ATTACHMENT A - CHECKLIST FOR SELF ASSESSMENT

Site:	Federal or Contractor Program:

Name: _____

Title:_____

Organization:_____

Address: _____

Bldg and Room Number _____

Phone Number _____

E-Mail _____

Years of Records Management experience?

Length of time in current position?

Training?

_____

Signature: Date:

INSTITUTIONALIZATION			
The following questions are designed to verify the existence of an established program.			
	YES	NO	NOT APPLICABLE
1. Are records management employees familiar with the regulations that govern the program (36 CFR Chapter 12)?			
2. Does your records program meet Federal regulations?			
3. Has adequate staff been assigned to the function?			
4. Have the following designations been made?			
a. Program Records Official			
b. Records Management Field Officer			
c. Records Liaisons			
d. Records Custodians			
e. Contractor Records Managers			
5. Does a records communications network exist between:			
a. HQ Program and Field site?			
b. Field site and Contractors?			
6. Is your manager/supervisor knowledgeable about and involved with the program?			
7. Have internal operating policies and procedures been developed and distributed?			
8. Is Records Management included in the budget process?			
9. Are training and travel funds made available so staff can stay abreast of the latest information?			
10. Is oversight of Contractor Records Programs performed? How?			
11. Are findings documented?			
12. Are policies, procedures, and guidance distributed to Contractors?			
13. Are program assessments performed periodically for:			
a. Federal offices?			
b. Contractor programs?			

14. Are improvements made as a result of the assessments?			
15. Are steps taken routinely to promote the records program?			
Comments:			

RECORDS CREATION AND MAINTENANCE			
An important part of records management is the clear articulation of recordkeeping requirements and the timely capture of records that document agency functions, missions and operations.			
	YES	**NO**	**NOT APPLICABLE**
1. Are RMFO/Liaisons familiar with the concepts and regulations concerning the creation of records?			
2. Have recordkeeping requirements been identified for the site/organization?			
3. Has guidance been provided to employees regarding recordkeeping requirements?			
4. Has guidance been provided to employees regarding adequate and proper documentation?			
5. Do employees maintain their own records?			
6. Are employees familiar with basic filing principles?			
7. Have file stations been designated?			
8. Are file plans available for each file station?			
9. Is a standardized classification filing system used?			
10. Are records transferred into filing systems as they are created?			
Comments:			

INVENTORY			
A successful records management program is founded on knowing what information is available and where it is located. An inventory of records allows decisions to be made on the information's value and on how the records should be managed. An effective inventory covers all media and includes records, non-record materials, active, and inactive records. It results in a complete, current identification of records.			
	YES	**NO**	**NOT APPLICABLE**
1. a. Has a records inventory been conducted within the last three years?			
b. If not, date of last inventory?			
2. Does the inventory cover electronic and other media?			
3. Does the inventory include the following?			
• Records			
o Temporary			
o Permanent			
o Active			
o Inactive			
o Classified			
• Non-record materials			
4. Are all offices of the organization/ site included in the inventory?			
5. Was the inventory conducted by :			
a. Support contractor?			
b. Records Liaison?			
c. Other, specify?			
6. Was the inventory approved by management?			
7. Is the inventory maintained electronically?			
8. Type of system used?			
9. Is the inventory process documented?			
Comments:			

SCHEDULES

A key part of any successful records management program is having a schedule of how long a record is kept before it is transferred to inactive record storage facilities, Federal Records Centers, other Federal agencies, NARA, or destroyed. The schedules should be current, clear, specific and verified periodically.

	YES	NO	NOT APPLICABLE
1. Are all records scheduled?			
a. Paper			
b. Electronic			
c. Other Media			
2. Are existing schedules adequate for administrative and programmatic records?			
3. Number of site-specific or organization-specific schedules used?			
4. Are schedules updated periodically for new series and electronic recordkeeping systems?			
5. Are you awaiting approval of draft schedules?			
6. Is an internal process established for developing and submitting schedules for approval?			
7. Disposition schedules are identified when:			
a. Records are created.			
b. Records become inactive.			
c. Other, specify.			
8. Do employees understand the general requirements of records disposition?			
9. What method is used to make employees aware of new schedules?			
10. Are records destroyed only in accordance with approved schedules?			
11. Does your site have its own schedule database?			
12. Does your site/office have electronic search capability for locating schedules?			
Comments:			

ELECTRONIC RECORDS AND ELECTRONIC E-MAIL

A goal of the DOE electronic records management program is to develop effective guidance for the creation, capture, protection, preservation, use and disposition of all electronic records.

	YES	NO	NOT APPLICABLE
1. Are electronic records part of your overall records management program?			
2. Have employees been made aware of the regulations governing electronic records?			
3. Has the site/organization published guidance on the management of electronic and e-mail records?			
4. Has the site/organization implemented software to manage:			
a. Electronic documents?			
b. Electronic records?			
c. E-mail records?			
5. Does the electronic software selected comply with DOE-STD-400l-200 "Design Criteria Standard for Electronic Records Management Software Applications"?			
6. Does the RLO/RMFO review CPIC proposals (Exhibit 300's) to ensure records management provisions have been addressed?			
7. Are electronic records upgraded as software/ hardware changes?			
8. If electronic legacy records are not updated, are older versions of software/hardware maintained so records can be accessed?			
9. Does the site routinely back up electronic systems to safeguard against loss of data? How long are backups kept?			
Comments:			

INFORMATION ACCESS			
A successful records management program contains access controls to protect information and records against loss, destruction or alteration; and to ensure security requirements are met.			
	YES	**NO**	**NOT APPLICABLE**
1. Are RMFO/Liaisons familiar with the requirements governing classified and sensitive material?			
2. Are appropriate controls provided for records that are viewable only to authorized personnel?			
3. Are RMFO/Liaisons aware of Privacy Act and FOIA requirements?			
4. Are RMFO/Liaisons aware of the DOE cyber security requirements for the protection of information and information systems?			
5. Are procedural controls in place on electronic systems to protect the integrity of records and their legal admissibility under rules of evidence?			
6. Are exit procedures in place to prevent the alienation of Federal records?			
7. Are employees familiar with policies regarding personal papers?			
8. Are finding aids available to help locate records?			
a. Manual			
b. Electronic			
Comments:			

RECORDS TRANSFER AND STORAGE

A successful records management program provides storage that meets regulatory requirements for all records regardless of media.

	YES	NO	NOT APPLICABLE
1. Are Federal Records Centers used to store records?			
2. Do on-site storage locations meet Federal regulations?			
3. a. Has a dedicated Records Storage Facility been constructed on site?			
b. Percent of facility in use?			
4. Is additional commercial space leased for records storage?			
5. Does the leased space meet Federal regulations?			
6. Are specialty records such as film stored in appropriate climate-controlled space?			
7. Do procedures clearly define and separate active and inactive records?			
8. Are inactive records sent routinely to records storage?			
9. How are inactive records tracked?			
a. Manually			
b. Electronically			
10. Are employees aware of the procedures for retiring and retrieving records?			
11. Is there an ongoing effort to increase the use of electronic media and reduce the amount of physical space required?			
12. How are temporary electronic records transferred to storage?			
a. CD ROM			
b. Other, specify			

Comments:

PERMANENT AND VITAL RECORDS			
Permanent records have historical or other value that warrants preservation beyond their original purpose. Vital records are essential to the continued functioning of the Government during and after an emergency.			
	YES	**NO**	**NOT APPLICABLE**
1. Does your site/office create Permanent records?			
2. a. Are Permanent records routinely transferred to the National Archives?			
b. Date of last transfer? c. Are they transferred electronically?			
3. Are RMFO/Liaisons familiar with the procedures for transferring Permanent records?			
4. Do employees understand the definition of Permanent records and how to identify them?			
5. Are Permanent records 20 years or older maintained on site?			
6. Does the site/office have an inventory of vital records?			
7. Are local procedures in place to help employees identify vital records?			
8. Are RMFO/Liaisons aware of how and where vital records are stored?			
9. Are vital records stored properly and duplicates updated routinely?			
10. Was a risk analysis performed to determine the best storage method?			
11. Were the RMFO/Liaisons included in the selection of protection methods and storage facility for vital records?			
12. Have local resources been identified that can perform restoration on damaged records?			
Comments:			

TRAINING			
A successful records management program provides adequate training in all aspects of records management on an ongoing basis. Records management training is not only crucial for the users but for the records officers, managers, and liaisons as well.			
	YES	NO	NOT APPLICABLE
1. Are employees made aware of the provisions of the law relating to unauthorized destruction, removal, or mutilation of records?			
2. Do employees know to whom to report such actions?			
3. Are personal papers defined in the course of training?			
4. Are working papers defined in the course of training?			
5. Are vital records defined in the course of training?			
6. Are permanent records defined in the course of training?			
7. Is there an effective program in place to ensure records are not removed, destroyed, or lost when individuals leave employment?			
8. Is there a regular reminder in place on the management of Federal records?			
9. How often is training provided?			
10. What type of training is provided?			
a. Classroom			
b. Online			
c. One-on-one			
d. Other, specify.			
11. To whom is training made available?			
a. Managers/Supervisors			
b. Engineers/Scientists			
c. Records/Administrative Staff			
Comments:			