#### National Archives and Records Administration

Assignment:

Records Management Program Self-Evaluation

# Instructions

Use the following questions to begin thinking about your own agency records management self-assessment.

When you have completed this worksheet, submit it to your course instructors for feedback.

If an activity does not apply to your organization, indicate “not applicable” and explain why the activity is not relevant for your program.

# Step 1: Identify What to Evaluate

Start by reviewing available data from previous evaluations, audits, and assessments.

## Review Records Management Self-Assessment responses

Find your agency’s most recent submission to NARA’s Records Management Self-Assessment.

List three major findings or trends that you see in your agency’s RMSA response:

1.

2.

3.

## Review maturity models

Open the **Assignment – Maturity Model Tool** file and assign ratings to your agency’s program using the three domains represented by the spreadsheet tabs.

Then, check the Maturity Summary tab.

1. Record your Composite Maturity Score here:
2. What is one concern you have about the overall maturity level of your agency’s records management program?
3. What is one positive aspect of the overall maturity level of your agency’s program?
4. A senior leader from your agency is asking you what you think about the records management maturity level of your agency’s program. What do you say?

## Review inspection results

Does your agency have any recent internal audit, inspection, or assessment results related to records management? If you are not sure, with whom could you speak to find out?

If your agency does have recent inspection results, briefly summarize 2-3 key findings (positive or negative) and performance indicators from those results:

## Identify patterns, issues, and guidance

Name at least three important patterns, issues, or guidance from senior leadership, inspection reports, NARA guidance, industry trends, or other agency concerns that you might want to consider for your next internal self-evaluation:

## Select your self-evaluation approach

What type of approach would be best for your agency’s next records management self-evaluation? Does your program need a comprehensive evaluation, or a more limited, focused evaluation?

On what areas, topics, processes or departments should your next evaluation focus?

# Step 2: Develop Evaluation Tools

Imagine that you will develop a self-evaluation questionnaire to use in your next self-evaluation.

## 2.1 – 2.7 Drafting your questions

If possible, obtain a copy of the last records management self-evaluation performed at your agency. Review it and mark questions you want to ask again and questions you want to remove.

Whether or not you have a copy of the last self-evaluation, answer the following questions:

1. Review the Questionnaire tab in the **Assignment: RMSA Internal Evaluation Workbook** file. Of the six areas listed in the questionnaire (Activities, Oversight and Compliance, Electronic Records, Records Disposition, Essential Records, and Feedback), which two areas are of the most interest and importance to your program this year, and why?
2. Review the Sampling Exercise tab in the Assignment: RMSA Internal Evaluation Workbook file. Would a sampling exercise be helpful in your next self-evaluation? If yes, what type of exercise would be beneficial? If no, why wouldn’t this approach work for you?

# Step 3: Finalize the Scope and Approach

## 3.1 – 3.2 Finalize the evaluation scope and methods

Which offices and areas should be included in your agency’s records management self-evaluation this year? What methods would work best? (Will you use questionnaires, interviews, sampling activities, physical inspections, a combination?)

## 3.3 Determine evaluation resources

List 3-5 types of resources you will need to carry out a self-assessment this year:

# Step 4: Prepare for and conduct the evaluation

## 4.1 Prepare the agency for the evaluation

In this step, you typically prepare a message that will go out from the Senior Agency Official for Records Management or from the department head announcing the upcoming evaluation. Think about how this should work in your agency and briefly describe what you will need to do to make this happen.

## 4.2 Train staff

In this step, you will create and deliver training to staff involved in the evaluation. Think about how this might work in your agency. Who should receive the training? What methods will work best? What needs to be included. Briefly summarize your thoughts and plans:

## 4.3 – 4.4 Distribute the evaluation and track progress

In this step, you will begin the evaluation process and track participants’ progress. Briefly describe what that should look like for your agency:

# Step 5: Analyze the Data / Step 6: Write the Evaluation Report

In this step, you will analyze the data you have collected and write the evaluation report.

Is there a standard format for such reports in your department, division, or agency? If you don’t know, with whom could you speak to find out?

# Step 7: Publish the Report and Action Plans

In this step, you will publish your final report and create action plans to address any issues. How does this process normally work in your agency? If you aren’t sure, with whom could you speak to find out?