

**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

1. Have the following been designated:
- a. Program Records Official?
  - b. Records Management Field Officer?
  - c. Records Liaisons?
  - d. Records Custodians?
  - e. Contractor Records Managers?

2. Has support staff been assigned to the program?

3. Are records management employees familiar with the regulations that govern the program (36 CFR Chapter 12)?

4. Does a records communications network exist between:
- a. Program Office and Field site?
  - b. Field site and Contractors?

5. Is your manager/supervisor knowledgeable about and involved with the program?

6. Have internal policies and procedures been developed and distributed?

7. Is Records Management included in the budget process?

8. Are training and travel funds made available so staff can stay abreast of the latest information?

9. Is oversight of Contractor Records Programs performed and are findings documented?

10. Are policies, procedures, and guidance routinely distributed to contractors?

11. Are program assessments performed periodically:
- a. Federal?
  - b. Contractor?

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, nonrecord materials, active, and inactive records. It results in a complete, current identification of records.*

	YES	NO	IN PROGRESS
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 it include: <ul style="list-style-type: none"> <li>• Records <ul style="list-style-type: none"> <li>○ Temporary</li> <li>○ Permanent</li> <li>○ Active</li> <li>○ Inactive</li> <li>○ Classified</li> </ul> </li> <li>• Nonrecord materials?</li> </ul>			
4. Does it include all offices of the organization/site?			
5. Is the inventory maintained electronically?			
6. Is the inventory process documented?			
7. Have file stations been designated?			
8. Are file plans available for each file station?			
<hr/> 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.*

	<b>YES</b>	<b>NO</b>	<b>IN PROGRESS</b>
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 schedules?			
4. Are schedules updated periodically for new series and electronic recordkeeping systems?			
5. Have schedules been developed/submitted for any unscheduled records?			
6. Is an internal process established for developing and submitting schedules for approval?			
7. Are disposition schedules applied to records: a. On a systematic basis? b. Randomly?			
8. What method is used to make users aware of new schedules?			
9. Are records destroyed only in accordance with approved schedules?			
10. Have records liaisons received instructions on how to use disposition schedules?			
11. a. Does your site have its own schedule website? b. Or does it use the Records section of the OCIO website?			
12. Does your site/office have search capability for locating schedules?			

**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.*

	<b>YES</b>	<b>NO</b>	<b>IN PROGRESS</b>
1. Are electronic records part of your overall records management program?			
2. Are instructions on how to manage electronic records readily available to employees?			
3. Has the site established and published procedures on how to manage e-mail records?			
4. Has the site piloted and/or selected software to manage e-mail records?			
5. Does the e-mail system selected comply with DOE-STD-4001-200 "Design Criteria Standard for Electronic Records Management Software Applications"?			
6. Are electronic records routinely upgraded as software/hardware changes?			
7. If electronic legacy records are not updated, are older versions of software/hardware maintained so records can be accessed?			
8. Does the site routinely back up electronic systems to safeguard against loss of data?			
9. Is the RMFO/Liaison involved in development/procurement of electronic recordkeeping systems?			
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.*

	<b>YES</b>	<b>NO</b>	<b>IN PROGRESS</b>
1. Are appropriate controls provided for records that are viewable only to authorized personnel?			
2. Are RMFO/Liaisons aware of Privacy Act and FOIA requirements?			
3. Are RMFO/Liaisons aware of the DOE cyber security requirements for the protection of information and information systems?			
4. Are procedural controls in place on electronic systems to protect the integrity of records and their legal admissibility under rules of evidence?			
5. Are Exit procedures in place to prevent the alienation of Federal records?			
6. Are employees familiarized with policies regarding personal papers?			
7. Are finding aides available to help locate records? a. Manual b. Electronic			
Comments:			

**RECORDS TRANSFER AND STORAGE**

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

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. Do procedures clearly define active and inactive records?  
\_\_\_\_\_

7. Are inactive records routinely sent to records storage?  
\_\_\_\_\_

8. Are employees aware of the procedures for retiring and retrieving records?  
\_\_\_\_\_

9. Are specialty records such as film stored in appropriate climate-controlled space?  
\_\_\_\_\_

10. Is there an ongoing effort to increase the use of electronic media and reduce the amount of physical space required?  
\_\_\_\_\_

11. How are electronic records transferred to storage?  
a. CD ROM?  
b. Jukebox?  
c. Other?  
\_\_\_\_\_

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.*

	<b>YES</b>	<b>NO</b>	<b>IN PROGRESS</b>
1. Are users made aware of the provisions of the law relating to unauthorized destruction, removal, or mutilation of records?			
2. Do users know 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 papers 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 on the management of Federal records in place?			
9. How often is user training provided?			
10. What type of training is provided? a. Classroom b. Online c. Seminar d. One-on-one			
11. To whom is training made available? a. Managers/Supervisors b. Engineers/Scientists c. Administrative			

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Comments:

**PERMANENT AND VITAL RECORDS**

1. a. Does your site/office create Permanent records?

b. Are Permanent records routinely transferred to the National Archives?

c. Date of last transfer?

2. Are RMFO/Liaisons familiar with the procedures used to transfer Permanent records?

3. Do employees understand the definition of Permanent records and how to identify them?

4. Are Permanent records 10 years or older maintained on site?

5. Does the site/office have an inventory of vital records?

6. Do local procedures exist that help employees identify and protect vital records?

7. a. Are RMFO/Liaisons familiar with how vital records are stored?

b. Are they stored properly and duplicates updated routinely?

8. Are RMFO/Liaisons aware of local resources that perform restoration on damaged records?

Comments?