



Department of Archives & History

RECORDS MANAGEMENT SELF-ASSESSMENT TOOL

Introduction

Purpose—Vj g'r wtr qug"qh'vj ku'ugrh/cuuguuo gpv'ku'vq'gxcnvcg'j qy 'y gm' { qwt'ci gpe { 'o cpci gu'ku'r wdike'tgeqtf u'cpf "vq'kf gpvkh' 'ctgcu'qh' ko r tqxgo gpv'vq'lpqtr qtcvg'lpvq' { qwt'tgeqtf u'o cpci go gpv'r rcp0kphqto cvkqp'htqo 'vj ku'wtxg { 'ecp'dg'wugf 'vq'etgcvg'lpvgtprnt'geqtf u' o cpci go gpv'r qrlkgu'cpf 'r tqegf wtu0"

You are under no obligation to submit this survey to the South Carolina Department of Archives and History0J qy gxgt.'kh' { qw'ej qqug" vq.'vj g'Tgeqtf u'O cpci go gpv'Qhkeg'ecp'vckqt'cp'lp/r gtuqp'qt'xkt wcn'r t gugpvcvqp'vq'cf f tguu'cp { 'eqpegtpu' { qw'o c { 'j cxg0"

Ugpf "vj g'eqo r rgyvf "cuuguuo gpv'vq'[to B uef cj 0e0 qx](#)"vq'j cxg" { qwt'eqpegtpu'cf f tguugf 0"

Instructions for Completion

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40Eqo r rgyv'cmi's wguvqpu0F gwckgf "cpuy gtu'y km'tguwn'lp'cp'ceewtcvg"cuuguuo gpv0Vj ku'y km'cnu'kf gpvkh' 'y j cv'ku'dgkpi "f qpg'y gm'kp { qwt'r tqi tco "cpf 'y j cv'ctgcu'ecp'dg'ko r tqxgf 0

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SECTION I: STAFF

Item	Question	Answer	Action	Improvements
	Have Records Management Responsibilities been formally delegated to staff?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Identify Chief Administrative Officer: _____ Identify Designated Records Officer _____ Identify Staff with Records Management Responsibilities (See Appendix A)	
1.2	Is staff familiar with the South Carolina Public Records Act – Title 30?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Access the Public Records Act: South Carolina Public Records Act	
1.3	Is staff familiar with the General Retention Schedules published by the South Carolina Department of Archives and History?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Access the General Retention Schedules: General Retention Schedules	

1.4	Is staff familiar with Specific Retention Schedules as published by the South Carolina Department of Archives and History?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Access the Instruction for Specific Schedules: ARM-1 Instructions	
1.5	Is the agency aware of any Specific Schedules they may have?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no, contact the Records Management Office: rm@scdah.sc.gov	
1.6	Are the agency's specific retention schedules current and active?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.7	Does Staff know why a Specific Schedule is created?	<input type="checkbox"/> Yes <input type="checkbox"/> No	How to Establish Records Retention Schedules How To Conduct a Records Inventory	

1.8	Does Staff know the process to create a Specific Schedule?	<input type="checkbox"/> Yes <input type="checkbox"/> No	How to Establish Records Retention Schedules How To Conduct a Records Inventory	
1.9	Does the Staff understand the process of revising or rescinding specific retention schedules?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Access Forms at: ARM-16: Schedule Revision Form Instructions for ARM-16 Form ARM-17: Schedule Rescission Form Instructions for ARM-17 Form	
1.10	Are Records Management responsibilities included in staff duties?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Update Job Position Descriptions and Roles if able.	
1.11	Is the Records Manager involved in development of micrographic, electronic record keeping, and document imaging systems?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Coordinate with Information Technology and Senior Management to identify records that are: <ul style="list-style-type: none"> • originated digitally • records that can be digitized and disposed of. • records that must maintain a physical document. 	

1.12	Are Senior Officials and Program Administrators briefed on records management and handling of records?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
1.13	Have staff attended records management training within the past three years?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Contact the SC Department of Archives and History Records Management Department to discuss Records Management Training opportunities: rm@scdah.sc.gov	
1.14	Is your agency aware of Training offered by the South Carolina Department of Archives and History	<input type="checkbox"/> Yes <input type="checkbox"/> No	Contact the SC Department of Archives and History Records Management Department to discuss Records Management Training opportunities: rm@scdah.sc.gov	
1.15	Is Records Management Training made available to all staff?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

SECTION II: RECORDS CREATION AND MAINTENANCE

Item	Question	Answer	Action	Improvements
2.1	What Public Records are created in the regular business of the agency?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Establish procedures that identify the properties of records to include type of document, name, date created, and date due to be destroyed.	
2.2	Staff is aware of where Public Records are stored?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Familiarize staff with storage spaces by: <ul style="list-style-type: none"> • Conduct familiarization tours • Place printed maps of storage areas, to include types of records stored, in public places 	
2.3	Is the State Record Center (for those that apply) used to store inactive records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	For more information, visit the South Carolina Department of Archives and History's State Records Center page at: SCDAH State Records Center	

2.4	Can staff can locate files in absence of the Records Manager?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
2.5	Have policies been established for managing public records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Store the South Carolina Department of Archives and History regulations and any internal records policies in one location and ensure staff is aware of how to access that information	
2.6	Have offices or departments created finding aids (Indexes) to assist with the access of records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Create indexes of records ensuring data captured aids in efficiently locating and retrieving records.	
2.7	Are classifications of records standard throughout your agency?	<input type="checkbox"/> Yes <input type="checkbox"/> No	The classification of records is the process in which documents are organized by type and arranged using a standard identifier (alphabetically, numerically, by serial number, etc.)	
2.8	Are temporary and permanent records separated?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

2.9	Procedures exist on the handling of confidential or sensitive data or information?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Establish and implement procedures for the storage of restricted records and ensure those procedures are published and visible.	
2.10	Staff has identified Vital Records	<input type="checkbox"/> Yes <input type="checkbox"/> No	Vital Records: Any records that are necessary (vital) for agency business. For example, these are records that would need to be the first salvaged following a disaster and the location of these records should be noted in an agency disaster preparedness plan.	
2.11	Is there a plan in place to protect vital and permanent records in case of an emergency?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Resources: Emergency Response Plan NEDCC Emergency Response Plan Emergency Supplies: Harvard - Recommended Emergency Supplies Disaster Equipment Checklist: Disaster Equipment Checklist	
2.12	Staff conducts an inventory of records periodically.	<input type="checkbox"/> Yes <input type="checkbox"/> No	South Carolina Department of Archives and History Record Inventory Form: ARM-1 Record Inventory Form South Carolina Department of Archives and History Record Inventory Form Instructions: ARM-1 Instructions	

2.13	Inventories cover records in all formats and mediums.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>South Carolina Department of Archives and History Record Inventory Form: ARM-1 Record Inventory Form</p> <p>South Carolina Department of Archives and History Record Inventory Form Instructions: ARM-1 Instructions</p>	
2.14	<p>Inventories cover records in the following categories:</p> <ul style="list-style-type: none"> - Active - Inactive - Temporary - Permanent 	<input type="checkbox"/> Yes <input type="checkbox"/> No		
2.15	Does your agency use services from a vendor or third-party provider?	<input type="checkbox"/> Yes <input type="checkbox"/> No		<p>If yes:</p> <p>Name of Vendor: _____</p> <p>Point of Contact: _____</p>

SECTION III: STORAGE

Item	Question	Answer	Action	Improvements
3.1	Are offices aware of the state regulations for Storage Facility Standards?	<p style="text-align: center;">Yes</p> <p style="text-align: center;">No</p>	<p>Refer to South Carolina Department of Archives and History regulations on storage for standards:</p> <p>South Carolina Storage Regulations</p>	
3.2	Are records housed in storage areas that are appropriate for that purpose?	<p style="text-align: center;"><input type="checkbox"/> Yes</p> <p style="text-align: center;">No</p>	<p>Refer to South Carolina Department of Archives and History regulations on storage for standards:</p> <p>South Carolina Storage Regulations</p>	
3.3	Do storage areas have appropriate environmental and security measures?	<p style="text-align: center;"><input type="checkbox"/> Yes</p> <p style="text-align: center;"><input type="checkbox"/> No</p>	<p>Identify by checking the appropriate box:</p> <p><input type="checkbox"/> Environment Controls (HVAC)</p> <p><input type="checkbox"/> Environment Monitoring</p> <p><input type="checkbox"/> Light Controls (Blinds/Timers/UV Filter)</p> <p><input type="checkbox"/> Security Measures (Locks/Alarms)</p> <p><input type="checkbox"/> Fire Safety and Suppression Systems</p> <p>Fire Safety and Suppression System</p> <p><input type="checkbox"/> Pest Control</p>	

3.4	Are storage areas able to receive and house large quantities of future records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If no: <input type="checkbox"/> Identify records that have met their retention and can be destroyed <input type="checkbox"/> Identify records that can be digitized and the physical record destroyed <input type="checkbox"/> Identify appropriate alternate storage sites	
3.5	Does your agency have enough supplies on hand to address emergencies?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Resources: Emergency Response Plan NEDCC Emergency Response Plan Emergency Supplies: Harvard - Recommended Emergency Supplies Disaster Equipment Checklist: Disaster Equipment Checklist	
3.6	Are records clearly organized and labeled?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

3.7	Are physical records held by the agency secure from unauthorized access?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Ensure adequate measures are in place to protect files from unauthorized access or theft. This may be through limiting public access to your office areas or securing files within the areas.	
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SECTION IV: ELECTRONIC RECORDS/ ELECTRONIC MAIL (E-MAIL)

Item	Question	Answer	Action	Improvements
4.1	Are electronic records part of the overall records management program?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Identify which formats are used: <input type="checkbox"/> PDF <input type="checkbox"/> PNG <input type="checkbox"/> JPEG <input type="checkbox"/> MP4 <input type="checkbox"/> GIF Other: _____	
4.2	Does your agency capture records using an electronic document management system?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Identify the name of Document Management System: _____	
4.3	Does your agency generate databases using an electronic information system?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Identify the name of Electronic Information System: _____	

4.4	Is your staff aware of the guideline issued by the South Carolina Department of Archives and History on electronic records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>The South Carolina Department of Archives and History Electronic Records Management Guidelines can be found here:</p> <p>SCDAH Electronic Records Guidelines</p>	
4.5	Does your agency have established policies and procedures for managing electronic and email records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>The South Carolina Department of Archives and History Electronic Records Management Guidelines can be found here:</p> <p>SCDAH Electronic Records Guidelines</p>	
4.6	Does your agency know the proper steps and documentation required to authorize destruction of electronic records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>Informational Leaflets on Electronic Records</p> <p>Leaflet #13: Public Records Stored as Digital Images</p> <p>Leaflet #29: Born-Digital Public Records</p> <p>Leaflet #30: Text Messages Retention and Disposition</p> <p>Report on Records Destroyed Form (ARM-11)</p> <p>Instructions for ARM-11 Form</p>	

4.7	Does your Records Manager and IT Specialist coordinate Records Management Practices for your agency?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.8	Is metadata captured for electronic records to ensure that the records remain retrievable, interpretable, authentic, over time?	<input type="checkbox"/> Yes <input type="checkbox"/> No	(Metadata is the information that describes the record), such as the name of the author, the date it was created, the title of the document, the date it was revised or modified, etc.)	
4.9	Has your agency's electronic records been migrated to a new database or electronic information system (EIS) within the past 10 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.10	Does your agency store secured backups of electronic records in an off-site location?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

4.11	Does your agency apply a standardized file naming convention or organizational structure when managing electronic records?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.12	Do Records Officer or IT specialists routinely review and update file formats to ensure long-term accessibility?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.13	Has your agency established procedures for handling electronic records that contain confidential or personally identifiable information (PII)?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

<p>4.14</p>	<p>Has your staff or agency representative referred to the Email Management Leaflet in the SCDAH Electronic Records Management Guidelines?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>South Carolina Department of Archives and History Policy on Email Management</p> <p>Email Management</p>	
<p>4.15</p>	<p>Has your agency developed an internal email management policy, which includes information on preservation, access, privacy and other related topics?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		

SECTION V: DISPOSITION

Item	Question	Answer	Action	Improvements
5.1	Are agencies familiar with the ARM-11, ARM-12, ARM-13, and ARM-14 forms and know how to use them?	<input type="checkbox"/> Yes <input type="checkbox"/> No	The South Carolina Department of Archives and History forms can be located at: SC Dept. of Archives and History Forms	
5.2	Does the Agency use the General and Specific Retention Schedules to effectively manage their records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Access Schedules at: General Retention Schedules	
5.3	Is the agency aware of the South Carolina Department of Archives and History policies and procedures on Transferring Records?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Policies and Procedures on Transferring Records can be found at: State Records Center	

5.4	Are confidential documents, including documents with personal information, disposed of securely?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
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Appendix A

Records Management Staff

Agency Records Officer/Primary Records Contact:	
Name:	Title:
Email:	Phone Number:

Departmental Records Liaisons:	
Name:	Title:
Email:	Phone Number:
Name:	Title:
Email:	Phone Number:
Name:	Title:
Email:	Phone Number:
Name:	Title:
Email:	Phone Number: