

July 18, 2019

VIA U.S. Postal John Greenwald The Black Vault 27305 W. Live Oak Road Suite 1203 Castaic, CA 91384-4520

Re: Freedom of Information Act Request: NGC15-053

Dear Mr. Greenwald:

This is in response to your Freedom of Information Act (FOIA) request dated November 26, 2014, and received in our office on the same day. Your request was assigned our internal tracking number NGC15-053. In your request, you stated that you were seeking the following:

I respectfully request a copy of the Records Management Self-Assessment (RMSA) report for the National Security Agency (NSA) for the years 2009-2013.

We conducted a search and located the RMSA forms for 2009 to 2013 totaling 72 pages. In a letter dated December 18, 2014, we informed you that the responsive documents contained some information that was provided by the National Security Agency (NSA) and it was being referred to NSA for review. Following NSA's review, we are releasing the documents in part with redactions pursuant to FOIA Exemption 3, 5 U.S.C. § 552(b)(3). In this instance, the applicable statute is 50 U.S.C. § 3605 (Public Law 86-36, Section 60). The enclosed document consists of NSA's 2009 to 2013 RMSA forms. The NSA's FOIA unit reviewed the documents and applied the (b)(3) withholdings.

If you are not satisfied with our action on this request, you have the right to file an administrative appeal within ninety (90) calendar days from the date of this letter via regular U.S. mail or email. By filing an appeal, you preserve your rights under FOIA and give the agency a chance to review and reconsider your request and the agency's decision. If you submit your appeal in writing, please address it to the Deputy Archivist of the United States (ND), National Archives and Records Administration, 8601 Adelphi Road, College Park, Maryland 20740. Both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." If you submit your appeal by e-mail please send it to FOIA@nara.gov, also addressed to the Deputy Archivist

NATIONAL ARCHIVES, and RECORDS ADMINISTRATION

8601 ADELPHI ROAD COLLEGE PARK. MD 20740-6001 www.archives.gov of the United States. Please be sure to explain why you believe this response does not meet the requirements of the FOIA. All correspondence should reference your case tracking number NGC15-053 and your *FOIAOnline* tracking number.

If you would like to discuss our response before filing an appeal to attempt to resolve your dispute without going through the appeals process, you may contact our FOIA Public Liaison Gary M. Stern for assistance at the address below:

National Archives and Records Administration 8601 Adelphi Road, Room 3110 College Park, MD 20740-6001 301-837-1750 garym.stern@nara.gov

If you are unable to resolve your FOIA dispute through our FOIA Public Liaison, the Office of Government Information Services (OGIS), the Federal FOIA Ombudsman's office, offers mediation services to help resolve disputes between FOIA requesters and Federal agencies. The contact information for OGIS is:

Office of Government Information Services National Archives and Records Administration 8601 Adelphi Road–OGIS College Park, MD 20740-6001 ogis@nara.gov ogis.archives.gov 202-741-5770 1-877-684-6448

Thank you for contacting the National Archives and Records Administration, and please feel free to also contact me directly if you have any questions about this FOIA request.

Sincerely. bditte

Jodi Foor Deputy FOIA Officer National Archives and Records Administration Office of General Counsel (301) 837-2099 jodi.foor@nara.gov

/s/07.18.2019 Official: NGC Reading: NGC Information Copy: NGC NGC:jfoor/jf/07/18/2019 S:FOIA/FOIA CASE FILES/FY 2015 - NGC15-053 – FOIA request File code 1103-6 This document is made available through the declassification efforts and research of John Greenewald, Jr., creator of:



The Black Vault is the largest online Freedom of Information Act (FOIA) document clearinghouse in the world. The research efforts here are responsible for the declassification of hundreds of thousands of pages released by the U.S. Government & Military.

Discover the Truth at: http://www.theblackvault.com

survey title: NARA Records Management Self-Assessment	
current report	t: Default Report
Displaying 226 of 227 respondents	
Response Type: Manual Data Entry	Collector: Sept. 28 RM Self Assessment (Email Invitation)
Email:	Name:
Custom Value: National Security Agency	IP Address:
Response Started: Tue, Nov 3, 2009 2:21:38 F	PM Response Modified: Tue, Nov 3, 2009 2:33:08 PM
1. Has your agency formally designated a reco management program?	ords officer with responsibility for carrying out its records
Yes	•
Elizabeth Brooks erbrook@nsa.gov 301-688-696	
1. Does your agency have a network of design Yes	nated records management llaisons throughout the agend
 Does your agency have a network of design Yes Has your agency issued a records manager 	
 Does your agency have a network of design Yes Has your agency issued a records manager 	nated records management liaisons throughout the agend nent directive(s) establishing program objectives,
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Doc ID: 6672292

SurveyMonkey - Survey Results

(b) (3)	-P.L.	86-36
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they comply with NARA regulations? Yes

1. Please provide the year of the latest records management evaluation.

1. 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?

1. Does your agency specifically brief senior officials and political appointees on the importance of appropriately managing records under his or her immediate control?

We have in the past, but not recently

1. Please provide the month and year of the last br[efing.

No Response

Yes

No

1. 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? Yes

1. 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?

1. When was the last time your agency submitted a SF-115 to the National Archives?

Less than 3 years ago

1. Does your agency disseminate every approved disposition authority (including new SF-115s and GRS items) to agency staff within six months of approval?

Yes

No

1. Has your agency identified its vital records, i.ę., its emergency operating records and legal rights records? Yes

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

11/5/2009

October 2009

1. Has your agency taken measures to ensure that its vital records are adequately protected, accessible, and immediately usable?

Yes

1. 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 Plenning and Investment Control (CPIC), Systems Development Life Cycle (SDLC), Business Process Design (BPD) processes, or similar formal processes.

Yes

1. Does your agency periodically review its inventory of electronic information systems to determine if electronic records have been properly scheduled?

Yes

1. Please provide the month and year your agency last conducted this review.

September 2009

1. What percentage of your agency's electronic information systems are scheduled?

More than 75%

Our Schedules are media neutral. We currently do not have and electronic recordkeeping system.

1. 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.

No

My Agency does not keep its records on the web.

1. Please provide the NARA authority number(s) for schedule(s). (The authority number is the NARA job number and item number).

No Response

1. Does your agency have a policy for managing recordkeeping copies of e-mail?

Yes

1. Please provide the title and date of the e-mail policy.

11/5/2009

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Email is a tool to share information it is not scheduled independently. We are using the 180 rule per NARA guidance and we have media neutral retention schedules so we are looking at the information in the email, not the email as a whole.

1. Does your agency e-mail policy explain how to manage e-mail in an electronic mail system? No

1. 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? No

1. 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? Yes

1. Are your agency's employees routinely trained on how to manage e-mail records?

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

We provide monthly classes on Records Management and as part of that course employees are reminded of their responsibilities to maintain records regardless of the media to include email. So if an employee got an email and took action on it they would be required per the records disposition schedules to maintain it for the proper amount of time based on the subject and action taken.

1. Are your agency's high-level executives and political appointees routinely trained on how to manage their e-mail?

Yes

Yes

Same as every employee.

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

We provide monthly classes on Records Management and as part of that course employees are reminded of their responsibilities to maintain records regardless of the media to include email. So if an employee got an email and took action on it they would be required per the records disposition schedules to maintain it for the proper amount of time based on the subject and action taken.

1. Are you the Records Officer?

No

11/5/2009

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1. If you are not the records officer, please provide your name. No Response

1. What is your position title?

Chief, Records Management Policy

1. What is your parent agency? (For example, Department of Interior or Department of Defense) Department of Defense

2. What is your component or office? (For example, Bureau of Land Management or Department of the Army) National Security Agency

1. Please provide your contact information:

Agency, Bureau, or Office: - National Security Agency

Address: - 9800 Savage Rd

City/Town: - Fort George G. Meade

State: - MD

Phone Number:

ZIP/Postal Code: - 20755

Email Address:

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11/5/2009

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Response Details System ID Timestamp IP Address Time Taken Weight Survey Language Source Identifier Email Address Email List	08 Jun, 2010 01 50 09 P 2814 seconds 81.0 English		Integration Ta custom0 : custom1 : custom2 : custom3 : custom4 : custom5 : Geo Coding 2 Country	gs	US
-	ns marked with a * are in the second se		for carrying out its records i	nanagement program? (3	MD
* * Yes	0 0	9 .		Ja	ه ۲
records management o	erson responsible for overse fficer. (A Federal Records M onsible for mission-related a	lanagement Glossary, activities An <u>administra</u>	1993 Second Edition).		
»Yes					

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Are records management responsibilities ex	xplicitly stated in the position descriptions of records liaisons?
» Yes	
Federal agencies are required to issue a <u>dir</u> maintaining, and disposing of agency record	rective(s) that establish records management program objectives, responsibilities, and authorities for creating,
Does your agency have a records managen *	nent directive(s)?
» Yes	
When did your agency last review or validat	te its records management directive to ensure it includes current guidance?
» FY 2008-present	
f the directive is at your agency website, ple	gement directive. If you have more than one directive, e-mail them to rmselfassessment@nara gov ease e-mail the web link to rmselfassessment@nara gov
•	
<	
Comments on the Records Manage	
NSA/CSS will send the Records Managem	nent Policy separately to Stephanie Fawcett, as it does not link to this system.
An evaluation is an inspection, audit, or revi	new of one or more Federal agency records management programs for effectiveness and for compliance with recommendations for correcting or improving records management practices, policies, and procedures, and
	nd implementing the recommendations. Evaluations may be comprehensive (agency-wide) or specific to a R 1220.18)
follow-up activities, including reporting on ar program area or organizational unit (36 CFI À <u>program area</u> is responsible for mission-re	
follow-up activities, including reporting on ar program area or organizational unit (36 CF	R 1220.18)
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follow-up activities, including reporting on ar program area or organizational unit (36 CFI À <u>program area</u> is responsible for mission-re (36 CFR 1220.34(d))	R 1220.18) related activities. An <u>administrative area</u> is responsible for activities not specific to the mission of the agency

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Yes			
ho conducts the evaluations?		-	
	:		
RM staff	:	<i>.</i>	
Inspector General	•	- 4	
Other, please specify Records Management Staff conduct informal records reviews to	assist onices with retentio	n decisions.	
ecords management program staff includes employees and/or contract staff with full-time	records management res	ponsibilities.	
aw often door your records management program staff evaluate the records management	t prostions of one or more	a program and administ	
ow often does your records management program staff evaluate the records managemer	It practices of one of more	e program and administr	alive areas r
Annually			
e written reports prepared for each evaluation?			
	:		
Yes			
enior officials are the heads of departments and independent agencies, their deputies and cluding assistant secretaries, administrators, and commissioners, directors of offices, bur those aforementioned officials, such as special assistants, confidential assistants, and a popointees, and officers of the Armed Forces serving in equivalent or comparable positions	eaus, or equivalent, princi dministrative assistants; a	pal regional officials, sta	aff assistants
	s. (GRS 23, 5a)	,	
e senior officials briefed on the findings of the records management evaluation?	9	o	
	:		
Yes			
	•		1
bes the records management program staff follow up to determine if the office(s) have im r improvement?	plemented necessary con	rective action(s) or reco	mmendation(s)
	:		
Yes			
records <u>inventory</u> is a survey of agency records and nonrecord materials conducted prim cords management problems. (Basic Records Operations Workshop, Key Terms; revised	arily to develop records so d August 2009)	chedules and to identify	various
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Does your agency regularly inventory its records? * * * * * * * * * * * * * * * * * * *	
When was the last records inventory conducted? Ø 0-2 years ago A life plan is a document containing the identifying number, title or description, and disposition authority of all paper, electronic, and other special meles held in an office (Basic Records Operations Workshop, Key Terms, revised August 2009) N program area is responsible for mission-related activities. An <u>administrative area</u> is responsible for activities not specific to the mission of the ager 36 CFR 1220 34(d)) Does your agency require that every program and administrative area maintain a file plan for organizing its records? Ø Yes Does your agency allow employees to use non-federal e-mail systems to conduct agency business? (36 CFR 1236.22(b)) Ø No Ø No Does your agency ensure that e-mail Federal records are preserved in the appropriate agency recordkeeping system? (36 CFR 1236 22(b))	
O-2 years ago file plan is a document containing the identifying number, title or description, and disposition authority of all paper, electronic, and other special meles held in an office (Basic Records Operations Workshop, Key Terms, revised August 2009) A program area is responsible for mission-related activities. An <u>administrative area</u> is responsible for activities not specific to the mission of the ager So CFR 1220 34(d)) Does your agency require that every program and administrative area maintain a file plan for organizing its records? Yes ves	
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Does your agency ensure that e-mail Federal records are preserved in the appropriate agency recordkeeping system? (36 CFR 1236 22(b))	
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»No	:
N Contraction of the second seco	
Records management program staff includes employees and/or contract staff with full-time records m	nanagement responsibilities.
How often does your agency's records management program staff participate in design, development	t, and implementation of new electronic information
systems?	
» Occasionally	•
Does your agency ensure that records management controls are incorporated into the design, develo	pment, and implementation of its electronic
nformation systems? (36 CFR 1236.12 and OMB A-130)	
» Yes	:
CMP Evolute 200 Constal Accest Plan and Pursuance Cone Commence in a second for more seference of	
DMB Exhibit 300, Capital Asset Plan and Business Case Summary, is required for major information	technology investments (OMB Circular A-11)
·	
Does your agency's records management program staff approve the OMB Exhibit 300 or other busine systems?	ess case(s) for all new electronic information
ĸ	
» No	Ĩ.
şş	
Agencies must design and implement migration strategies whenever records must be maintained and	used beyond the life of the information system in
which they were originally created or captured. This includes planning for the migration of records to a	a new system before the current system is retired,
mplementing hardware and software upgrades in such a way as to retain the functionality and integri ormat until their disposition date, the conversion of storage media to be compatible with current hardw	ty of the records, retaining the records in a usable ware and software, and maintaining the link betweer
ecords and their metadata through conversion or migration (36 CFR 1236.14)	•
Does your agency have established policies and procedures requiring that its electronic records are p	preserved in a usable format until their authorized
lisposition date?	
» Yes	:
	······································
	:

6/9/2010

NARA-approved records schedule is one that	t has been signed by the Archivist of the Unit	ed States.		
of the total number of your agency's electronic pproved records schedule? <u>Io not</u> include the following in your answer dra archivist of the United States.				
		:		
More than 75%	×			
Vhen was the last time your agency submitted	a SF-115 to the National Archives?			-
FY 2008 - 2009				
ending SF 115s are those that have been acc Inited States loes your agency currently have any pending S Yes		or manufer, por nave		
s required by your agency's NARA-approved s 58 in Fiscal Year 2009? (36 CFR 1235.10)	schedule, did your agency transfer <u>any</u> perm	anent <u>non-electronic</u>	records to the National Arch	lives via a SF
• No % v	ų	3		9
s required by your agency's NARA-approved s Fiscal Year 2009?	schedule, did your agency transfer any perm	anent <u>electronic</u> rec	ords to the National Archives	via a SF-258
No				-
here does your agency store its inactive Fede	ral records?			
hoose all that apply and indicate if each is con		e facilities as proscri		
· · · · · · · · · · · · · · · · · · ·	Compliant		Not compliant	
			and an end of the second s	

C.

Agency storage facility		×
Federal Records Center (FRC)		
Commercial storage provider		
	es the use of off-site storage facilities, records destruction ff monitor the disposition of the agency's temporary record	
ncluding assistant secretaries, administrato o those aforementioned officials, such as s ppointees, and officers of the Armed Force	s and independent agencies, their deputies and assistant rs, and commissioners, directors of offices, bureaus, or e becial assistants, confidential assistants, and administrati s serving in equivalent or comparable positions. (GRS 23 If conduct exit briefings for senior officials on the appropri	equivalent, principal regional officials, staff assistants ive assistants, and career Federal employees, politica 3, 5a)
» Yes		
Are the exit briefings documented? Yes Point officials required ersonal papers and copies of records?	d to obtain approval from records management program	ہ staff or other designated official(s) before removing
Yes		-
omments on the Records Dispositi	on Section (Optional) pliant records center since 2008 and is making great stru	des.
·····	,	
ital records are records needed to meet op	erational responsibilities under national security emerger	icles or other emergency conditions (emergency

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operating records) or records). (36 CFR 122	to protect the legal and fine 23.2)	nancial rights of the Govern	ament and those af	fected by Governme	nt activities (legal and fi	nancial rights
A program area is res (36 CFR 1220.34(d))	ponsible for mission-relat	ted activities An administra	<u>itive ařea</u> is respon	sible for activities not	t specific to the mission	of the agency.
Has your agency iden	tified the vital records of	all its program and adminis	trative areas?		:	
					:	
						1
Is the records manage	ment program, represent	ted on the agency's Continu	uity of Operation (C	OOP) program team	2	
» Yes		.			-	
ls your vital records pl *	an part of the Continuity	of Operation (COOP) plan?	2			
» Yes						
How often does your a	agency review its vital rec	cords program?	1			
» Annually					:	
				۰.	:	
1	ũ	۰ نو	Ø		•	3
				· · · · ·	• •	
Agencies are required identification of Federa	to provide <u>guidance and</u> al records, in all formats a	training to all agency pers and media (36 CFR 1220.3	onnel regarding the 34(f))	er records managem	ent responsibilities, incl	uding
Does your agency pro	vide records managemei	nt information to new emplo	oyees as a part of t	heir introduction to ye	our agency?	
» Yes						
		e =				
Which of the following	methods do you use to p	provide records manageme	ent information to ne	ew employees? (Cho	ose all that apply)	
\sim				*	:	

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» Part of agency orientation	
Information on web site(s)	
Information packet	
Broadcast e-mail(s)	
Other (Please specify) Adhoc briefings, Records Management briefings nonth in April, Celebration of Archives month in October, Records Management brochures and posters, Reco lisplays, monthly records management newsletters and brown bag discussions.	Celebration of Records Management rds Management displays, Archives
or the following questions, formal records management training is the communication of standardized inform nowledge, skills, and/or attitudes of agency employees Training can be either classroom or distance-based,	ation that improves the records management but it must
Be regular (occurring more than just once)	•
Be repeatable and formal (all instructors must provide the same message, not in an ad hoc way), and Communicate the agency's vision of records management	:
	:
oes your agency require its contractors to complete formal records management training?	:
No	:
	•
he term staff includes full-time and part-time employees, temporary workers, interns, and contractors.	:
Does your agency provide formal records management training for staff <u>other than</u> the records liaisons, record nanagement responsibilities, including the identification of Federal records in all media and formats?	Is officer, and senior officials about records
	•
Yes .	
	0 .
ly agency does not provide formal records management training to staff because (Choose all that apply) *	•
•	
hat percentage of your agency's staff receives formal records management training?	:
	• ·
formal records management training mandatory for all agency staff?	:
The second second second is a second s	
PNo -	:
	•

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Which of these ways do you use to provide formal records management training to your staff? (Choose all that apply)	
» Classroom/in-person by agency's own staff	
» Customized NAR'A records management training classes	Į.
» Self-directed, computer-based training	
» Video-conferencing	
» Other (please specify) Records Management training is mandatory for all new hires as part of new employee mandatory training.	
Regular means that the training occurs more than just once	
Does your agency provide regular, formal records management training to all agency staff? *	
» Yes	
How often does your agency provide regular, formal records management training to all agency staff? *	
» Quarterly or more often	
Do you use an evaluation system to determine the effectiveness of your formal training program?	
» Yes	
" Tes	
How do you evaluate your records management training program? (Choose one) *	
» Completion of evaluation forms	
0 Q 0 0 V 0	1
Informal records management training is a training activity that does not meet the definition of formal records management training.	
Does your agency provide informal records management training to its staff?	
* .	
» Yes	
,	-
Which of the following informal ways does your agency provide records management training to its staff? (Choose all that apply)	
» Information on website(s)	
» Broadcast e-mails	
	1
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» Records managemen	t roles and responsibilit	ies *	<i>,</i>
	cords and non-records		~
	of records in all media		
Records schedule im			
E-mail records		:	
Vital records			:
Records retention		:	
	or records in all media	1	:
Records storage			
oes your agency have	a way for staff to find a	nswers to re	ecords management questions? *
Yes			
	*		
			•
	wave that your as		nff can find answers to their records management questions
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Is formal records management training mandatory for all records liaisons? *

» Yes

Which of the following ways do you provide formal records management training to your records liaisons? (Choose all that apply) *

» Classroom/in-person by agency's records management staff

» Customized NARA records management training classes

» Self-directed, computer-based training

» Video-conferencing

» On-site leader-led workshops

» Teleconferences

» One-on-one

Regular means that the training occurs more than just once

Do you provide regular, formal records management training to your records liaisons?

» Yes

How often does your agency provide <u>formal</u> records management training to your records liaisons? * » Quarterly or more often

Informal records management training is a training activity that does not meet the definition of formal records management training.

Do your agency's records liaisons receive informal records management training? *

» Yes

How does your agency provide informal records management training to your records liaisons? (Choose all that apply) * » Information on website(s)

» Broadcast e-mails

Whether informal communication or formal training, what topics are covered in your agency's records management training for records liaisons? (Choose all that apply) *

» Records management roles and responsibilities

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» Identifying Federal records and non-records in	n all media	
» Maintenance and use of records in all media		
» Records schedule implementation		
» E-mail records	,	
» Vital records		1 • •
» Records retention	:	
» Records disposition for records in all media		
» Records storage	:	
s 		•
	-	nt agencies, their deputies and assistants, the heads of program offices and staff offices
appointees, and officers of the Armed Forces se Does the records management program staff co		walent or comparable positions. (GRS 23, 5a) g for senior officials on the importance of appropriately managing records under their
mmediate control?		
k	: :	
» Yes		
		*
What topics are covered in senior briefings? (Ch	oose all that	apply) *
Identification of Federal Records		•
Sovernment ownership of Federal Records	1 1	û a O
Government accountability		
» Legal requirements		
» E-mail	<u> </u>	
	: •	
omments on the Training for Senior O	Officials Se	ection (Óptional)
		senior officials and advise them of their records management responsibilities.
lease provide your name.		

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 Zero - Longer and Annual A Annual Annual Annu		

Are you the Records Officer? *		• •
»No		
	· · · · · · · · · · · · · · · · · · ·	
What is your position title?		· · · · ·
Cheif, Records Management Policy NSA/CSS]
What is the name of your agency/organization?	•	
National Security Agency.]
How many <u>full-time</u> employees are on your records employees in your total.	s management staff? Please include full-time government a	nd contract
]

How many locations does your agency/organization	j's records management program staff serve?	
		1
How many <u>full-time</u> employees (FTE) are in your agency/organiza	ration (Choose one) *	
Agency, Bureau, or Office:		
Department of Defense	.d]
Address:	, /	-
9800 Savage Road, Suite 6886] [
Address 2:		
-]
City/Town:		_
Fort George G. Meade		1
State:		
Maryland]
ZIP/Postal Code:		-
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			20755 E-Mail Address: Phone Number:
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responsibility to a	ESTION. Has your agency assigned a person with appropriate authority with entation of the agency's comprehensiv ogram? (36 CFR 1220 34(a))	hin the agency to coordinate and	· · · ·	·		· · · · ·
ALC: UTAL	Answer	L Mr. Bar	a Without any second	Respo	nso Hima	
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carrying ou	e provide the name and little of the person with opera It your agency's records management program.	ational responsibility for					
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11. Wr agency's re	at delegated authority does the person with operation cords management program have?	nal responsibility for your					
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agement	gram area is responsible for mission-related activities. An administrative hisble for activities not specific to the mission of the agency. (36 CFR ORE QUESTION. Does your agency have a network of designated ithin each program and administrative area who are assigned records responsibilities? These individuals are often called Records Liaison bs) though titles may vary (36 CFR 1220.34(d))					• 1,
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. How I	many FTEs (Full-Time Equivalents) in your agency's program and		± >2		x	9 ¹
inistrativ	e offices are assigned records management responsibilities? NOTE:					
se combi ssarv. F	ine percentages of time equal to a full-time equivalent employee where for example, if you have 2 full-time employees, each of whom perform					
rds mana	agement work 50 percent of the time, they would equal 1 FTE.					
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2	Every 2 years			0	0%
3	Only when they are newly hired +			0	0%
4	Only when they request it			0	0%
5	Other (Please be specific)			0	0%
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2	Face-to-face briefings	8 • ¥			1	100%
3	E-mail messages	-			. 1	100%
4	Information posted on the agency's internal website	* 31.4 ¥ ¥			1	100%
	Other (Please be specific)				0	0%
Other.	Please bospecific)	and and the second s	and the second	and the second	ere state 2 faller	er, ere ere
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2	Government ownership of Federal records					100%
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2	Country and anon intability					
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 $48. \ \ \, \text{CORE QUESTION} \ \ \, \text{Does your agency's records management program have established methods that assess the effectiveness of the program?}$

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58. Has your agency's records management program established controls to ensure	-
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79. What administrative (Cnoose all	follow-up actions did your agency take to ensure that e area implemented the recommendations from the that apply)	at the program or evaluation/inspection?			• • •	
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80. Comments (Optional)

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81. Vital records are records needed to meet operational responsibilities under O I. Vital records are records needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). (36 CFR 1223.2) A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d)) CORE QUESTION. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)

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83. Does your agency's records management program conduct the vital records inventory for your agency?

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85. Who in your agency conducts the vital records inventory?

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3. When was the last time your agency submitted a records schedule (e.g., a SF 5') that was accepted (registered and assigned a Job Number) by NARA? (36 CFR 124.10(c) and 36 CFR 1225.12(i)) *Standard Form 115: Request for Records (sposition Authority)			8. 		-
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	3 Vone of my agency's permanent electronic records were eligible to be trans	sferred in FY 2010	-	REALIZED AND AND AN	1	100%
	4 🖌 All my agency's eligible permanent electronic records are under a records h	hold or freeze			. 0	0%
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	102. Comments (Optional)					
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	103. Please provide the National Archives Accession Number (field #17 on the SF 258 or in ERA) of the most recent SF-258 for permanent electronic records signed by your agency and NARA in FY 2010, indicating a completed transfer.	F-				
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'n			·····			
	105. My agency did not transfer eligible permanent electronic records because: (Choose all that apply)	· · · · · · · · · · ·	 	· · · · · · · · · · · · · · · · · · ·		
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	1 The format of the records was not compatible with NARA systems			·	and fundal one	0%
	2 The records contain sensitive information	a az en az		a kan na min	0	0%
	3 Transfer procedures are undear				0	0%
	4 There is no easy way to segregate permanent from temporary data		-		0	0%
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106. Comments (Optional)

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107. Senior officials are the heads of departments and independent agendes, their deputies and assistants, the heads of program offices and staff offices including assistant secretanes, administrators, and commissioners, directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a) CORE QUESTION. Does the records management program staff as a matter of standard procedure conduct exit briefings for senior officials on the appropriate disposition of the records, including email, under their immediate control?

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108. Comments (Optional)

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109. Comments (Optional)

TALY BALS 1. T. T. J. T. 1. T. Text Response . Lier 1. 2. 23 1.4 NSA will fax this documentation to Stephanie Fawcett.

110. CORE QUESTION. Are the exit briefings documented for purposes of accountability?

1	√ Yes	And the second	1	1	100%
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3	> Do not know			0	0%.

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111. Comments (Optional)

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112. com	REQUESTION Upon separation, are senior of	flicials required to obtain				
approval from I	ecoros management program staff or other des onal papers and copies of records?	ignated official(s) before				_
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Nelened W	rivacy Aurredoun of Indinaton Aurobaas	sincauon oinges for reviews.				· · · · · · · · · ·
114. cos	E QUESTION. Has your agency established of	contrais, through policy	8	s i tyri		
and procedures	t, to ensure the reliability, authenticity, integrity ds maintained in electronic information system	and usability of agency				
45.5.65	en e	• • • • • • • • • • • • • • • • • • •				
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20. COR	EQUESTION. Does yo	our agency maintain an inver	ntory of electronic	;			÷	
formation sys	tems? (36 CFR 1236.	26 (a))						
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		2						
22. Does	your agency's inventor	y of electronic systems indica	ate whether each				200 - 2 ⁰⁰ - 1	
stem is, or is	not, covered by a NARA	A-approved disposition author	rity? (36 CFR		• *	100 (100 - 20 100 - 20 100 - 20		
36.26(b)(7))		· · ·	5 19 19 10	a an law a sa				
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25 COR	EQUESTION Does vo	our agency ensure that record	te management					
dionality. inc	duding the capture, retri	eval, and relention of records	s according to					
incy business	s needs and NARA-appr	roved records schedules, is in ion of its electronic informatio	ncorporated into the	he				
R 1236.12)	ment, and implementation	or orns electronic mornauc	un systems / (30					
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126. Comments (Optional)

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program s	CORE QUESTION How often does your egency's records management taff participate in the design, development, and implementation of new information systems? (36 CFR 1236.12)				
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1	Always		0	0%	
2	✓ Most of the time		0	0%	

3	✓ Occasionally	 	1 .	100%
4	X Rarely		0	0%
5	×Never	· ·	0	0%
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128. Comments (Optional)

TextResponse

 $129. \ \ \, \text{Does your agency provide training on the retention and management of recards created and maintained in electronic form? (36 CFR 1220.34(f))$

1	Yes	THE PAY THE SHOULD SHOULD STATE OF THE SHOULD STATE AND AN AND AN AND A	. 1	100%
2	No		0	0%
3	Do not know	· · · ·	0	0%

130. Comments (Optional)

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131. Who receives this training? (Choose all that apply)

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3	Records Lialson Officers or similar	1. A Million of the second at the second at the second second second second second second second second second	100%
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5	Information Technology Staff	a reading deline in the second s	100%
6	Other (Please be specific)	B. Human and an and a start of a start and a start of the	100%

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132. Comments (Optional)

Text Response

ent system (ERMS), often referred i san electronic management system paper, electronic, microform, etc.), a filtate their preservation, retrieval, u ent training course. Electronic Reco 010) Does your agency, or any ourrently have – even as a pilot pro- gement System (ERMS)/Records aning and preserving electronic reco ement systems, case management idered to be fully functional ERMS on. Bar	i in which re ese, and rds ject – a ords? systems.		Response	1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1
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139. Is your ERMS/RMA used for (Choose	se all thet apply)	· · · · · · · · · · · · · · · · · · ·		
Answer Answer Electronic documents E-mail messages Maintaining records maintained outs Other (Please be specific)	ude the ERMS/RMA	Bar		D 0% D 0% O 0% O 0% O 0% O 0%
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140. Comments (Optional)				
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141. Is your agency in the process of devel	oping an ERMS/RMA?			17
1 Yes 2 No 3 Do not know Total	Bar Bar The second seco	tan an a	Response Faster - 1 0 0 1	-100% 0% 0%
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143. When does your agency plan to deplo	y an ERMS/RMA?		· · · · · · · · · · · · · · · · · · ·	<u>.</u>
H H Answer 1 FY2011 2 FY2012 3 FY2013 4 FY2014 5 Other (Please be specific) Total Total	Pri C Pri I Neg I		Response 0 0 0 0 0 0 0 1	0% 0% 0% 0% 0%
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147	Hasve	our agency developed policies and procedures fo	or capturing and		
mana	ging Feder	al records that are created on social media?			<u> </u>
9 Te.		N. Martine .		and the second state the second state of the s	SAN TANK
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	Has	292 our agency established records management policies and proced	ures for		· · · · · · · · · · · · · · · · · · ·
agin	g Fede	our agency established records management policies and procedural records in a cloud computing environment?			
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3.	Anel	edronic meil system is a computer application used to create, reo	eive,		<i>i</i> 2:
trans	smitm	essages and other documents. Excluded from this definition are f (software that transmits files between users but does not retain a	ile		
5m 15	ssion da	ta), data systems used to collect and process data that have been ata files or databases on either personal computers or mainframe			
pute	rs, and	word processing documents not transmitted on an e-mail system	n. (36		•
		CORE QUESTION. Does your agency have policies and proce le e-mail records that have a retention period longer than 180 day			
123	36.22(0	D			
	#	Answer		Response	14
	1	V Yes		. 1	100%
	2	XNo		0	0%
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157. Comments (Optional)

TextResponse

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158 . What methods does your agency use to capture e-mail records? (Choose all that apply)

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1	Print and file	THE REPORT OF THE PARTY OF THE	100
2	Save as .PDF		100
3	Storage as .PST (or other format) in Shared Natwork folders (Local Area Network)	The second se	100
4	Storage in an Electronic Records Management System/Records Management Application	0	0
5	Maintain in original e-mail system	0	
6	E-mail Archiving System	0	09
7	Backup tapes		100
8	Other (Please be specific)	0	04

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159. Comments (Optional)

PText Response

160. CORE QUESTION. Does your agency audit or review staff compliance with the agency's e-mail preservation policies?

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2	XNo	Rene Parte - Ar State	1	100%
3	× Do not know		0	0%
	Total		1	

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161. Comments (Optional)

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162. CORE QUESTION. How often does your agency audit or review staff compliance to the agency is e-mail preservation policies?

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163. Comments (Optional)

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	RE QUESTION. Does your agency provide of e-mail records? (36 CFR 1220.34(f))			
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c # 65	Answer	Bard Bard	Response to the	
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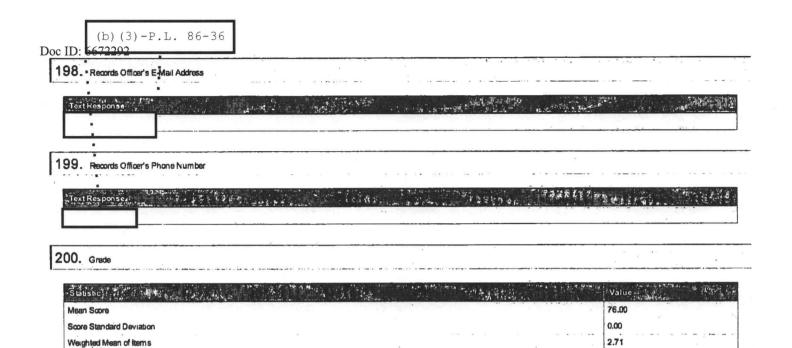
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179. Has e-mail archivir electronic mail	your agency or any office/component unit within your agency adopted an ig application for a purpose other than for official recordkeeping of messages?	n				
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2	No Do not know			0		0% 0%
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2	Program Managers					1	1
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196. Are you the Records Officer?			
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197. Please provide the name of your agency's	Records Officer.	· · · · · · · · · · · · · · · · · · ·	·. · · ·
Text Responses and the same state	and the second	There is a set of the	an that a second se
Mrs. Elizabeth R. Brooks			



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Items

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<i>i</i> -	Response Type: Collector: Normal Response FY 2012 Records Management Self-Assessment
,	(Email Invitation)
	Email: Name:
	Response Started: Response Modified:
· ·	Monday, June 4, 2012 2 09 59 PM Tuesday, June 26, 2012 1 51 25 PM
	 Has your agency assigned records management responsibility to a person with appropriate authority within the agency to coordinate and oversee implementation of the agency's
	comprehensive records and information management program? 36 CFR 1220.34(a)
	Yes
	1. Please provide the person's name, their position title, and office.
e.	Elizabeth Brooks, Associate Director Policy and Records (ADPR), NSA/CSS Federal Records Officer
;	
	1. Does your agency have a records management directive(s)? 36 CFR 1220.34(c)
γ.	Yes
	1. When was your agency's directive(s) last updated?
	FY 2009 - 2010 •
	 Does your agency have a network of designated employees within each program and administrative area who are assigned records management responsibilities? These individuals
T.	are often called Recerds Liaison Officers (RLOs) though their titles may vary. 36 CFR 1220.34(d)
	Yes
	1. Does your agency have an internal training curriculum, based on agency policies and
*	directives, for employees assigned records management responsibilities? These individuals are often called Records Liaison Officers (RLOs) though their titles may vary. 36 CFR 1220.34(f)
	Ver
	Yes
	1. Please state the number of employees assigned records management responsibilities
	1. Please state the number of employees assigned records management responsibilities trained during FY 2011. Note: Do <u>not</u> include the number of employees who attended NARA's records management
	1. Please state the number of employees assigned records management responsibilities trained during FY 2011.
	1. Please state the number of employees assigned records management responsibilities trained during FY 2011. Note: Do <u>not</u> include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized
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	1. Please state the number of employees assigned records management responsibilities trained during FY 2011. Note: Do <u>not</u> include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized training curriculum for your agency, in your answer.
	 Please state the number of employees assigned records management responsibilities trained during FY 2011. Note: Do not include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized training cuwiculum for your agency, in your answer. 1. Has your agency developed internal, staff-wide formal training - based on agency policies
	1. Please state the number of employees assigned records management responsibilities trained during FY 2011. Note: Do <u>not</u> include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized training curriculum for your agency, in your answer.
	1. Please state the number of employees assigned records management responsibilities trained during FY 2011. Note: Do not include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized training curriculum for your agency, in your answer. 1. Has your agency developed internal, staff-wide formal training - based on agency policies and directives - which helps agency employees and contractors fulfill their recordkeeping responsibilities? 36 CFR1220.34(f)
· ·	 Please state the number of employees assigned records management responsibilities trained during FY 2011. Note: Do not include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized training cuwiculum for your agency, in your answer. 1. Has your agency developed internal, staff-wide formal training - based on agency policies and directives - which helps agency employees and contractors fulfill their recordkeeping
	1. Please state the number of employees assigned records management responsibilities trained during FY 2011. Note: Do not include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized training curriculum for your agency, in your answer. 1. Has your agency developed internal, staff-wide formal training - based on agency policies and directives - which helps agency employees and contractors fulfill their recordkeeping responsibilities? 36 CFR1220.34(f)

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SurveyMonkey - Survey Results.

Note: Do <u>not</u> include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized training curriculum for your agency, in your answer.

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

1. Please explain.

No Response

Yes

1. Additional comments (optional).

No Response

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

Yes

 Describe in detail the internal controls your agency's records management program has implemented to ensure that all eligible permanent records in all media are transferred to NARA according to your agency's records schedules.

Include in your description how these controls are tested for effectiveness as well as how frequently they are tested.

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

Note: These controls must be internal to your agency. Reliance on information from external agencies (for example, NARA's Federal Records Centers) or other organizations will not be considered an affirmative response for this question.

Yes

 Describe in detail the internal controls your agency's records management program has implemented to ensure that Federal records are not destroyed before the end of their retention period.

Include in your description how these controls are tested for effectiveness as well as how frequently they are tested.

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	•	
1. Does your agency conduct evaluations/inspections program, or an element of the program (e.g. records a training) to ensure that it is efficient, effective, and co management laws and regulations? 36 CFR 1220.34(j)	scheduling, records managemen	t
Yes		
1. When was the most recent evaluation/inspection/au	udit conducted?	
Less than 1 year ago	•	-
	•	
2. Was a written report prepared after the evaluation/	inspection/audit was completed?	,
Yes		
1. Has your agency established performance goals for	r its records management progra	m
Yes		
	•	
 Has your agency's records management program id measures for records management activities such as records transfers, etc.? 	entified <u>3 or more</u> performance training, records scheduling, pe	rm
Yes	•	
 Does your agency's records management program instruct staff on how your agency's permanent record stored? 36 CFR 1222.34(e) 	have policies and procedures th is in all formate must be managed	at 1 a
Yes		
1. Has your agency identified the vital records of all it CFR 1223.16	s program and administrative are	88
Yes	n and a second	initiana fra
1. How often does your agency review and update its	vital records inventory? 36 CFR	12:
Annually		
	1	-
,	•	
2. Is your vital records plan part of your agency's Cont	tinuity of Operations (COOP) plan	17
Yes		
1. Additional comments (optional).	•	
No Response		
		•••
1. As required by your agency's NARA-approved scher permanent non-electronic records to the National Arc for transfer in ERA? 36 CFR 1235.12	dule, does your agency transfer o hives via a signed SF-258 or app	e lig ro
Yes		
		-
1. Please explain why your agency does not transfer in NARA.	ts permanent non-electronic rec	010
No Response		
-		
1. As required by your agency's NARA-approved sche eligible permanent electronic records to the National approved for transfer in FRA2 36 CFR 1235 12	dule, does your agency its transf Archives via a signed SF-258 or	êr

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approved for consider in cross of or re taborta

1. Please explain why your agency does not transfer its permanent electronic records to NARA.

All of NSA/CSS' eligible electronic records are still classified, even after declassification review and NARA is unable to accept classified electronic records at this time

 Are records management program staff required to conduct exit briefings for senior officials on the appropriate disposition of the records - including email - under their immediate control? 36 CFR 1230.10(a & b)

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

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

-

1. Additional comments (optional).

No Response

No

Yes

Yes

Yes

No

Yes

 Has your agency incorporated/integrated controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems?

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

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

Yes

Yes

1. Does your agency ensure that records management functionality - including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules - is incorporated into the design, development, and implementation of its electronic information systems? 36 CFR 1236.12

 Describe in detail how your agency ensures that records management functionality is incorporated into the design, development, and implementation of electronic information systems.

1. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information-systems? 36 CFR 1236.12

Yes

1. Please explain why your agency's records management program staff does not participate in the design, development, and implementation of new electronic systems.

No Response

¹ 1. Has your agency developed internal, staff-wide, formal training based on the agency's

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policies and directives, on the retention and management of records created and maintained in electronic formats? 36 CFR 1220.34(f)

Note: This training must be internal to your agency. NARA's records management training workshops, whether the workshops were part of NARA's standard curriculum or customized by NARA for your agency, should <u>not</u> be considered internal training.

Yes		
1. Does your agency have policies and proc retention period longer than 180 days? 36 C	edures in place to handle email records that h FR 1236.22(c), and GRS 23, (7)	a
Yes		-
1. Does your agency audit staff compliance	with the agency's email preservation policies?	
No		-
1. How often does your agency audit staff c policies?	ompliance to the agency's email preservation	
No Response		-
	f-wide training based on agency policies and	
training workshops, whether the workshop	agency. Reliance on NARA's records manageme s were part of NARA's standard curriculum or d <u>not</u> be considered internal training. 36 CFR	3
Yes		
		1
1. Is this training mandatory for all staff, inc	luding contractor staff and senior officials?	
Yes	•	
	÷	
	•	
	:	
1. What internal challenges do you face man management program?	naging and implementing your agency's records	3
No Response		
	iatives to improve records management in you	
NSA/CSS has undertaken the following initiatives Autom throughout the records lifecycle Gained programmed fun Newletter on Records Management Activities during April	ns or your responses to this self-assessment? ated the hardcopy and multi-media process for records ding for electronic records mangement for NSA NSA/CSS to promote Records Management Month Activities during cords Management Brief to all new NSA/CSS employees on	
1. Do you have any suggestions for how we	can improve future self-assessments?	
Please place the question in the same order they are wh electronic survey	en printed out and please number the questions in the	_
1. How many FTEs are in your agency/organ	ization? (Choose one)	
10,000 - 99,999 FTEs		

2. What other offices or program areas did you consult when you completed this self-

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Phone Number

Office of the Gen	eral Counsel
Program Manage	irs
Information Tech	nology staff
	Officers or similar
Administrative st	aff
	ecify) - National Cryptologic School operated by NSA/CSS
3. Now much	time did it take you to gather the information to complete this self-assessment?
Over 10 hours	
1. What is yo	ur job title?
Chief, Records N	anagement Policy, NSA/CSS
Name Agency/Bureau/C	Hice - NSA/CSS
Address - 9800	
	George G Meade
State - MD ZIP - 20766	
Email Address	
Phone Number	
	a Becords Officer?
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#1	COMPLETE	1	
	Collector: 2013 RMSA 1 - Cabinet Agencies (Email)		•
	Started: Fnday, January 17, 2014 10:31:21 AM		
· JK	Last Modified: Friday, January 17, 2014 11:41:24 AM Time Spent: 01:10:02		
And	First Name: David		
and the second s	Last Name: Sherman		
mail:			

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PAGE2: Section I. Records Management Program - Activities

Q1: CORE QUESTION. Is there a person in your agency who is responsible for coordinating and overseeing the Yes implementation of the records management program? (36 CFR 1220.34(a))

PAGE 3

Q2: Please provide the person's name, position title, and office. -.

Q3: Additional Comments (Optional)

Dr. David Shermanm Director of the Associate Directorate for Policy and Records NSA/CSS

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Respondent skipped this question

11

2

PAGE 4

Q4: CORE QUESTION. Does your agency have a records management directive(s)? (36 CFR 1220.34(c))	Yes	
Y		

PAGE 5

Q5: When was your agency's directive(s) last review and/or revised to ensure it includes all new records management policy issuances and guidance?	d FY 2010 - 2012
Arrent Agennamentation to a first and the same of the state of the state of the same of th	
Q6: Additional Comments (Optional)	Respondent skipped this question

PAGE 6

-		
	Q7: CORE QUESTION. Does your agency have a network of ^{Yes} designated employees within each program and	x x
	administrative area who are assigned records management responsibilities? These individuals are often called Records	×
	Liaison Officers (RLOs) though their titles may vary. (36 CFR 1220.34(d))	

PAGE7

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ID: 6672292 2013 Records Managem	ent Self-Assessment
Q8: CORE QUESTION. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f))*Includes NARA's records management training if it was customized specifically for your agency.	Yes
PAGE 8	
Q9: Please provide the number of employees assigned records management responsibilities that your agency trained during FY 2013. **Do not include the number of employees who attended NARA's records management training workshops unless such training was customized specifically for your agency.	
Q10: Additional Comments (Optional)	
PAGE 9	
Q11: CORE QUESTION. Has your agency developed internal, staff-wide formal training*, based on agency policies and directives, which helps agency employees and contractors fulfill their recordkeeping responsibilities? (36 CFR 1220.34(f))*Includes NARA's records management training if it was customized specifically for your agency.	Yes
PAGE 10	
Q12: Please provide the number of your agency's employees and contractors who were trained during FY 2013. ** Do not include the number of employees who attended NARA's records management training workshops unless such training was customized specifically for your agency.	
Q13: Additional Comments (Optional)	Respondent skipped this question
PAGE 11	
Q14: CORE QUESTION. Does your agency require that all sénior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))	Yes
Q15: Additional Comments (Optional)	Respondent skipped this question

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D: 6672292 2013 Records Management Self-Assessment Q16: CORE QUESTION. In addition to your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible permanent records in all media that are created by your agency are transferred to NARA according to your agency's approved records schedules? (36 CFR 1222.26(e)) PAGE 14 Q17: Please describe the control activities your agency performs to ensure that all eligible permanent records in all		N		(b) (3) - P.L. 86-36
Q18: CORE QUESTION. In addition to your agency's established Yes records management policies and records schedules, has your import returns a management program developed and permanent records in all means that program developed and your agency's returns a schedules? approved records in all means that is that are created by your agency's approved records a schedules? (36 CFR 1222.26(e)) AGE 14 Q17: Please describe the control activities your agency's records schedules. "Control activities described must be in addition to your agency's records schedules." "Control activities described must be in addition to your agency's records schedules." "Control activities described must be in addition to your agency's records schedules." "Control activities described must be in addition to your agency's records schedules." "Control activities described must be in addition to your agency's records and directives. AGE 15 Yes Q18: CORE QUESTION. In addition to your agency's established policies and records schedules, has your agency's established records are not destroyed before the end of their retention to the ensure that Fideral records are not destroyed before the end of their retention. AGE 16 Q18: Please describe the control activities your agency performs to ensure that Fideral records are not destroyed before the end of their retention period. These controls activities must be in addition to your agency's records activities must be in addition to your agency's records activities must be in addition to your agency's records activities must be in addition to your agency's records activities activities must be in addition to your agency's records activities your agency	D: 6672292	2013 Records Managem	nent Self-Assessment	
AGE 15 Click CORE QUESTION. In addition to your agency's established Yes Q12: CORE QUESTION. In addition to your agency's established Yes Q13: CORE QUESTION. In addition to your agency's established Yes Q14: CORE QUESTION. In addition to your agency's established Yes Q15: CORE QUESTION. In addition to your agency's established Yes Q16: CORE QUESTION. In addition to your agency's established Yes Q16: CORE QUESTION. In addition to your agency's established Yes Q18: CORE QUESTION. In addition to your agency's established Yes Q18: CORE QUESTION. In addition to your agency's established Yes Q18: CORE QUESTION. In addition to your agency's established Yes Q18: CORE QUESTION. In addition to your agency's established Yes Q18: CORE QUESTION. In addition to your agency's established Yes Q18: CORE QUESTION. In addition to your agency's established Yes Q18: CORE QUESTION. In addition to your agency wave that Rederal records are not deatroyed before the end of their retention period. These controls to ensure that Rederal records are not deatroyed before the end of their retention period. These control activities must be in addition to your agency's records are not deatroyed before the considered an affirmative response for this question. AGE 16 Q19: Please describe the control activitis your agency performs to ensure tha				
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permanent records in all media that are created by your agency are transferred to NARA according to your agency's approved records schedules? (36 CFR 1222.26(e)) AGE 14 Q17: Please describe the control activities your agency performs to ensure that all eligible permanent records in all media are transferred to NARA according to your agency's records schedules. "Control activities described must be in addition to your agency's records schedules." Control activities described must be in addition to your agency's records schedules and directives. AGE 15 Q18: CORE QUESTION. In addition to your agency's established Tecords and records schedules, has your agency's established and implemented internal controls to ensure that Fideral records are not destroyed before the end of their retention period? (36 CFR 122.23(e))" These controls must be internal agencies (for example, NARA's Federal Records Centers) or other organizations will not be considered an affirmative response for this question. AGE 16 Q19: Please describe the control activities your agency performs to ensure that Federal records are not destroyed before the ord of their retention period. These control activities must be in addition to your agency's records schedules and directives.				· ·
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AGE 14 Of 7: Please describe the control activities your agency performs to ensure that all eligible permanent records in all media are transferred to NARA according to your agency's records schedules, "Control activities described must be in addition to your agency's records achedules and directives. AGE 15 Of 8: CORE QUESTION. In addition to your agency's established Yes policies and records achedules, has your agency's established Yes and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 122.25(e))" These controls must be internal agencies (for example, NARA's Federal Records Centers) or other organizations will not be considered an affirmative response for this question. AGE 16 Of 9: Please describe the control activities your agency performs to ensure that Federal records are not destroyed before the ord of their retention period. These control activities must be in addition to your agency's records schedules and directives.	agency are transferr	ed to NARA according to your agency's		×
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schedules and directives.	Q19: Please describe	the control activities your agency perform	ms to ensure that Federal rec	cords are not destroyed
			es must be in addition to you	r agency's records
Q20: Additional Comments (Optional) Respondent skipped this question	schedules and direct	tives.		
Q20: Additional Comments (Optional) Respondent skipped this question				
Q20: Additional Comments (Optional) Respondent skipped this question				
Q20: Additional Comments (Optional) Respondent skipped this question				
Q20: Additional Comments (Optional) Respondent skipped this question				
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Q20: Additional Comments (Optional) Respondent skipped this question				
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	Q20: Additional Comr	nents (Optional)	Respondent skipped this qu	ies ton
	3			
AGE 17				

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D: 6672292	2013 Records Managem	ent Self-Assessment	.a	•
conducting inspections, management program to and compliant with all ap and regulations? ** For th management program, o program (e.g., vital recor the records disposition p	s your agency evaluate - by audits, or reviews - its records ensure that it is efficient, effective, plicable records management laws is question, your agency's records r a major component of the ds identification and management, process, records management t of your agency's electronic mary focus/target of the	Yes		
AGE 18				
program, or a major com	v often is your records management ponent of the program, evaluated icy records management policies	Every 1 - 2 years		
Q23: Was a written repor inspection/audit/review v	t prepared after the most recent vas completed?	Yes	na program the all names and a starting	
Q24: Additional Commen	ts (Optional)	Respondent skipped this question		:
Q25: Has your agency est records management pr	ablished performance goals for its ogram?	Yes		
AGE 20				:
Q26: What are your agend	y's records management program's	performance goals?		:
AGE 21				
towards identifying perfe	progress your agency has made ormance goals for its records include the time frame for rks.	Respondent skipped this question		
AGE 22				
measures for records m	your agency's records entified three or more performance anagement activities such as ling, permanent records transfers,	Yes		

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Q29: What are your records management program's performance measures? Please state how they are linked to your agency's records management program's performance goals.				
NSA/CSS performance measures: 100% compliance with Records Management Mandatory training by all employees annually; Information Assurance Records Disposition Schedule approved by NARA in 2014; and transfer at least 100,000 pages of records quarterly to NARA.				
\GE 24	``			
Q30: Please describe the progress your agency has made towards identifying performance measures for its records management program. Include the time frame for completion in your remarks.	Respondent skipped this question			
\GE 25				
	1			
Q31: Additional Comments (Optional)	Respondent skipped this question			
AGE 26	;			
Q32: Does your agency's records management program have policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))	Yes			
Q33: Additional Comments (Optional)	Respondent skipped this question			
AGE 27	1			
· · · · · · · · · · · · · · · · · · ·				
Q34: CORE QUESTION. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)	Yes			
Q35: CORE QUESTION. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)	Annually			
Q36: Additional Comments (Optional)	Respondent skipped this question			
AGE 28				
· · · · · · · · · · · · · · · · · · ·				
Q37: CORE QUESTION. Is your vital records plan part of the Continuity of Operations (COOP) plan?				
Q38: Additional Comments (Optional)	Respondent skipped this question			
AGE 29: Section III. Records Management Program - Records Dis	position			
<u>1</u>	Yes			

records?

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D: 6672292	2013 Records Managem	nent Self-Assessment
Q40: CORE QUESTION, Did your a non-electronic records to NARA 1235.12)	gency transfer permanent A during FY 2013? (36 CFR	Yes
PAGE 30	3	(
Q41: My agency did not transfe records to NARA during FY 2013	permanent non-electronic because:	Respondent skipped this question
PAGE 31		
	rds to NARA during FY 2013.	Respondent skipped this question
PAGE 32		(
Q43: Has your agency transferm permanent non-electronic reco	ed, or does it plan to transfer, ords to NARA in FY 2014?	Yes
Q44: Additional Comments (Opt	tional)	Respondent skipped this question
PAGE 33		
Q45: Does your agency have pe records/systems?	rmanent electronic	Yes
Q46: CORE QUESTION. Did your a electronic records to NARA dur	gency transfer permanent	No
PAGE 34		<i>c</i>
Q47: My agency did not transfe records to NARA during FY 2013		No electronic records/systems were eligible for transfer during FY 2013
PAGE 35		
Q48: Please state why your age permanent electronic records	ncy did not transfer its to NARA during FY 2013.	Respondent skipped this question
PAGE 36		8
Q49: Has your agency transferr	ed, or does it plan to transfer,	No
permanent electronic records	to NARA during Ft 2014r	

2013 Records Management Self-Assessment

Yes

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Q51: Does your agency track when its permanent records – electronic and non-electronic – are due to be transferred to NARA?

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Q52: Please describe how your agency tracks when its permanent records – electronic and non-electronic – are due to be transferred to NARA.

Q53: Additional Comments (Optional)

Respondent skipped this question

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Q54: Where does your agency store its inactive Federal records? (Choose all that apply) ** Indicate if each type of facility your agency uses complies - or does not comply - with the standards for records storage facilities found in 36 CFR 1234.

Q55: Additional Comments (Optional)

Respondent skipped this question

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Q56: CORE QUESTION. Are records management program Yes staff required to conduct exit briefings for senior officials on the appropriate disposition of the records, including e-mail, under their immediate control? (36 CFR 1230.10(a & b))

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Q57: CORE QUESTION. Are the exit briefings documented for purposes of accountability?	Yes	-	
Q58: CORE QUESTION. Upon separation, are senior officials required to obtain approval from records management program staff or other designated official(s) before removing personal papers and copies of records?	Yes)	×

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 Q59: Please explain why senior officials are not required to obtain approval from records management program staff or other designated official(s) before removing personal papers and copies of records.	Respondent skipped this question
Q60: Additional Comments (Optional)	Respondent skipped this question

PAGE 43: Section IV. Records Management Program - Electronic Records Management

2013 Records Management Self-Assessment

Yes
Respondent skipped this question
· · · · · · · · · · · · · · · · · · ·
Yes
Yes
Respondent skipped this question
Yes
-
Respondent skipped this question
Respondent skipped this question
· · · · · · · · · · · · · · · · · · ·
Yes

)

	Q70: Please explain why your agency does not ensure that
-	records management functionality, including the capture,
1	retrieval, and retention of records according to agency
	business needs and NARA-approved records schedules, is
	incorporated into the design, development, and
	implementation of its electronic information systems.

Respondent skipped this question

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Q71: Please describe in detail how your agency ensures that records management functionality, including the capture, retrieval, and retention of records, is incorporated into the design, development, and implementation of its electronic information systems.

Yes

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Q72: CORE QUESTION. Does your age	ncy's records
management program staff particip	ate in the design,
development, and implementation of	f new electronic
information systems?	

PAGE 52

Q73: Please explain why the records management program staff does not participate in the design, development, and implementation of new electronic information systems.

Q74: Additional Comments (Optional)

Respondent skipped this question

Respondent skipped this question

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Q75: Has your agency developed internal, staff-wide, formal training*, based on agency policies and directives, on the retention and management of records created and maintained in electronic form ats? (36 CFR 1220.34(f)) * Includes NARA's records management training workshops that were customized specifically for your agency. Q76: Additional Comments (Optional) Respondent skipped this question

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2013 Records Management Self-Assessment

Respondent skipped this question
Respondent skipped this question
Yes
- ,
Yes
Respondent skipped this question
Yes
T T
Yes
Respondent skipped this question
Yes

nent Self-Assessment	
Print and file,	
Captured and stored in an electronic records management system	
Captured and stored in an email archiving system	
Respondent skipped this question	
-	
Yes	
Every year	
Respondent skipped this question	
Yes	
Yes	
Respondent skipped this question	
Yes	

2013 Records Manager	
Q96: Please explain why your agency has not yet identified for transfer its permanent records that have been in existence for more than 30 years.	Respondent skipped this question
Q97: Additional Comments (Optional)	Respondent skipped this question
AGE 69	
Q98: Has your agency identified all of its unscheduled records, including those that are stored at NARA and/or at your agency's records storage facilities?	Yes
AGE 70	
Q99: Additional Comments (Optional)	
Spreadsheet was submitted to NARA	· · · · · · · · · · · · · · · · · · ·
AGE 71	X
Q100: Please explain why your agency has not yet identified all of its unscheduled records, including those that are stored at NARA and/or at your agency's records storage facilities.	Respondent skipped this question
Q101: Additional Comments (Optional)	Respondent skipped this question
AGE 72: Demographic Information	1
Q102: How many FTEs are in your agency/organization?	10,000 – 99,999 FTEs
Q103: What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)	Senior Agency Official, Office of the General Counsel,
	Information Technology staff,
	Records Liaison Officers or similar, Administrative staff
AGE 73	
Q104: How much time did it take you to gather the information to complete this self-assessment?	Över 10 hours
Q105: Did your agency's senior management review and concur with your responses to the 2013 Records Management Self-Assessment?	Yes

Q106: Please provide your contact information.		
Name:		
Agency/Bureau/Division/Office:	National Security Agency, Chief Records Management Policy	
Address:	9800 Savage Rd.	
City/Tow n:	Fort George G. Meade	
State:	MD	
ZIP:	20799	
Email Address:		
Phone Number:		
Q107: What is your job title?	Chief, Records Management Policy NSA/CSS	
Q108: Are you the Records Officer?	No	
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Q109: Please provide the following information for y	aur agency's Records Officer	
Name:	Dr. David Sherman	
INCINC.	Di. Berid Gloritan	

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Q110: Final Comments, Suggestions, and/or Recommendations (Optional)

Please number the survey questions in the electronic survey, for ease of responding. This survey takes months to gather the data for and with all 5 actions due at the same time it made it difficult. Thanks!!!

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