Records Management Self-Assessment

2009

Abstract: In September 2009 the National Archives and Records Administration issued a records management self-assessment to Federal agencies regulated under Subchapter B – Records Management of 36 Code of Federal Regulations Chapter XII.

An Assessment of Records Management Programs in the Federal Government

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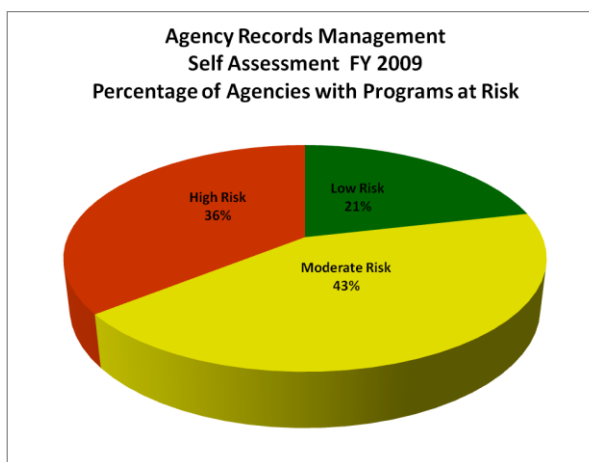
Records Management Self-Assessment Report
2009

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EXECUTIVE SUMMARY

In September 2009, the National Archives and Records Administration (NARA) issued a mandatory records management self-assessment to 242 Federal Cabinet Level Agencies and their components, and independent agencies. The goal of the initial self-assessment was to gather data to determine how effective Federal agencies are in meeting the statutory and regulatory requirements for records management. Agencies' compliance with the requirements ensures that they effectively create and manage records necessary to meet their business needs; maintain records long enough to protect citizens' rights and assure government accountability; and preserve historically valuable records for future generations.

Agency Records Management Self Assessment FY 2009
Percentage of Agencies with Programs at Risk

High Risk 36%
Low Risk 21%
Moderate Risk 43%

Based on 220 responses to the Self Assessment

Ninety-one percent of agencies responded to the self-assessment; 21 agencies did not.[1] The responses indicate that 21 percent of Federal records management programs are at low risk of improper disposition of records.

In this report, NARA categorizes agencies as having low, moderate, and high levels of records management-related risk. Agencies scoring 90 or above on a 100-point scale are at low risk, 60-89 are at moderate risk, and 59 or below are at high risk. NARA will use these results as one indicator of how compliant an agency's records management program is with existing Federal records management regulations and policies. NARA will examine these results, along with findings from agency inspections and other records management studies, to assess more thoroughly records management within individual agencies and throughout the Federal Government. While the 2009 self-assessment sets a solid foundation from which to view records management across the Government, NARA requires more data to inform its oversight activities.

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[1] See Appendix 3 for a list of non-responders.

AUTHORITY

Under 44 U.S.C. 2904 and 2906, NARA has authority to inspect the records management practices and programs of Federal agencies. NARA evaluates agencies for compliance with the requirements stated in 44 U.S.C. Chapters 31 and 33 and the regulations issued in the Code of Federal Regulations (CFR), specifically Subchapter B – Records Management of 36 (CFR) Chapter XII.[2] NARA reports its findings to the appropriate oversight and appropriations committees of Congress and to the Director of the Office of Management and Budget (OMB).

METHODOLOGY

In 2009, NARA began requiring that all Federal agencies assess their records management programs and report the results to NARA. This project, also known as the records management self-assessment, serves as a baseline measure of records management programs and practices in the Federal Government. Agencies should use these results as a starting place to improve their programs, particularly where they indicate a high level of risk. These initial results are indicators of where policies and records schedules exist but may need updating, and where policies do not exist at all. This assessment may also highlight internal agency records management training needs and areas that may need more collaboration between agencies, especially components of cabinet level agencies. NARA and responding agencies will be able to use future assessments to build on this initial information.

We developed a methodology and a questionnaire for conducting the self-assessment. To do so, we examined existing best practices and guidance products. We decided that the self-assessment would be conducted annually and have a special focus each year.   For the 2009 self-assessment we selected e-mail as our special topic area because it has been the focus of widespread public interest.

The self-assessment team organized a focus group of Federal records management officers to obtain feedback on the proposed questions. Based on their feedback NARA modified the original questions. In August 2009, NARA piloted a revised self-assessment questionnaire to a small group of agencies using a web-based survey instrument. We told pilot participants that they would not have to complete the questionnaire again when it was distributed government-wide in September unless they chose to do so; their responses for the pilot would be included in NARA's report for the FY 2009 self-assessment.

NARA informed agency heads by letter of the pending distribution of its mandatory self-assessment to Federal records officers. The letter advised agencies that a self-assessment would be distributed via a web-link on September 28, 2009, and established a deadline of close of business on October 16 for its completion. On September 14, Federal records management

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[2] On November 2, 2009, NARA issued revised regulations affecting Federal agencies and their records management programs. (see http://www.archives.gov/about/regulations/subchapter/b.html)

officers received an advance electronic version of the self-assessment questionnaire, and on September 28, NARA activated the web-based survey tool. NARA sent the web link to 242 Federal records officers and received 220 responses. This translated into a 91 percent response rate.[3]

To determine whether certain types of agencies are more prone to having records-related risk, NARA separated agencies into categories. We first divided agencies by type: Cabinet, Independent, Executive Office of the President (EOP), and Legislative and Judicial. [See Appendix II]

We further sub-categorized cabinet component agencies and independent agencies by size as follows:

- Large – 1000 or more employees
- Small – 999 or fewer employees[4]

Each of the thirty-four questions in the self-assessment cover an aspect of an agency's records management program and practices. In some cases, we subtracted points if an agency answered a question affirmatively but either failed to respond or gave an incomplete response to the follow-up question. NARA did not grade agencies on any optional comments they provided, though they inform our analysis of the answers.

The scoring weight of a question is related to its subject's importance within an agency's records management regimen. We value each of the twenty-three scored questions between two and six points, for a maximum of 100 points. Because the focus of the FY 2009 self-assessment was agencies' management of e-mail records, NARA weighted questions in this section more heavily than in others.

Maximum Point Values (per section)
1. Program Management – 26
2. Records Disposition – 18
3. Vital Records – 8
4. Electronic Records – 18
5. E-mail Records – 30

NARA considers those agencies receiving 90 or more total points to have a relatively low level of risk related to their records management programs. We consider those with total scores

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[3] NARA initially sent 253 self-assessments. Of this number, 4 agencies submitted duplicate entries and 4 Non-Federal Records Act organizations submitted responses. These 8 responses are not included in this report and we subtracted them from the total number of responses. NARA also identified 3 e-mail addresses that did not belong to records officers. These were also removed.
[4] Sized-based categories (large/small) are based in part on the employment data in the US Office of Personnel Management's FedScope database, www.fedscope.opm.com.

between 60 and 89 to have programs at moderate risk, and those with scores below 60 are considered to be at high risk.

ABOUT THE DATA

NARA identified a number of issues that impact the reliability and usefulness of the results for this self-assessment. We will address these issues in the FY 2010 self-assessment.

Project Methodology

The agencies that received the self-assessment do not reflect the full universe of agencies regulated by 36 CFR Chapter XII Subchapter B. Although the regulations require that agencies provide NARA with contact information for their records officers, not all do so. Consequently, NARA's current records officer distribution list is incomplete. We also discovered that the list does include people who are not responsible for their agency's records management program. As a result, NARA erroneously sent these contacts self-assessments and received responses from them. We did not score or include those responses in this report.

This corresponds with another issue NARA uncovered during this self-assessment relating to the roles of departmental and component-level records officers.   Because 36 CFR 1220.34(a) does not specify at what level agencies must designate records officers, agencies appoint records officers at their discretion. Agencies of comparable size and complexity may have multiple records officers or only one answering on behalf of the organization. Some large agencies preferred that department level records officers respond for the entire organization, but we sent self-assessments to departmental and component-level records officers because the size of some components merited individual responses. NARA works with component-level records officers on records scheduling matters and we believe it was important to include them. Conversely, some departments do not have a departmental records officer.[5] In at least one case, the departmental-level contact did not respond and deferred to the components for responses.

NARA did not verify or validate agencies' responses to the self-assessment. Due to NARA staff limitations and time constraints, we could not follow-up with agencies to confirm their answers. However, NARA appraisal archivists reviewed the information provided by the agencies and their comments are incorporated into the analysis. As a next step, NARA will use this report to contact agencies concerning specific actions that are needed to address the risks identified in this report.

Questions

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[5] For example, the Department of Transportation does not have a departmental records officer.

Despite our focus group and pilot test of the questions, our analysis indicates the wording of some may have been unclear.   Some respondents answered "no" when their comments indicated they should have answered "yes," and vice versa. Some respondents wrote that a question was unclear, or had responses that imply this was the case. In analyzing responses, we took agencies at their word and did not attempt to verify submissions. However, we will use the information provided to establish baselines from which to work with individual agencies.

Of special concern, NARA found that some of its questions, while based on 36 CFR Chapter XII Subchapter B, were not applicable to very small commissions and organizations (less than 100 FTE). However, a "no" answer to the question reduced their scores. In this way, the scoring methodology penalized small and micro- organizations, and their final scores may not accurately reflect their records management-related risk.

Scoring

Most questions had yes/no answers that were assigned numeric scores. Some were follow-up questions that asked respondents to provide specific information or an explanation, such as the title and date of their records management directive. These questions did not lend themselves to binary scoring. However, we subtracted points from an agency's score if it provided incomplete information or did not answer the follow-up question.

FY 2009 SELF-ASSESSMENT

NARA divided the FY 2009 Self-Assessment into five sections: Program Management, Records Disposition, Vital Records, Electronic Records, and E-Mail Records.

SECTION ONE: PROGRAM MANAGEMENT

NARA asked twelve questions to determine the extent to which agencies have established formal records management programs. For purposes of the self-assessment, program management includes designating an individual to be responsible for the records management program; issuing directives and establishing policies; and providing training to ensure compliance with the Federal Records Act. These are fundamental tasks that establish the foundation for all other agency efforts to effectively manage the records they create and maintain.

These essential program elements are described in 36 CFR § 1220.34. This regulation requires agencies to:

- Assign records management responsibility to a person and office with appropriate authority within the agency to coordinate and oversee implementation of the records management program;
- Issue a directive establishing program objectives, responsibilities, and authorities for the creation, maintenance, and disposition of agency records;
- Assign records management responsibilities in each program and administrative area to ensure incorporation of recordkeeping requirements and records maintenance, storage, and disposition practices;
- Provide guidance and training to all agency personnel on their records management responsibilities; and
- Conduct formal evaluations to measure the effectiveness of records management programs and practices, and to ensure that they comply with NARA regulations in this subchapter.

Question 1. Has your agency formally designated a records officer with responsibility for carrying out its records management program? (4 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	97%	213
No	3%	6
Comments		37
	answered question	**219**

Question 2. Please provide the Record's Officers name, e-mail address, and phone number.

Overall Response

Nearly every agency reported having designated a records officer. Every cabinet department and large independent agency has done so. Three large departmental components did not report a records officer.[6]

Several other agencies answered affirmatively, but also submitted comments that qualified their responses. Many agencies have an acting, part-time official in the position while they await the appointment of a permanent replacement. For others, the position exists but was vacant at the time of the self-assessment. These agencies may not have the leadership required to carry out the full range of records management oversight and direction activities.

Question 3. Does your agency have a network of designated records management liaisons throughout the agency? (4 points)		
Answer Options		
No	16%	35
		77

Overall Response

Almost every agency reported having designated records management liaisons throughout their organizations. Every cabinet department and large independent agency has done so. However, several large departmental components are among the 15 percent that have not established such a formal network.

Several other agencies reported having designated records management liaisons, but submitted comments calling this into question. These comments suggest that in these agencies the records management network is still being constructed or is otherwise incomplete.

Especially in large, complex organizations, it is important to embed records management liaisons in program offices and at field sites. These liaisons are likely to be familiar with their particular office's recordkeeping and business needs, and can be useful in promulgating the records management policies and guidance issued by the primary agency records officer. However, agencies with few program offices and employees are not likely to have, or need, such a network. These agencies may find it difficult to receive full credit for this question. While 89 percent of large independent agencies and 92 percent of large cabinet components reported having established such networks, only 60 percent of small independent agencies have done so.

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[6] As of January 2010 each has a records officer listed at archives.gov.

Question 4. Has your agency issued a records management directive(s) establishing program objectives, responsibilities, and authorities for the creation, maintenance, and disposition of agency records? (6 points)

Answer Options	Response Percent	Response Count
Yes	87%	189
No	13%	28
Comments		64
	answered question	**217**

Question 5. Please provide the title(s) and date(s) of issuance/publication of the directive(s).

Overall Response

NARA weighted this set of questions the heaviest in the Program Management section; a program directive is essential to ensure accountability for an organization's records management. Nearly every agency, including every cabinet department, reported having issued a records management directive. However, several departmental components and one large independent agency are among the 13 percent that have not.

Several other agencies answered positively but submitted comments that called this into question. These comments suggest the directives are still in draft form, have not been issued, or were undergoing revision. In the absence of a clear directive, an agency's employees may not be aware of their responsibility to create and preserve records and key documentation may be mishandled or lost.

Question 6. Does your agency disseminate policies and procedures to ensure records are protected against unlawful/accidental removal, defacing, alteration and deletion/destruction? (4 points)

Answer Options	Response	
No	14%	30
		64

Question 7. Please add the title(s) and date(s) of the current policies and/or procedures.

Overall Response

Nearly every agency, including every cabinet department, reported having issued such a policy. However, several large independent agencies and departmental components are among the 14 percent that have not.

Many other agencies reported issuing such policies, but submitted comments that qualified their answers. These comments reveal that their policies are in draft form, have not been issued, or are being revised. Along with records disposition schedules (see Section 2), policies such as these are necessary to ensure that records are maintained for as long as required. In the absence of such a policy, staff may not be aware of their responsibilities to preserve records to satisfy legal, operational, and historical needs.

Question 8. Does your agency periodically conduct formal internal evaluations of your agency's records management practices to measure the effectiveness of records management programs and practices, and to ensure that they comply with NARA regulations? (4 points)

Answer Options	Response Percent	Response Count
Yes	61%	127
No	39%	83
Comments		93
	answered question	**210**

Question 9. Please provide the year of the latest records management evaluation.

Overall Response

Four cabinet departments and many large departmental components and independent agencies are among the 40 percent of agencies that have not conducted a recent evaluation of their records management program.

Several agencies reported that they evaluated their records management practices, but submitted comments calling this into question. They indicated that evaluations are uncommon; that they consist only of making recordkeeping guidance available to staff and expecting them to follow it; or that an evaluation program would start soon. At least one agency said it did not conduct evaluations because it relies on NARA to do so. Without formal evaluation, these agencies may find it difficult to recognize when business needs or recordkeeping technologies have changed. Moreover, they will be unable to determine the effectiveness of their records management program.

Question 10. Does your agency provide regular training to all agency personnel on their records management responsibilities, including identification of Federal records, in all formats and media? (2 points)

Answer Options	Response Percent	Response Count
Yes	73%	153
No	27%	56
Comments		112
	answered question	**209**

A key part of implementing a records management program is ensuring employees have the proper training. Records are created and maintained at all levels of an agency, and every employee has a role to play in managing records. This question does not address the content of training, the effectiveness of its dissemination, or the number of people trained in any given fiscal year.

Overall Response

While most of the agencies report providing regular training to their staff, one cabinet department and many large departmental components and independent agencies are among the 27 percent that have not. Many agencies post records management guidance on their intranet sites and consider this training, or they present briefings to staff as needed. Many of the comments suggest that training consists of making recordkeeping guidance available to staff and expecting them to read, interpret, and implement it appropriately. Very few agencies reported mandatory, annual training for all staff. Agencies' records management training will be the special focus topic in the FY 2010 self-assessment.

Question 11. Does your agency specifically brief senior officials and political appointees on the importance of appropriately managing records under his or her immediate control? (2 points)		
Answer Options	**Percent**	**Response Count**
Yes	74%	155
No	26%	56
Comments		88
	answered question	**211**

Overall Response

While most agencies report conducting at least one briefing, one cabinet department and many large departmental components and independent agencies are among the 26 percent that have not. Several agencies reported having conducted this sort of briefing, but submitted comments that called this into question. In some cases agency comments implied that training consisted solely of making recordkeeping guidance available at the time of appointment, or as needed. Since senior officials typically create some of the most significant records in their agencies, these agencies may be at risk of mishandling important documentation.

Summary – Section One

Agency category	Low Risk	Moderate Risk	High Risk
Cabinet HQ (n=14)	9	4	1
Cabinet - large components (n=86)	42	32	12
Cabinet - small components (n=46)	14	20	12
Independent agencies - large (n=18)	12	5	1
Independent agencies - small (n=43)	9	17	17
EOP (n=7)	2	4	1
Legal and Judicial (n=6)	0	4	2

The questions in this section make up more than a quarter of the self-assessment's total score. A perfect score is twenty-six points. One in six federal agencies has not established the basic infrastructure of a records management program. Without dedicated records management staff, clear policy directives, and proper training, these agencies are at high risk of mishandling their information. They may find it difficult to meet their legal and operational needs, and their lack of coherent recordkeeping may inhibit Congressional oversight and public accountability.

Section 1: Program Management Risk Ratings

46 — High
86 — Moderate
88 — Low
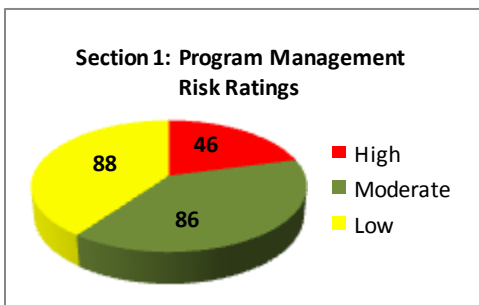
SECTION TWO: RECORDS DISPOSITION

At the time agencies completed the self-assessment questionnaire, 36 CFR § 1228 set policies and established standards, procedures, and techniques for the disposition of all Federal records in accordance with 44 U.S.C. Chapters 21, 29, 31, and 33. At present these requirements are described in 36 CFR § 1224. This regulation requires agencies to:

- Ensure that all records are scheduled;
- Implement records schedules and transfer permanent records to the National Archives;
- Promptly distribute NARA-approved agency schedules and additions and changes to the General Records Schedules (GRS);
- Regularly review the agency's records schedules and update as needed.

The four questions in this section sought information on agencies' records schedules and their implementation.

Question 13. As required by your agency's NARA-approved schedule, has your agency transferred any eligible permanent non-electronic records to the National Archives via a SF-258* in Fiscal Year 2009? (4 points)		
Answer Options	**Percent**	**esponse Count**
Yes	47%	100
No	30%	64
No eligible records in FY 2009	23%	49
		63
	swered question	**213**

Standard Form 258: Agreement to Transfer Records to the National Archives of the United States

Overall Response

This question, as well as question 14, appeared to pose difficulties for many agencies. Several agencies said they were unable to transfer permanent records to the National Archives in FY 2009 because of ongoing litigation or congressional investigations. Rather than assume this made their records ineligible for transfer in FY 2009, these agencies chose to answer "no." Four other agencies answered "no," but said they had no permanent records eligible for transfer. Thus, the number and percentage of "no" responses to the question is higher than it would have been if agencies had interpreted the question differently.

Question 14. As required by your agency's NARA-approved schedule, has your agency transferred any eligible permanent electronic records to the National Archives via a SF-258 in Fiscal Year 2009? (4 points)

Answer Options	Response Percent	Response Count
Yes	23%	49
No	41%	87
No eligible records in 2009	36%	76
Comments		51

Overall Response

Once again, a few agencies answered "no" to the question despite comments indicating that they had no electronic records eligible for transfer. Thus, the number and percentage of "no" responses is higher than it would have been if agencies had interpreted the question differently.

Although 100 agencies reported transferring permanent non-electronic records to the National Archives in FY 2009 (see question 13), only 49 agencies reported transferring electronic records in the same period. This disparity is due in part to the large number of agencies reporting no electronic records eligible for transfer. A contributing factor may be that many agencies' electronic records remained unscheduled (see question 23) and are thus ineligible for transfer. Of agencies with permanent electronic records eligible for transfer, 36 percent report transferring them to NARA in FY 2009.

A comparison of the responses to this question with a report of accessions received by NARA's Electronic and Special Media Services Division during FY 2009 uncovered some discrepancies. The latter report contradicts the responses for 22 agencies that responded "yes" to this question. Several agencies are shown to have transferred electronic records to NARA though they claim in the self-assessment that they had not, or that they had no such eligible records. The comments on this question provide little explanation for these discrepancies, though they suggest that a significant number of records officers either failed to verify the disposition of their records when responding or have not adequately documented such transfers.

Question 15. When was the last time your agency submitted a SF-115* to the National Archives? (6 points)

Answer Options	Response Percent	Response Count
Less than 3 years ago	80%	165
3-5 years ago	5%	10
6-10 years ago	7%	15
More than 10 years ago	8%	16
Comments		64
	answered question	**206**

Standard Form 115: Request for Records Disposition Authority

Overall Response
These figures suggest that the majority of Federal agencies have an active records scheduling process. A small minority (the 8 percent that have not submitted schedules in more than ten years) do not.

Schedules that are more than ten years old are likely to be at least partially obsolete, given reorganizations, the addition and elimination of programs, and changes in recordkeeping practices. They are also unlikely to cover web records and electronic systems of recent origin.

Two agencies wrote that their program records were unscheduled. Two others claimed to have submitted records schedules while noting that they had no records schedule. Several component agencies did not respond to the question. One claimed that as a new organization it had no need to submit a schedule for its records. 36 CFR 1225.22(b) requires new agencies to schedule their records within 2 years.   Another asserted that it had no need to schedule its records because its data was forwarded to another office. Others did not know whether schedules had been submitted. These comments may point to significant program deficiencies and/or a lack of understanding of the basic requirements governing disposition of Federal records.

Question 16. Does your agency disseminate every approved disposition authority (including new SF-115s and GRS items) to agency staff within six months of approval? (4 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	81%	168
No	19%	40
Comments		69
	answered question	**208**

Overall Response
The responses reveal that the most Federal agencies promptly distribute newly approved disposition authorities. A number of comments report that agencies increasingly meet the requirement by posting newly approved authorities on their website.

Summary – Section Two

Agency category	Low Risk	Moderate Risk	High Risk
Cabinet HQ (n=14)	12	2	0
Cabinet - large components (n=86)	61	10	15
Cabinet - small components (n=46)	29	6	11
Independent agencies - large (n=18)	16	1	1
Independent agencies - small (n=43)	20	7	16
EOP (n=7)	2	1	4
Legal and Judicial (n=6)	3	1	2

The questions in the records disposition section make up a little less than a fifth of the self-assessment's total score. Over one-third of the responding agencies received a perfect score of 18. Most Federal agencies have an active records disposition program, having created or updated their records schedules within the last three years. The majority of agencies ensure that these schedules reach agency users. However, a third of agencies reporting that they transferred eligible permanent electronic records to NARA in 2009 actually did so. Additionally, 20 percent of the responses indicate that the agencies lack one or more basic components of an effective records disposition program.

Section 2: Records Disposition Risk Ratings

49 — High
28 — Moderate
143 — Low

18
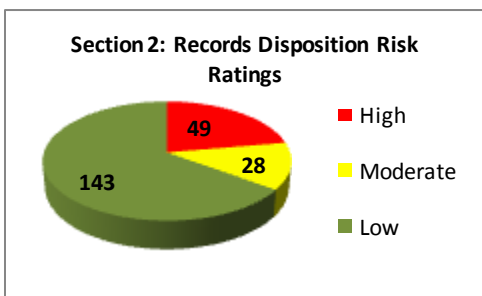
SECTION THREE: VITAL RECORDS

With the advent of recent natural disasters and the terrorist attacks of September 11, the Federal Government continues to prepare and test its emergency preparedness capabilities. In 2007, President George W. Bush issued *Homeland Security Directive 20: National Continuity Policy*. Among other continuity requirements, this directive required the Executive Office of the President and executive departments and agencies to develop Continuity of Operations capabilities or plans referred to as COOP. Part of COOP involves agencies safeguarding vital resources, facilities, and records and providing official access to them.[7]

The Federal Government has long required that agencies' records management programs have a vital records component. Part 1223, the Managing Vital Records section of 36 CFR, outlines these requirements for Federal agencies. To comply with §1223.14, an agency's vital records program must contain all elements listed in Federal Continuity Directive (FCD) 1, Federal Executive Branch National Continuity Program and Requirements, Annex A.

To carry out a vital records program, agencies must:

- Specify agency staff responsibilities;
- Appropriately inform all staff about vital records;
- Ensure that the designation of vital records is current and complete; and
- Ensure that vital records are adequately protected, accessible, and immediately usable.

NARA addressed the last two requirements in this section.

Question 17. Has your agency identified its vital records, i.e., its emergency operating records and legal rights records? (4 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	77%	158
No	23%	48
Comments		72
	answered question	**206**

Question 18. Please provide the month and year that your agency created or last updated its vital records plan.

Overall Response
Seventy-seven percent of agencies reported that they had identified their vital records; almost a quarter had not. Of the agencies that answered "no", 19 told us their plans are in draft or

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[7] HSPD-20: National Security Policy, viewed on February 4, 2010 at http://www.dhs.gov/xabout/laws/gc_1219245380392.shtm.

near completion. We are unable to assess the results of the agencies' work to identify vital records from these responses, merely that they have done so.

A follow-up question asked agencies to give the month and year they created or last updated their vital records plan. The number of responses to this question is slightly higher than for any other question in this section. This might point to an anomaly in our data collection or that agencies are protecting records without identifying them properly, especially when compared to the responses in question 19. Most agencies say they update their plan annually at the end of the fiscal year, with a large number stating they did so in September 2009.

Question 19. Has your agency taken measures to ensure that its vital records are adequately protected, accessible, and immediately usable? (4 points)		
Answer Options	Response Percent	Response Count
Yes	86%	177
No	14%	30
Comments		83
	answered question	207

Overall Response

The high number of affirmative responses to this question is interesting. The number of "yes" responses should be comparable to or less than those for question 17, not greater. These answers suggest that agencies may be protecting records that are not truly "vital", thereby leading to a misapplication of scarce resources. It could also mean that the records identified in draft plans are being protected.

Summary – Section Three

Agency category	Low Risk	Moderate Risk	High Risk
Cabinet HQ (n=14)	10	1	3
Cabinet - large components (n=86)	55	7	24
Cabinet - small components (n=46)	25	7	14
Independent agencies - large (n=18)	14	0	4
Independent agencies - small (n=43	24	2	17
EOP (n=7)	5	0	2
Legal and Judicial (n=6)	2	0	4

We asked agencies two key questions designed to measure their compliance with the regulations governing vital records. The first question asked whether agencies had identified vital records. The second question asked whether they had taken steps to protect, make accessible, and ensure that vital records are immediately usable.

One hundred and thirty-five agencies scored a perfect 8 points in this section. When we looked at the average score by agency size, we found that the size of the organization did not necessarily determine compliance. In fact, we identified a number of headquarters and large components as high risk. Overall, given the limited amount of data it is difficult for us to verify the level of compliance in identifying and protecting vital records.

Section 3: Vital Records Risk Ratings

- High: 68
- Moderate: 17
- Low: 135
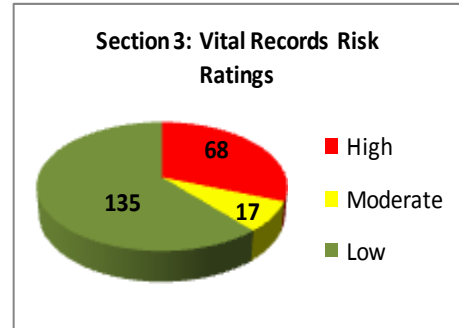
SECTION FOUR: ELECTRONIC RECORDS

According to 36 CFR Part 1236, an effective electronic records management program must be able to do the following:

- Integrate records management and preservation considerations into the design, development, enhancement, and implementation of electronic information systems;
- Appropriately manage electronic records through the development of a recordkeeping system; and
- Maintain inventories of electronic information systems and review the systems periodically for conformance with established agency procedures, standards, and policies as part of the periodic reviews.

NARA asked six questions in this section. Three questions focus on records officers' involvement in the development, enhancement, and implementation of their agency's electronic records systems. The remaining three questions address agencies' efforts to schedule their electronic records.

Question 20. Does records management staff actively participate in your agency's IT systems design processes to integrate records management and archival requirements into the design, development, and implementation of electronic information systems? Activities might include participating in Capital Planning and Investment Control (CPIC), Systems Development Life Cycle (SDLC), Business Process Design (BPD) processes, or similar formal processes. (4 points)		
Answer Options	Response Percent	Response Count
Yes	58%	119
No	42%	88
Comments		96
	answered question	207

Overall Response
While over half of the respondents claimed they actively participate in their agencies' system design processes, some of their comments reveal their involvement is peripheral, limited, or in the planning stage. Some respondents who answered "no" wrote they are involved in at least one of the activities. A few said their role was increasing. Even respondents who did not answer the question mentioned they have some involvement, or are involved in the early planning stages. Most comments show that records officers are aware that they should participate in these activities and some plan to be more engaged in the future. While NARA's effort to encourage agency records officers to participate in capital planning (CPIC), systems development (SDLC) and business design processes (BPD), has had some success, many records officers still have limited or no role in them.

Question 21. Does your agency periodically review its inventory of electronic information systems to determine if electronic records have been properly scheduled? (4 points)

Answer Options	Response Percent	Response Count
Yes	76%	163
No	24%	51
Comments		78
answered question		214

Question 22: Please provide the month and year your agency last conducted this review.

Overall Response

A large majority of respondents to question 21 affirmed that they periodically review their electronic systems inventories. Some that answered "no" wrote they assumed the review occurs at the department-level; others said their information technology (IT) staff does it. Eighty percent of the comments from agencies that answered "yes" show that their review was prompted by NARA's September 30, 2009, deadline for scheduling electronic records.

Question 23. What percentage of your agency's electronic information systems are scheduled? (6 points)

Answer Options	Response Percent	Response Count
More than 75%	54%	113
50-75%	9%	20
25-49%	8%	16
Less than 25%	19%	39
I don't know	10%	22
Comments		69
answered question		210

Overall Response

This question asked whether agencies had schedules for their electronic systems. NARA defines scheduled records/systems as those covered by a SF 115 that has been signed by the Archivist of the United States. Slightly more than half of respondents said more than 75% of their electronic systems were scheduled; however, many of their comments reveal that the schedules, while submitted to NARA, had not yet been approved. This could mean that agencies consider a system scheduled if the SF 115 has been submitted to NARA for approval. It does appear, however, that many agencies have made efforts to schedule their e-records. A few respondents noted that their schedules are media neutral and therefore covered their

electronic systems. They further argue that the question was either confusing or invalid. NARA will clarify this question in the next self-assessment to obtain more accurate results.[8]

Question 24. If your agency maintains program records on its website(s), are they specifically scheduled by a SF-115? NOTE: Please keep in mind that program records maintained on the web are not scheduled unless your agency has approved SF-115s that specifically cover the web version of the records. Media neutral records disposition authorities do not apply to web records unless they explicitly say they do. (4 points)		
Answer Options	Percent	Response Count
Yes	27%	55
No	43%	89
My agency does not maintain program records on its website(s)	30%	63
Comments		90
	answered question	207

Question 25: If your agency has scheduled program records on the web, please provide the NARA authority number(s) for schedule(s). (The authority number is the NARA job number and item number).

NARA reduced an agency's score if it stated the schedules were pending or did not provide a disposal authority for the records.

Overall Response
The majority of the respondents said their agencies do not maintain program records on their websites or do not have schedules specifically covering websites. Some agencies that answered "yes" wrote that the schedules were pending, which contradicts their answer. Of those that commented, most assert that websites are means of distributing information only. A few questioned why web records are not covered by media neutral records schedules, when in fact NARA regulations governing media neutrality specifically exclude programmatic web content records.

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[8] Prior to the September 30, 2009 deadline, NARA issued a data call to agencies to determine the status of their efforts to schedule their electronic systems.   For this data call agencies could include schedules pending approval at NARA. One hundred and forty-two agencies responded to the data call, however, a large number did not. Ninety-nine respondents said they had scheduled 75% or more of their electronic systems. This percentage includes schedules that were pending approval at NARA. Given the significant number of unresponsive agencies and the fact that pending schedules are counted as "scheduled" for this tally, a comparison between this statistic and the responses to question 23 is difficult.

Summary – Section Four

Agency category	Low Risk	Moderate Risk	High Risk
Cabinet HQ (n=14)	1	9	4
Cabinet - large components (n=86)	14	39	33
Cabinet - small components (n=46)	11	25	10
Independent agencies - large (n=18)	6	7	5
Independent agencies - small (n=43)	5	13	25
EOP (n=7)	0	2	5
Legal and Judicial (n=6)	2	1	3

Agencies are still grappling with electronic records issues. Most records officers, while aware of the importance of managing electronic records, are not substantively involved with the planning, development, and implementation of electronic systems for their agencies. Agencies are showing progress scheduling their electronic systems/records, in large part driven by the NARA mandate that they do so. However, most agencies' web records are unscheduled. A significant number of agencies state they do not maintain program records on the web. In general they do not view their websites as containing records, but rather a means of distributing information.

The anomalies in the responses, while changing some agencies scores, do not affect the overall conclusions for this section. On average, scores for Cabinet and large agencies are slightly higher than those for small agencies. However, the issues addressed in the section are widespread across all Federal agencies.

Section 4: Electronic Records Risk Ratings

39
85
96

■ High
■ Moderate
■ Low
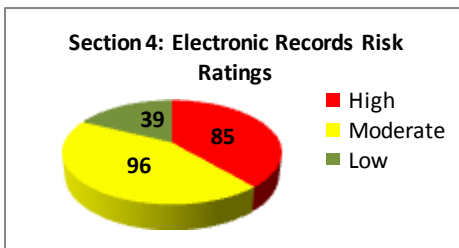
SECTION FIVE: E-MAIL RECORDS

E-mail records management is the special focus topic of the self-assessment; scores for this section carry more weight than those for other sections. Our analysis of the responses show agencies' scores may not reflect the current state of their e-mail management programs. Agencies' e-mail policies lack information on one or more the basic requirements.   E-mail training is also a significant weakness, with only half of agencies providing it to their employees. Agencies should monitor these areas to ensure they meet the requirements for managing their electronic information.

The requirements for creating, maintaining and preserving e-mail records are found in 36 CFR Part 1236. There were no changes to these requirements in the recent comprehensive revision of NARA's records management regulations. The regulations establish several criteria for managing Federal records created in an electronic mail system. Agencies must:

- Instruct their staffs on how to copy Federal records in an e-mail system to a recordkeeping system;
- Not use an e-mail system to store the recordkeeping copies of e-mail messages identified as Federal records unless it has all the features specified in §1236.20(b);
- Ensure that Federal records sent or received by their employees using a non-agency e-mail system are preserved in an appropriate recordkeeping system; and
- Preserve e-mail attachments that are an integral part of the record as part of the e-mail or linked to it with other related records.

For the FY 2009 Self-Assessment, NARA asked agencies nine questions about their e-mail management. The first five questions requested information about agencies' e-mail policies. The remaining four questions ask about agencies' e-mail training for employees and senior staff.

Question 26. Does your agency have a policy for managing recordkeeping copies of e-mail? (6 points)		
No	23%	48
		61

Question 27: Please provide the title and date of the e-mail policy.

Overall Response
Questions 26 and 27 are grouped together since one affirms or verifies the response for the other. Generally, comments included information about e-mail policies or explanations of why no policy was in place. Only those respondents answering "yes" to question 26 were directed

to question 27.[9] This question asked for the date and title of agencies' e-mail policies. While 87 percent of agencies have records management policies and directives (question 4), only 77 percent said they have an e-mail policy. In some cases, respondents' affirmative answers to this question are contradicted by their response for question 27. For example, 8 respondents stated that their agency had an e-mail policy in question 26, but in question 27 said the policy was in draft form and had not been approved or implemented.

The responses to question 27 contain other anomalies. Nineteen respondents supplied incomplete answers. For example, they give the title of the policy but not the date, or the date but not the title. Some agencies said that their e-mail messages are stored in an e-mail archiving system. Four respondents did not answer the question so we cannot verify that a policy exists. In seven cases, the titles of the policies are unclear. Consequently, we are unable to determine whether these policies include information on how to manage and preserve Federal e-mail records, how to use the e-mail system, migrating e-mail from one system to another, or information security. Finally, in two cases, respondents cited their records schedules and/or NARA guidance on e-mail as their policy.

In sum, of the 167 answers provided, 47, or 28%, are questionable. If this percentage is factored in, it appears that less than half (49%) of Federal agencies have an e-mail policy in place. Incomplete responses may be due to an oversight on the part of the respondent. However, some answers may indicate a basic lack of understanding of an agency's responsibility to establish and implement policies to manage its e-mail.

According to §1236.22, agencies' e-mail policies and guidance must meet the following requirements:

- Inform staff that e-mails are potential Federal records;
- Ensure that employees can identify Federal records;
- Require e-mail transmission data and distribution lists be preserved;
- State that draft documents circulated by e-mail may be Federal records;
- Require that e-mail records are stored in an appropriate recordkeeping system and that staff are instructed how the records are stored regardless of format;
- Instruct staff on managing and preserving e-mail messages sent or received via a non-government e-mail system;
- Instruct staff how to copy e-mail Federal records from an e-mail system that is not a recordkeeping system to a recordkeeping system; and
- Agencies must not use an e-mail system to store the recordkeeping copy of e-mail messages identified as Federal records unless the system has all of the features specified in § 1236.20(b).

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[9] One respondent skipped the follow-up question.

Questions 28 through 30 ask about agencies e-mail policies to determine if they meet three of these requirements. Only those respondents answering "yes" to question 26 were directed to these questions.

Question 28. Does your agency e-mail policy explain how to manage e-mail in an electronic mail system? (4 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	78%	125
No	22%	35
Comments		40
	answered question	**160**

Overall Response

This question seeks to discover whether agencies provide guidance to their employees on managing their e-mail in an e-mail system. A number of respondents found the wording of this question confusing. Fifteen respondents that answered "no" to the question wrote comments. The majority said their agency's policy is to print and file e-mail. Many respondents that answered "yes" also wrote that their agency's policy is to print and file e-mails. Several respondents said the topic is addressed in their records management training but not in their policy.

Question 29. Does your agency e-mail policy explain how to capture Federal e-mail records sent or received by your agency's employees via non-Federal (e.g., personal) e-mail accounts to conduct Federal business? (4 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	58%	91
No	42%	65
Comments		53
	answered question	**156**

Overall Response

Slightly more than half of respondents stated their agency's e-mail policies included this information. Some respondents said they were confused about, or did not understand, the question. Two referenced archiving their e-mail in a system but didn't say whether the information is part of their e-mail policy. Eighteen respondents said their agency's employees are forbidden, discouraged or blocked from using non-agency e-mail accounts to conduct Federal business. One respondent wrote that the question is not applicable to its agency. Since no other information was provided we cannot determine if, or why, this may be true.

Additional comments reveal that while agencies do not explicitly include this direction in their e-mail policies, the policies do state that any e-mail messages meeting the definition of a Federal record must be managed and maintained appropriately. The regulations, however,

require that this information be part of agencies' e-mail policies. Finally, twenty respondents that answered "no" to the question reported that their agency has e-mail guidance in place that addresses the issue, or a policy that prohibits the use of non-agency e-mail accounts to conduct agency business.

Although many agencies' e-mail policies include this information, a significant number do not. Moreover, if agencies' policies state that employees cannot, or should not, use non-governmental e-mail systems to conduct agency business but do not block employees' access to those systems, then their e-mail policy must include this information.

Question 30. Does your agency e-mail policy state that e-mail attachments that rise to the level of records should be preserved as part of the e-mail record? (4 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	85%	136
No	15%	25
Comments		32
	answered question	**161**

Overall Response
The purpose of this question was to determine whether agencies manage their e-mail attachments appropriately. The majority of respondents' comments confirmed their answers for this question. Of those who answered "no", thirteen wrote that while their agencies' policies don't explicitly address e-mail attachments, they imply that attachments that are Federal records must be preserved. Two people who responded "yes" wrote comments that contradict their answers. However, with such limited information this is difficult to confirm. The majority of those who answered "yes" did not write comments.

The last four questions solicit information about whether, and how, agencies provide training to their employees about managing e-mail records. The first two questions address e-mail training for all agency employees. The last two questions focus on e-mail training for senior agency officials.

Question 31. Are your agency's employees routinely trained on how to manage e-mail records? (6 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	56%	117
No	44%	93
Comments		64
	answered question	**210**

Question 32: Please explain how e-mail records management training is provided to employees in your agency, and how often.

Overall Response

These two questions are grouped together since question 32 is a follow-up to question 31. Just over half of respondents state their agency offers e-mail training to its employees. Yet 73 percent of respondents answered "yes" to question 8, which asked about agencies' records management training. It is unclear whether information on managing e-mail is included in agencies' general records management training. Although three-quarters of respondents have an e-mail policy (question 26), just over half train their employees on that policy. This could mean that employees may be unaware that their agency has an e-mail policy and are not equipped to implement it.

Thirty-seven respondents who answered "no" to the question wrote comments. They state that a training program is under development; training will be done once the agency's e-mail policy is issued; training is not needed; guidance and other information are provided online; or training is conducted on an "as needed" basis.

Respondents that answered "yes" to question 31 were directed to question 32. A number of agencies, while answering "yes" to the previous question, indicated their training was pending or under development, delivered on an "as needed" basis, or consisted of information posted on-line and/or sent by broadcast e-mail. The similarity of comments between a number of "yes" and "no" respondents may signal respondents confusion about the question.   Moreover, *ad hoc* or "as needed" training is not routine training. Therefore, the actual percentage of agencies providing regular, routine training to employees appears to be significantly lower than the results indicate.

A few agencies conduct annual, mandatory e-mail training to all staff. Others are developing mandatory training. Routine, mandatory training ensures that all employees receive the information they need to manage and preserve their e-mail records appropriately. Most agencies' e-mail training, though, remains informal and *ad hoc*. A limited number of agencies' employees receive e-mail training of any kind. This is especially troubling since the responsibility of identifying and maintaining Federal e-mail records has devolved to the individual desktop and is not centrally managed. This increases the risk that valuable information will be lost.

Question 33. Are your agency's high-level executives and political appointees routinely trained on how to manage their e-mail? (6 points)		
Answer Options	**Response Percent**	**Response Count**
Yes	53%	110
No	47%	99
Comments		61
	answered question	**209**

Question 34: Please explain how e-mail records management training is provided to high-level executives and political appointees, and how often.

These last questions are also grouped together since question 34 is intended to validate the responses in question 33.

Overall Response
Barely half of respondents said they provide e-mail training to high-level executives and political appointees. However, 74 percent of respondents to question 10 indicated senior officials in their agencies were briefed on managing their records. The responses do not reveal whether information about e-mail records is incorporated into agencies' general records management briefings.

Many of those who answered "no" wrote comments. Two mentioned that senior officials and political appointees' e-mails are either auto-archived or managed within a DoD STD 5015.2[10] compliant records management system. Some agencies have no political appointees. One commenter said there is no internal support in his/her agency for such training. Other respondents wrote that once their agency's e-mail policy is finalized, they will train their senior officials.

Only those respondents that answered "yes" to question 33 were directed to question 34. Of the 117 respondents that answered this question, only 32 describe training that can be considered "routine". Some responses are incomplete. For example, they describe briefings but do not say how often they are given. Others describe conducting training on an "ad hoc" or "as needed" basis. Still others state that training, usually in the form of briefings, takes place only when the official enters or leaves public service.

Some responses simply say that training is offered on a regular basis but there is no indication that senior officials attend it. Others cite the availability of online training, but again, there is no indication that senior officials take advantage of it. Finally, respondents said their training for senior officials consisted of broadcast e-mails, bulletins, and/or guidance posted on their agency's intranet site. In at least two cases, respondents said that their General Counsel's office does the training. Mandatory e-mail records management training for an agency's senior officials occurs in only a few instances.

Nearly 50 percent of the responses to question 34 contradict respondents' answers in question 33, which focused on "routine" training. As a result, these officials may not receive sufficient e-mail records management training to understand, and comply with, NARA's regulations for recordkeeping.   The success of an agency's records management program depends on the active support for it by senior agency officials. If senior officials have little understanding of

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[10] DoD Standard 5015.2, *Electronic Records Management Software Applications Design Criteria Standard.* *http://jitc.fhu.disa.mil/recmgt/standards.html*

their records management roles and responsibilities, then the likelihood of this support is significantly diminished.

Summary – Section Five

Agency category	Low Risk	Moderate Risk	High Risk
Cabinet HQ (n=14)	4	7	3
Cabinet - large components (n=86)	31	19	36
Cabinet - small components (n=46)	8	13	25
Independent agencies - large (n=18)	4	8	6
Independent agencies - small (n=43)	7	8	28
EOP (n=7)	1	3	4
Legal and Judicial (n=6)	2	1	3

A perfect score for this section is 30. Cabinet and large agencies scored significantly higher, on average than small agencies.

The results for this section highlight several areas of concern. Our findings show weaknesses in many agencies' e-mail policies. While many have an established policy, some of those policies do not meet the criteria in 36 CFR 1236.22. E-mail records management training is a concern; even when a policy exists, often employees are not trained on that policy. Particularly noteworthy is the lack of training for senior officials. These individuals are responsible for policymaking in their agencies. Consequently, their e-mail records are more likely to have historical significance. Most training that occurs is delivered either "ad hoc" or "as needed" rather than routinely. In some instances, agencies define information posted on a website and/or broadcast e-mail as training. Only a very limited number of agencies provide annual mandatory e-mail management training to their all employees.

In sum, more work needs to be done in this area to ensure that e-mail records, especially those that document citizens' rights and interests, are managed and preserved appropriately across the Federal Government.

Section 5: E-mail Risk Ratings
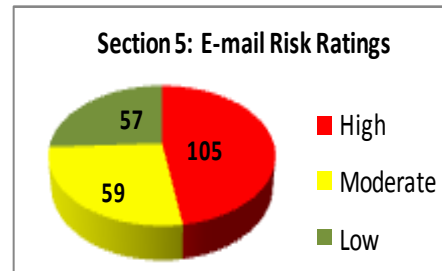
FY 2009 SELF-ASSESSMENT: FINDINGS

The results of the FY 2009 Self-Assessment highlight the varying levels of agency compliance with NARA's required records management regulations and policies. This finding, while not unexpected considering the size of the Federal Government and the complexity of the recordkeeping challenges, has implications for how effective and efficient our Government is at conducting its business, protecting citizens' rights, assuring government accountability, and preserving our national history. In the future, NARA will gather more statistical information about these programs in order to identify areas for improvement both within NARA's National Records Management Program and the agencies it regulates.

Additional data-gathering should be done on the appropriate level of records management staffing for organizations. Most agencies have a records officer and a network of records management liaisons in place. Current regulations allow agencies sufficient latitude to design records management programs as needed. However, NARA identified some very large agencies with only one or two individuals tasked with records management responsibilities. Additional data would enable us to explore whether there are correlations between records management staffing levels and an agency's ability to meet the regulatory requirements.

Future study should also occur on the role of the departmental records officer. While this issue was not addressed in the self-assessment questionnaire, our communications with departmental records officers during the course of the self assessment response period were revealing. In some agencies, records management is centralized under the departmental records officer and they are responsible for developing policies for the entire department. In this case component agencies' records officers are responsible primarily for implementing those policies. In other agencies, records management is decentralized: the records officer has a more limited and largely facilitative role and components' records officers develop records management policies and procedures for their individual component. The components may, or may not, choose to follow the lead of the departmental records office. Some agencies do not appoint a departmental records officer at all and rely on their individual components' records officers to implement records management in their organizations. While NARA does not involve itself in individual agency staffing decisions, this point does represent a concern if agencies are unable to meet their regulatory requirements.

Additionally, NARA needs to examine the issue of records management training in more depth. In recent years, NARA revamped its own training program and instituted a certificate program. While NARA encourages agencies to attend NARA training, agencies are required by the CFR to develop an internal records management training program for their employees.   Only a small number of agencies have annual mandatory records management training for all employees. However, many agencies' records management training is *ad hoc* and consists of posting information on their websites and broadcast e-mails. NARA's view is that this is one piece of the training equation, but that it alone does not suffice.   In addition, we have no metric from agencies that shows how many employees receive records management training during the fiscal year, and/or whether the training helped improve their ability to manage their records. If

an agency trains only a fraction of its employees, it is unlikely that such training will significantly improve the agency's ability to manage its records.

Agencies still struggle to address electronic records, web records and e-mail issues. Nearly half of responding records officers do not participate in the CPIC, SDLC, and BPD processes. Although agencies made significant progress scheduling their electronic records, primarily driven by NARA's mandate to do so by the end of FY 2009, much more work remains. Web records are a cloudy issue. There are questions about the function and purpose of agencies web sites, with many agencies arguing that they are simply vehicles for distribution and communication. The role of media neutral schedules also requires some clarification. [11]

E-mail records management is the special focus topic of the 2009 self-assessment. While most agencies have e-mail policies in place, many lack information on one or more of the basic requirements. E-mail training is also a significant weakness. Only half of responding agencies provide e-mail training to their employees. These are all areas that need further monitoring to ensure that agencies meet the requirements for managing their electronic information.

For the FY 2010 self-assessment, NARA will clarify many of the existing questions and add others to collect better data from which to draw conclusions. While the 2009 self-assessment sets a solid foundation from which to view records management across the Government, NARA requires more detailed data to inform its oversight activities.

The results of the FY 2009 Self-Assessment serve as a baseline for records management in the Federal Government. The questions were designed to obtain basic information about agencies' records management programs. The results of the self-assessment, along with agencies' scores [Appendices I and II], identify the strengths and weaknesses of agencies' records management programs. Though the data is limited, it forms a framework upon which NARA and agencies can build. Future self-assessments will gather more information to add to this framework. This will help NARA revise and develop effective policies and guidance based on a detailed understanding of the complex Federal records management environment. It will also be a road map for agencies as they build and sustain strong and effective records management programs.

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[11] NARA plans to issue detailed guidance on developing media neutral records schedules in FY 2010.

National Archives and Records Administration
Agency Self-Assessment 2009

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
High Risk						
Department of Commerce						
Bureau of Economic Analysis	18	18	4	14	0	54
National Technical Information Service	7	4	8	4	14	37
Economic Development Administration	20	12	6	10	6	54
Department of Defense						
U.S. European Command /EUCOM (Secretary of Joint Staff)	14	14	4	4	0	36

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4: Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Chairman of the Joint Chiefs of Staff with the Air Force as our Executive Agent	24	6	0	0	14	44
Department of the Navy	22	14	0	10	12	58
Defense Information Systems Agency (DISA)	21	6	8	0	0	35
Business Transformation Agency (BTA)	4	6	0	0	0	10
National Reconnaissance Office	14	10	8	14	6	52
U.S. Joint Forces Command	17	4	0	4	14	39
Army and Air Force Exchange Service	20	10	8	4	0	42
Department of the Navy	16	4	0	0	0	20
United States Air Force/U.S. Northern Command/USNORTHCOM	26	12	0	0	18	56
United States Strategic Command	26	0	8	4	14	52
Defense Contract Audit Agency	14	4	0	0	0	18
Chairman of the Joint Chiefs of Staff/PACOM	14	0	0	8	0	22

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Defense Technical Information Center (DTIC is a DoD Field Activity reporting to the Director, Defense Research & Engineering (DDR&E) Director, Defense Research and Engineering (DDR&E))	18	6	6	10	0	40
Joint Staff/US Africa Command	21	14	0	8	8	51
Department of Energy						
Energy Information Administration	22	12	8	14	0	56
Bonneville Power Administration	15	0	0	0	0	15
Department of Health and Human Services						
Health Resources and Services Administraton	8	10	0	0	0	18
Department of Homeland Security						
Transportation Security Administration	20	4	8	4	10	46
U.S. Customs and Border Protection	18	6	4	8	12	48
Federal Law Enforcement Training Center	6	6	4	4	0	20

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Interior						
Delaware River Basin Commission	0	0	0	4	0	4
Office of the Solicitor	14	18	0	8	12	52
Department of Justice						
United States Marshals Office	14	10	4	10	14	52
National Drug Intelligence Center (NDIC)	4	10	0	10	0	24
Department of Labor						
Women's Bureau	11	6	4	12	6	39
International Labor Affairs Board	12	0	0	0	0	12
Solicitor of Labor	18	6	8	18	6	56
Department of the Treasury						
Treasury/Financial Crimes Enforcement Network (FinCEN)	10	18	8	14	0	50

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Transportation						
Federal Transit Administration	18	14	4	0	14	50
Surface Transportation Board	10	10	8	8	0	36
Office of the Secretary/Office of Facilities, Information, and Asset Management	18	10	8	12	0	48
Office of the Chief Information Officer	18	14	0	10	0	42
National Highway Transportation Safety Administration (NHTSA, OCIO)	18	14	4	10	0	46
Office of Administration/St. Lawrence Seaway Development Corporation	22	0	4	8	0	34
Research and Innovative Technology Administration (RITA)	6	18	4	2	2	32
Executive Office of the President						
Office of National Drug Control Policy, Office of Management and Administration	20	6	8	6	14	54
Barry M. Goldwater Scholarship Foundation	6	10	8	4	6	34

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Office of Administration	16	8	8	2	14	48
National Credit Union Administration/Office of the Chief Information Officer	12	6	0	18	0	36
National Geospatial Intelligence Agency	24	10	0	2	6	42
Office of Personnel Management (OPM)/Management Services Division, Center for Information Services (MSD/CIS)	20	14	4	4	6	48
Federal Judicial Center	10	12	0	4	0	26
Government Printing Office/Finance and Administration	18	8	0	0	0	26
Court Services and Offender Supervision Agency	10	14	4	10	0	38
Sentencing Commission	22	0	4	4	26	56

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
International Trade Commission	20	6	8	10	10	54
National Transportation Safety Board/Office of the Chief Information Officer Records Management Division	24	10	8	8	6	56
Federal Mediation and Conciliation Service	10	10	0	8	10	38
International Boundary and Water Commission	26	4	0	4	14	48
United States Tax Court	19	14	4	4	0	41
Inter-American Foundation	14	18	8	4	10	54
Occupational Safety and Health Review Commission/Office of Executive Secretary	10	14	4	8	0	36
Railroad Retirement Board	14	18	8	4	0	44
Office of the Executive Director	8	2	0	0	0	10
Postal Regulatory Commission	9	8	4	8	0	29

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Trade and Development Agency/U.S. Trade and Development Agency	16	14	8	14	6	58
Export-Import Bank of the US	8	4	0	8	0	20
Merit Systems Protection Board/Office of the Clerk of the Board	14	4	0	10	6	34
Presidio Trust	8	6	8	0	0	22
Office of Special Counsel	16	6	0	2	0	24
National Endowment for the Humanities	11	6	4	4	16	41
Corporation for National & Community Service	24	10	0	0	0	34
U.S. Commission on Civil Rights	20	10	8	4	0	42
American Institute in Taiwan	18	4	0	4	0	26
Institute of Museum and Library Services/Office of the Director	10	4	0	10	0	24
Peace Corps/Management, Office of Administrative Services	18	14	4	10	0	46
United States Institute of Peace	14	14	8	8	0	44

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
National Endowment for the Arts	10	14	4	4	0	32
Marine Mammal Commission	2	0	4	4	0	10
National Indian Gaming Commission	12	14	0	10	18	54
U.S. Consumer Product Safety Commission	18	10	6	4	8	46
Appalachian Regional Commission	10	0	0	0	0	10

Moderate Risk

Department of Agriculture

Food Safety and Inspection Service	22	14	8	8	24	76
Office of the Chief Information Officer	26	18	4	10	30	88
Natural Resources Conservation Service	26	14	4	14	30	88
Farm and Foreign Agriculatural Services (FFAS) (Farm Service Agency (FSA) and Foreign Agricultural Service (FAS))	24	10	0	16	28	78
Forest Service	22	6	8	10	26	72
Rural Development	26	18	8	10	26	88

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Food, Nutrition, and Consumer Services	20	14	4	14	14	66
Risk Management Agency/USDA Product Management	26	14	8	4	30	82
Department of Commerce						
U.S. Census Bureau	22	18	6	8	22	76
National Telecommunications and Information Administration	20	18	8	10	12	68
Office of the Secretary	14	18	8	14	12	66
National Oceanic and Atmospheric Administration	22	18	8	18	12	78
United States Patent and Trademark Office	24	10	8	14	26	82
Minority Business Development Agency	22	12	6	14	12	66
Bureau of Industry and Security	20	14	8	10	18	70
International Trade Administration	20	18	8	14	16	76

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Defense						
Defense Finance and Accounting Service	24	18	6	14	6	68
Defense Security Service	20	18	8	10	14	70
Department of Army, OAA, RMDA	26	14	0	6	20	66
Office of Inspector General	20	18	6	6	14	64
United States Marine Corps Administration and Resources Management Division	24	18	6	0	20	68
Defense Commissary Agency	26	18	4	14	10	72
U.S. Central Command/USCENTCOM	26	10	4	16	6	62
National Security Agency	24	14	8	14	16	76
Office of Naval Intelligence	22	6	8	4	20	60
Department of the Air Force Secretary of the Air Force - Office of Warfighting Integration and CIO Policy and Compliance Division	26	14	6	10	30	86
OS/NBC/Records Administrator	26	18	8	8	22	82

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Defense Logistics Agency	26	14	4	6	22	72
Defense Intelligence Agency	22	14	8	8	30	82
Headquarters, U.S. Special Operations Command (we fall under the Joint Chiefs of Staff for records management purposes).	26	12	8	8	12	66
Department of Education						
Office of Management	22	18	4	14	20	78
Department of Energy						
Western Area Power Administration	25	14	8	14	28	89
Southeastern Power Administration (SEPA)	26	6	8	18	26	84
Federal Energy Regulatory Commission	16	18	8	6	14	62
Department of Health and Human Services						
Administration on Aging	26	18	0	14	16	74
Centers for Medciare & Medicaid Services (CMS)	22	18	8	4	30	82

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Agency for Healthcare	14	18	8	18	18	76
Substance Abuse and Mental Health Services Administration (SAMHSA)	15	14	6	14	18	67
Department of Health and Human Services/Office of the Secretary	26	18	0	10	26	80
Administration for Children and Families	10	14	8	12	30	74
Indian Health Service	26	14	8	6	22	76
Department of Homeland Security						
U.S. Immigration & Customs Enforcement	16	18	8	6	12	60
U.S. Citizenship and Immigration Services (USCIS)	26	18	8	14	22	88
Headquarters and support components	22	18	0	10	30	80
U.S. Secret Service	22	14	8	14	18	76
Federal Emergency Management Agency	20	18	8	10	24	80

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Housing and Urban Development						
Department of Housing and Urban Development	26	14	8	8	12	68
Department of Interior						
Minerals Management Service	25	14	8	12	30	89
U.S. Geological Survey (USGS)	18	18	8	14	30	88
Office of the Special Trustee for American Indians, Office of Trust Records	26	10	8	10	30	84
National Park Service	18	18	8	10	16	70
Department of Justice						
Justice Management Division, Office of Records Management Policy	26	18	4	14	22	84
Federal Bureau of Prisons UNICOR Federal Prison Industries National Institute of Corrections	14	18	8	14	10	64

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Bureau of Alcohol, Tobacco, Firearms and Explosives	22	18	8	18	18	84
Drug Enforcement Administration	24	18	8	18	20	88
Department of Labor						
Employee Benefits Security Administration	23	14	8	14	12	71
Office of Administrative Law Judges	22	14	8	8	22	74
Office of Disability Employment Policy	18	10	8	16	26	78
Office of the Chief Financial Officer	20	6	8	16	20	70
Adjudicatory Boards/Arbitration Review Board	18	18	8	18	24	86
Office of Job Corps	16	14	6	16	10	62
Department of the Treasury						
Treasury/Financial Management Service	22	18	4	18	10	72
Treasury/United States Mint	22	18	8	14	18	80
Treasury/Bureau of the Public Debt	26	18	8	18	18	88

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Treasury/Alcohol and Tobacco Tax and Trade Bureau	26	18	8	14	22	88
Treasury/Office of Thrift Supervision	22	10	8	14	14	68
Treasury/Bureau of Engraving and Printing	18	14	8	14	14	68
Department of Transportation						
Federal Aviation Administration	21	18	8	8	12	67
Federal Railroad Administration	26	18	8	14	22	88
Department of Veterans Affairs						
Office of Privacy and Records Management (005RI) Enterprise Records Service (005RIB)	20	10	8	4	18	60
Executive Office of the President						
Office of the United States Trade Representative	26	4	8	14	16	68
Office of Science and Technology Policy	19	8	8	6	20	61
Council on Environmental Quality	20	14	4	4	20	62

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Director of the Intelligence Staff/Mission Support Center/Information Management	26	18	0	12	22	78
National Science Foundation/Office of Information Resource Management,Division of Administrative Services	25	14	8	10	20	77
Bureau for Management, Office of Administrative Services	24	14	8	18	14	78
National Aeronautics and Space Administration	26	18	8	10	10	72
Federal Communications Commission	23	14	8	8	24	77
National Archives and Archives and Administration	18	18	8	18	18	80
Equal Employment Opportunity Commission	26	14	8	8	18	74
Broadcasting Board of Governors	20	14	0	10	20	64
Nuclear Regulatory Commission/Office of Information Services	26	14	8	14	24	86

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4: Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Small Business Administration/Division of Administrative Services	18	18	8	10	22	76
National Labor Relations Board	25	14	8	10	14	71
Board of Governors of the Federal Reserve System/Office of the Secretary	26	18	6	18	20	88
Overseas Private Investment Corporation/Records Management	26	16	8	4	12	66
Federal Housing Finance Agency (Board)	22	14	8	18	18	80
Federal Retirement Thrift Investment Board	25	6	8	12	30	81
National Capital Planning Commission/Office of the Secretariat	26	10	8	14	30	88
African Development Foundation	15	12	8	8	20	63
Federal Maritime Commission	16	18	8	14	14	70
Office of Navajo and Hopi Relocation	21	4	8	8	30	71

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Federal Mine Safety & Health Review Commission	22	14	8	8	8	60
Morris K. Udall Foundation	20	8	8	0	26	62
Commodity Futures Trading Commission	22	18	8	12	18	78
Pension Benefit Guaranty Corp	22	18	8	14	26	88

Low Risk

Department of Agriculture

Grain Inspection, Packers and Stockyards Administration (GIPSA)	22	18	6	18	30	94
Agricultural Marketing Service	22	18	6	14	30	90
National Institute of Food and Agriculture /Cooperative State Reseach, Education and Extension Service (CSREES)	26	18	6	10	30	90
Animal and Plant Health Inspection Service	22	18	6	14	30	90
Agricultural Research Service Office of the Chief Information Officer	26	18	8	16	30	98

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Commerce						
National Institute of Standards and Technology	26	14	8	8	30	86
Department of Defense						
Directorate of Management (DOM) of the Joint Staff	26	18	8	18	30	100
Department of Energy						
Southwestern Power Administration	26	14	8	16	30	94
Office of the CIO	26	14	8	14	28	90
Department of Health and Human Services						
Center for Disease Control and Prevention	26	18	8	18	30	100
Department of Health and Human Services (HHS) Office of the Chief Information Officer for HHS	26	18	8	8	26	86
National Institutes of Health (NIH)	26	18	8	14	30	96

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Food and Drug Administration (FDA)	26	14	8	18	30	96
Department of Homeland Security						
U.S. Coast Guard	26	18	8	12	30	94
Department of Interior						
Office of Surface Mining and Relamation and Enforcement	26	14	8	14	30	92
Bureau of Land Management	25	14	8	14	30	91
Secretary of the Department of Interior	26	18	8	16	26	94
Office of the Secretary/DOI-OS/NBC	25	18	8	14	26	91
Fish and Wildlife Service	26	14	8	14	30	92
Bureau of Reclamation	26	14	8	16	30	94
Department of Justice						
Federal Bureau of Investigation	25	18	8	3616	30	97

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Office of Justice Programs, Office of Administration, Support Services Division	26	18	8	14	24	90
Department of Labor						
Occupational Safety and Health Administration - Directorate of Administrative Programs Office of Management Systems and Organization	26	14	8	14	30	92
Mine Safety & Health Administration (MSHA)	24	16	8	14	30	92
Bureau of Labor Statistics	26	18	8	14	30	96
Office of the Assistant Secretary for Administration and Management (OASAM)	26	18	8	14	30	96
Employment Standards Administration	26	18	8	14	30	96
Office of the Assistant Secretary of Policy	24	18	8	18	30	98
Employment and Training Administration	21	14	8	14	30	87
Office of Inspector General (OIG)	24	14	8	18	30	94

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of State						
Records and Archives Management Division, Office of Information Programs and Services, Global Information Services, Bureau of Administration	26	18	6	14	30	94
Department of the Treasury						
Treasury/Departmental Offices	26	18	8	14	24	90
Treasury/Office of the Comptroller of the Currency	26	18	8	14	26	92
Treasury/Internal Revenue Service	26	18	8	14	30	96
Department of Transportation						
Federal Motor Carrier Safety Administration(FMCSA)	26	18	8	16	30	98
Federal Highway Administration	26	18	8	18	30	100
Maritime Administration	26	14	8	14	30	92

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4: Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Social Security AdministrationBudget, Finance and Management/Office of Document Management/Center for Records Management	26	18	8	18	30	100
CIA/Chief Information Management Office, DCIA	25	14	8	14	30	91
Federal Trade Commission	26	18	8	8	30	90
Environmental Protection Agency	26	18	8	18	30	100
Department of Energy						
Tennessee Valley Authority/Information Technology Planning & Governance (ITP&G)	26	18	8	16	22	90
Government Accountability Office/Knowledge Services/Information Assets	22	18	8	18	30	96

Report of Aggregate Scores and Records Management Program Risk Factor

	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Millennium Challenge Corporation, Administration & Finance (A&F) Division: Office of the Chief Information Officer (OCIO)	22	18	8	14	30	92
Selective Service System/Public and Intergovernmental Affairs	16	14	8	18	30	86
Farm Credit Administration	26	16	8	18	26	94
Office of Government Ethics	23	16	8	14	30	91
National Mediation Board	26	8	8	18	30	90

National Archives and Records Administration Agency Self-Assessment 2009

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Agriculture							
Grain Inspection, Packers and Stockyards Administration (GIPSA)	Small	22	18	6	18	30	94
National Institute of Food and Agriculture /Cooperative State Reseach, Education and Extension Service (CSREES)	Small	26	18	6	10	30	90
Agricultural Research Service Office of the Chief Information Officer	Large	26	18	8	16	30	98

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Farm and Foreign Agriculatural Services (FFAS) (Farm Service Agency (FSA) and Foreign Agricultural Service (FAS))	Large	24	10	0	16	28	78
Rural Development	Large	26	18	8	10	26	88
Animal and Plant Health Inspection Service	Large	22	18	6	14	30	90
Food, Nutrition, and Consumer Services	Large	20	14	4	14	14	66
Office of the Chief Information Officer	Large	26	18	4	10	30	88
Natural Resources Conservation Service	Large	26	14	4	14	30	88
Forest Service	Large	22	6	8	10	26	72
Agricultural Marketing Service	Large	22	18	6	14	30	90

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
Food Safety and Inspection Service	Large	22	14	8	8	24	76
Risk Management Agency/USDA Product Management		26	14	8	4	30	82
				Overall Average Score			**85**
Department of Commerce							
Bureau of Industry and Security	Small	20	14	8	10	18	70
National Technical Information Service	Small	7	4	8	4	14	37
Minority Business Development Agency	Small	22	12	6	14	12	66
National Telecommunications and Information Administration	Small	20	18	8	10	12	68
Economic Development Administration	Small	20	12	6	10	6	54

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Bureau of Economic Analysis	Small	18	18	4	14	0	54
U.S. Census Bureau	Large	22	18	6	8	22	76
National Institute of Standards and Technology	Large	26	14	8	8	30	86
National Oceanic and Atmospheric Administration	Large	22	18	8	18	12	78
United States Patent and Trademark Office	Large	24	10	8	14	26	82
International Trade Administration	Large	20	18	8	14	16	76
Office of the Secretary	HQ	14	18	8	14	12	66

Overall Average Score   *68*

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
Department of Defense							
Business Transformation Agency (BTA)	Small	4	6	0	0	0	10
Defense Technical Information Center (DTIC is a DoD Field Activity reporting to the Director, Defense Research & Engineering (DDR&E) Director, Defense Research and Engineering (DDR&E))	Small	18	6	6	10	0	40
Defense Security Service	Small	20	18	8	10	14	70
Department of the Navy	Large	22	14	0	10	12	58
Chairman of the Joint Chiefs of Staff with the Air Force as our Executive Agent	Large	24	6	0	0	14	44
National Security Agency	Large	24	14	8	14	16	76

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
United States Marine Corps Administration and Resources Management Division	Large	24	18	6	0	20	68
National Reconnaissance Office	Large	14	10	8	14	6	52
Department of Army, OAA, RMDA	Large	26	14	0	6	20	66
Defense Intelligence Agency	Large	22	14	8	8	30	82
Department of the Air Force Secretary of the Air Force - Office of Warfighting Integration and CIO Policy and Compliance Division	Large	26	14	6	10	30	86
Headquarters, U.S. Special Operations Command (we fall under the Joint Chiefs of Staff for records management purposes).	Large	26	12	8	8	12	66

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Defense Finance and Accounting Service	Large	24	18	6	14	6	68
Department of the Navy	Large	16	4	0	0	0	20
Defense Contract Audit Agency	Large	14	4	0	0	0	18
Office of Inspector General	Large	20	18	6	6	14	64
Defense Commissary Agency	Large	26	18	4	14	10	72
U.S. Joint Forces Command	Large	17	4	0	4	14	39
United States Air Force/U.S. Northern Command/USNORTHCOM	Large	26	12	0	0	18	56
United States Strategic Command	Large	26	0	8	4	14	52
Chairman of the Joint Chiefs of Staff/PACOM	Large	14	0	0	8	0	22

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Directorate of Management (DOM) of the Joint Staff	Large	26	18	8	18	30	100
Defense Logistics Agency	Large	26	14	4	6	22	72
Army and Air Force Exchange Service	Large	20	10	8	4	0	42
Defense Information Systems Agency (DISA)	Large	21	6	8	0	0	35
U.S. Central Command/USCENTCOM	Large	26	10	4	16	6	62
Office of Naval Intelligence	Large	22	6	8	4	20	60
Joint Staff/US Africa Command	Large	21	14	0	8	8	51
U.S. European Command /EUCOM (Secretary of Joint Staff)	Large	14	14	4	4	0	36
OS/NBC/Records Administrator	HQ	26	18	8	8	22	82

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
				Overall Average Score			*56*
Department of Education							
Office of Management	HQ	22	18	4	14	20	78
				Overall Average Score			*78*
Department of Energy							
Energy Information Administration	Small	22	12	8	14	0	56
Southeastern Power Administration (SEPA)	Small	26	6	8	18	26	84
Southwestern Power Administration	Small	26	14	8	16	30	94
Bonneville Power Administration	Large	15	0	0	0	0	15

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
Western Area Power Administration	Large	25	14	8	14	28	89
Federal Energy Regulatory Commission	Large	16	18	8	6	14	62
Office of the CIO	HQ	26	14	8	14	28	90
			Overall Average Score				*70*

Department of Health and Human Services

Substance Abuse and Mental Health Services Administration (SAMHSA)	Small	15	14	6	14	18	67
Administration on Aging	Small	26	18	0	14	16	74
Agency for Healthcare	Small	14	18	8	18	18	76

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Health and Human Services/Office of the Secretary	Small	26	18	0	10	26	80
Administration for Children and Families	Large	10	14	8	12	30	74
Indian Health Service	Large	26	14	8	6	22	76
Food and Drug Administration (FDA)	Large	26	14	8	18	30	96
Centers for Medciare & Medicaid Services (CMS)	Large	22	18	8	4	30	82
Center for Disease Control and Prevention	Large	26	18	8	18	30	100
Health Resources and Services Administraton	Large	8	10	0	0	0	18
National Institutes of Health (NIH)	Large	26	18	8	14	30	96

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
Department of Health and Human Services (HHS) Office of the Chief Information Officer for HHS	HQ	26	18	8	8	26	86
				Overall Average Score			*77*
Department of Homeland Security							
U.S. Citizenship and Immigration Services (USCIS)	Large	26	18	8	14	22	88
Transportation Security Administration	Large	20	4	8	4	10	46
U.S. Customs and Border Protection	Large	18	6	4	8	12	48
U.S. Immigration & Customs Enforcement	Large	16	18	8	6	12	60
Federal Law Enforcement Training Center	Large	6	6	4	4	0	20

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
Federal Emergency Management Agency	Large	20	18	8	10	24	80
U.S. Secret Service	Large	22	14	8	14	18	76
U.S. Coast Guard	Large	26	18	8	12	30	94
Headquarters and support components	HQ	22	18	0	10	30	80
				Overall Average Score			*66*

Department of Housing and Urban Development

Department of Housing and Urban Development	HQ	26	14	8	8	12	68
				Overall Average Score			*68*

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Interior							
Office of the Solicitor	Small	14	18	0	8	12	52
Office of the Secretary/DOI-OS/NBC	Small	25	18	8	14	26	91
Office of the Special Trustee for American Indians, Office of Trust Records	Small	26	10	8	10	30	84
Office of Surface Mining and Relamation and Enforcement	Small	26	14	8	14	30	92
Delaware River Basin Commission	Small	0	0	0	4	0	4
National Park Service	Large	18	18	8	10	16	70
Minerals Management Service	Large	25	14	8	12	30	89
Fish and Wildlife Service	Large	26	14	8	14	30	92

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Bureau of Land Management	Large	25	14	8	14	30	91
U.S. Geological Survey (USGS)	Large	18	18	8	14	30	88
Bureau of Reclamation	Large	26	14	8	16	30	94
Secretary of the Department of Interior	HQ	26	18	8	16	26	94
				Overall Average Score			*78*
Department of Justice							
National Drug Intelligence Center (NDIC)	Small	4	10	0	10	0	24
Office of Justice Programs, Office of Administration, Support Services Division	Small	26	18	8	14	24	90
United States Marshals Office	Large	14	10	4	10	14	52

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Federal Bureau of Investigation	Large	25	18	8	3616	30	97
Federal Bureau of Prisons UNICOR Federal Prison Industries National Institute of Corrections	Large	14	18	8	14	10	64
Drug Enforcement Administration	Large	24	18	8	18	20	88
Bureau of Alcohol, Tobacco, Firearms and Explosives	Large	22	18	8	18	18	84
Justice Management Division, Office of Records Management Policy	HQ	26	18	4	14	22	84
				Overall Average Score			**73**

Department of Labor

Office of Administrative Law Judges	Small	22	14	8	8	22	74

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Office of Job Corps	Small	16	14	6	16	10	62
Employee Benefits Security Administration	Small	23	14	8	14	12	71
International Labor Affairs Board	Small	12	0	0	0	0	12
Office of Disability Employment Policy	Small	18	10	8	16	26	78
Office of Inspector General (OIG)	Small	24	14	8	18	30	94
Adjudicatory Boards/Arbitration Review Board	Small	18	18	8	18	24	86
Office of the Assistant Secretary of Policy	Small	24	18	8	18	30	98
Solicitor of Labor	Small	18	6	8	18	6	56
Office of the Chief Financial Officer	Small	20	6	8	16	20	70

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Women's Bureau	Small	11	6	4	12	6	39
Employment and Training Administration	Large	21	14	8	14	30	87
Occupational Safety and Health Administration - Directorate of Administrative Programs Office of Management Systems and Organization	Large	26	14	8	14	30	92
Mine Safety & Health Administration (MSHA)	Large	24	16	8	14	30	92
Bureau of Labor Statistics	Large	26	18	8	14	30	96
Employment Standards Administration	Large	26	18	8	14	30	96
Office of the Assistant Secretary for Administration and Management (OASAM)	HQ	26	18	8	14	30	96

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
				Overall Average Score			76
Department of State							
Records and Archives Management Division, Office of Information Programs and Services, Global Information Services, Bureau of Administration	HQ	26	18	6	14	30	94
				Overall Average Score			94
Department of the Treasury							
Treasury/Alcohol and Tobacco Tax and Trade Bureau	Small	26	18	8	14	22	88
Treasury/Financial Crimes Enforcement Network (FinCEN)	Small	10	18	8	14	0	50
Treasury/United States Mint	Large	22	18	8	14	18	80

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Treasury/Office of Thrift Supervision	Large	22	10	8	14	14	68
Treasury/Bureau of the Public Debt	Large	26	18	8	18	18	88
Treasury/Bureau of Engraving and Printing	Large	18	14	8	14	14	68
Treasury/Internal Revenue Service	Large	26	18	8	14	30	96
Treasury/Office of the Comptroller of the Currency	Large	26	18	8	14	26	92
Treasury/Departmental Offices	HQ	26	18	8	14	24	90
Treasury/Financial Management Service		22	18	4	18	10	72

Overall Average Score   *79*

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
Department of Transportation							
Research and Innovative Technology Administration (RITA)	Small	6	18	4	2	2	32
National Highway Transportation Safety Administration (NHTSA, OCIO)	Small	18	14	4	10	0	46
Office of the Chief Information Officer	Small	18	14	0	10	0	42
Maritime Administration	Small	26	14	8	14	30	92
Surface Transportation Board	Small	10	10	8	8	0	36
Federal Railroad Administration	Small	26	18	8	14	22	88
Office of Administration/St. Lawrence Seaway Development Corporation	Small	22	0	4	8	0	34

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Cabinet		Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
Federal Transit Administration	Small	18	14	4	0	14	50
Federal Highway Administration	Large	26	18	8	18	30	100
Federal Motor Carrier Safety Administration(FMCSA)	Large	26	18	8	16	30	98
Federal Aviation Administration	Large	21	18	8	8	12	67
Office of the Secretary/Office of Facilities, Information, and Asset Management	HQ	18	10	8	12	0	48
				Overall Average Score			*61*
Department of Veterans Affairs							
Office of Privacy and Records Management (005RI) Enterprise Records Service (005RIB)	HQ	20	10	8	4	18	60
				Overall Average Score			*60*

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: EOP	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Executive Office of the President						
Council on Environmental Quality	20	14	4	4	20	62
Office of Administration	16	8	8	2	14	48
Office of National Drug Control Policy, Office of Management and Administration	20	6	8	6	14	54
Director of the Intelligence Staff/Mission Support Center/Information Management	26	18	0	12	22	78
Barry M. Goldwater Scholarship Foundation	6	10	8	4	6	34
Office of Science and Technology Policy	19	8	8	6	20	61
Office of the United States Trade Representative	26	4	8	14	16	68

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: EOP	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Overall Average Score						**58**
Social Security AdministrationBudget, Finance and Management/Office of Document Management/Center for Records Management	26	18	8	18	30	100
Nuclear Regulatory Commission/Office of Information Services	26	14	8	14	24	86
National Labor Relations Board	25	14	8	10	14	71
Bureau for Management, Office of Administrative Services	24	14	8	18	14	78
National Aeronautics and Space Administration	26	18	8	10	10	72

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Large	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Environmental Protection Agency	26	18	8	18	30	100
Small Business Administration/Division of Administrative Services	18	18	8	10	22	76
Office of Personnel Management (OPM)/Management Services Division, Center for Information Services (MSD/CIS)	20	14	4	4	6	48
National Geospatial Intelligence Agency	24	10	0	2	6	42
National Science Foundation/Office of Information Resource Management,Division of Administrative Services	25	14	8	10	20	77
CIA/Chief Information Management Office, DCIA	25	14	8	14	30	91

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Large	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Equal Employment Opportunity Commission	26	14	8	8	18	74
National Archives and Archives and Administration	18	18	8	18	18	80
National Credit Union Administration/Office of the Chief Information Officer	12	6	0	18	0	36
Federal Communications Commission	23	14	8	8	24	77
Broadcasting Board of Governors	20	14	0	10	20	64
Federal Trade Commission	26	18	8	8	30	90

Overall Average Score   *74*

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Large	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Department of Energy						
Tennessee Valley Authority/Information Technology Planning & Governance (ITP&G)	26	18	8	16	22	90
Overall Average Score						*90*
Government Printing Office/Finance and Administration	18	8	0	0	0	26
Sentencing Commission	22	0	4	4	26	56
Federal Judicial Center	10	12	0	4	0	26
Government Accountability Office/Knowledge Services/Information Assets	22	18	8	18	30	96

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Leg and Judicial	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Court Services and Offender Supervision Agency	10	14	4	10	0	38
Overall Average Score						*48*
Marine Mammal Commission	2	0	4	4	0	10
Federal Housing Finance Agency (Board)	22	14	8	18	18	80
Overseas Private Investment Corporation/Records Management	26	16	8	4	12	66
Federal Retirement Thrift Investment Board	25	6	8	12	30	81
National Endowment for the Arts	10	14	4	4	0	32
Corporation for National & Community Service	24	10	0	0	0	34

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Small	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
Board of Governors of the Federal Reserve System/Office of the Secretary	26	18	6	18	20	88
National Capital Planning Commission/Office of the Secretariat	26	10	8	14	30	88
Millennium Challenge Corporation, Administration & Finance (A&F) Division: Office of the Chief Information Officer (OCIO)	22	18	8	14	30	92
Commodity Futures Trading Commission	22	18	8	12	18	78
Occupational Safety and Health Review Commission/Office of Executive Secretary	10	14	4	8	0	36
Inter-American Foundation	14	18	8	4	10	54
United States Tax Court	19	14	4	4	0	41

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Small	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
National Transportation Safety Board/Office of the Chief Information Officer Records Management Division	24	10	8	8	6	56
International Trade Commission	20	6	8	10	10	54
Export-Import Bank of the US	8	4	0	8	0	20
U.S. Consumer Product Safety Commission	18	10	6	4	8	46
Appalachian Regional Commission	10	0	0	0	0	10
Pension Benefit Guaranty Corp	22	18	8	14	26	88
Morris K. Udall Foundation	20	8	8	0	26	62
National Indian Gaming Commission	12	14	0	10	18	54
Postal Regulatory Commission	9	8	4	8	0	29

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Small	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
International Boundary and Water Commission	26	4	0	4	14	48
Office of the Executive Director	8	2	0	0	0	10
National Endowment for the Humanities	11	6	4	4	16	41
Selective Service System/Public and Intergovernmental Affairs	16	14	8	18	30	86
Office of Government Ethics	23	16	8	14	30	91
Federal Maritime Commission	16	18	8	14	14	70
Peace Corps/Management, Office of Administrative Services	18	14	4	10	0	46
Institute of Museum and Library Services/Office of the Director	10	4	0	10	0	24
American Institute in Taiwan	18	4	0	4	0	26

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Small	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E-mail (Max pts 30)	Total For Component (Max pts 100)
U.S. Commission on Civil Rights	20	10	8	4	0	42
Office of Special Counsel	16	6	0	2	0	24
Office of Navajo and Hopi Relocation	21	4	8	8	30	71
Presidio Trust	8	6	8	0	0	22
Railroad Retirement Board	14	18	8	4	0	44
Merit Systems Protection Board/Office of the Clerk of the Board	14	4	0	10	6	34
Trade and Development Agency/U.S. Trade and Development Agency	16	14	8	14	6	58
African Development Foundation	15	12	8	8	20	63
United States Institute of Peace	14	14	8	8	0	44

Report of Aggregate Scores by Parent Department or Independent Agency

Type or Size of Agency: Small	Section 1: Program Management (Max pts 26)	Section 2: Records Disposition (Max pts 18)	Section 3: Vital Records (Max pts 8)	Section 4 : Electronic Records (Max pts 18)	Section 5: E- mail (Max pts 30)	Total For Component (Max pts 100)
Federal Mediation and Conciliation Service	10	10	0	8	10	38
Farm Credit Administration	26	16	8	18	26	94
Federal Mine Safety & Health Review Commission	22	14	8	8	8	60
National Mediation Board	26	8	8	18	30	90

Overall Average Score   *53*

Non-Respondents

The following 21 Federal agencies did not complete and submit their records management self-assessment by the October 16, 2009, deadline. NARA staff followed up with the appropriate points of contact for these agencies to determine the reasons for their non-compliance. These reasons include:

- The agency did not have an assigned records management officer responsible for completing the task;
- The responsible records management official did not receive the self-assessment;
- The agency missed the deadline, due either to accidental oversight or lack of resources to complete it; or
- The agency did not believe they were required to complete the self-assessment because:
    - They are a component within a Department and they claimed the Department's self-assessment covered their program; or
    - They claimed a "unique", quasi-Federal, or non-Federal legal status that places them outside the requirements of the Federal Records Act.

Administrative Office of the U.S. Courts**
Advisory Council on Historic Preservation
American Battle Monument Commission
Committee for the Purchase from People Who Are Blind**
Congressional Budget Office
Defense Contract Management Agency
Department of Defense/U.S. Southern Command
Department of Homeland Security/Office of Business Administration
Department of Transportation/ Pipeline Hazardous Materials Safety Administration
Department of Transportation/Office of Inspector General
Federal Election Commission
Federal Labor Relations Authority
General Services Administration
Harry S. Truman Scholarship Foundation
Japan-U.S. Friendship Commission
Missile Defense Agency
National Nuclear Security Administration
Overseas Private Investment Corporation
Securities and Exchange Commission
U.S. Chemical Safety and Hazard Investigation Board
U.S. Holocaust Memorial Council and Museum

**Received after the deadline.