

Records Survey Form

Use the tab key to move between questions.

Who is filling in this form?	
1.	Name
2.	Job title
3.	Section/school/subject
4.	Date
Description of the record collection	
5.	Record collection title
6.	Alternative title or reference code
7.	What information is in the collection?
8.	Earliest date (year only).
9.	Latest date (year only).
10.	What format are the records? (Select all that apply. Some collections may contain both paper and electronic information)
Paper:	
Loose papers	<input type="checkbox"/>
Loose papers in folder	<input type="checkbox"/>
Cardboard files	<input type="checkbox"/>
Ring binders	<input type="checkbox"/>
Lever arch files	<input type="checkbox"/>
Bound volumes	<input type="checkbox"/>
Electronic:	
Word	<input type="checkbox"/>
Excel	<input type="checkbox"/>
PowerPoint	<input type="checkbox"/>
Access database	<input type="checkbox"/>
HTML	<input type="checkbox"/>
PDF	<input type="checkbox"/>
E-mails	<input type="checkbox"/>
Other (please specify)	Other (please specify)
11.	Approximately how many individual files are there?
12.	For paper records, how many linear metres of shelving do the records occupy?
13.	For electronic records, how many megabytes of storage do the records occupy?
14.	How is the collection organised?
15.	Do you have a list or index of the records in the collection.
	Yes
Information about the use of the collection	
16.	What function gives rise to the records?
17.	Who creates the records?
18.	Who uses the records?
19.	What are the records used for?
20.	How long are the records needed for each of these purposes?
21.	How often are the records consulted?
Information about the management of the collection	
22.	Who is responsible for the collection?
23.	Does someone know how to use/maintain the records?

24.	Is the collection still accruing?	Yes
25.	If yes, what is the rate of accrual?	
26.	How long do you keep the records?	
27.	Why?	
28.	Does legislation require you to keep the records?	Yes
29.	If yes, please give further details?	
30.	Where are the records stored?	
31.	For paper records, do you have systems for tracking who has a particular file?	Yes
32.	If yes, please describe the system.	
Access and security		
33.	Who should have access to the records?	
34.	Is the information in the records disclosed to anyone outside the University?	Yes
35.	If yes, to whom is the information disclosed?	
36.	Are these records 'vital records'?	Yes
37.	If the records are 'vital records', what arrangements have you made for their protection?	
38.	What measures are taken to keep the records securely?	
39.	Do the records contain sensitive or confidential information?	Yes
40.	What sensitive or confidential information do they contain?	
41.	Do the records contain personal information?	Yes
42.	If the records contain personal information, what kind of people is the information about? (select all that apply)	
	Students	<input type="checkbox"/> Staff <input type="checkbox"/>
	Customers and clients	<input type="checkbox"/> Suppliers <input type="checkbox"/>
	Applicants	<input type="checkbox"/> Research subjects <input type="checkbox"/>
	Other (please specify)	
43.	If the records contain personal information, what personal details are included? (select all that apply)	
	Name	<input type="checkbox"/> Contact details <input type="checkbox"/>
	Date of birth/age	<input type="checkbox"/> Nationality <input type="checkbox"/>
	Financial details	<input type="checkbox"/> Physical or mental health or condition <input type="checkbox"/>
	Racial or ethnic origin	<input type="checkbox"/> Sexual life <input type="checkbox"/>
	References	<input type="checkbox"/> Education and training details <input type="checkbox"/>
	Employment details	<input type="checkbox"/> Gender <input type="checkbox"/>
	Goods or services provided	<input type="checkbox"/> Offences (including alleged offences) <input type="checkbox"/>
	Criminal proceedings, outcomes or sentences	<input type="checkbox"/> Other (please specify)
44.	If the records contain personal information, who provides that information? (Select all that apply)	
	Data subject	<input type="checkbox"/> Staff <input type="checkbox"/>

UCAS	<input type="checkbox"/>	Other (please specify)
Relationship with other records		
45.	Are these records direct copies of records held elsewhere?	Yes
46.	If yes, please give further details?	
47.	Do these records duplicate information held elsewhere in the University?	Yes
48.	If yes, please give further details.	
49.	Do these records relate to other records?	Yes
50.	If yes, please give further details.	

Completing a records survey form

Timing

The survey should begin immediately and is due to be completed by **[insert date]**.

If you have any queries about completing the forms, please contact **[insert name]**.

Why do we need an information survey?

Records and information are corporate resources. In support of our business we create, receive and maintain records which document our functions, activities and transactions. These records are the basis for organisational accountability, compliance with legislative requirements and the development of the corporate memory.

The ability to identify and locate the information contained in our records is critical for our operation. We also need to ensure that we do not spend resources on keeping unnecessary records. To help us with this, we are creating an information inventory. The information we collect from this survey will form the basis of our inventory.

We will use our information inventory for the following purposes:

- To establish control over our information assets, including quantitative information about our holdings.
- To facilitate information sharing throughout the organisation.
- To draw up policies on what information we should keep and for how long.
- To comply with the UK General Data Protection Regulation and Data Protection Act 2018.
- To comply with the Freedom of Information (Scotland) Act 2002.

Notes on completing the form

Complete one form for each collection of records you hold.

A collection of records is a group of records with similar characteristics that can be managed together as a group. This means making decisions for the group as a whole on filing, indexing and retention requirements. Exactly what is a sensible group will vary between different areas of work and between paper and electronic technologies, but examples of collections might include:

- A set of minutes and papers for a particular committee
- A set of case files
- An individual's personal filing system (including folders in Outlook), if this is used to keep unique records
- A folder on a shared or personal drive
- A database
- A set of information published on the website or intranet
- A collection of loose papers or a set of documents on a drive
- Define a collection at the highest possible level eg if you have several sets of minutes for different committees, define the collection as 'committee minutes' and list the names of the different committees in the description of the record contents.

Before starting to fill out the forms, liaise with the sections in your directorate to organise their paper and electronic information into meaningful collections. Identify all the record

collections in the directorate and their owner. You should include any records stored outside the office, on the web or on shared drives.

Ask the owner of each record collection to complete a form for that record collection. There is no need to complete a form for information held in Outlook or on personal drives unless these are being used to store unique information or master versions.

The form is a Word template document. Please open it and save it under a new name before starting to type into it.

Use the tab key to move from one field to the next.

To obtain guidance on answering a particular question, press F1 when you are in the answer field of the question concerned.

Notes for answering each question on the form

Information about the person completing form

3. Please select your directorate.
4. Please give today's date in the format dd/mm/yyyy.

Description of the record collection

5. Please say what this collection of records is usually called.
6. Please give any other names or reference codes that are used to refer to this collection.
7. Please give a brief description of the type of information in the file eg case papers, committee minutes and papers, policy development.
8. Please give the date of the earliest paper in the collection.
9. Please give the date of the latest paper in the collection; if the collection is still accruing then say, "Date".
11. For electronic information, please give the number of objects in each top-level folder. You can get this information from Windows NT Explorer; click on the folder concerned and the number of objects is displayed at the bottom left hand side of the screen.
12. Please give a rough estimate.
13. You can obtain this information from Windows NT Explorer. Click on the folder concerned and the size will be displayed at the bottom of the screen in the middle.
14. Please describe how the collection is structured. The following are examples of possible structures:
 - Organised into folders and subfolders on a shared drive (give details of the folders or subfolders)
 - Members of staff have personal folders for their areas of work
 - Organised according to a hierarchical list of headings and file titles
 - Organised alphabetically by surname

- Organised by date order.

Information about the use of the collection

16. Please say which activity produces these records. For example, bidding for research funding, student admissions, or planning and strategy.

17. Please give the section and, if appropriate, the job titles of the people within the section who create the records and files that make up this collection.

18. Please list all the sections and, if appropriate, the job titles of the people within the section who use the records.

19. Please list all the purposes for which the records are used. For example, records might be created to admit a student, but used later for research.

20. For each of the uses you have listed at question 19, please say for how many years after the creation of the file it is needed for this purpose.

21. This might change over time, for example, continually for the first six months, once a week for the period six months to two years after creation, and once a month thereafter.

Information about the management of the collection

22. Please say which section is responsible for the collection. If a nominated individual within the section is responsible for keeping the records, please also give their name and job title.

23. Does someone in the relevant section know how to add, amend, delete and find information in the collection?

24. Are people still adding new files to the collection, or new records to the files already in the collection?

25. Please say how quickly the collection is growing, for example, 400 new case files a month, no new files being created but two or three papers are added to existing files each week.

26. For how many years after their creation do you keep records in this collection? For example, you might keep them for seven years for tax purposes and then destroy them.

27. Please explain why you keep the records for this long, for example, for audit purposes, or no procedures to identify records that should be destroyed.

29. Please give the name and year of the legislation concerned, and say how long it requires you to keep the records.

30. Please list everywhere that records of this type are kept. For example, you might keep some paper files in a particular filing area, and others in an electronic format on a shared drive.

Access and security

32. Please give the job titles of all the people who need to have access to the records to do their job. For example, director of studies.

35. These might include use of locked cupboards or passwords for electronic information.
36. A vital record is one that is essential for the conduct of the business in the aftermath of a disaster such as a fire or flood.
37. Say what arrangements you have made to ensure that the records will still be available to the business in the event of a disaster.
41. Personal information is any information about an identifiable individual, including any expression of opinion about, or indication of our intention towards, that individual.

Relationship with other records

46. Please say which records this collection duplicates and which set is the master set.
47. Do the records contain the same information as is held in other records, even if it is in a different format?
48. Please say which other collections of records hold the same information and how they resemble/differ from each other. For example, a senior officer may have a set of day files but copies of the correspondence are also filed on the relevant subject file.
49. For example, are the records used in conjunction with another set of records or is the collection a successor or a predecessor to another collection?
50. Please say what the other collections of records are, and what their relationship is with this one. For example, you may hold more information about students than is held by the central Registry.