

## Records Center Accreditation Specifications – Approved

### A. Staffing

1. Is staffing sufficient for adequate processing and preservation of materials?
2. Is there a designated records manager, whether the designee is part-time or full-time?
3. Has the designated records manager been trained to deal with records? *or* Does the designated records manager have access to someone with that training?
4. Is there an institutional committee whose terms of reference include records management?
5. Does the committee receive reports on the records center at least annually?

### B. Oversight

1. Are vital records (refer to WP BA 70 15) secure?
2. Is there an organizational plan for the records center?
3. Are retrievals and returns to the records center recorded?
4. Are there policies governing access to the records?

### C. Retention Schedule

1. Is the retention schedule regularly updated (i.e., within the last two (2) years)?
2. Is the retention schedule regularly applied to records?
3. Is the retention schedule in harmony with GC Working Policy BA 70 10?
4. How are electronic records included in the retention schedule?

### D. Physical Locations and Preservation

1. Is there an inventory of the holdings of the records center?
2. Is the storage space safe to use?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-maintained?
  - c. Is the storage space well-lit?
  - d. Are shelving units stable?
  - e. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas?
3. Does the physical location(s) allow for preservation of the materials?
  - a. *Fire Safety*
    - i. Is the records center room fireproof?
    - ii. Is there a fire alarm system in the records center?
    - iii. Is there a fire extinguisher in the records center?
    - iv. Is fireproof filing equipment used?
    - v. Are permanent records stored in a fireproof cabinet?
    - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe.
  - b. *Security*
    - i. Can access to the storage space be controlled?
    - ii. Is a sign-out/in procedure used for accessing the records center?
    - iii. Is access to the records center restricted?
    - iv. Is the records center secured against break-ins?
  - c. *Environment*
    - i. Is the storage space dry and watertight?
    - ii. Are there adequate and appropriate measures to control the level of humidity in the physical location?

1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist?
- iii. Does the records center have an acceptable temperature range for long-term storage?
- iv. Have measures been taken to prevent and protect against leaks?
- v. Have measures been taken to control termites, mice, and other pests?
- vi. Are acid-free boxes used to house records?
- d. *Accessibility of records*
  - i. Are storage spaces easily and rapidly accessible?
  - ii. Are storage spaces adequate for foreseen needs?
  - iii. Does the storage space allow for expansion of holdings?
4. Is there a good working relationship between the records center and the institutional IT department?
5. Are there disaster prevention and recovery policies and plans?
6. Do the disaster prevention and recovery policies and plans address electronic records?

Evaluators' Score Sheet - Records Center – Approved

**A. Staffing** (20 points total)

1. Is staffing sufficient for adequate processing and preservation of materials? (0-5 points)
2. Is there a designated records manager, whether the designee is part-time or full-time? (0-5 points)
3. Has the designated records manager been trained to deal with records? *or* Does the designated records manager have access to someone with that training? (0-5 points)
4. Is there an institutional committee whose terms of reference include archives and records management? (0-3 points)
5. Does the committee receive reports on the records center at least annually? (0-2 points)

Section A score: \_\_\_\_\_/20

**B. Oversight** (16 points total)

5. Are vital records (refer to WP BA 70 15) secure? (0-5 points)
6. Is there an organizational plan for the records center? (0-3 points)
7. Are retrievals and returns to the records center recorded? (0-3 points)
8. Are there policies governing access to the records? (0-5 points)

Section B score: \_\_\_\_\_/ 16

**C. Retention Schedule** (25 points total)

5. Is there a retention schedule? (0-5 points)
6. Is the retention schedule regularly updated (i.e., within the last two (2) years? (0-5 points)
7. Is the retention schedule regularly applied to records? (0-5 points)
8. Is the retention schedule in harmony with GC Working Policy BA 70 10? (0-5 points)
9. How are electronic records included in the retention schedule? (0-5 points)

Section C score: \_\_\_\_\_/ 25

**D. Physical Locations and Preservation** (109 points total)

1. Is there an inventory of the holdings of the records center? (0-3 points)
2. Is the storage space safe to use? *D2 subsection score: \_\_\_\_\_/ 25*
  - a. Are items clearly and permanently marked for easy retrieval? (0-2 points)
  - a. Is the storage space well-maintained? (0-5 points)
  - b. Is the storage space well-lit? (0-5 points)
  - c. Are shelving units stable? (0-10 points)
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas? (0-3 points)
3. Does the physical location(s) allow for materials to be preserved? *D3 subsection score \_\_\_\_ / 66*
  - a. *Fire Safety*
    - i. Is the records center room fireproof? (0-3 points)
    - ii. Is there a fire alarm system in the records center? (0-3 points)
    - iii. Is there a fire extinguisher in the records center? (0-3 points)
    - iv. Is fireproof filing equipment used? (0-3 points)

- v. Are permanent records stored in a fireproof cabinet? (0-3 points)
  - vi. Have any additional measures been taken to prevent and extinguish fires? Please describe. (0-1 point)
- b. *Security*
- i. Can access to the storage space be controlled? (0-3 points)
  - ii. Is a sign-out/in procedure used for accessing the records center? (0-3 points)
  - iii. Is access to the records center restricted? (0-3 points)
  - iv. Is the records center secured against break-ins? (0-3 points)
- c. *Environment*
- i. Is the storage space dry and watertight? (0-3 points)
  - ii. Are there adequate and appropriate measures to control the level of humidity in the physical location? (0-5 points)
    - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? (0-3 points)
  - iii. Does the records center have an acceptable temperature range for long-term storage? (0-3 points)
  - iv. Have measures been taken to prevent and protect against leaks? (0-3 points)
  - v. Have measures been taken to control termites, mice, and other pests? (0-3 points)
  - vi. Are acid-free boxes used to house records? (0-3 points)
- d. *Accessibility of records*
- i. Are storage spaces easily and rapidly accessible? (0-5 points)
  - ii. Are storage spaces adequate for foreseen needs? (0-5 points)
  - iii. Does the storage space allow for expansion of holdings? (0-5 points)
4. Is there a good working relationship between the records center and the institutional IT department? (0-5 points)
5. Are there disaster prevention and recovery policies and plans? Please describe. (0-5 points)
6. Do the disaster prevention and recovery policies and plans address electronic records? Please describe. (0-5 points)

**Section D score: \_\_\_\_\_/109**

## For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 70% to achieve approved status (minimum of 119 points).
- b. Questions are scored along a range of points, which means that partial points are possible.
- c. If the applicant does not hold electronic records, questions related to those records are optional.
- d. If A2 has a score of zero points, applicant is not eligible to achieve approved status until records manager has been designated.
- e. If A4 has a score of zero points, applicant is not eligible to achieve approved status until committee whose terms of reference include archives and records management is created.
- f. If B1 has a score of zero points, applicant is not eligible to achieve approved status until vital records are secure.
- g. If Section C has an overall section score of less than 60% [15 points is 60%], applicant is not eligible to achieve recognized status until the issues with the retention schedule have been addressed.
- h. If C1 OR C2 OR C3 have a score of zero points, applicant is not eligible to achieve approved status until retention schedule is created and implemented.
- i. If either D2 *or* D3 have a score of less than 80% [D2, 20 points is 80%; D3, 52.8 points is 80%], applicant is not eligible to achieve approved status until issues are corrected.

A section score: \_\_\_\_\_/20

B section score: \_\_\_\_\_/16

C section score: \_\_\_\_\_/25

D section score: \_\_\_\_\_/109

**Total score: \_\_\_\_\_/170**

*Observations:*

**Recommendation for status:** \_\_\_\_\_