

RECORDS AND INFORMATION RISK CHECKLIST

HAVE WE ASSESSED THE IMPORTANCE OF RECORDS AND INFORMATION TO OUR BUSINESS?

- We know what information we hold and handle
- We know the relative security, sensitivity and importance of each set of information assets
- We understand which information systems support the management of key records
- We know how critical this information is for the management of our business

HAVE WE ASSESSED OUR RECORDS AND INFORMATION RISKS?

- We have developed a risk assessment of our information. This risk assessment looks at all of our key risks and how critical they are
- This assessment follows the approach we have taken overall to risk management, and embeds information and records risk management within our overall business risk model

DO WE HAVE A PLAN FOR MANAGING THESE RISKS?

- We have identified what we need to do to mitigate risks to an acceptable level, which covers all key dimensions (i.e. the need to share and protect)
- We have a clear plan in place, with owners of the key actions
- The plan covers all key stakeholders in the chain of custody, including third parties and partners
- The key players understand their role in managing these risks
- There is a regular process of assessing how well we are doing at implementing this plan

DOES ALL STAFF UNDERSTAND THEIR ROLES AND RESPONSIBILITIES IN MANAGING THESE RISKS?

- All staff understands their role in managing records and information, and the risks it poses
- All staff are clear on mandatory requirements and where they can make decisions
- All staff are clear about to whom they report concerns and 'near misses', so we can learn from incidents and mistakes We have built this into our culture through training, performance management and governance structures
- All staff understand the consequences of not following the rules

DOES MY ORGANIZATION HAVE THE RIGHT SKILLS AND TECHNICAL CAPABILITIES TO MANAGE THESE RISKS?

- Our leadership sufficiently understands our use of and reliance upon records and information risk to ask the right questions
- I have a capable team and infrastructure to manage my organization's information, who are aware of all of the risk issues
- Our legal, procurement, financial and other teams and infrastructure are attuned to the need to manage information risk

IS MANAGEMENT OF INFORMATION EMBEDDED IN OUR BUSINESS PROCESSES?

- We consider information as one of many business processes, and business risks
- Leadership and line management considers information risk alongside, and as a contributory part of, other key risks, and gives it priority accordingly
- Information management is seen as a core skill and is built into organizational training and assessment program