

Standard Operating Procedures Record Keeping Requirement in College Vertical Solutions

Assessment Tool

Introduction:

The purpose of this tool, as part of the College's Vendor Security Self-Assessment process, is to confirm a vendor's product meets the *Minimum Standards for Cloud Based and Vertical Solutions* set by Records Management.

As Dartmouth's digital record environment continues to expand so too does its adoption of cloud based services and vertical solutions to facilitate workflow. Records Management must ensure that these services are appropriately assessed for managing institutional records in order to protect the College and minimize the risks of the institution being out of compliance with Federal and State statute as well as with the College's own policies.

Definitions:

Record: Documentary evidence, regardless of form or medium, created, received, maintained and used by Dartmouth personnel in pursuance of legal obligations or in the transaction of business.

Transactional information: Documentary evidence of a temporary or ephemeral nature. Examples include pcard transactions, receipts, non-substantive emails or similar communications.

Facilitative information: Documentary evidence that contextualizes the policy or strategic decisions. Examples include meeting agendas, meeting packets, interim reports, substantive contracts, substantive emails or similar communications.

Strategic/policy information: Documentary evidence of policies and strategic decisions or directions. Examples include reports, meeting minutes, final policies, and substantive communications such as press releases or directive emails.

Instructions for Dartmouth College office, department, or program:

Determine if the type of documentation generated or stored in the application is either facilitative or strategic/policy level. If this is not clear, consult with a Records Analyst.

The application manages or maintains:

Facilitative or strategic/policy level documentation

Transactional documentation only

Dartmouth Entity Information: (to be filled out by the Dartmouth Office, Department or Program requesting the service)	
Entity Name:	
Entity Campus:	
Entity Contact Name:	
Entity Contact Email:	
Entity Contact Phone Number:	
Vendor Information: (To be completed by Vendor)	
Vendor Name:	
Product Name:	
Product Description:	
Vendor Contact Name:	
Vendor Contact Title:	
Vendor Contact Email:	
Vendor Contact Phone Number:	
Dartmouth Records Management Information: (To be completed by Dartmouth Records Management)	
Records Analyst Name:	
Records Analyst Email:	
Records Analyst Phone Number:	

Assessment Tool:			
Is the application DoD 5015.2 (<i>Design Criteria Standard for Electronic Records Management Software Applications</i>) certified?	Yes	No	
Is there an API that can be used to retrieve documents and metadata about the documents for the purpose of storing the content in another system?	Yes	No	
Does the application have the capability of storing or managing a specified set of records?	Yes	No	
Does the application allow for adding and subtracting of record types?	Yes	No	
a. If yes, what criteria can be set to restrict this ability to specific users.	Yes	No	N/A
Does the application have the ability to set retention periods for a variety of records identified by the College and based on statute or College policy?	Yes	No	
Does the application have the ability to permanently delete records from the application that have met the end of their retention period?	Yes	No	
Does the application have the ability to maintain an audit trail of metadata to confirm records were deleted according to the specified retention?	Yes	No	
Does the application have the capability to generate a certificate of deletion to verify that records have been deleted without retaining the data of the deleted record(s)?	Yes	No	

<p>Does the application have the capability to place a preservation hold on specific records associated with a particular individual or entity in the event of a pending or on-going audit, inquiry, investigation or litigation?</p>	<p>Yes</p>	<p>No</p>	
<p>Does the application have the capability to remove specific records from a preservation hold (as specified above) and have the records returned to their appropriate retention status?</p>	<p>Yes</p>	<p>No</p>	
<p>Can the application generate a human readable status report: indicating that records which have met their retention period have been deleted from the system?</p>	<p>Yes</p>	<p>No</p>	
<p>a. indicating that records which have met their retention period have been deleted from the system?</p>	<p>Yes</p>	<p>No</p>	<p>N/A</p>
<p>b. indicating the current status of records that have been placed on preservation hold?</p>	<p>Yes</p>	<p>No</p>	<p>N/A</p>