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A How-To Guide for Completing NARA's Records Management Self-Assessment
- 2  **Briefing Agenda**
 - Background for the Self-Assessment
 - What it is
 - When it is conducted
 - Why it matters
 - Tips for Completing the Self-Assessment
 - Interpreting the questions
 - Terms and Definitions
 - Documentation
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- 3  **Federal Records Management**
Why we do it:
 - To protect the rights and interests of the American people
 - To ensure Government accountability
 - To safeguard and preserve the records of our Government
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- 4  **Records Management Self-Assessment**
Purpose:
 - Used in combination with inspections and studies to determine whether Federal agencies are compliant with statutory and regulatory records management requirements.
 - Part of NARA's oversight of Federal Records Management
 - Questions based on NARA regulations (36 CFR 1220, 1239) and guidance
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- 5  **Records Management Self-Assessment**
 - Supports the goals of the Directive for Managing Government Records (M-12-18, Part II, B4)).
 - Sets a baseline for records management in the Federal Government
 - Helps assess the effectiveness of current records management practices
 - Helps NARA and agencies develop strategies for improving compliance
- 6  **Records Management Self-Assessment**
The Self-Assessment is distributed annually
 - Conducted via a web survey tool
 - Questionnaire is e-mailed to agencies in advance
 - Must be completed within announced time frame
 - Deadline to make changes
 - Mandatory for all agencies
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- 7  **Records Management Self-Assessment**
Topic Areas
 - Records Management Program
 - Oversight and Compliance

- Records Disposition
 - Electronic Records Management
- 8  **Records Management Self-Assessment**
Types of Questions
- Core Questions
 - Verification Questions
 - Information gathering questions
 - Demographic questions
 - Optional questions
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- 9  **Records Management Self-Assessment**
Data Collection
- Responses analyzed and scored
 - Agencies placed in risk categories
 - Low risk: Scores of 90-100 points
 - Medium risk: Scores of 60-89 points
 - High risk: Scores of 0-59 points
 - Agencies are sent their final results
 - Report on findings sent to OMB and Congress
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- 10  **Tips for Completing the Self-Assessment**
Read the questions carefully
- Terms and Definitions
 - What do we mean by "Training"??
 - Read Code of Federal Regulations citations.
 - If you have questions, contact a member of the Self-Assessment team
 - Don't guess!
- 11  **Tips for Completing the Self-Assessment**
Identify internal stakeholders
- Who has the information to answer the questions?
 - IT Staff
 - General Counsel's Office
 - Administrative Staff
 - Records Management Staff
- 12  **Tips for Completing the Self-Assessment**
Identify and locate the requested documentation
- What is the most recent version
 - Where is it located?
 - Is it accessible?
 - Is it in the allowed formats?
 - Is it classified? If so, is there a redacted version?
 - Does it meet the verification criteria?
- 13  **Tips for Completing the Self-Assessment**
Be mindful of deadlines
- Start your internal vetting process early.
 - If are going to be on leave or will be otherwise unavailable, designate someone who can respond for your agency
 - If you need to request an extension contact us immediately.

- Send any change requests promptly.
- 14  **Tips for Completing the Self-Assessment**
Taking the Self-Assessment
- Accuracy
 - Answers should reflect the current state of your organization's records management program
 - Answers should be supported by documentation
 - Answers should be responsive to the stated question
 - When in doubt, ask!
- 15  **Tips for Completing the Self-Assessment**
Taking the Self-Assessment, cont:
- If you delegate the self-assessment to another staff member
 - Ensure the respondent has the information required
 - Is knowledgeable about your program
 - Has access to the appropriate documentation
- 16  **Tips for Completing the Self-Assessment**
Submitting documents requested for verification:
- Review the document criteria and the document submission instructions carefully
 - Ensure documents are in acceptable formats
 - Label each file clearly. Include the number of the question it is responsive to
- 17  **Tips for Completing the Self-Assessment**
Submitting documents requested for verification, cont:
- For large documents, indicate which page(s) that the requested information can be found
 - Maintain a list of documents you submit and the self-assessment questions they reference
- 18  **For More Information....**
Records Express
<http://blogs.archives.gov/records-express/>
- Records Management Self-Assessment Reports
<http://www.archives.gov/records-mgmt/resources/self-assessment.html>
- 19  **Questions?**
Stephanie Fawcett
Team Lead
NARA's Records Management Self-Assessment
(781) 663-0124
stephanie.fawcett@nara.gov