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Federal Agency Records Management
2022 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
July 2023

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.

Strong records management is necessary for transparency and accountability and underpins our democracy. Transitioning federal agencies to an electronic — or "paperless" — environment is a priority to enable and increase the ability of the public to engage with the government in new and more efficient and effective ways. It is critical that federal agencies move beyond paper-based processes and embrace the opportunities afforded to improve government by transitioning fully to an electronic environment. Memorandum M-19-21, *Transition to Electronic Records*, issued jointly by the Office of Management and Budget (OMB) and the National Archives and Records Administration (NARA), established several requirements to move federal agencies to a fully electronic environment, where appropriate. The December 23, 2022, OMB/NARA Memorandum M-23-07 reinforced the requirements established in M-19-21, reaffirmed the underlying goal of the transition to electronic records, and updated the previous target dates described in M-19-21 from December 31, 2022, to June 30, 2024. This memorandum also described NARA's plans to issue updated guidance, as appropriate.

The COVID-19 pandemic changed many work environments to a hybrid of in-office and remote work that highlighted the importance of electronic access to records. The value and importance of records and the ability to access them contributes to continuity and efficiency. Some of the technological advances are now part of the normal mission processes. These efforts are critical now and into the future as some of the records, information, and data created and collected today will become part of the Nation's history.

These and other efforts are captured in this year's annual report. Based on data we received from the three required agency 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 Report (FEREM), we are now able to share trends, challenges, and progress for federal agency records management programs across the government for CY 2022

NARA is committed to ensuring that federal agencies are successful in making the transition to digital government and is looking forward to working with federal agencies to accomplish the goals that have been put before us. While NARA does acknowledge the various challenges and competing 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.

DR. COLLEEN J. SHOGAN
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 2022 information and activities. NARA required three related but separate submissions: 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 (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) and OMB/NARA M-23-07, *Update to Transition to Electronic Records*. The response to the COVID-19 pandemic (2020-2022) required alternative means to access and capture records and intensified the need to make this transition. Many of these changes helped establish solutions to the transition and have become permanent changes to business processes.

The Federal Agency Records Management Annual Reporting has, since 2009, been one of the key methods NARA uses to gather and analyze information from agencies on the state of their federal records management programs. For the 2022 reporting period (January 9 through March 10, 2023), we received a 94-96% response rate for all three reports.

While dependent on self-reported data, the RMSA and FEREM 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 risk factors for the RMSA have been relatively constant with low-risk levels falling from its peak of 46% in 2021 to 41% in 2022; moderate-risk stable between 41% and 42%; and high-risk flat between 15% and 14%. The following graph shows the risk-level comparisons from 2018 to 2022.

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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.)
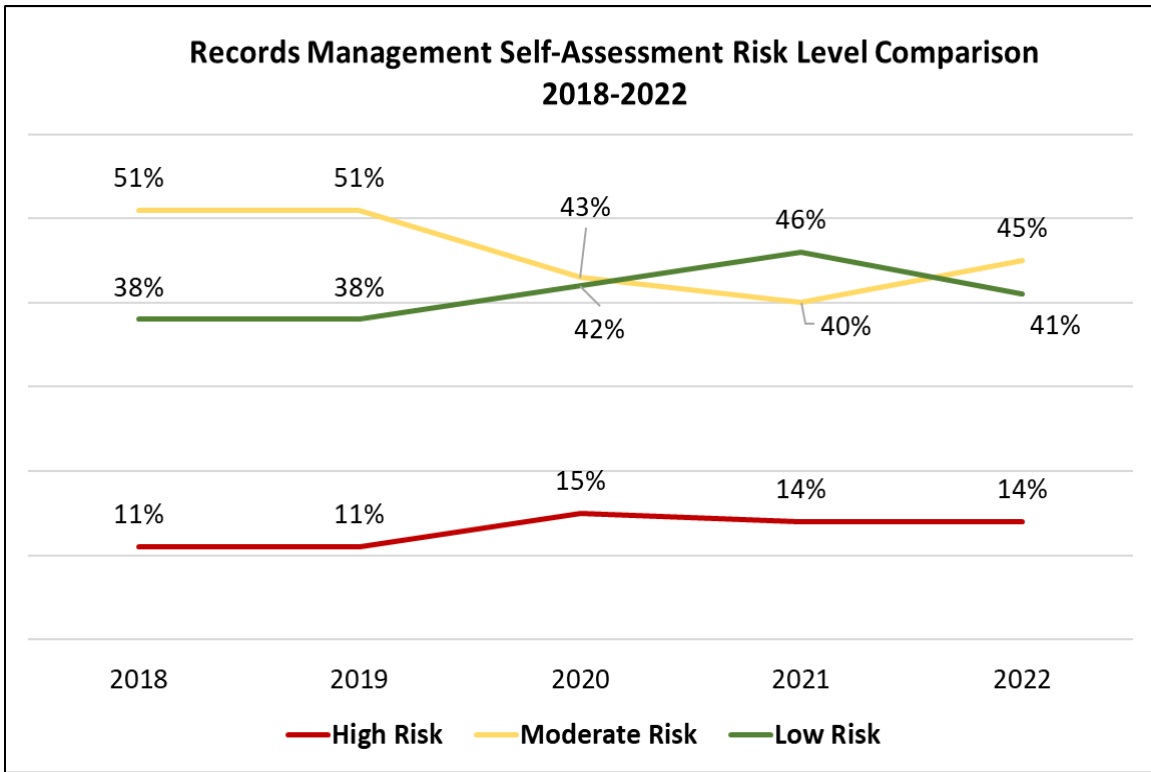
Figure 1: RMSA Risk Factor Comparison 2018-2022

The FEREM maturity model has been in use since 2019. The risk factor comparisons show the gradual rise in low-risk up to 65% in 2022 for electronic records. Email management is more mature than general electronic records management with low-risk up to 80% in 2022. Moderate and high-risk fell as expected with the rise in low-risk for both. The graphic below illustrates this gradual growth and comparisons between 2019-2022.
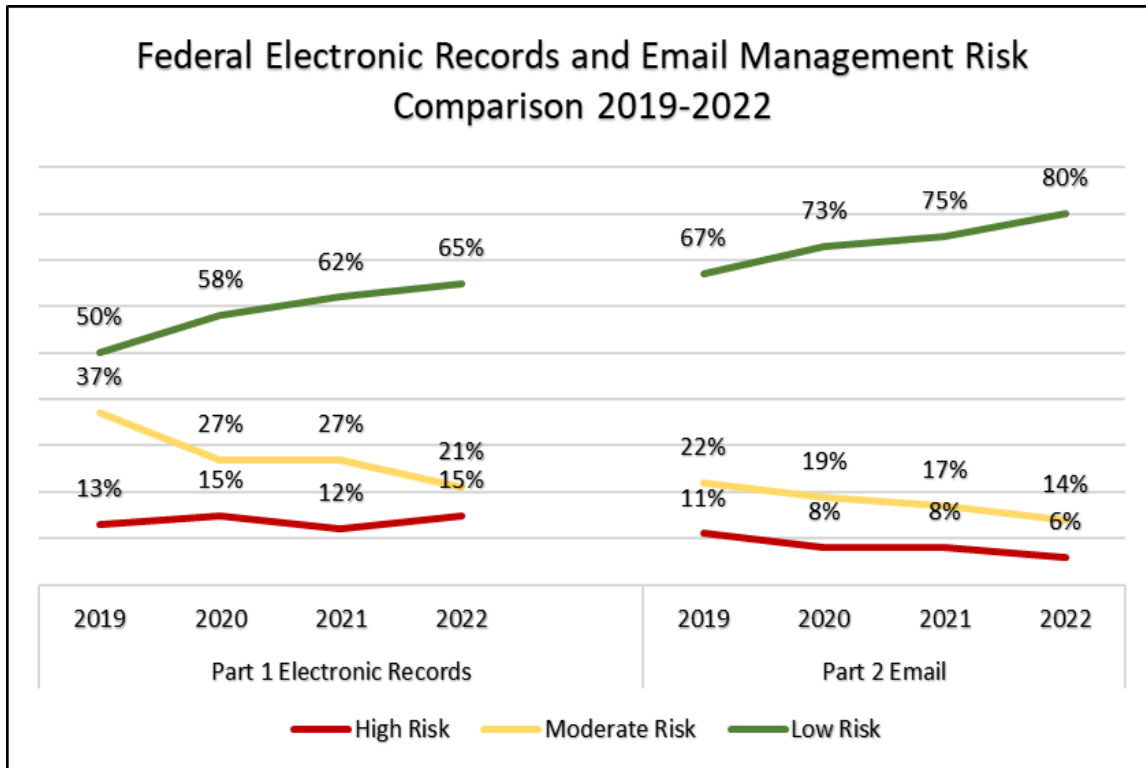
Figure 2: FEREM Parts I and II Risk Comparison 2019-2022

Key points highlighted in this report include:

- Most agencies (96%) indicated they will meet the goals for managing and transferring permanent records in electronic format (M-19-21/M-23-07, goals 1.1 and 1.2) with a little less confidence (93%) in meeting the goal to manage all temporary records in electronic format or storing them in in commercial storage (goal 1.3) by June 30, 2024.

- Some agencies (37%) are using or plan to use cognitive technologies for managing records.

- Less than half (40%) 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.

- The majority of Agency Records Officers (91-93%) have or will be obtaining NARA's Agency Records Officer Credential (AROC).

- Agencies have or are identifying permanent series for digitizing (74%), and are digitizing temporary records with the intent of making them the recordkeeping copy (64%).

This report provides a detailed analysis and appendices of the data for activities in CY 2022 and makes recommendations that the SAORM and other agency leadership should consider. The appendices also provide information on scoring, individual agency scores, validation exercises, statistical results of all RMSA and FEREM questions, and a list of those agencies not responding to NARA's reporting requirements. NARA uses annual reporting data to identify trends and risks, and to improve our ability to assist agencies by improving our policies and guidance. The transition to a digital government and fully electronic recordkeeping is a continuous process requiring sustained effort and a commitment to maturing the records management programs in each agency. Through other oversight activities, such as inspections and assessments, NARA continues to work with agencies to improve federal records management and accelerate the transition to a fully electronic and open government.

TABLE OF CONTENTS

INTRODUCTION

The National Archives and Records Administration (NARA) is responsible for overseeing and reporting to Congress on the state of records management across the federal 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 capture progress on strategic records management initiatives, including actions taken to promote 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 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 annual reports available online: https://www.archives.gov/records-mgmt/resources/reporting.

- 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 identified maturity levels 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/reporting.

For the 2022 reporting period (January 9 through March 10, 2023), we received a 94-96% response rate for all three reports. The content of the SAORM reports is analyzed for trends and challenges and is not scored or rated. The RMSA and FEREM reports receive numerical scores and risk factor ratings. 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.

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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] NARA's website for Universal ERM requirements.
[4] NARA's website for Email Success Criteria.

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. More importantly, agencies should be using reporting data to evaluate their own strengths and weaknesses and determine where their resources are most needed.

This report is divided into two sections that summarize our analysis of all three reports. The first section focuses on 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 a list of non-responding agencies.

SENIOR AGENCY OFFICIAL FOR RECORDS MANAGEMENT ANNUAL REPORTS

OVERVIEW

The federal government has been working towards modernization of its processes for many years, using and adapting to new technologies as necessary. Digital transformation of data and information, and thereby records, is leading changes in processes and decision making. Digital platforms and formats are transforming interactions within agencies and with the public, and the tactics used to achieve their missions. This also transforms the creation, management, access, and disposition of records and how records management fits into the overall management of data and information. Records management is an essential part of these changes.

To meet this challenge, the transition to fully electronic recordkeeping and building successful records management programs requires senior-level support and visibility at the executive level to establish long-term goals and strategic initiatives. The SAORM reports reflect these efforts and the support that records management programs are receiving.

The SAORM 2022 report template included 11 questions that gathered information about a variety of topics. It provided an opportunity for agencies to describe any permanent improvements to the management and preservation of electronic records resulting from the impact of the COVID-19 pandemic. There were four questions directly related to M-19-21 and M-23-07 targets. Additional topics included records management within information governance frameworks, preservation of electronic messages, use or exploration of cognitive technologies, and SAORM oversight of records management program effectiveness. The template also has two questions on how NARA can improve policy, guidance, and engagement with SAORMs. Agencies also used these questions to make other suggestions.

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 SAORM 2022 template offered agencies objective questions with the options to answer 'Yes,' 'No,' 'Do Not Know' and 'Not Applicable.' After each objective question, agencies were prompted to explain their choice and provide details. The SAORM template is available on NARA's Federal Agency Records Management Annual Reporting website. The following analysis is a combination of the objective responses and common trends found in the explanatory details.

The percentage of responses to the objective questions is shown in the table below:

Topic	Yes	No	Do not know	Not applicable
Permanent changes due to COVID-19	47%	27%	0%	26%
Permanent records in E-formats	96%	4%	0%	0%
Temporary records in E-formats	93%	7%	0%	0%
Records storage	65%	13%	2%	20%
IG policies/procedures include RM	80%	19%	1%	0%
Electronic messages capture	83%	16%	2%	0%
Cognitive technology use or exploration	37%	60%	1%	0%
SAORM oversight of RM	93%	6%	1%	0%
Suggestions for NARA policy/guidance	37%	60%	3%	0%
Suggestions for NARA SAORM engagement	20%	78%	2%	0%

Table 1: SAORM 2022 Report Objective Question Responses Statistics

COVID-19 Adaptations

At the onset of the COVID-19 pandemic in 2020, federal agencies adapted their business process to include more electronic or digital technology solutions as part of emergency continuity of operations. These adaptations impacted how records were created and maintained, as well as access to existing records when work shifted to accommodate limited access to offices. Some of the adaptations proved valuable and have become permanently part of the normal course of business as agencies transitioned to a hybrid of on-site and remote work in 2022.

When asked, 47% of agencies said they had made permanent changes while 27% said the changes were not made permanent. The remaining 26% indicated that their processes did not require changes. The following are the changes mentioned most often:

- Shifted to hybrid between telework/remote/on-site office work environment.
- Business processes updated to an electronic environment.
- Used collaboration tools, aids, and platforms.
- No changes because processes were already electronic prior to the pandemic.

M-19-21/M-23-07 Target Deadlines

M-23-07 reinforced the M-19-21 goals to manage, preserve and transfer all permanent records with permanent metadata in electronic format; to manage and preserve temporary records in electronic format; and extended the deadline from December 31, 2022, to June 30, 2024. The deadline to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers (FRC) or commercial storage facilities was also extended. This was done in part due to limited access to hard copy records during the COVID-19 pandemic, delays in digitization, and other efforts. Most agencies indicated they would most likely meet these goals, with a little less confidence in meeting storage goals by June 30, 2024.
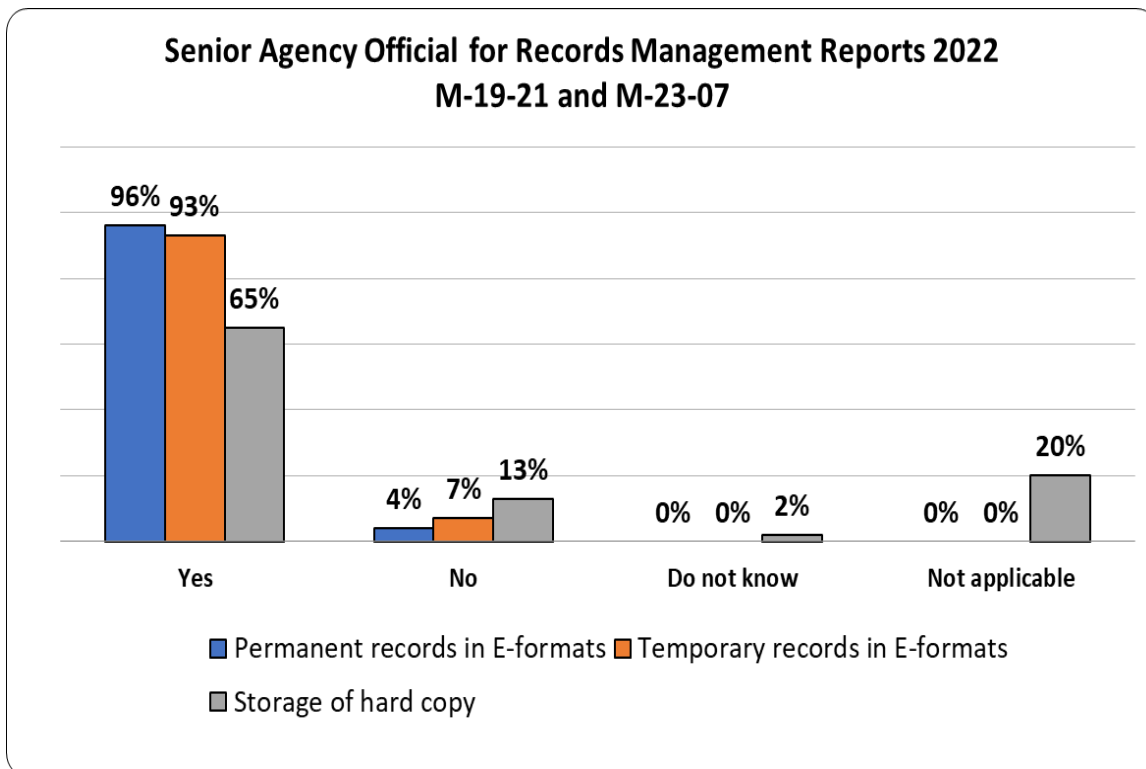
Figure 1: SAORMs respond to digital transformation target goals

The 2022 SAORM template specifically asked what actions have been taken to meet these goals and to explain the specific actions, challenges, and results. The actions taken to manage permanent and temporary records were basically the same:

- Use of an electronic recordkeeping or management system;
- Use of Microsoft Office 365/SharePoint;
- All or most records already created and maintained in electronic format with appropriate metadata;
- Activities such as identifying, inventorying records and/or metadata, and;
- Digitization strategies.

The data gathered for the closing of agency-operated records storage facilities and transferring inactive temporary records to the Federal Records Centers or commercial storage facilities was a little more nuanced. Forty-seven percent (47%) of agencies said they do not have agency-operated records storage facilities. The remaining responses were a combination of:

- Plans to transfer records to the FRC prior to the June 30, 2024, deadline;
- Currently investigating what their needs will be;
- No plans to use commercial storage or commercial storage is not needed;
- Exception request to the goal have been or will be requested, and;
- Agency is already using commercial storage.

The RMSA questions related to current and future plans for hard copy records storage complement the SAORM report as illustrated below:

Figure 2: Current/Future Hard Copy Storage

Incorporating RM into Information Governance

The incorporation of records management into agency information governance (IG) strategies is part of the framework covered by OMB's *Federal Data Strategy - A Framework for Consistency* (M-19-18) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in OMB Circular A-130, *Managing Information as a Strategic Resource*.

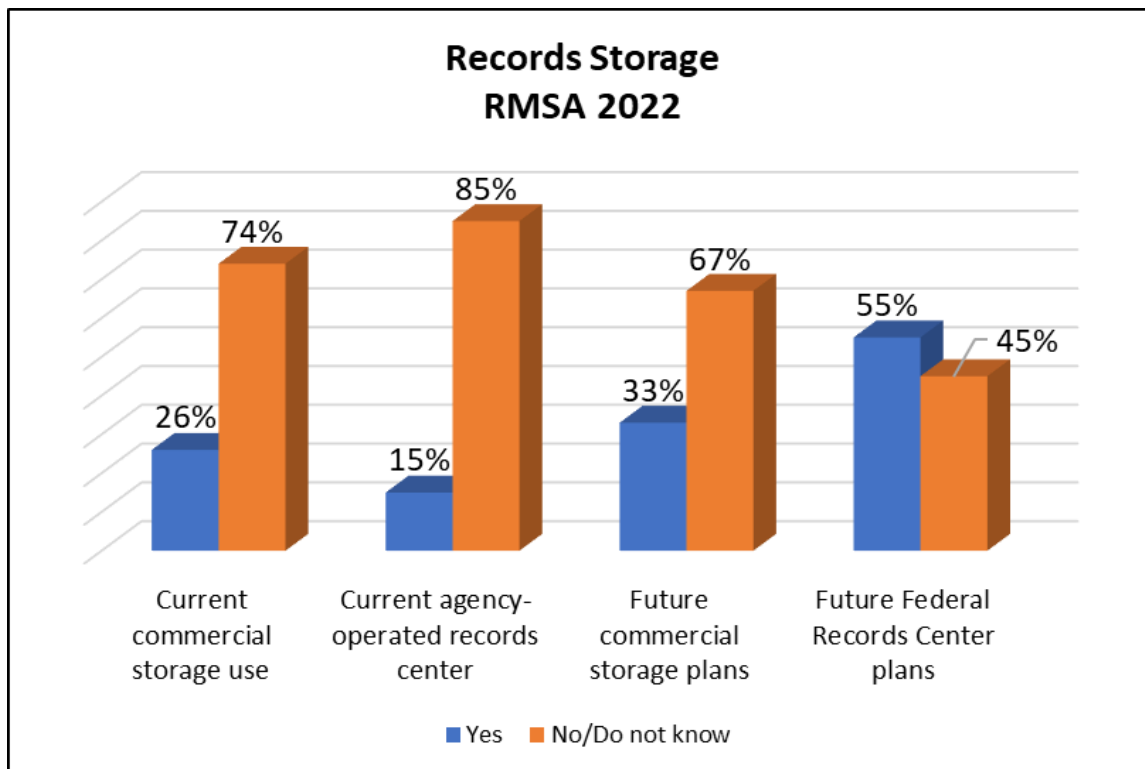The SAORM 2022 template asked agencies if policies and procedures incorporate records management into the information governance framework for information, data, and other agency information management. (This includes a relationship between the Chief Information Officer (CIO), Chief Data Officer (CDO), SAORM, Department Records Officer (DRO)/Agency Records Officer (ARO), RM staff, Security, Privacy Officers, and Freedom of Information Act (FOIA) staff.) Most agencies (80%) said 'Yes.'

The SAORM 2022 template asked agencies to explain and provide details about how the policies enhance information governance and records management's role or relationship to it. The comments given most often were:

- Records management integrated into IG by specific policy;
- Collaboration and partnerships fostered integration;
- IG Governance Boards or Committees included records management representation;
- Organizational structures place IG and records management together, and;
- General IG processes include records management participation.

Electronic Messages

Electronic messages include email and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: Email Management and CFR 1236: Electronic Records Management)

The capture and preservation of electronic messages is essential as it is used as the primary means of communication. The potential for loss of these records grows when hardware or software is upgraded or replaced. It is critical that policies and procedures are in place to ensure the capture and preservation of records, including when hardware or software is upgraded or replaced.

The SAORM 2022 template asked if agencies had policies to preserve and capture electronic messages and if the policies included related hardware or software upgrade procedures. Most agencies (80%) responded 'Yes' to this question. For those responding that they did have policies in place, we asked a random sample of agencies to provide copies as part of our annual validation of the self-reported data. It was interesting to note that most of the policies we received did not include anything related to hardware/software upgrades.

The template also asked agencies to explain and provide details of methods used to capture and preserve electronic messaging records, including any related challenges. The two consistently mentioned topics were simply that policies are in place and the use of the Capstone approach to email management. Very few (4) mentioned that processes for hardware or device replacement involved capturing records, with at least one agency stating outright that their policies did not include hardware or software upgrades. Many of the agencies (41) said their policies only included email management. Another 33 agencies said they were currently reviewing or upgrading their policies. And finally, 29 agencies said they were in the very early planning stages for managing electronic records beyond email.

Cognitive Technologies

There are constant changes in existing technologies and a growing number of new cognitive technologies. Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence (AI), Robotic Process Automation, Software Robot or Bot, and other machine learning technologies. AI is one of the fastest growing in its use in a wide variety of arenas. The use of AI and other cognitive technologies has an impact on records and records management in various ways from creation, maintenance, access, and preservation.

The SAORM 2022 template asked if agencies were currently using or exploring such technologies to identify records and help distinguish between permanent and temporary retention. The response was decidedly 'No,' with only 37% of agencies responding 'Yes,' 60% responding 'No,' and the remaining one percent said they 'Did Not Know.'
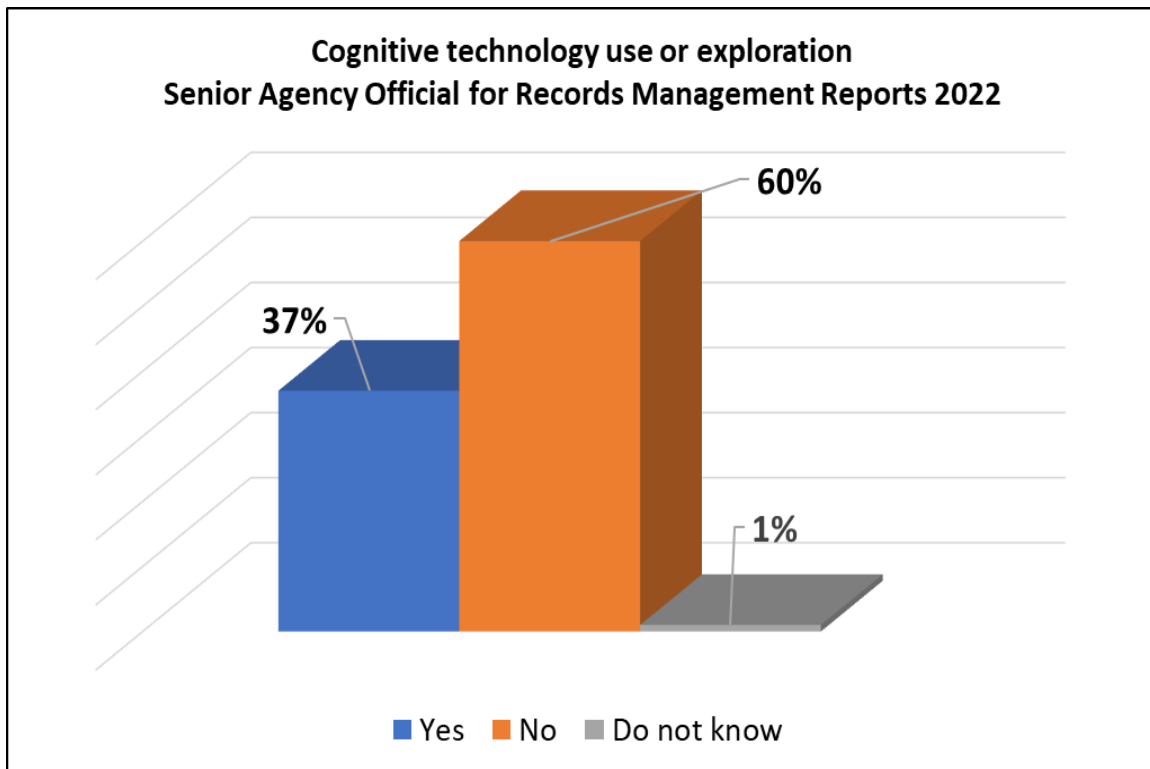

Figure 3: Most agencies are not yet using cognitive technologies for records management

This is closely matched by responses to similar questions from the RMSA in which 39% of agencies answered 'Yes,' 53% 'No,' and 8% 'Do Not Know.'

For the few responding that they were exploring such technologies, we asked for details on the methods, tools, and level of accuracy. We did not receive any details specifically on the level of accuracy or how that would be determined. What agencies did mention was an exploration of AI, machine learning, automated technologies, robotic automation, and e-Discovery tools. Budget constraints were mentioned as one of the reasons for not using or exploring these technologies.

Oversight and Evaluation

NARA Bulletin 2017-02: *Guidance on Senior Agency Officials for Records Management* says:

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

This bulletin further describes the various responsibilities for the SAORM, one of which is the oversight of the records management program. This is generally done through a variety of means, including evaluating program implementation, as well as identifying resources or needs that help the program be successful.

The SAORM 2022 template specifically asks if the SAORM regularly oversees and evaluates the effectiveness of the records management program and its compliance with statutes and regulations. The overwhelming response (93%) was 'Yes.' The template also asked what measures have been incorporated into the SAORM role. The following were mentioned most often:

- Ensuring compliance;
- Holding regular meetings with the Agency Records Officer and records management staff, ranging from monthly to quarterly to at least twice annually;
- Conducting assessments, evaluations, and audits;
- Reviewing policies;
- General support for initiatives;
- Establishing strategic goals and objectives, and;
- Communication as a whole.

Suggestions for NARA

Policy and Guidance

NARA is responsible for developing federal records management policies and guidance related to records creation, management, and disposition with an emphasis on electronic records. Asking for input from federal agencies is standard practice. To that end, each year we ask SAORMs if

they have any suggestions. This year, we asked if there were specific policies or guidance that
would support SAORMs with strategic direction for the records management program. Overall,
60% of agencies indicated that they did not have any suggestions in this area for NARA. Some
of these agencies went on to say that not only did they not have any suggestions, that they were
also satisfied with the current policy and guidance and/or with the service NARA is providing.
Of those that did have suggestions (37%) finalization of digitization standards and practices was
referenced most often.[5] The remaining three percent (3%) responded 'Do Not Know.' Other
suggestions included policy and guidance for:

- Cloud environments;
- Capstone tracking and implementation;
- Specific policy and guidance for small and micro-agencies;
- Best practices and case studies;
- Handling of classified electronic records;
- Using or implementing Microsoft O365, and;
- Handling Controlled Unclassified Information (CUI).

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 and how they interact with each other. As with suggestions for
policy and guidance, the number of agencies providing suggestions was very small (20%). Some
of the suggestions included:

- Holding brainstorming engagements;
- Discussions on collaborative platforms;
- Create an SAORM Council;
- Create an SAORM information webpage, and;
- Create a forum for small and micro-agencies.

SUMMARY

The SAORM reports provide information on the strategic records management initiatives,
including actions taken to promote fully electronic recordkeeping. It is important that SAORMs
stay abreast of the existing and upcoming changes to electronic recordkeeping regulations,
standards, policies, and guidance; continue monitoring progress towards meeting M-19-21 and
M-23-07 targets; and support records management within their agencies.

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[5] Digitization regulations for permanent records became effective May 4, 2023, and include quality standards. See
Digitization of Federal Records for more information.

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

OVERVIEW

NARA requires agencies to complete two reports that assess the implementation of their records management programs:

- The Records Management Self-Assessment (RMSA) has, since 2009, measured compliance with federal records management statutes and regulations (regardless of formats) 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 Report (FEREM) supplements the RMSA data and focuses on records in electronic format. 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)*. 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 risk factors for the RMSA have been relatively constant with low-risk levels falling from its peak of 46% in 2021 to 41% in 2022. Moderate-risk levels are stable between 41% and 42% and high-risk levels are flat between 15% and 14%. The FEREM maturity model has been in use since 2019. The risk factor comparisons show the gradual rise in low-risk up to 65% in 2022 for electronic records. Email management is more mature than general electronic records management, with low-risk up to 80% in 2022. The moderate- and high-risk levels fell as expected, with the rise in low-risk for both. 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.

It is important to note that 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 differences. This cycle the low-, moderate-, and high-risk factors of each of the reports are illustrated below.
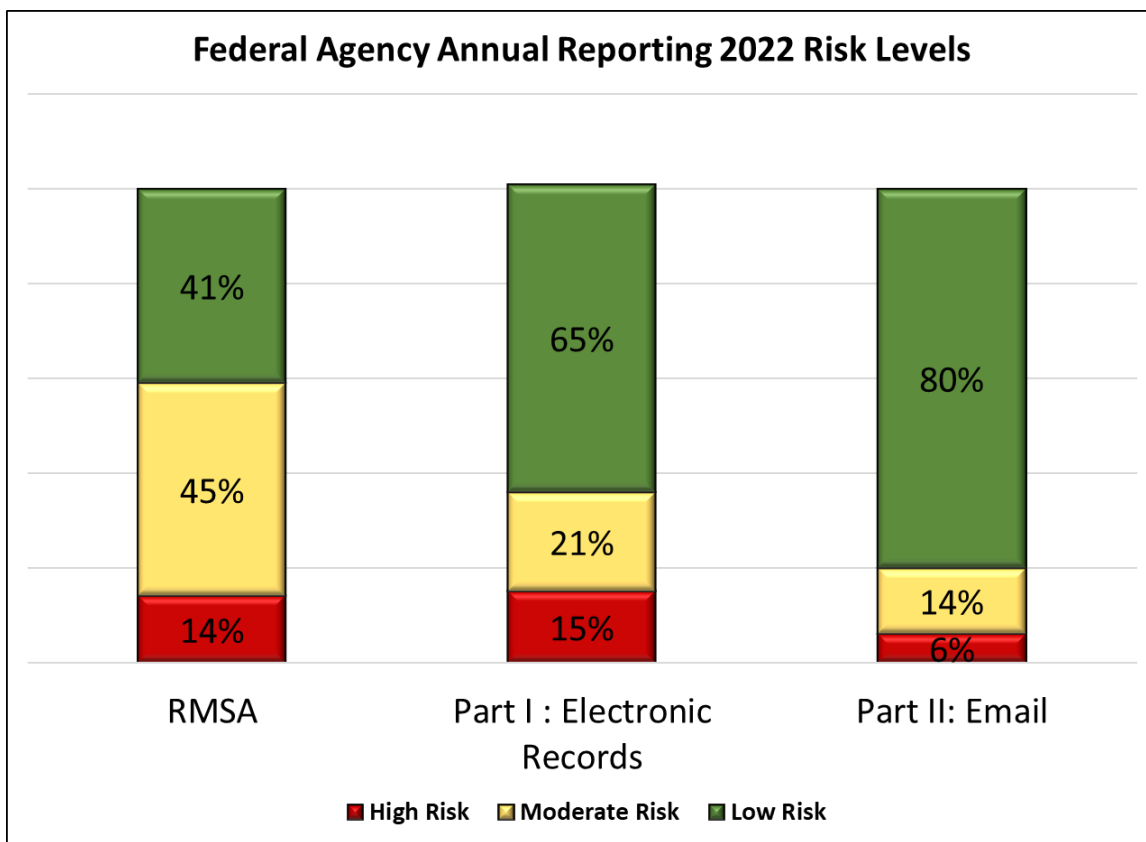
Figure 4: Side-by-side comparison of RMSA and FEREM risk factors for 2022

The RMSA and FEREM have different approaches to gathering data. The maturity model scenarios are levels of success rather than the less-nuanced 'Yes' or 'No' answer options in the RMSA. The maturity model provides a different perspective based on growth instead of the RMSA's 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, first by the OMB/NARA M-12-18 memorandum and then by M-19-21 and M-23-07.

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
- ARO role, responsibilities, and knowledge
- Records management staff or network of liaisons
- RM controls, monitoring, and oversight of the program
- 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 following are some key statistics for the management support and resourcing domain.

- 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 (89%).

- However, less than half (40%) 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 (91-93%) have or will be obtaining NARA's Agency Records Officer Credential (AROC) or a NARA-approved equivalent.[6]

- Most agencies (81%) support the records management program with a network of designated employees within each program and administrative area (usually as an additional duty or responsibility.) Another 14% chose 'Not applicable, agency has less

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[6] NARA Agency Records Officer Credential. Starting in 2023, AROs will be renewing the AROC; the Certificate of Federal Records Management Training will no longer exist.

than 100 employees.' However, just over half (57%) of agencies have 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.

● Most agencies (74%) have established performance goals for the records management program.

● Approximately 90% of agencies say efforts have been made to develop and implement internal controls to ensure federal records are not destroyed before the end of their retention period (36 CFR 1222.26(e)) and that all permanent records are created/captured, classified, filed, and managed according to their NARA-approved records schedules (36 CFR 1220.34(i).

Records Management Language for Contracts

When federal agencies acquire products or services, they need to determine what federal records management requirements should be included in the contract. Federal contractors often create, send, or receive federal records. Federal contracts should provide clear legal obligations describing how the contract employees must handle federal records.

Agency records officers, procurement counsel, and acquisitions officers must discuss how to integrate records management obligations into their existing procurement processes. NARA has developed the following language to be included as an agency-specific term and condition in federal contracts for a variety of services and products. Most contracts should include language on records management obligations, but each contract should be evaluated individually. (For more information see: https://www.archives.gov/records-mgmt/policy/records-mgmt-language)

The RMSA 2022 asked for the first time if agencies routinely integrate language covering records management obligations in contracts for services and products. The majority of agencies (69%) responded 'Yes.' What might be more significant is the 12% of agencies that responded 'Do Not Know.'
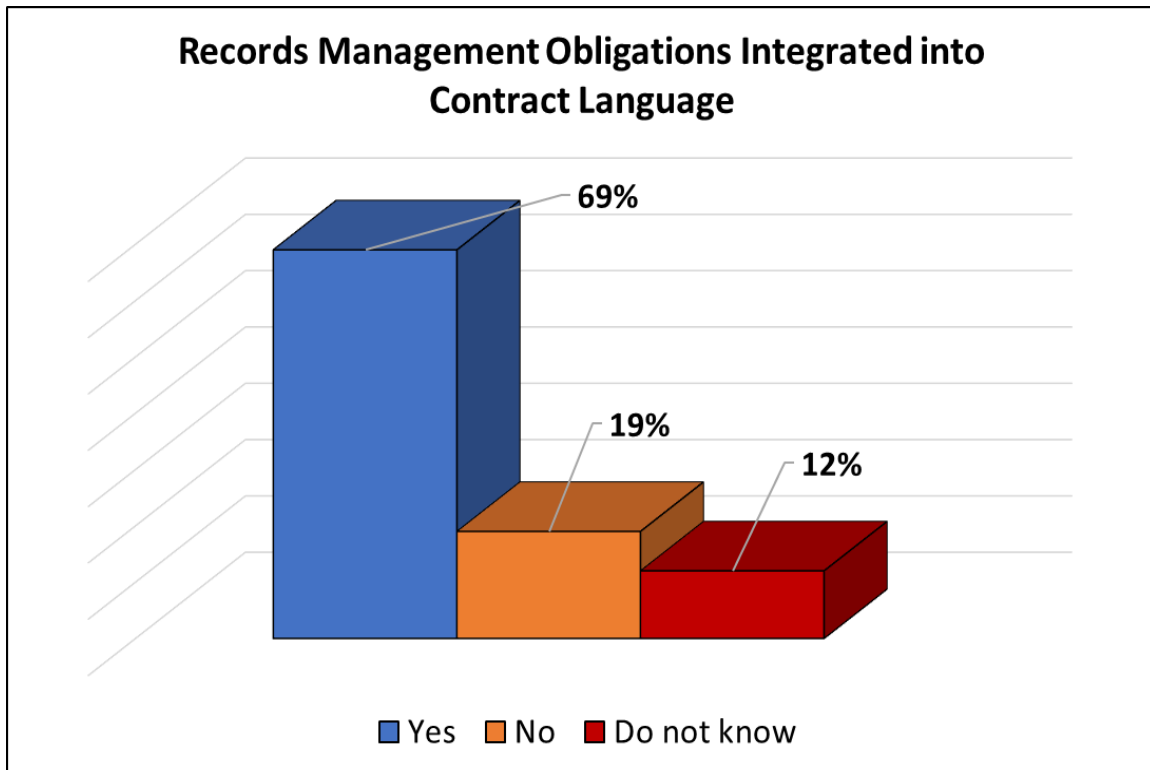
Figure 5: Are records management obligations written into contract language?

Monitoring Records Management Program Implementation

To be effective as well as compliant, consistent monitoring of any program is essential.
Monitoring the implementation of policies, directives, records schedules, and other aspects of a
records management program is no exception and is one of the weaker areas of most records
management programs. 2022 RMSA data indicate that monitoring the records management
program is a mix of informal, general, and ad hoc monitoring through evaluations being
conducted annually (32%), biennially (9%) or at least once every three years (17%). It is
interesting to note that 30% of agencies only conduct formal evaluations on an ad hoc basis.
Some evaluations are followed by a formal report (48%), plans of corrective action (43%) and
monitoring improvements (54%).

This year less than half (47%) of agencies said records management program staff conduct self-
evaluations of their programs. Very few evaluations are conducted solely by an agency's Office
of Inspector General (OIG), with slightly more being jointly conducted by the OIG and the
records management staff.

Monitoring Records Management Training

Records Management Training is a key component of records management programs.

- Most agencies (88%) have internal records management training, based on agency policies and directives, for employees assigned records management responsibilities. (36 CFR 1220.34(f))

- Most agencies (86%) also have developed mandatory internal, staff-wide formal training, based on agency policies and directives, covering records in all formats. (36 CFR 1220.34(f))

- The majority of agencies (60%) indicated records management training, including role-based training, is part of the mandatory training for all staff and contractors, including senior executives and appointed officials. (FEREM 1.5)

- There are a variety of ways agencies are conducting training including virtual courses, in person, and self-training materials.

- Records management training materials including job-aids, frequently asked questions (FAQs), or full courses are developed by the Agency Records Officer.

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 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).

- 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.

The RMSA measures compliance with the regulations to have records management policies, regardless of format. Since the FEREM focuses only on permanent electronic records and email, to make a fair comparison it is necessary to use only those RMSA questions related to electronic records and email. As illustrated by the chart below most agencies have policies related to these types of records.

More specifically, the data indicates that:

- Most agencies (90%) have a records management directive, with over half (52%) updating it in 2022 and another 29% updating it in 2020-2021. The remaining 18% split between 2017-2019, and/or the 5% who did not have one at all.

- Policies covering electronic records with specific information about the management of permanent electronic records addressing all the bullet points above have been approved and implemented (48%), are pending approval (21%), or are under development (21%). The remaining 2% have electronic records policies that do not include permanent electronic records. Five percent (5%) of agencies do not have electronic records policies.

- At least 77% of agencies have policies and procedures that instruct staff on managing permanent records in all formats, with another 14% developing them.

- Slightly more than half (56%) 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, 33% 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 (57%), or have these in various levels of development (17% drafted but not approved and 13% under development).

- Similarly, 51% of agencies said 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 the 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.

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.

While the risk level from the RMSA for systems compliance with regulations is good at 70%, the maturity level for electronic records management systems is still a weak point at 51%. There was some improvement from 2021, when only 45% had systems that meet the necessary requirements of the criteria for successfully managing electronic records. Email systems are the strongest at 84% of agencies scoring in the low-risk category; however, this is down from 87% in 2021.

Capture, Preservation, and Identification

According to RMSA data, 59% of agencies incorporate or integrate internal controls for reliability, authenticity, integrity, and usability of electronic records, with an additional 33% having these to some extent. This is up from 54% in 2021. Conversely, FEREM data shows that less than half of agencies (47%) 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.

RMSA data indicates that 72% of agencies have an inventory of electronic information systems. The FEREM breaks this down further. Only 32% of agencies reported having a complete inventory of systems used for managing electronic records that includes the ability to implement dispositions, with an additional 41% that have inventories with limited abilities for disposition. Another 9% of agencies have an inventory that identifies which systems contain records but does not include location or retention instructions, with another 9% having just an inventory of electronic information systems without identifying which contain records. The remaining 8% indicated that there was no inventory of electronic information systems at all.

Systems Owners' Awareness

While 87% of agencies described system owners' awareness of their responsibilities for permanent electronic records as fully aware, only 22% indicated systems have been implemented to comply with the requirements for managing permanent electronic records via automated methods. Another 38% are either considering or developing automated methods. Manual methods were reported by 21%. The remaining agencies are not developing any manual or automated processes.

Email Systems

FEREM Part II data reveals that email systems are more compliant with 76% 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;
- Identify and manage permanent email, and;
- Maintain the content, context, and structure of the records; and email records are associated with their creator.

This eight-percentage point increase from 2021 indicates the continued emphasis agencies have placed on email systems.

Half of agencies indicated that email is fully retrievable for requests; email review, preservation, and disposition are 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. Another 39% indicated 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; and records are usually accessed and retrieved in a timely manner.

Since 2013, the RMSA has tracked how email is captured and maintained. 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 2022 when 13 agencies did so. In 2019, we added the use of cloud services with and without records management as answer options. In 2022, 128 agencies were using cloud services with records management compared to 86 without it. This was up from last year's numbers of 117 and 73 respectively.
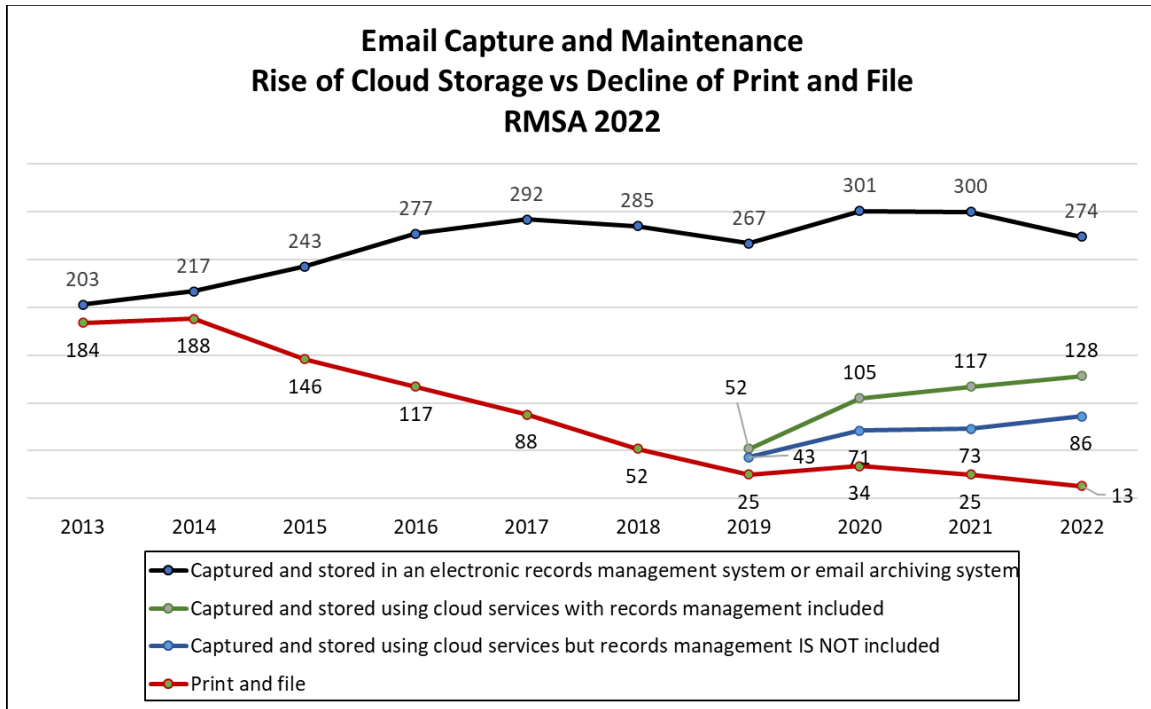
Figure 6: Changes in email management from print and file to cloud storage and electronic formats

For additional questions related specifically to email, see Appendix III.

Digitization Strategies

The transition to electronic recordkeeping will require reformatting or digitizing both temporary and permanent records. NARA revised 36 CFR 1236 adding Subpart D: Digitizing Temporary Records, effective May 10, 2019, and Subpart E: Digitizing Permanent Records, effective June 5, 2023. In both cases the regulations focus on the quality standards necessary, how to handle original source material (paper, analog, etc.), and implementation of records schedules related to original and digitized versions. For more information, see our Digitization of Federal Records website.

In preparation for the new regulations for digitizing permanent records, the RMSA 2022 asked questions related to the identification of record series in need of digitizing and if the strategy would include hard copy or other analog records (e.g., microfiche, microfilm, analog video, and analog audio). It also asked if temporary records were being digitized with the intent of designating the digitized version as the recordkeeping copy. There were also new questions related to digitization processes.

Most agencies indicated that:

- They have or are identifying permanent series for digitizing (74%).
- They are digitizing temporary records with the intent of making them the recordkeeping copy (64%).
- Strategies include reformatting hard copy and analog formats (78%).
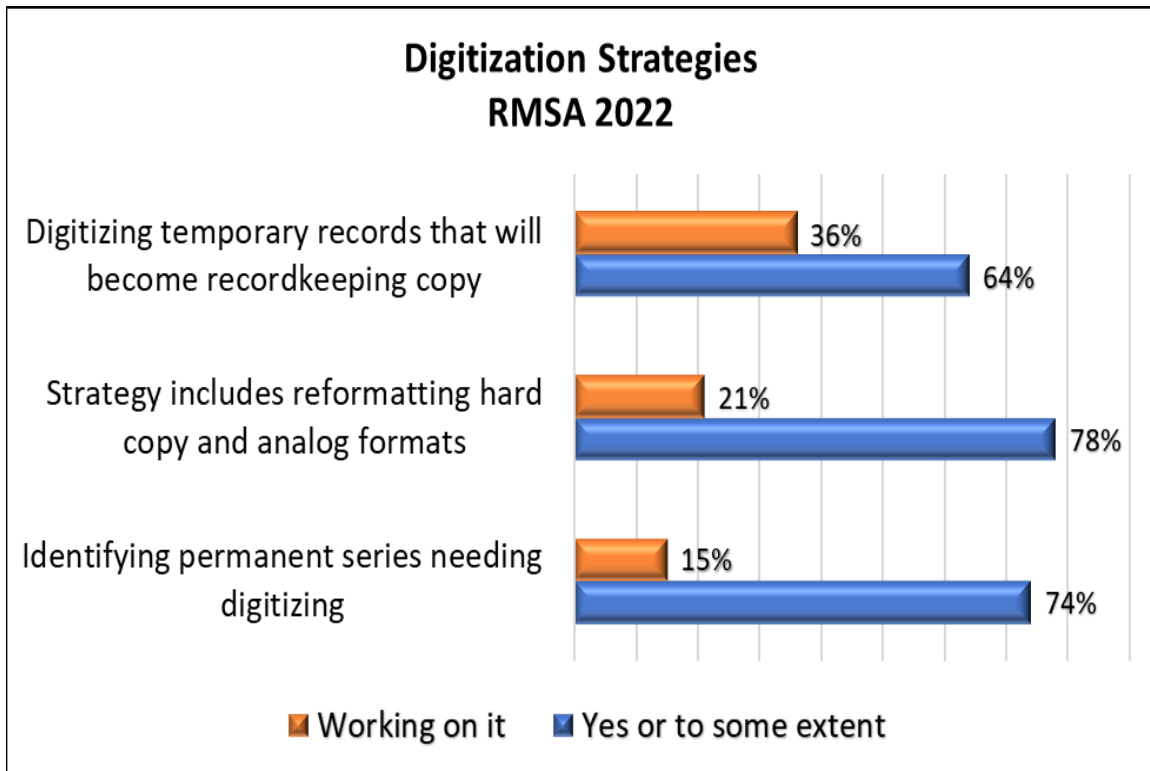
Figure 7: Approaches to using digitization to meet the transition to electronic recordkeeping

- Overall, agencies feel they will be able to validate and document that the digitized version will be of suitable quality to replace original source records. The graph below illustrates the number of agencies responding 'Yes,' 'No,' or 'Do Not Know' from the 166 agencies that responded to the question.
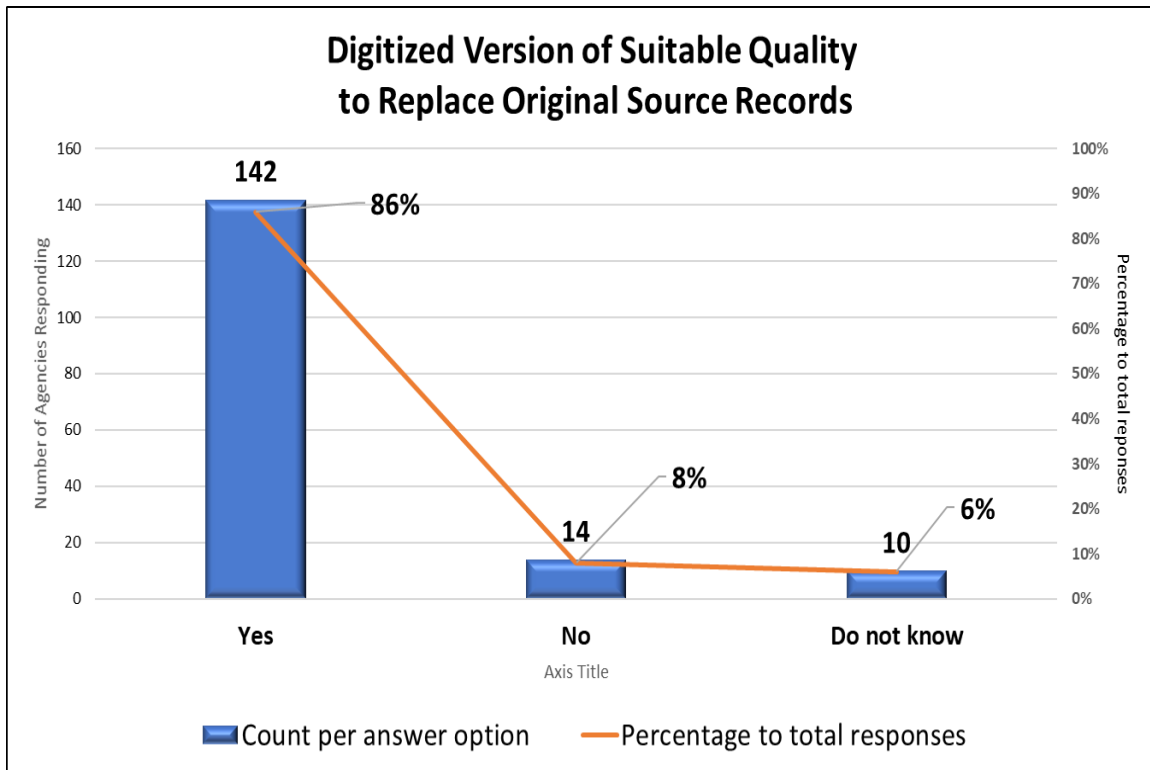
Figure 8: Agencies must validate that the digitized image is of suitable quality to replace original source records

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 for 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.

Less than half of agencies (47%) are compliant with the regulations, a little better than half (68%) are at low risk for access to electronic records, and a strong majority (89%) can access email records.

Records Management and FOIA

There is an essential partnership between records management and FOIA. Just as records must be available for decision making and accountability, it is also essential that records that are subject to disclosure under FOIA are accessible. The Office of the Chief Records Officer has been partnering for several years with NARA's Office of Government Information Services (OGIS) to gather information to assist in understanding how both RM and FOIA programs work together. This year, the RMSA focused on continuing impacts on processing FOIA requests due to the COVID-19 pandemic, the working relationship between the Agency Records Officer and the Chief FOIA Officer, the use of e-Discovery tools to search for records, and the posting of information as appropriate for the public.

- Over half of agencies (53%) indicated that the backlog meets or exceeds pre-pandemic levels, and only 5% said that the pandemic was still having a significant impact. The remaining had moderate or minimal backlogs due to the pandemic.

- Agency Records Officers and Chief FOIA Officers work together on a variety of ways to provide access to information.

- The use of e-Discovery tools is widespread with 73% of agencies using it for FOIA for a variety of reasons including responses involving email (88%), de-duplication of records when responding (70%), Congressional requests (64%), and managing legal holds.

Agency Records Officer and Chief FOIA Officer

Work together on Information Technology (IT) requirements that benefit both programs (54%)

Training programs include the importance and relationship between FOIA and records management (42%)

Coordinate search terms to identify responsive records (38%)

Provide training on records management and FOIA to each other's staff (43%)

Identify programs or offices most likely to have responsive records (44%)

Work together on high-profile or complex FOIA requests (44%)

Figure 9: The Agency Records Officer and Chief FOIA Officer relationship has many important elements

Retrievable Regardless of Format

Most agencies report compliance with regulations that concern retrievability such as:

- Records are identified through inventories and included in Continuity of Operations Plans for disaster response and recovery (86%).

- Most records are easily retrieved and accessed when needed (52%). Another 44% indicated all records are regardless of format. The remaining 3% indicated that only some records are easily retrieved and accessed.

- 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 electronic information systems (79%).

- Procedures that enable migration are in place (58%) or are under development (26%), with another 2% pending final approval. The remaining agencies indicated 'No' (12%) or 'Do Not Know' (2%).

Retrievable 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 30% and 50% 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 active use 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.

Similarly for email management, at least 50% of agencies reported 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 are 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.

Similar to Access, the Disposition risk levels show over half of agencies (60%) are in low-risk, with disposition of email the strongest at 83%.

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 General Records Schedules (GRS). Regulations also stipulate that every approved disposition authority, including newly approved authorities and GRS, be disseminated to agency staff within six months.

Regulatory compliance

- A little over half (52%) of agencies submitted a records schedule to NARA for approval in 2021-2022. (36 CFR 1225.10)
- Agencies are disseminating new agency and GRS schedules to staff (84%). ((36 CFR 1226.12(a))
- Records are managed throughout the lifecycle including being identified, classified, inventoried, and scheduled (61%). (36 CFR 1222.34, 36 CFR 1224.10, and 36 CFR 1225.12)

Records Schedule Inclusion in Electronic Systems

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 slightly better position.

- Only 38% of agencies said that formal processes exist to identify, classify and schedule electronic records across the agency. These include program, legal, and IT offices, and reviewing and updating existing schedules as well as new electronic systems. All existing electronic records are covered by NARA-approved records schedules.

- Only 33% 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 37% of agencies indicated that records management staff are kept informed of new systems or the retiring of older systems. This is helpful, but not sufficient, for fully incorporating electronic records management.

- Although agencies have been concentrating on scheduling email records, about half (49%) have NARA-approved retention schedules built into email management systems, have permanent records identified and captured, and have successfully transferred email records to the National Archives.

Email Disposition Authorities

The majority of agencies are using NARA's Capstone approach with an approved GRS 6.1: NARA Form NA-1005 (77%). NARA is requiring agencies to resubmit this form in 2023. Therefore, the RMSA asked if agencies were aware and preparing for this eventuality. Most agencies (65%) were aware and preparing to resubmit the form, with another 11% indicating they were aware but not yet working to get this done. The remaining 22% chose 'Other,' and explained that while they are working on it, they may not meet the deadline in 2023.

Transfers of Permanent Records

Agencies are required under 36 CFR 1235.12 to transfer eligible permanent records to the National Archives. This remains a weakness as only 42% of agencies transferred non-electronic (analog) records in 2022. Even less (20%) of agencies transferred electronic (digital) records.

When transferring permanent records, agencies are also required to include detailed finding aids for each specific media format. Of those agencies that did transfer eligible permanent records, 81% said they did include finding aids. When transferring electronic (digital) records, finding aids should include the minimum set of metadata elements and other required documentation. Of those that did transfer electronic (digital) records, 55% stated they complied with this requirement.

SUMMARY

Since 2010, the RMSA has been a reliable source 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 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 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 is used as background information prior to the inspections and assessments we conduct. Our inspection and assessment reports are available on our website, 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 and M-23-07.

- 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.[7]

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[7] 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.

- 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.

NARA makes the following recommendations for Agency Records Officers and others responsible for implementing 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 Subchapter B.

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

- Agencies must ensure *new and departing* senior agency officials receive briefings on their 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 ensure that 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 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.

- Agencies must develop procedures to regularly review their internal controls for implementing records management program policies and recordkeeping requirements, the same as for any other program. (36 CFR 1226.10, OMB A-123 and A-130)

- Agencies must conduct evaluations to measure the effectiveness of records management programs and practices, and to ensure they comply with NARA regulations. (36 CFR 1234.30(j))

- Agencies must capture, manage, and preserve electronic records with appropriate metadata and must be able to access and retrieve electronic records, including electronic messages, through electronic searches. (36 CFR 1222.26(b)

- Agencies using NARA's Capstone approach to email management must resubmit form NA-1005: Verification of the Use of GRS 6.1 every four years starting in 2023.

- Agency Records Officers are required to complete the training to obtain the Agency Records Officer Credential (AROC). The AROC replaced the Certificate of Federal Records Management Training on January 1, 2020. The AROC must be renewed every three years starting in 2023.

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, regulations, and other guidance including NARA and OMB memoranda.

- 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 Department and Agency Records Officers 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

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	82	3.63	3.2
Administrative Office of the United States Courts	Non-Responding	Non-Responding	Non-Responding
Advisory Council on Historic Preservation	89	3.16	2.6
American Battle Monuments Commission	55	1.74	1.6
AmeriCorps (Corporation for National and Community Service)	67	1.68	2.8
Armed Forces Retirement Home	43	2.68	2.8
Barry Goldwater Scholarship and Excellence in Education Foundation	86	3.47	3.2
Board of Governors of the Federal Reserve System	97	3.95	3.8
Central Intelligence Agency	90	3.32	3.8
Commodity Futures Trading Commission	88	2.95	3.2
Congressional Budget Office	75	2.58	3.6
Consumer Financial Protection Bureau	97	3.84	4
Consumer Product Safety Commission	71	2.89	3
Council of the Inspectors General on Integrity and Efficiency	41	2.37	3.2
Court Services and Offender Supervision Agency/ Pretrial Services Agency	90	3.42	3.8
Court Services and Offender Supervision Agency for the District of Columbia	85	3.74	3.8
Defense Nuclear Facilities Safety Board	85	3.68	4
Denali Commission	45	1.11	0.4

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Department of Agriculture			
Agricultural Marketing Service	51	1.47	3.2
Agricultural Research Service	55	1.26	3.2
Animal and Plant Health Inspection Service	59	1.47	3.2
Department Level/Headquarters	58	1.37	3.2
Departmental Staff Offices	58	1.37	3.2
Economic Research Service	50	1.26	3.2
Farm Service Agency	54	1.58	3.4
Food and Nutrition Service	67	1.89	3.2
Food Safety and Inspection Service	53	1.37	3.2
Foreign Agricultural Service	53	1.37	3.2
Forest Service	76	2	3
National Agricultural Statistics Service	56	1.37	3.2
National Institute of Food and Agriculture	52	1.42	3.2
Natural Resources Conservation Service	58	1.42	3.2
Risk Management Agency	55	1.37	3.2
Rural Development	55	1.26	3.2
Department of Commerce			
Bureau of Economic Analysis	80	3.47	3.6
Bureau of Industry and Security	52	2.95	2.4
Bureau of the Census	Non-Responding	Non-Responding	Non-Responding
Department Level/Headquarters	74	2.53	2
Economic Development Administration	30	1.05	1.6
FirstNet Authority	81	1.89	3.6
International Trade Administration	84	3	3.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
National Institute of Standards and Technology	94	3.21	3.6
National Oceanic and Atmospheric Administration	97	3.32	3.2
National Technical Information Service	65	2.05	2.8
National Telecommunications and Information Administration	Non-Responding	Non-Responding	Non-Responding
Office of Inspector General	92	3.58	3
Office of the Secretary	18	1.42	0.2
United States Patent and Trademark Office	99	3.37	3.2
Department of Defense			
Army and Air Force Exchange Service	87	2.95	3.4
Defense Commissary Agency	76	3.32	3.6
Defense Contract Audit Agency	99	3.79	3.6
Defense Contract Management Agency	92	3.74	3
Defense Counterintelligence and Security Agency	65	1.74	1.2
Defense Finance and Accounting Service	93	3.74	4
Defense Information Systems Agency	80	3.58	3.6
Defense Intelligence Agency	68	0	3.8
Defense Logistics Agency	89	2.79	3.2
Defense Technical Information Center	88	2.68	2.8
Defense Threat Reduction Agency	88	3.42	3
Department of the Air Force	94	3.47	2.6
Department of the Army	85	2.74	2.8
Department of the Navy	97	3.89	4
Joint Chiefs of Staff	68	2.89	3.4

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Missile Defense Agency	99	4	4
National Defense University	40	1.21	0.2
National Geospatial-Intelligence Agency	80	3.16	3.2
National Guard Bureau	Received late - not scored	Received late - not scored	Received late - not scored
National Reconnaissance Office	96	3.74	4
National Security Agency/Central Security Service	99	3.63	3.2
Office of the Inspector General	94	3.37	4
Office of the Secretary of Defense	92	3.47	3.2
United States Africa Command	66	2.16	2
United States Central Command	93	3.63	3.6
United States Cyber Command	66	1.79	1.2
United States European Command	70	2.79	1.6
United States Indo-Pacific Command	68	2.32	2
United States Marine Corps	95	3.21	3.6
United States Northern Command	99	3.74	3.6
United States Southern Command	58	3.53	4
United States Space Command	87	3.42	3.4
United States Special Operations Command	88	3.47	3.4
United States Strategic Command	97	3.32	2.4
United States Transportation Command	78	3.79	3.6
Department of Education			
Department Level/Headquarters	94	3.63	3.8
Department of Energy			
Bonneville Power Administration	78	2.53	3.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Department Level/Headquarters	93	3.37	3.6
Energy Information Administration	90	3.37	4
National Nuclear Security Administration	83	2.95	3.4
Southeastern Power Administration	38	3.16	3.4
Southwestern Power Administration	88	3.16	2.6
Western Area Power Administration	89	3.47	3
Department of Health and Human Services			
Administration for Children and Families	89	3.05	3.8
Administration for Community Living	88	2.68	2.8
Agency for Healthcare Research and Quality	89	3.32	4
Centers for Disease Control and Prevention	97	3.84	3.8
Centers for Medicare & Medicaid Services	94	3.47	3.8
Department Level/Headquarters	96	3.26	4
Food and Drug Administration	97	3.37	3.8
Health Resources and Services Administration	92	3.74	4
Indian Health Service	Non-Responding	Non-Responding	Non-Responding
National Institutes of Health	90	3.42	4
Office of the Secretary	96	3.26	3.8
Substance Abuse and Mental Health Services Administration	83	2.32	2.4

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Department of Homeland Security			
Cybersecurity and Infrastructure Security Agency	Non-Responding	Non-Responding	Non-Responding
Department Level/Headquarters	100	3.16	3.6
Federal Emergency Management Agency	87	2.74	2.6
Federal Law Enforcement Training Centers	96	3.42	4
Transportation Security Administration	95	2.95	3
U.S. Customs and Border Protection	95	2.63	3.2
U.S. Immigration and Customs Enforcement	79	2.68	3.8
United States Citizenship and Immigration Services	71	2.16	3.4
United States Coast Guard	93	3.16	3.6
United States Secret Service	100	3.37	4
Department of Housing and Urban Development			
Department Level/Headquarters	92	3.37	3.8
Office of the Inspector General	71	3.16	3.4
Department of Justice			
Bureau of Alcohol, Tobacco, Firearms and Explosives	96	3.79	3.8
Bureau of Prisons	94	3.16	2.8
Department Level/Headquarters	98	3.84	3.6
Drug Enforcement Administration	90	3	3
Executive Office for Immigration Review	39	1.89	3.4
Executive Office for U.S. Attorneys	98	3.53	3.6

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Federal Bureau of Investigation	97	3.63	4
Office of Justice Programs	96	3.74	4
United States Marshals Service	91	3.05	3.4
Department of Labor			
Adjudicatory Boards	Non-Responding	Non-Responding	Non-Responding
Bureau of International Labor Affairs	88	3.42	3.6
Bureau of Labor Statistics	95	3.37	3.6
Department Level/Headquarters	88	3.37	3.8
Employee Benefits Security Administration	88	3.42	3.8
Employment and Training Administration	90	3.42	3.8
Mine Safety and Health Administration	83	3.42	3.8
Occupational Safety and Health Administration	93	3.42	3.8
Office of Administrative Law Judges	88	3.42	3.8
Office of Congressional and Intergovernmental Affairs	89	3.42	3.8
Office of Disability Employment Policy	91	3.42	3.8
Office of Federal Contract Compliance Programs	88	3.42	3.8
Office of Inspector General	92	3.42	3.8
Office of Labor-Management Standards	85	3.42	3.8
Office of Public Affairs	89	3.42	3.8
Office of the Assistant Secretary for Policy	90	3.42	3.8
Office of the Chief Financial Officer	88	3.42	3.8
Office of the Executive Secretariat	88	3.42	3.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Office of the Solicitor	89	3.42	3.8
Office of Workers' Compensation Programs	94	3.42	3.8
Veterans' Employment and Training Service	88	3.42	3.8
Wage and Hour Division	87	3.47	3.8
Women's Bureau	89	3.42	3.8
Department of State			
Department Level/Headquarters	94	3.47	4
Department of the Interior			
Bureau of Indian Affairs	85	3.42	4
Bureau of Land Management	97	3.42	4
Bureau of Ocean Energy Management	86	2.74	4
Bureau of Reclamation	95	3.63	4
Bureau of Safety and Environmental Enforcement	87	3.26	4
Bureau of Trust Funds Administration	88	3.58	4
National Park Service	88	2.84	4
Office of Surface Mining Reclamation and Enforcement	85	2.84	4
Office of the Secretary	92	3.16	4
United States Fish and Wildlife Service	87	3	4
United States Geological Survey	93	3.21	4
Department of the Treasury			
Alcohol and Tobacco Tax and Trade Bureau	87	3.26	3.4
Bureau of Engraving and Printing	90	3.16	3
Bureau of the Fiscal Service	86	2.63	3.4
Department Level/Headquarters	81	2.74	2.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Financial Crimes Enforcement Network	96	3.95	4
Internal Revenue Service	96	3.74	4
Office of the Comptroller of the Currency	99	3.84	3.4
United States Mint	100	3.58	3.6
Department of Transportation			
Department Level/Headquarters	90	3.95	4
Federal Aviation Administration	88	3.05	4
Federal Highway Administration	99	3.95	4
Federal Motor Carrier Safety Administration	88	3.79	4
Federal Railroad Administration	96	3.95	4
Federal Transit Administration	94	3.95	4
Great Lakes St. Lawrence Seaway Development Corporation	90	3.47	3.8
Maritime Administration	96	3.79	4
National Highway Traffic Safety Administration	96	3.79	4
Office of the Inspector General	91	3.53	4
Office of the Secretary	88	3.95	4
Pipeline and Hazardous Materials Safety Administration	93	3.95	4
Department of Veterans Affairs			
Board of Veterans' Appeals	87	1.58	3.4
Department Level/Headquarters	92	1.58	3.4
National Cemetery Administration	95	3.53	3.6
Veterans Benefits Administration	93	3.74	3.4
Veterans Health Administration	94	1.53	2.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Environmental Protection Agency	94	3.58	3.4
Equal Employment Opportunity Commission	73	2.37	3.2
Executive Office of the President			
Council on Environmental Quality	80	3.05	3.8
Office of Management and Budget	82	3.42	3.8
Office of National Drug Control Policy	90	3.47	3.8
Office of Science and Technology Policy	93	3.47	3.8
Office of the United States Trade Representative	85	3.32	3.8
United States Intellectual Property Enforcement Coordinator	78	3	3.8
Export-Import Bank of the United States	90	3.79	3.4
Farm Credit Administration	65	2.21	3.2
Federal Communications Commission	96	3.05	4
Federal Election Commission	50	2.42	3.2
Federal Energy Regulatory Commission	87	3.79	3.6
Federal Housing Finance Agency	91	3.47	3.8
Federal Judicial Center	83	3	2.4
Federal Labor Relations Authority	98	3.74	3.6
Federal Maritime Commission	84	3.79	3.4
Federal Mediation and Conciliation Service	75	3.47	2.6
Federal Mine Safety and Health Review Commission	26	3	2.8

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Federal Permitting Improvement Steering Council	40	1.63	1.2
Federal Retirement Thrift Investment Board	86	3.37	3.2
Federal Trade Commission	63	2.47	2.8
General Services Administration	89	3.05	4
Government Accountability Office	99	3.89	4
Government Publishing Office	93	2.63	3.2
Gulf Coast Ecosystem Restoration Council	82	Non-Responding	Non-Responding
Harry S. Truman Scholarship Foundation	Non-Responding	Non-Responding	Non-Responding
Institute of Museum and Library Services	76	3.47	2.6
Inter-American Foundation	85	3.63	3.6
International Boundary and Water Commission, United States and Mexico	69	2.58	3
James Madison Memorial Fellowship Foundation	68	Non-Responding	Non-Responding
Japan-U.S. Friendship Commission	53	1	2.8
Library of Congress	100	3.26	3.8
Marine Mammal Commission	73	2.26	2.4
Merit Systems Protection Board	47	2.89	3.4
Millennium Challenge Corporation	92	3.11	3.4
Morris K. Udall and Stewart L. Udall Foundation	86	3.63	3.6
National Aeronautics and Space Administration	92	3.42	3.4
National Archives and Records Administration	100	3.68	3.8
National Capital Planning Commission	75	2.63	1.8
National Council on Disability	86	2.89	2.4

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
National Credit Union Administration	92	3.05	3.4
National Endowment for the Arts	Non-Responding	Non-Responding	Non-Responding
National Endowment for the Humanities	84	3.11	3.4
National Indian Gaming Commission	67	2.42	3
National Labor Relations Board	95	3.53	4
National Mediation Board	67	0.16	2.6
National Science Foundation	92	3.74	3.2
National Transportation Safety Board	72	3.05	3.2
Nuclear Regulatory Commission	96	3.79	4
Occupational Safety and Health Review Commission	98	3.84	3.8
Office of Government Ethics	93	3.89	4
Office of Navajo and Hopi Indian Relocation	83	3.63	2
Office of Personnel Management	71	2.63	3.2
Office of the Director of National Intelligence	61	2.58	3.2
Office of the Special Inspector General for Afghanistan Reconstruction	95	3.47	0
Peace Corps	92	2.84	3.8
Pension Benefit Guaranty Corporation	85	2.84	3.6
Postal Regulatory Commission	82	3	2
Presidio Trust	36	1.26	1.6
Privacy and Civil Liberties Oversight Board	73	2.58	3.4
Public Buildings Reform Board	62	2.68	3.4
Railroad Retirement Board	72	2.68	3.4
Securities and Exchange Commission	99	4	4
Selective Service System	82	3.42	3

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
Small Business Administration	69	2.21	2.8
Social Security Administration	99	3.05	4
Surface Transportation Board	94	3.74	3.2
Tennessee Valley Authority	91	3.63	3.8
Trade and Development Agency	92	3.79	3.6
U.S. AbilityOne Commission (Committee for Purchase from People Who are Blind or Severely Disabled)	49	1.68	2.8
U.S. Access Board (Architectural and Transportation Barriers Compliance Board)	92	3.53	2
U.S. Agency for Global Media	79	3.05	3
U.S. Commission for the Preservation of America's Heritage Abroad	24	1.89	2
U.S. Commission of Fine Arts	43	1.68	1.6
U.S. Election Assistance Commission	64	2.74	3.4
U.S. Semiquincentennial Commission	43	1.63	0
United States African Development Foundation	Non-Responding	Non-Responding	Non-Responding
United States Agency for International Development	94	3.05	2.4
United States Arctic Research Commission	Non-Responding	Non-Responding	Non-Responding
United States Capitol Police	Non-Responding	Non-Responding	Non-Responding
United States Commission on Civil Rights	79	3.16	3.6
United States Commission on International Religious Freedom	68	2.58	3
United States Interagency Council on Homelessness	27	1.16	2.4

	RMSA Score	Part I Electronic Records Maturity Model Score	Part II Email Maturity Model Score
United States International Development Finance Corporation	69	2.53	3.2
United States International Trade Commission	100	4	4
United States Nuclear Waste Technical Review Board	53	Non-Responding	Non-Responding
United States Office of Special Counsel	64	3	0.8
United States Sentencing Commission	87	3.63	3
United States Tax Court	Non-Responding	Non-Responding	Non-Responding
Utah Reclamation Mitigation and Conservation Commission	Non-Responding	Non-Responding	Non-Responding

APPENDIX III:

RMSA AND FEREM
2022 QUESTIONNAIRES WITH STATISTICAL RESULTS

National Archives and Records Administration (NARA)		
2022 Records Management Self-Assessment		
Section I: Management Support and Resourcing		
Management support and a strong positioning of an agency's records management program in the organizational structure is key to program success. This section includes questions related to the areas that support the records management program including responsibilities, internal controls, performance management, training, monitoring of program implementation, and the records of senior officials and executives.		
The following series of questions relates to records management program leadership.		
Q1. Has your agency assigned an individual with operational responsibility for the agency records management program and provided contact information to NARA as required? (36 CFR 1220.34(b) and NARA Bulletin 2017-02)		
Note: This is typically referred to as the designated Agency Records Officer (or Department Records Officer)		
Answer Option	Count per answer option	Percentage to total responses
Yes	249	95%
No	1	0%
Do not know	1	0%
Yes, but my agency has not formally notified NARA	2	1%
No, the position is currently vacant	8	3%
Total responses to this question	261	100%
Q2. If Yes or 'Yes, but my agency has not formally notified NARA': 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 Option	Count per answer option	Percentage to total responses
Yes	245	94%
No	3	1%
Do not know	2	1%
Not applicable, not an Executive Branch Agency	4	2%
Yes, but my agency has not formally notified NARA	5	2%
No, the position is currently vacant	2	1%
Total responses to this question	261	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 Option	Count per answer option	Percentage to total responses
Yes	223	89%
No	23	9%
Do not know	1	0%
Not applicable, my agency does not currently have a designated Agency Records Officer	3	1%
Total responses to this question	250	100%

Q5. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? (36 CFR 1220.34(d))

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

Answer Option	Count per answer option	Percentage to total responses
Yes	211	81%
No	10	4%
Do not know	1	0%
Not applicable, agency has less than 100 employees	36	14%
Not applicable, Departmental Records Officer - this is done at the component level	3	1%
Total responses to this question	261	100%

The following series of questions relates to records management 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 Option	Count per answer option	Percentage to total responses
Yes	190	73%
No	20	8%
No, pending final approval	3	1%
No, under development	46	18%
Do not know	1	0%
Total responses to this question	260	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 Option	Count per answer option	Percentage to total responses
Yes	212	82%
No	16	6%
No, pending final approval	2	1%
No, under development	28	11%
Do not know	1	0%
Total responses to this question	259	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 Option	Count per answer option	Percentage to total responses
Yes	178	68%
No	19	7%
To some extent	59	23%
Do not know	4	2%
Total responses to this question	260	100%

Q9. Has your agency established performance goals for its records management program? (36 CFR 1222.26(e) and OMB Circulars A-123 and A-130)

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

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

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

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

Updating records management policies by the end of the year

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

Answer Option	Count per answer option	Percentage to total responses
Yes	192	74%
No	20	8%
Pending final approval	10	4%
Currently under development	36	14%
Do not know	2	1%
Total responses to this question	260	100%

Q10. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.? (36 CFR 1222.26(e) and OMB Circulars A-123 and A-130)

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

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

Answer Option	Count per answer option	Percentage to total responses
Yes	202	78%
No	15	6%
Pending final approval	5	2%
Currently under development	36	14%

Do not know	2	1%
Total responses to this question	260	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 (digital) records) must be the primary focus of the inspection/audit/review.

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

Answer Option	Count per answer option	Percentage to total responses
Yes, evaluations are conducted by the Records Management Program	123	47%
Yes, evaluations are conducted by the Office of Inspector General	6	2%
Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General	46	18%
Yes, evaluations are conducted by:	44	17%
No, please explain	39	15%
Do not know	2	1%
Total responses to this question	260	100%

Q12. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)? (36 CFR 1220.34(j))

Answer Option	Count per answer option	Percentage to total responses
Annually	84	32%
Biennially	23	9%
Once every 3 years	44	17%
Ad hoc	77	30%
Do not know	4	2%
Not applicable, agency does not evaluate its records management program	28	11%
Total responses to this question	260	100%

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 Option	Count per answer option	Percentage to total responses
Yes, formal report was written	124	48%
Yes, plans of corrective action were created	116	44%
Yes, plans of corrective action were monitored for implementation	112	43%
No	34	13%
Do not know	3	1%
Not applicable, agency does not evaluate its records management program	23	9%
Not applicable, agency has less than 100 employees	31	12%
Total responses to this question	261	100%

The following series of questions relates to records management training.

Q14. Has your Agency Records Officer obtained NARA's Certificate of Federal Records Management Training or the Agency Records Officer Credential (AROC)? (NARA Bulletin 2019-02)

Answer Option	Count per answer option	Percentage to total responses
Yes, NARA's Certificate of Federal Records Management Training	111	43%
Yes, NARA's Agency Records Officer Credential	90	34%
In Progress	37	14%
No	14	5%
Do not know	1	0%
Not applicable, my agency does not currently have a designated Agency Records Officer	8	3%
Total responses to this question	261	100%

Q15. 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 Option	Count per answer option	Percentage to total responses
Yes	230	88%
No	5	2%
No, pending final approval	3	1%
No, under development	22	8%
Do not know	0	0%
Total responses to this question	260	100%

Q16. 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 Option	Count per answer option	Percentage to total responses
Yes	225	86%
No	8	3%
No, pending final approval	4	2%
No, under development	24	9%
Do not know	0	0%
Total responses to this question	261	100%

Q17. Which of the following best describes records management training at your agency? (NARA Bulletin 2017-01)		
Answer Option	Count per answer option	Percentage to total responses
Records management training is informal and ad hoc	19	7%
There is only general records management information, and training is included with other non-records management related topics	8	3%
Records management training meets the minimum required standards without any additional training	66	25%
Records management training meets the minimum required standards with additional role-based or advanced training available	160	62%
None of the above	5	2%
Do not know	2	1%
Total responses to this question	260	100%

Q18. Which of the following best describes how records management training is conducted in your agency? (Choose all that apply)		
Answer Option	Count per answer option	Percentage to total responses
Records management training is virtual and available through internal learning management system or equivalent	147	56%
General and other informational records management training is conducted in person by the Agency Records Officer (and/or Department Records Officer)	82	31%
General and other informational records management training is conducted in person by other records management staff (applies to staff whose primary duty is records management but are not the Department Records Officer or Agency Records Officer)	46	18%
General and other informational records management training is conducted by Records Liaison Officers or other staff assigned records management responsibilities as an added duty within each agency office, program, or organization	26	10%
Records management training by self-training in the form of job-aids, frequently asked questions, special topic fact sheets, or similar	97	37%
All of the above	76	29%
None of the above	8	3%
Do not know	2	1%
Total responses to this question	261	100%

Q19. Which of the following best describe records management training materials in your agency? (Choose all that apply)

Answer Option	Count per answer option	Percentage to total responses
Records management training materials are developed and maintained by the Agency Records Officer (and/or Department Records Officer)	186	71%
Each office is responsible for developing and maintaining their own general and other informational records management training	33	13%
The Agency Records Officer (and/or Department Records Officer) drives the content of records management training but materials are developed by someone else. Please explain:	63	24%
Additional training materials in the form of job-aids, frequently asked questions, special topic fact sheets, or other similar materials are created by the Department Records Officer/Agency Records Officer/records management staff and posted to intra-agency information boards, websites, SharePoint sites, learning management system or other employee informational places	157	60%
All of the above	28	11%
None of the above	8	3%
Do not know	1	0%
Total responses to this question	261	100%

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

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

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

Q20. 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 Option	Count per answer option	Percentage to total responses
Yes	236	90%
No	23	9%
Do not know	2	1%
Total responses to this question	261	100%

Q21. 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 Option	Count per answer option	Percentage to total responses
Yes	184	70%
Yes, but not documented	53	20%
No	16	6%
Do not know	2	1%
Not applicable, please explain	6	2%
Total responses to this question	261	100%

Q22. 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 Option	Count per answer option	Percentage to total responses
Yes	199	76%
Yes, but not documented	43	16%
No	11	4%
Do not know	4	2%
Not applicable, please explain	4	2%
Total responses to this question	261	100%

Q23. Does your agency routinely integrate language covering records management obligations into contracts for services and products?

(For more information see: https://www.archives.gov/records-mgmt/policy/records-mgmt-language)

Answer Option	Count per answer option	Percentage to total responses
Yes	180	69%
No	50	19%
Do not know	31	12%
Total responses to this question	261	100%

Q24. Please add any additional comments about your agency for Section I. (Optional) [Text response-no statistics]

Section II: Policies

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

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

Q25. Does your agency have a documented and approved records management directive(s)? (36 CFR 1220.34(c))

Answer Option	Count per answer option	Percentage to total responses
Yes	236	90%
No, pending final approval	3	1%
No, under development	16	6%
No	4	2%
Do not know	2	1%
Total responses to this question	261	100%

Q26. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance? (36 CFR 1220.34(c))

Answer Option	Count per answer option	Percentage to total responses
2020 - 2021	76	29%
2018 - 2019	7	3%
2017 or earlier	22	8%
Do not know	6	2%
Not applicable, agency does not have a records management directive	13	5%
2022 - present	137	52%
Total responses to this question	261	100%

Q27. 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 Option	Count per answer option	Percentage to total responses
Yes	201	77%
No	18	7%
No, pending final approval	9	3%

No, under development	30	11%
Do not know	3	1%
Total responses to this question	261	100%

Q28. Does your agency have documented and approved policies against unauthorized use, alteration, alienation or deletion of all electronic (digital) records?		
Answer Option	Count per answer option	Percentage to total responses
Yes	227	87%
No	3	1%
No, pending final approval	6	2%
No, under development	22	8%
Do not know	2	1%
Total responses to this question	260	100%

Q29. 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 Option	Count per answer option	Percentage to total responses
Yes	223	85%
No, pending final approval	4	2%
No, under development	25	10%
No, please explain	7	3%
Do not know	2	1%
Total responses to this question	261	100%

Q30. 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 Option	Count per answer option	Percentage to total responses
Yes	145	56%
No	25	10%
No, pending final approval	14	5%
No, under development	74	28%
Do not know	3	1%
Total responses to this question	261	100%

Q31. Does your agency have documented and approved policies that address when employees have more than one agency-administered email account, whether or not allowed, that states that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)

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

Answer Option	Count per answer option	Percentage to total responses
Yes	212	81%
No	15	6%
No, pending final approval	6	2%
No, under development	23	9%
Do not know	5	2%
Total responses to this question	261	100%

Q32. 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 Option	Count per answer option	Percentage to total responses
Yes	225	86%
No	9	3%
No, pending final approval	4	2%
No, under development	19	7%
Do not know	4	2%
Total responses to this question	261	100%

Q33. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

Answer Option	Count per answer option	Percentage to total responses
Yes	184	70%
No	70	27%
Do not know	7	3%
Total responses to this question	261	100%

Q34. Please add any additional comments about your agency for Section II. (Optional) [Text response - no statistics]

Section III: Systems		
Electronic information system means an information system that contains and provides access to computerized federal records and other information. (36 CFR 1236.2)		
The following types of records management controls are needed to ensure that federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. Agencies must incorporate controls into the electronic information system or integrate them into a recordkeeping system that is external to the information system itself. (36 CFR 1236.10)		
(a) Reliability: Controls to ensure a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.		
(b) Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.		
(c) Integrity: Controls, such as audit trails, to ensure records are complete and unaltered.		
(d) Usability: Mechanisms to ensure records can be located, retrieved, presented, and interpreted.		
(e) Content: Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.		
(f) Context: Mechanisms to implement cross-references to related records that show the organizational, functional, and operational circumstances about the record, which will vary depending upon the business, legal, and regulatory requirements of the business activity.		
(g) Structure: Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements.		

Q35. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic (digital) records maintained in electronic information systems? (36 CFR 1236.10)

Answer Option	Count per answer option	Percentage to total responses
Yes	153	59%
To some extent	85	33%
No	15	6%
Do not know	2	1%
Not applicable, please explain	6	2%
Total responses to this question	261	100%

Q36. Has your agency implemented electronic recordkeeping systems to ensure that all permanent records are created/captured, classified, filed, managed and retained with appropriate metadata according to their NARA-approved records schedules? (36 CFR 1220.34(i), 36 CFR 1236.12, 36 CFR 1236.14)

Answer Option	Count per answer option	Percentage to total responses
Yes	80	31%
Yes, but not fully implemented yet	116	44%
No, but plan to	52	20%
No, not being considered at this time	5	2%
Do not know	2	1%
Other	6	2%
Total responses to this question	261	100%

Q37. If Other: Please explain your response. [Text response - no statistics]

Q38. 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 Option	Count per answer option	Percentage to total responses
Yes	188	72%
No, please explain	62	24%
Do not know	10	4%
Total responses to this question	260	100%

Q39. In preparation for the publication of the upcoming regulation with standards for digitizing permanent records, has your agency identified permanent series that will need to be digitized?

Answer Option	Count per answer option	Percentage to total responses
Yes	121	46%
To some extent	72	28%
No	25	10%
No, but are working on plans to identify	38	15%
Do not know	5	2%
Total responses to this question	261	100%

Q40. 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 Option	Count per answer option	Percentage to total responses
Yes	93	78%
No	2	2%
No, but are working on the strategy	25	21%
Do not know	0	0%
Total responses to this question	120	100%

Q41. Is your agency digitizing temporary records in order to designate the digitized version as the recordkeeping copy? (36 CFR 1236.30)

Answer Option	Count per answer option	Percentage to total responses
Yes	167	64%
No	85	33%
Do not know	8	3%
Total responses to this question	260	100%

Q42. When digitizing temporary records, which of the following does the process include? (Choose all that apply) (36 CFR 1236.32)

Answer Option	Count per answer option	Percentage to total responses
Capture all information contained in the original source records	14	8%
Include all the pages or parts from the original source records	11	7%
Ensure the agency can use the digitized versions for all the purposes the original source records serve, including the ability to attest to transactions and activities	11	7%
Protect against unauthorized deletions, additions, or alterations to the digitized versions	4	2%
Ensure the agency can locate, retrieve, access, and use the digitized versions for the entire retention period	16	10%
All of the above	144	86%
None of the above	3	2%
Do not know	1	1%
Total responses to this question	167	100%

Q43. Does your agency's digitization process include procedures to validate and retain documentation indicating that the digitized versions are of suitable quality to replace the original source records? (36 CFR 1236.34)

Answer Option	Count per answer option	Percentage to total responses
Yes	142	86%
No	14	8%
Do not know	10	6%
Total responses to this question	166	100%

Q44. 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 Option	Count per answer option	Percentage to total responses
Yes	252	97%
No	4	2%
Do not know	5	2%
Total responses to this question	261	100%

Q45. What method(s) does your agency employ to capture and manage email and other electronic records? (Choose all that apply)

Answer Option	Count per answer option	Percentage to total responses
Captured and stored in an archiving system	167	64%
Captured and stored in an electronic records management system	107	41%
Captured and stored in shared drives or personal drives	117	45%
Captured and stored using cloud services with records management included	128	49%
Captured and stored using cloud services but records management IS NOT included	86	33%
Print and file	13	5%
Other, please be specific:	46	18%
Total responses to this question	261	100%

Q46. If Print and file: Please explain why or for what purposes 'print and file' is being used. [Text response - no statistics]

Q47. Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?

Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

Answer Option	Count per answer option	Percentage to total responses
Yes	103	39%
No	138	53%
Do not know	20	8%
Total responses to this question	261	100%

Q48. If Yes to Q47: What are they and how are they being used? [Text response - no statistics]

Q49. Please add any additional comments about your agency for Section III. (Optional) [Text response - no statistics]

Section IV: Access

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

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

Q50. 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 Option	Count per answer option	Percentage to total responses
Yes	225	86%
No	28	11%
Do not know	8	3%
Total responses to this question	261	100%

Q51. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

Answer Option	Count per answer option	Percentage to total responses
Annually	155	59%
Biennially	15	6%
Once every 3 years	18	7%
Ad hoc	56	21%
Never	10	4%
Do not know	7	3%
Total responses to this question	261	100%

Q52. Is your vital records plan part of the Continuity of Operations (COOP) plan? (36 CFR 1223.14 and Federal Continuity Directive, Annex 1)

Answer Option	Count per answer option	Percentage to total responses
Yes	226	87%
No	23	9%
Do not know	12	5%
Total responses to this question	261	100%

 The following questions relate to retrieval and access.

Q53. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

Answer Option	Count per answer option	Percentage to total responses
All records are easily retrieved and accessed when needed	115	44%
Most records can be retrieved and accessed in a timely manner	137	52%
Some records can be retrieved and accessed in a timely manner	9	3%
No	0	0%
Do not know	0	0%
Total responses to this question	261	100%

Q54. 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 Option	Count per answer option	Percentage to total responses
Yes	206	79%
No, please explain	46	18%
Do not know	5	2%
Not applicable, please explain	4	2%
Total responses to this question	261	100%

 The following question relates to migration.

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

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

Q55. 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 Option	Count per answer option	Percentage to total responses
Yes	151	58%
No	32	12%
No, pending final approval	5	2%
No, under development	68	26%
Do not know	5	2%
Total responses to this question	261	100%

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

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

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

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

Q56. How much impact does the ongoing COVID-19 pandemic still have on your agency's FOIA processing?

Answer Option	Count per answer option	Percentage to total responses
Significant negative impact to backlog continues, please explain	13	5%
Moderate negative impact to backlog continues	34	13%
Minimal negative impact to backlog continues	68	26%
None - completely meets or exceeds pre-pandemic levels of backlogs	138	53%
Not applicable, my agency is exempt from FOIA	8	3%
Total responses to this question	261	100%

Q57. Which of the following describes the working relationship between the Agency Records Officer and the Chief FOIA Officer? (Choose all that apply)

Answer Option	Count per answer option	Percentage to total responses
Work together on Information Technology (IT) requirements that benefit both programs	141	54%
Coordinate search terms to identify responsive records	98	38%
Identify programs or offices most likely to have responsive records	116	44%
Work together on high-profile or complex FOIA requests	114	44%
Provide training on records management and FOIA to each other's staff	113	43%
Training programs include the importance and relationship between FOIA and records management	109	42%
Other, please explain	35	13%
None of the above	12	5%
Not applicable, Agency Records Officer and the Chief FOIA Officer are the same person	13	5%
Not applicable, my agency is exempt from FOIA	8	3%
Total responses to this question	261	100%

Q58. Does your agency use e-Discovery tools to search for records when responding to FOIA and/or Legal Discovery?

Answer Option	Count per answer option	Percentage to total responses
Yes	191	73%
No, please explain	50	19%
Do not know	12	5%
Not applicable, my agency is exempt from FOIA	8	3%
Total responses to this question	261	100%

Q59. If Yes: For what purposes are e-Discovery tools used? (Choose all that apply)

Answer Option	Count per answer option	Percentage to total responses
Congressional requests	122	64%
De-duplication of records in responding to requests	133	70%
FOIA responses NOT involving requests for email records	120	63%
FOIA responses involving requests for email records	167	88%
Internal research for or by staff	83	44%
Knowledge management	44	23%

Lawsuit-related requests	149	78%
Legal discovery or third-party subpoena requests	138	73%
Managing legal holds	128	67%
None of the above	0	0
Not applicable, my agency is exempt from FOIA	0	0
Total responses to this question	190	100%

Q60. Why are e-Discovery tools not used to search for records. (Choose all that apply)		
Answer Option	Count per answer option	Percentage to total responses
Cost	11	22%
E-discovery tools are not available at my agency	31	63%
There are a limited number of licenses available	2	4%
Other, please be specific:	18	37%
Do not know	3	6%
Total responses to this question	49	100%

Q61. How often are you proactively (i.e., before receiving any FOIA requests for the information) making records public by posting information appropriate for the public? Note: FOIA reading room pages include records that because of the nature of their subject matter, the agency determines have become or are likely to become the subject of subsequent requests for substantially the same records; or that have been requested three or more times (5 U.S.C. 552(a)(2)(D)(ii))		
Answer Option	Count per answer option	Percentage to total responses
Annually	33	13%
Biannually	1	0%
Every two years	0	0%
Monthly	13	5%
Quarterly	19	7%
As needed	148	57%
Other, please explain	30	12%
Do not know	8	3%
Not applicable, my agency is exempt from FOIA	8	3%
Total responses to this question	260	100%
Q62. Please add any additional comments about your agency for Section IV. (Optional) [Text response - no statistics]		

Section V: Disposition

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 to transfer permanent electronic (digital) records to NARA's legal custody. This section covers both creation and implementation of records schedules.

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

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

Q63. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10)

Answer Option	Count per answer option	Percentage to total responses
2021 - 2022	137	52%
2019 - 2020	38	15%
2017 - 2018	29	11%
2015 - 2016	12	5%
2014 or earlier	29	11%
Do not know	16	6%
Total responses to this question	261	100%

Q64. 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 Option	Count per answer option	Percentage to total responses
Yes	157	61%
To some extent	83	32%
No	16	6%
Do not know	2	1%
Total responses to this question	258	100%

Q65. 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 Option	Count per answer option	Percentage to total responses
Yes	218	84%
No	33	13%
Do not know	7	3%
Total responses to this question	258	100%

This series of questions relates to scheduling email records.

Q66. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply)

Answer Option	Count per answer option	Percentage to total responses
GRS 6.1: Email Managed under a Capstone Approach; agency has an approved form NA-1005	200	77%
GRS 6.1: Email Managed under a Capstone Approach; agency does not have an approved form NA-1005	20	8%
Agency-specific email schedule	21	8%
Traditional records management (i.e., retention based on content, usually applied on an email-by-email basis, utilizing multiple NARA-approved disposition authorities)	54	21%
Email retention method has not been decided/scheduled by agency	3	1%
Do not know	1	0%
Other, please explain	11	4%
Total responses to this question	261	100%

Q67. Which of the following best describes your agency's response to the requirement to resubmit form NA-1005 in early 2023?

Note: All agencies using the GRS 6.1 are required to resubmit their form NA-1005 in early 2023. (NARA Bulletin 2022-02)

Answer Option	Count per answer option	Percentage to total responses
Agency is unaware of the requirement	2	1%
Agency is aware of the requirement but has not begun working on it	22	11%
Agency is prepared to resubmit form NA-1005	130	65%
Other, please explain	44	22%
Do not know	2	1%
Total responses to this question	200	100%

Q68. Does your agency plan on using GRS 6.1 for disposition authority for other types of electronic messages?

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

Answer Option	Count per answer option	Percentage to total responses
Yes	161	62%
No - My agency is planning to submit an agency-specific schedule	29	11%
No - My agency is planning on using traditional records management (i.e., retention based on content, usually applied on a message-by-message basis, utilizing multiple NARA-approved disposition authorities)	49	19%
Do not know	21	8%
Total responses to this question	260	100%

The next series of questions relates to transferring permanent records.

Q69. Did your agency transfer permanent non-electronic (analog) records to NARA during 2022? (36 CFR 1235.12)

Answer Option	Count per answer option	Percentage to total responses
Yes	109	42%
No	84	32%
No - Transfers were impacted by the COVID-19 pandemic	15	6%
No - No non-electronic (analog) records were eligible for transfer during 2022	15	6%
No - New agency, non-electronic (analog) records are not yet old enough to transfer	6	2%
No - My agency does not have any permanent non-electronic (analog) records	6	2%
Do not know	4	2%
Other, please explain	10	4%
No - My agency has submitted the transfer request, but actual transfer has not yet taken place	12	5%
Total responses to this question	261	100%

Q70. Did your agency transfer permanent electronic (digital) records to NARA during 2022? (36 CFR 1235.12)

Answer Option	Count per answer option	Percentage to total responses
Yes	52	20%
No	132	51%
No - Transfers were impacted by the COVID-19 pandemic	14	5%
No - No electronic (digital) records/systems were eligible for transfer during 2022	37	14%
No - New agency, electronic (digital) records/systems are not yet old enough to transfer	12	5%
No - My agency does not have any permanent electronic (digital) records	0	0%
Do not know	3	1%
Other, please explain	7	3%
No - My agency has submitted the transfer request, but actual transfer has not yet taken place	4	2%
Total responses to this question	261	100%

Q71. When transferring permanent records, did your agency include detailed finding aids for each specific media format?

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

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

Answer Option	Count per answer option	Percentage to total responses
Yes	95	81%
No	19	16%
Do not know	3	3%
Total responses to this question	117	100%

Q72. When transferring permanent electronic (digital) records, did the finding aids include the minimum set of metadata elements and other required documentation? (36 CFR 1235.48 and Bulletin 2015-04: Metadata Guidance for the Transfer of Permanent Electronic Records)

Answer Option	Count per answer option	Percentage to total responses
Yes	52	55%
No	0	0%
Do not know	3	3%
Not applicable - My agency did not transfer permanent electronic (digital) records in 2022	40	42%
Total responses to this question	95	100%

The next question relates to the management of websites and related records.

Q73. Does your agency ensure that all records on agency websites are properly managed?

Answer Option	Count per answer option	Percentage to total responses
Yes	209	80%
No	38	15%
Do not know	14	5%
Total responses to this question	261	100%

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

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

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

Q74. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?

Answer Option	Count per answer option	Percentage to total responses
Yes	69	26%
No	192	74%
Do not know	0	0%
Total responses to this question	261	100%

Q75. Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))

Answer Option	Count per answer option	Percentage to total responses
Yes	60	88%
No	5	7%
Do not know	3	4%
Total responses to this question	68	100%

Q76. 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 Option	Count per answer option	Percentage to total responses
Yes	39	15%
No	216	84%
Do not know	3	1%
Total responses to this question	258	100%

Q77. Has the facility been approved by NARA? (36 CFR 1234.30(a)(1))

Answer Option	Count per answer option	Percentage to total responses
Yes	25	64%
No	8	21%
Do not know	6	15%
Total responses to this question	39	100%

Q78. Will your agency move records from the agency-operated records center to a commercial records storage facility?

Answer Option	Count per answer option	Percentage to total responses
Yes	13	33%
No	22	56%
Do not know	4	10%
Total responses to this question	39	100%

Q79. Will your agency move records from the agency-operated records center to a Federal Records Center?

Answer Option	Count per answer option	Percentage to total responses
Yes	21	55%
No	15	39%
Do not know	2	5%
Total responses to this question	38	100%

Q80. Please add any additional comments about your agency for Section V. (Optional) [Text response - no statistics]

Section VI: Agency Demographics

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

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

Answer Option	Count per answer option	Percentage to total responses
500,000 or more FTEs	3	1%
100,000 - 499,999 FTEs	14	5%
10,000 - 99,999 FTEs	48	18%
1,000 - 9,999 FTEs	73	28%
100 - 999 FTEs	69	27%
1 - 99 FTEs	48	18%
Not Available	5	2%
Total responses to this question	260	100%

Q82. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

Answer Option	Count per answer option	Percentage to total responses
Senior Agency Official	173	67%
Office of the General Counsel	95	37%
Program Managers	97	37%
FOIA Officer	212	82%
Information Technology staff	180	69%
Records Liaison Officers or similar	114	44%
Administrative staff	66	25%
Other, please be specific:	39	15%
None	9	3%
Chief Data Officer	45	17%
Total responses to this question	260	100%

Q83. How much time did it take you to gather the information to complete this self-assessment?

Answer Option	Count per answer option	Percentage to total responses
Under 3 hours	63	24%
More than 3 hours but less than 6 hours	79	31%
More than 6 hours but less than 10 hours	50	19%
Over 10 hours	67	26%
Total responses to this question	259	100%

Q84. Did your agency's senior management review and concur with your responses to the 2022 Records Management Self-Assessment?

Answer Option	Count per answer option	Percentage to total responses
Yes	231	90%
No	25	10%
Do not know	2	1%
Total responses to this question	258	100%

Q85. Are you the Agency Records Officer?

Answer Option	Count per answer option	Percentage to total responses
Yes	226	87%
No	34	13%
Total responses to this question	260	100%

Q86. Has your Agency Records Officer designation been formally submitted to NARA as required by 36 CFR 1220.34(b) and NARA Bulletin 2017-02?

Answer Option	Count per answer option	Percentage to total responses
Yes	211	95%
No	10	4%
Do not know	2	1%
Total responses to this question	223	100%

Q87. If No to Q85: Please provide the Agency Records Officer's contact information. [Text response - no statistics]

Name:		
Email Address:		
Phone Number:		

Q88. Has the Agency Records Officer's designation been formally submitted to NARA as required by 36 CFR 1220.34(b) and NARA Bulletin 2017-02?

Answer Option	Count per answer option	Percentage to total responses
Yes	27	79%
No	7	21%
Do not know	0	0%
Total responses to this question	34	100%

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

Answer Option	Count per answer option	Percentage to total responses
Yes	232	89%
No	19	7%
Do not know	6	2%
Comments (Optional): (Please include in your comments how you use the Records Management Self-Assessment.)	30	12%
Total responses to this question	260	100%

Q90. Do you have any suggestions for improving the Records Management Self-Assessment next year? [Text Response - no statistics]

National Archives and Records Administration (NARA)
Federal Electronic Records and Email Management
Maturity Model Report for 2022
PART I: Federal Electronic Records Management
Domain 1: Management Support and Resourcing
Description: Management support and a strong positioning of an agency's records management program in the organizational structure is key to program success. This domain measures the level of management support, including the recognition of records and information as valuable assets, the alignment of the records program to business/mission functions to support strategic goals and objectives, the development of performance management, and adequate resources to include funding.
In accordance with OMB Circular A-130, agencies are required to consider records management for all resource planning and management activities. Senior Agency Officials for Records Management (SAORMs) must ensure sufficient resources are available and prioritized for managing electronic records, including policy, people, processes, and tools. This includes a sufficient number of dedicated, qualified, and trained records management staff to meet agency needs for program implementation. Adequate resources should be allocated to provide education and training for the general agency workforce, including contractors that handle or manage federal records. Agencies must designate records officers, records custodians, and other agency liaisons. These personnel, or records management staff, must have specialized training to perform the duties described in OPM occupational series 0308, Records and Information Management. Sufficient funding and resources should also be allocated for records management related products, services, equipment, and/or technology.
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.

Level/Points	Answer Option	Count per answer option	Percentage to total responses
**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.**			
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).	1	0%
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.	9	4%
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.	29	11%
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.	115	45%
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.	102	40%
	Total responses to this question	256	100%

	1.2 Which of the following best describes your agency's Agency Records Officer role, responsibilities and knowledge?		
Level/Points	Answer Option	Count per answer option	Percentage 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.	4	2%
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.	8	3%
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.	5	2%
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.	18	7%
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.	221	86%
	Total responses to this question	256	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 Option	Count per answer option	Percentage to total responses
0	Agency does not specifically assign records management roles or responsibilities to staff.	16	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.	5	2%
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.	35	14%
3	Agency has a network of staff with records management responsibilities who are trained on what this assignment means and basic records management.	54	21%
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.	146	57%
	Total responses to this question	256	100%

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

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	There is no attempt to monitor records management activity.	1	0%
1	Informal monitoring of the records management program is done on an ad hoc basis. No formal program is under development.	25	10%
2	General monitoring of records management program compliance is done on an ad hoc basis. Formal program performance measures are under development.	49	19%
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.	43	17%
4	Agency utilizes formal program performance measures, as well as NARA's annual Records Management Self-	137	54%

	Assessment, to monitor records management program compliance and remediate program activities found in need of improvement.		
	Total responses to this question	255	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 Option	Count per answer option	Percentage to total responses
0	Records management training does not exist and is not under development.	2	1%
1	Records management training is under development.	14	5%
2	High-level general records management training is available but not required.	18	7%
3	Records management training with some role-based training is available. General records management training is required at least once a year.	68	27%
4	Records management training, including role-based training, is part of the agencys' mandatory training for all staff and contractors, including senior executives and appointed officials.	154	60%
	Total responses to this question	256	100%

Domain 2: Policies
Description: A successful records management program has a governance framework, articulated policy, and clear standards. For electronic records management, this is particularly important due to fragility, security vulnerabilities, and other unique characteristics of electronic records. This domain measures the establishment, dissemination through training and other means, implementation, and use of policies specific to electronic records management topics.
Agency-wide policies and training must inform all personnel who create, receive, access, or use federal records of their records management responsibilities. Policies should be developed with all relevant stakeholders and must address the requirements of the Federal Records Act (FRA), 36 CFR Chapter XII Subchapter B, and other relevant guidance issued by NARA and OMB, such as OMB Circular A-130.
Specifically, for permanent electronic records, agencies must ensure policies are in place to effectively manage them from creation to transfer. Policies must fully explain how the agency expects staff to manage permanent electronic records and have agency-wide training programs that fully educate all staff on their responsibilities for managing all electronic records in accordance with these policies.

What Success Looks Like: Your agency's policies fully explain how to manage permanent electronic records, and procedures and training programs guide staff in fulfilling their responsibilities for managing all electronic records.	
Policies should include:	
	The identification of records management roles and responsibilities.
	Scheduling, managing and transferring permanent electronic records to NARA.
	The use of tools for digital signatures.
	Notification and reporting procedures for unauthorized access, use, alteration, alienation, or deletion of electronic records.
	The inclusion of records management into agency information resources management strategic plans.
	The inclusion of records management into the agency's Capital Planning and Investment Control process.
	The inclusion of records management into the agency's Systems Development Life Cycle process.
	NARA's records management language to safeguard government-owned permanent electronic records created, maintained, and stored on agency systems or cloud and social media platforms owned by third-party vendors.

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 Option	Count per answer option	Percentage 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.	4	2%
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.	60	23%
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.	54	21%

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.	124	48%
	Total responses to this question	256	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 Option	Count per answer option	Percentage to total responses
1	Relevant stakeholders have not been identified.	6	2%
2	Relevant stakeholders have been identified but are not actively engaged.	23	9%
3	Relevant stakeholders provide input but are not actively involved in creating policies or approving these policies.	15	6%
4	Relevant stakeholders provide input and review these policies before going to agency senior leadership for approvals.	81	32%
5	Relevant stakeholders, including agency senior leadership, are consistently and actively involved in creating and approving all records management policies.	131	51%
	Total responses to this question	256	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 Option	Count per answer option	Percentage 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.	5	2%
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.	28	11%
2	With policies under development, the roles and responsibilities are identified, and there is an awareness of the threat of loss of electronic records.	33	13%

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.	43	17%
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.	147	57%
	Total responses to this question	256	100%

Domain 3: Systems

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

Agencies must have control over permanent electronic records to ensure adequate capture, management, preservation, and transfer to NARA 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: Your agency's IT systems developers consider records management requirements throughout the systems development process. As a result, your agency's systems and business processes support the automated management of trustworthy permanent electronic records over time in accordance with all applicable requirements.

Systems for permanent records must:

	Comply with approved records schedules;
	● Allow permanent electronic records to be located, retrieved, accessed, presented, interpreted, and updated wherever they reside throughout their full lifecycle;
	● Automate security and management of permanent electronic records over time in accordance with NARA requirements; and
	● 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;
	○ Audit/track actions changing the level of record access;
	○ Audit/track changes in the location of permanent records; and

	○ Generate reports, both routine and customized, to demonstrate effective controls and compliance with the requirements for managing permanent electronic records.		

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 Option	Count per answer option	Percentage 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.	27	11%
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.	28	11%
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.	80	31%
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.	46	18%
5	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	29%
	Total responses to this question	255	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 Option	Count per answer option	Percentage 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.	24	9%
2	There is an inventory of electronic information systems that identifies which contains records but does not include location or retention instructions.	24	9%
3	There is an inventory of electronic information systems along with the location and includes limited ability to implement disposition.	105	41%
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.	81	32%
	Total responses to this question	255	100%

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

Level/Points	Answer Option	Count per answer option	Percentage to total responses
0	Systems owners are not aware of their responsibilities for managing permanent electronic records.	34	13%
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.	15	6%
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.	54	21%
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.	96	38%

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.	57	22%
	Total responses to this question	256	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 Option	Count per answer option	Percentage to total responses
0	Systems do not audit or track use of records.	35	14%
1	Systems could generate reports to audit/track use of records, but the agency is not considering tracking use of records.	12	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.	34	13%
3	Systems can generate reports. The agency does some auditing/tracking of the use of records.	106	41%
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, changing the level of record access, and changes in the location of permanent records.	69	27%
	Total responses to this question	256	100%

Domain 4: Access

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

What Success Looks Like: Your agency's permanent electronic records are protected against unauthorized access, use, alteration, alienation, deletion, or concealment. They are searchable, retrievable, and usable for as long as they are maintained in agency custody.

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 Option	Count per answer option	Percentage to total responses
0	Records (including those created by current and separated employees) are not searchable, retrievable, and usable.	4	2%
1	Some records created by current employees are searchable, retrievable, and usable but not for those created by separated employees.	4	2%
2	Some records created by current employees and those created by separated employees are searchable, retrievable, and usable throughout their lifecycle.	29	11%
3	Most records created by current and separated employees are searchable, retrievable, and usable throughout their lifecycle.	124	49%
4	All records (including those of current and separated employees) are searchable, retrievable, and usable throughout their lifecycle.	94	37%
	Total responses to this question	255	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 Option	Count per answer option	Percentage to total responses
0	Records are not identified, categorized or classified to enable accessibility and maintenance throughout the lifecycle.	23	9%
1	Some records are identified but not categorized or classified to enable accessibility and maintenance throughout the lifecycle.	10	4%
2	Some records are identified with limited categorization or classification to enable accessibility and maintenance throughout the lifecycle.	46	18%
3	Most records are identified and categorized or classified to enable accessibility and maintenance throughout the lifecycle.	101	39%

4	All records are identified and categorized or classified to enable accessibility and maintenance throughout the lifecycle.	76	30%
	Total responses to this question	256	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 Option	Count per answer option	Percentage to total responses
0	IT staff does not take any measures to prevent unauthorized access, use, alteration, alienation, deletion, or concealment of any records.	1	0%
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.	34	13%
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.	27	11%
3	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.	121	47%
4	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.	73	29%
	Total responses to this question	256	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 Option	Count per answer option	Percentage to total responses
0	Migration plans do not exist, and records are not considered when replacing systems.	12	5%
1	Migration plans exist but do not take into consideration temporary or permanent records status, long-term preservation or other recordkeeping requirements.	28	11%
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.	12	5%
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.	76	30%
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.	126	50%
	Total responses to this question	254	100%

Domain 5: Disposition
Description: This area is critical for successfully managing permanent electronic records. Agencies must follow the mandatory instructions contained in either agency-specific records schedules or the appropriate General Records Schedule to transfer permanent electronic records to NARA's legal custody.
What Success Looks Like: Agencies are operating with NARA-approved records schedules. Agencies are successfully completing transfers of permanent electronic records to the National Archives in acceptable formats with the appropriate metadata.

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 Option	Count per answer option	Percentage to total responses
0	There is no process for identification or scheduling of electronic records.	9	4%
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.	1	0%
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.	47	18%
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.	103	40%
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.	96	38%
	Total responses to this question	256	100%

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

Level/Points	Answer Option	Count per answer option	Percentage 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.	8	3%
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.	22	9%
2	Records management staff are occasionally informed when new electronic information systems are being planned or	47	18%

	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.		
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.	94	37%
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.	85	33%
	Total responses to this question	256	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 Option	Count per answer option	Percentage to total responses
0	Permanent electronic records do not meet the transfer guidance criteria and/or metadata requirements for transfer to the National Archives.	11	4%
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.	31	12%
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.	9	4%
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.	131	52%

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.	71	28%
	Total responses to this question	253	100%

APPENDIX IV: VALIDATION STRATEGY

Each year, we validate a random sample of agencies' responses to selected questions. For 2022, we selected 22 questions. Validation was conducted using a variety of internal NARA resources and also asking agencies to submit documentation.

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

2022 RMSA Validation Strategy and Results			
Q#	Topic	Validation Method	Results
3	Designation of SAORM	Verified all responses using 2022 SAORM reports and internal NARA resources that track SAORM designations.	95% correct. 5% incorrect.
11-13	RM Evaluations	Using a random sample (10%) of agencies responding 'Yes' their agency conducts evaluations with written reports by requesting a copy of the most recent evaluation report.	67% correct. 33% incorrect.
14	ARO RM Training Certificate	Verified all responses by using internal methods that track training courses taken by Agency Records Officers.	84% correct. 16% incorrect.
15-20	RM Training for RM Staff, all Staff, Senior Officials	Request training and information from a random sample (10%) of agencies who answer 'Yes.'	100% correct. And one non-responder to a documentation request.
25-26	RM Directives	Request latest approved RM Directive from a random sample (10%) of agencies who answer '2022 - present.'	100% correct. And one non-responder to a documentation request.
28	UD and Digital Records Policies	Request policy regarding UDs and electronic (digital) records of random samples (10%) of agencies who answer 'Yes.'	100% correct. And one non-responder to a documentation request.
38	EIS Inventory	Request EIS inventory from a random sample (10%) of agencies who answer 'Yes.'	71% correct. 29% incorrect. And one non-responder to a documentation request.
63	Records Schedule Submission	Verify with internal tracking for those who responded '2021-2022.'	78% correct. 22% incorrect.
66	Disposition Authority for Email Records	Verified a random sample (10%) of agencies using submitted NA-1005s and the List of Agency Approaches for Email Disposition, along with	100% correct.

Q#	Topic	Validation Method	Results
2022 RMSA Validation Strategy and Results			
		input from NARA's appraisal staff where needed.	
69	Transfer of Permanent Non-Electronic Records	Verified all responses using NARA's Research Services resources.	82% correct, 18% incorrect
70	Transfer of Permanent Electronic (Digital) Records	Verified all responses using NARA's Research Services resources.	91% correct. 9% incorrect.
85-86	Assign ARO	Verified all responses using internal resources that track Agency Records Officer designations.	100% correct.
2022 Senior Agency Official for Records Management (SAORM) Reports			
7	Hardware and Software Upgrades for Electronic Messages	Request policy/procedures from random sample (10%) of responses.	11% correct. 89% incorrect. And one non-responder to a documentation request. Policies were received from the random sample; however, only 11% included hardware and software language. In addition, 56% of the policies only covered email, while 44% included additional electronic messages.

APPENDIX V: NON-RESPONDING AGENCIES

Senior Agency Official for Records Management Annual Report

- James Madison Memorial Fellowship Foundation
- National Council on Disability
- Pension Benefit Guaranty Corporation
- United States African Development Foundation
- U.S. Commission for the Preservation of America's Heritage Abroad

Records Management Self-Assessment

- Administrative Office of the United States Courts
- Department of Commerce
    - o Bureau of the Census
    - o National Telecommunications and Information Administration
- Department of Health and Human Services/Indian Health Service
- Department of Homeland Security/Cybersecurity and Infrastructure Security Agency
- Department of Labor/Adjudicatory Boards
- Harry S. Truman Scholarship Foundation
- National Endowment for the Arts
- United States African Development Foundation
- United States Arctic Research Commission
- United States Capitol Police
- United States Tax Court
- Utah Reclamation Mitigation and Conservation Commission

Federal Electronic Records and Email Management Maturity Model Report

- Administrative Office of the United States Courts
- Department of Commerce
    - o Bureau of the Census
    - o National Telecommunications and Information Administration
- Department of Health and Human Services/Indian Health Service
- Department of Homeland Security/Cybersecurity and Infrastructure Security Agency
- Department of Labor/Adjudicatory Boards
- Gulf Coast Ecosystem Restoration Council
- Harry S. Truman Scholarship Foundation
- James Madison Memorial Fellowship Foundation
- National Endowment for the Arts
- United States African Development Foundation
- United States Arctic Research Commission
- United States Capitol Police
- United States Nuclear Waste Technical Review Board
- United States Tax Court
- Utah Reclamation Mitigation and Conservation Commission