

28 Questions to Help You Audit Your Information Management Program

If you know the right answers, you can make the right decision.

These simple questions help you gather **critical** information regarding your information management practices. It gives you needed insight in which to evaluate the effectiveness of your information management practices.

Please answer all questions completely before meeting with Associated Records, Inc. This saves us both time, and allows us to really look at your practices to determine your real needs. All information is held strictly confidential.

Office Filing

1. Why are new files created in my office? *Mark all that apply.*
 - New files are created for each new customer/client
 - New files are created for each new contact/project for each customer/client
 - New files are created for each month/period
 - Other - _____
 - Unsure

2. How are my office files primarily organized? *Mark all that apply.*
 - Numerically - Files are assigned a number and filed accordingly
 - Alphabetically - Files are assigned a title and filed accordingly
 - Date - Files are dated and filed accordingly
 - Other - _____
 - Unsure

3. How do my files get filed? *Mark all that apply.*
 - I file everything exactly how I want it
 - Office staff files papers on-the-fly, as soon as it is ready
 - Office staff files papers at the end of the day
 - Office staff files papers at the end of the week
 - Other - _____
 - Unsure

4. Where are my files filed? *Mark all that apply.*
 - In a central filing area
 - In whoever's desk is/was working on it
 - Other - _____
 - Unsure

5. How are my files characterized? *Mark all that apply.*
 - Files are characterized by type of file [business, accounting, etc.]
 - Files are characterized by sensitivity [public, private, secure, etc.]
 - Files are characterized by purpose [bills, quotes, sales orders, invoices, etc.]
 - Other - _____
 - Unsure

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6. Who determines how my files are characterized and how they get filed? *Mark all that apply.*
- Company/corporate written policy
 - Company/corporate verbal policy
 - I do
 - Office manager or other person _____
 - Other - _____
 - Unsure
7. Do I have a policy for handling missing files?
- Yes
 - No
 - Unsure
8. Is there a general understanding in my work place on the work flow of files?
- Yes
 - No
 - Unsure

Inactive/Off-site Storage

9. When do files go to the inactive storage area? *Mark all that apply.*
- When closed/inactivated
 - When space is limited
 - Never
 - Other - _____
 - Unsure
10. Is there a system in place to track which files/boxes are in inactive storage?
- Yes
 - No
 - Unsure
11. Is there a system in place to track files/boxes retrieved from inactive storage?
- If Yes, how: _____
 - If No, why not: _____
 - Unsure
12. Do I utilize off-site storage?
- Yes
 - No
13. How often are files/boxes retrieved from inactive/off-site storage?
- Daily
 - Weekly
 - Monthly
 - Other - _____
 - Unsure

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14. How many files/boxes are retrieved from inactive/off-site storage for the period above?
- 1-5
 - 6-10
 - 11-20
 - 21-50
 - Other - _____
 - Unsure
15. Who retrieves files/boxes from inactive/off-site storage? *Mark all that apply.*
- I do
 - Runner/secretary
 - Any available person
 - Other - _____

Retention/Archive

16. Does my company have a written records retention policy?
- Yes
 - No
 - Unsure
17. Does my company have a legal basis for having a records retention policy?
- Yes
 - No
 - Unsure
18. How are the retention periods determined? *Mark all that apply.*
- Operational need
 - Legal requirements/considerations
 - Historical usage
 - Business needs
 - Perceived future usage
 - Keep everything forever
 - Cost of storage/destruction
 - Other - _____
 - Other - _____
 - Other - _____
 - Unsure
19. Is there a designated person who oversees the retention of my records?
- Yes
 - No
 - Unsure

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20. How often is my records retention schedule audited?
- Never
 - Annually
 - Bi-Annually
 - Monthly
 - Other - _____
 - Unsure
21. Who audits my records retention schedule? *Mark all that apply.*
- A lawyer
 - Ourselves
 - Some other third party - _____
 - Other - _____
 - Unsure

Document Destruction

22. Does my company have a written document destruction policy?
- Yes
 - No
 - Unsure
23. Does my company have a legal basis for having a document destruction policy?
- Yes
 - No
 - Unsure
24. How are the retention periods determined? *Mark all that apply.*
- Operational need
 - Legal requirements/considerations
 - Historical usage
 - Business needs
 - Perceived future usage
 - Keep everything forever
 - Cost of storage/destruction
 - Other - _____
 - Other - _____
 - Other - _____
 - Unsure
25. Is there a designated person who oversees the destruction of my records?
- Yes
 - No
 - Unsure

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26. How often is my document destruction audited?
- Never
 - Annually
 - Bi-Annually
 - Monthly
 - Other - _____
 - Unsure
27. Who audits my document destruction? *Mark all that apply.*
- A lawyer
 - Ourselves
 - Some other third party - _____
 - Unsure

Information Management Laws

28. I understand the following laws that impact the business I am in. *Mark all that apply.*
- Health Insurance Portability and Accountability Act [HIPPA]
 - Financial Service Modernization Act [Gramm-Leach-Bliley (GLB)]
 - Economic Espionage Act [EEA]
 - Sarbanes-Oxley Act
 - Fair and Accurate Credit Transaction Act [FACTA]
 - Federal Rule of Civil Procedure 26(a)(1)(B) [Rule 26]
 - IRS Publication 583 Starting a Business and Keeping Records

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True Costs Analysis

These questions are added to help you get a real cost comparison between what you may be doing now and what we offer.

29. Cost of office space

Monthly lease amount \$ _____ divided by
Square feet of total space _____ ft²
Equals cost per square foot of \$ _____.

Example:

\$800/mo
1,000 ft² office
\$.80/ft²
Costing you \$4.42 for a letter sized filing cabinet.

Filing Cabinet Floor Space Requirements

Letter 5.52 ft² | Legal 7.09 ft² | Lateral 8.02 ft²

Why so much? It calculates the amount of space to open the drawers too.

30. Cost to retrieve files/boxes from off-site

Distance from office (x2) _____
Travel time (x2) _____
Search time _____
Employee hourly pay (x 1.15) \$ _____
Amount employee makes you per hour \$ _____

Example:

5 mi from office = \$5.85
30 min travel time
15 min search time
\$9.20 / hour @ 45 min is \$6.90
\$25.00 / hour @ 45 min is \$18.75
Costing you **\$31.50** to retrieve a file/box.

31. Cost to destroy files

Cost of shredder \$ _____
Pages per pass _____
Time to shred _____
Employee hourly pay (x 1.15) \$ _____

Example:

\$150 (average cost)
7 pages
8 sec
\$9.20
This would take you 1.1 hours and cost you **\$10.12** to shred a ream of paper