COMPLIANCE AND ELECTRONIC RECORDS SELF-WARRANTY FORM

The completion of this form by all signing employees signals that all employees will adhere to the rules set forth in College policy and procedure. Furthermore, this section is to be used as a self-evaluation tool to ensure that electronic records produced by the College are created, reproduced, and otherwise managed in accordance with guidelines for electronic public records published by the North Carolina Department of Natural and Cultural Resources.

Each signatory should initial each element for certification, print their name on the Approved by line, fill in the job title, and sign and date the form.

IT Professional

The IT Professional is the person responsible for providing technical support to the records custodians and who may be involved in infrastructure and system maintenance. The IT Professional certifies that:

Audit trails document the identity of the individual who creates, duplicates, modifies, or otherwise prepares the records, what actions are taken by the individual during the course of the process, when these actions are taken, and what the results of these actions are.

Audits:

- are performed periodically to confirm that the process or system produces accurate results.
- confirm that procedures followed are in accordance with the College's documentation.
- are performed routinely on files to ensure no information has been lost.
- are performed by an independent source (i.e., persons other than those who create the records or persons without an interest in the content of the records. Acceptable sources may include different department or authorized auditing authority).
- are adequately documented.
- _____ The process or system hardware and software are adequately documented.
- Permanent records conform to the requirements of Procedure 7.3.1 Electronic Records Retention.
- Backup procedures are in place and comply with the requirements of Procedure 7.3.1 Electronic Records Retention.
- _____ Successful disaster recovery backup is completed at least once every two years.

Approved by:	Date:	
Title:		
Signature:		

<u>College Records Custodian</u> The College Records Custodian coordinates records management training and compliance. The College Records Custodian certifies:

	 The records created or duplicated by electronic means in this office are prepared in accordance with these guidelines as indicated by the following statements: Quality - Records are legible, accurate, and complete. The records are produced or reproduced as part of a regularly conducted activity. The records conform to the requirements of Procedure 7.3.1 – Electronic Records Retention. Detailed, documented procedures are in place and followed when the records are created, copied, modified, or duplicated. The person who creates, copies, modifies, or duplicates records receives training on detailed system procedures prior to records preparation. Details of the training received are adequately documented through written policies and procedures. Employees sign training records after receiving training. 		
	This institution will comply with the requirements of Procedure 7.3.1 – Electronic Records Retention.		
	Affected records creators will be trained on the proper creation and maintenance of electronic records.		
	aged records will be periodically audited for accuracy, readability, and reproduction babilities before the original documents are destroyed.		
	Participation in the design and implementation of campus electronic records initiatives.		
Appro	oved by: Date:		
Title:			
Signat	ture:		

AUTHORIZATION TO DISPOSE OF PAPER RECORDS

This form is used to request approval from the College Records Custodian to dispose of **non-permanent** paper records that have been scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to a digital environment. This form does not apply to records that have been microfilmed or photocopied.

Before a college office may dispose of any paper record that has not met its required retention period and keep only a digital surrogate of that record, **all** the following conditions must be met:

- The office agrees to abide by all guidelines and best practices as required by Procedure 7.3.1 Electronic Records Retention.
- An electronic records policy has been approved by the office and authorized by the Department of Natural and Cultural Resources.
- All records series that will be scanned and their paper records destroyed after quality audits are listed in the table below:

Records Series Title	Inclusive Dates (e.g., 1987-1989; 2005-present ¹)	Required Retention Period

- Quality control audits have been performed on the electronic records.
- The digital surrogates will be retained for the entirety of the required retention period.

Requested by:		
Signature	Title	Date
Approved by:		
Signature	Department/Office Head	Date
Concurred by:		
Signature	College Records Custodian	Date

¹ If an office uses an open-ended date on this authorization form, the destruction of records must be listed on a destruction log with the precise dates of the records destroyed at a given time.