



The New York City Department of Records and Information Services
 31 Chambers Street, Room 305, New York, New York 10007

Pauline Toole, Commissioner

Doc. No. RMD-R-2021-02 Version: 1.0	Effective Date: March 1, 2021
<u>Converted Records Risk Assessment Checklist for Agencies</u>	

Category	Task	Comments	For DORIS use only
Retention	<p>Please check ONE:</p> <input type="checkbox"/> The record series of the digitized records are currently on the agency retention schedule.		<p>Retention confirmed:</p> <input type="checkbox"/> YES <input type="checkbox"/> NO
Indexing	<input type="checkbox"/> The correct metadata is attached for each category of records. <p>(Please provide list of metadata indices)</p>		<p>Indexing received /reviewed:</p> <input type="checkbox"/> YES <input type="checkbox"/> NO
Imaging	<p>Please check ONE:</p> <input type="checkbox"/> The scanning was completed: <input type="checkbox"/> Internally: Centralized Scanning <input type="checkbox"/> Internally: Decentralized Scanning Third-Party Vendor	If applicable - include name of vendor:	
Conversion Format	<input type="checkbox"/> The records have been converted to one or more of the formats: <p>(Please check all that apply)</p>	<input type="checkbox"/> PDF <input type="checkbox"/> PDF/A <input type="checkbox"/> TIFF <input type="checkbox"/> JPEG <input type="checkbox"/> DNG <input type="checkbox"/> PNG <input type="checkbox"/> GIF <input type="checkbox"/> (OTHER)	
Records Information	<p>Please provide documentation of the following:</p> <input type="checkbox"/> A list of records series that were digitized. <input type="checkbox"/> Documentation of the reliability and capability of the process to produce trustworthy records. <input type="checkbox"/> Converted records/metadata are immutable or all changes are tracked.	(Please attach any supporting documentation.)	<p>Received by DORIS:</p> <input type="checkbox"/> YES <input type="checkbox"/> NO

Quality Assurance	<input type="checkbox"/> The agency conducted a quality review for image accuracy, quality and completeness.	Please attach documentation of the QA process and evidence:	
Suitability	<input type="checkbox"/> Agency counsel and/or the Law Department has evaluated the suitability of converting the specified records series to an electronic format.	(Please attach any supporting documentation.)	
Official Record statement	<input type="checkbox"/> The agency certifies that the digitized records are the official copies of record and the source hardcopy documentation is a convenience copy.		

Submitted by:

Agency/Department Name	
Senior Level Executive (SLE) Name:	
Senior Level Executive (SLE) Title:	
Date of Submission:	

Certification (to be completed by DORIS)

<input type="checkbox"/> This Converted Records Risk Assessment Checklist has been received and reviewed by the Department of Records and Information Services. <input type="checkbox"/> The agency may proceed with disposing of the source hardcopy through the submission of a certification form. <input type="checkbox"/> The agency may not proceed with the disposal of the source hard copy and must schedule a meeting with DORIS to discuss remediation.	Reviewed by: Name: Title: Date:
Municipal Archives: <input type="checkbox"/> The records have been reviewed and the following have been determined to have archival value in the original format and must be transferred to theMunicipal Archives:	Reviewed by: Name: Title: Date: