

# Dartmouth College Records Management Records and Information Risk Assessment Site Survey

Department:	Date:	Completed By:
<b>1. Place:</b> Facility _____ Room _____ Location in Building _____ Type of Building _____ Roof Type and Condition _____ Approximate Room Size _____ Windows/Doors _____ Loft or Mezzanine Storage: <input type="checkbox"/> Yes <input type="checkbox"/> No      Locality Risk _____		
<b>2. Climate</b> High/Low Temperature Range _____ Heating: <input type="checkbox"/> Yes <input type="checkbox"/> No      Air Conditioning: <input type="checkbox"/> Yes <input type="checkbox"/> No Humidity Control: <input type="checkbox"/> Yes <input type="checkbox"/> No      Temperature/Humidity Monitoring: <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>3. Lighting</b> <input type="checkbox"/> Natural <input type="checkbox"/> Fluorescent <input type="checkbox"/> UV Control <input type="checkbox"/> Direct Sunlight <input type="checkbox"/> Other Comments: _____		
<b>4. Security</b> Entry Alarms: <input type="checkbox"/> Doors <input type="checkbox"/> Windows <input type="checkbox"/> Motion Sensors <input type="checkbox"/> Other Fire Alarms: <input type="checkbox"/> Heat <input type="checkbox"/> Smoke Automatic Extinguishers: Count _____ Type(s) _____ Location(s) _____ Insurance _____		
<b>5. Vulnerabilities:</b> <u>Fire:</u> Electrical _____ Heating _____ Equipment _____ <u>Water:</u> Plumbing _____ Moisture Accumulation _____ Flood _____ Building Leaks _____ Evidence of: <input type="checkbox"/> Insects <input type="checkbox"/> Rodents <input type="checkbox"/> Humidity Extremes <input type="checkbox"/> Temperature Extremes <input type="checkbox"/> Mold/Mildew <input type="checkbox"/> Vandalism <input type="checkbox"/> Other Risk or Damage _____		

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## 6. Records/Information Housing:

**Record Series #1** \_\_\_\_\_ File Name / Path \_\_\_\_\_  
Electronic Location \_\_\_\_\_ Electronic Application \_\_\_\_\_  
Media \_\_\_\_\_ Container / Enclosure Type \_\_\_\_\_  
Original: \_\_\_ Yes \_\_\_ No    Dispersal: \_\_\_ Yes \_\_\_ No    Location \_\_\_\_\_  
Condition \_\_\_\_\_  
Problems \_\_\_\_\_

**Record Series #2** \_\_\_\_\_ File Name / Path \_\_\_\_\_  
Electronic Location \_\_\_\_\_ Electronic Application \_\_\_\_\_  
Media \_\_\_\_\_ Container / Enclosure Type \_\_\_\_\_  
Original: \_\_\_ Yes \_\_\_ No    Dispersal: \_\_\_ Yes \_\_\_ No    Location \_\_\_\_\_  
Condition \_\_\_\_\_  
Problems \_\_\_\_\_

**Record Series #3** \_\_\_\_\_ File Name / Path \_\_\_\_\_  
Electronic Location \_\_\_\_\_ Electronic Application \_\_\_\_\_  
Media \_\_\_\_\_ Container / Enclosure Type \_\_\_\_\_  
Original: \_\_\_ Yes \_\_\_ No    Dispersal: \_\_\_ Yes \_\_\_ No    Location \_\_\_\_\_  
Condition \_\_\_\_\_  
Problems \_\_\_\_\_

## 7. Electronic Equipment:

Type \_\_\_\_\_ Media \_\_\_\_\_  
Use \_\_\_\_\_  
Brand / Model \_\_\_\_\_  
Vendor \_\_\_\_\_ Serial # \_\_\_\_\_  
Standalone: \_\_\_ Yes \_\_\_ No    Information Backup: \_\_\_ Yes \_\_\_ No  
Backup Method \_\_\_\_\_ Location \_\_\_\_\_  
Problems \_\_\_\_\_

## 5. Remarks:

# Records and Information Risk Assessment Site Survey:

## Overview:

This form is used to analyze the risks that may be involved with storing records and information within a particular facility. The form asks for a separate assessment to be made for each room in a facility, since different conditions may be in evidence throughout a building.

- 1. Place.** This section of the forms asks for information about the physical facility in which the records are stored. Include as much detail as possible, such as roofing construction, description of the type and number of windows, and any unusual architectural features. Be sure to list any risk deriving from the location of the building, such as proximity to woodlots, reservoirs, or chemical plants.
- 2. Climate.** Describe the physical conditions of the facility. Pay special attention to the fluctuations in temperature and humidity. You may need to observe the facility over a period of time, or even through different seasons, to fill out this section accurately.
- 3. Lighting.** Note the method of lighting the facility. Especially note whether fluorescent lighting has UV protection.
- 4. Security.** These items are special features added to a facility in order to decrease various risks. In addition to fire, smoke, and illegal entry alarms, note fire extinguisher placements and insurance coverage on the property.
- 5. Vulnerabilities.** This section of the form asks you to examine risks associated with storing records and information in this location. Risks can vary from fire and water damage, to insects and rodents. Don't forget to include any evidence or history of social unrest that might make this facility a target.
- 6. Records / Information Housing:** Use this section of the form to describe the housing for both paper and electronic records. Be sure to include information on each record type, and/or housing (cabinets, boxes, etc.) included in this room. Space is provided for three different record types.
- 7. Remarks.** Any additional information you would like to include.