St George’s, University of London

Research Information Governance Audit Checklist

|  |  |  |  |
| --- | --- | --- | --- |
| Project Name / Descriptor |  | DPIA completed | Yes / No |
| Institute |  | Privacy Notice | Yes / No |
| Project Lead |  | Information Asset Register  | Line number: |
| Project Start  |  | **Audit Date** |  |
| Personal Data Held | Yes / No | **Information Governance Audit Team** |  |
| Data Classification | Identifiable / anonymised / pseudonymised |

|  |  |
| --- | --- |
|  Document / Evidence Required | Documents / Evidence Provided |
| **Project Controls** |
| Is SGUL the Data Controller / Data Processor(If a Data Processor who is the Data Controller?) |  |
| Who have key responsibilities for the project? |  |
| Who has access to the data |  |
| **Data Management and Location** |
| Data flow diagram / descriptor |  |
| Format  | Digital / Paper / Digital & Paper |
| Where the data is held – Digital Hardware (Network drive, Laptops, Drives, memory sticks etc) |  |
| Where the data is held – Digital Software (Databases, software applications) |  |
| Where the data is held - Paper |  |
| What is the disaster recovery plan (back-up etc) if data not located within a University network drive? |  |
| Is the digital hardware supported by the University IT services? If not, then by whom. |  |
| Confirmation that a contract / data sharing agreement with third parties who have access to the data is in place.  |  |
| **Access Management**  |
| How are data access permissions given or removed? |  |
| How is physical access to project locations managed? |  |
| What controls are in place for digital data e.g. password, encryption etc |  |
| **Data Disposal** |
| Project end date: |  |
| What is the data retention period for the project data? |  |
| How are / will assets be disposed of? |  |
| **Training** |
| Have all staff involved with access to the data completed their mandatory DPA and Information Security awareness training. (Names and dates required.) |  |