1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

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

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

Text Response

(b) (6) [redacted] Records Officer Office of Systems/Records Management Staff

3. Does your agency have a records management directive(s)? (36 CFR 1220.34(c))

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

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

#	Answer	Bar	Response	%
1	✔ FY 2015 - present		1	100%
2	✔ FY 2013 - 2014		0	0%
3	✔ FY 2011 - 2012		0	0%
4	FY 2010 or earlier		0	0%
5	Do not know		0	0%
7	Not applicable, agency does not have a records management directive		0	0%
	Total		1	

5. Has your agency updated its records management directives and/or policies to reflect changes to the Federal Records Act (Public Law 113-187)?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	No, unaware of these changes		0	0%
4	Under development		0	0%
5	Do not know		0	0%
6	Other, please explain		0	0%
	Total		1	

Other, please explain

6. Has your agency's records management program established strategic goals and objectives?

#	Answer	Bar	Response	%
7	Yes		1	100%
8	No		0	0%
9	To some extent		0	0%
10	Do not know		0	0%
	Total		1	

7. Does the leadership and management of your agency recognize records and information management as a priority?

#	Answer	Bar	Response	%
1	Yes	▬▬▬▬▬	1	100%
2	No		0	0%
3	To some extent		0	0%
4	Do not know		0	0%
	Total		1	

8. Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. (36 CFR 1220.34(d))

#	Answer	Bar	Response	%
1	✓ Yes	▬▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

9. 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 the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	✓ Yes	▬▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

10. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, 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 the Federal Records Officer Network (FRON) RM 101 course.

#	Answer	Bar	Response	%
1	✓ Yes	▬▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

11. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created and maintained in electronic formats? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.

#	Answer	Bar	Response	%
1	✓ Yes	▬▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

12. Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created through electronic communications including email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.

#	Answer	Bar	Response	%
1	✔ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
5	✔ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

13. Does your agency require that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

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

14. Is the records management training described in questions 9 through 13 mandatory?

#	Answer	Bar	Response	%
1	✔ Yes		1	100%
2	✔ To Some Extent		0	0%
3	No		0	0%
4	Do not know		0	0%
5	Not applicable, agency has not developed internal records management training		0	0%
	Total		1	

15. Which staff members are required to complete the records management training described in questions 9 through 13? (Choose all that apply)

#	Answer	Bar	Response	%
2	Agency employees		1	100%
3	Contractors		0	0%
4	Senior officials		1	100%
5	Employees assigned records management responsibilities		1	100%
6	Do not know		0	0%

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

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency has not developed internal records management training		0	0%
	Total		1	

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

Text Response

Q15 Records Management Training was made available to all contractors, but could not be required if it was not specifically included as a requirement in the original contract.

18. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e)) ** These controls must be internal to your agency. Reliance on information from external agencies (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

#	Answer	Bar	Response	%
1	✔ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

---

19. Please select the control activities your agency performs to ensure that all eligible permanent records in all media are transferred to NARA. (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular briefings and other meetings with records creators		1	100%
2	Approval process for transfer notices from Federal Records Centers		1	100%
3	Monitoring and testing of file plans		1	100%
4	Regular review of records inventories		1	100%
5	Internal tracking database of permanent record authorities and dates		0	0%
6	Other, please explain		0	0%

Other, please explain

---

20. 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 (for example, NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

#	Answer	Bar	Response	%
1	✔ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

---

21. Please select the control activities your agency performs to ensure that Federal records are not destroyed before the end of their retention period. (Choose all that apply)

#	Answer	Bar	Response	%
1	Regular review of records inventories		1	100%
2	Approval process for disposal notices from off-site storage		1	100%
3	Require certificates of destruction		1	100%
4	Monitoring shredding services		0	0%
5	Performance testing for email		0	0%
6	Monitoring and testing of file plans		1	100%
7	Pre-authorization from records management program before records are destroyed		1	100%
8	Ad hoc monitoring of trash and recycle bins		0	0%
9	Notification from facilities staff when large trash bins or removal of boxes are requested		0	0%
10	Annual records clean out activities sponsored and monitored by records management staff		1	100%
11	Other, please explain		0	0%

Other, please explain

22. Does your records management staff have oversight over records created at the highest levels of your agency (i.e. those of Agency Heads and appropriate advisors, and executive support staff) in order to ensure they are created, maintained, captured, preserved, and, when applicable, properly transferred to NARA? (36 CFR 1220)

#	Answer	Bar	Response	%
1	Yes	▬▬▬▬▬▬	1	100%
2	No		0	0%
3	Other, please explain		0	0%
	Total		1	

Other, please explain

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

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✔ Every 1 - 2 years	▬▬▬▬▬▬	1	100%
2	✔ Every 3 - 4 years		0	0%
3	✔ Every 5 years		0	0%
4	More than every 5 years		0	0%
5	Do not know		0	0%
7	Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
5	Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Yes	▬▬▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, agency does not evaluate its records management program		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬▬▬	1	100%
2	No		0	0%
3	✔ Currently under development		0	0%
4	Do not know		0	0%
5	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

28. Please describe your agency's records management program's performance goals.

Text Response

• Update our Mandatory Training for all SSA Employees by spring 2016 • Update Electronic Messaging Policy by April 2016 • Contract mid-level records management assessment of our RM program by spring 2016 • Implement Capstone by December 31, 2016 • Increase RMC participation in RM agency compliance by 2017 • Submit all Big Bucket records schedules to NARA by FY 2018 • Implement a solution to manage all electronic permanent records electronically by December 31, 2019 • Conduct a minimum of 3 component surveys annually • Conduct Records Management campaign annually • Destroy all records stored at the FRCs that are eligible for destruction before the end of notification quarter • Quarterly monitor inventory in records holding area to identify permanent records eligible for transfer to NARA

29. Please describe the progress your agency has made towards identifying performance goals for its records management program. Include the time frame for completion in your remarks.

Text Response

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

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬▬▬	1	100%
2	No		0	0%
3	✔ Currently under development		0	0%
4	Do not know		0	0%
5	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

31. Which of these input measures do you collect to monitor your records management program's performance? (Choose all that apply)

#	Answer	Bar	Response	%
1	Percentage of records scheduled		0	0%
2	Percentage of staff trained in records management	▬▬▬▬▬	1	100%
3	Percentage of offices evaluated/inspected for records management compliance		0	0%
4	Percentage of email management auto-classification rates		0	0%
5	Development of new records management training modules	▬▬▬▬▬	1	100%
6	Audits of internal systems	▬▬▬▬▬	1	100%
7	Annual updates of file plans		0	0%
8	Performance testing for email applications to ensure records are captured		0	0%
9	Do not know		0	0%
10	Other, please explain		0	0%

Other, please explain

32. Please describe the progress your agency has made towards identifying performance measures for its records management program. Include the time frame for completion in your remarks.

Text Response

33. Does your agency's records management program have documented and approved policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))

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

34. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✔ Annually	▬▬▬	1	100%
2	✔ Every 2 - 3 years		0	0%
3	✔ Every 4 - 6 years		0	0%
4	Never		0	0%
5	Do not know		0	0%
	Total		1	

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

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

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

Text Response

38. When was the last time your agency submitted a records schedule to the National Archives?

#	Answer	Bar	Response	%
1	FY 2013 -- 2015		0	0%
2	FY 2010 -- 2012	▬▬▬	1	100%
3	FY 2007 – 2009		0	0%
4	FY 2006 or earlier		0	0%
7	Do not know, please explain		0	0%
	Total		1	

Do not know, please explain

39. Has your agency ever submitted a records schedule for approval using the Electronic Records Archives (ERA)?

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

40. Does your agency disseminate every approved disposition authority (including newly approved records schedules and General Records Schedule items) to agency staff within six months of approval? (36 CFR 1226.12(a))

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

41. Did your agency transfer permanent non-electronic records to NARA during FY 2015? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬▬	1	100%
2	No		0	0%
4	✔ No - No records were eligible for transfer during 2015		0	0%
5	✔ No - New agency, records are not yet old enough to transfer		0	0%
7	Do not know		0	0%
8	Other, please explain		0	0%
9	No - My agency does not have any permanent non-electronic records		0	0%
	Total		1	

Other, please explain

42. Did your agency transfer permanent electronic records to NARA during FY 2015? (36 CFR 1235.12)

#	Answer	Bar	Response	%
1	✔ Yes		0	0%
2	No		0	0%
4	✔ No - No electronic records/systems were eligible for transfer during FY 2015	▬▬▬▬	1	100%
5	✔ No - New agency, electronic records/systems are not old enough to transfer		0	0%
7	Do not know		0	0%
8	Other, please explain		0	0%
9	No - My agency does not have any permanent electronic records		0	0%
	Total		1	

Other, please explain

43. Were the permanent electronic records transferred during FY 2015 using the Electronic Records Archives (ERA)?

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

44. Does your agency have a method for estimating the volume in bytes of permanent electronic records currently being maintained by your agency?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No	�bar	1	100%
3	Do not know		0	0%
4	Not applicable, my agency does not have any permanent electronic records		0	0%
	Total		1	

45. When will these permanent electronic records be eligible for transfer to NARA? (Choose all that apply)

#	Answer	Bar	Response	%
1	FY 2016		0	0%
2	FY 2017		0	0%
3	FY 2018	▀bar	1	100%
4	FY 2019		0	0%
5	FY 2020		0	0%
6	After FY 2020		0	0%
7	Do not know, please explain		0	0%
8	Not applicable, my agency does not have any permanent electronic records		0	0%

Do not know, please explain

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

#	Answer	Bar	Response	%
1	Yes	▀bar	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

47. What methods does your agency use to track its permanent records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Rely on Federal Records Center notifications	▀bar	1	100%
2	Maintain an inventory	▀bar	1	100%
3	Database or other automated tracking	▀bar	1	100%
4	Manual tracking		0	0%
5	Other, please explain		0	0%

Other, please explain

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

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

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

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

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

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

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

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

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

#	Answer	Bar	Response	%
4	Yes	▬▬▬▬	1	100%
5	No		0	0%
6	Do not know		0	0%
	Total		1	

53. Does the staging or holding area(s) comply with the standards prescribed by 36 CFR 1234*?   *It is not required but encouraged that staging or holding areas comply with 36 CFR 1234.

#	Answer	Bar	Response	%
4	Yes	▬▬▬▬	1	100%
5	No		0	0%
6	Do not know		0	0%
	Total		1	

54. Does your agency provide exit briefings for senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1230.10(a & b))

#	Answer	Bar	Response	%
1	✓ Yes	▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

55. Who is involved in the exit briefings? (Choose all that apply)

#	Answer	Bar	Response	%
1	Agency Records Officer		0	0%
2	Senior Agency Official for Records Management		0	0%
3	Chief Information Officer		0	0%
4	Other, please explain		1	100%

Other, please explain

Our Executive Services Division under Human Resources Office conduct exit interviews and provide a copy of the NARA pamphlet "Personal Papers of Executive Branch Officials: A Management Guide" and a copy of our internal policy, AIMS Instruction - Records Management Handbook, Chapter 3. Separating executives are encouraged to contact the Agency Records Officer if he or she has further questions or needs assistance. The Office of General Counsel is informed in the event the executive is involved in agency litigation and emails need to be preserved.

56. Are the exit briefings documented for purposes of accountability?

#	Answer	Bar	Response	%
1	✓ Yes		0	0%
2	No		1	100%
3	Do not know		0	0%
4	Not applicable, agency does not provide exit briefings for senior officials		0	0%
	Total		1	

57. Upon separation, are senior officials required to obtain approval from records management program staff or other designated official(s) before removing personal papers and copies of records?

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

No, please explain

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

Text Response

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

#	Answer	Bar	Response	%
1	✓ Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	✓ Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

60. Does your agency have documented and approved procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

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

61. Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems?

#	Answer	Bar	Response	%
1	Yes	▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, please explain		0	0%
	Total		1	

Not applicable, please explain

62. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬▬	1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

63. 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)

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬▬	1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
4	✔ Not applicable, please explain		0	0%
	Total		1	

No, please explain   Not applicable, please explain

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

#	Answer	Bar	Response	%
1	✔ Yes	▬▬▬▬	1	100%
2	✔ To Some Extent		0	0%
3	No, please explain		0	0%
4	Do not know		0	0%
6	✔ Not applicable, please explain		0	0%
	Total		1	

No, please explain   Not applicable, please explain

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

#	Answer	Bar	Response	%
1	Participate in review and acceptance of proposals for new systems		0	0%
2	Participate as stakeholder in requirements gathering	▬	1	100%
3	Participate as stakeholder in design phase	▬	1	100%
4	Participate as stakeholder in development phase including testing the system		0	0%
5	Provide sign off authority for the implementation of new systems	▬	1	100%
6	Monitor system for adherence to standards, policies, and procedures		0	0%
7	Provide information only		0	0%
8	Do not know		0	0%
10	Other, please explain		0	0%

Other, please explain

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

#	Answer	Bar	Response	%
1	✓ Yes	▬	1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

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

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

68. Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02)

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

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

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

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

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

71. Does your agency have documented and approved policies that address the use of personal email accounts that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

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

72. Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are Federal records? (36 CFR 1236.22(a)(3))

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

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

#	Answer	Bar	Response	%
1	Print and file	▬▬▬▬▬	1	100%
2	Captured and stored as .PST	▬▬▬▬▬	1	100%
3	Captured and stored in an electronic records management system		0	0%
4	Captured and stored in an email archiving system		0	0%
5	Not captured and email is managed by the end-user in the native system	▬▬▬▬▬	1	100%
6	Other, please be specific		0	0%

Other, please be specific

74. Does your agency audit staff compliance with the agency's email preservation policies?

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

75. Who audits staff compliance with the agency's email preservation policies? (Choose all that apply)

#	Answer	Bar	Response	%
1	Inspector General	▬▬▬▬▬	1	100%
2	Chief Information Officer		0	0%
3	Agency Records Officer	▬▬▬▬▬	1	100%
4	Other, please explain		0	0%
5	Do not know		0	0%

Other, please explain

76. How often does your agency audit staff compliance with the agency's email preservation policies?

#	Answer	Bar	Response	%
1	✔ Every 6 months		0	0%
2	✔ Every year	▇▇▇▇	1	100%
3	✔ Every 2 years		0	0%
4	✔ Less frequently than every 2 years		0	0%
5	Do not know		0	0%
6	Not applicable, agency does not audit staff compliance		0	0%
	Total		1	

77. Does your agency plan to adopt the "Capstone" approach to managing email records as specified in NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records?

#	Answer	Bar	Response	%
1	Yes	▇▇▇▇	1	100%
2	No, please explain		0	0%
3	Do not know		0	0%
	Total		1	

No, please explain

78. Have you submitted a retention schedule for identifying "Capstone" accounts for approval by NARA?

#	Answer	Bar	Response	%
5	Yes		0	0%
6	No, please explain		0	0%
7	Do not know		0	0%
8	Not applicable, planning to use GRS 6.1: Email Managed Under a Capstone Approach	▇▇▇▇	1	100%
	Total		1	

No, please explain

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

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain	▇▇▇▇	1	100%
	Total		1	

Other, please explain

We are currently obtaining inter-agency approval to update our Electronic Records Management Policy found in our Administrative Instructions Manual System (AIMS)MRM 07.02 that will specifically include "text messages, chat/instant messages, voice messages, and messages created in social media tools or applications that meet the definition of a Federal record.

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

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

81. Does your agency create and maintain any of the following types of metadata for electronic records? (Choose all that apply)

#	Answer	Bar	Response	%
1	Descriptive metadata		1	100%
2	Structural metadata		1	100%
3	Administrative metadata		1	100%
4	Rights management metadata		1	100%
5	Preservation metadata		1	100%
6	Not applicable, please explain		0	0%
7	Do not know		0	0%
8	Other, please explain		0	0%

Not applicable, please explain	Other, please explain

82. Does your agency maintain metadata for permanent records in a records management or other application?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
	Total		1	

Other, please explain

83. Does your agency maintain metadata for permanent records sufficient to understand, maintain and provide access to the records?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	Do not know		0	0%
4	Other, please explain		0	0%
	Total		1	

Other, please explain

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

Text Response

For Q80: NARA advised us not to submit any records schedules (unless an emergency), since we will implement Big Bucket.

85. Does your agency have an SAO for Records Management? (If you are a component of a Department, you may answer yes, even if this is not being done at the component level.)

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

86. Does your agency records officer meet regularly (four or more times a year) with the SAO for Records Management to discuss the agency records management program goals?

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

87. Is your agency actively working with NARA appraisal staff to schedule all unscheduled paper and other non-electronic records by December 31, 2016?

#	Answer	Bar	Response	%
1	Yes	▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, all paper and other non-electronic records have been scheduled		0	0%
	Total		1	

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

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

89. What methods does your agency use to identify new and unscheduled records?

Text Response

We review component file plans, have Systems components who are developing new applications to complete the Records Management Questionnaire so we can apply the disposition authority (records schedule) to the records stored, and we also conduct component surveys.

90. Has your agency identified any additional unscheduled records that have not already been reported to NARA?

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No	▬▬▬	1	100%
4	Do not know		0	0%
	Total		1	

91. Please send to rmselfassessment@nara.gov by January 29, 2016, an updated spreadsheet containing only the newly identified unscheduled records that have not already been reported to NARA. (The spreadsheet was sent to RMSA contacts on November 2, 2015, along with an advanced copy of the questionnaire. Please email rmselfassessment@nara.gov if you did not receive it or need another one.)

#	Answer	Bar	Response	%
1	Sent		0	0%
2	Not Sent		0	0%
	Total		0	

92. Does your agency use cloud services?

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

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

#	Answer	Bar	Response	%
1	Email		0	0%
2	Administrative functions such as payroll, purchasing, and financial management	▬▬▬	1	100%
3	Mission/program-related functions		0	0%
4	Other, please explain	▬▬▬	1	100%
5	Do not know		0	0%

Other, please explain

Google Analytics

94. Are recordkeeping requirements included?

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

95. Will your agency use the new Records and Information Management Series, 0308, (job series) released by the Office of Personnel Management in 2015?

#	Answer	Bar	Response	%
1	Yes	▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Not applicable, my agency does not use the General Schedule (GS) job classifications		0	0%
	Total		1	

96. Why will your agency NOT be using the new job series?

Text Response

97. In 2015, NARA and the Federal Records Council introduced the Federal RIM Program Maturity Model (http://www.archives.gov/records-mgmt/prmd.html). Are you familiar with this or other maturity models?

#	Answer	Bar	Response	%
4	Yes	▬▬▬▬	1	100%
5	No		0	0%
6	Comments: (Optional)		0	0%

Comments (Optional)

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

#	Answer	Bar	Response	%
1	Yes		0	0%
2	No		0	0%
3	Comments: (Optional)	▬▬▬▬	1	100%

Comments (Optional)

We've asked NARA to conduct a mid-level assessment of our Records Management program and they will use this model. We expect them to conduct this assessment in early spring 2016.

99. Does your agency use your RMSA scores to measure the effectiveness of the records management program?

#	Answer	Bar	Response	%
1	Yes	▬▬▬▬	1	100%
2	No		0	0%
3	Do not know		0	0%
4	Comments: (Optional) - Please include in your comments how you use the RMSA, if applicable		0	0%

Comments (Optional) - Please include in your comments how you use the RMSA, if applicable

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

#	Answer	Bar	Response	%
1	500 000 or more FTEs		0	0%
2	100 000 – 499 999 FTEs		0	0%
3	10 000 – 99 999 FTEs	▬▬▬▬▬	1	100%
4	1 000 – 9 999 FTEs		0	0%
5	100 – 999 FTEs		0	0%
6	1 – 99 FTEs		0	0%
7	Not Available		0	0%
	Total		1	

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

#	Answer	Bar	Response	%
1	Senior Agency Official	▬▬▬▬▬	1	100%
2	Office of the General Counsel		0	0%
3	Program Managers	▬▬▬▬▬	1	100%
4	nformation Technology staff	▬▬▬▬▬	1	100%
5	Records Liaison Officers or similar	▬▬▬▬▬	1	100%
6	Administrative staff	▬▬▬▬▬	1	100%
7	Other (please be specific)		0	0%
8	None		0	0%

Other (please be specific)

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

#	Answer	Bar	Response	%
1	Less than 3 hours		0	0%
2	More than 3 hours but less than 6 hours		0	0%
3	More than 6 hours but less than 10 hours		0	0%
4	More than 10 hours	▬▬▬▬▬	1	100%
	Total		1	

103. Did your agency's senior management review and concur with your responses to the 2015 Records Management Self-Assessment?

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

104. Please provide your contact information.

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

105. Are you the Agency Records Officer?

#	Answer	Bar	Response	%
1	Yes	▬▬▬▬▬	1	100%
2	No		0	0%
	Total		1	

106. Please provide the name of your Agency Records Officer.

Text Response

107. Records Officer's Email Address:

Text Response

108. Records Officer's Phone Number:

Text Response

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

Text Response

Suggestions: - Provide a points-key/legend for available responses; for example, is "Do Not Know" – an automatic zero/no points – or is it counted as a negative point? - Allow for additional comments immediately after the question as done in the 2014 RMSA, opposed to adding all additional comments at the end of the sections.

110. Q_URL

Value	Total
/SE/?Q DL=1YckXAhIa2dOVoN 1HsFce0VMjHyIOB MLRP cCQ7sgTsDfzkDyd&Q CHL=email	1

111. SSID

Value	Total

112. Score

Statistic	Value
Mean Score	97.00
Score Standard Deviation	0.00
Weighted Mean of Items	0.82
Weighted Standard Deviation of Items	1.31
Items	118.00