

## Records Center Accreditation Specifications – Emerging

### A. Staffing

1. Is the Secretary directly responsible for the management of the records center?
2. Is there a designated records manager who reports to the Secretary?
3. Is there an institutional committee who oversees records management?

### B. Oversight

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

### C. Retention Schedule

1. Is there a retention schedule?
2. Has the retention schedule been updated within the last five years?
3. Is the retention schedule in harmony with GC Working Policy BA 70 10?
4. Does the retention schedule include electronic records?

### D. Physical Locations and Preservation

1. Is there an inventory of the holdings of the records center?
2. Is the storage space safe for staff to access?
  - a. Are items clearly and permanently marked for easy retrieval?
  - b. Is the storage space well-lit?
  - c. Are shelving units stable?
  - d. Are there ladders or stepladders, commensurate to the shelving, available to allow access to high areas?
3. Does the physical location(s) allow for materials to be preserved?
  - 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. Is humidity controlled in the records center?
      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?

- d. *Accessibility of records*
  - i. Are storage spaces accessible in an acceptable timeframe (within a week)?
  - ii. Are storage spaces adequate for current needs?
- 4. Is there a working relationship between the records center and the institutional IT department?
- 5. Are there disaster policies and plans? Please describe.

Evaluators' Score Sheet - Records Center – Emerging

**A. Staffing** (8 points total)

1. Is the Secretary directly responsible for the management of the records center? (0-3 points)
2. Is there a designated records manager who reports to the Secretary? (0-2 points)
3. Is there an institutional committee who oversees records management? (0-3 points)

Section A score: \_\_\_\_\_/8

**B. Oversight** (10 points total)

1. Are vital records (cf. WP BA 70-15) secure? (0-5 points)
2. Are retrievals and returns to the records center recorded? (0-2 points)
3. Is there an organizational plan for the records center? (0-3 points)

Section B score: \_\_\_\_\_/10

**C. Retention Schedule** (13 points total)

1. Is there a retention schedule? (0-3 points)
2. Has the retention schedule been updated within the last five years? (0-3 points)
3. Is the retention schedule in harmony with GC Working Policy BA 70 10? (0-5 points)
4. Does the retention schedule include electronic records? (0-2 points)

Section C score: \_\_\_\_\_/13

**D. Physical Locations and Preservation** (69 points total)

1. Is there an inventory of the holdings of the records center? (0-3 points)
2. Is the storage space safe for staff to access? D2 subsection score \_\_\_\_\_ / 11
  - a. Are items clearly and permanently marked for easy retrieval? (0-2 points)
  - b. Is the storage space well-lit? (0-3 points)
  - c. Are shelving units stable? (0-3 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 \_\_\_\_ / 51
  - 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. Is humidity controlled in the records center? (0-3 points)
    - 1. If not, what current measures or plans to introduce measures to control the level of humidity in the physical location exist? (0-2 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)
- d. *Accessibility of records*
  - i. Are storage spaces accessible in an acceptable timeframe (within a week)? (0-3 points)
  - ii. Are storage spaces adequate for current needs? (0-3 points)
- 4. Is there a working relationship between the records center and the institutional IT department? (0-2 points)
- 5. Are there disaster policies and plans? Please describe. (0-2 points)

**Section D score: \_\_\_\_/69**

### For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 60% to achieve emerging status (minimum of 60 points)
- b. Questions are scored along a range of points, which means that partial points are possible
- c. If Section A has a score of less than half the total number of section points [equal to or less than 3 points], applicant is not eligible to achieve emerging status until records manager has been designated and/or until committee whose terms of reference include records management is created
- d. If B1 has a score of zero points, applicant is not eligible to achieve emerging status until vital records are secure
- e. If Section C has an overall section score of less than 50% [6.5 points is 50%], applicant is not eligible to achieve emerging status until the issues with the retention schedule have been addressed
- f. If D2 has a score of less than 50% [5.5 points is 50%], or D3 has a score of less than 60% [30.6 points is 60%], applicant is not eligible to achieve emerging status until issues are corrected

A section score: \_\_\_\_/8

B section score: \_\_\_\_/10

C section score: \_\_\_\_/13

D section score: \_\_\_\_/69

**Total score: \_\_\_\_/100**

*Observations:*

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