

I AGENCY RECORDS MANAGEMENT COORDINATOR (RMC) CHECKLIST

Instructions: Please indicate your response by checking either “Yes” or “No”.
If additional comments are helpful, use the space provided.

A. Records Management Coordinator (RMC)

	Yes	No
1. Has responsibility for coordinating the records management program been duly assigned by the chief executive or the chief administrative officer? Comments:		
2. Has an agency RMC “alternate” also been appointed? Comments:		
3. Did the agency RMC receive Records Management one-day training at the State Records Center within the last twelve months? If not, is the training scheduled? Comments:		
4. As the agency Records Management Liaison, does the RMC attend the “All-Agency RMC Staff Quarterlies” (organized by CalRIM) on a regular basis? Comments:		
5. Has the RMC attended Records and Information Management forums, seminars, and/or supplier presentations? Comments:		
6. Has the RMC brought program people along to Records and Information Management forums, seminars and/or supplier presentations? Comments:		
7. Is the RMC executing his/her duties in accordance with a goal oriented records management program? Comments:		
8. Is the RMC notified of all agency projects involved with the creating, storing and managing of paper and electronic records? Comments:		
9. Is the department availing itself of the records management information on CalRIM’s web-site www.pd.dgs.ca.gov ? Comments:		
10. Have controls been established to ensure that replacement equipment is offered to DGS Surplus Property re-utilization program? Comments:		

B. Records Retention Schedule (RRS)

1. Does the agency RMC have access to a Records Management Reference Guide binder? If not contact CalRIM at (916) 375-4407. Comments:		
2. Does the agency RMC have access to a Records Retention Handbook? If not, it can be down loaded from the CalRIM website: www.pd.dgs.ca.gov Comments:		
3. Does the agency RMC have access to the Records Retention Guidelines? For hardcopies call CalRIM at (916) 375-4407. Comments:		
4. Are all of the department's records retention schedules current? Current:		
5. Have all records, both paper and electronic, been identified on an approved and current records retention schedule? Comments:		
6. Do the retention schedules mandate minimum retention of records, consistent with the law (codes, regulations) and operating requirements? Comments:		
7. Have responsible individuals been trained/oriented and do they understand their responsibility for applying retention instructions reflected on the RRS? Comments:		
8. Is there a thorough review process in place to insure that RRSs are complete and accurate, prior to their submission to CalRIM? Comments:		

C. Annual Records Management Activities

1. Have all the agency records been inventoried with follow-ups conducted annually? Comments:		
2. Are records files purged on a regular basis (quarterly, annually, etc.)? Comments:		

Annual Records Management Activities *continued...*

	Yes	No
3. Are annual activity reports prepared on the quantity of records held, destroyed, transferred to the State Archives and/or sent to the records center for storage? Comments:		
4. Do the activity reports include significant records management activities and accomplishments, such as, new integrated document management applications? If “YES” then, please give an example. Comments:		
5. Is micrographic and imaging data being collected annually? Comments:		
6. Is the overall demand for paper and storage space diminishing in your agency? Comments:		

D. Electronic Records and Resources *Check out CalRIM’s NEW “Electronic Records Management Handbook” online at: www@pd.dgs.ca.gov

1. Does the department include the RMC in discussion and preparation for document management applications? Comments:		
2. Is the department currently, or in the near future, implementing any document conversion applications? Comments:		
3. Is the department currently, or in the near future, implementing any electronic workflow applications? Comments:		
4. Has the department used or considered using a State Master Services Agreement (MSA) consultant to improve its records management program? If “YES” then list consultants used below. Comments:		
5. Could the department use CalRIM’s assistance with the MSA Program for planning and/or implementing other applications? Comments:		

Electronic Records and Resources *Continued...*

	Yes	No
6. If e-records are being migrated from one format to another, is the migration accounted for in the RRS? Comments:		
7. Are e-records, such as word processing documents, spreadsheets and e-mail, being protected from accidental destruction? Comments:		
8. Are e-documents and e-records, that are classified as vital records being properly backed-up and/or stored offsite? Comments:		