

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: _____

College Records Custodian

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.

_____ Imaged records will be periodically audited for accuracy, readability, and reproduction capabilities before the original documents are destroyed.

_____ Participation in the design and implementation of campus electronic records initiatives.

Approved by: _____ Date: _____

Title: _____

Signature: _____

