

Summary of Changes
to
Procedure 200.4-1
Records Management Self-Assessment

Revised Version Issued as P200.4-1B

LM Procedure 200.4-1, Records Management Self-Assessment of 4/17/07, has undergone minor revisions. The procedure has been revised to reflect changes in definitions and formatting. Please replace LM Procedure 200.4-1A with LM Procedure 200.4-1B.

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U.S. Department of Energy Office of Legacy Management



Procedure: 200.4-1B

Effective: 5/19/08

SUBJECT: RECORDS MANAGEMENT SELF-ASSESSMENT

1. PURPOSE. To provide personnel with instructions for performing Records Management Self-Assessments.
2. CANCELLATION. Legacy Management (LM) Procedure 200.4-1A Records Management Self-Assessment, dated 4/17/07
3. REFERENCES.
 - a. 44 *United States Code* 29–35, Records Management
 - b. 36 *Code of Federal Regulations (CFR)* Chapter XII, Subpart B, Records Management
 - c. U.S. Department of Energy (DOE) Order 243.1, Records Management Program
 - d. DOE Guide 414.1-1A, Management Assessment and Independent Assessment Guide
 - e. DOE Guide 414.1-2A, Quality Assurance Management System Guide for Use with 10 CFR 830 Subpart A, Quality Assurance Requirements, and DOE Order 414.1C, Quality Assurance
 - f. DOE Order 414.1C, Quality Assurance
 - g. LM Procedure 200.4, Records Management
 - h. Records Management Self-Evaluation Guide, National Archives and Records Administration (NARA), 2001 Web Edition

INITIATED BY: Office of Business Operations
NO. OF PAGES/ATTACHMENTS: 8 pages, 2 attachments

4. DEFINITIONS.

- a. Assessment -- A review, evaluation, inspection, test, check, surveillance, or audit to determine and document whether items, processes, systems, or services meet specified requirements and perform effectively.
- b. Corrective Action -- Measures taken to improve quality or to eliminate conditions that lead to nonconformity. LM uses corrective actions to address findings included in Records Management Self-Assessment Reports.
- c. Electronic Recordkeeping System (ERKS) -- An electronic information system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. An ERKS is certified according to Department of Defense (DOD) Standard 5015.2-STD to ensure the records it maintains have sufficient authenticity and reliability to meet the agency's recordkeeping requirements.
- d. Finding -- A statement of fact relating to compliance or noncompliance with previously agreed-upon directives, relevant standards, or contractual or legal obligations. Findings should be supported by specific examples.
- e. National Archives and Records Administration (NARA) -- An independent Federal agency that provides guidance to Federal agencies on the management of records, determines the retention and disposition of records, stores agency records in records centers from which agencies can retrieve them, and preserves permanently valuable Federal records.
- f. Nonrecord Materials -- U.S. Government-owned informational materials excluded from the legal definition of records or not meeting the requirements of that definition. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.
- g. Office-Level Self-Assessment -- Review conducted at an LM office to determine whether the basic requirements of the Records Management program are being met; to highlight outstanding work, deficiencies, and issues that need to be addressed; and to prepare for a Program Self-Assessment by identifying areas that require attention. Findings and recommendations for corrective action should be provided to the designated Program Records Official (PRO) for evaluation and action, as necessary.
- h. Program Records Official (PRO) -- Individual who ensures that all LM Records Management practices are properly executed.
- i. Program Self-Assessment -- A periodic evaluation of LM's Records Management program. This assessment ensures that a Records Management system has been

put into place and that it meets Federal regulations for the management of records. It also ensures that records are created, maintained, and dispositioned according to NARA regulations and guidance; that permanent records are preserved and sent to NARA in a timely manner; that assessments of the records program are conducted with visible results; and that policy and guidance provides sufficient support to the program.

- j. Records -- All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of data in them.
- k. Records Coordinators -- Personnel who work with the Records Liaison Officer to provide support for LM records management activities.
- l. Records Liaison Officer (RLO) -- Individual(s) designated by the PRO to oversee the LM Records Management program in cooperation with the DOE Records Management Director.
- m. Self-Assessment -- A documented review of work conducted by individuals, groups, or organizations immediately responsible for performing the work. The assessment evaluates the strength of control systems designed to achieve business objectives.

5. QUALITY CONTROL.

- a. The Archives and Information Management (AIM) Team Leader, serving as the PRO, ensures that Records Management Program Self-Assessments and Office-Level Self-Assessments are conducted every 3 years or more frequently as warranted.
- b. The RLO reviews this procedure annually and as necessary to accommodate changing conditions within LM and to ensure compliance with applicable laws, regulations, and DOE requirements.

6. RESPONSIBILITIES.

- a. LM Managers and Directors are responsible for supporting Records Management Self-Assessment activities and ensuring that personnel are designated within their offices for Records Management activities.

- b. The PRO, Team Leader of AIM, is responsible for:
 - Providing guidance to the RLO concerning Records Management Self-Assessment Plans.
 - Approving Program Self-Assessment Plans before they are executed.
 - Providing the RLO with recommendations for possible records focus areas for Office-Level Self-Assessments.
 - Serving as the primary point of contact with the DOE Records Management Director in the Office of Chief Information Officer (OCIO) concerning Records Management Self-Assessment activities.

- c. The RLO is responsible for:
 - Conducting and overseeing Self-Assessments of the LM Records Management Program and Office-Level Records Management activities.
 - Identifying records focus areas for Office-Level Self-Assessments, consulting with the PRO to identify appropriate topics.
 - Maintaining plans, checklists, reports, and related documents for completed Records Management Self-Assessments according to the LM File Plan.
 - Organizing a Records Management Self-Assessment Team after the RLO determines that a Self-Assessment is appropriate. A Records Management Self-Assessment Team consists of the RLO and designated Records Coordinators.
 - Performing walk throughs and general surveillance of Records Management activities.

- d. The Records Coordinators designated by the RLO are responsible for conducting Office-Level Self-Assessment interviews and other Self-Assessment activities as guided.

7. TRAINING REQUIREMENTS. Personnel organizing or participating in Records Management Self-Assessment activities should be cognizant of the applicable areas within this procedure and DOE OCIO requirements for assessment activities.

8. DOCUMENT CONTROL.

- a. The Directives Manager shall maintain the official controlled version of this document in the LM ERKS.

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- b. The Directives Manager shall place the most current version of this procedure on the LM Intranet for employee use.
- c. Printed hard copies of this document shall be considered information-only copies.

9. PROCEDURE.

To achieve the goals of a comprehensive Records Management program, the Self-Assessment process divides into two sections: Records Management Office-Level Self-Assessment and Records Management Program Self-Assessment.

a. Records Management Office-Level Self-Assessments

An Office-Level Self-Assessment is conducted every 3 years or more frequently as warranted. Attachment A. illustrates the process for conducting an Office-Level Self-Assessment.

(1) The RLO:

- (a) Initiates an Office-Level Self-Assessment indicating whether the Self-Assessment is general in nature or identifies a records focus area (e.g., audiovisual records, correspondence records, Records Management procedures) for the Office-Level Self-Assessment. The RLO may consult with the PRO to identify the most appropriate topic for the focus area.
- (b) Develops the Self-Assessment Plan using Section A. of LM Form 200.1-6, Records Management Self-Assessment. The RLO determines the assessment type and identifies the scope, reference criteria, and schedule for the Self-Assessment. The plan also lists responsible personnel to participate in the Office-Level Self-Assessment.
- (c) Develops an Office-Level Self-Assessment Checklist using LM Form 200.1-7, Records Management Office-Level Self-Assessment Checklist as a template. The RLO develops several questions relating to general Records Management practices or to a specific records focus area, if one were identified.
- (d) Distributes the completed checklist to the designated Records Coordinators with necessary instructions for conducting the assessment.

- (2) The Records Coordinators:
 - (a) Interview LM-designated responsible personnel using a separate copy of the Office-Level Self-Assessment Checklist for each interview.
 - (b) Assist in other self-assessment activities as directed by the RLO.
- (3) The RLO:
 - (a) Reviews information gathered on the Records Management Office-Level Self-Assessment Checklists.
 - (b) Completes the post-assessment report (Section B. of LM Form 200.1-6, Records Management Self-Assessment). The report includes a summary of any commendable practices, corrective actions, and overall conclusions.
 - (c) Develops a Records Management Self-Assessment Corrective Action Plan within 30 days if any corrective actions were identified on the post-assessment report.
 - (d) Provides a copy of the completed Office-Level Self-Assessment Report to the PRO.
 - (e) Tracks to completion any corrective actions identified in the Records Management Self-Assessment Corrective Action Plan.
 - (f) Forwards the record copy of the Office-Level Self-Assessment material to the Records Coordinator, who maintains the information in the LM ERKS.

b. Records Management Program Self-Assessments

Attachment B. illustrates the process of conducting a Program Self-Assessment.

Every 3 years, or more frequently as warranted, the RLO initiates a Records Management Program Self-Assessment. To initiate the Program Self-Assessment:

- (1) The RLO:
 - (a) Develops a Records Management Self-Assessment Plan by entering information in Section A. of LM Form 200.1-6, Records Management Self-Assessment. The RLO determines the assessment type and specifies a scope for the Program Self-

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Assessment activity, appropriate reference criteria, responsible personnel to participate, and a Self-Assessment schedule.

- (b) Consults with the PRO or OCIO personnel as appropriate to resolve questions concerning Program Self-Assessment activities. The RLO also may decide to form a team of Records Coordinators to assist with Records Management Self-Assessment activities as necessary.
 - (c) Reviews LM Form 200.1-8, Records Management Program Self-Assessment Checklist and revises its contents as appropriate for the current Self-Assessment activity. The RLO reviews documentation from the Office-Level Self-Assessments completed within the past 3 years. The RLO may choose to emphasize topics from the Office-Level Self-Assessments when finalizing the checklist.
 - (d) Forwards the Program Self-Assessment Plan and Checklist to the PRO for review.
- (2) The PRO approves the Program Self-Assessment Plan and Checklist and works with the RLO to incorporate any revisions as necessary.
- (3) The RLO:
- (a) Interviews Office Directors, Records Coordinators, and other LM personnel, as appropriate, concerning the condition of the Records Management program in their areas. The RLO completes a separate Program Self-Assessment Checklist for each interview conducted. The RLO also may perform records walk throughs and general surveillance of Records Management activities.
 - (b) Compiles and analyzes information from the completed Records Management Program Self-Assessment Checklists.
 - (c) Summarizes information from the Program Self-Assessment activity in the post-assessment report (Section B. of LM Form 200.1-6, Records Management Self-Assessment). The post-assessment report should include a summary of any commendable practices, any proposed corrective actions, and overall conclusions.
 - (d) Develops a Records Management Self-Assessment Corrective Action Plan within 30 days if any corrective actions were identified on the post-assessment report.

- (e) Submits the Records Management Self-Assessment form with the post-assessment report section completed to the PRO.
- (4) The PRO approves the post-assessment report and works with the RLO to incorporate any revisions as necessary.
- (5) The RLO:
 - (a) Forwards a copy of the completed Records Management Self-Assessment form (including the approved Self-Assessment Plan and post-assessment report sections) to the DOE Records Management Director.
 - (b) Tracks to completion any corrective actions identified in the Records Management Self-Assessment Corrective Action Plan.
 - (c) Maintains Program Self-Assessment records in the LM ERKS.

10. ATTACHMENTS.

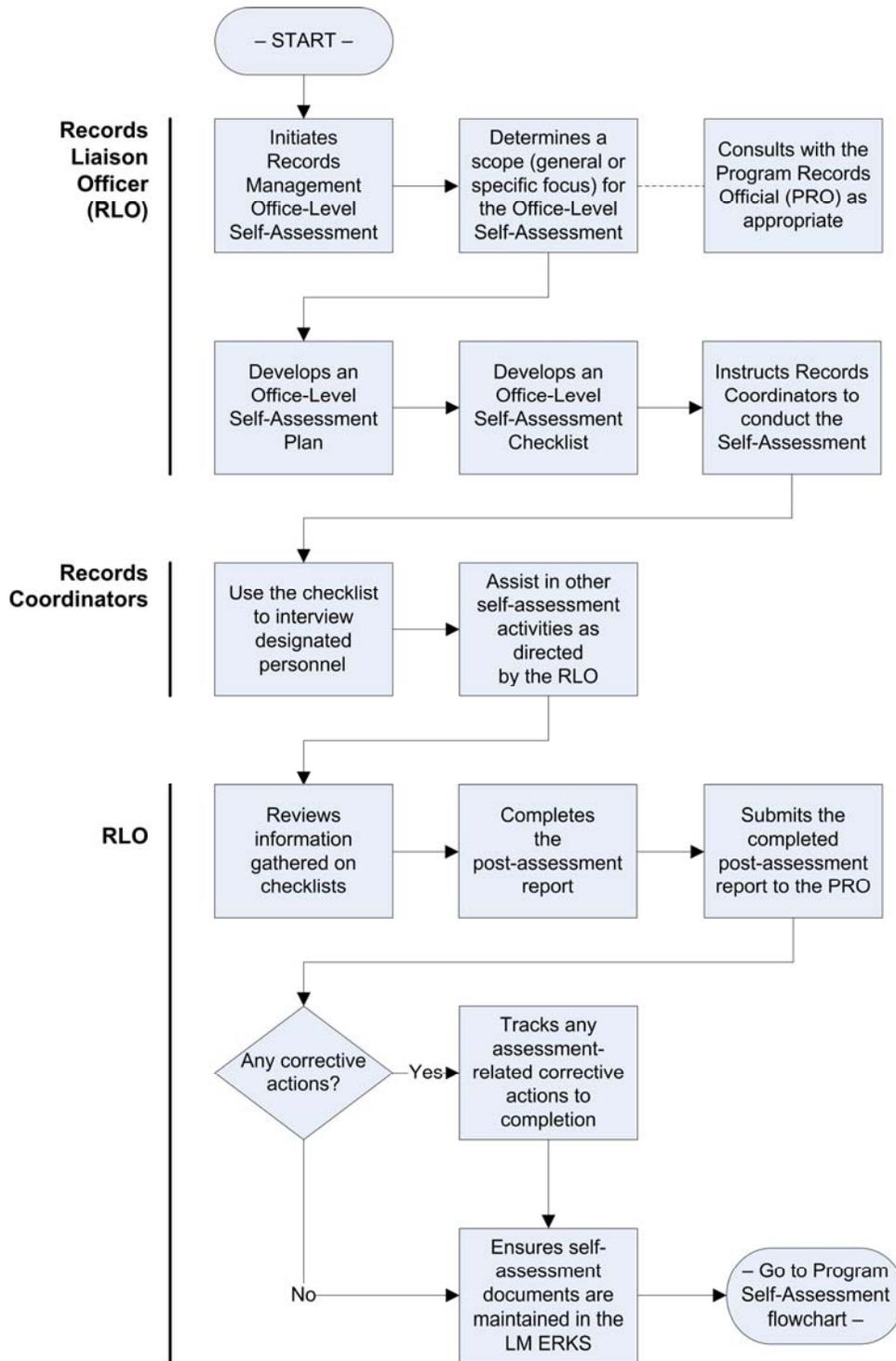
- a. Attachment A. – Office-Level Self-Assessment Flowchart
- b. Attachment B. – Program Self-Assessment Flowchart

Approved: Original signed by Celinda H. Crawford
Director
Office of Business Operations

Distribution: As required

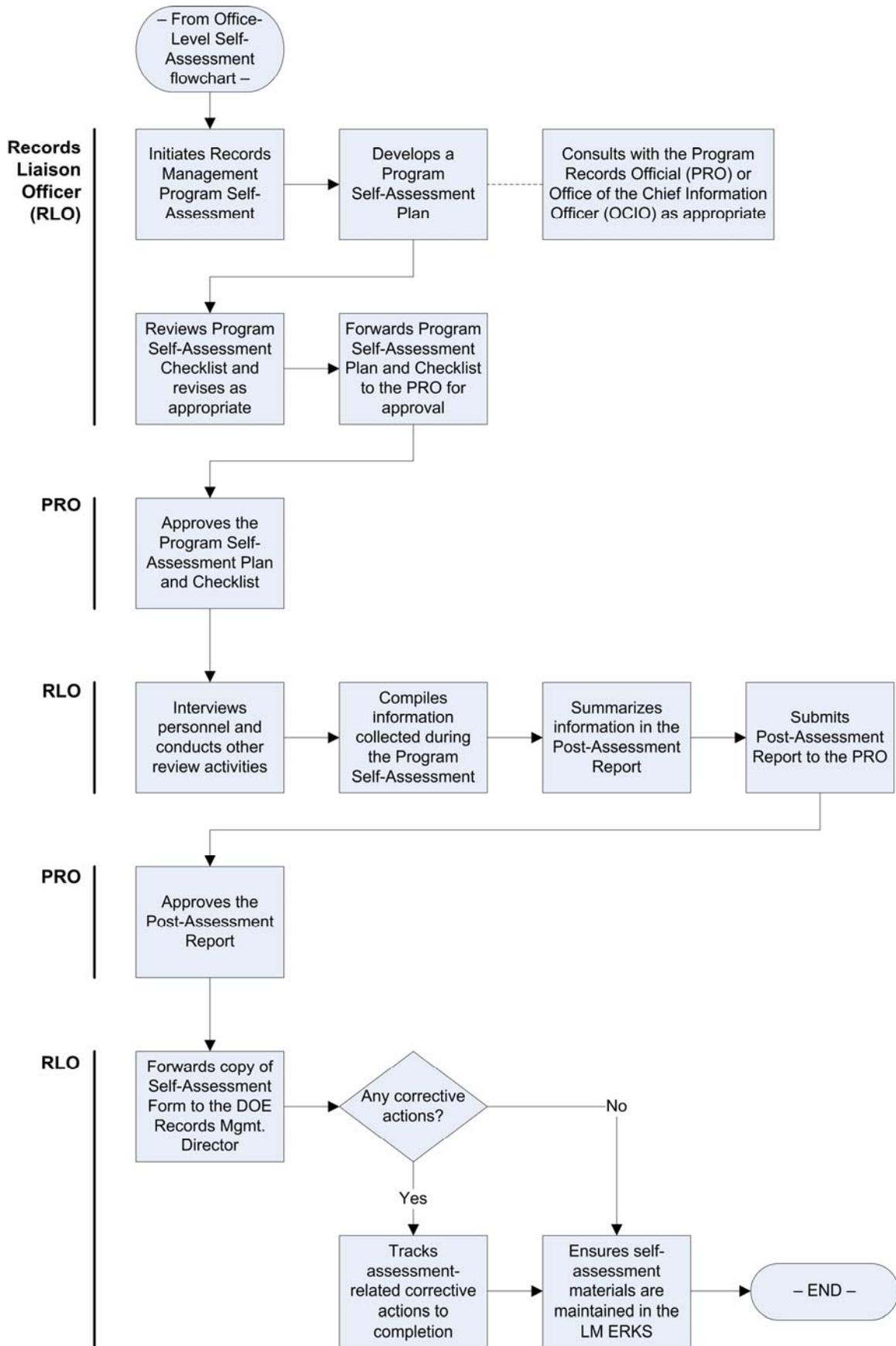
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Attachment A. – Office-Level Self-Assessment Flowchart



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Attachment B. – Program Self-Assessment Flowchart



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