**Information Audit Questionnaire (Managers Interview)**

(Information Audit is applicable to all areas of the University)

Please provide details for both electronic and physical information and records. Please use the answer (spread)sheet provided.

1) Please describe the business activities undertaken by your team? Please list the top three (3) in order of risk, starting with those which collect/create high risk information, such as personal data, confidential information, commercially sensitive information, etc.

Guidance – information which is regarded corporately as high risk includes that which would be considered exempt under FOI(S)A – please see draft Information Security Classification Scheme for further guidance.

2) What information (incl. personal data) is collected to support these activities? (Please list by activity)

3) What records are produced in the process of undertaking these activities?

4) What other information is created/collected/stored as part of these business activities?

5) Which staff members are involved in which business activities/processes?

6) Are records and other information arranged corporately to support the business functions? For example, kept in shared drives with the necessary access/permissions and arranged in folders specific to business processes, ideally in series aligned to retention schedules.

7) Are vital records clearly marked or is a schedule kept. Is the list on your business continuity plan kept up to date? (Please see FAQs for further guidance)

8) Which staff members are Records Management co-ordinators? If no-one at present, please advise who will be acting as the Records Management co-ordinator to complete the audit spreadsheets?

9) Have staff members attended Records Management training or taken the online Information Management training module?

10) Do you have up-to-date records/information management procedures and guidance in place to support your business procedures? For example, naming conventions, records retention schedules and destruction records, documented file structures/permissions, information asset register.

11) Does the business unit have a [Records Retention Schedule](http://staff.napier.ac.uk/services/secretary/governance/records/Pages/RecordsRetentionSchedules.aspx)? (Are you keeping records/information for audit, legislative, regulatory purposes/requirements?)

12) What systems for reviewing records are in place and what procedure is followed when records are destroyed?

13) Are members of staff clear about what records need to be retained as evidence of business transactions and which are transitory records (required temporarily for the activity, but of no further use once the process is complete) or working documents/documents which do not need to be retained?

14) Are staff members aware of the security necessary when dealing with personal data, and have they attended a Data Protection training course or completed the online training module?

15) Are records/documents/information assets containing personal data restricted to certain areas within the filing system/file-plan/folder structure or databases where access permissions are secured?

16) What processes are in place for retrieving records, for example, for a [Subject Access Request](http://staff.napier.ac.uk/services/secretary/governance/DataProtection/Pages/accesspersonalinformation.aspx)?

17) Are staff members aware of their personal responsibilities with regard to managing information assets? (for example, emails as records)

18) Do you feel that there are any information/records management issues (or areas where the processes for dealing with information could be improved) in your team?

19) How often do you set aside time (personally and departmentally) to review/dispose of records/documents/information?

20) Have you considered [off-site storage](http://staff.napier.ac.uk/services/secretary/governance/records/Pages/Offsitestorage.aspx) for the retention of physical records?