary Records

The template also included questions for agencies on progress towards managing all temporary records in electronic format by December 31, 2022 (M-19-21, 1.3). This is critical to the success of not only the transition to electronic recordkeeping but to records management as a whole. The vast majority of records created and maintained are temporary; however, some are needed for long periods of time for business and legal reasons. These long-term temporary records require similar internal controls, safeguards, digitization of legacy paper and migration strategies as permanent records.

As with permanent records the majority of agencies (94%) indicated that they were making progress with temporary records. Those few that said they were not making progress also mentioned they have been focusing on permanent records first. Many agencies pointed out that the approach was the same regardless of whether the records are scheduled as permanent or temporary, such as:

- All or most temporary records are being created and maintained in electronic formats;
- Digitization strategies or projects are transforming legacy paper into electronic formats;
- Using an electronic recordkeeping or management systems, particularly the use of Microsoft Office 365 and SharePoint;
- Applying and/or updating records retention schedules; and
- Updating policies and procedures to indicate preference for electronic formats.

The intersection between approaches for temporary and permanent records is illustrated by the middle box in the figure below:

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[6] Capstone offers agencies the option of using a more simplified and automated approach to managing email, as opposed to using either print and file systems or records management applications that require staff to file email records individually. Using this approach, an agency can categorize and schedule email based on the work and/or position of the email account owner. https://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html.
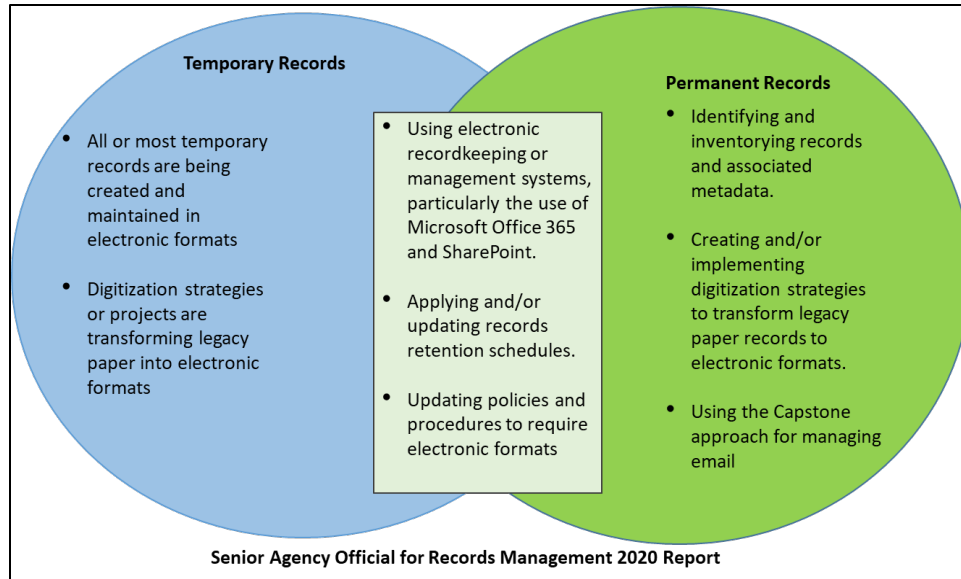
Figure 3: Top comments about temporary and permanent records and where they overlap

It is important to recognize that 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 other two reports. (See Section II of this report.)

Storage Facilities

M-19-21 has an additional requirement under 1.3 regarding temporary records. This second part of the requirement involves the storage of temporary paper records after December 31, 2022. While this seems straightforward, it is complicated. Federal agencies have for decades stored records (both permanent and temporary) in a variety of locations and facilities. Making this change involves major shifts in procedures and long-standing practices, which is often difficult, time consuming and potentially costly in the short-term.

Active records are most likely stored in office areas. M-19-21 focuses on inactive records (those no longer needed for agency business but have not met their records retention under NARA-approved records schedules). These records are generally stored short-term in office space and holding areas, and longer term in agency-operated records centers, one or more NARA-operated Federal Records Centers (FRCs) or commercially-operated records centers. M-19-21 requires agencies to close agency-operated storage facilities and/or transfer inactive temporary records to the FRC by December 31, 2022. After this date inactive temporary records must be, to the fullest extent possible, transferred to commercial storage facilities.[7] Exceptions will require approval.[8]

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

[8] For more information on exception requests see NARA Bulletin 2020-01, https://www.archives.gov/records-mgmt/bulletins/2020/2020-01.

In order to understand how agencies are adapting to these requirements, last year the 2019 SAORM report template asked agencies to identify agency-operated records centers and commercial storage usage. The majority (70%) indicated they did not have agency-operated records centers, and most said they used the FRCs and not commercial storage. This year NARA asked agencies *if* they had plans to use commercial storage to replace agency-operated records centers and FRCs.

The answer was basically the same with (71%) responding 'No' and/or 'Not applicable'. The explanations indicated again that agencies did not own or operate agency records storage facilities and that they would continue to use the FRCs until retention periods of paper records expired or digitization efforts were completed. The explanations that more clearly addressed the question included, but are not limited to:

- No plans to use commercial storage;
- Digitization strategy would reduce the amount of paper and the need for physical storage;
- Will transfer any paper records to FRCs prior to the deadline;
- Records are already in electronic format; therefore, storage is not needed; and
- An exception has been or will be requested due to legal or other business needs for maintaining records in paper format and/or continuing to operate agency-owned records center or send paper to the FRCs.

The RMSA data also indicated that only 25% of agencies currently store inactive records in a commercial storage facility; 17% store inactive records in an agency-operated records center and only 24% are making plans to move records to a commercial records storage facility.

Information Technology (IT) Resources

The transition to electronic recordkeeping takes time, money, technology, and other resources. This year we asked if agencies were investing in IT resources specifically for the purpose of supporting this transition. While the majority of agencies (90%) said there was investment in IT, the explanations described this as modernization of IT systems and infrastructure to support business operations, and not necessarily for the transition to electronic recordkeeping. This indirectly benefited the proper management of records. Use of software, namely Microsoft Office 365 and SharePoint, received the highest number of references. Others included:

- Adding staff or increasing staff focus on records management;
- Cloud services (usually part of Microsoft Office 365 but not exclusively); and
- Increased funding for IT infrastructure and/or purchasing new IT systems and tools.

Records in an Administration Transition Period

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 instructions to newly appointed and outgoing senior officials of their recordkeeping responsibilities. Senior officials must understand that they are to ensure records are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email. These procedures should be part of the normal course of business as officials come and go, but during the transition every four years from one administration to another, when there is a larger turnover than at any other time, it is even more critical.

As in previous years, an overwhelming majority of agencies (90%) said they did have routine on-boarding and exit clearance procedures for all staff including political appointees, senior officials and executives. These procedures for newly appointed and outgoing officials are supplemented by:

- Records management briefings
- Records management training
- Capstone implementation for email management
- Use of checklists
- 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 or records were captured automatically by IT systems.

The RMSA data supports this assessment with almost all (94%) agencies indicating they have an exit or separation process for departing senior officials that include records management program staff or other designated officials that review the removal of personal papers and copies of records (36 CFR 1222.24(a)(6)). In addition, 89% 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)). In most cases (91%), the ARO and SAORM are involved in these briefings.

Challenges to transitioning to electronic recordkeeping

NARA recognizes that there are challenges to meeting the goal of fully electronic recordkeeping. The majority of agencies (68%) indicated they still faced challenges. This is down from 74% in 2019. Prior to 2019, challenges to electronic recordkeeping were captured in the questions about progress to managing all email and electronic permanent records in electronic formats rather than a direct question. What made the results more interesting this time was a shift in the type of challenges reported away from technological challenges to cultural ones. Some agencies still referred to disparate systems and the high volume of electronic records, but these were not the challenges listed most often. This could be a reflection of the advances in software and use of electronic information systems for business functions. Or perhaps the recognition during the COVID-19 pandemic that maintaining electronic formats is essential, not optional, and therefore more solvable.

The biggest challenge, however, remains the lack of resources including time, staff and money, particularly for small and micro agencies, and in particular for older legacy paper records. Other challenges that may be hardest or perhaps slower to overcome are the dependency on paper for

some business processes, legal requirements that have not changed from paper, and a culture that still prefers paper over electronic records.
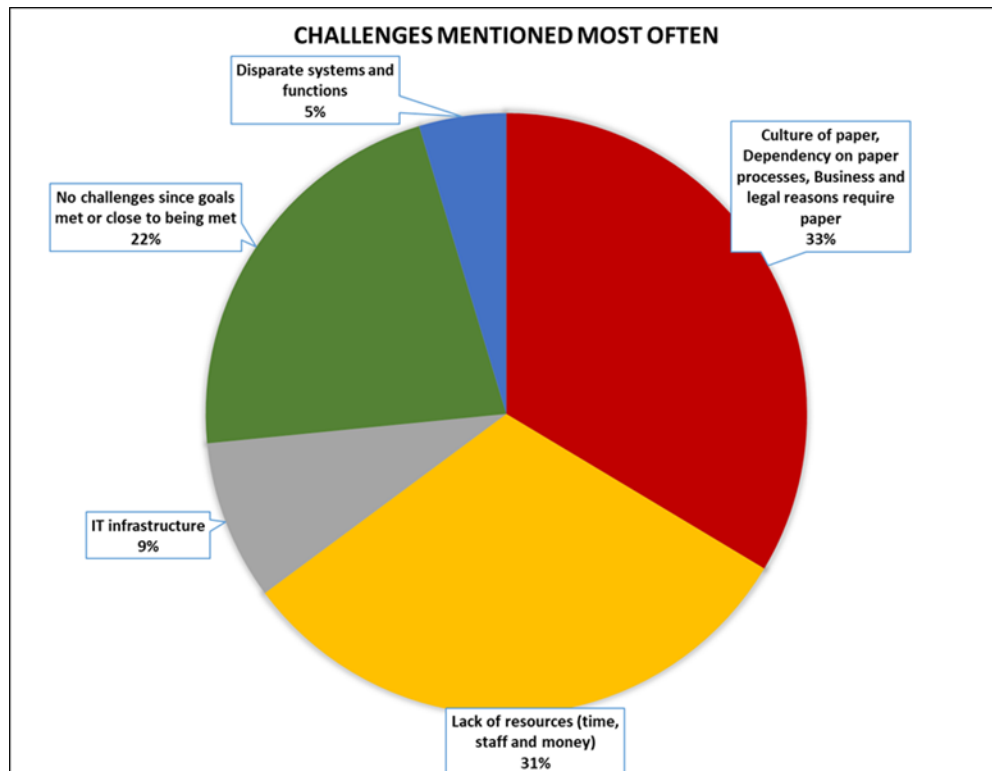
Figure 4: SAORMs listed a variety of challenges to the transition to electronic recordkeeping

Suggestions to improve SAORM engagement

Every year we ask agencies what support is needed from NARA to ensure a successful transition to electronic recordkeeping. This year we specifically inquired about ways NARA could improve its engagement with the SAORMs themselves. The answers split between types of engagement and specific topics to engage in.

Types of Engagement

- One-on-one meetings between the Chief Records Officer for the U.S. Government and individual SAORMs
- Guidance and standards for electronic recordkeeping implementation
- Guidance for small agencies
- Advocacy for records management
- Suggestions for SAORM meetings as a group including:

  o increase the number of SAORM meetings per year
  o have a set calendar at the beginning of the fiscal year
  o improve the platform NARA uses for virtual meetings
  o continue virtual meetings even when in person meetings are no longer restricted due to the pandemic

Specific Topics to Engage in

- Best practices, case studies and samples
- Cloud environments
- Social media
- Records ownership
- Approaches for funding RM programs
- Metadata and/or new platforms and technologies.

There were also suggestions that did not specifically refer to engaging with SAORMs that agencies had for NARA.

- Extend the deadlines in M-19-21 due to the pandemic
- Finalize the digitization regulations and guidance

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

SUMMARY

Over the last decade since the first Presidential Memorandum on Managing Government Records, November 28, 2011, NARA and Federal agencies have been working towards improved performance, promoting openness, and accountability by better documenting agency actions and decisions. The initial steps, maintaining all email and permanent electronic records in electronic format by the end of 2016 and 2019 respectively, contributed to continuity of government access to information during the COVID-19 pandemic. The final steps to transform to a fully electronic government by December 31, 2022 are underway. NARA continues to support the need for IT modernization that includes record management and remains committed to helping agencies achieve this goal. However, there remains within some agencies a culture and dependency on paper for business processes or for legal requirements that have yet to change.

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

OVERVIEW

NARA requires agencies to complete two reports that reflect the implementation of their records management programs. As described below, one focuses on records management practices regardless of format and the other entirely on electronic records management. The maturity models were created in order to supplement the data gathered by the RMSA in order to measure how well agencies were progressing towards OMB/NARA M-12-18 and M-19-21 targets to manage email and electronic records in electronic formats by the end of 2016 and 2019 respectively. Now, in 2021, the majority of records are created and maintained electronically and as the transition to fully electronic recordkeeping continues to progress, these two reports have become even more closely aligned.

- The Records Management Self-Assessment (RMSA) has since 2009 measured compliance with federal records management statutes and regulations using objective questions and then relating the point scores to a level of risk. Records management statutes and regulations provide a framework for the proper management of records and information enabling accountability, transparency, and access. Compliance with this framework ensures agencies can document decisions and activities for their business and mission functions.

- The Federal Electronic Records and Email Management Maturity Model Report (FEREM) supplements the RMSA data focusing on electronic records and email. It is a risk-based maturity model based on the *Criteria for Successfully Managing Permanent Electronic Records; Universal Electronic Records Management (ERM) Requirements* and the *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*.[9] These provide guidelines for the successful management of electronic records and email records through agency policies, systems, access, and disposition. The report covers electronic records and email separately, and scores each independently.

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

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

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

DATA ANALYSIS – RISK FACTORS

The risk factors are comparable between the RMSA and both parts of the FEREM with some divergences. For the RMSA, the majority of agencies (43%) are in the Moderate Risk category with 42% in the Low Risk category. For Part I: Electronic Records Management of the FEREM the majority (58%) are in the Low Risk category with 78% in Low Risk for Part II: Email Management. It is interesting to note that email management rated the highest percentage of agencies in the Low Risk category. Yet other information from agencies and NARA's oversight activities suggest email remains one of the biggest challenges due to volume and its centrality to how agencies communicate.

For comparisons over time, as illustrated by the following three charts, RMSA risk factors remain relatively flat or unchanged, while FEREM risk factors show continued improvement. The comparisons between the two parts of the FEREM show that email management is more mature than overall electronic records management.
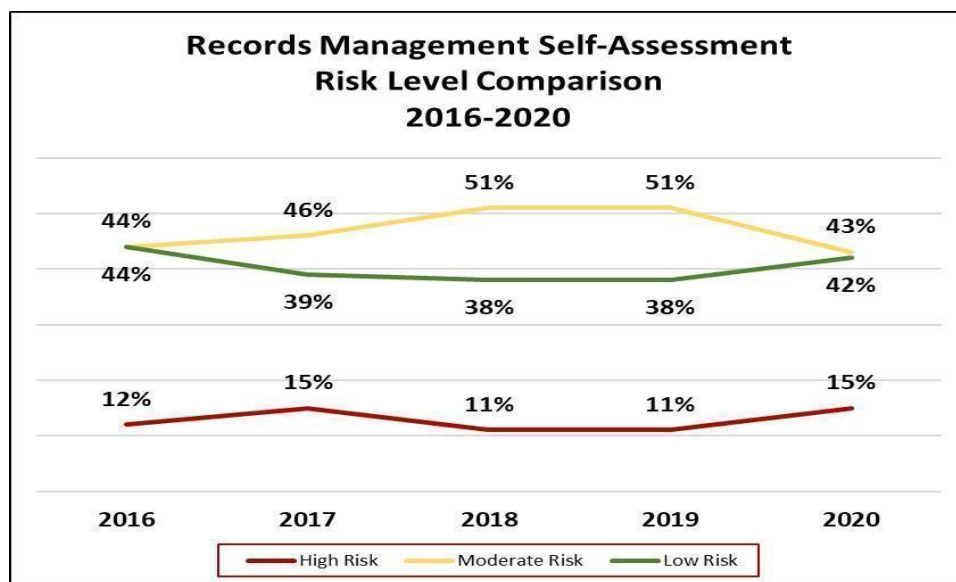
Figure 5: RMSA Risk Levels have remained relatively flat over the last five years

**Federal Electronic Records Management
Maturity Model
Risk Level Comparison
2019-2020**
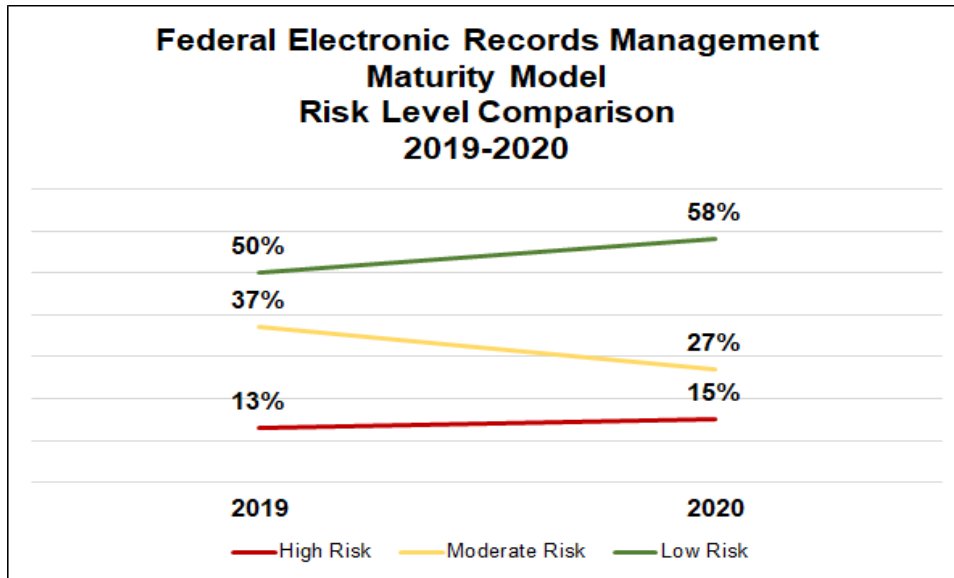
Figure 6: This is the second year using FEREM Part I: Electronic Records Management

**Federal Email Management Maturity Model
Risk Level Comparison
2016-2020**
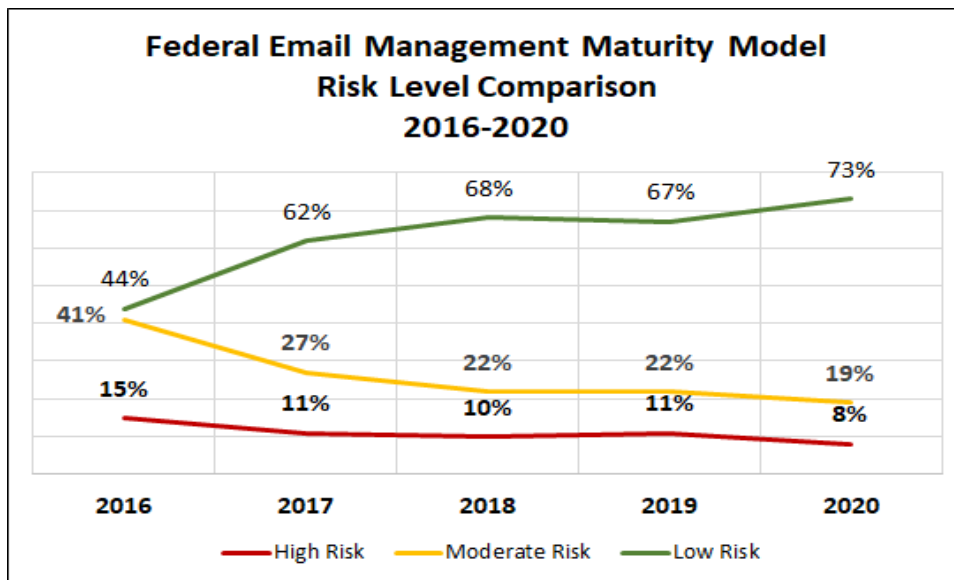
Figure 7: FEREM Part II: Email Management risk factor comparison the last five years

The use of maturity model scenarios that are geared towards levels of success rather than less
nuanced RMSA 'Yes' or 'No' answer options provides a different perspective based on growth
instead of strict compliance with regulations. While the RMSA allows for 'Under Development'
and 'To Some Extent' responses, it is less flexible in its scoring and risk factor assignment.

The use of the maturity model over time also illustrates the impact of more intensive focus on the
transition to electronic recordkeeping by the OMB/NARA M-12-18 and M-19-21
memorandums. Email management is the most mature and most improved between 2019 and
2020, possibly due to it having the oldest of the OMB/NARA target goals.
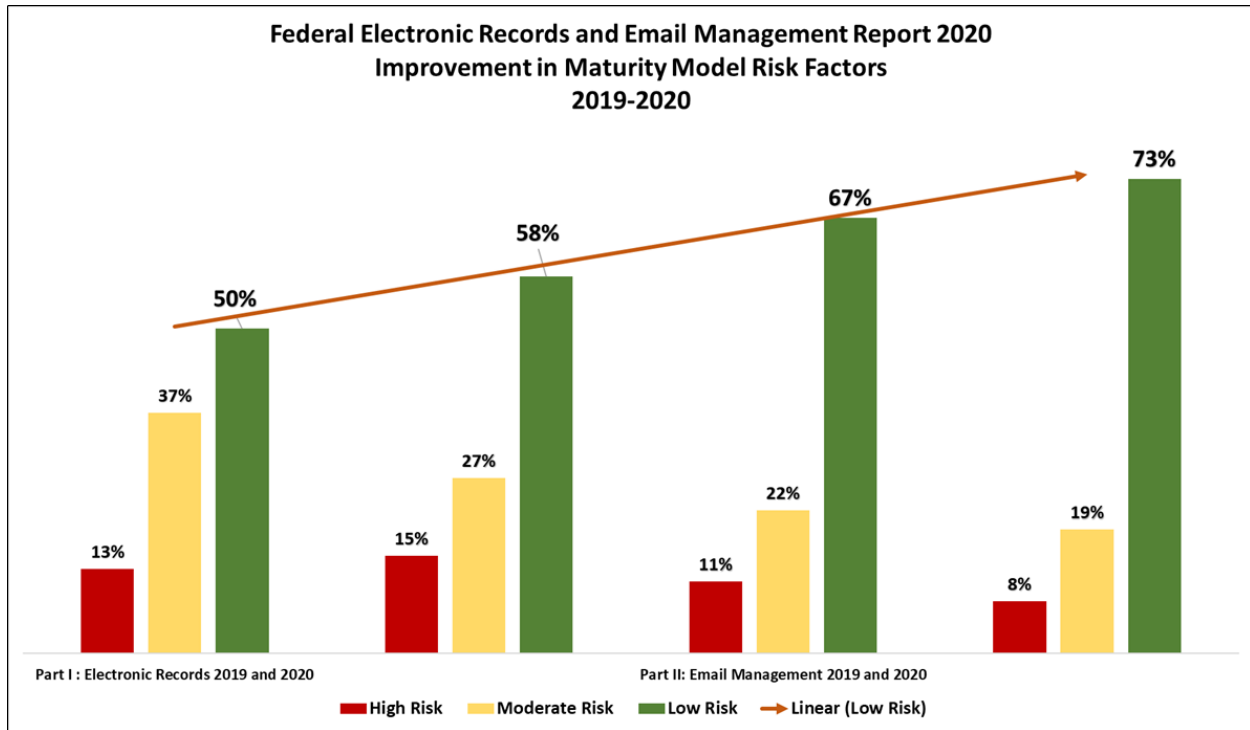
Figure 8: FEREM risk levels show trend towards increasing low risk between 2019 and 2020

Another factor in comparing RMSA scores from year to year that should be considered is that the Moderate and High Risk categories have broader ranges than Low Risk. Whereas the Low Risk category ranges from 90-100, scoring for Moderate Risk is 60-89 points, and High Risk is 0 to 59 points. This contributes to the fact that agencies remain solidly in Moderate Risk. However, a more granular breakdown shows that there are agencies within a few points of moving up or down between risk levels particularly in the borders between Low and Moderate Risk. While 26% of agencies are clearly in Moderate Risk, there are 31% of agencies on the cusp and another 6% bordering on High Risk.
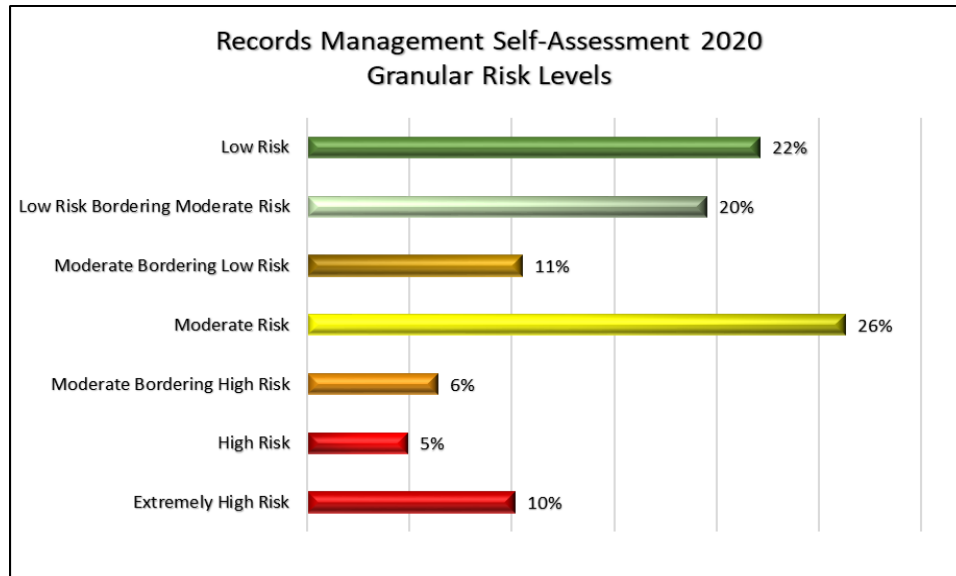
Figure 9: Granular risk levels showing agencies on the borders of risk levels

DATA ANALYSIS – DOMAINS AND SECTIONS

Management Support and Resourcing

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

The main topics explored under this area include:

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

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

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

- SAORMs have been designated who meet regularly (four or more times a year) with the Department or Agency Records Officers (DROs or AROs) to discuss the agency records management program's goals (91%).

- However, only a small percentage (38%) of agencies said the designated SAORM is engaged in the electronic records management program and is taking positive steps to provide the budgetary resources for permanent electronic records management and informs other agency senior managers of their records management responsibilities.

- The majority of AROs (80%) have or will soon obtain NARA's Agency Records Officer Credential (AROC) or NARA-approved equivalent.[10]

- The majority of agencies (82%) support the records management program with a network of designated employees within each program and administrative area (usually as an additional duty or responsibility.)

- Monitoring the records management program is a mix of informal, general and *ad hoc* monitoring (35%) and 64% of agencies utilize formal program performance measures, as well as NARA's annual RMSA, to monitor records management program compliance and remediate program risks.

- Agencies (90%) are developing internal records management training based on agency policies and directives for employees assigned records management responsibilities, as well as mandatory internal, staff-wide formal training for agency employees and contractors.

Policies

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

- Agency-wide policies and training must inform all personnel who create, receive, access, or use federal records of their records management responsibilities.

- Policies should be developed with all relevant stakeholders and must address the requirements of the Federal Records Act (FRA).

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[10] https://www.archives.gov/records-mgmt/training/aroc.

- Ensure policies are in place to effectively manage records from creation to transfer.

- Fully explain how the agency expects staff to manage permanent electronic records.

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

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

As illustrated in the chart below, with the exception of email, less than 70% of agencies have policies in place for electronic records management and less than 50% for overall records management.
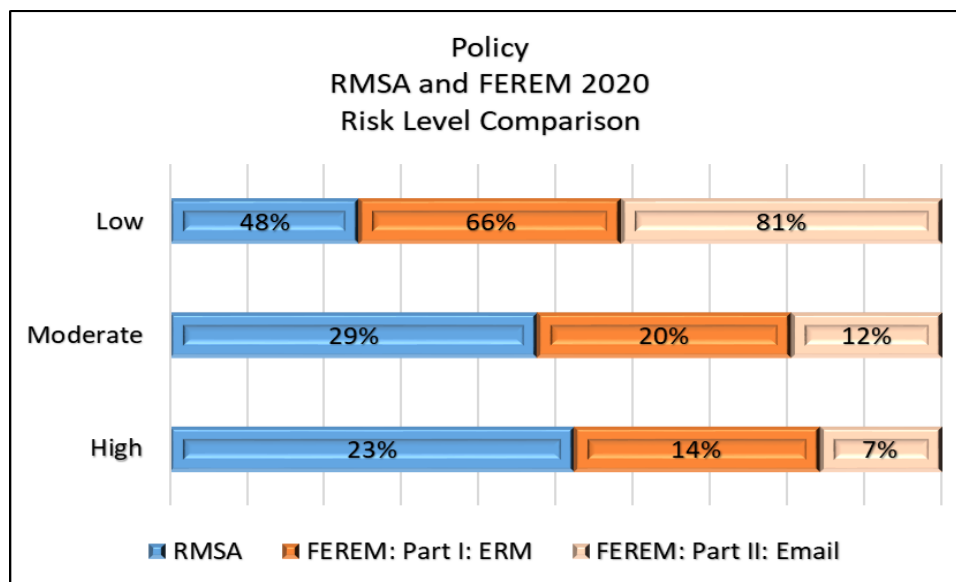
Figure 10: Policy Risk Level Comparison

More specifically the data indicates that:

- Most agencies (89%) have a records management directive; however, only 58% have updated it in 2020 or 2021.

- Policies covering electronic records with specific information about the management of permanent electronic records addressing all of the bullet points above have been approved and implemented (42%), pending approval (23%), or under development (27%).

- At least 72% of agencies have policies and procedures that instruct staff on managing permanent records in all formats, with another 18% developing them.

- Only 50% of agencies have policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records: Appendix

A: Tables of File Formats, Section 9 – Email. However, 36% of agencies are developing them.

- Procedures and training with specific information about the policies related to the full integration and inclusion of records management and the prevention of records loss and/or alienation have been approved, disseminated and implemented (50%), or have these in various levels of development (19% drafted but not approved and 17% under development). Similar policies, procedures and training are in place for email (81%).

- At least 70% of agencies evaluate, monitor, or audit staff compliance with the agency's email preservation policies. This matches with data from the Management Support and Resourcing section that indicates 86% of agencies evaluate their records management program either informally or formally. However, only 51% of agencies create a formal written report, and only 42% create plans of corrective actions that are monitored for implementation.

Systems

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

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

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

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

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

Types of controls include:

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

- Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.

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

- Usability: Mechanisms to ensure records can be located, retrieved, presented, and interpreted.

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

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

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

This is a critical area particularly for permanent electronic records and for the ability of agencies to capture and eventually transfer these records to the National Archives. With only 44% of agencies having systems that meet the necessary requirements of the criteria for successfully managing electronic records, this is an area where NARA would like to see greater improvement. This rating corresponds with the progress and challenges noted in the SAORM reports.
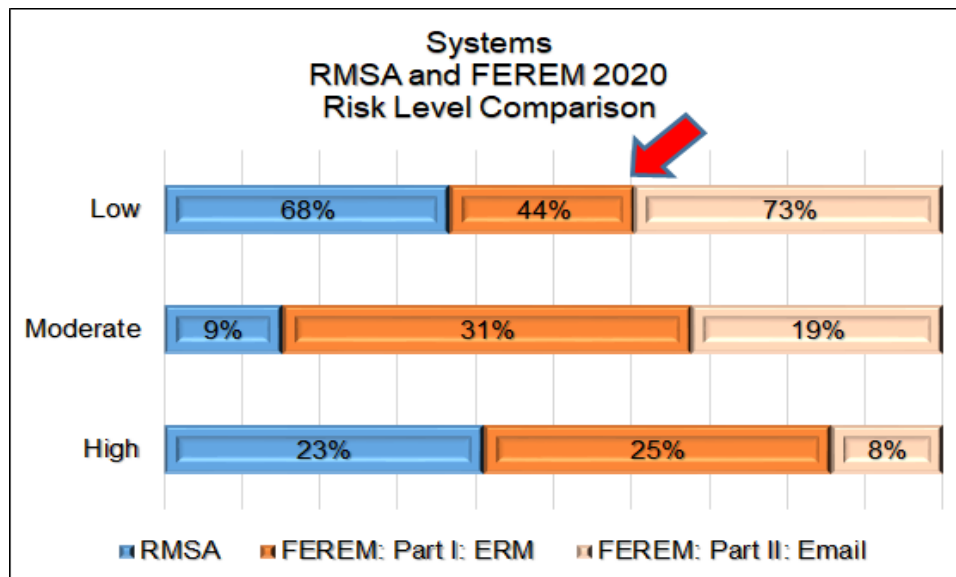
Figure 11: Only 44% of agencies meet ERM requirements with Email stronger at 73%

Capture, Preservation, and Identification

According to RMSA data, the majority of agencies (91%) incorporate or integrate internal controls for reliability, authenticity, integrity, and usability of electronic records to some extent. However, FEREM data show that less than half of agencies (46%) have electronic systems that meet NARA's requirements to create, capture, manage and preserve electronic records with approved retention schedules that have tested or successfully transferred permanent records in electronic format to the National Archives.

While RMSA data indicates that 71% of agencies have an inventory of electronic information systems, in the FEREM only 26% of agencies reported having a complete inventory of systems used for managing electronic records that includes the ability to implement dispositions, with an additional 40% that have inventories with limited abilities for disposition.

Systems Owners' Awareness

FEREM data also indicates that just 50% of agencies describe system owners' awareness of their responsibilities for permanent electronic records as fully aware and have implemented systems to comply with the requirements for managing permanent records either through automated or manual methods.

Email Systems

FEREM Part II data reveals that email systems are more compliant with 64% of agencies indicating that email systems:

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

The RMSA has also been tracking for many years the methods agencies used to capture and manage email records. The overall decline of "Print and File" and the rise of managing email within systems and the cloud is evident since the first appearance of this question in 2013 when 184 agencies indicated the use of "Print and File" to 2020 when 34 agencies did so. In 2019, we added the use of cloud services as an answer option with 95 agencies choosing it in 2019 and a major uptick in 2020 with 176 agencies choosing it.
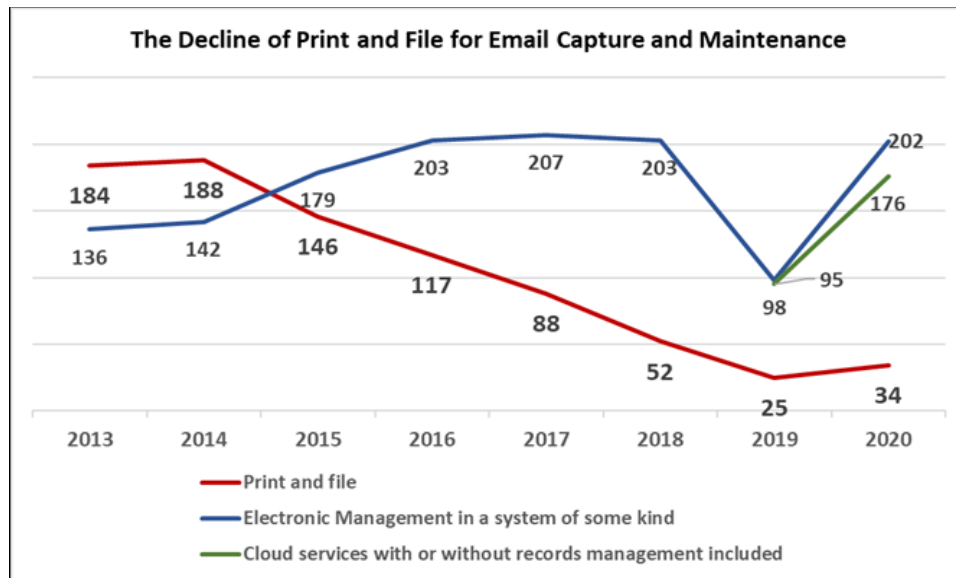
Figure 12: Changes in Email Management from paper to electronic formats

There are additional questions related specifically to email that may be found in Appendix III.

Future Data Creation and Maintenance Methods

This year the RMSA added a question about new methods used to create and maintain data that are being explored and/or employed within agencies impacting records management. From a prepared list of options those receiving the highest number of responses include:

- Smart devices
- Geographic Information Systems
- Auto-classification and or Unsupervised Machine Learning
- Standard Artificial Intelligence
- Robotic Process Automation

NARA will continue to monitor agency initiatives in these areas and will assess the need for guidance, training and oversight.

Access

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

What Success Looks Like: Records are protected against unauthorized access, use, alteration, corruption, or deletion. Permanent records are searchable, retrievable, and usable for as long as

they are maintained in agency custody and temporary records for as long as their approved
retention period.

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

- Identification and preservation of records for disaster response and recovery (36 CFR 1223).
- Records and information are easily retrievable and accessible when needed for agency business (36 CFR 1220.32).
- Records management functionality is incorporated into the design, development, and implementation of its electronic information systems ensuring accessibility (36 CFR 1236.12).
- Documented and approved procedures are in place to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions. (36 CFR 1236.20(b)(6)).
- The Freedom of Information Act (5 U.S.C. 552) also requires that records be accessible in order to make them available if not covered by the exceptions under the Act itself.

COVID-19 Impact on Access to Records

For 2020, we asked agencies to assess the impact of COVID-19 on their access to records and information. As stated in the SAORM Report section, not all of the impacts are negative. The impacts listed most often are the same as the ones listed in the SAORM report, but with a heavier emphasis on limited Federal Records Center services causing delays in access to information only available in paper formats. Over half of agencies (54%) said that the pandemic disrupted their ability to access records overall and 80% included delays in responding to FOIA requests when records were in paper-only format. Other delays were due to agency staff not being available to conduct FOIA searches. On the positive side, staff worked directly with requesters to help facilitate responses.

Retrievable and Accessible Regardless of Format

The majority of agencies report compliance with regulations such as:

- Records are identified through inventories and included in Continuity of Operations Plans for disaster response and recovery (88%).

- Most records are easily retrieved and accessed when needed (59%) and another 38% indicating all records are regardless of format.

- Records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems (76%).

- Procedures that enable migration are in place (54%) or under development (30%).

Retrievable and Accessible Specific to Electronic Records and Email

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

Between 37% and 41% of agencies indicated that most electronic records, including permanent electronic records, are:

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

Email management was a little stronger with at least 45% reporting that:

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

Disposition of Records

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

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

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

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

Records Scheduling

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

Records Scheduling Processes

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

- While almost all (97%) agencies are working with NARA, drafting schedules or have NARA-approved schedules, only 57% submitted schedules in FY 2019-2020, with another 17% that submitted schedules in FY 2017-2018. There were 37% of agencies that have not submitted schedules since FY 2015 or even earlier, with another 4% who did not know when they had last submitted a schedule.

- Almost all agencies (94%) indicated they do periodically review agency-specific schedules to ensure they still meet business needs, to identify gaps that may indicate unscheduled records, or to make needed revisions.

- Less than half of agencies (43%) have at least informal processes to identify, classify and schedule electronic records that include input from appropriate offices. Even less, only 30% of agencies, have formal processes to do so that include input from program, legal and IT offices and also include reviewing and updating existing schedules as well as scheduling new systems. Agencies have been concentrating on scheduling email records.

- The same number, less than half of agencies (43%), have NARA-approved retention schedules built into email management systems, permanent records identified and captured, and have successfully transferred email records to the National Archives.

Records Schedule Inclusion in Electronic Systems

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

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

- Only 38% of agencies include records management staff participation in the Systems Development Life Cycle (i.e., when new systems are being considered, designed, and implemented) or in the Capital Planning and Investment Control process.

- Another 31% of agencies indicated that records management staff are kept informed of new systems or retiring of systems. This is helpful but not sufficient for fully incorporating electronic records management.

- Agencies have been concentrating on scheduling email records.

  - Almost all agencies (97%) are working with NARA, drafting schedules or have NARA approved schedules.
  - At least 43% of agencies have NARA-approved retention schedules built into email management systems, permanent records identified and captured, and have successfully transferred email records to the National Archives.

Transfers of Permanent Records

Regardless of Format

The transfer of permanent records has been a weak area captured by RMSA data for many years. Usually around half or slightly less than half of agencies transfer non-electronic records and barely one quarter of agencies transfer electronic records. However, in 2020, with NARA's ability to accept transfers impacted by the COVID-19 pandemic it is difficult to discern any improvement. Interestingly, although agencies are not consistently transferring records to the National Archives, 83% track when permanent records are eligible for transfer.

The two questions on whether agencies have transferred permanent records in FY 2020 contained the caveat: "transfers were impacted by the COVID-19 pandemic." It is not possible to know whether or not these agencies would have transferred records if not for the pandemic, but it is a reasonable assumption based on prior years' statistics that many would not have. With this taken into consideration, 25% of agencies said they transferred non-electronic records in FY

2020 and 15% transferred permanent electronic records. Presuming that these transfers took place prior to facilities being closed due to COVID-19, this still reflects that agencies are not transferring permanent records at rates they should be.
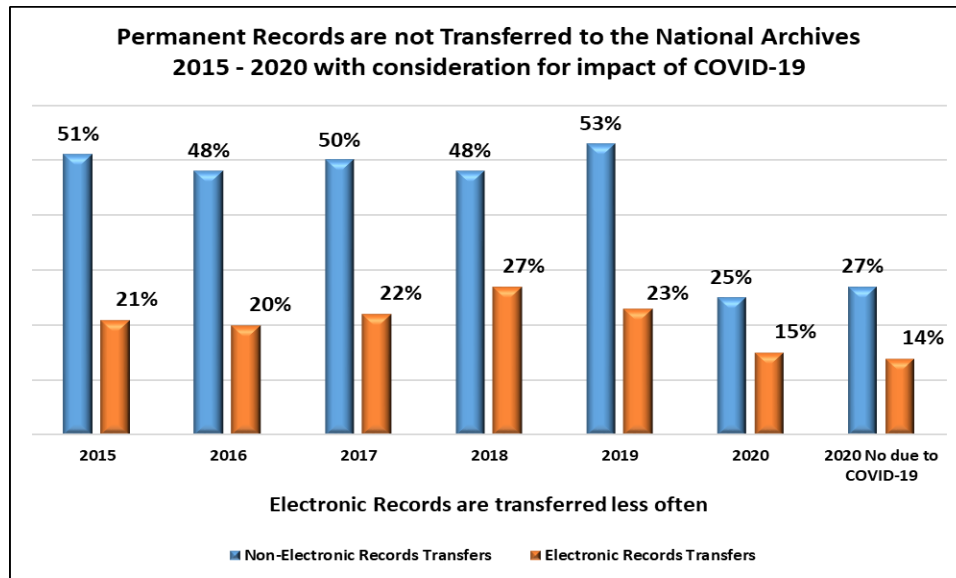
Figure 13: Lack of transfers of permanent records

Note: In this illustration Non-Electronic and Electronic Records Transfers data taken from two different questions. Do not add percentages together.

Electronic Records and Email

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

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

- Less than one quarter (22%) of agencies said their permanent electronic records meet the transfer guidance, contain the appropriate metadata, have tested and/or successfully transferred these records to the National Archives.

- At least 54% were able to do some of these activities.

- Disposition of email, while stronger, is also less than half of agencies (43%) having successfully transferred permanent email records to the National Archives.

- Thirty-six percent (36%) of agencies have identified permanent email records and maintain them until eligible for transfer to the National Archives.

There are a variety of additional disposition questions related to records scheduling, disposition implementation, email, website records and storage. (See Appendix III for statistics per question)

SUMMARY

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

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

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

CONCLUSIONS AND RECOMMENDATIONS

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

Annual reporting data has been used as background information prior to the inspections and assessments we conduct. Our inspection and assessment reports are available on our website at https://www.archives.gov/records-mgmt, along with other federal records management information and resources.

RECOMMENDATIONS

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

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

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

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

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

- Agencies must have policies for managing records, in all formats and in compliance with federal records management statutes and regulations as covered by 36 CFR Chapter XII Subpart B.

- Agencies must have agency-wide training programs that fully educate all staff on their responsibilities for managing in accordance with records management statutes and regulations and agency policies.

- 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 incorporate records management and archival functions into the design, development, and implementation of information systems in accordance with revised OMB Circular A-130, *Managing Information as a Strategic Resource*, and other guidance.

- Agencies must ensure that records are protected against unauthorized access, use, alteration, corruption, or deletion, as well as, records are searchable, retrievable and usable for as long as their approved retention period.

- Agencies must identify and schedule all records and review and update records schedules to ensure they cover current business practices and the transition to electronic information creation and maintenance.

- Agencies must have control over permanent electronic records to ensure adequate capture, management, preservation, and transfer to the National Archives in acceptable electronic formats along with the appropriate metadata.

- Agency Records Officers should communicate and collaborate with the many stakeholders involved in transferring permanent valuable electronic records to NARA including, program managers, information technology staff, Inspectors General, General Counsel, and the FOIA Officer to ensure that retention schedules and implementation instructions are clear, implementable, and followed.

NARA'S SUPPORT

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

- Advance the role of the SAORM through regular communication, including meetings between NARA and the SAORM, individually and as a group.

- Provide policy and guidance for electronic records management, information stewardship, and governance.

- Provide reasonable and independent assurance that agencies are complying with relevant laws and regulations.

- Provide Agency Records Officers with the tools they need to design, develop and implement records management training in their agencies.

- Identify and share best practices that promote coordination and cooperation between Departments and Agency Records Officers as a way to improve their records management programs.

Appendix I: Scoring and Risk Factors

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

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

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

Maximum Point Values (per section):

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

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

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

Granular 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
- Moderate Risk Bordering High = scores 60 - 69
- High Risk = scores 50 - 59
- Extremely High Risk = scores 0 – 49

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

Part I: Federal Electronic Records Management

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

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

Part II: Federal Email Management

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

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

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

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

Appendix II: Individual Agency Scores

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Administrative Conference of the United States	73	3.47	3.2
Administrative Office of the United States Courts	Non-Responding		
Advisory Council on Historic Preservation	83	3.00	2.8
American Battle Monuments Commission	71	2.84	3.4
AmeriCorps (Corporation for National and Community Service)	76	1.84	3.8
Armed Forces Retirement Home	27	2.37	1.6
Barry Goldwater Scholarship and Excellence in Education Foundation	82	3.32	3.2
Board of Governors of the Federal Reserve System	95	3.95	3.8
Central Intelligence Agency	88	3.21	3.4
Chemical Safety and Hazard Investigation Board	Non-Responding		
Commodity Futures Trading Commission	82	2.42	3.0
Congressional Budget Office	79	2.79	3.6
Consumer Financial Protection Bureau	93	3.95	4.0
Consumer Product Safety Commission	85	3.32	3.6
Council of the Inspectors General on Integrity and Efficiency	42	0.47	3.6
Court Services and Offender Supervision Agency/Pretrial Services Agency for the District of Columbia	90	3.16	3.0
Court Services and Offender Supervision Agency for the District of Columbia	88	3.11	3.2
Defense Nuclear Facilities Safety Board	82	3.16	4.0
Denali Commission	44	1.05	0.4
Department of Agriculture			
Agricultural Marketing Service	70	1.37	3.2
Agricultural Research Service	35	1.11	3.2
Animal and Plant Health Inspection Service	67	1.26	3.2
Department Level/Headquarters	37	1.21	3.2
Departmental Staff Offices	37	1.21	3.2

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Economic Research Service	35	1.26	3.2
Farm Service Agency	35	1.37	3.4
Food and Nutrition Service	95	3.26	3.4
Food Safety and Inspection Service	49	1.21	3.2
Foreign Agricultural Service	35	1.11	3.4
Forest Service	93	3.42	3.4
National Agricultural Statistics Service	83	3.37	3.4
National Institute of Food and Agriculture	64	1.21	3.6
Natural Resources Conservation Service	41	1.32	3.4
Risk Management Agency	38	1.21	3.2
Rural Development	52	1.26	3.4
Department of Commerce			
Bureau of Economic Analysis	79	2.95	3.4
Bureau of Industry and Security	66	2.89	2.4
Bureau of the Census	75	1.42	2.6
Department Level/Headquarters	75	2.47	2.0
Economic Development Administration	87	2.00	2.6
FirstNet Authority	96	2.21	2.2
International Trade Administration	81	1.74	2.0
Minority Business Development Agency	60	2.16	1.6
National Institute of Standards and Technology	92	3.32	2.4
National Oceanic and Atmospheric Administration	90	3.37	2.8
National Technical Information Service	64	3.00	3.0
National Telecommunications and Information Administration	49	1.74	2.2
Office of the Inspector General	93	3.58	2.8
United States Patent and Trademark Office	90	3.11	2.2
Department of Defense			
Army Air Force Exchange Service	88	3.11	4.0
Defense Commissary Agency	84	3.21	3.6
Defense Contract Audit Agency	90	3.37	2.6
Defense Contract Management Agency	69	2.63	2.2
Defense Counterintelligence and Security Agency	76	2.26	1.6
Defense Finance and Accounting Service	97	3.58	3.4
Defense Information Systems Agency	45	2.21	3.4
Defense Intelligence Agency	61	3.21	3.2
Defense Logistics Agency	94	3.11	3.4

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Defense Technical Information Center	81	3.26	3.2
Defense Threat Reduction Agency	93	3.32	3.0
Department of the Air Force	93	3.53	2.2
Department of the Army	95	3.32	4.0
Department of the Navy	96	3.79	4.0
Joint Chiefs of Staff	92	2.47	3.0
Missile Defense Agency	97	4.00	4.0
National Defense University	55	1.89	1.0
National Geospatial-Intelligence Agency	76	3.05	3.2
National Guard Bureau	65	2.89	1.0
National Reconnaissance Office	96	3.79	4.0
National Security Agency/Central Security Service	99	3.63	3.2
Office of the Inspector General	96	2.53	4.0
Office of the Secretary of Defense	93	2.42	3.0
United States Africa Command	79	3.26	2.2
United States Central Command	93	3.79	3.4
United States Cyber Command	41	1.42	0.6
United States European Command	79	3.05	2.6
United States Indo-Pacific Command	43	1.74	1.4
United States Marine Corps	88	2.79	1.8
United States Northern Command	95	3.74	2.4
United States Southern Command	30	1.16	1.0
United States Space Command	28	1.68	2.8
United States Special Operations Command	85	3.21	3.4
United States Strategic Command	94	3.32	2.4
United States Transportation Command	57	2.84	2.4
Department of Education	92	3.63	3.8
Department of Energy			
Bonneville Power Administration	73	2.32	3.8
Department Level/Headquarters	94	3.16	3.2
Energy Information Administration	67	2.26	4.0
National Nuclear Security Administration	71	1.79	2.4
Southeastern Power Administration	89	3.58	3.4
Southwestern Power Administration	48	2.63	0.8
Western Area Power Administration	88	3.21	3.0

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Department of Health and Human Services			
Administration for Children and Families	67	2.63	3.2
Administration for Community Living	95	2.74	3.0
Agency for Healthcare Research and Quality	93	2.95	3.8
Centers for Disease Control and Prevention	93	3.68	3.8
Centers for Medicare & Medicaid Services	88	3.21	3.8
Department Level/Headquarters	92	3.11	3.8
Food and Drug Administration	93	3.21	3.2
Health Resources and Services Administration	72	2.84	2.6
Indian Health Service	71	2.37	3.2
National Institutes of Health	96	3.21	3.4
Office of the Secretary	94	3.05	3.4
Substance Abuse and Mental Health Services Administration	96	3.00	3.8
Department of Homeland Security			
Cybersecurity and Infrastructure Security Agency	49	1.84	2.6
Department Level/Headquarters	91	2.47	3.6
Federal Emergency Management Agency	84	2.63	2.8
Federal Law Enforcement Training Centers	97	3.26	4.0
Transportation Security Administration	82	2.95	3.0
U.S. Customs and Border Protection	94	2.26	2.8
U.S. Immigration and Customs Enforcement	68	2.74	3.8
United States Citizenship and Immigration Services	60	2.16	2.2
United States Coast Guard	74	1.89	2.4
United States Secret Service	100	3.37	3.8
Department of Housing and Urban Development			
Department of Housing and Urban Development	94	3.42	3.0
Department of Housing and Urban Development/Office of the Inspector General	69	3.05	3.2
Department of Justice			
Bureau of Alcohol, Tobacco, Firearms and Explosives	95	3.53	4.0
Bureau of Prisons	88	3.11	2.6
Department Level/Headquarters	99	3.63	3.4
Drug Enforcement Administration	93	3.11	2.4
Executive Office for Immigration Review	96	3.74	4.0

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Executive Office for U.S. Attorneys	85	3.11	3.6
Federal Bureau of Investigation	100	3.53	4.0
Office of Justice Programs	96	3.26	3.6
United States Marshals Service	90	3.05	3.2
Department of Labor			
Adjudicatory Boards	89	3.47	3.8
Bureau of International Labor Affairs	89	3.53	3.8
Bureau of Labor Statistics	91	3.32	3.6
Department Level/Headquarters	93	3.63	3.8
Employee Benefits Security Administration	92	3.58	3.8
Employment and Training Administration	91	3.47	3.8
Mine Safety and Health Administration	93	3.47	3.8
Occupational Safety and Health Administration	90	3.47	3.8
Office of Administrative Law Judges	96	3.47	3.8
Office of Congressional and Intergovernmental Affairs	89	3.53	3.8
Office of Disability Employment Policy	91	3.47	3.6
Office of Federal Contract Compliance Programs	89	3.58	3.8
Office of Inspector General	92	3.47	3.8
Office of Labor-Management Standards	88	3.53	3.8
Office of Public Affairs	92	3.47	3.8
Office of the Assistant Secretary for Administration and Management	93	3.58	3.8
Office of the Assistant Secretary for Policy	87	3.42	3.8
Office of the Chief Financial Officer	85	3.58	3.8
Office of the Executive Secretariat	90	3.53	3.8
Office of the Solicitor	89	3.47	3.8
Office of Workers' Compensation Programs	96	3.26	3.8
Veterans' Employment and Training Service	85	3.47	4.0
Wage and Hour Division	89	3.47	3.8
Women's Bureau	87	3.47	3.8
Department of State	91	3.68	4.0
Department of the Interior			
Bureau of Indian Affairs	86	3.53	4.0
Bureau of Land Management	99	3.58	4.0
Bureau of Ocean Energy Management	86	2.63	4.0
Bureau of Reclamation	89	3.11	4.0

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Bureau of Safety and Environmental Enforcement	80	3.16	4.0
Bureau of Trust Funds Administration	92	3.79	4.0
National Park Service	89	2.79	4.0
Office of Surface Mining Reclamation and Enforcement	81	2.63	4.0
Office of the Secretary	79	3.16	4.0
United States Fish and Wildlife Service	85	2.84	4.0
United States Geological Survey	81	2.53	3.4
Department of the Treasury			
Alcohol and Tobacco Tax and Trade Bureau	93	3.21	3.4
Bureau of Engraving and Printing	82	2.68	2.8
Bureau of the Fiscal Service	90	3.26	3.6
Department Level/Headquarters	79	2.47	2.6
Financial Crimes Enforcement Network	91	3.89	4.0
Internal Revenue Service	96	3.68	3.8
Office of the Comptroller of the Currency	99	3.63	3.4
United States Mint	93	3.37	3.8
Department of Transportation			
Department Level/Headquarters	91	3.68	4.0
Federal Aviation Administration	94	3.11	3.4
Federal Highway Administration	95	3.95	4.0
Federal Motor Carrier Safety Administration	89	3.47	4.0
Federal Railroad Administration	95	3.79	4.0
Federal Transit Administration	91	3.53	4.0
Great Lakes Saint Lawrence Seaway Development Corporation	100	3.47	3.8
Maritime Administration	92	3.74	4.0
National Highway Traffic Safety Administration	98	3.74	4.0
Office of the Inspector General	88	3.32	3.4
Office of the Secretary	96	3.79	4.0
Pipeline and Hazardous Materials Safety Administration	93	3.63	4.0
Great Lakes Saint Lawrence Seaway Development Corporation	100	3.47	3.8
Department of Veterans Affairs			
Board of Veterans' Appeals	92	1.47	3.6
Department Level/Headquarters	89	1.42	3.2
National Cemetery Administration	98	1.42	3.4

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Veterans Benefits Administration	95	3.58	3.4
Veterans Health Administration	99	1.47	3.4
Environmental Protection Agency	93	3.05	3.2
Equal Employment Opportunity Commission	65	2.11	2.6
Executive Office of the President			
Council on Environmental Quality	80	2.84	3.4
Office of Management and Budget	93	3.79	4.0
Office of National Drug Control Policy	83	3.37	3.6
Office of Science and Technology Policy	87	3.21	3.6
Office of the Intellectual Property Enforcement Coordinator	77	2.74	3.6
Office of the United States Trade Representative	88	2.42	3.4
Export-Import Bank of the United States	99	3.79	3.4
Farm Credit Administration	67	1.58	3.2
Federal Communications Commission	71	2.37	3.8
Federal Election Commission	45	2.42	3.2
Federal Energy Regulatory Commission	90	3.63	3.8
Federal Housing Finance Agency	93	3.32	3.8
Federal Judicial Center	75	2.68	2.0
Federal Labor Relations Authority	94	3.37	3.0
Federal Maritime Commission	82	3.68	3.4
Federal Mediation and Conciliation Service	80	3.11	3.2
Federal Mine Safety and Health Review Commission	91	3.89	3.2
Federal Permitting Improvement Steering Council	50	2.58	4.0
Federal Retirement Thrift Investment Board	82	3.11	3.8
Federal Trade Commission	76	2.11	0.4
General Services Administration	88	2.58	4.0
Government Accountability Office	100	3.95	4.0
Government Publishing Office	95	2.37	3.0
Gulf Coast Ecosystem Restoration Council	54	2.37	2.4
Harry S. Truman Scholarship Foundation	Non-Responding		
Institute of Museum and Library Services	77	3.11	2.0
Inter-American Foundation	87	3.58	4.0

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
International Boundary and Water Commission, United States and Mexico	72	2.74	2.8
James Madison Memorial Fellowship Foundation	31	2.21	1.2
Japan-U.S. Friendship Commission	68	0.58	2.8
Library of Congress	98	3.05	3.0
Marine Mammal Commission	72	2.37	2.4
Merit Systems Protection Board	55	2.89	3.4
Millennium Challenge Corporation	89	2.63	3.2
Morris K. Udall and Stewart L. Udall Foundation	75	0.74	1.2
National Aeronautics and Space Administration	90	3.37	3.6
National Archives and Records Administration	100	3.63	3.8
National Capital Planning Commission	78	3.37	2.8
National Council on Disability	56	2.32	1.4
National Credit Union Administration	95	2.95	3.2
National Endowment for the Arts	88	2.42	3.2
National Endowment for the Humanities	83	2.89	3.2
National Indian Gaming Commission	67	2.42	2.6
National Labor Relations Board	89	3.74	4.0
National Mediation Board	52	3.16	2.8
National Science Foundation	97	3.42	3.0
National Transportation Safety Board	58	3.00	3.2
Nuclear Regulatory Commission	91	3.79	4.0
Occupational Safety and Health Review Commission	98	3.84	3.8
Office of Government Ethics	93	3.74	3.0
Office of Navajo and Hopi Indian Relocation	74	3.53	0.4
Office of Personnel Management	59	2.32	2.2
Office of the Director of National Intelligence	58	1.95	2.6
Office of the Special Inspector General for Afghanistan Reconstruction	94	3.53	4.0
Peace Corps	95	2.79	3.6
Pension Benefit Guaranty Corporation	89	2.84	3.0
Postal Regulatory Commission	71	2.42	1.6
Presidio Trust	Non-Responding		
Privacy and Civil Liberties Oversight Board	83	3.74	3.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Railroad Retirement Board	76	2.79	3.4
Securities and Exchange Commission	98	4.00	4.0
Selective Service System	76	3.21	3.0
Small Business Administration	72	2.47	2.8
Social Security Administration	99	3.05	4.0
Surface Transportation Board	96	3.68	2.4
Tennessee Valley Authority	88	3.21	3.8
Trade and Development Agency	99	3.79	3.6
U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)	Non-Responding		
U.S. Access Board (Architectural and Transportation Barriers Compliance Board)	89	3.58	4.0
U.S. Agency for Global Media	74	2.68	3.6
U.S. Commission for the Preservation of America's Heritage Abroad	19	1.11	1.4
U.S. Commission of Fine Arts	49	1.21	1.0
U.S. Election Assistance Commission	73	2.68	3.6
U.S. Semiquincentennial Commission	31	0.89	0.0
United States African Development Foundation	Non-Responding		
United States Agency for International Development	90	3.21	2.8
United States Commission on Civil Rights	82	2.68	2.8
United States Interagency Council on Homelessness	19	0.89	1.6
United States International Development Finance Corporation	59	1.74	2.0
United States International Trade Commission	97	4.00	4.0
United States Nuclear Waste Technical Review Board	45	2.16	2.8
United States Office of Special Counsel	97	3.74	4.0
United States Sentencing Commission	94	3.74	2.0
United States Tax Court	51	Declined Response	

Appendix III:
RMSA and FEREM
2020 Questionnaires with Statistical Results

Records Management Self-Assessment 2020		
Section I: Management Support and Resourcing		
The following series of questions relates to RM Program leadership		
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	Count per answer option	Percentage to total responses
Yes	263	99%
No	3	1%
Do not know	0	0%
Total number of responses to this question	266	100%
Q2. If Yes: Please provide the person's name, position title, and office. (Text response no statistics)		
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	Count per answer option	Percentage to total responses
Yes	260	98%
No	6	2%
Do not know	0	0%
Total number of responses to this question	266	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	Count per answer option	Percentage to total responses
Yes	236	91%
No	23	9%
Do not know	1	0%
Total number of responses to this question	260	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	Count per answer option	Percentage to total responses
Yes	219	82%
No	11	4%
Not applicable, agency has less than 100 employees	34	13%
Not applicable, Departmental Records Officer - this is done at the component level	2	1%
Do not know	0	0%
Total number of responses to this question	266	100%

The following series of questions relates to RM Program Controls, Monitoring and Oversight.

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

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

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

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

Answer Options	Count per answer option	Percentage to total responses
Yes	200	75%
No, under development	46	17%
No, pending final approval	3	1%
No	16	6%
Do not know	1	0%
Total number of responses to this question	266	100%

Q7. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))

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

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

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

Answer Options	Count per answer option	Percentage to total responses
Yes	214	81%
No, under development	31	12%
No, pending final approval	6	2%
No	12	5%
Do not know	2	1%
Total number of responses to this question	265	100%

Q8. In addition to your agency's records management policies and records schedules, has your agency developed and implemented internal controls to ensure that all permanent records are created/captured, classified, filed and managed according to their NARA-approved records schedules? (36 CFR 1220.34(i))

Answer Options	Count per answer option	Percentage to total responses
Yes	186	70%
No	24	9%
To some extent	53	20%
Do not know	3	1%
Total number of responses to this question	266	100%

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

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

Identifying and scheduling all paper and non-electronic records by the end of DATE

Developing computer-based records management training modules by the end of DATE

Planning and piloting an electronic records management solution for email by the end of DATE

Updating records management policies by the end of the year

Conducting records management evaluations of at least one program area each quarter

Answer Options	Count per answer option	Percentage to total responses
Yes	197	74%
No	18	7%
Currently under development	45	17%
Pending final approval	4	2%
Do not know	2	1%
Total number of responses to this question	266	100%

10. 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	Count per answer option	Percentage to total responses
Yes	191	72%
Currently under development	47	18%
Pending final approval	2	1%

No	25	9%
Do not know	1	0%
Total number of responses to this question	266	100%

Q11. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? (36 CFR 1220.34(j)) ****For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records) must be the primary focus of the inspection/audit/review.**	

Answer Options	Count per answer option	Percentage to total responses
Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General	27	10%
Yes, evaluations are conducted by the Records Management Program	158	59%
Yes, evaluations are conducted by the Office of Inspector General	4	2%
Yes, evaluations are conducted by: (fill in the blank)	39	15%
No, please explain	38	14%
Do not know	0	0%
Total number of responses to this question	266	100%

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

Answer Options	Count per answer option	Percentage to total responses
Annually	90	34%
Once every 3 years	46	17%
Biennially	23	9%
Ad hoc	81	30%
Not applicable, agency does not evaluate its records management program	23	9%
Do not know	3	1%
Total number of responses to this question	266	100%

The following series of questions relates to records management training.

Q13. Was a formal report written and subsequent plans of corrective action created and monitored for implementation as part of the most recent inspection/audit/review? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Yes, plans of corrective action were monitored for implementation	112	42%
Yes, plans of corrective action were created	111	42%
Yes, formal report was written	135	51%
No	47	18%
Not applicable, agency has less than 100 employees	21	8%
Not applicable, agency does not evaluate its records management program	13	5%
Do not know	6	2%
Total number of responses to this question	266	

Q14. 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	Count per answer option	Percentage to total responses
Yes	218	82%
No, under development	22	8%
No, pending final approval	1	0%
No	21	8%
Not applicable, please explain	4	2%
Do not know	0	0%
Total number of responses to this question	266	100%

Q15. 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	Count per answer option	Percentage to total responses
Yes	219	82%
No, under development	27	10%
No, pending final approval	4	2%
No	16	6%
Do not know	0	0%
Total number of responses to this question	266	100%

The following series of questions relates to Senior Agency Officials.

Q16. 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	Count per answer option	Percentage to total responses
Yes	238	89%
No	23	9%
Do not know	5	2%
Total number of responses to this question	266	100%

Q17. 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 account? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))

Answer Options	Count per answer option	Percentage to total responses
Yes, but not documented	43	16%
Yes	185	70%
Not applicable, please explain	8	3%
No	28	11%
Do not know	2	1%
Total number of responses to this question	266	100%

Q18. 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	Count per answer option	Percentage to total responses
Yes	180	79%
No, please explain	47	21%
Do not know	0	0%
Total number of responses to this question	227	100%

Q19. Does your agency conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))

Answer Options	Count per answer option	Percentage to total responses
Yes	199	75%
Yes, but not documented	29	11%
No	28	11%
Not applicable, please explain	8	3%
Do not know	2	1%
Total number of responses to this question	266	100%

Q20. 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	Count per answer option	Percentage to total responses
Yes	207	91%
No	18	8%
Do not know	2	1%
Total number of responses to this question	227	100%

Q21. 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	Count per answer option	Percentage to total responses
Yes	214	94%
No, please explain	12	5%
Do not know	2	1%
Total number of responses to this question	228	100%

Q 22. Please add any additional comments about your agency for Section I. (Optional) (Text response no statistics)

Section II: Policies

Q23. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

Answer Options	Count per answer option	Percentage to total responses
Yes	236	89%
No, under development	17	6%
No, pending final approval	10	4%
No	2	1%
Do not know	1	0%
Total number of responses to this question	266	100%

Q24. 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	Count per answer option	Percentage to total responses
Not applicable, agency does not have a records management directive	10	4%
FY 2020 - present	154	58%
FY 2018 - 2019	50	19%
FY 2016 - 2017	23	9%
FY 2015 or earlier	21	8%
Do not know	8	3%
Total number of responses to this question	266	100%

Q25. 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	Count per answer option	Percentage to total responses
Yes	192	72%
No, under development	49	18%
No, pending final approval	7	3%
No	16	6%
Do not know	1	0%
Total number of responses to this question	265	100%

Q26. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic records?

Answer Options	Count per answer option	Percentage to total responses
Yes	225	85%
No, under development	30	11%
No, pending final approval	7	3%
No	4	2%
Do not know	0	0%
Total number of responses to this question	266	100%

Q27. Does your agency have documented and approved policies for cloud service use that includes recordkeeping requirements and handling of Federal records?

Answer Options	Count per answer option	Percentage to total responses
Yes	157	59%
No, under development	58	22%
No, pending final approval	8	3%
No	39	15%
Do not know	3	1%
Total number of responses to this question	265	100%

Q28. 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	Count per answer option	Percentage to total responses
Yes	224	84%
No, under development	32	12%
No, pending final approval	5	2%
No, please explain	4	2%
Do not know	1	0%
Total number of responses to this question	266	100%

Q29. 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	Count per answer option	Percentage to total responses
Yes	132	50%
No, under development	95	36%
No, pending final approval	9	3%
No	28	11%
Do not know	2	1%
Total number of responses to this question	266	100%

Q30. Does your agency have documented and approved policies that address when employees have more than one agency-administered email account, whether or not allowed, that states that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)

*Examples of business needs may include but are not limited to:
Using separate account for public and internal correspondence
Creating account for a specific agency initiative which may have multiple users
Using separate account for classified information and unclassified information

Answer	Count per answer option	Percentage to total responses
Yes	199	75%
No, under development	25	9%
No, pending final approval	5	2%
No	34	13%
Do not know	3	1%
Total number of responses to this question	266	100%

Q31. Does your agency have documented and approved policies that address the use of personal email account, whether or not allowed, that state that all emails created and received by such account per answer options must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

Answer Options	Count per answer option	Percentage to total responses
Yes	199	75%
No, under development	25	9%
No, pending final approval	5	2%
No	34	13%
Do not know	3	1%
Total number of responses to this question	266	100%

Q32. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

Answer Options	Count per answer option	Percentage to total responses
Yes	186	70%
No	66	25%
Do not know	14	5%
Total number of responses to this question	266	100%

Q33. Please add any additional comments about your agency for Section II. (Optional) (Text response no statistics)

Section III: Systems

Q34. 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	Count per answer option	Percentage to total responses
Yes	156	59%
To some extent	86	32%
No	17	6%
Do not know	4	2%
Not applicable, please explain	3	1%
Total number of responses to this question	266	100%

Q35. 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	Count per answer option	Percentage to total responses
Yes	188	71%
No, please explain	70	26%
Do not know	8	3%
Total number of responses to this question	266	100%

Q36. 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	Count per answer option	Percentage to total responses
Yes	119	45%
To some extent	83	31%
No	61	23%
Do not know	3	1%
Total number of responses to this question	266	100%

Q37. 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	Count per answer option	Percentage to total responses
Yes	249	94%
No	4	2%
Do not know	13	5%
Total number of responses to this question	266	100%

Q38. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Captured and stored as personal storage table (.PST) files	132	50%
Captured and stored in an electronic records management system	99	37%
Captured and stored in an email archiving system	202	76%
Captured and stored using cloud services but records management IS NOT included	71	27%
Captured and stored using cloud services with records management included	105	39%
Not captured and email is managed by the end-user in the native system	2	1%
Other, please be specific:	30	11%
Print and file	34	13%
Total number of responses to this question	266	

Q39. What new method(s) to create and maintain data are being explored and/or employed by your agency that will impact records management? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Smart devices	95	36%
Sensors that collect and transmit data	49	18%
Geographic Information Systems	74	28%
Robotic Process Automation	54	20%
Software Robot or Bot	43	16%
Supervised Machine Learning	66	25%
Unsupervised Machine Learning	50	19%
Reinforced Machine Learning	39	15%
Standard Artificial Intelligence	74	28%
Open-source Artificial Intelligence	46	17%
Auto-classification	96	36%
Other, please be specific	40	15%
My agency is not exploring and/or employing new methods	73	27%
Total number of responses to this question	266	

Q40. Please add any additional comments about your agency for Section III (Optional) (Text response no statistics)

Section IV: Access

The following series of questions relates to the impact of the COVID-19 pandemic on access to records

Q41. Has the COVID-19 pandemic disrupted your agency's ability to access records?

Answer Options	Count per answer option	Percentage to total responses
Yes	143	54%
No	117	44%
Do not know	6	2%
Total number of responses to this question	266	100%

Q42. If Yes: Please provide details on the impact of the COVID-19 pandemic and what your agency has done to mitigate the circumstances. (Text response no statistics)

The following series of questions relates to Vital or Essential records.

Q43. 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	Count per answer option	Percentage to total responses
Yes	220	83%
No	34	13%
Do not know	11	4%
Total number of responses to this question	265	100%

Q44. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

Answer Options	Count per answer option	Percentage to total responses
Annually	146	55%
Biennially	14	5%
Once every 3 years	13	5%
Ad hoc	60	23%
Never	7	3%
Do not know	25	9%
Total number of responses to this question	265	100%

Q45. Is your vital records plan part of the Continuity of Operations (COOP) plan?

Answer Options	Count per answer option	Percentage to total responses
Yes	232	88%
No	22	8%
Do not know	11	4%
Total number of responses to this question	265	100%

The following questions relate to retrieval and access.

Q46. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

Answer Options	Count per answer option	Percentage to total responses
All records are easily retrieved and accessed when needed	101	38%
Most records can be retrieved and accessed in a timely manner	157	59%
Some records can be retrieved and accessed in a timely manner	6	2%
No	0	0%
Do not know	1	0%
Total number of responses to this question	265	100%

Q47. 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	Count per answer option	Percentage to total responses
Yes	202	76%
No, please explain	55	21%
Do not know	5	2%
Not applicable, please explain	4	2%
Total number of responses to this question	266	100%

The following question relates to migration.

Q48. 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	Count per answer option	Percentage to total responses
Yes	144	54%
No, under development	80	30%
No, pending final approval	7	3%
No	31	12%
Do not know	4	2%
Total number of responses to this question	266	100%

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

Q49. Does your agency use e-Discovery tools to search for records when responding to FOIA and/or Legal Discovery?

Answer Options	Count per answer option	Percentage to total responses
Yes	191	72%
No, please explain	65	24%
Do not know	10	4%
Total number of responses to this question	266	100%

Q50. For what purposes are e-Discovery tools used? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Congressional requests	93	49%
De-duplication of records in responding to requests	85	45%
FOIA responses NOT involving requests for email records	102	54%
FOIA responses involving requests for email records	172	91%
Internal research for or by staff	83	44%
Knowledge management	33	17%
Lawsuit-related requests	130	69%
Legal discovery or third-party subpoena requests	118	62%
Managing legal holds	109	58%
Total number of responses to this question	189	

Q51. Please explain why e-Discovery tools are not used to search for records. (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Cost	18	29%
E-discovery tools are not available at my agency	32	51%
Other, please be specific:	35	56%
There are a limited number of licenses available	4	6%
Total number of responses to this question	63	

Q52. Has the COVID-19 pandemic disrupted your agency's ability to respond to FOIA requests?

Answer Options	Count per answer option	Percentage to total responses
Yes	128	49%
No	127	48%
Do not know	8	3%
Total number of responses to this question	263	100%

Q53. Which of the following explains why FOIA has been impacted? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Agency staff are not available to conduct searches	59	46%
Electronic records are not accessible remotely	11	9%
FOIA case processing system is not available by remote access	15	12%
Paper records are inaccessible due to office closure	103	80%
Other, please be specific:	46	36%
Total number of responses to this question	128	

Q54. Which of the following actions did your agency's FOIA program take in response to the COVID-19 pandemic? (Choose all that apply) (DOJ, Guidance for Agency FOIA Administration in Light of COVID-19 Impacts, (https://www.justice.gov/oip/guidance-agency-foia-administration-light-covid-19-impacts, updated May 28, 2020.)

Answer Options	Count per answer option	Percentage to total responses
Worked directly with requesters to tailor their requests for most efficient processing	187	72%
Posted a notice on the FOIA website informing requesters of most efficient way to make a request	130	50%
Posted a notice on the FOIA website informing requesters of any anticipated delays	113	43%
Included information about any anticipated delays in requester communication, including acknowledgment letters	146	56%
Used multitrack processing to further triage requests that could be processed more efficiently remotely	100	38%
Posted additional proactive disclosures for high public interest topics related to the COVID-19 pandemic	48	18%
Assessed technology to ensure most efficient administration of FOIA	135	52%
Other, please explain	51	20%
Total number of responses to this question	261	

Q55. Which of the following describes the working relationship between the Agency Records Officer and the Chief FOIA Officer? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Work together on high-profile or complex FOIA requests	119	45%
Work together on Information Technology (IT) requirements that benefit both programs	135	51%
Training programs include the importance and relationship between FOIA and records management	131	50%
Provide training on records management and FOIA to each other's staff	122	46%
Other, please explain	54	20%
None of the above	18	7%
Identify programs or offices most likely to have responsive records	115	44%
Coordinate search terms to identify responsive records	93	35%
Total number of responses to this question	264	

Q56. Please add any additional comments about your agency for Section IV. (Optional) (Text response no statistics)

Section V: Disposition

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

Q57. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10)

Answer Options	Count per answer option	Percentage to total responses
FY 2019 - 2020	152	57%
FY 2017 - 2018	45	17%
FY 2015 - 2016	14	5%
FY 2013 - 2014	8	3%
FY 2012 or earlier	36	14%
Do not know	10	4%
Total number of responses to this question	265	100%

Q58. 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	Count per answer option	Percentage to total responses
Yes	248	94%
No	14	5%
Do not know	3	1%
Total number of responses to this question	265	100%

Q59. Does your agency have agency-specific records schedules currently in use that include items approved before January 1, 1990?

Answer Options	Count per answer option	Percentage to total responses
Yes	142	54%
No	116	44%
Do not know	7	3%
Total number of responses to this question	265	100%

Q60. Are you currently reviewing agency-specific records schedules with items approved before January 1, 1990, for updating and/or rescheduling? (36 CFR 1225.22)

Answer Options	Count per answer option	Percentage to total responses
Yes, this is in progress	107	76%
Yes, this has been completed	13	9%
No, but are planning to do so	18	13%
No, and have no plans to do so	3	2%
Do not know	0	0%
Total number of responses to this question	141	100%

Q61. 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	Count per answer option	Percentage to total responses
Yes	145	55%
To some extent	103	39%
No	16	6%
Do not know	2	1%
Total number of responses to this question	266	100%

Q62. 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	Count per answer option	Percentage to total responses
Yes	224	85%
No	33	12%
Do not know	8	3%
Total number of responses to this question	265	100%

Q63. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
GRS 6.1: Email Managed under a Capstone Approach; agency has an approved form NA-1005	189	71%
GRS 6.1: Email Managed under a Capstone Approach; agency does not have an approved form NA-1005	27	10%
Agency-specific email schedule	25	9%
Traditional records management (i.e., retention based on content, usually applied on an email-by-email basis, utilizing multiple NARA-approved disposition authorities)	52	20%
Other, please explain	23	9%
Email retention method has not been decided/scheduled by agency	4	2%
Do not know	3	1%
Total number of responses to this question	266	

Q64. Does the current NARA-approved form NA-1005 or agency-specific email schedule adequately reflect your existing organizational structure?

Answer Options	Count per answer option	Percentage to total responses
Yes	142	69%
To some extent	50	24%
No	12	6%
Do not know	1	0%
Total number of responses to this question	205	100%

Q65. Why does the email schedule not adequately reflect, or only to some extent reflect, your existing organizational structure? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Agency-wide reorganization has taken place	32	52%
New positions that meet the criteria for permanent disposition need to be added	44	71%
Number of email accounts for a specific position(s) needs to be updated or changed	12	19%
Other, please explain	5	8%
Positions need to be removed because they have been removed from the organization	30	48%
Positions need to be removed because they no longer meet the criteria for permanent disposition	8	13%
Position title(s) need to be updated or changed	41	66%
Scope statements are inaccurate, or need to be changed	2	3%
Total number of responses to this question	62	

Q66. Does your agency track changes in Capstone account to ensure they are accurate and complete?

Answer Options	Count per answer option	Percentage to total responses
Yes	149	79%
To some extent	22	12%
No	12	6%
Do not know	5	3%
Total number of responses to this question	188	100%

Q67. If Yes or To some extent: Please explain how your agency tracks changes to Capstone accounts. *(Be specific).* (Text response no statistics)

The next series of questions relates to transferring permanent records.

Q68. Did your agency transfer permanent non-electronic records to NARA during FY 2020? (36 CFR 1235.12)

Answer Options	Count per answer option	Percentage to total responses
Yes	66	25%
No	75	28%
No - Transfers were impacted by the COVID-19 pandemic	71	27%
No - No records were eligible for transfer during FY 2020	32	12%
No - New agency, records are not yet old enough to transfer	6	2%
No - My agency does not have any permanent non-electronic records	2	1%
Do not know	3	1%
Other, please explain	11	4%
Total number of responses to this question	266	100%

Q69. Did your agency transfer permanent electronic records to NARA during FY 2020? (36 CFR 1235.12)

Answer Options	Count per answer option	Percentage to total responses
Yes	40	15%
No	105	39%
No - Transfers were impacted by the COVID-19 pandemic	37	14%
No - No electronic records/systems were eligible for transfer during FY 2020	62	23%
No - New agency, electronic records/systems are not old enough to transfer	11	4%
No - My agency does not have any permanent electronic records	1	0%
Other, please explain	7	3%
Do not know	3	1%
Total number of responses to this question	266	100%

Q70. Does your agency track when permanent records are eligible for transfer to NARA?

Answer Options	Count per answer option	Percentage to total responses
Yes	219	83%
No	37	14%
No - My agency does not have any permanent records	4	2%
Do not know	5	2%
Total number of responses to this question	265	100%

Q71. If Yes or No: Please explain your response to the previous question. (If you answered "Yes," please be specific on methods used. If you answered "No," please explain why not.) (Text response no statistics)

The next series of questions relates to the management of web sites and related records.

Q72. Does your agency ensure that all records on agency web sites are properly managed?

Answer Options	Count per answer option	Percentage to total responses
Yes	205	77%
No	36	14%
Do not know	25	9%
Total number of responses to this question	266	100%

Q73. Did your agency take steps to capture and disposition web records in preparation for an administration change?

Answer Options	Count per answer option	Percentage to total responses
Yes	150	56%
No	78	29%
Do not know	38	14%
Total number of responses to this question	266	100%

Q74. If Yes or No: Please explain your response to the previous question. (If you answered "Yes," please be specific on steps taken to capture, preserve, and prepare web records in preparation for an administration change. If you answered "No," please explain why not, including any challenges.) (Text response no statistics)

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

Q75. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?

Answer Options	Count per answer option	Percentage to total responses
Yes	67	25%
No	197	74%
Do not know	2	1%
Total number of responses to this question	266	100%

Q76. Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))

Answer Options	Count per answer option	Percentage to total responses
Yes	55	82%
No	6	9%
Do not know	6	9%
Total number of responses to this question	67	100%

Q77. 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	Count per answer option	Percentage to total responses
Yes	46	17%
No	216	81%
Do not know	4	2%
Total number of responses to this question	266	100%

Q78. Has the facility been approved by NARA? (36 CFR 1234.30(a)(1))

Answer Options	Count per answer option	Percentage to total responses
Yes	32	70%
No	7	15%
Do not know	7	15%
Total number of responses to this question	46	100%

Q79. Is your agency making plans to move records from an agency-operated records center to a commercial records storage facility?

Answer Options	Count per answer option	Percentage to total responses
Yes	11	24%
No	31	67%
Do not know	4	9%
Total number of responses to this question	46	100%

Q80. 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	Count per answer option	Percentage to total responses
Yes	17	37%
No	20	43%
Do not know	9	20%
Total number of responses to this question	46	100%

Q81. Please add any additional comments about your agency for Section V. (Optional) (Text response no statistics)

Section VI: Agency Demographics

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

Q82. How many full-time equivalents (FTE) are in your agency/organization?

Answer Options	Count per answer option	Percentage to total responses
500,000 or more FTEs	2	1%
100,000 - 499,999 FTEs	15	6%
10,000 - 99,999 FTEs	43	16%
1,000 - 9,999 FTEs	84	32%
100 - 999 FTEs	70	26%
1 - 99 FTEs	49	18%
Not Available	3	1%
Total number of responses to this question	266	100%

Q83. Which of the following stakeholders significantly impact and/or support your RM program? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Records Managers and/or Records Liaison Officers (or equivalent)	239	90%
Program Managers and/or Supervisors	197	74%
Other, please explain	56	21%
Office of the General Counsel	181	68%
FOIA Officer	205	77%
Chief Management Officer	68	26%
Chief Information Officer	222	83%
Chief Financial Officer	87	33%
Chief Data Officer	77	29%
Total number of responses to this question	266	

Q84. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

Answer Options	Count per answer option	Percentage to total responses
Senior Agency Official	174	66%
Records Liaison Officers or similar	130	49%
Program Managers	98	37%
Other, please be specific:	46	17%
Office of the General Counsel	108	41%
None	8	3%
Information Technology staff	200	75%
FOIA Officer	225	85%
Administrative staff	60	23%
Total number of responses to this question	265	

Q85. How much time did it take you to gather the information to complete this self-assessment?

Answer Options	Count per answer option	Percentage to total responses
Under 3 hours	50	19%
Over 10 hours	79	30%
More than 6 hours but less than 10 hours	59	22%
More than 3 hours but less than 6 hours	78	29%
Total number of responses to this question	266	100%

Q86. Did your agency's senior management review and concur with your responses to the 2020 Records Management Self-Assessment?

Answer Options	Count per answer option	Percentage to total responses
Yes	239	91%
No	19	7%
Do not know	5	2%
Total number of responses to this question	263	100%

Q87. Are you the Agency Records Officer?

Answer Options	Count per answer option	Percentage to total responses
Yes	228	86%
No	37	14%
Total number of responses to this question	265	100%

Q88. If No: Please provide the Agency Records Officer's contact information. (Text response no statistics)

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

Answer Options	Count per answer option	Percentage to total responses
Yes	233	88%
No	17	6%
Do not know	10	5%
Comments only	5	1%
Total number of responses to this question	265	100%

Q90 Do you have any suggestions for improving the Records Management Self-Assessment next year? (Text response no statistics)

	Federal Electronic Records and Email Management Report 2020		
	Part I: Electronic Records Management		
**1.1 Which of the following best describes engagement of the Senior Agency Official for Records Management (SAORM) and/or other senior managers?** **Note: In component agencies of Departments, the SAORM may be at the Department level only but components can answer with their impressions of the SAORM engagement at their level.**		
Level/Points	Answer Options	Count per answer option	Percent to total responses
0	An SAORM has not been designated. Agency senior managers are unaware or not engaged in the prioritization and allocation of any resources to electronically manage electronic records (temporary and permanent).	4	2%
1	An SAORM has not been designated but the role is filled by someone as Acting. Agency senior managers are aware and engaged in the electronic records management program; however, there are insufficient budgetary resources, and no additional steps have been made to adequately manage permanent electronic records.	6	2%
2	The designated SAORM is in the process of working with agency records management and IT staff to develop an electronic records management program and identify necessary budgetary resources, but has not involved other agency senior managers.	61	23%
3	The designated SAORM is engaged in the electronic records management program and is taking positive steps to provide the necessary budgetary resources to adequately manage permanent electronic records, and informs other agency senior managers as appropriate.	102	38%
4	SAORMs are proactively engaged in the electronic records management program, are providing the necessary budgetary resources to adequately manage permanent electronic records, and are consistently keeping other agency senior managers informed of their related responsibilities.	92	35%
	Total number of responses to this question	265	100%

	1.2 Which of the following best describes your agency's Agency Records Officer role, responsibilities and knowledge?		
Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Agency does not have a designated Agency Records Officer, and there is no indication that a future designated Agency Records Officer would have or would obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent.	3	1%
1	An Agency Records Officer has not been designated but the agency intends to do so and is considering requiring that person to have or to obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent.	12	5%
2	Agency has designated an Agency Records Officer and is considering requiring them to have or to obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent.	14	5%
3	Agency has designated an Agency Records Officer. Agency encourages, but does not yet require, the Agency Records Officer to have or to obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent. The Agency Records Officer is in the process of obtaining this certificate.	24	9%
4	Agency has designated an Agency Records Officer, requires the holder of this position to have or to obtain NARA's Federal Records Management Training certificate, Agency Records Officer Credential (AROC) or NARA-approved equivalent, as required by the agency and NARA policy.	212	80%
	Total number of responses to this question	265	100%

1.3 Which of the following best describes your agency's network of records management officers, records custodians, and other agency liaisons or staff with assigned records management responsibilities?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Agency does not specifically assign records management roles or responsibilities to staff.	15	6%
1	Agency has a network of staff with records management responsibilities but does not provide those assigned records management training or guidance on what is required.	25	9%
2	Agency has a network of staff with records management responsibilities and they receive general training on what this assignment means and what is required.	30	11%
3	Agency has a network of staff with records management responsibilities who are trained on what this assignment means and basic records management.	68	26%
4	Agency has a network of staff with records management responsibilities trained on what this assignment means, what records management responsibilities and requirements are, skills needed to perform the responsibilities and how to use those skills.	127	48%
	Total number of responses to this question	265	100%

1.4 Which of the following best describes records management program monitoring?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	There is no attempt to monitor records management activity.	2	1%
1	Informal monitoring of the records management program is done on an ad hoc basis. No formal program is under development.	25	9%
2	General monitoring of records management program compliance is done on an ad hoc basis. Formal program performance measures are under development.	68	26%
3	Agency utilizes formal program performance measures, as well as NARA's annual Records Management Self-Assessment, to monitor records management program compliance with limited remediation of program activities found in need of improvement.	50	19%
4	Agency utilizes formal program performance measures, as well as NARA's annual Records Management Self-Assessment, to monitor records management program compliance and remediate program activities found in need of improvement.	120	45%
	Total number of responses to this question	265	100%

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

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Records management training does not exist and is not under development.	5	2%
1	Records management training is under development.	17	6%
2	High level general records management training is available but not required.	17	6%
3	Records management training with some role-based training is available. General records management training is required at least once a year.	77	29%
4	Records management training, including role-based training, is part of the agency's mandatory training for all staff and contractors, including senior executives and appointed officials.	149	56%
	Total number of responses to this question	265	100%

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

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Policies do not exist for electronic records.	14	5%
1	Policies exist for electronic records but do not include permanent electronic records nor are they in any stage of development that would address the bullet points above.	8	3%
2	Policies exist covering electronic records in general but those specifically covering permanent electronic records addressing some of the bullet points above are under development.	70	27%
3	Policies covering electronic records with specific information about the management of permanent electronic records addressing most of the bullet points above have been drafted but not yet approved or implemented.	61	23%
4	Policies covering electronic records with specific information about the management of permanent electronic records addressing all of the bullet points above have been approved and implemented.	110	42%
	Total number of responses to this question	263	100%

2.2 Which of the following best describes if relevant stakeholders have been engaged in the development of electronic records management policies?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Relevant stakeholders have not been identified.	5	2%
1	Relevant stakeholders have been identified but are not actively engaged.	30	11%
2	Relevant stakeholders provide input but are not actively involved in creating policies or approving these policies.	15	6%
3	Relevant stakeholders provide input and review these policies before going to agency senior leadership for approvals.	101	38%
4	Relevant stakeholders, including agency senior leadership, are consistently and actively involved in creating and approving all records management policies.	113	43%
	Total number of responses to this question	264	100%

2.3 Which of the following best describes procedures and training in order to fully implement policies essential for full integration and inclusion of records management into agency culture and the prevention of records loss and/or alienation?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Training and awareness regarding the management of electronic records do not exist, and there are no policies related to loss of records.	3	1%
1	As policies are being discussed, general training and awareness of records management roles and responsibilities exist but do not fully address electronic records or the prevention of records loss.	34	13%
2	With policies under development, the roles and responsibilities are identified, and there is an awareness of the threat of loss of electronic records.	46	17%
3	Policies, procedures and training with specific information about the management of permanent electronic records and the threat of loss have been drafted but not yet approved by relevant stakeholders or implemented.	49	19%
4	Procedures and training with specific information about the policies related to the full integration and inclusion of records management and the prevention of records loss and/or alienation have been approved, disseminated and implemented.	131	50%
	Total number of responses to this question	263	100%

3.1 Which of the following best describes how well electronic information systems are able to create, capture, manage, preserve, and transfer permanent electronic records to the National Archives?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Electronic information systems may create and capture records but there is no management or determination about temporary or permanent electronic records status in accordance with approved records schedules.	32	12%
1	Electronic information systems are able to create and capture records in electronic format, and there is some management or determination about temporary and permanent electronic records status but no alignment with approved records schedules.	34	13%
2	Electronic information systems are able to create, capture, and maintain records. Permanent electronic records are identified, and alignment with approved records schedules is under development.	76	29%
3	Electronic information systems meet NARA's requirements to create, capture, manage and preserve electronic records aligned with approved records schedules and agency is testing the capability to transfer permanent electronic records to the National Archives.	47	18%
4	Electronic information systems meet NARA's requirements to create, capture, manage, and preserve electronic records aligned with approved records schedules. Agency has successfully transferred permanent records in electronic format to the National Archives according to the transfer guidance.	74	28%
	Total number of responses to this question	263	100%

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

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	There is no inventory of electronic information systems.	21	8%
1	There is an inventory of electronic information systems but no identification of which contain records.	25	9%
2	There is an inventory of electronic information systems that identifies which contains records but does not include location or retention instructions.	44	17%
3	There is an inventory of electronic information systems along with the location and includes limited ability to implement disposition.	106	40%
4	There is a complete inventory of systems used for management of permanent and temporary electronic records including the ability to implement, whether manually or automatically, all dispositions.	68	26%
	Total number of responses to this question	264	100%

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

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Systems owners are not aware of their responsibilities for managing permanent electronic records.	36	14%
1	Systems owners are fully aware of their responsibilities for managing permanent electronic records that reside in their systems but are not developing processes (manual or automated) to comply with the requirements for managing permanent electronic records.	14	5%
2	Systems owners are fully aware of their responsibilities for managing permanent records that reside in their systems and are considering processes to comply with requirements to manage permanent electronic records via manual methods.	83	32%
3	Systems owners are fully aware of their responsibilities for managing permanent records that reside in their systems and they are in the development phase of ensuring systems comply with requirements for managing permanent electronic records via automated methods.	75	29%
4	Systems owners are fully aware of their responsibilities for managing permanent records that reside in their systems. Systems have been implemented to comply with the requirements for managing permanent electronic records via automated methods.	55	21%
	Total number of responses to this question	263	100%

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

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Systems do not audit or track use of records.	45	17%
1	Systems could generate reports to audit/track use of records but the agency is not considering tracking use of records.	13	5%
2	Systems could generate reports to audit/track use of records and the agency is considering whether or not to track use of records.	32	12%
3	Systems can generate reports. The agency does some auditing/tracking of the use of records.	89	34%
4	Systems generate reports, both routine and customized, to demonstrate effective controls and compliance with the requirements for managing permanent electronic records including the ability to audit/track use of the records, including all events and actions related to the record by person entities and non-person entities,	85	32%

Level/Points	Answer Options	Count per answer option	Percent to total responses
	changing the level of record access, and changes in the location of permanent records.		
	Total number of responses to this question	264	100%

4.1 Which of the following best describes if records (including those of current and separated employees) are searchable, retrievable, and usable throughout their lifecycle?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Records (including those created by current and separated employees) are not searchable, retrievable, and usable.	7	3%
1	Some records created by current employees are searchable, retrievable, and usable but not for those created by separated employees.	2	1%
2	Some records created by current employees and those created by separated employees are searchable, retrievable, and usable throughout their lifecycle.	40	15%
3	Most records created by current and separated employees are searchable, retrievable, and usable throughout their lifecycle.	107	41%
4	All records (including those of current and separated employees) are searchable, retrievable, and usable throughout their lifecycle.	108	41%
	Total number of responses to this question	264	100%

4.2 Which of the following best describes the identification and categorization or classification of electronic records that are essential to enable accessibility and maintenance throughout the lifecycle?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Records are not identified, categorized or classified to enable accessibility and maintenance throughout the lifecycle.	26	10%
1	Some records are identified but not categorized or classified to enable accessibility and maintenance throughout the lifecycle.	13	5%
2	Some records are identified with limited categorization or classification to enable accessibility and maintenance throughout the lifecycle.	53	20%
3	Most records are identified and categorized or classified to enable accessibility and maintenance throughout the lifecycle.	110	42%
4	All records are identified and categorized or classified to enable accessibility and maintenance throughout the lifecycle.	61	23%
	Total number of responses to this question	263	100%

4.3 Which of the following best describes if your agency's IT staff measures system protection of permanent electronic records against unauthorized access, use, alteration, alienation, deletion, or concealment?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	IT staff does not take any measures to prevent unauthorized access, use, alteration, alienation, deletion, or concealment of any records.	3	1%
1	IT staff have normal security measures but these do not identify protections for permanent electronic records against unauthorized access, use, alteration, alienation, deletion, or concealment.	41	16%
2	IT staff have normal security measures and additional measures are being considered for permanent electronic records to prevent unauthorized access, use, alteration, alienation, deletion, or concealment.	61	23%
3	IT staff in addition to normal security measures are developing measures and have some already in place to protect permanent electronic records that prevent unauthorized access, use, alteration, alienation, deletion, or concealment.	45	17%
4	IT staff in addition to normal security measures have measures in place to protect permanent electronic records that prevent unauthorized access, use, alteration, alienation, deletion, or concealment.	114	43%
	Total number of responses to this question	264	100%

4.4 Which of the following best describes if your agency has migration plans that include the movement of permanent electronic records into new systems and other measures related to long-term preservation in accordance with the recordkeeping requirements?

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Migration plans do not exist and records are not considered when replacing systems.	13	5%
1	Migration plans exist but do not take into consideration temporary or permanent records status, long-term preservation or other recordkeeping requirements.	25	10%
2	Migration plans are based on current use and move inactive records offline or to tapes but do not identify permanent records, long-term preservation needs or other recordkeeping requirements.	30	11%
3	Migration plans include the identification of permanent records and long-term preservation needs and may move permanent electronic records into new systems or maintain them in legacy systems.	97	37%
4	Migration plans include the movement of permanent electronic records into new systems, including those in legacy systems, and include other measures related to long-term preservation in accordance with recordkeeping requirements.	98	37%

Level/Points	Answer Options	Count per answer option	Percent to total responses
	Total number of responses to this question	263	100%

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

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	There is no process for identification or scheduling of electronic records.	14	5%
1	There is no coordination with agency offices to identify, classify and schedule records, but a few electronic records are associated with a NARA-approved records schedule.	5	2%
2	Some coordination exists to identify, classify and schedule electronic records across the agency with some electronic records associated with a NARA-approved records schedule.	51	19%
3	There are informal processes for coordination to identify, classify, and schedule electronic records across the agency that include input from appropriate offices. Most electronic records are associated with a NARA-approved records schedule.	114	43%
4	Formal processes exist to identify, classify and schedule electronic records across the agency that includes program, legal, and IT offices that include reviewing and updating existing schedules as well as new electronic systems. All existing electronic records are covered by NARA-approved records schedules.	80	30%
	Total number of responses to this question	264	100%

5.2 Which of the following best describes if systems development, maintenance, and operations include processes for electronic records management?			

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Records management staff are not included in the agency's processes for new, existing, or retiring electronic information systems so there is no assurance that electronic records management processes exist.	10	4%
1	Records management staff are inconsistently made aware of new electronic information systems and are not included in the agency's processes for new, existing, or retiring electronic information systems so electronic records management is ad hoc.	27	10%
2	Records management staff are occasionally informed when new electronic information systems are being planned or implemented and participate informally or on an ad hoc basis in the agency's processes for new, existing, or retiring electronic information systems so electronic records management is inconsistent.	46	18%

Level/Points	Answer Options	Count per answer option	Percent to total responses
3	Records management staff are kept informed of new, existing, or retiring electronic information systems, but have a limited role in the agency's Systems Development Life Cycle process for electronic information systems so electronic records management is just beginning to be consistent across the agency.	80	31%
4	Records management staff participate in the Systems Development Life Cycle and Capital Planning and Investment Control processes to ensure electronic records are appropriately identified and recordkeeping applied formalizing electronic records management across the agency.	99	38%
	Total number of responses to this question	262	100%

5.3 Which of the following best describes if permanent records meet the transfer guidance criteria and contain the appropriate metadata for transfer to the National Archives?

Note: See NARA Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records and NARA Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records.

Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Permanent electronic records do not meet the transfer guidance criteria and/or metadata requirements for transfer to the National Archives.	25	10%
1	Permanent electronic records do not meet the transfer guidance criteria and/or metadata requirements for transfer to the National Archives, but the agency is exploring what needs to be done.	25	10%
2	Permanent electronic records do not meet the transfer guidance criteria and/or metadata requirements to transfer them to the National Archives, and improvements have been identified but not implemented.	12	5%
3	Permanent electronic records in some cases meet the transfer guidance criteria and/or metadata requirements to transfer them to the National Archives. The ability and other plans for transferring all permanent records are under development or are being tested.	143	54%
4	Permanent electronic records meet the transfer guidance criteria and contain the appropriate metadata. The agency has tested the ability to transfer and/or has successfully transferred permanent electronic records to the National Archives in acceptable formats with appropriate metadata.	58	22%
	Total number of responses to this question	263	100%

Federal Electronic Records and Email Management Report 2020			
Part II: Email Management			
1. Which of these levels best describes the state of your email policies?			
Level/Points	Answer Options	Count per answer option	Percent to total responses
0	No email policies exist; relevant stakeholders have not been identified; senior-level email is not managed in any way; and there are no policies related to the loss of email records.	4	2%
1	Email policies are being drafted, and there is a general awareness of both the roles and responsibilities for managing email records and of the risk of loss of email records.	14	5%
2	Email policies address general use of email only; relevant stakeholders have been identified; roles and responsibilities for email management have been defined; and there is an awareness of the risk of loss of email records.	32	12%
3	Email policies have been developed and disseminated; stakeholders, including the Chief Information Officer, Records Managers, and General Counsel, are involved in making policy and other decisions regarding email; there are policies governing holds on email records or accounts; policies include use of personal or non-official email accounts; and there are policies and procedures protecting against the loss of email records.	90	34%
4	Email policies are in place and implemented throughout the agency; all staff (including senior staff) have been trained on their roles and responsibilities for managing email including use of personal or non-official email accounts; records management staff and/or Inspector General perform periodic audits of email policies to ensure proper use and implementation; and annual mandatory records and information management (RIM) and information security training include roles and responsibilities regarding email.	125	47%
	Total number of responses to this question	265	100%

2.1 Which of these levels best describes the state of your email systems?			
Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Email is managed in disparate systems; email is managed by the end user; and no retention is applied.	10	4%
1	Systems retain temporary email records up to 180 days only, and print and file is the main method of preservation for email.	0	0%
2	Some centralized administration of email systems exists; there is limited identification of permanent email; and email is manually managed by the end user based on retention schedules.	29	11%
3	Administration of email systems is specifically assigned; temporary and permanent email categories are identified; systems are under development to handle the implementation of agency policies and lifecycle management; and electronic retention is the main method for the preservation of email.	55	21%
4	Email systems manage and preserve email in electronic format; limited end user input is needed to apply proper retention and disposition policies; permanent email is identified and managed; email systems maintain the content, context, and structure of the records; and email records are associated with their creator.	170	64%
	Total number of responses to this question	264	100%

2.2 Which of the following best describes how well your email system audits/tracks email records use, including all events and actions related to the email record by person and non-person entities?			
Level/Points	Answer Options	Count per answer option	Percent to total responses
0	Systems do not audit or track use of email records.	21	8%
1	Systems could generate reports to audit/track use of email records but the agency is not considering tracking use of email records.	17	6%
2	Systems could generate reports to audit/track use of email records and the agency is considering whether or not to track use of email records.	21	8%
3	Systems can generate reports. The agency does some auditing/tracking of the use of email records.	85	32%
4	Systems generate reports, both routine and customized, to demonstrate effective controls and compliance with the requirements for managing email records including the ability to audit/track use of email records, including all events and actions related to the email record by person entities and non-person entities, changing the level of email record access, and changes in the location of email records.	121	46%
	Total number of responses to this question	265	100%

3. Which of these levels best describes the usability and retrievability of your email throughout its lifecycle?			
Level/Points	Answer Options	Count per answer option	Percent to total responses
0	There is no attempt to determine whether or not email can be accessed beyond immediate business needs; there is no management of email of departed employees; producing email for requests is difficult, costly, and not always feasible; agency has multiple email systems that do not relate to each other and are not searchable across multiple accounts or systems; there are little or no safeguards in place for unauthorized access, unintentional modification or destruction; no defined processes exist for maintaining records making access and retrieval difficult; processes are performed in an ad hoc manner; and there is no formal definition or classification of email records.	5	2%
1	Email records are retrievable through system backups or other means; there is minimal management of email of departed employees; producing email for requests is achievable but time consuming and costly; there is limited training or other awareness of the security of email; and processes for maintaining email records are starting to be standardized agency-wide.	22	8%
2	Email records are included in a draft retention schedule pending approval; email of departing employees is maintained until someone can review; formal processes exist in order for records to be accessed and retrieved in a timely manner; standardized RIM lifecycle processes have been developed across the agency making access and retrieval of email records more reliable; and standardized processes for access and retrieval are beginning to be promulgated across the agency.	12	5%
3	Email is retrievable during the normal course of business; the email system has procedures for providing reference and responses for email requests; security and privacy protocols are included in the system; processes for the identification and classification of email records are standardized across the agency making access and retrieval reliable; and records are usually accessed and retrieved in a timely manner.	107	41%
4	Email is fully retrievable for requests; email review, preservation, and disposition is embedded into the processes for departing employees; records management controls are built into the email system to prevent unauthorized access, modification or destruction; processes for the identification and classification of email records are documented and integrated with agency business and mission at the strategic level.	118	45%
	Total number of responses to this question	264	100%

4. Which of these levels best describes the state of your disposition of email?			
Level/Points	Answer Options	Count per answer option	Percent to total responses
0	There is no retention schedule specifically covering email; disposition of email is not being done; and permanent email records have not been identified.	9	3%
1	Agency is beginning to work with NARA to create a retention schedule specifically covering email; disposition of email is handled haphazardly by the end user; and there is some identification of permanent and temporary email records.	13	5%
2	Retention schedule covering email is in draft form but not yet approved, and disposition of email is handled with limited training for the end user.	32	12%
3	Retention schedule covering email has been approved by NARA; end users are trained to oversee the disposition of email records; and permanent records are identified and maintained until transfer to the National Archives.	96	36%
4	Retention schedule covering email has been approved by NARA; retention schedules are built into email management systems; permanent records are identified and captured by email management systems; and permanent records can be or have been successfully transferred to the National Archives.	115	43%
	Total number of responses to this question	265	100%

APPENDIX IV: RMSA VALIDATION STRATEGY

Each year, we validate a random sample of agencies' responses to selected questions. For 2020 we selected 24 questions.

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. In order to determine the impact of these answer options we compared data from 2018-2020 from selected questions and randomly selected agencies that chose these options in all three years. For those in this group we compared recently inspected agencies where policies were discussed.

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 2020 SAORM reports/ and internal NARA tracking spreadsheet	98% (261/266) correct. 2% (5/266) incorrect.
6,7,9, 10,14- 15,23, 25- 31,48	Policies and Procedures	Using a random sample of agencies comparing use of 'under development' or 'pending approval' from 2018, 2019 with 2020 - did they still respond the same, requesting explanation. The majority of explanations centered on agency policy approval processes and recent re-organizations and relocations that impacted policy approvals.	100% (14/14) answered appropriately based on data gathered through agency inspections in 2020-2021.
57	Last Records Schedule Submission to NARA	Using responses that indicated the last schedule submitted in FY 2019-2020. Verify using Electronic Records Archives data and internal NARA tracking database	87.5% (133/152) correct. 12.5% (19/152) incorrect.
59-60	Schedules older than 1990	Random sample (10%) of all answers. Verify using internal NARA resources	81% (22/77) correct. 19% (5/17) incorrect.

		Validation Strategy and Results	
Q#	**Topic**	**Validation Method**	**Results**
63	Disposition authority for email records	Random sample (10%) of those answering "use of GRS 6" and "Agency specific email schedules". Verify using submitted NA-1005's and other internal NARA resources	100% (21/21) correct.
68	Transfer of Permanent Non-Electronic Records	Using all responses. Compare responses with the National Archives tracking eligibility and actual transfers of permanent records.	82% (218/266) correct. 18% (48/266) incorrect.
69	Transfer of Permanent Electronic Records	Using all responses. Compare responses with the National Archives tracking eligibility and actual transfers of permanent records.	93% (247/266) correct. 7% (19/266) incorrect.
87-88	Assign Agency Records Officer	Using all responses. Verify using internal NARA tracking of Agency Records Officer assignments and changes.	100% (266/266) correct.

APPENDIX V: NON-RESPONDING EXECUTIVE BRANCH AGENCIES

Senior Agency Official for Records Management Annual Report

U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)

United States Office of Special Counsel

Federal Electronic Records and Email Management Maturity Model Report

Administrative Office of the United States Courts
Chemical Safety and Hazard Investigation Board
Harry S. Truman Scholarship Foundation
Presidio Trust
U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)
United States African Development Foundation
Unites States Tax Court (Declined)

Records Management Self-Assessment
Administrative Office of the United States Courts
Chemical Safety and Hazard Investigation Board
Harry S. Truman Scholarship Foundation
Presidio Trust
U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)
United States African Development Foundation