
NARA's Records Management Oversight Activities

BRIDG Meeting

August 19, 2009

NARA RM Oversight

- ACTION PLAN (September 5, 2008) accepts GAO's three broad recommendations:
 - R1: Develop various types of inspections, surveys, and other means to evaluate the state of agency records management programs;
 - R2: Develop criteria for using these means of assessment that ensure that they are regularly performed; and
 - R3: Regularly report to the Congress and OMB on the findings, recommendations, and agency responses to its oversight activities, as required by law.

Implementing Recommendation 1

- R1: Develop various types of inspections, surveys, and other means to evaluate the state of agency records management programs
 - Continue to conduct surveys of Federal agency records officers and other senior officials. Examples include the biennial customer satisfaction survey and the asset and risk management survey
 - Continue to do records management studies of Federal agency RM practices (e.g., Records Management Application (RMA) implementations, flexible schedules implementation, management of web content records)

Implementing Recommendation 1

- R1: Develop various types of inspections, surveys, and other means to evaluate the state of agency records management programs
 - New activities in FY 2009 include:
 - NARA team to develop a mandatory RM self-assessment tool that will be required for every Federal agency
 - Tool will cover the fundamental elements of a RM program as required by 36 CFR Subchapter B, including general program management, records disposition, vital records, and electronic records, particularly focusing on e-mail management
 - Each year the tool will include a separate section of questions on specific issue areas such as RM storage, training, or web content management

Implementing Recommendation 2

- R2: Develop criteria for using these means of assessment that ensure that they are regularly performed
 - In FY 2009, a NARA team developed a methodology with checklists and procedures for conducting and reviewing the results of the annual self-assessment
 - Methodology includes criteria for scoring and reporting on the self-assessments
 - Methodology also includes criteria for determining when an agency inspection might be undertaken (e.g., agency does not submit its annual self-assessment)

Implementing Recommendation 3

- R3: Regularly report to the Congress and OMB on the findings, recommendations, and agency responses to its oversight activities, as required by law
 - NARA reports annually to Congress and OMB in its Performance and Accountability Report (PAR)
 - In accordance with NWM memorandum (NWM 19.2008), NARA is reporting on a wider range of RM activities in agencies, including:
 - the scheduling and transfer of electronic records to NARA to comply with the requirements of the E-Government Act of 2002;
 - the status of cases concerning the unauthorized removal or disposal of Federal records;
 - results of NARA's RM oversight activities, including self-assessments, agency inspections, studies, and surveys

Next Steps

- The first annual NARA Self-Assessment will be distributed government-wide on September 28, 2009
- Agencies will have 2 weeks to complete the Self-Assessment
- NARA will include the results of the Self-Assessment in its FY 2009 PAR Report

Dates to Remember

- September 14: Announcement and questionnaire will be distributed to Records Officers and Agency Heads
- September 28: The web link for the Self-Assessment will be activated
- October 16: The web link will be closed