

Records Representatives **Self-Assessment of Records Management System**

Purpose: This questionnaire is intended for use by the Records Representative to assess how well your organization is applying the Records Management System. The completed self-assessment will prepare you to provide input to your Level II Manager's Self-Assessment of your organization's Records Management Program. An output of this assessment will be your recommendation of improvement goals for performance planning. Another output will be recommended goals for improving the Laboratory's Records Management System, which will be considered for inclusion in ISD's Self-Assessment Plan.

Instructions: Please answer the following questions, using any of the guidance, resources and tools available to you. Please retain the completed questionnaire for use as an input to your Level II Manager, who will be asked to complete a separate Records Management Self-Assessment for your organization. Please forward a copy to Corene Wood, Records Management Section, Information Services Division.

I. Creation, Identification and Maintenance of Records

A. Creation and Identification

1. How do you determine what is a record or a non-record?
2. How do you determine that a record is vital?
3. Where and to whom do you look for guidance regarding Records Management?
4. Who is the Vital Records Custodian(s) for your organization?

B. Inventory

Using your organization's records inventory, please answer the following questions about a sampling of records series. You may use the records series indicated in the table below or substitute your own series.

1. Who is the current owner of the record series?
2. Where are the records located?
3. Which records schedule applies to the record series?

<u>Series Title</u>	<u>Description</u>	<u>Owner Name</u>	<u>Location (Bldg./Rm)</u>	<u>Retention Schedule</u>
Key Accountability Records	This series contains files relating to the accountability of keys issued, which includes active inventory of keys stating dates issued, names life & key numbers			
Supervisor Personnel Files	Personnel files kept by dept./div. Documents could include records relating to positions, authorizations, pending actions, forms, correspondence, and records on individual employees duplicated in or not appropriate for the Official Personnel File.			
Local Emergency Plan	Contains Local Emergency Response Plan generated for each building at BNL. It contains the original plan, procedures for an emergency situation, location of emergency shut offs, building floor plans, in/out door assembly areas and evacuation zone.			
Building Manager Records	This series consists of building management documentation. It includes documentation for room assignments, maintenance logs, and related correspondence. It is used for operations and building maintenance functions.			
Work Planning Control Records	Consists of ESH 1.3.6 work planning & control documentation for work projects rated as moderate or high & require a fully completed work permit (BNL F3093A). It includes the original, signed work permit, the job tracking log & the control procedures.			

4. How do you verify that the above information is accurate and up to date?
5. Does your organization have a time table for updating its records inventory, and what are the internal procedures for accomplishing this?
7. When was the organization's inventory last updated?

C. Maintenance

1. How do you know how long a record should be kept?
2. Identify the person(s) responsible for assuring that records are properly dispositioned upon termination of an employee or guest.

II. Records Storage and Retrieval

1. Where do you store inactive records?
2. How do you determine when records should be sent to storage?
3. What is the source for the specific information you need to retrieve records from the Records Holding Area?

III. Disposition

1. How does your organization dispose of records that have reached the end of their retention period?
2. How does your organization disposition records, at the end of a year or on termination of a project?

IV. Guidance/Awareness

1. What records management guidance, tools, and resources did you consult to answer the questions in the preceding sections?

V. Evaluation

Based on your responses to the above questions, please evaluate your organization's implementation of the Records Management System.

- A. Strengths: Describe areas in which your organization is fully responsive to the requirements of the Records Management System.
- B. Improvement Needs: Describe areas in which your organization needs to improve in responding to the requirements of the Records Management System.
- C. Evaluation Rating: (Circle One)

- 1 - Major gaps in assignment of responsibilities and meeting key requirements.
- 2 - Key responsibilities assigned and in early stages of meeting requirements.
- 3 - Requirements routinely met by assigned staff. Degree of implementation may vary across the organization.
- 4 - Requirements consistently met across the organization. Well integrated with other organizational processes.
- 5 - Awareness of requirements is high and implementation is seamlessly integrated with other organizational processes.

VI. Goals for Improvement:

A. Improvement Goals for your Organization

Please recommend goals to address the improvement needs identified above.

B. System Improvement Goals

Please recommend goals for improvement of the Lab-wide Records Management System (I.e. Improvements that ISD should consider making to the Records Management System)

Assessment Completed by: (Please sign below)

Records Representative/Date