

## Affiliated Archives Self-Assessment (2017)

1. Contact person / Position title:
2. Mailing address:
3. Facility location:
4. Contact phone:
5. Emergency phone:
6. Contact email:
7. Is your organization's affiliate status with NARA identified on your web site?  
Yes\_\_ [Please provide URL for page showing affiliation]  
No\_\_
8. How are researchers registered? Please check all that apply.
  - a. Entered into a computer system
  - b. Documented with a paper log
  - c. Provide government identification (e.g., driver's license or passport)
  - d. Issued a researcher card
  - e. Photographed
  - f. Researcher registration is not required
  - g. Other (please explain) [comment box]
9. What security procedures are in place to protect records in your public research room(s)?  
Please check all that apply.
  - a. Restrictions/limitations on personal belongings that can be brought inside research room
  - b. Researcher limited to one box on desk and one folder out of box at a time
  - c. Closed-circuit television (CCTV) monitoring
  - d. Staff monitoring
  - e. Tracking of researcher visits and record use
  - f. Exit inspections of personal belongings/scanning equipment
  - g. Other (please explain) [comment box]
10. Do all individuals who handle NARA records (e.g., staff, researchers) receive an orientation and/or training concerning records handling procedures? Yes\_\_ No\_\_
11. Do the NARA holdings in your custody include records exempt from release under the Freedom of Information Act (FOIA)? Yes\_\_ No\_\_

**Logic - If yes to 11, go to 12 and 13. If no, skip to 14.**

12. Briefly describe the NARA records in your holdings that are FOIA restricted. [comment box]
13. Have staff been trained on applying FOIA exemptions to NARA holdings? Yes\_\_ No\_\_
14. Do the NARA holdings in your custody include classified records? Yes\_\_ No\_\_
15. Do you screen for restricted records (FOIA restricted or classified) prior to granting access? Yes\_\_ No\_\_
16. How are restricted records protected from being served?
- a. Labels on boxes indicating restricted records
  - b. Stored separately
  - c. Other (please explain) [comment box]
17. Are any NARA records in special media formats (negatives, motion picture film, sound recordings, etc)? Yes\_\_ No\_\_

**Logic - If yes to 17, go to 18. If no, skip to 19**

18. Are there dedicated storage areas for special media records? Yes\_\_ No\_\_
19. If NARA records have been digitized or otherwise reformatted, please check all that apply:
- a) Microfilm available onsite
  - b) Digitized files online
  - c) Analog audiovisual service copies available onsite
  - d) Digitized audiovisual files available online
  - e) Following reformatting, original records have been removed from general circulation
  - f) Reformatted copies are being maintained and preserved
  - g) Other [comment box]
  - h) No NARA records have been digitized
20. If you have any NARA records that have not been digitized, is there a current project or plan to scan them? Yes\_\_ No\_\_

21. Is your repository still actively accessioning federal records? Yes\_\_ No\_\_

**Logic – If yes to 21, go to 22 and 23. If no, skip to 24**

22. Have all eligible accessions of federal records been reported to NARA? Yes\_\_ No\_\_
23. How are new accessions of NARA records documented and reported? Please explain in the space provided [comment box]
24. Does your archive maintain NARA holdings as their own separate entity? (i.e., NARA holdings are not physically intermixed with other collections) Yes\_\_ No\_\_

25. Has your archive changed the arrangement of NARA holdings before, during, or after processing? Yes\_\_ No\_\_
26. For NARA records in your care, please indicate if the following has been performed (please check all that apply):
- a. Rehousing has been performed on some records
  - b. Rehousing has been performed on all records
  - c. Rehousing needs to be performed on some or all of NARA records
  
  - d. Holdings maintenance has been performed on some records
  - e. Holdings maintenance has been performed on all records
  - f. Holdings maintenance needs to be performed on some or all of NARA records
  
  - g. Conservation treatment has been performed on some records
  - h. Conservation treatment has been performed on all records
  - i. Conservation treatment needs to be performed on some or all of NARA records
27. Do any NARA records have condition issues that affect safe handling and ability to provide safe access (e.g., fragile or brittle documents)? Yes\_\_ If yes, please explain. [comment box]  
No\_\_
28. Have any NARA records been damaged while at your archive? Yes\_\_ If you selected “yes”, please explain using the space below. [comment box]  
No\_\_
29. Has your archive removed/disposed of any record or non-record materials from its NARA holdings? Yes\_\_ No\_\_

***Logic – If yes to 29, go to 30. If no, skip to 31***

30. What materials were removed and why? Please explain using the space below. [comment box]

31. How are NARA records described by your institution? Please check all that apply.

- a. Paper finding aids
- b. Electronic finding aids
- c. Online catalog at your institution
- d. National Archives Catalog
- e. Not described in finding aid or online catalog
- f. Other [please describe]

32. Is there an accurate and current location registry documenting all archival storage space and container locations for your NARA holdings? Yes\_\_ No\_\_

***Logic – If yes to 32, go to 33. If no, skip to 34***

33. Please describe the system for tracking locations of archival containers. [comment box]

34. Please check all that apply. Records are stored in spaces that are:

- a. Temperature controlled (24/7)
- b. Humidity controlled (24/7)
- c. Free of natural light (i.e. no windows, skylights or other sources of sunlight)
- d. Inspected for pests
- e. Free of food and drink
- f. Cleaned on a regular schedule
- g. Used exclusively for storage of NARA records and similar permanent collections
- h. Free of water leaks or other situations that have damaged records or put records at risk of damage
- i. protected by a fire/smoke detection system
- j. equipped with sprinklers or any other forms of fire suppression

35. Does your repository have sufficient shelf or drawer space to properly house existing NARA records? Yes\_\_ No\_\_

36. Have any NARA records been stored at a location other than your repository's primary location (e.g., off-site storage, records center, etc.)? Yes\_\_ No\_\_

37. Are any original NARA documents currently (please check all that apply):

- a) on exhibit or display at your organization or institution
- b) on loan to or exhibited at another organization or institution
- c) with a vendor, contractor or at another location

38. Is there controlled access (i.e., secured entry/exit, badge or key lock) to stacks or other areas where records and holdings are stored? Yes\_\_ No\_\_

39. What security protocols do you have in place to protect the records from theft or loss while in use or in storage? Please check all that apply.

- a) Alarms
- b) Locks
- c) Guard service
- d) Closed-circuit television (CCTV)
- e) None
- f) Other (please explain)

40. Are any NARA holdings missing? Yes\_\_ No\_\_

**Logic – If yes to 40, go to 41. If no, skip to 42**

41. Please describe the missing NARA records and whether or not they were reported to NARA.  
[comment box]

42. Is there a process for identifying and protecting records vulnerable to theft or other loss that should be specially protected? Yes\_\_ No\_\_

**Logic – If yes to 42, go to 43. If no, skip to 44**

43. If yes, please describe [comment box].

44. Have all individuals (paid or unpaid, staff or contractors) who work directly with records or assist researchers in research rooms undergone background security checks? Yes\_\_\_ No\_\_\_

45. Is there a detailed and current series-level inventory of all NARA holdings in your custody? Yes\_\_\_ No\_\_\_

46. Are there processing backlogs for NARA records? Processing, in this instance, is defined as a series having had actions completed to meet the basic standards of physical and intellectual control while allowing the user to discover the records and request them for use, or receive a response as to why the records are not available (e.g., records are housed, arranged, labeled and described at the series level). Yes\_\_\_ No\_\_\_

47. Please list any unprocessed NARA series. [comment box]