

## Records Center Accreditation Specifications – Recognized

### A. Staffing

1. Is there a designated records manager, whether the designee is part-time or full-time?
2. Does the designated records manager have access to someone with training in records management?
3. Is there an institutional committee whose terms of reference include records management?

### 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 there a retention schedule?
2. Has the retention schedule been updated within the last two years?
3. Has the retention schedule been applied to records?
4. Is the retention schedule in harmony with GC Working Policy BA 70 10?
5. 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-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. 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 accessible in an acceptable timeframe (within 48 hours)?
  - 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 prevention and recovery policies and plans? Please describe.

**Evaluators' Score Sheet - Records Center – Recognized**

**A. Staffing** (10 points total)

1. Is there a designated records manager, whether the designee is part-time or full-time? (0-3 points)
2. Does the designated records manager have access to someone with training in records management? (0-2 points)
3. Is there an institutional committee whose terms of reference include records management? (0-5 points)

**Section A score:** \_\_\_\_\_/10

**B. Oversight** (15 points total)

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

**Section B score:** \_\_\_\_\_/15

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

1. Is there a retention schedule? (0-5 points)
2. Has the retention schedule been updated within the last two years? (0-5 points)
3. Has the retention schedule been applied to records? (0-5 points)
4. Is the retention schedule in harmony with GC Working Policy BA 70 10? (0-5 points)
5. How are electronic records included in the retention schedule? (0-5 points)

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

**D. Physical Locations and Preservation** (70 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* \_\_\_\_ / 52
  - 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? (0-3 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)
  - vi. Are acid-free boxes used to house records? (0-1 point)
- d. *Accessibility of records*
  - i. Are storage spaces accessible in an acceptable timeframe (within 48 hours)? (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 prevention and recovery policies and plans? Please describe. (0-2 points)

**Section D score: \_\_\_\_\_/70**

### For Evaluators

Remember:

- a. Applicant *must* achieve an overall minimum of 65% to achieve recognized status (minimum of 78 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 such are optional.
- d. If A1 has a score of zero points, applicant is not eligible to achieve recognized status until records manager has been designated.
- e. If A3 has a score of zero points, applicant is not eligible to achieve recognized 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 recognized status until vital records are secure.
- g. If Section C has an overall section score of less than 60% [15 points is 50%], applicant is not eligible to achieve recognized status until the issues with the retention schedule have been addressed.
- h. If C1 has a score of zero points, applicant is not eligible to achieve recognized status until retention schedule is created and implemented.
- i. If D2 has a score of less than 50% [5.5 points is 50%], or D3 has a score of less than 60% [31.2 points is 60%], applicant is not eligible to achieve emerging status until issues are corrected

A section score: \_\_\_\_\_/10  
 B section score: \_\_\_\_\_/15  
 C section score: \_\_\_\_\_/25  
 D section score: \_\_\_\_\_/70  
**Total score: \_\_\_\_\_/120**

*Observations:*

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