

Sample Record Survey Questions

What Records People Keep

- What types of information do your records contain?
- What is the date range of the records?
- What is their format?
- What is/are the functions/purpose(s) of the records?
- Is there any personal or sensitive data (as defined by the DPA) in your files?
- What is the total quantity (or the annual rate of increase) of your records?

How and Why People Keep Their Records

- Are the records arranged and organised alphabetically, chronologically or numerically (or in another way)?
- When do the records become inactive?
- Do you store records that you no longer use separately from your active records?
- Are the records duplicated; can the information contained in them be found elsewhere?
- Do you keep any databases that are stand-alone (not on a network)?
- Is there an index or register of the records?
- Do the records provide evidence of key policies, decisions, plans, procedures and transactions of the museum and its core functions? (If yes, then they will have archival value.)
- Are the records required for the museum to be financially accountable? Are they required for audit purposes?
- Are the records created because of a legislative requirement or are they mentioned in any legislation or regulations?

Where and In What Conditions People Keep Their Records

- Where do you store your records?
- Have any records in the office been damaged by any of the following: wildlife (e.g., insects, mice), water, mould, direct sunlight, other hazards (please list)?
- Do all records storage areas, including offices, have fire prevention equipment? If yes, when was the equipment last inspected?
- Is there a mechanism for transferring electronic records to off-line storage (e.g., disk or tape back-up)?

Sample Records Survey Form

Records Creator Name & Job Title /Team	Location (office name or #, floor)	Type of Record (function)	Format of Records (paper, electronic, photo)	Date Range of Records	Quantity of Records (files, boxes, drawers)	Notes (e.g. personal data, storage problem etc)

Sample Records Management Implementation (Action) Plan

- minimum requirement
- good practice
- best practice

	Objective	Actions	Timeframe
1.	Ownership of records management and authority to develop and implement policy and procedures	<p>Get mandate to implement records management from senior management.</p> <ul style="list-style-type: none"> • Draft records management policy • Agree records management policy with Senior Management • Communicate records management policy 	
2.	Determine what records are created, used and held across the museum	<p>Records Survey completed to inventory records in the museum</p> <ul style="list-style-type: none"> • Survey at Room/Computer level • Survey at file cabinet/drive level • Inventory at folder level 	
3.	Records management systems and procedures in place and in use	<p>Develop, document and agree procedures to manage all museum records</p> <ul style="list-style-type: none"> • Develop and implement one file plan for paper and electronic records • Develop retention schedules and mandate their use • Communicate records management policy and procedures in a pro-active way • Develop guidance on good practice for managing email, version control, file naming conventions, leavers file management/handover <p>Monitor, support and maintain systems and procedures as part of a long term strategy</p>	
4.	Staff training	<p>Ensure staff members understand their individual records management responsibilities.</p> <ul style="list-style-type: none"> • Establish awareness of records management across the Museum through induction and refresher process • Deliver training to all staff to ensure everybody understands the benefits of the records management programme and their individual responsibilities • Establish and implement staff induction and exit strategy to ensure individuals understand their records management responsibilities 	
5.	Establish Records Store/ Archive	<p>Ensure that records that need to be kept permanently are adequately preserved and can be accessed over the long-term.</p> <ul style="list-style-type: none"> • Identify paper and electronic records to be kept permanently • House permanent records in adequate space (proper physical preservation and secure from unauthorised access) • Define access to archive (agree permissions and security provisions for store and archive drives) • Agree a record storage place for holding inactive records to free up desk space • Maximise internal and external use of archive via publicity and cataloguing to ISAD(G) standard • Develop and implement a migration or other preservation strategy for electronic records 	