

## 1. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

## 2. Please provide the person's name, position title, and office.

Text Response

(b) (6) , Agency Records Officer, Records Management Staff

## 3. How long has this person been responsible for coordinating and overseeing the implementation of the records management program?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 5 or more years		0	0%
2	<input checked="" type="checkbox"/> 3 to 4 years		1	100%
3	<input checked="" type="checkbox"/> 1 to 2 years		0	0%
4	<input checked="" type="checkbox"/> Less than a year		0	0%
Total			1	

## 4. Does your agency have a Senior Agency Official for Records Management (SAORM)? (If you are a component of a department, you may answer "Yes," even if this is not being done at the component level.)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

## 5. Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's goals?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

## 6. Does your agency use the Records and Information Management Series, 0308, job series released by the Office of Personnel Management in 2015?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, my agency does not use the General Schedule (GS) job classification		0	0%
Total			1	

## 7. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency has less than 100 employees		0	0%
5	<input checked="" type="checkbox"/> Not applicable, Departmental Records Officer this is done at the component level		0	0%
Total			1	

8. Of the following, please select the one that best describes your records management staff. This includes only those specifically assigned to the records management program.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> All records management staff are agency personnel		1	100%
2	<input checked="" type="checkbox"/> All records management staff are contractors		0	0%
3	<input checked="" type="checkbox"/> Records management staff includes both agency personnel and contractors		0	0%
Total			1	

9. How many FTE agency personnel (non-contractors) are specifically assigned records management responsibilities? (These are individuals directly responsible for records management program implementation, not contacts within mission areas with minimal records management duties.) \*For Department Records Officers, please include only the staff at the Department level, not agency components, as component agency records officers will be answering for their agencies.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> <1		0	0%
2	<input checked="" type="checkbox"/> 1		0	0%
3	<input checked="" type="checkbox"/> 2 - 10		1	100%
4	<input checked="" type="checkbox"/> 10 - 20		0	0%
5	<input checked="" type="checkbox"/> More than 20		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
	<input checked="" type="checkbox"/> Not available		0	0%
8	<input checked="" type="checkbox"/> Not applicable, all records management staff are contractors		0	0%
Total			1	

10. If your agency uses contractors, how many contractor FTE are specifically assigned records management responsibilities? (These are individuals directly responsible for records management program implementation, not general contacts within mission areas with minimal records management duties.) \*For Department Records Officers, please include only the staff at the Department level, not agency components, as component agency records officers will be answering for their agencies.

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> <1		0	0%
2	<input checked="" type="checkbox"/> 1		0	0%
3	<input checked="" type="checkbox"/> 2 - 10		0	0%
4	<input checked="" type="checkbox"/> 10 - 20		0	0%
5	<input checked="" type="checkbox"/> More than 20		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
	<input checked="" type="checkbox"/> Not available		0	0%
8	<input checked="" type="checkbox"/> Not applicable, all records management staff are agency personnel		1	100%
Total			1	

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, pending final approval		0	0%
3	<input checked="" type="checkbox"/> No, under development		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

12. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 201 - present		1	100%
2	<input checked="" type="checkbox"/> FY 2015 - 2016		0	0%
3	<input checked="" type="checkbox"/> FY 2013 - 2014		0	0%
4	<input checked="" type="checkbox"/> FY 2012 or earlier		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
	<input checked="" type="checkbox"/> Not applicable, agency does not have a records management directive		0	0%
Total			1	

13. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

14. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

15. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

16. Is records management training included in the in-processing for new employees in your agency?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

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

Text Response

18. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

19. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, pending final approval		0	0%
4	<input checked="" type="checkbox"/> No, under development		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

20. 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? \*\* 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Records Management Program		1	100%
2	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Office of Inspector General		0	0%
3	<input checked="" type="checkbox"/> Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General		0	0%
4	<input checked="" type="checkbox"/> Yes, evaluations are conducted by		0	0%
5	<input checked="" type="checkbox"/> No, please explain		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

Yes, evaluations are conducted by:

No, please explain

21. How often is your records management program, or a major component of your program, evaluated for compliance with agency records management policies and procedures?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually		1	100%
2	<input checked="" type="checkbox"/> Bi annually		0	0%
3	<input checked="" type="checkbox"/> Once every 3 years		0	0%
4	<input checked="" type="checkbox"/> Ad hoc		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

22. Was a formal written report prepared as part of the most recent inspection/audit/review?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

23. Do your agency's evaluation procedures include creating plans of corrective action that are monitored for implementation?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, agency does not evaluate its records management program		0	0%
Total			1	

24. Has your agency established performance goals for its records management program? \*Examples of performance goals include but are not limited to: • Identifying and scheduling all paper and non-electronic records by the end of FY 2017 • Developing computer-based records management training modules by the end of FY 2017 • Planning and piloting an electronic records management solution for email by the end of FY 2018 • Updating records management policies by the end of the year • Conducting records management evaluations of at least one program area each quarter

#	Answer	Bar	Response	%
1	✓ Yes	<div style="width: 100%;"></div>	1	100%
2	✗ No		0	0%
3	✓ Currently under development		0	0%
4	✗ Do not know		0	0%
5	✓ Pending final approval		0	0%
Total			1	

25. 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	Bar	Response	%
1	✓ Yes	<div style="width: 100%;"></div>	1	100%
2	✗ No		0	0%
3	✓ Currently under development		0	0%
4	✗ Do not know		0	0%
5	✓ Pending final approval		0	0%
Total			1	

26. 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	Bar	Response	%
1	✓ Yes	<div style="width: 100%;"></div>	1	100%
2	✗ No		0	0%
3	✓ No, pending final approval		0	0%
4	✓ No, under development		0	0%
5	✗ Do not know		0	0%
Total			1	

27. Is your agency subject to laws or regulations that require you to conduct business using paper or analog records? \*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	Bar	Response	%
1	✗ Yes	<div style="width: 100%;"></div>	1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
Total			1	

28. Which of the following possible examples of requirements for paper or analog records apply to your agency's needs? (Choose all that apply)

#	Answer	Bar	Response	%
1	✗ Wet signatures are required for transactions with non Federal entities (including the public)	<div style="width: 100%;"></div>	1	100%
3	✗ Transactions are required to be conducted using paper / hard copy	<div style="width: 100%;"></div>	1	100%
4	✗ Agency is required to offer paper / hard copy as an available option for transactions	<div style="width: 100%;"></div>	1	100%
5	✗ Other, please be specific	<div style="width: 100%;"></div>	1	100%
6	✗ Do not know		0	0%
	✗ Comments (Optional)		0	0%
8	✗ Wet signatures are required for transactions between Federal agencies	<div style="width: 100%;"></div>	1	100%

Other, please be specific:

Wet signature, internal use only for PACS paper documents until they age out and/or the new electronic system is fully functional

Comments: (Optional)

29. 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	Bar	Response	%
1	✓ Yes	<div style="width: 100%;"></div>	1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
Total			1	

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

#	Answer	Bar	Response	%
1	✓ Annually		0	0%
2	✓ Bi annually		1	100%
3	✓ Once every 3 years		0	0%
4	✗ Never		0	0%
5	✗ Do not know		0	0%
6	✓ Ad hoc		0	0%
Total			1	

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	✗ No		0	0%
3	✗ Do not know		0	0%
Total			1	

### 32. Does your agency have policies in place to protect records and information from internal and external risks?

#	Answer	Bar	Response	%
1	✗ Yes		1	100%
2	✗ No		0	0%
3	✗ No pending final approval		0	0%
4	✗ No under development		0	0%
5	✗ Do not know		0	0%
Total			1	

### 33. The Agency Records Officer and the FOIA Officer:

#	Answer	Bar	Response	%
1	✗ Are the same person		0	0%
2	✗ Coordinate closely together		0	0%
3	✗ Work together sometimes		1	100%
4	✗ Never work together		0	0%
Total			1	

**34. Are the Agency Records Officer and the FOIA Officer in the same office/division within your agency?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Agency Records Officer and the FOIA Officer are the same person		0	0%
Total			1	

**35. Records needed to respond to a FOIA request are readily accessible and located by staff responsible for FOIA:**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Always		0	0%
2	<input checked="" type="checkbox"/> Most of the time		1	100%
3	<input checked="" type="checkbox"/> Some of the time		0	0%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**36. Staff responsible for FOIA can search for records without contacting others (i.e. program offices):**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Always		0	0%
2	<input checked="" type="checkbox"/> Most of the time		0	0%
3	<input checked="" type="checkbox"/> Some of the time		1	100%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**37. At what point in the FOIA process does your agency inform requesters of the Office of Government Information Services' (OGIS) dispute resolution services? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> When there is an adverse determination		1	100%
2	<input checked="" type="checkbox"/> When notifying the requester that the agency needs more than 10 additional days to process a request		0	0%
3	<input checked="" type="checkbox"/> When responding to the requester's appeal		1	100%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Other, please explain		1	100%

Other, please explain

We notify the requester of the availability of Government Information Services (OGIS) when sending a response letter to the requester

**38. What mode does your agency most often use to release records under FOIA?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Email		0	0%
2	<input checked="" type="checkbox"/> Online portal		1	100%
3	<input checked="" type="checkbox"/> U S mail		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

**39. In 2015, NARA and the Federal Records Management Council introduced the Federal RIM Program Maturity Model. Are you familiar with this or other maturity models?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Comments (Optional)		0	0%

Comments: (Optional)

**40. Are you using the Federal RIM Program Maturity Model or other maturity models to measure the maturity of the records management program?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Comments (Optional)		0	0%

Comments: (Optional)

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Comments (Optional) Please include in your comments how you use the Records Management Self Assessment		0	0%
Comments (Optional): Please include in your comments how you use the Records Management Self-Assessment.				

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

Text Response

**43. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes, all records are easily retrievable and accessible when needed	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> Most records can be retrieved and accessed in a timely manner		0	0%
3	<input checked="" type="checkbox"/> Some records can be retrieved and accessed in a timely manner		0	0%
4	<input checked="" type="checkbox"/> No		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**45. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**46. What method(s) does your agency use? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Post to internal website or other shared information location	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> Memorandum or email notification	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> Update training materials	<div style="width: 100%;"></div>	1	100%
4	<input checked="" type="checkbox"/> Update records management policies and/or handbooks	<div style="width: 100%;"></div>	1	100%
5	<input checked="" type="checkbox"/> Other, please explain		0	0%
Other, please explain				

**47. Does your agency have a method of continually identifying new and unscheduled records?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	



48. Which method(s) does your agency use? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Regular surveys		1	100%
2	<input checked="" type="checkbox"/> Regular inventories		1	100%
3	<input checked="" type="checkbox"/> Records management evaluations, site assessments, or audits of program offices		1	100%
4	<input checked="" type="checkbox"/> Work with program managers to identify new programs and related records		1	100%
5	<input checked="" type="checkbox"/> Work with Privacy Officer and review SORNs (Systems of Records Notices)		0	0%
6	<input checked="" type="checkbox"/> Work with FOIA Officer		0	0%
	<input checked="" type="checkbox"/> Records Liaison Officers notify Agency Records Officer of new record series		1	100%
8	<input checked="" type="checkbox"/> Require use and annual update of file plans		1	100%
9	<input checked="" type="checkbox"/> Participate in design and retirement of information systems and note changes in records		1	100%
10	<input checked="" type="checkbox"/> Outreach and awareness		0	0%
11	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain

49. Does your agency have permanent records that are 30 years old or older that are located in agency office space, agency-operated records centers, and/or commercial records centers? (36 CFR 1235.12(b) and M-12-18))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

50. Are you aware of the requirement to formally request permission from NARA to retain permanent records beyond that time specified in your agency's NARA-approved records schedules as outlined in 36 CFR 1235.14 and 1235.16?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
Total			1	

51. Did your agency transfer permanent non-electronic records to NARA during FY 2017? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No No records were eligible for transfer during FY 201		0	0%
4	<input checked="" type="checkbox"/> No New agency, records are not yet old enough to transfer		0	0%
5	<input checked="" type="checkbox"/> No My agency does not have any permanent non electronic records		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

52. Did your agency transfer permanent electronic records to NARA during FY 2017? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> No No electronic records/systems were eligible for transfer during FY 201		1	100%
5	<input checked="" type="checkbox"/> No New agency, electronic records/systems are not old enough to transfer		0	0%
	<input checked="" type="checkbox"/> Do not know		0	0%
8	<input checked="" type="checkbox"/> Other, please explain		0	0%
9	<input checked="" type="checkbox"/> No My agency does not have any permanent electronic records		0	0%
Total			1	

Other, please explain

53. Does your agency track when its permanent records (regardless of format) are due to be transferred to NARA?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	

Not applicable, please explain

**54. What method(s) does your agency use to track its permanent records? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Rely on Federal Records Center notifications		1	100%
2	<input checked="" type="checkbox"/> Maintain an inventory		1	100%
3	<input checked="" type="checkbox"/> Database or other automated tracking		1	100%
4	<input checked="" type="checkbox"/> Manual tracking		0	0%
5	<input checked="" type="checkbox"/> Other, please explain		0	0%
Other, please explain				

**55. Does your agency conduct, and document for accountability purposes, training and/or other briefings as part of the on-boarding process for senior officials on their records management roles and responsibilities, including the appropriate disposition of records and the use of personal and unofficial email accounts? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))**

#	Answer	Bar	Response	%
8	<input checked="" type="checkbox"/> Yes		1	100%
9	<input checked="" type="checkbox"/> Yes, but not documented		0	0%
10	<input checked="" type="checkbox"/> No		0	0%
11	<input checked="" type="checkbox"/> Do not know		0	0%
12	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	
Not applicable, please explain				

**56. 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? (Not scored)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> Yes, but not documented		0	0%
3	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	
Not applicable, please explain				

**58. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**59. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	
No, please explain				

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**61. Does the facility comply with the standards prescribed by 36 CFR 1234?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**63. Does the records center comply with the standards prescribed by 36 CFR 1234?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**65. Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234.10, 36 CFR 1234.12, and 36 CFR 1234.14? \*It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**66. Please estimate the volume of inactive temporary records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 0 1,000		0	0%
2	<input checked="" type="checkbox"/> 1,000 5,000		0	0%
3	<input checked="" type="checkbox"/> 5,000 15,000		0	0%
4	<input checked="" type="checkbox"/> 15,000 25,000		0	0%
5	<input checked="" type="checkbox"/> 25,000 50,000		0	0%
6	<input checked="" type="checkbox"/> 50,000 100,000		0	0%
	<input checked="" type="checkbox"/> 100,000 250,000		0	0%
8	<input checked="" type="checkbox"/> 250,000 or greater	<div style="width: 100%;"></div>	1	100%
Total			1	

**67. Please estimate the volume of inactive permanent records, in cubic feet, that your agency is storing in a non-NARA storage facility. (A cubic foot is equivalent to one records storage box.)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 0 1,000		1	100%
2	<input checked="" type="checkbox"/> 1,000 5,000		0	0%
3	<input checked="" type="checkbox"/> 5,000 15,000		0	0%
4	<input checked="" type="checkbox"/> 15,000 25,000		0	0%
5	<input checked="" type="checkbox"/> 25,000 50,000		0	0%
6	<input checked="" type="checkbox"/> 50,000 100,000		0	0%
	<input checked="" type="checkbox"/> 100,000 250,000		0	0%
8	<input checked="" type="checkbox"/> 250,000 or greater		0	0%
	Total		1	

**68. Did your agency receive a list of permanent records eligible for transfer in FY 2017?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, my agency does not store records in the Federal Records Centers		0	0%
	Total		1	

**69. Did your agency submit transfer requests in FY 2017 based on the Annual Move list of eligible permanent records to be accessioned by the National Archives?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
	Total		1	

No, please explain

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

Text Response

**71. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
5	<input checked="" type="checkbox"/> To some extent		0	0%
	Total		1	

Not applicable, please explain

**72. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> No, pending final approval		0	0%
5	<input checked="" type="checkbox"/> No, under development		0	0%
	Total		1	

**73. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems? (36 CFR 1235.20(b)(6))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
5	<input checked="" type="checkbox"/> To some extent		0	0%
Total			1	
Not applicable, please explain				

**74. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	
No, please explain				

**75. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	
No, please explain		Not applicable, please explain		

**76. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> To some extent		0	0%
3	<input checked="" type="checkbox"/> No, please explain		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, please explain		0	0%
Total			1	
No, please explain		Not applicable, please explain		

**77. Which of these activities does your agency's records management program staff participate in to ensure that records requirements are part of the recommended solution? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Participate in review and acceptance of proposals for new systems		0	0%
2	<input checked="" type="checkbox"/> Participate as stakeholder in requirements gathering	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> Participate as stakeholder in design phase	<div style="width: 100%;"></div>	1	100%
4	<input checked="" type="checkbox"/> Participate as stakeholder in development phase including testing the system		0	0%
5	<input checked="" type="checkbox"/> Provide sign off authority for the implementation of new systems	<div style="width: 100%;"></div>	1	100%
6	<input checked="" type="checkbox"/> Monitor system for adherence to standards, policies, and procedures		0	0%
	<input checked="" type="checkbox"/> Provide information only		0	0%
8	<input checked="" type="checkbox"/> Do not know		0	0%
9	<input checked="" type="checkbox"/> Other, please explain		0	0%
Other, please explain				

**78. Does your agency have documented and approved policies requiring permanent electronic records be managed in an electronic format for eventual transfer to NARA?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> No, under development		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**79. Does your agency have protections against unauthorized use, alteration, alienation or deletion of all electronic records?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**80. Does your agency have the capability to place legal holds on all electronic records until disposition is authorized?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**81. Does your agency comply with the requirements under Executive Orders 13526 and 13556 for managing classified and controlled unclassified information in systems that contain electronic records?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Not applicable, not an executive branch agency		0	0%
Total			1	

**82. Does your agency have the ability to search across all systems to find electronic records needed for agency business, FOIA and other information requests?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**83. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> To some extent		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**84. Does your agency manage your web content as records?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**85. How does your agency capture web content managed as records? (Choose all that apply)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Content is printed and filed		0	0%
2	<input checked="" type="checkbox"/> Content is captured manually through periodic web snapshots		0	0%
3	<input checked="" type="checkbox"/> Content is automatically harvested using specific tools		1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
5	<input checked="" type="checkbox"/> Other, please explain		0	0%

Other, please explain

## 86. Web content management includes: (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Identifying location of record copy whether online or offline		0	0%
2	<input checked="" type="checkbox"/> Identifying the program office responsible for official record copy		0	0%
3	<input checked="" type="checkbox"/> Records retention scheduling of web content		0	0%
4	<input checked="" type="checkbox"/> Preservation of record copy in accordance with retention schedule		1	100%
5	<input checked="" type="checkbox"/> Migration of content when websites updated		0	0%
6	<input checked="" type="checkbox"/> Maintaining access throughout the life cycle even if removed from the website		0	0%
7	<input checked="" type="checkbox"/> Managing convenience copies as duplicates and applying disposition as needed		0	0%
8	<input checked="" type="checkbox"/> Transfer of permanent web records to the National Archives		0	0%
9	<input checked="" type="checkbox"/> Other please explain		0	0%

Other, please explain

## 87. Does your agency use cloud services?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
	Total		1	

## 88. For what purpose(s) is your agency using cloud services? (Choose all that apply)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Email		0	0%
2	<input checked="" type="checkbox"/> Administrative functions such as payroll purchasing and financial management		1	100%
3	<input checked="" type="checkbox"/> Mission/program related functions		0	0%
4	<input checked="" type="checkbox"/> Other please explain		1	100%
5	<input checked="" type="checkbox"/> Do not know		0	0%

Other, please explain

Google Analytics

**89. Are recordkeeping requirements included?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
3	<input checked="" type="checkbox"/> No		0	0%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**90. Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? (OMB Circular A-130, Managing Information as a Strategic Resource)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**91. Does your agency have documented and approved policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No, please explain		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

No, please explain

**92. 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 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records – Appendix A: Tables of File Formats, Section 9 - Email, <https://www.archives.gov/records-mgmt/policy/transfer-guidance-tables.html>? (36 CFR 1236.22(e))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**93. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013-03) \* Examples of business needs may include but are not limited to: Using separate accounts for public and internal correspondence Creating accounts for a specific agency initiative which may have multiple users Using separate accounts for classified information and unclassified information**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	0	0%
2	<input checked="" type="checkbox"/> No		1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**94. Does your agency have documented and approved policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> No, pending final approval		0	0%
5	<input checked="" type="checkbox"/> No, under development		0	0%
Total			1	

**95. Does your agency allow the use of personal email accounts to conduct official business? (36 CFR 1236.22(b))**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	



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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> No, pending final approval		0	0%
5	<input checked="" type="checkbox"/> No, under development		0	0%
Total			1	

97. 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	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Captured and stored in an email archiving system		1	100%
2	<input checked="" type="checkbox"/> Captured and stored in an electronic records management system		0	0%
3	<input checked="" type="checkbox"/> Captured and stored as personal storage table ( PST files		0	0%
4	<input checked="" type="checkbox"/> Print and file		0	0%
5	<input checked="" type="checkbox"/> Not captured and email is managed by the end user in the native system		0	0%
6	<input checked="" type="checkbox"/> Other, please be specific		0	0%

Other, please be specific

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

100. How often does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually		1	100%
2	<input checked="" type="checkbox"/> Bi annually		0	0%
3	<input checked="" type="checkbox"/> Once every 3 years		0	0%
4	<input checked="" type="checkbox"/> Ad hoc		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

101. Which of the following has your agency chosen for retention scheduling of email?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> GRS 6 1 Email Managed under a Capstone Approach		1	100%
2	<input checked="" type="checkbox"/> Agency specific schedule		0	0%
3	<input checked="" type="checkbox"/> Combination of agency specific schedule and GRS 6 1		0	0%
4	<input checked="" type="checkbox"/> Email retention has not been scheduled		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
6	<input checked="" type="checkbox"/> Other, please explain		0	0%
Total			1	

Other, please explain

**102. Is your agency able to access email from departed employees in a usable format?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> To some extent		0	0%
Total			1	

**103. Is your agency able to prevent unauthorized access, modification, or destruction of emails?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> To some extent		0	0%
Total			1	

**104. Can your agency transfer permanent email records to the National Archives in accordance with agency records schedules or General Records Schedules and NARA regulations and guidance?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> To some extent		0	0%
Total			1	

**105. Is your agency able to decrypt permanent email records before they are accessioned by NARA?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

**106. Does your agency have an approved records schedule covering electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> No, pending final approval		0	0%
5	<input checked="" type="checkbox"/> No, under development	<div style="width: 100%;"></div>	1	100%
Total			1	

**107. Does your agency have documented and approved policies and procedures in place to manage electronic messages including text messages, chat/instant messages, voice messages, and messages created in social media tools or applications?**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
4	<input checked="" type="checkbox"/> Other, please explain		0	0%
5	<input checked="" type="checkbox"/> No, pending final approval		0	0%
6	<input checked="" type="checkbox"/> No, under development		0	0%
Total			1	

Other, please explain

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

Text Response

### 109. Does the records management program have a dedicated budget?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

### 110. Please report actual obligations for records management purposes incurred in FY 2017 for each of the

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign)	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		0	0%
4	<input checked="" type="checkbox"/> Not applicable all records management staff are contractors		0	0%
Total			1	

Please enter dollar amount (without the \$ sign):

1 132 322 38

### 111. Records Storage Contracts and Inter-Agency Agreements (paper and analog formats):

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign)	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		0	0%
Total			1	

Please enter dollar amount (without the \$ sign):

1 033 296 00

### 112. Records Management IT Systems and Electronic Records Storage:

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign)	<div style="width: 100%; height: 10px; background-color: blue;"></div>	1	100%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		0	0%
Total			1	

Please enter dollar amount (without the \$ sign):

540 000

**113. Travel and Transportation for records management purposes:**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign)		1	100%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		0	0%
Total			1	

Please enter dollar amount (without the \$ sign):

See Comments Below

**114. Records Management Training:**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign)		1	100%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		0	0%
Total			1	

Please enter dollar amount (without the \$ sign):

See Comments Below

**115. Other:**

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Please enter dollar amount (without the \$ sign)		0	0%
2	<input checked="" type="checkbox"/> Do not know		0	0%
3	<input checked="" type="checkbox"/> Prefer not to answer		0	0%
4	<input checked="" type="checkbox"/> Not applicable		0	0%
5	<input checked="" type="checkbox"/> Please enter additional category here (Please be specific)		0	0%

Please enter dollar amount (without the \$ sign):

Please enter additional category here: (Please be specific)

**116. Comments: (Optional)**

Text Response

Personnel Compensation and Benefits is for that of the Records Management Staff only. Travel and Transportation for RM purposes is dependent on agency appropriations and other agency priorities. No budget is allotted specifically for Records Management travel purposes. RM Staff conduct internal training, and if funds are available, some funds may be used for NARA sponsored training.

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> 500,000 or more FTEs		0	0%
2	<input checked="" type="checkbox"/> 100,000 - 499,999 FTEs		0	0%
3	<input checked="" type="checkbox"/> 10,000 - 99,999 FTEs		1	100%
4	<input checked="" type="checkbox"/> 1,000 - 9,999 FTEs		0	0%
5	<input checked="" type="checkbox"/> 100 - 999 FTEs		0	0%
6	<input checked="" type="checkbox"/> 1 - 99 FTEs		0	0%
	<input checked="" type="checkbox"/> Not Available		0	0%
Total			1	

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Senior Agency Official		1	100%
2	<input checked="" type="checkbox"/> Office of the General Counsel		0	0%
3	<input checked="" type="checkbox"/> Program Managers		1	100%
4	<input checked="" type="checkbox"/> FOIA Officer		1	100%
5	<input checked="" type="checkbox"/> Information Technology staff		1	100%
6	<input checked="" type="checkbox"/> Records Liaison Officers or similar		1	100%
	<input checked="" type="checkbox"/> Administrative staff		1	100%
8	<input checked="" type="checkbox"/> Other, please be specific		0	0%
9	<input checked="" type="checkbox"/> None		0	0%

Other, please be specific:

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Under 3 hours		0	0%
2	<input checked="" type="checkbox"/> More than 3 hours but less than 6 hours		0	0%
3	<input checked="" type="checkbox"/> More than 6 hours but less than 10 hours		0	0%
4	<input checked="" type="checkbox"/> Over 10 hours		1	100%
Total			1	

### 120. Did your agency's senior management review and concur with your responses to the 2017 Records Management Self-Assessment?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

### 121. Please provide your contact information.

Name	Agency, Bureau, or Office	Job Title	Email Address	Phone Number
(b) (6)	Social Security Administration	Agency Records Officer	(b) (6)	(b) (6)

### 122. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		1	100%
2	<input checked="" type="checkbox"/> No		0	0%
Total			1	

### 123. Please provide the Agency Records Officer's contact information.

Name	Email Address	Phone Number

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

Text Response

include "comment section" at each question and not just at the end of the section

### 125. Q\_URL

Value	Total
/SE/?S D=SV 3KSUMglxyns4UgB&Q DL=0Vd0peWUYw4JCdf 3KSUMglxyns4UgB MLRP 82E1oJbNHYeD40J&Q CHL=email&Q JFE=0	1

### 126. SSID

Value	Total

## 127. Score

Statistic	Value
Mean Score	99.00
Score Standard Dev at on	0.00
We ghted Mean of tems	0.71
We ghted S andard Dev at on of tems	1.26
tems	139.00