

Departmental Records Management/Schedule Annual Assessment

Department Name: _____

Record Retention Schedule #: _____

Department Head: _____

Records Management Liaison: _____

Building and Room Number: _____

Date Completed: _____

Instructions

All BGSU departments and offices are advised to review their record retention schedules annually and update them whenever necessary, with approval from the University Records Manager. As departments change, so do their records. Please answer the following questions to the best of your ability. Contact the University Records Manager for assistance (2-9614; recordsmanager@bgsu.edu). Send completed form to the Records Manager (by e-mail or hard copy to 5th Floor, Jerome Library).

Part I: Records Retention Schedule

- 1) _____ **Does your department have a records retention schedule (RRS) approved and signed by the University Records Manager or University Archivist?**
- a. Yes
 - b. No
 - c. Unsure

- 2) _____ **Was the RRS signed over 5 years ago?**
- a. Yes
 - b. No
 - c. Unsure

- 3) _____ **Do you or any employee from the department require further training on how to use the RRS?**
- a. Yes
 - b. No

4) _____ **Is the department creating, maintaining, or in any way using records that are NOT listed on the RRS?**

Yes

a. List them here: _____

b. No

c. Unsure

5) _____ **Are any records listed on the RRS that are no longer being used by the department?**

Yes

a. List them here: _____

b. No

c. Unsure

6) _____ **Are the retention periods listed on the RRS meeting the needs of the department (or are records being kept too long, not long enough, etc.)?**

a. Yes, they meet our needs

No, they do not meet our needs

b. List record series: _____

7) _____ **Does the RRS identify each record's format (paper, electronic, microform, etc.)?**

a. Yes

b. No

8) _____ **Are any of the record series descriptions on the RRS unclear or is it difficult to identify/match documents with the records listed on the RRS?**

Yes

a. List record series: _____

b. No

Part II: Records Disposal Practices

1) _____ **Does the department document record disposals using a Certificate of Records Disposal when required according to the RRS?**

- a. Yes, and we forward one copy to the University Records Manager
- b. Yes, but we do not forward one copy to the University Records Manager
- c. No, my RRS does not indicate when to use a Certificate of Records Disposal
- d. No, what is a Certificate of Records Disposal?

2) _____ **Do you or any employee from the department require training on how and when to use Certificates of Records Disposal?**

- a. Yes
- b. No

3) _____ **Does the department contact University Archives to appraise materials for historic value when the RRS indicates to do so?**

- a. Yes
- b. No
- c. The RRS indicates to transfer/send materials to University Archives
- d. Other: _____

4) _____ **Is it clear on the RRS when to recycle, delete (for electronic records), shred, or contact University Archives once the retention period for each record is complete?**

- a. Yes
- b. No

5) _____ **Does the department use Iron Mountain to shred their confidential paper records, as indicated by the department RRS?**

- a. Yes
- b. No

Part III: Electronic Records Management

1) _____ **Does the department store electronic records in university supported systems, such as OnBase?**

- a. Yes, and we have the University Records Manager actively manage those records
- b. Yes, but we do not have the University Records Manager actively manage those records
- c. No, we do not use supported systems to store electronic records

2) _____ **If the department uses university supported systems to store electronic records, would it be interested in the University Records Manager applying records management best practices to those records, such as retention/disposition and defensible disposal?**

- a. Yes, please contact us with more information
No, but my department is aware of potential risks resulting from over-retention, unaccountable disposition, information loss, etc. and that electronic files are public records that are subject to e-discovery and litigation
- b. No, but please contact my department with more information regarding potential risks resulting from over-retention, unaccountable disposition, information loss, and poor electronic records management
- c.

3) _____ **Please list all university supported systems the department uses to store their electronic records:**

- a. _____

4) _____ **Are electronic records residing on shared network drives or employees' isolated hard-drives accurately listed on the RRS?**

- a. Yes
- b. No
- c. Unsure

5) _____ **Are electronic records being deleted when they meet their retention period?**

- a. Yes, and Certificates of Record Disposals are being created if the RRS indicates to do so
- b. Yes, but no Certificates of Record Disposals are being created
- c. No
- d. Unsure

Part IV: General Information

1) _____ Is the department aware of the Electronic Records Tutorial accessible through Canvas?

- a. Yes
- b. No

2) _____ Is the department interested in attending live training sessions covering records management best practices?

- a. Yes
- b. No

3) _____ Is the department aware that the University Records Center is available for free storage of non-permanent inactive records?

- a. Yes, and we store records there
- b. Yes, but we do not store records there
- c. No, please contact us with more information
- d. No, but we are not interested

4) _____ The records management program provides consultation on various topics, including filing systems (both paper and electronic), email management, preservation of permanent records, historic appraisals, storage of inactive records, purging records (both paper and electronic), digital imaging (scanning), management of electronic records, etc. Is there a specific records-related issue or project the department needs assistance with?

- a. Yes, the dept. needs help with: _____
- b. No

Thank you for taking the time to fill out the annual records management review for your department. Please feel free to add any comments, questions, concerns, etc. The department will be contacted once this review has been sent to and assessed by the Records Manager (recordsmanager@bgsu.edu).