



NATIONAL
ARCHIVES

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:

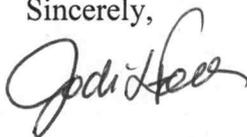
National Archives and Records Administration
8601 Adelphi Road, Room 3110
College Park, MD 20740-6001
301-837-1750
garym.stern@nara.gov

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,



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



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
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SurveyMonkey - Survey Results

survey title:
NARA Records Management Self-Assessment

current report: Default Report 

Displaying 226 of 227 respondents

Response Type: Manual Data Entry	Collector: Sept. 28 RM Self Assessment (Email Invitation)
Email: <input type="text"/>	Name: <input type="text"/>
Custom Value: National Security Agency	IP Address: <input type="text"/>
Response Started: Tue, Nov 3, 2009 2:21:38 PM	Response Modified: Tue, Nov 3, 2009 2:33:08 PM

1. Has your agency formally designated a records officer with responsibility for carrying out its records management program?
Yes

1. Please provide the Records Officer's name, e-mail address, and phone number.
Elizabeth Brooks erbrook@nsa.gov 301-688-6965

1. Does your agency have a network of designated records management liaisons throughout the agency?
Yes

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

1. Please provide the title(s) and date(s) of issuance/publication of the directive(s).
Records Management Policy 1-6, issued on Feb 2004 and reissued March 2009

1. Does your agency disseminate policies and procedures to ensure records are protected against unlawful/accidental removal, defacing, alteration and deletion/destruction?
Yes

1. Please add the title(s) and date(s) of the current policies and/or procedures.
Records Management Policy 1-6, Issued on Feb 2004 and reissued March 2009

1. 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

11/5/2009

ENCLOSURE

they comply with NARA regulations?

Yes

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

2009

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?

Yes

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

No

We have in the past, but not recently

1. Please provide the month and year of the last briefing.

No Response

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?

No

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

1. Has your agency identified its vital records, i.e., 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.

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 Planning 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.

[Redacted]

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?

Yes

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

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

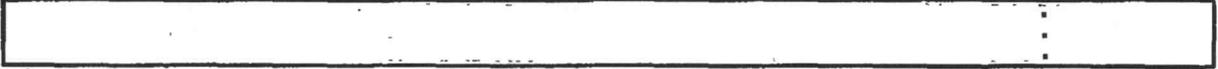
1. If you are not the records officer, please provide your name.
No Response

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
ZIP/Postal Code: - 20755
Email Address:
Phone Number:



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Response Details

System ID	[Redacted]
Timestamp	08 Jun, 2010 01 50:09 PM EDT
IP Address	[Redacted]
Time Taken	2814 seconds
Weight	81.0
Survey Language	English
Source Identifier	
Email Address	[Redacted]
Email List	LIST-4

Integration Tags

custom0 :	
custom1 :	
custom2 :	
custom3 :	
custom4 :	
custom5 :	

Geo Coding

Country	US
Region	MD

Questions marked with a * are required

Has your agency formally designated a records officer with responsibility for carrying out its records management program? (36 CFR 1220.34(a))
 *
 » Yes

A records liaison is a person responsible for overseeing a records management program in a headquarters or field office in cooperation with the agency records management officer. (A Federal Records Management Glossary, 1993 Second Edition).
 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))

POWERED BY QuestionPro

» Yes

Are records management responsibilities explicitly stated in the position descriptions of records liaisons?

*

» Yes

Federal agencies are required to issue a directive(s) that establish records management program objectives, responsibilities, and authorities for creating, maintaining, and disposing of agency records. (36 CFR 1220.34(c))

Does your agency have a records management directive(s)?

*

» Yes

When did your agency last review or validate its records management directive to ensure it includes current guidance?

*

» FY 2008-present

Please upload a copy of your records management directive. If you have more than one directive, e-mail them to rselfassessment@nara.gov

If the directive is at your agency website, please e-mail the web link to rselfassessment@nara.gov



Comments on the Records Management Program Section (Optional)

NSA/CSS will send the Records Management Policy separately to Stephanie Fawcett, as it does not link to this system.

An evaluation is an inspection, audit, or review of one or more Federal agency records management programs for effectiveness and for compliance with applicable laws and regulations. It includes recommendations for correcting or improving records management practices, policies, and procedures, and follow-up activities, including reporting on and implementing the recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit (36 CFR 1220.18).

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))

Does your agency conduct evaluations of the records management practices of any of its program and administrative areas?

*

Empty rectangular box at the bottom of the page.

» Yes

Who conducts the evaluations?

*

» RM staff

» Inspector General

» Other, please specify Records Management Staff conduct informal records reviews to assist offices with retention decisions.

Records management program staff includes employees and/or contract staff with full-time records management responsibilities.

How often does your records management program staff evaluate the records management practices of one or more program and administrative areas?

*

» Annually

Are written reports prepared for each evaluation?

*

» Yes

Senior officials are the heads of departments and independent agencies, their deputies and assistants, the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners, directors of offices, bureaus, or equivalent, principal regional officials, staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants, and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a)

Are senior officials briefed on the findings of the records management evaluation?

*

» Yes

Does the records management program staff follow up to determine if the office(s) have implemented necessary corrective action(s) or recommendation(s) for improvement?

*

» Yes

A records inventory is a survey of agency records and nonrecord materials conducted primarily to develop records schedules and to identify various records management problems. (Basic Records Operations Workshop, Key Terms, revised August 2009)

Does your agency regularly inventory its records?

*

» Yes

When was the last records inventory conducted?

*

» 0-2 years ago

A file plan is a document containing the identifying number, title or description, and disposition authority of all paper, electronic, and other special media files held in an office (Basic Records Operations Workshop, Key Terms, revised August 2009)

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))

Does your agency require that every program and administrative area maintain a file plan for organizing its records?

*

» Yes

Does your agency allow employees to use non-federal e-mail systems to conduct agency business? (36 CFR 1236.22(b))

*

» No

Does your agency block employees' access to non-federal e-mail systems to conduct agency business?

*

» No

Does your agency ensure that e-mail Federal records are preserved in the appropriate agency recordkeeping system? (36 CFR 1236 22(b))

*

» No

[Empty rectangular box]

Does your agency regularly review staff compliance with the agency's e-mail preservation policies?

*

» No

Records management program staff includes employees and/or contract staff with full-time records management responsibilities.

How often does your agency's records management program staff participate in design, development, and implementation of new electronic information systems?

*

» Occasionally

Does your agency ensure that records management controls are incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12 and OMB A-130)

*

» Yes

OMB 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 business case(s) for all new electronic information systems?

*

» No

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 new system before the current system is retired, implementing hardware and software upgrades in such a way as to retain the functionality and integrity of the records, retaining the records in a usable format until their disposition date, the conversion of storage media to be compatible with current hardware and software, and maintaining the link between records 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 preserved in a usable format until their authorized disposition date?

*

» Yes



A NARA-approved records schedule is one that has been signed by the Archivist of the United States.

Of the total number of your agency's electronic information systems that contain records, what percentage of the records are covered by a NARA-approved records schedule?

Do not include the following in your answer draft schedules and/or schedules that have been submitted to NARA but have not yet been signed by the Archivist of the United States.

*

» More than 75%

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

*

» FY 2008 - 2009

Pending SF 115s are those that have been accepted by NARA for processing, assigned a job number, but have not been signed by the Archivist of the United States

Does your agency currently have any pending SF 115s at the National Archives?

*

» Yes

As required by your agency's NARA-approved schedule, did your agency transfer any permanent non-electronic records to the National Archives via a SF-258 in Fiscal Year 2009? (36 CFR 1235.10)

*

» No

As required by your agency's NARA-approved schedule, did your agency transfer any permanent electronic records to the National Archives via a SF-258 in Fiscal Year 2009?

*

» No

Where does your agency store its inactive Federal records?

Choose all that apply and indicate if each is compliant with the standards for records storage facilities as proscribed by 36 CFR 1234.

Compliant

Not compliant

Agency storage facility		x
Federal Records Center (FRC)		
Commercial storage provider		

The disposition of temporary records includes the use of off-site storage facilities, records destruction, and unauthorized disposals.

Does the records management program staff monitor the disposition of the agency's temporary records?

*

» Yes

Senior officials are the heads of departments and independent agencies, their deputies and assistants, the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners, directors of offices, bureaus, or equivalent, principal regional officials, staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants, and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a)

Does the records management program staff conduct exit briefings for senior officials on the appropriate disposition of the records, including e-mail, under their immediate control?

*

» Yes

Are the exit briefings documented?

*

» Yes

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

Comments on the Records Disposition Section (Optional)

NSA/CSS has been working towards a compliant records center since 2008 and is making great strides.

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))

Has your agency identified the vital records of all its program and administrative areas?

*

Is the records management program represented on the agency's Continuity of Operation (COOP) program team?

*
» Yes

Is your vital records plan part of the Continuity of Operation (COOP) plan?

*
» Yes

How often does your agency review its vital records program?

*
» Annually

Agencies are required to provide guidance and training to all agency personnel regarding their records management responsibilities, including identification of Federal records, in all formats and media (36 CFR 1220.34(f))

Does your agency provide records-management information to new employees as a part of their introduction to your agency?

*
» Yes

Which of the following methods do you use to provide records management information to new employees? (Choose all that apply)

*

- » Part of agency orientation
- » Information on web site(s)
- » Information packet
- » Broadcast e-mail(s)
- » Other (Please specify) Adhoc briefings, Records Management briefings, Celebration of Records Management month in April, Celebration of Archives month in October, Records Management brochures and posters, Records Management displays, Archives displays, monthly records management newsletters and brown bag discussions.

For the following questions, formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or attitudes of agency employees. Training can be either classroom or distance-based, 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

Does your agency require its contractors to complete formal records management training?

*

» No

The term staff includes full-time and part-time employees, temporary workers, interns, and contractors.

Does your agency provide formal records management training for staff other than the records liaisons, records officer, and senior officials about records management responsibilities, including the identification of Federal records in all media and formats?

*

» Yes

My agency does not provide formal records management training to staff because (Choose all that apply) *

What percentage of your agency's staff receives formal records management training?

*

Is formal records management training mandatory for all agency staff?

*

» No

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 NARA records-management training classes
- » 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

How do you evaluate your records management training program? (Choose one) *

- » Completion of evaluation forms

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

(b) (3) - P.L. 86-36

(b) (3) - P.L. 86-36

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

- » Records management roles and responsibilities
- » Identifying Federal records and non-records in all media
- » Maintenance and use of records in all media
- » Records schedule implementation
- » E-mail records
- » Vital records
- » Records retention
- » Records disposition for records in all media
- » Records storage

Does your agency have a way for staff to find answers to records management questions? *

- » Yes

Please describe the ways that your agency's staff can find answers to their records management questions.

Records Management webpage, Records Management ahas, Records Management classes, Records Management newsletter and Records Management reponds to phone calls as well.

Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or attitudes of records liaisons. Training can be either classroom or distance-based, 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

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

- » Yes

What percentage of your agency's records liaisons receives formal records management training? *

[Empty text box for percentage]

[Empty text box]

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 formal 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

(b) (3) - P.L. 86-36



- » Identifying Federal records and non-records in all media
- » Maintenance and use of records in all media
- » Records schedule implementation
- » E-mail records
- » Vital records
- » Records retention
- » Records disposition for records in all media
- » Records storage

Senior officials are the heads of departments and independent agencies, their deputies and assistants, the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners, directors of offices, bureaus, or equivalent, principal regional officials, staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants, and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a)

Does the records management program staff conduct training for senior officials on the importance of appropriately managing records under their immediate control?

*

» Yes

What topics are covered in senior briefings? (Choose all that apply) *

- » Identification of Federal Records
- » Government ownership of Federal Records
- » Government accountability
- » Legal requirements
- » E-mail

Comments on the Training for Senior Officials Section (Optional)

Provide annual information and security training for certain senior officials and advise them of their records management responsibilities.

Please provide your name.

(b) (3) - P.L. 86-36

Are you the Records Officer? *

» No

What is your position title?

Chief, Records Management Policy NSA/CSS

What is the name of your agency/organization?

National Security Agency.

How many full-time employees are on your records management staff? Please include full-time government and contract employees in your total.

[Redacted]

How many locations does your agency/organization's records management program staff serve?

[Redacted]

How many full-time employees (FTE) are in your agency/organization (Choose one) *

[Redacted]

Agency, Bureau, or Office:

Department of Defense

Address:

9800 Savage Road, Suite 6886

Address 2:

[Redacted]

City/Town:

Fort George G. Meade

State:

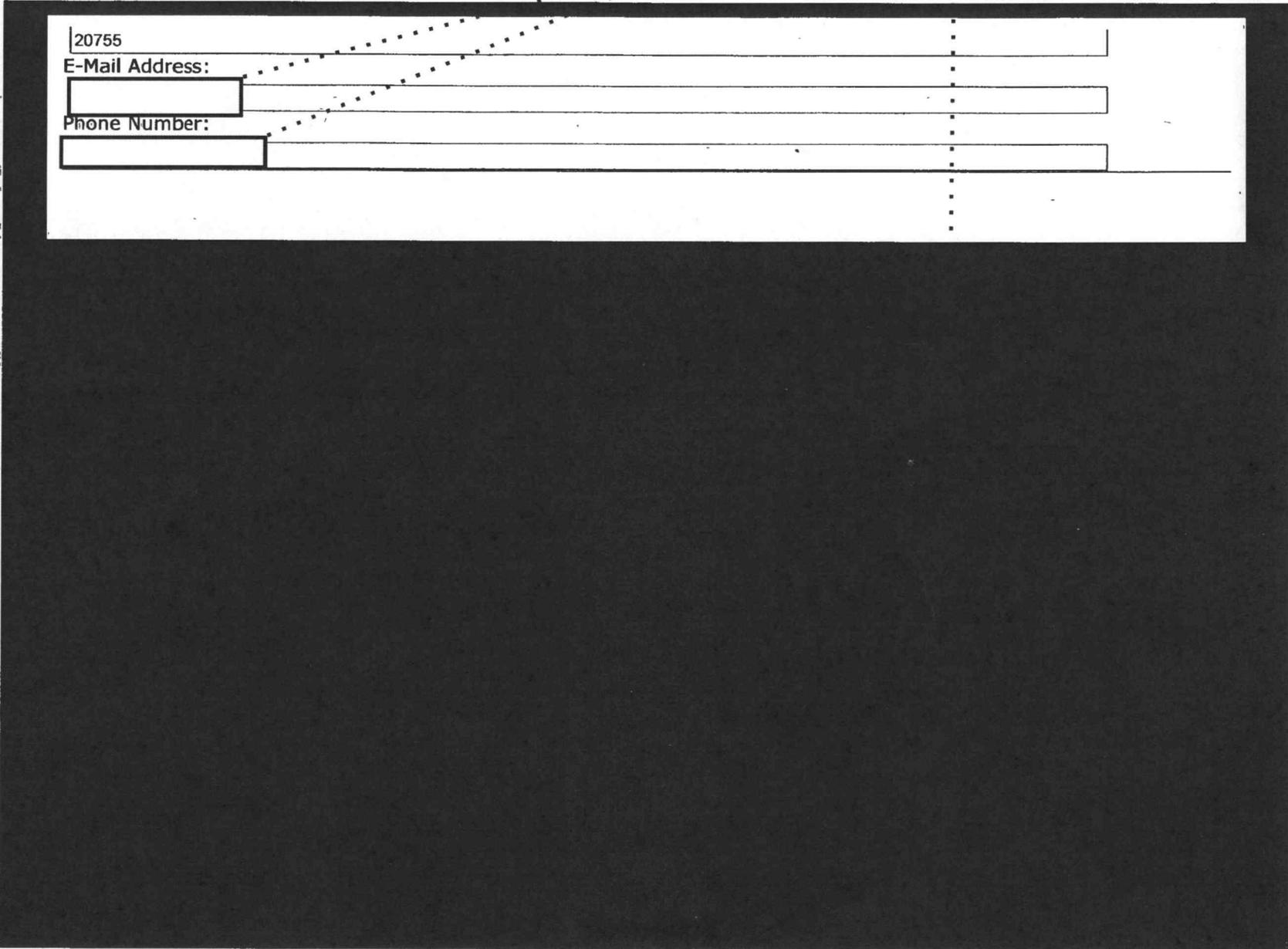
Maryland

ZIP/Postal Code:

[Redacted]

[Redacted]

(b) (3) - P.L. 86-36



20755
E-Mail Address:
[Redacted]
Phone Number:
[Redacted]

[Redacted]

1. CORE QUESTION. 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))

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

2. Comments (Optional)

Text Response

3. Please provide the name of that individual and their office.

Text Response

Mrs. Elizabeth R. Brooks, Associate Director for Community, Integration, Policy and Records

4. Comments (Optional)

Text Response

5. Information management includes responsibilities over one or many of the following areas: Privacy Act, Freedom of Information Act (FOIA), web and social media programs, and/or information security. Is this individual responsible for information management as well as records management in your agency?

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

6. Comments (Optional)

Text Response

7. Does this individual have primary responsibility for carrying out your agency's records management program? This individual is often called the Records Officer, though titles may vary (36 CFR 1220.34(b))

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

8. Comments (Optional)

Text Response

Coordinates and oversees implementation

9. Please provide the name and title of the person with operational responsibility for carrying out your agency's records management program.

Text Response

10. Comments (Optional)

Text Response

11. What delegated authority does the person with operational responsibility for your agency's records management program have?

#	Answer	Bar	Response	%
1	Coordinate and oversee implementation		0	0%
2	Operational responsibility only		0	0%
3	No delegated authority		0	0%
4	Do not know		0	0%
5	Other (Please be specific)		0	0%
	Total		0	

Other (Please be specific)

12. Comments (Optional)

Text Response

13. Is the operational responsibility for your agency's records management program

#	Answer	Bar	Response	%
1	Full-time duty		1	100%
2	Collateral duty		0	0%
3	Other (Please be specific)		0	0%
	Total		1	

Other (Please be specific)

14. Comments (Optional)

Text Response

15. How many FTEs (Full-Time Equivalents) in your agency's records management program office are assigned records management responsibilities? NOTE: Please combine percentages of time to equal a full-time equivalent employee where necessary. For example, if you have 2 full-time employees, each of whom perform records management work 50 percent of the time, they would equal 1 FTE.

Number of agency FTEs	Number of contract FTEs

16. Comments (Optional)

Text Response

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

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

18. Comments (Optional)

Text Response

Records Management Policy 1-6

19. When was your agency's directive(s) last updated?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2010 - present		1	100%
2	<input checked="" type="checkbox"/> FY 2007 - 2009		0	0%
3	<input checked="" type="checkbox"/> FY 2004 - 2006		0	0%
4	<input checked="" type="checkbox"/> FY 2003 or earlier		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

20. Comments (Optional)

Text Response

21. Comments (Optional)

Text Response

NSA will fax to Stephanie Fawcett

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

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

23. Comments (Optional)

Text Response: Records Management Officers

24. How many FTEs (Full-Time Equivalents) in your agency's program and administrative offices are assigned records management responsibilities? NOTE: Please combine percentages of time equal to a full-time equivalent employee where necessary. For example, if you have 2 full-time employees, each of whom perform records management work 50 percent of the time, they would equal 1 FTE.

Number of agency FTEs	Number of contractor FTEs

25. Comments (Optional)

Text Response:

26. What records management duties are assigned to these designated employees? (Choose all that apply)

#	Answer	Bar	Response	%
1	Develop file plans		1	100%
2	Inventory records in all formats		0	0%
3	Draft SF 115s for unscheduled records in all formats		1	100%
4	Establish paper and electronic file systems		1	100%
5	Provide training and briefings to program staff		0	0%
6	Retire inactive records		1	100%
7	Sign SF 258s to transfer permanent records to NARA		0	0%
8	Monitor records management compliance within their program or administrative area		1	100%
9	Other (Please be specific)		0	0%

Other (Please be specific)

27. Comments (Optional)

Text Response:

28. Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or attitudes of agency employees. Training can be either classroom or distance-based, 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. Has your agency developed agency-specific, formal records management training for employees assigned records management responsibilities? (36 CFR 1220.34(f))

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

29. Comments (Optional)

Text Response

30. How many employees assigned records management responsibilities did your agency train during FY 2010?

Text Response

31. Comments (Optional)

Text Response

32. Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or attitudes of agency employees. Training can be either classroom or distance-based, 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. CORE QUESTION. Has your agency developed agency-specific, formal records management training for all agency employees? (36 CFR 1220.34(f))

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

33. Comments (Optional)

Text Response

34. How often do agency employees receive records management training?

#	Answer	Bar	Response	%
1	Annually		1	100%
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%
Total			1	

Other (Please be specific)

35. Comments (Optional)

Text Response

36. How many employees attended your agency's records management training during FY 2010?

Text Response

37. Comments (Optional)

Text Response

38. Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23. 5a) Does your agency, as a matter of standard procedure, provide training to all senior officials and appointed officials, including those incoming and newly promoted, on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> Some, but not all, officials receive records management training		1	100%
4	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

39. Comments (Optional)

Text Response

40. Please indicate why all senior officials in your agency do not receive records management training.

Text Response

41. Comments (Optional)

Text Response

42. How do the senior officials in your agency receive records management training? (Choose all that apply)

#	Answer	Bar	Response	%
1	Online briefings		1	100%
2	Face-to-face briefings		1	100%
3	E-mail messages		1	100%
4	Information posted on the agency's internal website		1	100%
5	Other (Please be specific)		0	0%

Other (Please be specific)

43. Comments (Optional)

Text Response

44. What topics are covered in briefings to senior officials? (Choose all that apply)

#	Answer	Bar	Response	%
1	Identification of Federal records		1	100%
2	Government ownership of Federal records		1	100%
3	Government accountability		1	100%
4	Legal requirements for Federal records		1	100%
5	E-mail records		1	100%
6	Alienation of records		0	0%
7	Personal papers		1	100%
8	Other (Please be specific)		0	0%

Other (Please be specific)

45. Comments (Optional)

Text Response

46. Who in your agency directly trains senior officials and appointed officials, including those incoming and newly promoted, on the importance of appropriately managing records under their immediate control? (Choose all that apply)

#	Answer	Bar	Response	%
1	Records management program staff		1	100%
2	Office of the General Counsel staff		0	0%
3	Administrative support staff		0	0%
4	Information technology staff		0	0%
5	Other (Please be specific)		0	0%

Other (Please be specific)

47. Comments (Optional)

Text Response

48. CORE QUESTION Does your agency's records management program have established metrics that assess the effectiveness of the program?

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

49. Comments (Optional)

Text Response

50. Comments (Optional)

Text Response

51. How does your agency ensure that its employees and contractors who are assigned records management responsibilities - either in the headquarters records management program office or in program or administrative areas - comply with the agency's records management policies and procedures? (36 CFR 1220.34(i) and 36 CFR 1222.32(a)(2) (Choose all that apply))

#	Answer	Bar	Response	%
1	Audits and/or inspections		1	100%
2	Program reviews		1	100%
3	On-site visits		1	100%
4	Required submission of quarterly and/or annual reports		0	0%
5	Other (Please be specific)		1	100%

Other (Please be specific)
Requested assistance and training

52. Comments (Optional)

Text Response

53. How does your agency assess the effectiveness of the records management training it provides to its employees and contractors? (Choose all that apply)

#	Answer	Bar	Response	%
1	Course evaluations		1	100%
2	Participant Interviews		0	0%
3	Inspections and/or audits		1	100%
4	Feedback from supervisors and managers		1	100%
5	Performance evaluations		1	100%
6	My agency does not have a records management training program		0	0%
7	Other (Please be specific)		0	0%

Other (Please be specific)

54. Comments (Optional)

Text Response

55. 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))

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

56. Comments (Optional)

Text Response

57. Comments (Optional)

Text Response

NSA will fax a copy to Stephanie Fawcatt.

58. Has your agency's records management program established 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))

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

59. Comments (Optional)

Text Response

60. Please describe the controls your agency's records management program has established to ensure that all eligible permanent records in all media are transferred to NARA according to your agency's records schedules.

Text Response

61. Comments (Optional)

Text Response

62. CORE QUESTION. Has your agency established controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))

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

63. Comments (Optional)

Text Response

64. Please describe the controls your agency has implemented to ensure that Federal records are not destroyed before the end of their retention period.

Text Response
 Certified Records Management Officers validate against current NARA approved records retention schedules to verify disposition of the information in the records and the date of the material.

65. Comments (Optional)

Text Response

66. An evaluation is an inspection, audit, or review of one or more Federal agency records management programs for effectiveness and for compliance with applicable laws and regulations. It includes recommendations for correcting or improving records management practices, policies and procedures, and follow-up activities, including reporting on and implementing the recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit. (36 CFR 1220.18) 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)) Records management program staff includes employees and/or contract staff with full-time records management responsibilities. CORE QUESTION. Does your agency conduct evaluations of the records management practices of its program and administrative areas? (36 CFR 1220.34(j))

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

67. Comments (Optional)

Text Response

68. When was the most recent records management evaluation/inspection conducted by your agency?

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2011		1	100%
2	<input checked="" type="checkbox"/> FY 2010		0	0%
3	<input checked="" type="checkbox"/> FY 2009		0	0%
4	<input checked="" type="checkbox"/> Earlier than FY 2009		0	0%
Total			1	

69. Comments (Optional)

Text Response

70. What program or administrative area was last evaluated/inspected?

Text Response

71. Comments (Optional)

Text Response

72. Who conducted the evaluation?

#	Answer	Bar	Response	%
1	RM staff		0	0%
2	Contractors or Consultants		0	0%
3	Inspector General		1	100%
4	Other, please be specific		0	0%
Total			1	

Other, please be specific

73. Comments (Optional)

Text Response

74. Senior officials are the heads of departments and independent agencies, their deputies and assistants, the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent principal regional officials, staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (GRS 23, 5a) Were senior officials responsible for the evaluated office or program briefed on the findings of the records management evaluation/inspection?

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

75. Comments (Optional)

Text Response

76. Was a formal report prepared after the evaluation/inspection was completed?

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

77. Comments (Optional)

Text Response

78. Comments (Optional)

Text Response
 These inspection are performed by the Inspector General Office and are classified.

79. What follow-up actions did your agency take to ensure that the program or administrative area implemented the recommendations from the evaluation/inspection? (Choose all that apply)

#	Answer	Bar	Response	%
1	Established reporting requirements		1	100%
2	Conducted regularly scheduled site visits		0	0%
3	Established records management metrics		1	100%
4	Established training requirements		0	0%
5	Other, please be specific		1	100%

Other, please be specific
 Verify records management training was taken.

80. Comments (Optional)

Text Response

81. 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)

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

82. Comments (Optional)

Text Response

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

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

84. Comments (Optional)

Text Response

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

Text Response

86. Comments (Optional)

Text Response

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Annually		1	100%
2	<input checked="" type="checkbox"/> Every 1-3 years		0	0%
3	<input checked="" type="checkbox"/> Every 4-6 years		0	0%
4	<input checked="" type="checkbox"/> Never		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

88. Comments (Optional)

Text Response

89. Is the records management program represented on the agency's Continuity of Operations (COOP) program team?

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

90. Comments (Optional)

Text Response

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

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

92. Comments (Optional)

Text Response

93. When was the last time your agency submitted a records schedule (e.g., a SF 115*) that was accepted (registered and assigned a Job Number) by NARA? (36 CFR 1224.10(c) and 36 CFR 1225.12(i)) *Standard Form 115: Request for Records Disposition Authority

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> FY 2010 - 2011		0	0%
2	<input checked="" type="checkbox"/> FY 2008 - 2009		0	0%
3	<input checked="" type="checkbox"/> FY 2006 - 2007		1	100%
4	<input checked="" type="checkbox"/> FY 2005 or earlier		0	0%
5	<input checked="" type="checkbox"/> My agency has big bucket schedules covering all records that were approved by NARA in FY 2005 or later		0	0%
6	<input checked="" type="checkbox"/> Do not know		0	0%
Total			1	

94. Comments (Optional)

Text Response

95. Please provide the Job Number of the most recent SF-115 submitted to, and registered by, NARA. This number can be found on the monthly status report sent to your agency's records officer by your NARA appraisal archivist.

Text Response

Job number N1-457-07-01, was submitted on 1 June 2007, worked by for 4 years by the National Archives and Records Administration and finally signed by the Archivist of the United States on 13 April 2011, it was 297 items long.

96. Comments (Optional)

Text Response

97. A NARA-approved records schedule is one that has been signed by the Archivist of the United States. CORE QUESTION. As required by your agency's NARA-approved schedule, did your agency transfer any eligible permanent non-electronic records to the National Archives via a SF-258* in FY 2010? (36 CFR 1235.12) *Standard Form 258. Agreement to Transfer Records to the National Archives of the United States

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		1	100%
3	<input checked="" type="checkbox"/> None of my agency's permanent non-electronic records were eligible to be transferred in FY 2010		0	0%
4	<input checked="" type="checkbox"/> All my agency's eligible permanent non-electronic records are under a records hold or freeze		0	0%
5	<input checked="" type="checkbox"/> Other (Please be specific)		0	0%
Total			1	

Other (Please be specific)

98. Comments (Optional)

Text Response

NSA transferred records in 2011, National Archives Accession number - NN3-457-11-001.

99. Please provide the National Archives Accession Number (field #17 on the SF-258 or in ERA*) of the most recent SF-258 for permanent non-electronic records signed by NARA and your agency in FY 2010, indicating a completed transfer. *Electronic Records Archives

Text Response

100. Comments (Optional)

Text Response

101. CORE QUESTION. As required by your agency's NARA-approved schedule, did your agency transfer any eligible permanent electronic records to the National Archives via a SF-258* or in ERA** in FY 2010? (36 CFR 1235.12)
 *Standard Form 258: Agreement to Transfer Records to the National Archives of the United States **Electronic Records Archives

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Yes		0	0%
2	<input checked="" type="checkbox"/> No		0	0%
3	<input checked="" type="checkbox"/> None of my agency's permanent electronic records were eligible to be transferred in FY 2010		1	100%
4	<input checked="" type="checkbox"/> All my agency's eligible permanent electronic records are under a records hold or freeze		0	0%
5	<input checked="" type="checkbox"/> Other (Please be specific)		0	0%
Total			1	

Other (Please be specific)

102. Comments (Optional)

Text Response

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.

Text Response

104. Comments (Optional)

Text Response

105. My agency did not transfer eligible permanent electronic records because:
 (Choose all that apply)

#	Answer	Bar	Response	%
1	The format of the records was not compatible with NARA systems		0	0%
2	The records contain sensitive information		0	0%
3	Transfer procedures are unclear		0	0%
4	There is no easy way to segregate permanent from temporary data		0	0%
5	Other (Please be specific)		0	0%

Other (Please be specific)

106. Comments (Optional)

Text Response

107. Senior officials are the heads of departments and independent agencies, their deputies and assistants, the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners, directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (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 e-mail, under their immediate control?

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

108. Comments (Optional)

Text Response

Via internal email the Record Management Offices provide records information prior to check out, it is mandatory the individual must obtain approval from the records management office prior to leaving.

109. Comments (Optional)

Text Response

NSA will fax this documentation to Stephanie Fawcett.

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

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

111. Comments (Optional)

Text Response

112. 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?

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

113. Comments (Optional)

Text Response

Referred to Privacy Act/Freedom of Information Act/Declassification offices for reviews.

114. CORE QUESTION. Has your agency established controls, through policy and procedures, to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems?

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

115. Comments (Optional)

Text Response

116. Comments (Optional)

Text Response

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

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

118. Comments (Optional)

Text Response

119. Comments (Optional)

Text Response

Migration procedures are classified and can not be provided.

120. CORE QUESTION. Does your agency maintain an inventory of electronic information systems? (36 CFR 1236.26 (a))

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

121. Comments (Optional)

Text Response

122. Does your agency's inventory of electronic systems indicate whether each system is, or is not, covered by a NARA-approved disposition authority? (36 CFR 1236.26(b)(7))

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

123. Comments (Optional)

Text Response

All of the system's at NSA are covered by NSA's, four NARA approved records retention schedules, because they are media neutral.

124. Comments (Optional)

Text Response

The inventory of NSA's electronic information systems are classified and can not be provided.

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

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

126. Comments (Optional)

Text Response

127. CORE QUESTION How often does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems? (36 CFR 1236.12)

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Always		0	0%
2	<input checked="" type="checkbox"/> Most of the time		0	0%
3	<input checked="" type="checkbox"/> Occasionally		1	100%
4	<input checked="" type="checkbox"/> Rarely		0	0%
5	<input checked="" type="checkbox"/> Never		0	0%
Total			1	

128. Comments (Optional)

Text Response

129. Does your agency provide training on the retention and management of records created and maintained in electronic form? (36 CFR 1220.34(f))

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

130. Comments (Optional)

Text Response

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

#	Answer	Bar	Response	%
1	All agency staff		1	100%
2	Contractors		1	100%
3	Records Liaison Officers or similar		1	100%
4	Senior Officials		1	100%
5	Information Technology Staff		1	100%
6	Other (Please be specific)		1	100%

Other (Please be specific)

All

132. Comments (Optional)

Text Response

133. An electronic records management system (ERMS), often referred to as a records management application (RMA), is an electronic management system in which any agency records, regardless of format (paper, electronic, microform, etc.), are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. (NARA's records management training course, Electronic Records Management, module 1, lesson 2 (May 2010)) Does your agency, or any office/component unit within your agency, currently have – even as a pilot project – a fully functioning Electronic Records Management System (ERMS)/Records Management Application (RMA) for maintaining and preserving electronic records?
 NOTE Backup tapes, document management systems, case management systems, data marts, and e-mail vaults are not considered to be fully functional ERMS or RMAs and are not appropriate for records retention.

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

134. Comments (Optional)

Text Response

135. Is your ERMS/RMA: (Choose all that apply)

#	Answer	Bar	Response	%
1	Currently a pilot project		0	0%
2	Used agency-wide		0	0%
3	Used in selected offices/component units only		0	0%

136. Comments (Optional)

Text Response

137. Automatic capture or classification systems are applications that can help people create taxonomies (the organization of a particular set of information for a particular purpose) and place documents in categories, although the amount of automation can vary. (<http://www.searchtools.com/info/classifiers.html>) Does your ERMS/RMA have automatic capture/classification capability?

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

138. Comments (Optional)

Text Response

139. Is your ERMS/RMA used for (Choose all that apply)

#	Answer	Bar	Response	%
1	Electronic documents		0	0%
2	E-mail messages		0	0%
3	Maintaining records maintained outside the ERMS/RMA		0	0%
4	Other (Please be specific)		0	0%

Other (Please be specific)

140. Comments (Optional)

Text Response

141. Is your agency in the process of developing an ERMS/RMA?

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

142. Comments (Optional)

Text Response

143. When does your agency plan to deploy an ERMS/RMA?

#	Answer	Bar	Response	%
1	FY2011		0	0%
2	FY2012		0	0%
3	FY2013		0	0%
4	FY2014		0	0%
5	Other (Please be specific)		1	100%
Total			1	

Other (Please be specific)

144. Comments (Optional)

Text Response

145. Web 2.0 and social media are umbrella terms used to define the various activities integrating web technology, social interaction, and user-generated content. Through social media, individuals or collaborations of individuals, create, organize, edit, comment on, combine, and share content. Facebook, Twitter, Second Life, Blogs, and wikis are examples of social media. (NARA Bulletin 2011-02) Does your agency or any office/component unit within your agency use social media?

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

146. Comments (Optional)

Text Response

147. Has your agency developed policies and procedures for capturing and managing Federal records that are created on social media?

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

148. Comments (Optional)

Text Response

149. Cloud computing is a technology that allows users to access and use shared data and computing services via the Internet or a Virtual Private Network. It gives users access to resources without having to build infrastructure to support these resources within their own environments or networks. (NARA Bulletin 2010-05) Does your agency or any office/component unit within your agency use cloud computing technologies?

#	Answer	Bar	Response	%
1	Yes		1	100%
2	No		0	0%
3	No, but my agency is exploring the use of cloud computing technologies		0	0%
4	Do not know		0	0%
5	Other (Please be specific)		0	0%
Total			1	

Other (Please be specific)

150. Comments (Optional)

Text Response

151. Has your agency established records management policies and procedures for managing Federal records in a cloud computing environment?

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

152. Comments (Optional)

Text Response

153. An electronic mail system is a computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted on an e-mail system. (36 CFR 1236.2) CORE QUESTION. Does your agency have policies and procedures in place to handle e-mail records that have a retention period longer than 180 days? (36 CFR 1236.22(c))

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

154. Comments (Optional)

Text Response

155. Comments (Optional)

Text Response

NSA's four, NARA approved records disposition schedules are media neutral and functional, so they apply to the content of the emails [redacted] as a copy of all four schedules.

156. NOTE: A recordkeeping system may be manual or electronic. How does your agency ensure that e-mail messages that are Federal records are preserved in the appropriate agency recordkeeping system? (36 CFR 1236.22(b)) (Choose all that apply)

#	Answer	Bar	Response	%
1	Policy and procedures		1	100%
2	Recordkeeping requirements		1	100%
3	Training		1	100%
4	Staff briefings		1	100%
5	Office visits		1	100%
6	E-mail reminders		1	100%
7	Other (Please be specific)		0	0%

Other (Please be specific)

157. Comments (Optional)

Text Response

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

#	Answer	Bar	Response	%
1	Print and file		1	100%
2	Save as .PDF		1	100%
3	Storage as .PST (or other format) in Shared Network folders (Local Area Network)		1	100%
4	Storage in an Electronic Records Management System/Records Management Application		0	0%
5	Maintain in original e-mail system		0	0%
6	E-mail Archiving System		0	0%
7	Backup tapes		1	100%
8	Other (Please be specific)		0	0%

Other (Please be specific)

159. Comments (Optional)

Text Response

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

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

161. Comments (Optional)

Text Response

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

#	Answer	Bar	Response	%
1	<input checked="" type="checkbox"/> Every 6 months		0	0%
2	<input checked="" type="checkbox"/> Every year		0	0%
3	<input checked="" type="checkbox"/> Every 2 years		0	0%
4	<input checked="" type="checkbox"/> Less frequently than every 2 years		0	0%
5	<input checked="" type="checkbox"/> Do not know		0	0%
Total			0	

163. Comments (Optional)

Text Response

164. CORE QUESTION. Does your agency provide training on the retention and management of e-mail records? (36 CFR 1220.34(f))

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

165. Comments (Optional)

Text Response

166. CORE QUESTION. Is this training mandatory for all staff, including contractor staff and senior officials?

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

167. Comments (Optional)

Text Response

168. E-mail archiving generally refers to applications that remove e-mail from the mail server and manage it in a central location also known as an archive. Information technology professionals use the term "archiving" to mean the copying or transfer of files for storage. In general, these applications collect in a central repository the e-mail (which may include attachments, calendars, task lists, etc.) of some or all agency users. E-mail archiving applications typically require little to no action on the part of the user to store or manage the e-mail records. Once messages are stored, authorized users are able to search the repository. (NARA Bulletin 2011-03, December 22, 2010, Guidance Concerning the use of E-mail Archiving Applications to Store E-mail) Has your agency, or any office/component unit within your agency, adopted an e-mail archiving application?

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

169. Comments (Optional)

Text Response

170. Has your agency taken steps to adopt or deploy an e-mail archiving application?

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

171. Comments (Optional)

Text Response

172. When does your agency plan to adopt or deploy an e-mail archiving application?

#	Answer	Bar	Response	%
1	FY 2011		0	0%
2	FY 2012		1	100%
3	FY 2013		0	0%
4	FY 2014		0	0%
5	Other (Please be specific)		0	0%
Total			1	

Other (Please be specific)

173. Comments (Optional)

Text Response

174. Does your agency or office/component unit use its e-mail archiving application for official recordkeeping of electronic mail messages?

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

175. Comments (Optional)

Text Response

176. What steps does your agency take to manage the retention and disposition of Federal records in current e-mail archiving applications? (NARA Bulletin 2011-03, December 22, 2010. Guidance Concerning the use of E-mail Archiving Applications to Store E-mail). (Choose all that apply)

#	Answer	Bar	Response	%
1	Policies and procedures		0	0%
2	User training		0	0%
3	Monitoring records stored in the system		0	0%
4	Other (Please be specific)		0	0%

Other (Please be specific)

177. Comments (Optional)

Text Response

178. Comments (Optional)

Text Response

179. Has your agency or any office/component unit within your agency adopted an e-mail archiving application for a purpose other than for official recordkeeping of electronic mail messages?

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

180. Comments (Optional)

Text Response

181. What is the purpose of your agency's or office/component unit's e-mail archiving application? Please be specific.

Text Response

182. Comments (Optional)

Text Response

183. How many FTEs are in your agency/organization?

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

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

#	Answer	Bar	Response	%
1	Office of the General Counsel		1	100%
2	Program Managers		1	100%
3	Information Technology staff		1	100%
4	Records Liaison Officers or similar		1	100%
5	Administrative staff		1	100%
6	None		0	0%
7	Other (Please be specific)		0	0%

Other (Please be specific)

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

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

186. Please provide your contact information. Name:

Text Response

187. Agency, Bureau, or Office

Text Response

National Security Agency

188. Job Title:

Text Response

Chief, Records Management Policy

189. Address:

Text Response
9800 Savage Rd

190. Address 2:

Text Response

191. City/Town:

Text Response
Fort George G. Meade

192. State:

Text Response
MD

193. ZIP/Postal Code:

Text Response
20755

194. E-Mail Address:

Text Response

195. Phone Number:

Text Response

196. Are you the Records Officer?

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

197. Please provide the name of your agency's Records Officer.

Text Response
Mrs. Elizabeth R. Brooks

198. Records Officer's E-Mail Address

Text Response

199. Records Officer's Phone Number

Text Response

200. Grade

Statistic	Value
Mean Score	76.00
Score Standard Deviation	0.00
Weighted Mean of Items	2.71
Weighted Standard Deviation of Items	1.05
Items	28.00

Design Survey Collect Responses Analyze Results

- View Summary
- Browse Responses
- Filter Responses
- Crosstab Responses
- Download Responses
- Share Responses

Default Report

Active Filter: Completed Responses

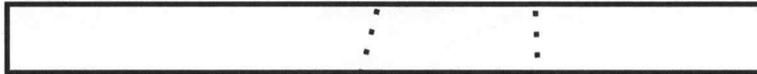


Response Type:
Normal Response

Collector:
FY 2012 Records Management Self-Assessment
(Email Invitation)

Email:

Name:



Response Started:
Monday, June 4, 2012 2 09 59 PM

Response Modified:
Tuesday, June 26, 2012 1 51 25 PM

1. 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.

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)

Yes

1. When was your agency's directive(s) last updated?

FY 2009 - 2010

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

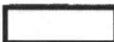
Yes

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)

Yes

1. Please state the number of employees assigned records management responsibilities trained during FY 2011.

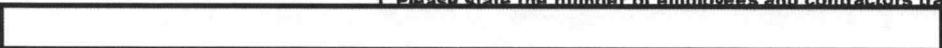
Note: Do not include the number of employees who attended NARA's records management training workshops, whether the workshops were part of NARA's standard or customized training curriculum for your agency, in your answer.



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 CFR 1220.34(f)

Yes

1. Please state the number of employees and contractors trained during FY 2011.



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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.

[Redacted]

1. Does your agency require 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)

Yes

1. Please explain.

No Response

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

1. 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.

[Redacted]

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

1. 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.

[Redacted]

SurveyMonkey - Survey Results



1. Does your agency conduct evaluations/inspections/audits of its records management program, or an element of the program (e.g. records scheduling, records management training) to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? 36 CFR 1220.34(j)

Yes

1. When was the most recent evaluation/inspection/audit 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 its records management program?

Yes

1. Has your agency's records management program identified 3 or more performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

Yes

1. 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

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

Yes

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

Annually

2. Is your vital records plan part of your agency's Continuity of Operations (COOP) plan?

Yes

1. Additional comments (optional).

No Response

1. As required by your agency's NARA-approved schedule, does your agency transfer eligible permanent non-electronic records to the National Archives via a signed SF-258 or approved for transfer in ERA? 36 CFR 1235.12

Yes

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

No Response

1. As required by your agency's NARA-approved schedule, does your agency transfer eligible permanent electronic records to the National Archives via a signed SF-258 or approved for transfer in ERA? 36 CFR 1235.12



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approved for transfer in order to be retained

No

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

1. 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)

Yes

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

Yes

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?

Yes

1. Additional comments (optional).

No Response

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

No

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)

Yes

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

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

Yes

1. 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. 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 not be considered internal training.

Yes

1. Does your agency have policies and procedures in place to handle email records that have a retention period longer than 180 days? 36 CFR 1236.22(c), and GRS 23, (7)

Yes

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

No

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

No Response

1. Has your agency developed internal, staff-wide training based on agency policies and directives, on the retention and management of email records?

Note: This training must be internal to your agency. Reliance on NARA's records management training workshops, whether the workshops were part of NARA's standard curriculum or customized by NARA for your agency, should not be considered internal training. 36 CFR 1220.34(f)

Yes

1. Is this training mandatory for all staff, including contractor staff and senior officials?

Yes

1. Additional comments (optional).

1. What internal challenges do you face managing and implementing your agency's records management program?

No Response

1. Have you undertaken any changes or initiatives to improve records management in your agency that are not covered by the questions or your responses to this self-assessment?

NSACSS has undertaken the following initiatives Automated the hardcopy and multi-media process for records throughout the records lifecycle Gained programmed funding for electronic records management for NSA NSACSS Newsletter on Records Management Activities during April to promote Records Management Month Activities during October to promote Archives month Present a 1 hour Records Management Brief to all new NSACSS employees on the responsibilities of records management

1. Do you have any suggestions for how we can improve future self-assessments?

Please place the question in the same order they are when printed out and please number the questions in the electronic survey

1. How many FTEs are in your agency/organization? (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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assessment? (Choose all that apply)

- Office of the General Counsel
- Program Managers
- Information Technology staff
- Records Liaison Officers or similar
- Administrative staff
- Other (please specify) - National Cryptologic School operated by NSA/CSS

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

Over 10 hours

1. What is your job title?

Chief, Records Management Policy, NSACSS

2. Please provide your contact information.

Name [Redacted]
Agency/Bureau/Office - NSACSS
Address - 9800 Savage Rd.
City/Town - Fort George G Meade
State - MD
ZIP - 20766
Email Address [Redacted]
Phone Number [Redacted]

3. Are you the Records Officer?

No

1. Please provide the name of your agency's Records Officer and his/her contact information.

Name - Elizabeth Brooks
Email Address [Redacted]
Phone Number [Redacted]



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2013 Records Management Self-Assessment

#1	COMPLETE
	Collector: 2013 RMSA 1 - Cabinet Agencies (Email) Started: Friday, January 17, 2014 10:31:21 AM Last Modified: Friday, January 17, 2014 11:41:24 AM Time Spent: 01:10:02 First Name: David Last Name: Sherman
Email: [Redacted]	
Custom Data: Department of Defense National Security Agency	

PAGE 2: Section I. Records Management Program - Activities

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

PAGE 3

Q2: Please provide the person's name, position title, and office.	Dr. David Shermanm Director of the Associate Directorate for Policy and Records NSA/CSS
Q3: Additional Comments (Optional)	Respondent skipped this question

PAGE 4

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

PAGE 5

Q5: When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?	FY 2010 - 2012
Q6: Additional Comments (Optional)	Respondent skipped this question

PAGE 6

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

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2013 Records Management 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 senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f)) Yes

Q15: Additional Comments (Optional) *Respondent skipped this question*

PAGE 13

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)) Yes

PAGE 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 and directives.

PAGE 15

Q18: CORE QUESTION. In addition to your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that Federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))** These controls must be internal to your agency. Reliance on information from external agencies (for example, NARA's Federal Records Centers) or other organizations will not be considered an affirmative response for this question. Yes

PAGE 16

Q19: Please describe the control activities your agency performs to ensure that Federal records are not destroyed before the end of their retention period. These control activities must be in addition to your agency's records schedules and directives.

Q20: Additional Comments (Optional) *Respondent skipped this question*

PAGE 17

2013 Records Management Self-Assessment

Q21: CORE QUESTION. Does your agency evaluate - by conducting inspections, audits, or reviews - its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? ** For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, the management of your agency's electronic records) must be the primary focus/target of the inspection/audit/review.

Yes

PAGE 18

Q22: CORE QUESTION. How often is your records management program, or a major component of the program, evaluated for compliance with agency records management policies and procedures?

Every 1 - 2 years

Q23: Was a written report prepared after the most recent inspection/audit/review was completed?

Yes

Q24: Additional Comments (Optional)

Respondent skipped this question

PAGE 19

Q25: Has your agency established performance goals for its records management program?

Yes

PAGE 20

Q26: What are your agency's records management program's performance goals?

PAGE 21

Q27: Please describe the progress your agency has made towards identifying performance goals for its records management program. Include the time frame for completion in your remarks.

Respondent skipped this question

PAGE 22

Q28: CORE QUESTION. Has your agency's records management program identified three or more performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

Yes

PAGE 23

2013 Records Management Self-Assessment

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.

PAGE 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

PAGE 25

Q31: Additional Comments (Optional)

Respondent skipped this question

PAGE 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

PAGE 27

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

PAGE 28

Q37: CORE QUESTION. Is your vital records plan part of the Continuity of Operations (COOP) plan? Yes

Q38: Additional Comments (Optional)

Respondent skipped this question

PAGE 29: Section III. Records Management Program - Records Disposition

Q39: Does your agency have permanent non-electronic records? Yes

2013 Records Management Self-Assessment

Q40: CORE QUESTION. Did your agency transfer permanent non-electronic records to NARA during FY 2013? (36 CFR 1235.12)	Yes
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PAGE 30

Q41: My agency did not transfer permanent non-electronic records to NARA during FY 2013 because:	<i>Respondent skipped this question</i>
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PAGE 31

Q42: Please explain why your agency did not transfer its permanent non-electronic records to NARA during FY 2013.	<i>Respondent skipped this question</i>
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PAGE 32

Q43: Has your agency transferred, or does it plan to transfer, permanent non-electronic records to NARA in FY 2014?	Yes
Q44: Additional Comments (Optional)	<i>Respondent skipped this question</i>

PAGE 33

Q45: Does your agency have permanent electronic records/systems?	Yes
Q46: CORE QUESTION. Did your agency transfer permanent electronic records to NARA during FY 2013? (36 CFR 1235.12)	No

PAGE 34

Q47: My agency did not transfer permanent electronic records to NARA during FY 2013 because:	No electronic records/systems were eligible for transfer during FY 2013
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PAGE 35

Q48: Please state why your agency did not transfer its permanent electronic records to NARA during FY 2013.	<i>Respondent skipped this question</i>
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PAGE 36

Q49: Has your agency transferred, or does it plan to transfer, permanent electronic records to NARA during FY 2014?	No
Q50: Additional Comments (Optional)	<i>Respondent skipped this question</i>

PAGE 37

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

PAGE 38

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*

PAGE 39

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*

PAGE 40

Q56: CORE QUESTION. Are records management program 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)) Yes

PAGE 41

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

PAGE 42

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*

2013 Records Management Self-Assessment

Q61: CORE QUESTION. Has your agency incorporated/integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)

Yes

Q62: Additional Comments (Optional)

Respondent skipped this question

PAGE 44

Q63: CORE QUESTION. Does your agency have procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

Yes

PAGE 45

Q64: Are records management staff involved in developing procedures to ensure that records are properly migrated from retired systems?

Yes

Q65: Additional Comments (Optional)

Respondent skipped this question

PAGE 46

Q66: CORE QUESTION. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))

Yes

PAGE 47

Q67: Please explain why your agency does not maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority.

Respondent skipped this question

Q68: Additional Comments (Optional)

Respondent skipped this question

PAGE 48

Q69: CORE QUESTION. 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)

Yes

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2013 Records Management Self-Assessment

Q70: Please explain why your agency does not 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.

Respondent skipped this question

PAGE 50

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.

PAGE 51

Q72: CORE QUESTION. Does your agency's records management program staff participate in the design, development, and implementation of new electronic information systems?

Yes

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.

Respondent skipped this question

Q74: Additional Comments (Optional)

Respondent skipped this question

PAGE 53

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 formats? (36 CFR 1220.34(f)) * Includes NARA's records management training workshops that were customized specifically for your agency.

Yes

Q76: Additional Comments (Optional)

Respondent skipped this question

PAGE 54

2013 Records Management Self-Assessment

Q77: CORE QUESTION. Does your agency have policies and procedures in place to handle email records that have a retention period longer than 180 days? (36 CFR 1236.22) Yes

PAGE 55

Q78: Please explain why your agency does not have policies and procedures in place to handle email records that have a retention period longer than 180 days. Respondent skipped this question

PAGE 56

Q79: Do employees in your agency have more than one agency-administered email account? (NARA Bulletin 2013.02) Yes

PAGE 57

Q80: Does your agency have policies that address these types of accounts and that state that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22(b)) Yes

Q81: Additional Comments (Optional) Respondent skipped this question

PAGE 58

Q82: Does your agency allow employees to use personal email accounts to conduct official business? (36 CFR 1236.22(b)) Yes

PAGE 59

Q83: Does your agency have policies that address the use of personal email accounts and that state that email records created and received using these accounts must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22(b)) Yes

Q84: Additional Comments (Optional) Respondent skipped this question

PAGE 60

Q85: Does your agency's email system(s) retain the intelligent full names on directories or distribution lists to ensure identification of the sender and addressee(s) for those emails that are Federal records?(36 CFR 1236.22(a)(3)) Yes

2013 Records Management Self-Assessment

Q86: What method(s) does your agency employ to capture and manage email records? (Choose all that apply)	Print and file, Captured and stored in an electronic records management system Captured and stored in an email archiving system
Q87: Additional Comments (Optional)	<i>Respondent skipped this question</i>

PAGE 61

Q88: CORE QUESTION. Does your agency audit staff compliance with the agency's email preservation policies?	Yes
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PAGE 62

Q89: CORE QUESTION. How often does your agency audit staff compliance with the agency's email preservation policies?	Every year
Q90: Additional Comments (Optional)	<i>Respondent skipped this question</i>

PAGE 63

Q91: CORE QUESTION. Has your agency developed internal, staff-wide training*, based on agency policies and directives, on the retention and management of email records? (36 CFR 1220.34(f)) *Includes NARA's records management training workshops that were customized specifically for your agency.	Yes
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PAGE 64

Q92: CORE QUESTION. Is this training mandatory for all staff, including contractor staff and senior officials?	Yes
Q93: Additional Comments (Optional)	<i>Respondent skipped this question</i>

PAGE 66

Q94: Has your agency identified for transfer its permanent records that have been in existence for more than 30 years?	Yes
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PAGE 67

Q95: Additional Comments (Optional)	Spreadsheet was submitted to NARA.
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2013 Records Management Self-Assessment

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

PAGE 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

PAGE 70

Q99: Additional Comments (Optional)

Spreadsheet was submitted to NARA

PAGE 71

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

PAGE 72: Demographic Information

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

PAGE 73

Q104: How much time did it take you to gather the information to complete this self-assessment?

Over 10 hours

Q105: Did your agency's senior management review and concur with your responses to the 2013 Records Management Self-Assessment?

Yes

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2013 Records Management Self-Assessment

Q106: Please provide your contact information.

Name:

Agency/Bureau/Division/Office: National Security Agency, Chief Records Management Policy

Address: 9800 Savage Rd.

City/Town: 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 your agency's Records Officer.

Name: Dr. David Sherman

Email Address:

Phone Number:

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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!!!