Survey: President’s Forthcoming Mandates for Improving Federal Records Management Eagerly Anticipated by Government Agencies

Managing electronic records and adopting cloud applications top of list of concerns in advance of July 31st directive

July 23, 2012
An Insider’s View…

On November 28, 2011 President Obama issued a memorandum to the heads of Executive Departments and Agencies on Managing Government Records. This memorandum marks the start of an executive branch-wide effort to reform records management policies and practices.

The memorandum required each agency to report to the National Archives and Records Administration the name of a senior agency official who will supervise an agency-wide evaluation of its records management programs. These evaluations were completed by March 27, 2012 and focused their records management programs, including electronic records.

On July 31, 2012, the National Archives and the Office of Management and Budget will issue a Records Management Directive to agencies that will provide specific steps to reform records management policies and practices.

Iron Mountain, the world’s leading information management company, set out to better understand the current state of federal records management programs, and talked to 100 federal records managers across a number of agencies and departments. The following survey results provide an insider’s view of the state of federal records management and how federal records managers feel about the President’s mandate.
5 Key Findings About The Current Federal Records Management Landscape

1. Overall, federal employees feel their agencies manage records very well and are dedicated to further improving.

2. Nearly two thirds of employees who are involved with federal records feel that improving the management of government records is a “significant” priority within their agencies.

3. Agencies who solicited feedback from multiple departments reported feeling even more confident that their agencies are making improvements. All of those who partnered with other departments say their agencies put at least some priority on making the records management process better.

4. Employees feel their agencies are performing strongly in areas related to records management, particularly protecting access to records and compliance with federal records.

5. While demonstrating confidence in the current state of their programs and approval of the President’s initiative, only nine (9) percent felt they were “very strong” when it came to using cloud computing applications and other new technologies to manage data.
The vast majority believe their agencies have made it a priority to improve the current records management process.

Q. How much of a priority do you believe your agency is placing on improving its current records management process?

- Partnered with other department* (N=40)
  - NET: Priority 100%
  - Did not partner with another department* (N=60)
    - NET: Priority 88%,
    - 63%
    - 30%
    - -6%

* Percents may not total 100% due to rounding
Federal records managers feel their agency is performing “strongly” in all but one performance area; performance is most intense for protecting access to records.

Q. I’m going to read a list of words and phrases related to records management. Please tell me how strong you think your agency’s performance is in each area today. Is it very strong, somewhat strong, not very strong, or not at all strong?

<table>
<thead>
<tr>
<th>Area</th>
<th>Very strong</th>
<th>Somewhat strong</th>
</tr>
</thead>
<tbody>
<tr>
<td>Protecting access to records</td>
<td>89%</td>
<td>11%</td>
</tr>
<tr>
<td>Compliance with Federal Records Act</td>
<td>84%</td>
<td>13%</td>
</tr>
<tr>
<td>Supporting FOIA (Freedom of Information Act) requests</td>
<td>80%</td>
<td>11%</td>
</tr>
<tr>
<td>Enabling the operations of the agency</td>
<td>68%</td>
<td>26%</td>
</tr>
<tr>
<td>Disaster recovery/ continued operations</td>
<td>62%</td>
<td>27%</td>
</tr>
<tr>
<td>Enabling citizenry and supporting a transparent government</td>
<td>55%</td>
<td>23%</td>
</tr>
<tr>
<td>Storing and managing digital records</td>
<td>51%</td>
<td>35%</td>
</tr>
<tr>
<td>Using cloud applications to manage data</td>
<td>9%</td>
<td>16%</td>
</tr>
</tbody>
</table>

NET: Strong

100%
97%
91%
94%
89%
78%
86%
25%
Those who partnered with another department for the March deadline rate their agencies “stronger” in all areas.

Q. I’m going to read a list of words and phrases related to records management. Please tell me how strong you think your agency’s performance is in each area today. Is it very strong, somewhat strong, not very strong, or not at all strong?

<table>
<thead>
<tr>
<th>Area</th>
<th>Very Strong</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance with federal records act</td>
<td>77%</td>
<td>95%</td>
</tr>
<tr>
<td>Protecting access to records</td>
<td>85%</td>
<td>95%</td>
</tr>
<tr>
<td>Supporting FOIA requests</td>
<td>83%</td>
<td></td>
</tr>
<tr>
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<td>68%</td>
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</tr>
<tr>
<td>Disaster recovery/continued operations</td>
<td>65%</td>
<td>60%</td>
</tr>
<tr>
<td>Enabling citizenry and supporting a transparent government</td>
<td>60%</td>
<td>60%</td>
</tr>
<tr>
<td>Storing and managing digital records</td>
<td>53%</td>
<td>50%</td>
</tr>
<tr>
<td>Using cloud applications to manage data</td>
<td>13%</td>
<td>7%</td>
</tr>
</tbody>
</table>

Partnered with another agency* (N=40) | Did not partner with another agency* (N=60)
Seven in ten believe they have a “better” plan now for storing and managing government records since the 3/27 deadline.

Q. As a result of the March 27th deadline, do you believe you have a better plan now for storing and managing electronic data?

More than eight in ten who partnered with another department for the March 27th deadline believe they have a “better” plan now.

*Small base size
Likewise, eight in ten feel their agency is more conscious of records management as a result of the March deadline.

Q. As a result of the March 27th deadline, do you feel your entire agency is now more conscious of records management?

Nine in ten who partnered with another department for the March 27th deadline believe their agency is more conscious of records management now.
4 Expectations and Concerns about the July 31st Directive:

1. Employees who deal with federal records anticipate significant emphasis from the upcoming directive on all but one area of records management, some of which include:
   - Protecting access to records
   - Compliance with the federal records act
   - Supporting FOIA requests

2. However, few (39%) expect the federal directive to focus on rules about using cloud applications.

3. Some concerns do arise for employees with respect to the upcoming July 31st directive.
   - More than six in ten are concerned about budget needs, staff needs, and training to manage the new directive.
   - That said, more than half anticipate their agencies’ records management budgets to remain the same.

4. Those who partnered with other departments for the March 27th deadline are significantly more likely to expect budget increases as well as changes in direction from NARA.
Records managers expect “significant” emphasis on most areas, except using cloud applications to manage data.

Q13 – 20 Now I’m going to ask you a few questions about the upcoming federal directive around the new rules for Record Management. How much emphasis do you expect the directive to place on each of the following records management areas? Let’s start with __, do you think there will be a significant amount of emphasis, some emphasis, not very much emphasis, or no emphasis at all?

<table>
<thead>
<tr>
<th>Area</th>
<th>Significant</th>
<th>Some</th>
<th>NET: Significant+ Some</th>
</tr>
</thead>
<tbody>
<tr>
<td>Protecting access to records</td>
<td>77%</td>
<td>14%</td>
<td>91%</td>
</tr>
<tr>
<td>Compliance with Federal Records Act</td>
<td>76%</td>
<td>18%</td>
<td>94%</td>
</tr>
<tr>
<td>Supporting FOIA requests</td>
<td>73%</td>
<td>18%</td>
<td>91%</td>
</tr>
<tr>
<td>Storing and managing digital records</td>
<td>70%</td>
<td>21%</td>
<td>91%</td>
</tr>
<tr>
<td>Disaster recovery/continued operations</td>
<td>66%</td>
<td>19%</td>
<td>85%</td>
</tr>
<tr>
<td>Enabling the operations of the agency</td>
<td>63%</td>
<td>22%</td>
<td>85%</td>
</tr>
<tr>
<td>Enabling citizenry and supporting a transparent government</td>
<td>52%</td>
<td>27%</td>
<td>79%</td>
</tr>
<tr>
<td>Using cloud applications to manage data</td>
<td>19%</td>
<td>20%</td>
<td>39%</td>
</tr>
</tbody>
</table>
More than six in ten are concerned about numerous needs when it comes to the federal directive, and half believe their budget for records management will not change.

Q23-25. Please tell me how great of a concern each of these is to you in anticipation of the federal directive. Let’s start with — is it a great concern, a moderate concern, a minor concern, or not a concern at all?

- Budget needs to meet new directive
  - A great concern: -61%
  - A moderate concern: -36%
  - Not a concern at all: 21%
  - A minor concern: 11%

- Staff needs to meet new directive
  - A great concern: -68%
  - A moderate concern: -36%
  - Not a concern at all: 10%
  - A minor concern: 20%

- Knowledge and training to manage new directive
  - A great concern: -71%
  - A moderate concern: -36%
  - Not a concern at all: 12%
  - A minor concern: 16%

Q21. Post July, would you expect your budget for records management to significantly increase, somewhat increase, somewhat decrease, significantly decrease, or remain the same?

- Remain the same: 53%
- NET: Significantly Increase: 4%
- + Somewhat Increase: 13%
- NET: Significantly Decrease: 2%
- + Somewhat Decrease: 11%
Those who partnered with other departments in March are more likely to anticipate budget increases and a change in direction from NARA.

**Q21. Post July, would you expect your budget for records management to significantly increase, somewhat increase, somewhat decrease, significantly decrease, or remain the same?**

- **Total**
  - Increase: 17%
  - Decrease: 13%
  - Remain the same: 53%

- **Partnered with other agency* (N=40)**
  - Increase: 18%
  - Decrease: 10%
  - Remain the same: 72%

- **Did not partner with another agency* (N=60)**
  - Increase: 17%
  - Decrease: 15%
  - Remain the same: 63%

**Q22. Do you anticipate any change in direction from the National Archives and Records Administration (NARA) about managing your records, particularly electronic records?**

- **Total**
  - Yes: 19%
  - No: 35%
  - Remain the same: 46%

- **Partnered with other agency* (N=40)**
  - Yes: 18%
  - No: 35%
  - Remain the same: 46%

- **Did not partner with another agency* (N=60)**
  - Yes: 18%
  - No: 27%
  - Remain the same: 58%

*Small base size
Similarly, most think the Presidential Memorandum will help their agency save money.

Q. Finally, as a result of Obama’s memorandum, do you anticipate these instructions helping your agency save money?

-30% Probably not
26% Definitely not
23% 58% Yes, definitely
35% Yes, probably

Those who partnered with another department* also anticipate the Presidential Memorandum will help their agency save money (73% vs. 48%).

*Small base size (N=40).