

Pre-Archival Audit Documentation Checklist

| Item | Description | Status | Comments |
|---------------------------------------|---|--------|----------|
| 1. Record Inventory | Comprehensive list of records to be archived | | |
| 2. Retention Schedule Review | Verification of mandatory retention periods | | |
| 3. Access Controls | Documentation of user access rights and restrictions | | |
| 4. Metadata Accuracy | Review and validation of descriptive metadata | | |
| 5. Format Compatibility | Records stored in approved, sustainable formats | | |
| 6. Integrity Verification | Checksums or audit trails confirming record integrity | | |
| 7. Privacy & Confidentiality Review | Confirmation of data privacy and confidentiality compliance | | |
| 8. Disposal of Non-Archival Materials | Confirmation of removal/disposal of ineligible records | | |
| 9. Documentation of Exceptions | List any exceptions or unresolved issues | | |
| 10. Approval and Sign-off | Signatures of responsible parties | | |

Important Notes:

- This checklist should be completed prior to records being transferred for archival storage.
- Ensure all metadata and access control documentation is current and accurate.
- Exceptions or unresolved concerns must be documented and addressed before approval.
- Retention schedule compliance is essential for legal and regulatory requirements.
- Sign-off by responsible parties confirms the audit process is complete and accurate.