



Records Management Evaluation Form

Professional Records Management

Date:		Company:	
Contact Name:			
Contact Title:			
Company Address:			
City:		State:	Zip:
Phone:		Alt Phone:	

Business / Industry

- | | | |
|---|--|---|
| <input type="checkbox"/> Education | <input type="checkbox"/> Financial | <input type="checkbox"/> Food Services |
| <input type="checkbox"/> Government/Utility | <input type="checkbox"/> Healthcare | <input type="checkbox"/> Insurance |
| <input type="checkbox"/> Legal | <input type="checkbox"/> Manufacturing | <input type="checkbox"/> Philanthropy/Trade |
| <input type="checkbox"/> Real Estate | <input type="checkbox"/> Retail | <input type="checkbox"/> Services |
| <input type="checkbox"/> Technology | <input type="checkbox"/> Religious | <input type="checkbox"/> OTHER |

RIM Reporting

- | | | |
|---|--|-----------------------------------|
| <input type="checkbox"/> Corporate Services | <input type="checkbox"/> Administrative Services | <input type="checkbox"/> Legal |
| <input type="checkbox"/> Information Technology | <input type="checkbox"/> Risk Management | <input type="checkbox"/> Security |
| <input type="checkbox"/> Other: | | |

- Corporate Records Policy/Procedures/Guidelines in place?** Yes No
- Does your Policy define the term "record?"** Yes No
- Does the Policy include a "HOLD" process?** Yes No
Are you notified of HOLDS in a routine & timely fashion? Yes No
- Is your RIM Program Enterprise-Wide?** Yes No
- Do you have a RIM Committee?** Yes No
- Has an inventory been done of company records?** Yes No
- Company Retention Schedule developed & distributed?** Yes No
- Does Retention Schedule address hard copy & *electronic records*?** Yes No
- Is Retention Schedule regularly updated?** Yes No
Last update: _____
- RIM Training Program in place?** Yes No

How is program compliance reviewed?

How are the following types of records currently handled by your company?

Active Records

- Stored Onsite
- Stored Offsite/Storage Facility
- Stored Offsite/Other Facility
- Other _____
- Don't know

Inactive Records

- Stored Onsite
- Stored Offsite/Storage Facility
- Stored Offsite/Other Facility
- Other _____
- Don't know

Closed Records

- Stored Onsite
- Stored Offsite/Storage Facility
- Stored Offsite/Other Facility
- Other _____
- Don't know

Approximate number of file cabinets currently holding company records _____

Last time cabinets were inventoried and purged of obsolete records _____

Have you ever had to recreate a record/document because you were unable to locate the original?

- Yes No

If you needed to locate an older company record for legal purposes, today, would you be able to find it in a timely manner?

- Yes No

Do you currently scan/image any records/documents?

- Yes No

If not, why?

- | | | |
|---------------------------------------|-------------------------------------|---|
| <input type="checkbox"/> Cost | <input type="checkbox"/> Security | <input type="checkbox"/> Too much trouble |
| <input type="checkbox"/> No equipment | <input type="checkbox"/> No need to | <input type="checkbox"/> Other |

What security features are in place for Confidential Business and/or Client information?

- | | | |
|---------------------------------------|--|--|
| <input type="checkbox"/> Locked desks | <input type="checkbox"/> Locked cabinets | <input type="checkbox"/> Password protection |
| <input type="checkbox"/> Shred bins | <input type="checkbox"/> Locked shred bins | <input type="checkbox"/> Other |

Are records stored in a safe, climate controlled environment? Yes No

How are items destroyed when they reach the end of their retention period?

- | | | |
|---|-------------------------------------|--|
| <input type="checkbox"/> Throw away / garbage | <input type="checkbox"/> Shred | <input type="checkbox"/> Pulp |
| <input type="checkbox"/> Depends on item | <input type="checkbox"/> We destroy | <input type="checkbox"/> Someone else destroys |
| <input type="checkbox"/> Other | | |

Does your company destroy records on an annual /as needed basis?

- Annual As Needed

Have you identified your company's Vital Records?

- Yes No

Do you feel your company's Vital Records are adequately protected in case of disaster?

- Yes No

(Could you get to them w/in 24 hrs of a disaster?)

Where do you currently obtain information and answers re: updating your company's RIM program and practices?

- | | | |
|---|--|---|
| <input type="checkbox"/> Internet | <input type="checkbox"/> Professional Organization | <input type="checkbox"/> Legal Department |
| <input type="checkbox"/> Friends/Colleagues | <input type="checkbox"/> Newspaper | <input type="checkbox"/> Other |

What is your largest RIM challenge at this time?