

Electronic documents							Risk Assessment				
Information Asset Type	For what is the document used?	Does it contain Personal Confidential Data? Yes/No	Where is the asset stored?	Responsible owner	How is access to the asset controlled?	Is this asset Business Critical? Yes/No	Considering all your answers, particularly the previous 2 columns, what would be the IMPACT of the risk occurring	What is the LIKELIHOOD of this risk occurring?	Risk Score	For Risks that are scored anything other than green, state <u>and justify</u> how you wish to either Accept or Mitigate the risk	Business Continuity Plan in Place? Yes/No
<i>i.e. the essential electronic documents team members use in their day-to-day work, e.g. meeting papers, staff records, patient/service users records, complaints, finance data, payslips etc</i>	<i>e.g. management of meetings, records of discussions/agreements</i>	<i>e.g. name, address, telephone number, driving licence number, personal email address, NHS number, hospital number;</i>	<i>e.g. desktop computer, network drive, mobile computing device such as laptops, tablets, mobile phones, safesticks or other removable media</i>	<i>I.e. staff lead in case of software/system failure</i>	<i>e.g. password restricted network drive, restricted access folder</i>	<i>i.e. Would you be able to do "Business as usual" without the asset even for one day?</i>	<i>(score as Negligible=1, Minor=2, Moderate=3, Major=4, Catastrophic=5)</i>	<i>(score as Rare=1, Unlikely=2, Possible=3, Likely=4, Almost Certain=5)</i>	<i>automatic calculation</i>		
Practice staff HR records	Maintain a record, reference	Yes	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		
Workforce IG Training Records	Record & monitor mandatory training, IG Toolkit submission	Yes	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		
Smart card records	Reference	No	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	3	6		
Subject Access Request Central Register	Maintain a record, reference	Yes	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		
Subject Access Request Correspondence and information (individual files)	Maintain a record, reference	Yes	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		
Practice policies and procedures	implement policies and procedure	No	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		
Patient complaints	Maintain a record, reference	Yes	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		

Incident Documentation	Maintain a record, reference	Yes	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		
Supplier contracts	Maintain a record, reference	No	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		
Information Sharing Agreements	Maintain a record, reference	No	Network drive	IT Lead/Practice Manager	Restricted network drive, password protected	No	2	2	4		
Practice Data Flow Maps & Risk Assessments	Individual IG Audits	No	Shared Folder	IT Lead/Practice Manager	Network drive restricted	No	3	2	6		
Practice Risk Register	Track IG Risks	No	Shared Folder	IT Lead/Practice Manager	Network drive restricted	No	3	2	6		
System audits	docs on IG confidentiality audits	No	Shared Folder	IT Lead/Practice Manager	Network drive restricted	No	3	2	6		