

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)

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

- 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**

Evaluators' Score Sheet - Records Center – Emerging

**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:** \_\_\_\_\_