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Records Management ISCR DAT3 Self-Assessment

Please use this form to assess your office's compliance with Ohio State University's Records Management Policy and to guide your Information Security Control Requirement DAT3 review. Consider paper, electronic, and any other records formats as you complete the form. Use the comment field to expand on your compliance practices response, or make note of where improvements or assistance are needed. Submit the form to lib-records@osu.edu for university records manager approval.

Office/Department/Unit: **Assessment Date:**

Name of person completing assessment: **Signature:**

Position of person completing assessment: **Email:**

Name of senior manager approving review: **Signature:**

Position of senior manager: **Email:**

University records manager: **Approval Date:**

Part I – ISCR DAT3 Annual Review

The following series of questions and comments should be completed and submitted for the annual records management review, as required in DAT3. The results must be approved by senior unit management and University Records Management.

Below is a summary of the Information Security Control Requirement DAT3:

A. Review the applicable university records retention schedules to determine if there have been any changes;

B. Assess if there have been any organizational, technology, or regulatory changes that would change the organization's records retention requirements;

C. Verify that records are not being discarded or destroyed before the authorized disposition date;

D. Ensure the routine destruction of records once the retention period, authorized via retention schedules, has passed;

      i. verify certificates of records destruction are submitted to University Records Management prior to records destruction; or

      ii. work with University Records Management to ensure the system captures and can report on appropriate destruction metadata; and

E. Assess whether the organization needs to take action to be in compliance with all applicable record retention requirements.

Note: In responding to the questions below, it is important to reach out to managers, supervisors, administrators, administrative assistants and others who have a responsibility for and knowledge of the records management processes as part of unit operations.

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DAT3 Control	Questions	Yes	No	Answers/Comments/Questions

A	Does your office have a unit-unique retention schedule?
	  a. If yes, when was your retention schedule last created or updated?
	  b. If no, do all of your unit's records fall under record series listed on the OSU General Records Retention Schedule?			

A, B	Does your unit-unique retention schedule need updated or should one be created?
	  a. Are there records that your office creates or maintains that are not covered under a retention schedule (unique or general)?
	  b. Are there records on your retention schedule that you no longer create or maintain?
	  c. Have there been any organizational or technology changes that affect retention requirements?			

A, B	Within the last 12 months have any laws or regulations changed that could affect retention periods on your retention schedule? a. If yes, what are the citations?			
C	Have records been destroyed/deleted prior to the expiration of the appropriate retention period in your retention schedule?			
D	Have Certificates of Records Destruction been submitted to and approved by University Records Management prior to each destruction, including destruction of records stored offsite and/or electronic records deletions?			
C, D	Are electronic records, structured and unstructured, regularly disposed of when the retention period has been met?			

C, D	Do any systems or vendors have auto-delete, overwrite or disposition turned on?
	  a. Is this in line with current retention schedules?
	  b. Can a disposition report be generated from the system?			

E	Is your office applying retention schedules and records management principles to *all* University records, regardless of media or format (i.e., paper, electronic, electronic communications, etc.?)			
E	Are records in office files, shared servers, desk drawers, individual computers, portable media, and information systems (on-premise, hosted, cloud, etc.) in compliance with the retention schedule?			

Part II – Additional Records Management Assessment (optional)

The following questions are not required as part of the ISCR DAT3 Records Management review, but will help your unit work toward higher Records Management Policy and ISCR compliance; mature your records management program; and identify areas of risk to be addressed. Records Management will also use responses to this portion to better guide the direction of our services.

Retention Schedules	Yes	No	Comments
Does your unit have an accrediting body? (and if so, please attach a copy of any guidelines/standards.)			
If yes, which accreditation body?			
If yes, does the accrediting body have records retention standards?			

Disposition	Yes	No	Comments
Are records being retained (physically or electronically) longer than the retention schedule specifies for a given record?			
If yes, what is the reason for retaining the records longer?			
Do your electronic record-keeping systems have the functionality to query records eligible for disposition or apply automated disposition?			

Disposition (cont.)	Yes	No	Comments
Are inactive paper/hardcopy records being sent to an off-site storage facility?			
If yes, which facility?			
Are the records being destroyed when retention has expired?			
Are CRDs being submitted to University Records Management before destruction is requested?			
Is the vendor sending certificates of destruction once they have destroyed the requested records?			
Does your office routinely transfer records to the University Archives when indicated on the retention schedule?			

Media Formats/Filing Structures/Naming Conventions	Yes	No	Comments
When your office creates or receives records, do faculty and staff know where to file them?			
Does your office have a centralized, structured filing system for electronic records?			

Media Formats/Filing Structures/Naming Conventions (cont.)	Yes	No	Comments
Does your office follow a standard naming convention for electronic files?			
Can your office quickly find information when you need it?			
Does your office routinely reformat records?			
Scan			
Print			
Microfilm			
What systems are electronic records stored in? (ex. Teams, Shared Drive, Outlook, OneDrive, Carmen, OnBase, etc.)			

Security and Compliance	Yes	No	Comments
Has each record series on your retention schedule been classified S1-S4 according to the Institutional Data Policy?			
Are any records currently under any preservation hold?			

Security and Compliance (cont.)	Yes	No	Comments
Do you have a way of tracking records under preservation holds, including records of separated or transferred employees? (Electronic systems, paper, offsite storage, etc.)			
Is there a process for releasing records when a hold is lifted?			

Responsibility and Training	Yes	No	Comments
Does your office have records management training for new employees?			
Is records management training needed?			
Does your unit have procedures for managing the records of separating employees?			
Did someone in your unit attend Paper & Bytes within the last 12 months?			
If yes, who?			

Responsibility and Training (cont.)	Yes	No	Comments
Do you have a records management unit-ambassador to the University Records Management Program?			
If yes, who?			

Key Documents:

- Records Retention Schedule
- Certificates of Records Destruction
- Unit Policies and Procedures:
    - General records management
    - Separation procedures
    - Filing structure
    - Naming conventions

https://library.osu.edu/osu-records-management

https://library.osu.edu/osu-records-management/guidance

Please reach out to the University Records Team with any questions:

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